



Joint Assessment Missions - Technical Guidance Sheets



World Food
Programme

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UNHCR
The UN Refugee Agency

JOINT ASSESSMENT MISSIONS - TECHNICAL GUIDANCE SHEETS

TABLE OF CONTENTS

1. TECHNICAL GUIDANCE SHEET No.1 – REFUGEES IN URBAN AREAS	I-1
1.1 The urban setting	I-2
1.2 Refugees in urban areas	I-4
1.3 Challenges in conducting a JAM in an urban context	I-5
1.4 Reference documents	I-16
2. TECHNICAL GUIDANCE SHEET No.2 – MARKET ANALYSIS IN A JAM	II-1
2.1 When to collect market information?	II-1
2.2 Markets and refugees	II-2
2.3 How to incorporate (some) market analysis in a JAM	II-3
2.4 Which markets to assess?	II-4
2.5 Market function	II-5
2.6 Refugees’ access to markets	II-8
2.7 How to access the necessary market information	II-10
2.8 Reference documents	II-13
3. TECHNICAL GUIDANCE SHEET No.3 – PROTECTION	III-1
3.1 Food security, nutrition and protection	III-2
3.2 Recommended good practice to ensure protection is integrated in a JAM	III-4
3.3 Reference documents	III-6

4.	TECHNICAL GUIDANCE SHEET No.4 – TRANSFER MODALITIES	IV-1
4.1	Transfer modalities	IV-2
4.2	Making a decision on appropriate transfer modalities	IV-7
4.3	Reference documents.	IV-8
5.	TECHNICAL GUIDANCE SHEET No.5 – ENVIRONMENT AND ENERGY	V-1
5.1	Food security, nutrition and fuel	V-1
5.2	Reference documents.	V-2
6.	TECHNICAL GUIDANCE SHEET No.6 – PLANNING FOR GENERAL FOOD AID RATIONS.	VI-1
6.1	Considerations when planning a general ration	VI-1
6.2	Basic nutritional requirements	VI-2
6.3	Nutritional values of common food items.	VI-4
6.4	Characteristics of a good distribution system	VI-7
6.5	Phasing out general rations	VI-9
6.6	Reference documents.	VI-10

7.	TECHNICAL GUIDANCE SHEET No.7 – LOGISTICS AND STORAGE IN FOOD AID DISTRIBUTIONS	VII-1
7.1	What is the logistics component of an assessment?	VII-1
7.2	What needs to be done in an initial assessment?	VII-2
7.3	What to look for in examining the food aid supply chain and delivery system	VII-5
7.4	What to look out for in food warehouses	VII-7
7.5	Reference documents	VII-10

JOINT ASSESSMENT MISSIONS – TECHNICAL GUIDANCE SHEET NO. 1 – REFUGEES IN URBAN AREAS

'[UNHCR] ... considers urban areas to be a legitimate place for refugees to enjoy their rights, including those stemming from their status as refugees as well as those that they hold in common with all other human beings.'
(HCR Urban policy, 2009)

'They may choose to be displaced in cities rather than in camps but they did not choose to be displaced.'
(FMR 34, Feb. 2010)

More than half of the refugees in the world are living in urban centres. Refugees in urban centres encounter specific food security and protection risks. They may wish to remain anonymous and invisible to minimise protection risks.

Identifying refugees in urban centres can be difficult, as assisting them could be challenging and could put them at risk.

This TGS provides an overview of the challenges faced by urban refugees and basic guidance on how to plan and implement a JAM in an urban centre. This guidance aims to support JAM teams to:

- Organise an assessment;
- Assess the food security and nutrition needs of the urban refugees considering the particular issues brought by their urban environment; and
- Identify appropriate recommendations taking into account the specific constraints and opportunities present in an urban environment.

References to other materials are provided at the end of the document. Additional support is also available from the UNHCR and WFP regional offices, UNHCR HQ Division of Programme Support and Management and WFP HQ VAM Unit.

1.1 THE URBAN SETTING

The urban context presents several challenges in terms of food security needs assessments which are mainly linked to its “complexity”. In the context of a JAM, particular attention should be brought to livelihood analysis, food consumption and risks analysis and how they differ in an urban setting.

Livelihood Analysis

Rural populations and refugees are drawn to urban centres for a variety of reasons. Urban centres typically have a large number of economic (e.g. industries, businesses and services), political, social and cultural activities that offer a wide range of opportunities. Living in an urban centre also offers close proximity to a variety of goods and services.

While there may be significant opportunities of living in an urban centre, there are also several constraints. As an example, the cost of living is often much higher than in a rural setting; urban household expenditures include: housing/rent, utilities, food, fuel, transport, health, education, taxes among others. The availability of goods and services (including health, education, power, etc.) may be greater but access to these services is limited to those who can afford it.

It is common for urban households to be involved in several activities and have multiple income sources (including credit) in both the formal and informal sectors; with the poorest households generally relying on unstable and risky income sources. Livelihood analysis is therefore much more complex in an urban setting.

Urban food consumption patterns

Access to food in urban areas differs significantly from rural settings. Urban dwellers purchase most of their food in the market with limited own production (except for the few households who have access to sufficient space to grow a garden or maintain livestock). While the food available in the market is more diverse, the consumption of a diverse diet depends on the ability of the household to purchase a range of goods.

Due to time, storage and cooking constraints, urban dwellers are often more attracted to already prepared or processed foods. Certain processed foods available are likely to be high in calories and can be low in nutrients. There are also food safety risks in consuming prepared foods, particularly from food stalls.

With the shift in foods available and related food consumption patterns, a growing number of urban populations are experiencing the double burden of malnutrition, characterised by the presence of both under-nutrition and over-nutrition in the same population.

Urban refugees face similar challenges as all urban dwellers, but they also face additional constraints related to their specific legal and social status.

Risks in urban centres

Urban populations are often confronted with increased risks.

- **Security.** Violence is particularly acute in urban centres¹. Over the past 5 years, 60% of urban dwellers have been victims of violence. Insecurity and violence are exacerbated by poverty and inequality. Poor refugees are at risk of social violence (gangs, corruption, and family violence) as well as political violence if their protection space is insufficient. Discrimination can also manifest itself in various forms of violence.
- **Health.** Health issues are more acute in urban areas², especially for the poorest. The urban poor are more vulnerable to ill health as they often live in poor quality, crowded housing with varying access to clean, safe water sources, and waste management services. Often these areas are unplanned, illegal (slums), and have limited or no access to formal health services. Additionally, the high population density in these areas increases the risk of epidemics.
- **Natural disaster.** There is a greater risk that natural disasters (e.g. flooding, earthquake, cyclone, tsunami, etc.) can provoke large damages in poor urban areas as they are often unplanned and overcrowded. At the same time, dwellings are often located on marginalised land, not built to withstand heavy rain or earthquakes.

1 World Disasters Report 2010 – *Focus on urban risk*

2 World Disasters Report 2010 – *Focus on urban risk*

1.2 REFUGEES IN URBAN AREAS

Today more than 50% of the refugees under UNHCR's mandate are living in urban areas. Refugees are drawn to urban areas for a variety of reasons including:

- The perception that an urban centre is safe;
- The perception that there will be numerous opportunities to earn income;
- To reunite with a part of their family already settled in an urban centre;
- To pursue a more exciting way of life, particularly for young refugees; and
- The lure of being anonymous.

At the same time, the urban context may exacerbate food security and protection risks.

Main Issues:

- ✓ STATUS;
- ✓ DISCRIMINATION;
- ✓ DISPERSED SETTLEMENT;
- ✓ LANGUAGE BARRIERS;
- ✓ ECONOMIC POWER; AND
- ✓ LIMITED SAFETY NETS.

The situation of a refugee in an urban centre is highly dependent on his/her legal status and the specific policies and programmes supported by the host government. If a refugee's legal status is officially recognised, he/she may benefit from the authorities' protection. If it is not, he/she will face the risk of being expelled.

A refugee's overall access to services is also dependent on their political status. Refugees that have had their basic rights of asylum denied have very limited access to income and services. Registered refugees rarely have the legal right to work.

While an urban setting can offer anonymity due to its large, diverse population, stigmatisation and discrimination towards refugees remains. Additionally, authorities are usually more present in urban settings, and can exert control (and restriction) on refugee movement, which can impact access to income and basic services.

In general, research has shown that urban refugees are economically poorer than the surrounding urban communities. Refugees often arrive impoverished economically, due to the loss of assets, and socially, by the loss of traditional social networks. Additionally, they often face language barriers and stigmas which hinder them from accessing employment, public services and conducting economic activities.

Refugees rely significantly on the informal economy, thus they are more vulnerable to police control and corruption. With no legal right to work, they fear detention and deportation. Refugees may also become victims of exploitation due to the language barrier, lack of documents, or their lack of awareness of their rights with their employers (often from the same community), landlords or neighbours.

Refugees often have limited safety-nets to assist them during the difficult times. Additionally, the social support network for refugees is often weak or inexistent.

1.3 CHALLENGES IN CONDUCTING A JAM IN AN URBAN CONTEXT

Addressing urban refugee needs, as per the UNHCR mandate and urban policy, is a priority. This section highlights the key challenges when conducting a JAM in an urban centre and suggested solutions. The JAM team should be ready to adapt both the timing and the methodology to overcome difficulties linked to the urban settings.

1. *Lack of sufficient secondary information*

Despite the rapid urbanization in developing and middle income countries and the increasing attention given by humanitarian organisations to urban issues, information on urban populations and particularly their food security and nutritional status is still limited. Very few organisations are specifically dealing with refugees issues within urban areas. Beyond UNHCR data, disaggregated information specifically on refugees is often difficult to obtain.

Information will have to be sought from various governmental and non-governmental institutions. Relevant information may be available but it might not be shared widely due to lack of means or to protect sensitivities. Utilise all the staff in the UNHCR and WFP office to help facilitate access to relevant information. Staff can have useful contacts or know how to access sensitive information. Use the macro-economic and non-disaggregated information to understand the context and identify trends. In developing countries, information systems usually suffer from a lack of resources. It is likely that some macro-economic information will be collected only in the capital or in the few major urban centres. Consequently, some of the following macro-economic information could be relevant to JAMs in an urban context:

- Prices and consumer prices index that includes all basic goods and services, including housing and fuel;
- Minimum wage, average wages;
- Economic trends, which could influence the refugees' food security ; and
- Poverty data or other relevant information included in routine assessments, such as the Multiple Indicator Cluster Survey (MICS), implemented by UNICEF and the Demographic and Health Survey (DHS). However, remember to see if these include urban areas in the sampling, it is not always the case.

While data are not disaggregated for refugees, it will provide useful information on the context, the potential risks and shocks and on the national trends. The refugee population could be affected by the same trends as the whole population or not at all. Triangulation through informant interviews and field visits will confirm this.

The Humanitarian Policy Group (HPG)ⁱ research on urbanisation (Damascus) 2011

HPG conducted a study on Internally Displaced Persons (IDPs) and refugees residing in urban areas in several cities, including Damascus, in 2011.

Primary data could not be collected and thus the analysis had to be based solely on secondary information. HPG researchers identified all the information they could from multiple sources, mostly found by searching the web on the following issues:

- Organisations concerned with urban displacement and humanitarian action;
- UN agencies and Non-Governmental Organisations working in Syria;
- Government policy documents and other materials available online; and
- Press sources such as the BBC, Al Jazeera and the New York Times.

The keywords used in the search included: *urban displacement, urban vulnerability, urban poverty, Damascus, Iraq refugee, IDPs, Syria, Palestinian refugee, humanitarian law, human rights, informal settlements, living conditions, security, services, livelihoods, drought and urban growth.*

Additionally, a number of organisations provided grey literature, mostly university student research.

The findings from the review were then triangulated and complemented with a small number of telephone interviews with representatives of international organisations, researchers and experts on displacement in Damascus and the Middle East more broadly.

i Humanitarian Policy Group <http://www.odi.org.uk/programmes/humanitarian-policy-group>

Urban centres offer a great deal of opportunities for assessments, particularly through the use of innovative methods. The population is dense and there is potential to meet many people within a limited geographical area. But most of all, urban refugees have access to more services and technologies. For example, if a hotline exists, it could be a very good source of information on refugee concerns and priorities and could also be used to explore specific issues. Information on the JAM and call for contributions could be disseminated through TV, radio or text messages. Risks and biases involved with such methods should be considered.

You may also need to allow more time and resources for the field visit. If, despite all efforts, the information collected is still insufficient, allow more time than usually advised (2 weeks) to collect information through the field visit.

