Module 1: Baseline Assessments for Field Team Practitioners

F1.0 INTRODUCTION

This Module was originally created and written up by Tanya Boudreau of the Food Economy Group, funded by the Department for International Development (DFID) UK-Aid, through the Regional Hunger and Vulnerability Programme (RHVP) and for the Southern Africa Development Community (SADC) Regional Vulnerability Assessment and Analysis Programme (RVAA Programme). It has subsequently been revised and updated by Charles Rethman, funded and supported by Wahenga Ltd (http://www.wahenga.co.za).

The module is one of two in the Baselines Assessment course (Course 1) and there are 3 courses that make up the complete set of Wahenga Training. These courses are as follows:

1. Course 1 – Baselines Assessment (at present there are two modules in this course)
2. Course 2 – Outcome and Forecast Assessment (at present there are two modules in this course)
3. Course 3 – Training the Leaders and the Trainers (at present there are two modules in this course)

The other module in this course is Baseline Assessment Leadership and the BSS, which is aimed at advanced practitioners who have completed this module and gained some field experience.

This module is designed for trainers of Household Economy Baseline Field Assessments and Analysis, and is meant to provide the complete set of presentations, session notes and handouts required in order to carry out a full HEA Baselines training for field practitioners.

Within each module, a series of sessions have been prepared to cover each of the discrete steps in the learning process relevant to that module. All the materials required to run each session have been complied and assigned numbers:

- Presentations begin with an ‘S’ and this is followed by the module and the session number, separated by a decimal, for example: “S1.20”, which is Module 1, Session 20 Presentation. Presentations may be handed out to participants.
- Facilitators’ notes begin with the letter ‘F’ and have the module and session number after that, for example: “F2.2”. Facilitators’ notes are not supposed to be handed to participants.
- Handouts begin with the letter ‘H’ and, in addition to the module and session numbers, if there is more than one handout per session, there is the handout number after the title, for example: “H2.11 Exercise 2 Handout 3”.
- Some handouts are for exercises, which may require answers. These are included as Answer Sheets and they are numbered with the letter ‘N’, the module and the session number. Answer sheets should only be given to participants once they have completed the exercises.

It should be noted that while presentations were provided for most of the sessions, it is not absolutely necessary to use them all. The facilitator is encouraged to use his or her own judgement to decide which presentations to use and which to leave out, based on time, attention span of the practitioners and what approaches seem to working in the context. Although some of the exercises may seem trivial, it is recommended that all of them be included in a training programme, as the principles and practice gained through the exercises are invaluable to the actual fieldwork. Participants must be encouraged to read through all the handouts and adequate time must be provided for this. There are a few suggested energisers and fun activities to break the monotony of the material. These are entirely optional for the trainer and new ones are heartily encouraged! Likewise, it would be beneficial to structure the training with regular breaks for lunch and tea.

Some materials from the courses are available online at:

http://www.wahenga.co.za/index.php/resources/training-the-wahenga-academy

The Facilitator Notes

The facilitator notes are the core guidance for how to run the training sessions. Each note begins with a table that quickly summarises key information about required materials for that session, including the presentation, handouts, and background reading materials (see box to the right). It also provides an estimate of how long the session is expected to run.

Facilitator Notes: Summary table

Module 2: Baseline Assessment
SESSION 1: INTRODUCTION TO THE FIELD PROCESS

FACILITATOR NOTES

Presentation	*Introduction to the Field Process.ppt*
Handouts	*H2.1 Handout – Introduction to the Field Process*
Practitioners Guide Reference	**Chapter 3** INTRODUCTION
Guide to HEA Reference	**Chapter 4: How is HEA done?**, particularly Section 4.1 Why is HEA information collected through rapid appraisal? **Chapter 5: Is HEA Reliable?**
Time	50 minutes

After the summary table, details are provided on the purpose and content of that session, when it should be conducted within the module, objectives and key learning points, along with specific guidance on how to conduct each activity in the session. A session plan summary is also provided which breaks down the activities and time required for each (see the example below).