2. Accessing refugees

Urban refugees are a dispersed and busy population. They are often very mobile for protection, legal and economic reasons. They may also change identity and nationality to avoid discrimination or access particular trade or employment. Due to all of these issues, it can be difficult to gain physical access to urban refugees. Refugees may specifically not want to be identified as such.

Identifying the sites and activities where refugees may gather such as churches, associations, markets, support groups or community centres, could provide a first entry point to their communities. These groups and people involved with refugees can also be useful key informants. A religious centre, a square or a particular location in the city where refugees meet, a market place where they preferably go, a phone centre or a money transfer place, which is the day of the week when they are likely to be free are all useful information to gather. Any potential risks to meeting refugees in these places must be understood.

Identifying these sites and 'communities' should be done prior to the JAM using existing information or interviewing staff and organisations who are knowledgeable about refugees' habits.

JAM in Lomé (Togo) 2011

Considering the wide dispersion of the refugees within the city of Lomé, the JAM team recognised that they did not have the resources to visit refugee households. Instead, refugees were gathered in specific sites, where they felt comfortable and safe:

- Health Centres usually visited by the refugees;
- Schools attended by refugee children; and
- Markets and shops used by refugees.

3. *Obtaining sensitive information*

Considering the protection and legal issues surrounding refugees and the fact that most urban refugees are engaged in the informal economy, some information sought by the JAM could be viewed as sensitive. Refugees as well as informants may be unwilling to share information, provide falsified information or even react aggressively to the question. Generally, information on income and trade are sensitive, but in an urban context and with urban refugees other information such as nationality and protection could also become sensitive. In this particular example, the refugees could fear retaliation or eviction if they do not have the right to work.

While organising interviews, discussions or other activities during the JAM, assess the risks involved in gathering refugees or in being seen with them or with informants. The JAM team should pay particular attention to the way the information is collected. Using remote access methods should be considered. People can be contacted by mobile phone and text messages to set up meeting place and time; interviews can also be conducted through mobile phone.

Use key informants, proxies and focus groups discussions rather than refugee individual interviews, especially to collect sensitive information. Sensitive information should be gathered from key informants rather than in refugee interviews to avoid:

- Embarrassing people;
- Obtaining falsified or unreliable information; and
- Generating aggression.

Another way to avoid asking sensitive questions directly to refugees is to use proxies. For example, types of activities and sources of income are good proxy indicators of the level of income. Information on income provided by the various activities and jobs in an urban centre can and should be obtained in preparation to the JAM. Focus group discussions are also a method that can be used to engage refugees on sensitive topics.

It is important to ensure that the refugees and informants participating in the JAM activities are well aware of the JAM objectives, its process, how the JAM team deals with the information and confidentiality. They should be reassured that their anonymity and security are of high concern. Information should be given in the language that is most familiar and by a person they trust to improve access to them and their willingness to share information.

Examples where focus groups and key informants have been used

JAM in Lomé (Togo) 2011

Due to the large dispersion of the refugees within the host population and the lack of information on refugees' locations, it was difficult to access refugees directly in their homes. The partners participating in the JAM collected the necessary information from the refugees through focus group discussions instead of individual interviews.

HPG research on urbanisation (Nairobi) 2011

In order to encourage a higher level of participation and frankness, all interviews were confidential and interviewees were advised there would be no attribution in this report. Only focus group discussions and key informants interviews were conducted.

4. Security

Security is a key issue to consider during an urban JAM, both for the urban refugees and for the JAM team. Security risks to the refugees and to the JAM team should be reviewed during the planning stages of a JAM. Based on this analysis, appropriate sites, times and methods should be identified to minimise risks. Remote access methods can be utilised to reduce security risks.

5. *Estimating the number of refugees*

Another key constraint in conducting JAMs in urban contexts is how to estimate numbers. If the protection space of the refugees is adequate, they will be inclined to register, especially if registration is providing them some benefits. In this case, a realistic estimation of the number of refugees can be obtained. However, if there are protection issues, it is often difficult to accurately estimate the number of refugees because they do not want to register with UNHCR.

These kinds of limits should be acknowledged in the JAM report; nevertheless it is important to triangulate different sources to get an idea of the numbers. For example, people accessing health infrastructures could be a proxy for the concentration of refugees in a given area.

6. *Capturing the diversity of an urban refugee population*

Urban centres attract refugees with various skills and from different social and economic backgrounds. Some urban refugees may have highly refined skills and sufficient economic means. Other urban refugees may have limited assets and skills and may be seeking opportunities that an urban economy can offer. All refugees will not have the same food security and nutrition needs. Their capacity to meet their food security and nutrition needs also differs dramatically.

It is imperative for the JAM team to highlight these differences in the report and use any existing data on refugee profiling in the JAM work. Even more than in a rural setting, refugees in urban areas have different levels of needs. The team should collect as much information as possible on the urban refugee profile. Different wealth /food security groups should be identified using:

- Status in the country of asylum;
- Location and the type of area they are living in;
- Assets, activities and sources of income;
- Level of wealth; and
- Social and cultural indicators.

Profiling enables identification of the neighbourhoods in which refugees are living and/or working, and provides information on the main areas of concentration of the urban refugees, i.e. the main areas to assess. Information can come from key informants or documents on the urban lay-out, urban zoning or wealth divide. NGOs, charities working with refugees or even estate agents can often provide information on areas of concentration of poverty and wealth in the city and where refugees are concentrated.

An example of profiling People of Concern

The Tufts University Internal Displacement Monitoring Centre (IDMC) conducted a profiling study on IDPs in 2008 to develop research tools to estimate the number and distribution of IDPs living in urban settings, and to gather information about their assistance and protection needs.

An IDP profile is an overview of an IDP population that shows, at a minimum:

- Number of displaced persons, disaggregated by age and sex (even if only estimates); and
- Location/s.

It is not a needs assessment but it can provide additional information on the living conditions for the IDP and non-IDP populations. It uses different quantitative and qualitative methodologies including:

- Area survey using aerial or satellite imagery;
- Flow monitoring;
- Dwelling count;
- Headcount;
- Registration;
- Census; and
- Household surveys.

Resources: IDMC/NRC and OCHA (2008) Guidance on Profiling Internally Displaced Persons.

JIPS/ACAPS (2011) Profiling and Assessment Resource Kit. www.parkdatabase.org

Urban refugees also have a great variety of income sources and expenditures. Urban centres offer a wide range of economic opportunities and trades. Urban dwellers typically have to pay to meet most of their basic needs. The range of economic activities and expenditures should be explored and documented in the JAM. The assessment check-list should include relevant questions so that the necessary information is available for analysis. Information should be sorted by category, based on the wage level, to facilitate the analysis.

Famine Early Warning System (FEWS Net) : Urban baseline, Port-au-Prince, (Haiti) 2009

This study is a useful example of how to profile urban population into wealth groups based on their main activities and using the Household Economy Approach (HEA). The assessment took place only in the city's shanty-towns, known as bidonvilles. Based on various sources of information (30 interviews with community key informants and 110 focus group interviews with representatives of households from the slums), income levels were deduced for the four wealth groups identified - very poor, poor, middle and better-off. This information was extensively used in 2010 as a baseline for the assessments conducted after the earthquake of January 2010. It provided a very useful proxy to identify the level of income and vulnerability depending on the activities conducted by the households.

http://www.fews.net/docs/Publications/ht_baseline_urban_Port%20au%20Prince_en.pdf

All refugees, whatever their level of wealth, are in need of assistance. They could face for example legal issues, stigmatisation and discrimination, family violence exacerbated by the displacement or malnutrition related to changed food habits after displacement. However, it is important to remember that the objectives of a JAM are to assess food security and nutrition needs of the refugees with an aim to provide essential support to refugees suffering from acute food insecurity and malnutrition, and this will require some prioritisation.

Various sub-groups of refugees might have different needs of assistance. For each group, the JAM should develop specific analytical questions. At an early phase of the JAM process, the team and the senior staff in charge, should identify (with a wide range of refugee groups, all living in the same urban centre) if prioritising some groups is required. Prioritising groups, based on their ability to fulfil their food and nutrition needs, is not mandatory but is advisable if resources are limited.

Targeting refugees in an urban context? The UNHCR and WFP mandates regarding host communities.

The WFP mandate does not make distinctions between food insecure people be they refugees or hosts. The UNHCR policy regarding host communities is favourable to offering assistance to vulnerable populations welcoming refugees, concurrently to the assistance to refugees. Distinctive assistance can be a source of tension between refugee and host populations, especially in urban areas where physical proximity is high, needs similar and situations interlinked.

In the context of a poor, vulnerable, urban area where refugees and hosts are mixed and both facing the same socio-economic difficulties, the JAM team should consider interventions that do not specifically target refugees.

7. Finding an adequate sample of refugees

The JAM uses mostly qualitative methods, such as interviews, to obtain primary data. However, to ensure the reliability of findings, information should be collected from a 'representative' sample of informants. It is, however, very challenging to identify a representative sample of refugees in an urban area because urban refugee population is often very diverse. Access to groups and individuals within this population varies and some groups are more visible than others (less visible traditionally are the poor living in marginalised areas). In addition, there is often a lack of data on the overall refugee numbers and characteristics of the refugees.

Mapping tools should be used, among others to identify different geographic areas where refugees are staying. The JAM team should try at least to visit all the different areas/locations in order to have a better understanding of the different situations the refugees may be experiencing.

Sites are often selected through purposive sampling. Purposive sampling targets a particular group of people. It is particularly relevant when the targeted population for an assessment is rare or very difficult to locate and recruit, as is the case for urban refugees. This method samples with a purpose; it does not aim to be representative of the overall population and the findings should not be used as such. Purposive sampling selects specific groups, geographical areas / sites in the affected area based on information collected prior to the assessment. The JAM team uses best judgement to select locations and informants according to the assessment objectives.

To complement this type of sampling, other techniques such as snowballing³ can be used to access more informants. Again, the findings from purposive sampling including snowball sampling must be interpreted cautiously as they are not representative and may be biased.

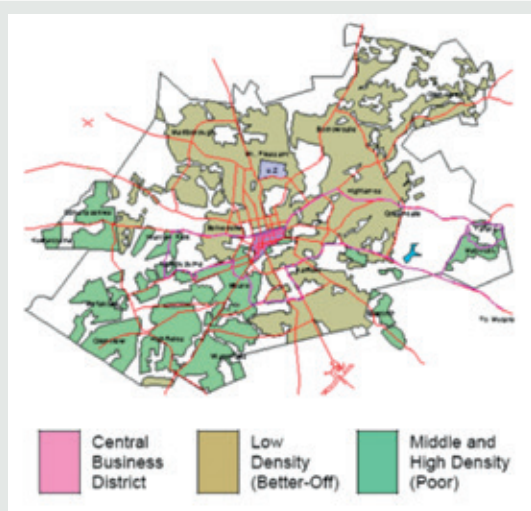
³ Households and individuals are selected according to recommendations from other informants, each informant recommends the next set of informants.

Sampling Techniques: a Few Examples

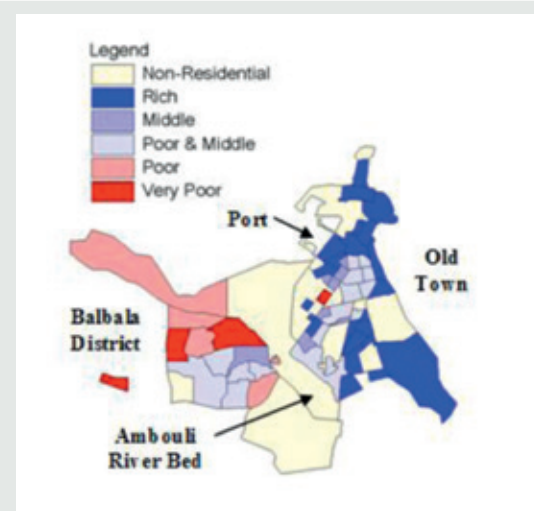
- 1) Quantitative and qualitative data provided by IDP profiling, literature review and key informant interviews indicated areas of the urban centre hosting large mixed poor populations, including IDPs. (HPG research on urbanisation (Nairobi) 2011).
- 2) The above methodology could be used to further create a sampling based on “density” of IDPs and refugees; “high density areas” would be prioritised. The survey utilised GIS and geographic waypoints in the sampling strategy; Google Earth was used to supplement map information. (Internal Displacement to Urban Areas: profiling IDPs (Tufts-IDMC) 2008).
- 3) Key informants were used to identify the areas of concentration of the refugees in Lomé. (JAM in Lomé (Togo) 2011).
- 4) Adapting the Household Economy Approach to Urban Areas:
 - In Harare - existing zoning into areas of high-, medium- and low-density housing was adopted, supplemented by further information on employment (key informants) and on rent levels throughout the city (estate agencies); and
 - In Djibouti - a combination of a preliminary mapping exercise through Key Informant interviews with arrondissement authorities was used to classify different quarters of the city according to their overall level of wealth.

Figure 1: Urban zoning based upon the wealth of different areas

Harare City and Suburbs



Djibouti City



REMEMBER:

Food access and utilisation are more critical issues than food availability. In urban centres, very few households rely on their own production, gathering, fishing or hunting, as their main sources of food. The market is the main source of food for most refugees. It is also an important source of essential non-food items such as water and fuel, which impact food utilisation and ultimately nutritional status. It is crucial to assess and analyse food access, food utilisation and markets in an urban JAM.

To fully understand food access and utilisation in the context of urban refugees you need to also understand the following key issues:

- ✓ Legal status, right to work and access to basic services;
- ✓ Urban policies, urban planning and provision of basic services to the population; and
- ✓ Risks and shocks: Health, nutrition, protection and natural factors.

1.4 REFERENCE DOCUMENTS

UNHCR POLICY, 'REFUGEE PROTECTION AND SOLUTIONS IN URBAN AREAS', 2009.

This policy document replaces the UNHCR's policy 'Refugees in urban areas' (1997), taking into account the dramatic changes which occurred in urbanisation over the past 15 years.

<http://www.unhcr.org/refworld/docid/4ab8e7f2.html>

FORCED MIGRATION REVIEW (FMR) 34 'ADAPTING TO URBAN DISPLACEMENT', FEBRUARY 2010.

This issue of FMR includes 26 articles on urban displacement by a wide range of authors – practitioners, policymakers and researchers. It also includes 13 articles on other aspects of forced migration, including a 'spotlight' on Haiti after the earthquake.

<http://www.fmreview.org/urban-displacement/>

WFP TECHNICAL GUIDANCE SHEET 'URBAN FOOD SECURITY AND NUTRITION ASSESSMENTS', 2008.

Guidance for addressing substantive and methodological issues associated with conducting food and nutrition security assessments in urban areas.

<http://www.wfp.org/content/technical-guidance-sheet-urban-food-security-nutrition>

THE PRACTITIONERS GUIDE TO THE HOUSEHOLD ECONOMY APPROACH (HEA) – URBAN (MODULE 6) 2008

The HEA Framework was developed by Food Economy Group (FEG) and Save the Children UK. Over the past several years FEG, Save the Children UK and HEA practitioners have expanded the use of the HEA and developed a user friendly guide to assist HEA practitioners, field staff and program planners. Chapter 6 of this guide discusses adaptations of the HEA to consider issues such as urban livelihoods.

<http://www.savethechildren.org.uk/resources/online-library/practitioners%E2%80%99-guide-household-economy-approach>

ACTION CONTRE LA FAIM (ACF) 'IDENTIFICATION OF VULNERABLE PEOPLE IN URBAN ENVIRONMENTS', 2010.

This guide provides information on how to identify vulnerable people in urban environments. It is designed for use by field practitioners, and was conceived in response to the proliferation of food crises in urban environments.

http://www.actionagainsthunger.org/sites/default/files/publications/2010_acf_identification_of_vulnerable_people_in_urban_environments_guideline_en.pdf

WOMEN'S REFUGEE COMMISSION 'DAWN IN THE CITY - GUIDANCE FOR ACHIEVING URBAN REFUGEE SELF-RELIANCE' AND THE 'HOW TO GUIDE', OCTOBER 2011.

This guidance document aims to help improve the understanding of the reality faced by urban refugees. It highlights the livelihood and protection challenges as well as potential opportunities for urban refugees.

http://www.womensrefugeecommission.org/resources/doc_download/782-dawn-in-the-city-guidance-for-achieving-self-reliance-for-urban-refugees

A framework accompanies this guidance document which outlines how to address urban poverty and increase refugee's self-reliance through a graduated approach.

http://www.womensrefugeecommission.org/resources/doc_download/783-framework-for-urban-refugee-self-reliance-a-how-to-guide

JOINT ASSESSMENT MISSIONS – TECHNICAL GUIDANCE SHEET NO. 2 – MARKET ANALYSIS IN A JAM

Markets are physical and virtual places of exchange of goods and services. They are essential to ensure a population has access to goods, services and incomes.

Markets have an important role in ensuring food security and nutrition of refugees. Markets can provide a diverse array of food and non-food items and provide income.

Interventions at local, national and global levels can influence markets positively and negatively.

Changes and trends in the markets at global level can influence the food security and nutrition of refugees.

This Technical Guidance Sheet (TGS) provides guidance on how to collect and analyse market information in the context of a JAM. It also provides references to other related materials. This TGS is written for use by JAM team members in urban, rural and camp settings.

For additional technical support on market issues in a JAM, contact UNHCR and WFP regional offices, UNHCR HQ Division of Programme Support and Management and WFP HQ VAM Unit.

2.1 WHEN TO COLLECT MARKET INFORMATION?

Most information on markets should be collected during the secondary data collection phase of the JAM. If important market information is unavailable, an in-depth market assessment should be planned and conducted prior to the JAM field visit. The WFP, NGOs and other partner agencies have developed specific skills in conducting market assessments.

The JAM field visit should be used to gain an understanding of the importance and role that markets have on refugee food security and nutrition.

2.2 MARKETS AND REFUGEES

"A market-system is the entire web of people, businesses, structures and rules that take part in producing, trading and consuming any product or service. The market system determines how a product or service is accessed, produced, exchanged and made available to different people".⁴

A 'market' can be a physical place where a single product is exchanged (e.g. cattle), a place where many goods are exchanged or somewhere that goods and services are exchanged.

A 'market' can also be virtual. A virtual market refers to the mass exchange of a particular good or service (e.g. the labour or rice markets) at regional, national and global levels even if there is not an evident physical market place.

Both physical and virtual markets influence the food security and the nutrition situation of all households. Households are dependent on markets for selling and purchasing food, livestock, agricultural inputs and other essential goods. Households also sell and buy services (e.g. labour, housing). These market transactions affect a households' income and expenditures and thus their access to goods and services which ultimately impact on their food security and nutritional status.

Markets similarly affect refugee households and therefore it is imperative to look at markets in order to have a full understanding of their food security situation.

Refugees typically engage in the following markets:

- Physical markets to access food (e.g. cereal, pulses, oil, sugar, fresh foods) and non-food items (e.g. soap, water, fuel, clothes);
- Labour markets to exchange skilled and unskilled, daily and seasonal labour;
- Housing markets to obtain housing for rental and purchase;
- Services markets to utilise or offer e.g. transport, education, health services, waste disposal;
- Credit markets to exchange debts and savings; and
- Assets markets to exchange e.g. livestock, gold, tools, household goods.

Refugees' access to markets can be challenging for a variety of reasons, including:

- Lack of money to buy items available on the market;
- Lack of goods to sell, skills to offer in the labour market;
- Lack of guarantee/assets to access the credit market;
- Legal barriers to enter the market (no right to work or to trade);
- Physical constraints such as restrictions of movement and security; and
- Social constraints such as discrimination and stigmatisation.

WFP, UNHCR and other agencies, are increasingly implementing market-related interventions to improve refugee food security and nutrition. Cash and voucher programmes are popular options to replace direct food aid delivery. Likewise, agencies are increasing the local purchase of food and supplies to support local actors and stimulate local markets.

2.3 HOW TO INCORPORATE (SOME) MARKET ANALYSIS IN A JAM

The objectives of a JAM are to assess the food security and the nutrition needs of refugees and to recommend appropriate interventions. In addition to other issues, market analysis may be included as an objective or sub-objective of the JAM. However, given the scope of the JAM and the limited time frame, it is recommended that the market analysis focus on two main issues:

- 1. Functionality of the markets.** Are the markets functioning? How are markets functioning? Are the current interventions having an impact on the markets? How would the recommended interventions impact the markets?
- 2. Refugee access to markets.** Are the refugees accessing the markets? What are the main constraints in accessing the markets for the different groups of refugees (physical and financial)? What benefits could the markets bring to the refugee food security and nutrition situation? How is a refugee settlement/camp in a given area affecting/modifying market functioning?

2.4 WHICH MARKETS TO ASSESS?

To assess the above questions on markets in a JAM, the JAM team should focus on the market systems that play a major role in the food security and nutrition of the refugees. The markets of interest for each JAM are context-specific. During the planning phase of the JAM, it is necessary to identify which particular market aspect should be assessed in order to organise the secondary data collection and the field visit.

1. Determine which goods and services are important for the refugees

Goods and services exchanged will be different for example between refugees living in a camp and refugees living in an urban centre.

To identify which goods and services are exchanged by the refugees and thus which markets to assess in a given JAM, information on the main expenditures and sources of income of refugees should be reviewed. *This information can often be found in previous JAM reports or in other food security assessments such as an Emergency Food Security Assessment (EFSA).*

2. Determine which are the main market places the refugees engage (or could engage) with.

The choice of market places for refugees is often limited due to transport costs, road conditions and infrastructure, trade restrictions, trader networks, population density, language, social environment etc. Marketplaces may be different for each commodity and services.

This information could be obtained through previous reports and assessments and by consulting the organisations and staff working closely with the refugees.

2.5 MARKET FUNCTION

Analysis of how markets function can help to identify the potential opportunities (and constraints) for refugee access.

Key indicators to consider when reviewing market function include:

- Flow (volume of exchanges);
- Seasonality;
- Shocks and trends;
- Institutional influences; and
- External influences.

Key questions/issues to consider when reviewing market function:

Are the key goods and services needed by the refugees available? Are the markets to buy and/or sell these goods and services essential to the refugees' existence?

The goods and services available on the market will indicate if the refugees will have the opportunity to buy or to sell them. Availability of goods on the market is also an indicator of refugees' needs and preferences. Availability could evolve during the year (seasonality and under the impact of shocks and policies).

Are the volumes exchanged sufficient to fulfil the market catchment area demand?

Market catchments refer to the informal boundaries where market forces naturally limit the movement of a commodity. These areas are often functions of transaction costs, roads and infrastructure, international or sub-national borders and trade restrictions, trader networks, agricultural calendars, population density, language, etc. Market catchments may be different for each commodity and type of actor in the supply chain.

The volume exchanged (flow) will indicate:

- If the market is dynamic enough to provide what the population needs at a reasonable price all year around; and
- If it plays an important role in the food security and nutrition of the populations in the area.

What are the constraints to reach an adequate volume and availability?

Understanding constraints will allow an evaluation of how markets will adjust to changes due to the refugee influx, a crisis or an intervention. It will also indicate the level of flexibility of the market and potentially which action should be taken.

Constraints can include transport and infrastructure, global availability, trader number and capacities, buyer capacity, policies and regulations (institutional and external influences).

Remember, local markets are influenced by other markets.

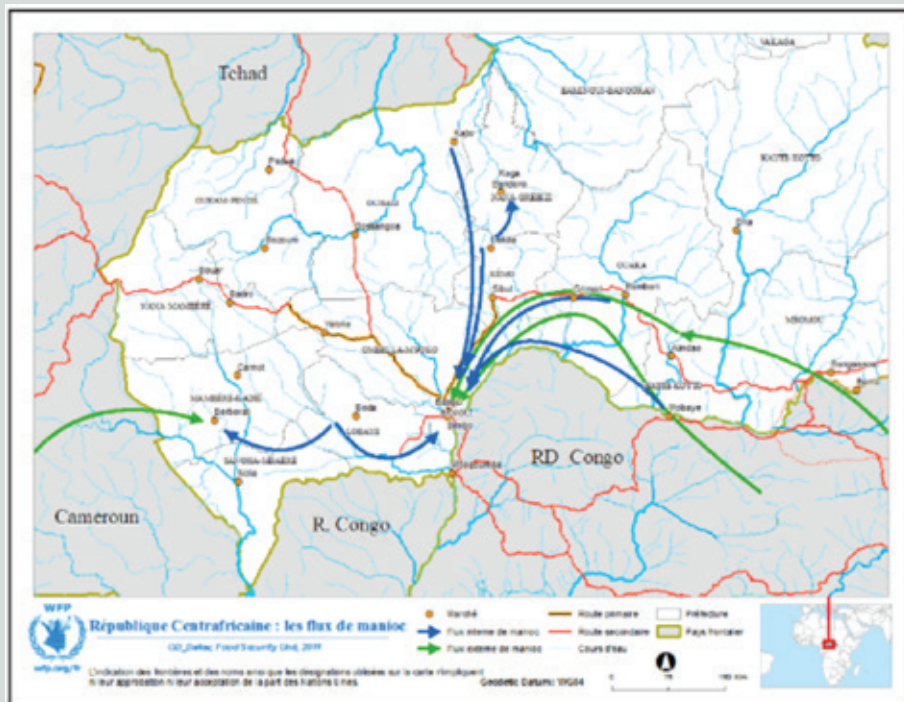
To what degree are markets integrated?