The Sessions

There are twenty-three sessions (excluding the introduction and the evaluation stages) that make up this module. They are listed below, in the order they should be conducted, along with a brief description of the objectives the session aims to meet, as well as a note on whether there are presentations, exercises and handouts.

Facilitator Notes: Session plan summary

Session plan

Session plan summary		
Activity	*Methodology*	*Timing*
1. Why does HEA use rapid appraisal rather than household questionnaire surveys?	Small group work First half of presentation	15 minutes 10 minutes
2. At what levels are different 'pieces' of HEA information collected?	Brainstorming Second half of presentation	15 minutes 10 minutes
	Total	50 minutes

Session 1: Introduction to Vulnerability and Food Security Assessment, the Basic Concepts

The objective of this session is to introduce participants to key issues and terms related to vulnerability assessment and the analysis of food security. The session concludes with a short quiz to test the concepts.

Session 2: Introduction to Livelihoods and Livelihoods Security

This session introduces participants to the ideas around livelihoods, linking this to the conceptual underpinnings of HEA.

Session 3: Overview of the HEA Framework

This session introduces participants to the origins of HEA, why it came about, its uses, and the six core steps involved in HEA analysis. It lays out the logic behind the analytical framework, and discusses what each step is, and why it is necessary.

Session 4: Introduction to the Field Process

This session introduces participants to the methods used in the field; outlines the rationale for using rapid appraisal methods rather than household questionnaires for baseline assessment work; describes the types of interviews to be done at different levels (district, village, household representatives) and outline the types of information that will be collected at each stage.

Session 5: Ensuring High Quality Field Information

This session is designed to introduce the concepts of data quality and representativeness, bias and cross-checking; it also introduces the field methods and interviewing techniques that can help to ensure a high quality of information.

Session 6: The Livelihoods Field Handbook

Session 6 aims to explain what the Livelihoods Field Handbook is and what it is for; to familiarise participants with the different sections of the Livelihoods Field Handbook; and to enable participants to practise using the Livelihoods Field Handbook for some of the calculations they will be doing later on.

Session 7: Livelihood Zoning

In this session participants review the key features of a livelihood zone and gain the knowledge and tools for verifying, refining and revising a livelihood zone; they learn how to recognize when, in the field, they are in a village in the wrong livelihood zone and what to do about it.

Session 8: Market Assessment

In Session 8 the objectives are to explain what is meant by 'markets' and to consider the key linkages between households and markets; to explain the importance of the market in HEA: what we need to know about markets and why; and to review Interview Form 2 (Market visit and trader interview form) and the short section in Interview Form 1 on markets.

Session 9: Reference Year

This session covers the concept of a 'reference year', why it is needed and how to select one; it discusses what a timeline is, what it can be used for and how to obtain one in the field; and reviews what a consumption year is and how this differs from an agricultural year.

Session 10: Seasonal Calendar

Session 10 introduces participants to seasonal calendars as a basic tool for gathering HEA information; it outlines why an understanding of seasonality is so important in livelihoods analysis; and shows participants how seasonal calendars provide the context for both baseline analysis and outcome analysis.

Session 11: Wealth Breakdowns

Session 11 aims to explain what a wealth group is and why it is necessary to do a wealth breakdown in HEA; to outline the criteria used for defining wealth groups (land, labour, livestock, household size); and to provide an induction in doing a wealth breakdown interview in the field.

Session 12: Livelihood Strategies (Food/Income/Expenditure)

In Session 12, participants learn about livelihood strategies and the 'three pillars' of HEA baseline information: food, income and expenditure; they gain an understanding of why this information is central to HEA; and they are introduced to the idea of accounting in HEA and the basic cross checks that ensure rigour.

Session 13: Introduction to Kilocalorie Calculations

The objectives of Session 13 are to explain what calories are and why they are important in HEA; and to introduce some of the kilocalorie calculations that are used in HEA for cross-checking purposes.