Market integration is a measure of the degree to which markets in different geographical areas are connected to each other based on prices and flux indicators. When markets are integrated, critical goods and services will flow more easily, volumes and prices will follow the same trends. When markets are fragmented, in contrast, it is difficult or expensive to move goods, and prices vary widely between locations and seasons. Markets can be integrated across borders. They are not necessarily integrated at local and national levels (for example if a road is cut).

Understanding the market flux and the market integration

During secondary data collection and review it is recommended that relevant markets for the refugee population are clearly identified and to what degree they are influenced by or integrated with other markets.

Maps representing the market flow (especially for goods and sometime labour) are usually available from the main market monitoring sources. They can help to identify potential influences and shocks.



As an example, in a refugee context it may be useful to understand where commodities come from and if they are accessible to refugees that in many places have limited mobility. In many cases it is important to know where labour is available (i.e. plantations, farms) as these are areas where refugees may be willing to move / have moved to have access to the labour market.

2.6 REFUGEES' ACCESS TO MARKETS

Goods and services might be exchanged on markets and markets may be functioning; however, the key constraint of refugees is often their access to markets, goods, and services (as buyers and sellers).

Key indicators to consider include:

- Prices;
- Seasonality;
- Terms of trade;
- Purchasing power;
- Shocks and trends;
- Participation in the markets (age, gender, diversity);
- Political economy;
- Policy restrictions; and
- Institutions.

Understanding the constraints to market access will facilitate analysis of how markets influence refugee food security and nutrition and which interventions would be appropriate.

The refugees are both buyers and sellers. They can be engaged in many different markets (e.g. food, labour, housing, credit).

As a buyer, constraints include:

- Physical access (transport, roads, security);
- Financial access, purchasing power, level of expenditure and prices;
- Age, gender and diversity dimensions; and
- Legal status and protection issues.

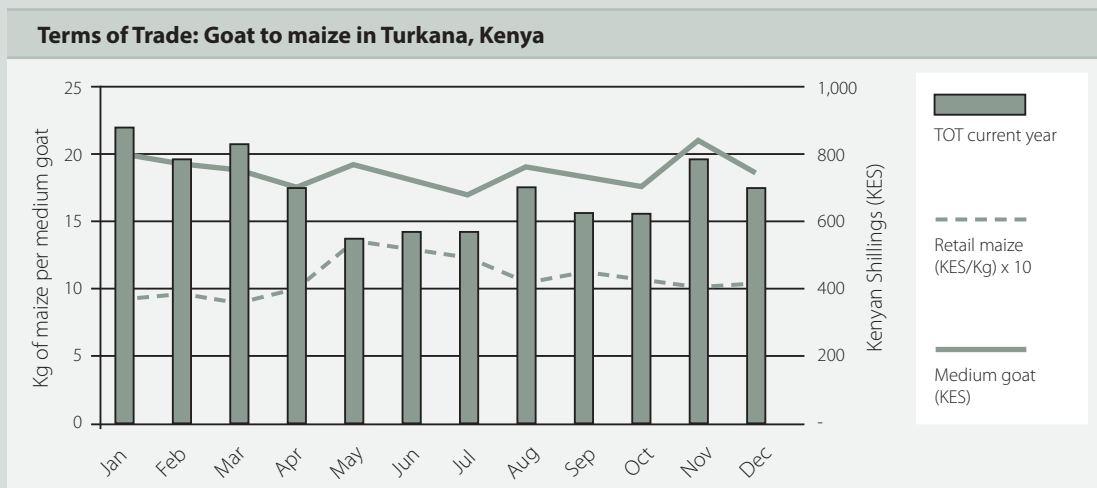
As a seller, constraints include:

- Physical and legal ability to sell goods and services (especially labour);
- Terms of trade (see box below) and prices ;
- Barriers to enter and to exit (physical, financial, legal);
- Risks of exploitation (taxes and racket);
- Power dynamics ;
- Age, gender and diversity dimensions; and
- Laws and regulations.

Terms of trade

The terms of trade (ToT) is a key indicator to understand purchasing power. It is a measure of the relative value of one commodity to another and thus a measure of the exchange value of the good or service to be traded (e.g. daily wage/rice, goat/bag of maize meal, cattle/seeds and fertiliser etc.)

In the example below, the graph shows how much maize a livestock trader could get for a goat over time. While in January a goat would be exchanged for over 20 kg of maize, while in May it would be exchanged for less than 15kg, indicating deterioration in the terms of trade for pastoralists.



The terms of trade indicate how much a seller could get for its sale in practical terms. It is often more relevant to food security analysis than prices alone. In a refugee context, it may be relevant to look at terms of trade, for example how much rice a refugee can get with a one day's wage? Does this change during the year? These elements would help the JAM team understand what the purchasing power of refugees is like and how it changes over time during the year.

2.7 HOW TO ACCESS THE NECESSARY MARKET INFORMATION

Secondary data collection

Most of the market information needed for a JAM can be found by reviewing secondary data. During the JAM field visit it will only be necessary to triangulate such information and verify if it is still reflecting the reality on the ground.

Market monitoring is conducted in most countries in the world and usually includes the following information:

- Staple food and basic non-food items prices on the main markets;
- Consumer price index or inflation;
- Staple food flux mapping; and
- Basic food production and trade data.

Sources for market monitoring data include:

- WFP VAM Food and Commodity Prices Data Store <http://foodprices.vam.wfp.org/>
- Fews Net <http://www.fews.net/pages/markettrade.aspx?loc=3&l=en>
- National statistical institutes or government ministries
- FAO GIEWS food price data and analysis tool <http://www.fao.org/giews/pricetool2/>

Information on local regulation of the markets (prices, taxes and others) is also usually available from the relevant governmental or regional organisations.

For more complex information on the specific markets and market function, the most likely sources of information will be market assessments conducted by governmental and non-governmental organisations, such as WFP market assessments.

- WFP market assessments
<http://www.wfp.org/food-security/assessments/market-assessments-bulletins>

Primary information collection

The field visit should be limited to filling essential information gaps and triangulating information. Potential issues to further investigate during the field visit and the method for investigating are outlined below.

Key issues to assess	Source and method
Which markets?	
Goods and services bought or sold by the refugees	Observation, key informants, focus group discussions
Market places used by the refugees and the host population	Observation, key informants, focus group discussions
Are the markets functioning?	
Types of goods and services on sale	Observation, key informants
Level of activity - Volumes and movements	Secondary information , key informants
Market integration	Secondary information
Actors and how markets are functioning	Secondary information, observation, key informants
Challenges	Secondary information, observation, key informants
Perception of market function	Focus group discussions
Recent changes and trends	Secondary information
Do the refugees have access to the markets?	
Prices	Secondary information, observation
Opportunities and constraints	Secondary information, observation, key informants, focus group discussions
Role and activities in the market	Key informants, focus group discussions

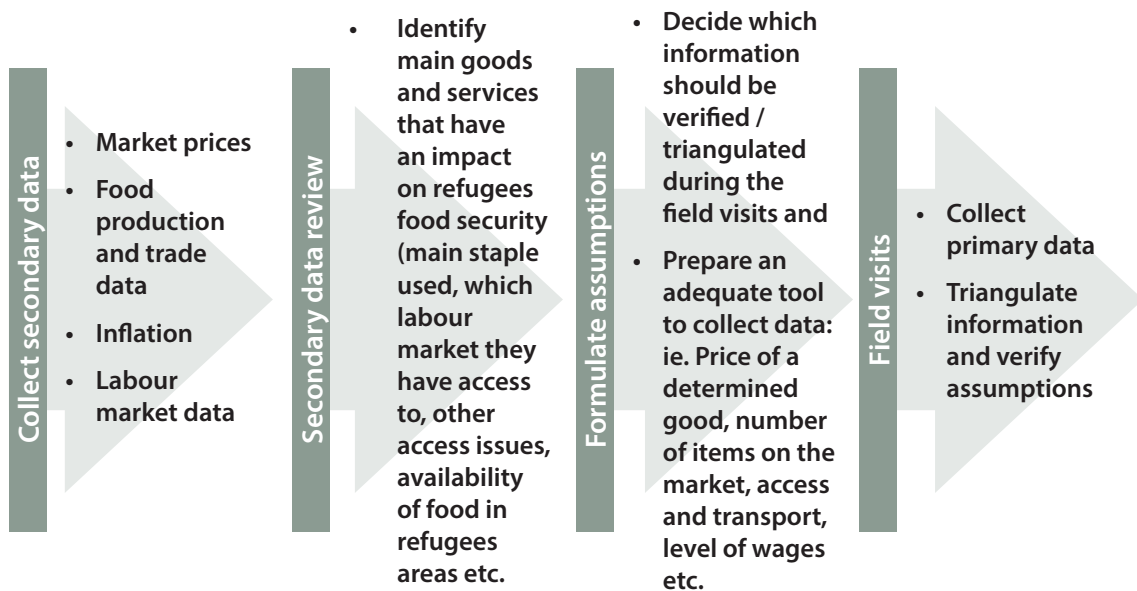
Note: Some information is more reliable than others. Most of the markets and exchanges in developing and middle income countries are informal. It can be difficult to access some information or to gain reliable information especially on the volume of the flux, which are often taxed.

Tips

- ✓ Seek advice on when is the best time to visit the market (e.g. market days, busiest time of the day);
- ✓ Respect the time limits of the informants; sellers and buyers are often very busy;
- ✓ Go to markets prepared with a map and calendar. It could ease the conversation and help to gain more precise information;
- ✓ Some information can be very sensitive (e.g. incomes, formal and informal regulations); and
- ✓ Stay open and be respectful.

Process of data collection and review

The following diagram outlines the process from secondary data collection to the field visit with the market data collection and analysis activities associated with each step.



2.8 REFERENCE DOCUMENTS

MARKET ANALYSIS FRAMEWORK - TOOLS AND APPLICATIONS FOR FOOD SECURITY ANALYSIS AND DECISION-MAKING (WFP DEC. 2011)

The Market Analysis Framework (MAF) provides an overview of various market analysis tools, including what purpose(s) they serve, how they are related, and where to find the technical details on each of them. This guidance can help you to: understand the links between market and food security analysis – prioritise market information needs for food security analysis and response planning – and select the appropriate tool according to the context, objectives and information requirements.

<http://www.wfp.org/content/market-analysis-framework-tools-applications-food-security-analysis-december-2011>

THE EMERGENCY MARKET MAPPING AND ANALYSIS TOOL KIT

EMMA is a guidance manual for relief agencies needing to understand market-systems in disaster zones. It enables smarter use of local economic capabilities, to improve humanitarian responses. The website above provides EMMA users with access to documents, reports and technical advice.

<http://emma-toolkit.org/>

JOINT ASSESSMENT MISSIONS – TECHNICAL GUIDANCE SHEET NO. 3 – PROTECTION

“Protection encompasses all activities aimed at obtaining full respect for the rights of the individual in accordance with the letter and the spirit of the relevant bodies of law (human rights, humanitarian and refugee law), without discrimination of any kind.”

Irrespective of their mandates, both UNHCR and WFP contribute to protection by designing and carrying out food security and nutrition activities that do not increase the protection risks faced by the crisis-affected populations receiving assistance, but contribute to the safety, dignity and integrity of vulnerable people.

Encompassing protection in a JAM means:

- Respecting protection principles in the assessment;
- Identifying the linkages between food security, nutrition, well-being and the rights of refugees; and
- Assessing how food security, well-being and refugee rights influence each other in order to inform an appropriate programming response.

Food security and nutrition responses recommended by the JAM should not lead to the violation of rights or ‘doing harm’ to refugees. In fact, they should go beyond “doing no harm” and actually improve refugees well-being.

Additionally, suggested food security and nutrition responses should be viewed through an Age, Gender and Diversity (AGD) lens (see note below) in order to identify potential protection gaps.

Note: Diversity refers to ethnic background, nationality, sexual orientation, gender identity, ability, health, social status, skill and other specific personal characteristics. While the age and gender dimensions are present in everyone, other characteristics vary from person to person. Age, gender and diversity differences must be recognized, understood and valued in each specific context and operation in order to ensure protection for all people.

This Technical Guidance Sheet (TGS) provides essential guidance to assess the interlinked relationships between food security, nutrition and protection during the JAM. It helps to identify protection issues that may trigger food insecurity, and also food security issues that may create protection risks. The guidance here is applicable to all settings of displacement: camps, settlements, urban and rural environments as well as host communities.

References to other materials are provided at the end of the document. Additional support is also available from the UNHCR and WFP regional offices, UNHCR HQ (Division of Programme Support and Management and the Division of International Protection), and WFP HQ VAM Unit.

3.1 FOOD SECURITY, NUTRITION AND PROTECTION

The relationship between food security, nutrition and protection of refugees is closely interlinked and looking at one in the absence of the other would provide an incomplete assessment. During displacement, the whole food security chain – production, procurement, preparation, allocation and consumption of food – may be disrupted and protection risks may be linked to any of these steps.⁵ Hunger causes and exacerbates existing protection risks. On the other hand people's access to food is affected by the protection risks they are confronted with. Vulnerability to food insecurity is therefore also often linked with vulnerability to protection risks. The most food insecure people are frequently the most vulnerable to family separation, gender-based violence, forced displacement, physical attack and many other protection risks. Thus, food and related assistance does not only save lives, it also has the potential to increase protection for refugees and reduce protection gaps. At the same time, the overall protection environment influences food security or the lack thereof.

Food insecurity might lead to the following protection gaps (this list is non-exhaustive):

Exploitation and abuse of power

- Engagement in survival sex, including the exchange of sex for food or the means to obtain it. This can be a particular risk for single mothers with children, child headed households, unaccompanied and separated children and adolescents, both girls and boys;
- Participation in hazardous and exploitative forms of labour in order to purchase food;
- Increased household tensions and domestic violence when not enough food is available;
- Unequal distribution of food within the household - in some contexts girls, children, women, older persons or persons with disabilities might receive less food than others; and
- Child labour and children being withdrawn from school to help provide food are greater risks for separated families.

5 Pejic, Jelena, The Right to Food in Situations of Armed Conflict: The Legal Framework, in IRRC, December 2001, Vol. 83, No. 844, pp. 1097-1109.

Provision of assistance might affect physical safety and food security

- Lack of access to information about the food distribution and entitlements limiting the capacity of the refugees to effectively address abuse of power by individuals involved in the distribution process, such as under-scooping (the process whereby recipients of food assistance receive less than they are entitled to in food distributions);
- Theft and looting – refugees may be at risk of theft and looting by armed groups after receiving food assistance;
- The location of distribution centres and the distance from places of residence may cause certain groups to be at risk, in particular those with mobility challenges; and
- Tension with host community – tensions between the host community and displaced populations may affect the food security and nutrition of the displaced population.

Protection gaps might increase food insecurity through (including but not limited to):

- Restrictions on movements – movement restrictions on refugees may limit their physical access to e.g. resources, markets, assistance or services thus decreasing ability to source food and meet nutritional needs;
- Restrictions on employment – employment restrictions may decrease refugees' ability to access food and meet their nutritional needs;
- Disruption of community cohesion – displacement often causes disruption of community structures and solidarity networks and often results in a decrease in coping mechanisms available to refugees to mitigate the impact of food insecurity; and
- Discrimination may also limit access to food and impact nutritional status. Groups often discriminated against include persons with disabilities; older persons; LGBTI⁶ individuals; survivors of Sexual and Gender-based Violence (SGBV) and HIV; persons engaged in survival sex; persons belonging to national, ethnic, religious and linguistic minorities; or indigenous groups. Particularly SGBV can cause additional problems beyond discrimination, such as physical and/or mental health problems that can constitute problems for people continuing with their livelihoods activities.

6 LGBTI stands for Lesbian, Gay, Bisexual, Transgender and Intersex persons.

3.2 RECOMMENDED GOOD PRACTICE TO ENSURE PROTECTION IS INTEGRATED IN A JAM

In a JAM, food security and nutrition issues should be viewed as both potential causes and consequences of protection gaps. To ensure that protection is integrated into the JAM, consider the following best practices.

- Include a protection officer as part of the JAM team. This is one way to ensure that protection is adequately considered in all aspects of the JAM;
- A protection analysis should be incorporated in all JAMs. A protection analysis should only be undertaken by a trained protection officer and is conducted by:
 - Analysing background protection information provided by UNHCR and its partners on the overall protection situation of the displaced population. This includes information from Focus and protection reports, and the report of the annual Participatory Assessment;
 - Speaking to the protection staff in the UNHCR and WFP offices to obtain specific information on protection and food security, and tips on how to approach these issues during primary data collection; and
 - Applying a participatory, AGD approach and speaking to refugees about protection gaps and food security.
- Identify relevant protection information for collection. JAM teams should identify and analyse the following information to enable solid protection analysis.
 - Protection gaps that may cause food insecurity;
 - Protection gaps that are caused by food and nutrition insecurity;
 - Protection gaps that are caused by the delivery of food and related assistance; and
 - Ways to increase the protective impact of food security and nutrition programming.
- Access relevant secondary information. Dedicated protection assessment will in most situations be absent, however assessments which contain protection information include, UNHCR's Annual Participatory Assessment, protection incident monitoring systems, heightened risk assessment tools and legal reviews;

- Ensure protection-related questions are incorporated into field visit checklists. Specific protection-related questions to consider for a JAM are outlined in the JAM Practical Guide, Chapter 4.8, 'Questions asked and information typically collected in a JAM'. Protection related questions are frequently of a sensitive nature and conversations with refugees regarding this should always be led by trained protection officers;
- Consider AGD⁷. It is important to identify groups with specific needs that may face difficulties in accessing or utilising food. To appropriately analyse this, sex, age and diversity disaggregated data are required. The following groups may require special consideration to determine their vulnerability, but vulnerability may also apply to other groups not mentioned here:
 - Children under 5;
 - Unaccompanied and separated children and adolescents;
 - Child brides and mothers;
 - Older men and women;
 - Pregnant and lactating women;
 - People with disabilities;
 - Persons engaged in survival sex;
 - New arrivals;
 - Persons with mental health and psychosocial needs;
 - LGBTI persons; and
 - Members of ethnic minorities and indigenous groups.
- Collect information on the surrounding communities as well as the refugees. A JAM may have to collect information about the surrounding communities as well, depending on the tensions that exist between them and the displaced population, to ensure that a comprehensive protection analysis is possible; and
- Identify immediate protection gaps, report and follow up. Ensure that all JAM team members are aware of whom to report protection issues to and the follow-up and

⁷ Through the systematic application of an Age, Gender and Diversity (AGD) approach in its operations worldwide, UNHCR seeks to ensure that all persons of concern enjoy their rights on equal footing and are able to participate fully in the decisions that affect their lives and the lives of their family members and communities. UN High Commissioner for Refugees, *Age, Gender and Diversity Policy*, 8 June 2011, available at: <http://www.unhcr.org/refworld/docid/4def34f6887.html>

feedback process (this information is useful to include in the JAM team training and preparation sessions before the field visit, **see JAM Practical Guide section 3.3.4, page 45** for more detail). Detected cases that need immediate response should be reported immediately. Urgent cases include those involving children, requiring medical care or legal assistance and counselling. Examples include cases of food-related sexual exploitation, abuse and corruption. Information should be reported to a protection focal point; contact details should be available in the local UNHCR and WFP offices. Always follow up to make sure the information reaches the appropriate person.

3.3 REFERENCE DOCUMENTS

AGE, GENDER AND DIVERSITY POLICY, UNHCR (JUNE 2011)

Through the systematic application of an Age, Gender and Diversity (AGD) approach in its operations worldwide, UNHCR seeks to ensure that all persons of concern enjoy their rights on an equal footing and are able to participate fully in the decisions that affect their lives and the lives of their family members and communities.

<http://www.unhcr.org/4e7757449.html>

UNHCR TOOL FOR PARTICIPATORY ASSESSMENT IN OPERATIONS, UNHCR (MAY 2006)

<http://www.unhcr.org/refworld/docid/462df4232.html>

WFP PROTECTION POLICY, WFP (FEBRUARY 2012)

<http://documents.wfp.org/stellent/groups/public/documents/eb/wfpdoc061670.pdf>

THE SPHERE HANDBOOK (2011)

The Sphere Handbook, Humanitarian Charter and Minimum Standards in Humanitarian Response, is one of the most widely known and internationally recognised sets of common principles and universal minimum standards in life-saving areas of humanitarian response. The new version has a specific chapter on Protection principles.

<http://www.sphereproject.org/handbook/>

UNHCR HANDBOOK FOR THE PROTECTION OF WOMEN AND GIRLS, UNHCR
(JANUARY 2008)

Women displaced by conflict or natural disaster adopt new strategies to provide for themselves and their families. These new strategies often place them at risk of gender-based violence. This guidance is based on promising practices on how to design safe economic programmes and livelihood activities.

<http://www.unhcr.org/refworld/docid/47cfc2962.html>

PREVENTING GENDER-BASED VIOLENCE, BUILDING LIVELIHOODS, WOMEN'S REFUGEE COMMISSION (DECEMBER 2011)

<http://www.womensrefugeecommission.org/search?q=preventing+gender+based+violence>

See also e-learning tool:

<http://www.womensrefugeecommission.org/elearning/portal/courses/2-preventing-gender-based-violence,-building-livelihoods>

ACTION AGAINST SEXUAL AND GENDER-BASED VIOLENCE: AN UPDATED STRATEGY, UNHCR (JUNE 2011)

<http://www.refworld.org/docid/4e01ffeb2.html>

A FRAMEWORK FOR THE PROTECTION OF CHILDREN, UNHCR (26 JUNE 2012)

<http://www.unhcr.org/refworld/docid/4fe875682.html>

WORKING WITH PERSONS WITH DISABILITIES IN FORCED DISPLACEMENT, UNHCR (2011)

<http://www.unhcr.org/refworld/docid/4e6072b22.html>

WORKING WITH LESBIAN, GAY, BISEXUAL, TRANSGENDER & INTERSEX PERSONS IN FORCED DISPLACEMENT, UNHCR (2011)

<http://www.unhcr.org/refworld/docid/4e6073972.html>

WORKING WITH NATIONAL OR ETHNIC, RELIGIOUS AND LINGUISTIC MINORITIES AND INDIGENOUS PEOPLES IN FORCED DISPLACEMENT, UNHCR (2011)

<http://www.unhcr.org/refworld/docid/4ee72a2a2.html>

WORKING WITH MEN AND BOY SURVIVORS OF SEXUAL AND GENDER-BASED VIOLENCE IN FORCED DISPLACEMENT, UNHCR (JULY 2012)

<http://www.unhcr.org/refworld/docid/5006aa262.html>

JOINT ASSESSMENT MISSIONS – TECHNICAL GUIDANCE SHEET NO. 4 – TRANSFER MODALITIES

One of the main objectives of a JAM is to provide recommendations for food and food-related assistance, and if possible to indicate the most appropriate transfer modality.

In the past 10 years, several new tools, including cash and voucher-based transfers have been introduced into the food security programming toolkit to enhance the effectiveness of the response. While in-kind food aid is well known to practitioners, cash and voucher-based transfers, and opportunities arising from their use, need to be brought to the attention of the JAM teams.

In certain situations, cash and voucher-based interventions have a greater potential to improve the quality of food security interventions for refugee caseloads .

Where markets are functioning, the appropriateness and feasibility of cash-based interventions should be systematically assessed. The selection of one or a combination of transfer modalities (either in-kind, cash or voucher) should:

- Be cost-effective, efficient and appropriate;
- Restore refugee dignity;
- Support local markets and economic recovery;
- Offer flexibility in delivery and use and improving access to food; and
- Allow access to a wider diversity of food.

This Technical Guidance Sheet (TGS) reviews the use of cash and vouchers for the purpose of food assistance, acknowledging that they are commonly used for broader purposes in UNHCR operations⁸. It provides information on the various types of transfer modalities and basic guidance on how to decide the appropriate one/s for a given situation. It is intended to raise awareness of teams conducting JAMs about different transfer options for the provision of food and related assistance to refugees. In-depth assessments by technical experts are required to make a final recommendation on their use.

References to other materials are provided at the end of the document. Additional support is also available from the UNHCR and WFP regional offices, UNHCR HQ Division of Programme Support and Management and WFP HQ VAM Unit.