Session 14: Central Southern Upland Crops and Livestock Exercise

In Session 14 participants further explore the three 'pillars' of the baseline (food, income and expenditure) and learn how the constituents of each have to add up; they actively engage in calculating the contributions of different items in each of the three pillars and see how they would be affected by a shock; participants learn how to reconcile and cross-check the data; and they review the idea that this quantified baseline information is being collected for a reason, relating it back to the basic framework

Session 15: Coping Strategies

Session 15 aims to introduce the concept of coping strategies and to outline what we need to know about them for HEA analysis; in this session participants also discuss the different types of coping strategies and their classification in terms of cost (low cost, medium cost, high cost).

Session 16: Conducting Interviews with Household Representatives

Session 16 is designed to enable participants to practise interviewing techniques they will use in the field; to familiarise participants with the form used in the field; to reinforce the concept of common food groups; it also provides an opportunity for participants to practise adding up and cross checking.

Session 17: Review of Field Forms

This session aims to ensure participants are familiar with all the forms used in the field; participants are led through those parts of the forms that have not been covered in previous sessions; the group makes sure that all the forms are tailored to local circumstances.

Session 18: Field Testing and Interviewing Practice

Session 18 is a practical field visit, which aims to field test the forms for interviews with community leaders and household representatives; the visit provides an opportunity for participants to practise interviewing skills in a 'real life' situation; and allows participants to analyse information from an individual interview.

Session 19: Storing Baseline Data

This session introduces participants to the Baseline Storage Sheet. It is an introductory session, outlining the main uses of the Baseline Storage Sheet and the advantages it offers over recording, analysing and cross checking data by hand. It does not aim to lead participants through the layout of Baseline Storage Sheet, nor to provide guidance on how data is entered or analysed within it. Because entering the baseline data into the Storage Sheet is the task of the team leader, this information will not be covered in Module 1, but in module 3, which is for advanced HEA practitioners.

Session 20: Analysing Baseline Data

The objectives of Session 20 are to describe the stages of baseline data analysis in HEA; to explain when and why different calculations are done; to explain how the baseline results are summarised; to discuss and provide tools for information cross-checking, and to enable participants to practise some of these cross-checks.

Session 21: Understanding Agricultural Economies

Session 21 familiarises participants with aspects of agricultural production systems relevant to HEA, particularly in terms of the differences between, and interdependence of, poorer and richer households. It provides some of the basic knowledge that participants will need throughout their interviews and in the analysis sessions.

Session 22: Non-food Needs Baseline Information

In Session 22 participants learn when a non-food needs assessment may be required; they review the form for collecting relevant background information for an emergency assessment of non-food needs; and they customise the form according to the local context.

Session 23: Incorporating Secondary Information

In Session 22 participants are engaged in a discussion of the kinds of secondary information that are useful for an HEA baseline assessment and what exactly they can tell you; they explore where *this information can be found and how it can be gathered; and participants practise looking through and extracting key information from secondary information.*

Timing and modifications

Module 1, run in its entirety, will take **approximately 10 days plus a morning**. This is based on a schedule of 8:30 – 5 every day, setting aside 2 hours for lunch and tea breaks combined, and it includes the full day for the field-testing.

If your time is limited, you can leave out sessions 18 through 20 and limit some of the participatory exercises in other sessions (such as the seasonal calendar, reference year and coping strategies sessions). In this way it is possible to run the Module in **approximately 5 ½ days.**

The session plan summaries are provided below. These offer an outline of the activities, methodology and timing of each of the sessions. An indication is given (through a yellow note at the bottom of the table) if the session requires at least a day's advance preparation time.

Consolidated Session Plan Summaries for Module 1

Session 1: Vulnerability Assessment and Food Security: Basic Concepts		
Activity	**Methodology**	**Timing**
Basic vulnerability assessment and food security concepts, and how elements of HEA link to them	Presentation Discussion in Plenary	20 minutes 10 minutes
Team Quiz	Quiz	30 minutes
	Total	1 hour

Session 2: Livelihoods and Livelihoods Security		
Activity	**Methodology**	**Timing**
Livelihoods, food security and livelihood security	Presentation Discussion in Plenary	30 minutes 10 minutes
Exercise: identify the different "assets" from a study, the incomes that come from them and what conditions threaten that income	Small group work Discussion in Plenary	20 minutes 20 minutes
	Total	1 hour 20 minutes

Session 3: Introduction to the HEA Framework		
Activity	**Methodology**	**Timing**
Overview of the HEA Framework	Presentation Discussion in Plenary	30 minutes 10 minutes
	Total	40 minutes

Session 4: Introduction to the Field Process		
Activity	**Methodology**	**Timing**
1. Why does HEA use rapid appraisal rather than household questionnaire surveys?	Small group work First half of presentation	15 minutes 10 minutes
2. At what levels are different 'pieces' of HEA information collected?	Brainstorming Second half of presentation	15 minutes 10 minutes
	Total	50 minutes

Session 5: Ensuring High Quality Field Information		
Activity	**Methodology**	**Timing**
1. The power flower exercise	Individual exercise Discussion in plenary	10 minutes 10 minutes
2. Presentation: Ensuring high quality field information	Presentation	30 minutes
3. Group exercises on proportional piling and community mapping	Small group exercises Discussion in plenary	45 minutes 15 minutes
4. Wrap up	Plenary discussion	10 minutes
	Total	2 hours

Session 6: Livelihoods Field Handbook		
Activity	**Methodology**	**Timing**
1. The Livelihoods Field Handbook	Facilitator-led review of the Livelihoods Field Handbook Plenary discussion	15 minutes
2. Herd dynamics and household composition exercises	Exercises in pairs or threes Plenary discussion	50 minutes 10 minutes
3. Wrap up	Plenary discussion	5 minutes
	Total	1 hour 20 minutes

Session 7: Livelihood Zoning		
Activity	**Methodology**	**Timing**
1. Verifying a livelihood zone	Presentation	15 minutes
2. Livelihood zone exercises	Group exercises Plenary discussion	20 minutes 15 minutes
3. Review of livelihood zone section of district-level interviews	Plenary discussion	10 minutes
4. Wrap up	Plenary	5 minutes
	Total	1 hour 5 minutes

Session 8: Market Assessment		
Activity	**Methodology**	**Timing**
1. Why are markets important in HEA?	Plenary discussion	5 minutes
2. Connections between households and markets	Group exercise Plenary discussion	20 minutes 15 minutes
3. What do we need to know about markets in HEA?	Presentation	20 minutes
4. Review of market section of Interview Form 1 Review of Interview Form 3 (market visit and trader interview)	In plenary or small groups: Review of market section of Interview Form 1 Review of Interview Form 2	10 minutes 45 minutes
4. Wrap up	Plenary wrap up	5 minutes
	Total	2 hours

Session 9: Reference Year		
Activity	**Methodology**	**Timing**
1. The reference year: what is it and how do we choose it?	Presentation Plenary discussion	15 minutes
2. Exercise: doing a timeline	Small group exercise / role play	35 minutes
3. Choosing a reference year for the forthcoming assessment Wrap up	Plenary discussion	10 minutes
	Total	1 hour

Session 10: Seasonal Calendars		
Activity	**Methodology**	**Timing**
1. Introduction to seasonal calendars	Presentation	15 minutes
2. How to construct a seasonal calendar	Small group exercise Plenary discussion	40 minutes 20 minutes
3. Wrap up	Plenary discussion	5 minutes
	Total	1 hour 20 minutes

Session 11: Wealth Breakdowns		
Activity	**Methodology**	**Timing**
1. What is a wealth breakdown?	Presentation Plenary discussion	20 minutes
2. How to conduct a wealth breakdown interview	Role play: mock wealth breakdown interview Plenary discussion	45 minutes 15 minutes
3. Wrap up		5 minutes
	Total	1 hour 25 minutes
NOTE: You need to prepare for this session at least the day before with a few of the participants who will take place in the role playing exercise. See Facilitators Notes.		

Session 12: Baseline Livelihood Strategies			
Activity	**Methodology**	**Timing**	
1. Introduction to