8 Introduction to cash-based interventions in UNHCR operations, UNHCR 2012.

4.1 TRANSFER MODALITIES

There are three core transfer modalities for food and other assistance (in-kind aid, cash and vouchers, see details below) and these modalities can be combined in multiple ways. The rationale for the choice of a transfer modality must be clearly outlined and consistent with:

- Needs identified through food security and market analysis;
- Macro risk analysis;
- Government policies;
- Sectorial capacities;
- Prevailing protection environment; and
- Cost-efficiency and effectiveness.

Core transfer modalities

1. *In-kind aid (food in the case of food assistance)*

In-kind items are distributed directly to beneficiaries. In the case of food this can be in the form of take-home rations or ready-to-eat-meals. The food items included in the food basket and the quantities are determined according to needs and food preferences of the target population. Food can be distributed to a whole population (general food distribution) or to specific groups depending on their specific needs (targeted food distribution). The food basket can vary among groups based on their specific nutritional needs.

2. *Cash*

Cash is distributed directly to persons or households, through a cash account or given to them immediately. There are several distribution modalities that can be chosen for cash distribution based on sectorial capacity, available services, and the needs of the population (see table below). Beneficiaries then meet their own needs through the market.

3. *Voucher*

A voucher is a paper, token or electronic card which can be exchanged for goods or services. They are redeemable with selected vendors or in specific fairs. Vouchers have a pre-determined value. This value could be expressed in a monetary value (cash-based voucher). Vouchers are then exchanged for a, specified or not, set of goods for the equivalent cash value of the voucher. Or the value could be expressed in quantities of goods (commodity-based voucher). Vouchers are then exchanged for fixed quantities of specified goods.

Vouchers can be paper vouchers or E-vouchers. A wide variety of delivery mechanisms can be chosen to support any particular distribution model, based on the needs of population, available services and on sectorial capacity.

The different distribution mechanisms for cash and vouchers

Distribution mechanisms	Description
"Cash in envelope" or direct cash payment	Cash handed out directly to beneficiaries by the implementing agency.
Paper voucher	Paper token that is handed out directly to the beneficiary and is cashed out in designated outlets.
Delivery through micro finance institutions and trader networks	Cash delivered to final beneficiary through a formal or informal institution that acts as a "middle man".
Bank account	Personal bank accounts or sub-bank accounts that are used to deposit cash grants. Requires formal ID and often formal residence.
Pre-paid card	Plastic card usable in ATMs, used for cash grants and E-vouchers. Requires network connection.
Smart card	Plastic card with a chip, valid in point of sale devices, used for cash grants and store purchases through E-vouchers. Does not require network connection.
Mobile money	Text message code that can be cashed out in outlets, used for cash grants and E-vouchers. Requires network connection.
Mobile voucher	Text message E-voucher code used at shops. Requires network connection.

Conditionality

In-kind, cash, and vouchers transfers can be either conditional or unconditional.

Unconditional transfers	A direct grant with no conditions or work requirements. No requirement to repay any money, and people are entitled to use the money/vouchers however they wish.
Conditional transfers	A condition is attached as to how the money/voucher is spent or goods are used, e.g. for reconstruction of a shelter or waiver of payment for school fees; or money/voucher is received after a condition is fulfilled, e.g. children enrolled at school. Cash/Food for Work, where payment (food, cash or vouchers) is provided as a wage for work, usually in public or community programmes, is a form of conditional transfer.

Applying conditionality means that specific conditions will be imposed on the recipients. By imposing conditions, the food assistance programme aims to:

- Fulfill more than one objective within the same unique food assistance intervention; and
- Ensure that the food assistance is used for its primary objective.

The types of conditions vary and can be applied before, during or after the distribution of assistance, such as:

- Participation in work (food or cash for work);
- Participation in training (food or cash for training);
- Behaviour-change (e.g. school enrolment, pre- and post-natal consultations); and
- Specific use of the assistance (e.g. purchasing food if cash is provided).

In the case of food assistance, the transfer should be always used on purchase of food. If the objective of the cash transfer is multiple, e.g. to improve basic living conditions (including access to food), an unconditional cash grant is likely to be the best option given the multiple degrees of different needs among the refugees. Unconditional cash transfers make no demands on recipients and assume that the recipients will use the assistance efficiently addressing the most acute needs of their household depending on their specific situation, other resources and own priorities.

Advantages and disadvantages of the three core transfer modalities

The box below outlines some the advantages and disadvantages of the three core transfer modalities in the case of food assistance.

Modality	Advantages	Disadvantages
In-kind food	<p>Immediate relief of food needs.</p> <p>Control on goods specifications and quantities distributed.</p>	<p>Is not giving any choice to refugees on the food assistance, except to consume, to exchange or to sell it.</p> <p>Could be diverted if not corresponding to recipient's needs and priorities.</p> <p>Logistics and costs.</p> <p>Has to comply with international and local standards and regulations rather than recipients needs and preferences.</p>
Cash	<p>Provides full choice to the recipient – optimum use of the household resources to fulfil their specific needs.</p> <p>Could improve dietary diversity and access to preferred foods.</p> <p>Dignity and choice - Reinforces refugee position in their environment.</p> <p>Minimum administrative burden if unconditional.</p> <p>Highly cost efficient in distribution and monitoring.</p> <p>Stimulates local markets, may improve dynamics with the surrounding communities.</p> <p>When conditional agency can influence the way recipients are using the transfer towards specific project objectives/ outputs.</p> <p>Could be used also for non-food needs (milling, water, soap, fuel, etc.).</p>	<p>Requires that markets in or close to the refugee living area are functioning; that the needed food items are available on the markets; and that the refugees have access to these markets.</p> <p>Impacted by price variation.</p> <p>Limited control on the final use of the cash.</p> <p>Needs assessment should indicate the refugees priorities and needs and how the cash will be used.</p> <p>If conditional, administrative and technical burden to verify conditions are met.</p>

Modality	Advantages	Disadvantages
Commodity voucher	<p>Answers to a very specific need (e.g. can be limited to specific food items).</p> <p>Limited security risk.</p> <p>Shields refugees from inflation.</p> <p>Stimulates local economy (if used in local shops).</p>	<p>Requires a strong commercial network and strong relationship with traders.</p> <p>Heavy administrative burden, incl. selection of supplier/traders, voucher production, cash transfers to traders etc.</p> <p>Provides no or very limited choice for the recipients.</p> <p>Could generate stigmatisation and discrimination of the voucher users.</p>
Cash vouchers	<p>May be limited to a specific need, e.g. food.</p> <p>Limited security risks.</p> <p>Provides more choice to the recipients as compared to commodity voucher.</p> <p>Stimulates local economy (if used in local shops).</p>	<p>Require a strong commercial network and strong relationship with traders.</p> <p>Heavy administrative burden, incl. selection of supplier/traders, voucher production, cash transfers to traders etc.</p> <p>Eroded by inflation and/or price manipulation of the traders.</p> <p>Could generate stigmatisation and discrimination of the voucher users.</p>

Combination of transfer modalities: Refugee situations are complex and dynamic and the needs of a refugee population are varied. The most effective types of support may change with time and based on people’s vulnerability. Additionally, only part of the requirements for the utilisation of a particular transfer modality may be met, therefore combination of food assistance modalities is often appropriate.

Below are examples of how transfer modalities can be combined.

In-kind distribution and cash transfer: Appropriate in a situation where only some food products are available on the market. In-kind distribution of the food items not available in the market can be combined with cash transfers to allow beneficiaries to purchase available products and have access to fresh food like vegetables and meat.

In-kind distribution and vouchers: Appropriate where food distribution is possible immediately and vouchers might be a possibility in the medium term. Distribution of in-kind food initially allows time for organisations to assess the market, organise fairs and encourage traders to supply the area with specific food or non-food commodities so that vouchers can replace in-kind distribution in time.

Conditional and unconditional transfers: Conditional and unconditional transfers can be combined to ensure the specific objectives of an intervention both on food security, nutrition and protection are achieved.

4.2 MAKING A DECISION ON APPROPRIATE TRANSFER MODALITIES

In most cases, an in-depth feasibility assessment is conducted to inform the decision making process on the transfer modality, along with several sectorial capacity assessments including:

- Cooperating partner capacity;
- Local market and retail sector capacity;
- Financial services capacity;
- IT and communications capacity; and
- Field security assessment.

If these assessments have been conducted prior to the JAM field visit, the information contained in these reports should be analysed as part of the JAM process (secondary data analysis). If these assessments have not already been conducted, a JAM field visit should not attempt to collect all this data though specific key questions can be integrated into the field visit checklists. Information collected in the JAM field visit can thus support and/or confirm the decision-making process for the most appropriate intervention/s and transfer modality/ies. Additionally, the JAM team can recommend that additional in-depth assessments are conducted to further inform design and implementation of food or cash transfer programmes. For additional information on best practices around the design and implementation of cash and voucher-based programming, see the list of reference documents below.

4.3 REFERENCE DOCUMENTS

THE SPHERE HANDBOOK 2011

The Sphere Handbook, Humanitarian Charter and Minimum Standards in Humanitarian Response, is one of the most widely known and internationally recognised sets of common principles and universal minimum standards in life-saving areas of humanitarian response.

The particularly relevant chapters to food assistance are:

- The humanitarian charter
- Protection principles
- The core standards
- Minimum standards in Food Security and Nutrition

<http://www.sphereproject.org/handbook/>

INTRODUCTION TO CASH-BASED INTERVENTIONS IN UNHCR OPERATIONS, UNHCR (2012)

This document provides an overview of the use of cash-based interventions in displacement settings and provides basic practical guidance for the use of cash and vouchers in refugee settings. It also outlines UNHCR institutional position toward using cash and vouchers.

<http://www.unhcr.org/515a959e9.html>

CASH TRANSFER PROGRAMMING IN EMERGENCIES, ODI HPN GOOD PRACTICE

REVIEW 11 (2011)

This edition of Good Practice Review is intended primarily for humanitarian practitioners who plan and implement emergency responses. It synthesises cash transfer guidelines, highlights lessons from evaluations and adds practical examples drawn from experience in the field.

<http://www.odihpn.org/hpn-resources/good-practice-reviews/cash-transfer-programming-in-emergencies>

VOUCHERS AND CASH TRANSFERS AS FOOD ASSISTANCE INSTRUMENTS:

OPPORTUNITIES AND CHALLENGES, WFP (2008)

These documents set out WFP's policy framework on the use of vouchers and cash transfers and shows how such instruments fit into the organisation's strategic framework.

<http://www.wfp.org/content/vouchers-and-cash-transfers-food-assistance-instruments-opportunities-and-challenges>

CASH AND VOUCHERS MANUAL, WFP (2009)

This is practical guide to support the staff and partners implementing food assistance.

<http://www.wfp.org/cash-and-vouchers>

IMPLEMENTING CASH-BASED INTERVENTIONS: A GUIDELINE FOR AID WORKERS,
ACTION CONTRE LA FAIM (2007)

This guideline is mainly addressed to people with limited experience in cash-based interventions. Its main aim is to provide practical guidance in programme design, implementation and monitoring. It is divided in module which could be used separately.

<http://www.cashlearning.org/downloads/resources/guidelines/ACF-Cash-Based-Intervention-Guidelines%20%28web%20sized%29.pdf>

INTRODUCTION TO CASH TRANSFER PROGRAMMING, IFRC/CALP
E-LEARNING PLATFORM (2 hrs.)

The broad objectives of the training are:

- To introduce cash programming as one of the possible response mechanisms to deliver humanitarian assistance, and describe different types of cash projects
- To describe how to assess and analyse data in order to decide whether cash is appropriate;
- To explain operational elements & delivery mechanisms to be considered and planned for in a cash programme
- Consider how to monitor and measure the processes and impact of a cash programme.

The course has been produced in partnership with CaLP, the Cash Learning Partnership

<http://www.ifrc.org/en/get-involved/learning/opportunities/>

Documented examples of good practices in food and cash transfers in UNHCR and WFP

REVOLUTION: FROM FOOD AID TO FOOD ASSISTANCE - INNOVATIONS IN OVERCOMING HUNGER – WFP 2010

This book documents a compilation of state-of-the-art food assistance innovations by WFP. It lays out both new tools and traditional responses that provide life-saving relief, improve nutrition, enhance human capital and strengthen food markets, while supporting country-led food security strategies.

<http://www.wfp.org/content/revolution-food-aid-food-assistance-innovations-overcoming-hunger>

CASH TRANSFER TO REFUGEES IN JORDAN- UNHCR 2010

An example of direct financial assistance for refugees in Jordan through ATM, which is proving to be really popular and effective.

<http://www.fmreview.org/urban-displacement/FMR34.pdf>

SHELTER GRANT PROGRAMME FOR RETURNING DISPLACED PEOPLE IN NORTHERN SRI LANKA – UNHCR 2010

Evaluation report of a programme supporting displaced households in their return process through cash grant.

<http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=4bb310da9&query=cash%20transfer>

JOINT ASSESSMENT MISSIONS – TECHNICAL GUIDANCE SHEET NO. 5 – ENVIRONMENT AND ENERGY

This TGS highlights the issues surrounding fuel and shows how it links food security and nutrition.

5.1 FOOD SECURITY, NUTRITION AND FUEL

Refugees spend significant amounts of time, money and effort securing fuel to cook. In most situations, particularly in remote camp settings, this means firewood and charcoal. While this leads to environmental degradation, often with impacts on the ecosystem that are irreparable, firewood collection also exposes refugees, especially women and children, to social, economic and protection-related risks.

The food security and nutrition situation of refugees is impacted by the need to secure fuel for cooking. It has been observed that many people will sell a significant amount of their food ration to secure cooking fuel, especially in areas where firewood is no longer an option (where resources have been depleted or the local authority has banned firewood collection). In addition, lack of access to cooking fuel can lead to undercooking meals or skipping meals, both of which negatively affect the refugee's nutritional status.

To address this, fuel-efficient stoves as well as alternative energy such as solar, bio-gas, recycled briquettes and ethanol are promoted in many operations. Rehabilitation of fuel wood through tree planting may also take place.

The JAM team needs to understand issues surrounding fuel and the links with food security and nutrition prior to making any recommendation for programming.

5.2 REFERENCE DOCUMENTS

TASK FORCE ON SAFE ACCESS TO FIREWOOD AND ALTERNATIVE ENERGY IN HUMANITARIAN SETTINGS (<http://www.humanitarianinfo.org/iasc/pageloader.aspx?page=content-products-products&bodyid=67&publish=0>)

HANDBOOK OF EXPERIENCES IN ENERGY CONSERVATION AND ALTERNATIVE FUELS: COOKING OPTIONS IN REFUGEE SITUATIONS [UNHCR] (<http://www.unhcr.org/406c368f2.html>)

WFP AND SAFE ACCESS TO FIREWOOD (<http://documents.wfp.org/stellent/groups/public/documents/communications/wfp225419.pdf>)

COOKING FUEL SAVES LIVES: A HOLISTIC APPROACH TO COOKING IN HUMANITARIAN SETTINGS [WOMEN'S REFUGEE COMMISSION] (<http://womensrefugeecommission.org/programs/firewood>)

FUEL-EFFICIENT STOVE PROGRAMS IN HUMANITARIAN SETTINGS: AN IMPLEMENTER'S TOOLKIT (http://pdf.usaid.gov/pdf_docs/PNADT959.pdf)

JOINT ASSESSMENT MISSIONS – TECHNICAL GUIDANCE SHEET NO. 6 – PLANNING FOR GENERAL FOOD AID RATIONS

This TGS is adapted from JAG 2008 and provides information on the basic nutritional requirements for general food aid distribution including the nutritional composition of key food items and illustrate the general principles to consider when planning a general food aid distribution.

6.1 CONSIDERATIONS WHEN PLANNING A GENERAL RATION

General food distributions aim to provide households with food to make up the difference between their nutritional needs – what they need in order to re-establish and maintain satisfactory nutritional health – and what they are able to provide for themselves without adopting distress strategies. It is important that the ration be designed with an aim to avoid nutrient deficiencies and to provide a diverse and balanced diet when combined with food which refugees or displaced persons might be able to provide for themselves.

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

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

6.2 BASIC NUTRITIONAL REQUIREMENTS

Energy requirements

For all planning purposes, 2,100 kcal/person/day is the average minimum daily energy requirement for a 'typical' population in a warm climate undertaking light physical activity. (The average requirements of different groups within a population are shown in the table below.)

When data are available, the initial planning figure should be adjusted according to:

- Temperature: Add 100 kcal for every 5°C that the mean daily temperature falls below 20°C (i.e. +100 kcal at 15°C, +200 kcal at 10°C, +300 kcal at 5°C, +400 kcal at 0°C);
- Age/sex distribution: When adult males make up more than 50% of the population, requirements are increased; when the population is exclusively women and children, requirements are reduced. Adjustments of plus or minus 5% may be appropriate; and
- Physical activity level: Add 140 kcal for moderate activity, and 350 kcal for heavy activity (e.g. during construction or land preparation works).

When the nutritional situation of the population is extremely poor (e.g. or the crude mortality rate significantly elevated, an additional 100-200 kcal may be added to the basic ration). However, this may not be needed if there is extensive supplementary and therapeutic feeding.

Other nutrient requirements

Protein: 10 to 12% of the energy in the diet should be in the form of protein (i.e. 52 to 63 g of protein).

Fat/oil: At least 17% of the energy in the diet should be in the form of fat (i.e. 40 g of fat).

Micronutrients: A range of micronutrients vitamins and minerals are required for good health.

The following chart describes the breakdown of individual energy requirements depending on age and sex.⁹

9 UNHCR, UNICEF, WFP, and WHO, Food and Nutrition Needs in Emergencies (2002)

DEMOGRAPHIC BREAKDOWN AND ENERGY REQUIREMENTS
(FOR A TYPICAL DEVELOPING COUNTRY POPULATION)

Age group	Male		Female		Male + female	
Years	% of total population	kcal/ person/ day	% of total population	Kcal/ person/ day	% of total population	Kcal/ person/ day
0	1.31	850	1.27	780	2.59	820
1	1.26	1,250	1.20	1,190	2.46	1,220
2	1.25	1,430	1.20	1,330	2.45	1,380
3	1.25	1,560	1.19	1,440	2.44	1,500
4	1.24	1,690	1.18	1,540	2.43	1,620
0-4	6.32	1,320	6.05	1,250	12.37	1,290
5-9	6.00	1,980	5.69	1,730	11.69	1,860
10-14	5.39	2,370	5.13	2,040	10.53	2,210
15-19	4.89	2,700	4.64	2,120	9.54	2,420
20-59	24.80	2,460	23.82	1,990	48.63	2,230
60+	3.42	2,010	3.82	1,780	7.24	1,890
Pregnant	-		(2.40)	285 extra	(2.40)	285 extra
Lactating	-		(2.60)	500 extra	(2.60)	500 extra
Whole population	50.84	2250	49.16	1910		2080

Always seek the advice of a nutritionist when setting a food ration; make sure you take into account the needs of people with specific needs or vulnerabilities, such as people living with HIV-AIDS or other chronic diseases, young children and women in reproductive age.

6.3 NUTRITIONAL VALUES OF COMMON FOOD ITEMS

The following tables give the nutritional energy, protein and fat content of the most common food aid commodities and some tropical countries food items. NUTVAL calculator, available at www.nutval.net can be used to calculate the ration composition.

Common food aid commodities

(Nutritional value per 100 g)

The nutrition products in the table below are not part of the general food aid ration. They are delivered as part of specific nutrition interventions.

Commodity	Energy (kcal)	Protein (g)	Fat (g)
Cereals			
Wheat	330	12.3	1.5
Rice	360	7.0	0.5
Sorghum / Millet	335	11.0	3.0
Maize	350	10.0	4.0
Processed cereals			
Maize meal	366	8.5	1.7
Wheat flour	350	11.5	1.5
Bulgur wheat	350	11.0	1.5
Corn-soy-blend (CSB)			
Supercereal (CSB+)	380	15.0	8.0
Supercereal Plus (CSB++)	390	16.0	10.0
Wheat-soy-blend (WSB)			
Supercereal (WSB+)	380	17.0	6.0
Supercereal plus (WSB++)	400	18.0	10.0
Rice-soy- Blend (RSB)			
Supercereal (RSB+)	380	16.0	7.0
Supercereal Plus (RSB++)	400	16.0	10.0
Meat and fish			
Canned meat	220	21.0	15.0
Canned fish	305	22.0	24.0

Oil and fats			
Vegetable oil	885	0	100.0
Butter oil	860	0	98.0
Edible fat	900	0	100.0
Pulses			
Beans	335	20.0	1.2
Peas	335	22.0	1.4
Lentils	340	20.0	0.6
Miscellaneous			
Sugar	400	0	0
Dried fruit	270	4.0	0.5
Dates	245	2.0	0.5
Tea (black)	0	0	0
Iodised salt	0	0	0
Nutrition products: therapeutic			
F100 Therapeutic milk	535	14.7	31.2
F75 Therapeutic milk	442	5.5	15.2
RUTF - BP100™	527	14.5	31.0
RUTF - eeZeePaste NUT™	550	15.0	34.0
RUTF - Plumpy'Nut®	535	14.7	31.2
Nutrition products: miscellaneous			
RUSF - eeZeeRUSF™	550	14.0	34.0
RUSF - Plumpy'Sup®	544	13.9	33.2
LNS - Nutributter®	540	12.8	35.4
LNS - Plumpy'Doz®	561	13.0	35.1
High Energy Biscuits [HEB, WFP SPECS.]			
BP-5™	458	14.7	17.0

Common foods in tropical countries¹⁰

(Nutritional value per 100 g)

Commodity	Energy (kcal)	Protein (g)	Fat (g)	Commodity	Energy (kcal)	Protein (g)	Fat (g)
Starchy roots, tubers and fruits							
Fresh cassava	160	1.2	0.2	Potato, Irish	77	2.1	0.1
Cassava flour	342	1.6	0	Potato, sweet	87	1.7	0.3
Ensete	190	1.5	0.3	Yam (fresh)	114	0.2	0.2
Plantain	135	1.2	0.3				
Legumes and vegetables				Legumes and vegetables			
Groundnuts	332	15.0	25.0	Beef (raw)	237	18.0	18.0
Groundnuts, dry	567	26.0	49.0	Goat (raw)	357	15.0	32.4
Vegetables, mixed	30	1.0	0	Mutton (raw)	249	15.0	21.0
				Poultry (raw)	139	19.0	7.0
				Eggs (hen, fresh)	149	12.5	10.0
Milk				Legumes and vegetables			
Cow, whole	66	3.2	3.9	Honey	286	0.4	-
Buffalo	102	3.8	7.5	Beer (maize/sorghum)	35	0.6	-
Goat	69	3.6	4.1				
Sheep	108	5.6	7.5				
Dried skim milk (DSM)	360	36.0	1.0				
Dried whole milk (DWM)	500	25.5	27.7				

¹⁰ The allowance for milling losses depends on the commodity, the type of milling and whether the beneficiaries have to pay (usually in kind). Typical compensation rates are 15% in East Africa, 20% in West Africa.

6.4 CHARACTERISTICS OF A GOOD DISTRIBUTION SYSTEM

A good distribution system has the following characteristics; keep the following points in mind when doing a JAM.

Fairness

- Rations and allocations are based on an objective assessment of need;
- Distribution is made according to household size;
- Ration cards or other means of identification are used as soon as the situation has stabilised sufficiently for a registration to be completed;
- The receipt of agreed rations is monitored. Absentees are recorded and consistent absences are followed up; and
- Targeting (if in place) is fair and exclusion or inclusion errors are minimal.

Accountability to beneficiaries

- The distribution system takes account of social, ethnic and political divisions within the population;
- Socially and politically vulnerable people are identified and arrangements are made to ensure that they receive their entitlements; and
- Beneficiary food committees are established to communicate beneficiaries' views on the distribution processes and any complaints. WFP and UNHCR and/or Non-governmental organisation partners carry out independent monitoring during and after distribution (Food Basket Monitoring (FBM) and Post Distribution Monitoring (PDM)).

Accountability to donors and within WFP and UNHCR

- There is regular reporting and analysis of the quantities being distributed and the numbers of beneficiaries. WFP and UNHCR and/or NGO monitors are present during distribution.
- FBM and PDM reports are available.

Transparency

- Information on ration entitlements and the method and timing of distributions is widely disseminated;
- Distributions are made openly in a public place; and
- Beneficiaries are informed in advance of any problems in food supply, changes in rations or distribution schedules, etc.

Respect

- The distribution process recognises the physical and psychological vulnerability of those being assisted and is specifically designed to preserve their dignity and self-respect.

Age, gender and diversity sensitivity

- Women, young people and the elderly are represented on food committees;
- Women (normally) receive the food in recognition of their role in household food management;
- Distributions are planned to avoid interfering with women's other domestic responsibilities and putting them at unnecessary risk;
- Measures are in place to ensure that young and old people access food; and
- Equal access to food is ensured for all groups of different characteristics.

Choice of sites

In general, especially in any area of high population density:

- Sites should be in open areas well away from crowded places such as markets or hospitals and, preferably, at some distance from dwellings and food stores; they must be easily accessible for food deliveries during all seasons;
- Sites should be enclosed by a fence and partitioned with separate areas for queuing, distribution and food stocks; there should be emergency exits;
- Water, shelter, sanitation facilities and first aid services should be available for beneficiaries as well as staff; and

- There should be a smooth floor, which is well drained and above ground level, on which to unload and move food sacks.

6.5 PHASING OUT GENERAL RATIONS

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

Ration reductions should normally be contingent on¹¹:

- A stable and low level of malnutrition among under five children;
- Sound evidence of sustainable level of self-reliance among the population as a whole;
- Analysis of the potential impact of the change on different population groups (e.g. the proportion of households likely to be put at risk);
- Existence or simultaneous creation of safety nets (probably nutritionally-based) for the most needy/vulnerable households;
- Information/surveillance systems being in place to monitor the situation of the population, particularly marginalised groups;
- Agreement with the host government; and
- Timely sensitisation of the refugees.

¹¹ Food security assessments, self-reliance, targeting and phasing-out in ongoing refugee situations, report of an inter-agency workshop, Rome, Nov. 1999, UNHCR/WFP/ENN, Jan. 2000

6.6 REFERENCE DOCUMENTS

FOOD AND NUTRITION NEEDS IN EMERGENCIES, UNHCR-UNICEF-WFP-WHO, 2002
(on JAM Practical Guide Flash drive)

NUTVAL CALCULATOR available at www.nutval.net

COMMODITY DISTRIBUTION, UNHCR, 1997

JOINT ASSESSMENT MISSIONS – TECHNICAL GUIDANCE SHEET NO. 7 – LOGISTICS AND STORAGE IN FOOD AID DISTRIBUTIONS

This TGS is adapted from JAG 2008 and outlines the logistics aspects regarding in-kind food aid distributions. It outlines the logistics aspects that need to be covered in all joint initial assessments and reviews/re-assessments. It indicates how logistic and storage aspects need to be incorporated in the overall analysis to define the measures and actions to be taken to ensure that refugees have access to adequate food and related non-food items.

7.1 WHAT IS THE LOGISTICS COMPONENT OF AN ASSESSMENT?

The logistics component of the joint assessment must:

- Determine how needed supplies – food and non-food items – for the refugees/IDPs (or returnees) can be delivered to specific areas, where the supplies can be stored, and the measures that may be needed to secure (and where necessary to increase) transport, storage and handling capacities on existing supply routes and/or to open new routes to assure the delivery of supplies;
- Define – get agreement on – roles and responsibilities in logistics management for food and non-food items, and on measures to strengthen logistics/supply management capacity, where needed;
- Identify any specific logistic constraints that must be taken into account in the overall analysis of the situation and in the design of food aid and related assistance interventions;
- Estimate transport, storage and handling costs for food and non-food items;
- Identify measures that could enhance the ability of the commercial transport market to assure the delivery of supplies and/or support local markets and hence the possibilities for refugees and the local population to gain income from whatever they may have to sell; and

- Foresee how the logistics situation may evolve, and identify risks that may call for pre-emptive (preventive) measures or specific contingency planning (including buffer stocks and plans for alternative supply routes) to avoid losses or pipeline interruptions.

The logistics assessment should be an integral part of the overall joint assessment. At the onset of a crisis, information on communications capacity or needs, and on transport parameters will be gathered immediately – as the first and most life-saving activity required. Use of civil defence and military entities, including peace keeping operations can assist.

The logistics part of the assessment should be undertaken, or coordinated, by a competent logistics officer and benefit from the knowledge and experience of local logisticians. When data need to be collected from a number of widely separated locations, the senior logistician should:

- Define the particular logistic information that other assessment team members should collect from specific locations; and
- Provide guidance on how that information should be collected, cross-checked, recorded and reported.

When collecting data on costs, any recent changes in rates, and any changes expected in the immediate future, should be recorded in addition to current rates (per tonne).

7.2 WHAT NEEDS TO BE DONE IN AN INITIAL ASSESSMENT?

Information is required on:

- Transport and storage possibilities within the areas where the refugees/IDPs are located (or where returnees are expected);
- Entry points – ports, land border crossings and airports – through which supplies could be imported for delivery to the affected areas (if imports are likely to be required);
- Locations of in-country stocks that may be made available or purchased and need to be moved into the affected areas (if in-country stocks of suitable items exist);
- All potential means and routes for getting supplies into the affected area(s) from those entry points and/or in-country locations: this may include road, rail, sea, river, air, animal carts, head-loads, etc.;

- National regulations, customs and other formalities relating to the importation or in-country purchase and movement of food and other supplies;
- Capacity of the government and other partners – their own transport and storage capacity, and their ability to manage a logistic operation and opportunities to strengthen that capacity;
- Transport, storage and handling costs; and
- Foreseeable risks (e.g. insecurity, natural or man-made disasters) that could disrupt specific transport routes or the use of particular transshipment or storage locations.

If a recent WFP logistics capacity assessment (LCA) is available, the emergency assessment needs only to determine what has changed in relation to the points listed above. If no recent LCA is available, a full logistics capacity assessment must be undertaken covering all aspects of the points listed above. Seek specialist advice in such a case.

For a review/re-assessment

The focus will be on:

- Performance of the current logistics system/arrangements including costs;
- Timeliness and regularity of deliveries to the distribution sites;
- Losses, and possibilities to reduce them; and
- Possibilities to reduce constraints, increase efficiency and reduce risks (including consideration of alternative routes and/or storage facilities).

All recommendations should be considered in relation to the impact the offered solution may have on the host and beneficiary populations.

Analysing logistic possibilities; preparing a logistics plan

Analysis of the logistic data should lead to:

- Estimate of the capacity (tonnes/day) of each transport route, transshipment point (tonnes/day) and storage location (tonnes);
- Specification of constraints and identification of any possibilities to increase capacity, where increase may be needed, and estimates of how and when specified increases could be achieved;
- Judgement concerning the reliability and vulnerability to disruption of each route and possible storage location (taking account of security risks, seasonal factors, etc.);
- Estimate for each route of the costs of (i) transport, storage and handling and (ii) any measures required to increase capacities to meet the demands of the proposed programme interventions;
- Identification of measures that could enhance the ability of the commercial transport market to (i) assure the delivery of supplies and (ii) support local markets; and
- Identification of alternative supply routes and storage locations that may be used in case any of the normal routes or locations should be disrupted.

On that basis, the assessment team must:

- Determine whether the proposed programme is logistically feasible and specify:
 - Any logistic constraints that must be taken into account, at least initially, in the design of the programme, and whether and when those constraints might be eased – constraints may be ceilings on the quantities that can be delivered to particular locations, routes that may be impracticable during certain seasons, or the need to prioritise nutrient-dense foods for airlifts;
 - Reserve/buffer stock requirements – quantities and where they should be held – in order to assure uninterrupted operations in all areas; and
 - Pros and cons of different types of food commodities and the types (weight and quality) of packaging required in the light of storage conditions, any transport and handling constraints, and the availability (or not) of milling facilities;
- Specify the risks that could be involved;
- Draw up a logistic plan, with alternatives where feasible, and associated cost estimates;

- Specify what (if anything) may need to be done to improve/maintain access roads to the refugee sites; and
- Specify the contingencies to be planned for to deal with foreseeable risks (including an increase in demand).

7.3 WHAT TO LOOK FOR IN EXAMINING THE FOOD AID SUPPLY CHAIN AND DELIVERY SYSTEM

This section suggests what an assessment team needs to consider when looking into the food supply situation, including domestic food availability and the provision of food aid.

Joint assessment teams must examine:

- Availability, in the area and/or the country, of food that could be acquired by the Government, WFP or others to be made available to the refugees; and
- Data on food aid distributions, stocks and the pipeline.

Food in-country that could be acquired

- Government and other organizations' stocks: what food – types and quantities – is presently held in government and other organizations' stocks that could be released for distribution to the refugees, or borrowed by WFP for distribution against subsequent replacement;
- Commercial stocks: what food – types and quantities – is presently available in commercial stocks that could be purchased; whether it is of acceptable quality; who owns or controls it; and
- Next harvest: when is the next harvest: whether there is likely to be a surplus of any items – types and quantities – that could become available at that time.

Food aid distributions, stocks and pipeline

What has been distributed

- Quantities distributed since the last assessment/review (or since the start of the operation in case of an initial assessment); and
- How actual distributions compare with what had been planned, the reasons for any differences and the implications for the beneficiaries.

Current stocks

- Quantities of the various items in stock, and the condition of those stocks; and
- Any considerations relating to the location of stocks relative to the refugee sites and logistic constraints (e.g. restrictions on movements).

Pipeline status

- Quantities of the various items in the external pipeline and whether any pipeline breaks are foreseeable; and
- Action taken, or required, to avoid pipeline breaks and/or minimise the impact on beneficiaries.

INDICATORS FOR REPORTING PERFORMANCE RESULTS (OUTPUTS)

For UNHCR reporting

Number of kilocalories per person per day:

- For the entire population; and
- For specific groups (when relevant).

For WFP reporting

Quantities distributed:

- Planned; and
- Actual.

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

7.4 WHAT TO LOOK OUT FOR IN FOOD WAREHOUSES¹²

The following are aspects that should be checked during inspection visits to food (and other) warehouses.

Premises (inside and outside the store)

- Gates, fences, doors, roofs, windows, gutters and drains are in good repair;
- All locks are secure;
- Floors are sound and clean;
- Fire extinguishers are accessible;
- No smoking is permitted in or close to the store;
- There are no signs of the entry of rats/mice; and
- Open ground is clear and tidy.

¹² Reproduced from Emergency Field Operations Pocketbook, Section 9.5, WFP 2002

Indoor stacking

- Different commodities, different packages and different consignments are stacked separately;
- Between stacks and all walls and pillars there is at least 1 m space;
- Between stacks and the roof structure there is some space;
- Between stacks there are passages of at least 2 m for loading/unloading (5 to 6 m passages in a large store where the entry of trucks has been authorised);
- All stacks are built on pallets or round-pole dunnage (with priority to flours and blended foods);
- Pallets/dunnage are smooth and level; there are no projecting nails or splinters;
- Stacks are orderly, built to edge of dunnage and 'bonded' (the containers in each layer are oriented at right angles to the layer below); and
- Height limits are respected; lower layers are not crushed.

Outdoor stacking (when indoor capacity is insufficient)

- Only whole grain cereals, pulses and vegetable oil in drums are stacked outside (no flour, blended food, milk powder or canned items);
- Ground is firm and flat (ideally with a slight slope for drainage); no danger of flooding;
- All stacks are on dunnage on a raised gravel platform surrounded by drainage ditches;
- There is a polythene/PVC sheet between the dunnage and first layer, and this sheet is turned up and tucked in between 3rd and 4th layers; and
- Canvas (or plastic) tarpaulin covers the stack and is tied down on all sides.

Handling

- Bags are carried, not dragged or thrown; no hooks are used; bags and cartons are not carried in the rain;
- Commodities from damaged containers are recovered – repacked or the containers repaired – and stacked separately; and
- Mechanical handling equipment is in good condition, regularly maintained and correctly used.

General warehouse management

- Dispatch priority is decided taking account of food and packaging condition, expiry date and stock rotation (first-in-first-out);
- Cleaning materials are available and well-kept;
- Cleaning schedule and responsibilities are defined and respected;
- Damaged commodities are stacked well away from other commodities pending disposal;
- Sweepings and other dirt are disposed of well away from the store;
- Fumigation is undertaken by licensed fumigators, when needed; and
- Bag weights are checked on a sample basis on receipt (unloading) and dispatch (loading).

Records

- Stack cards on each stack are up-to-date;
- Central inventory records are orderly and up-to-date;
- Separate records are kept for similar commodities of different origin;
- Procedures for writing off spoiled items are strictly followed; and
- Physical stocks correspond to recorded stock balances taking account of recorded damage and loss.

Condition of stocks

Look all round each stack, use a torch in dark places and look out for:

- Split/broken containers;
- Webs or cocoons of beetles and moths between bags or in the seams;
- Heating (lift a bag in the middle of the top layer);
- Unusual smells;
- Hardening of DSM sacks;
- Rusting or swelling of cans (open a few randomly selected cartons; reseal them after inspection); and
- Leakage of oil.

7.5 REFERENCE DOCUMENTS

LOGISTICS CAPACITY ASSESSMENT, 2010 WFP
<http://dlca.logcluster.org/>



**World Food
Programme**

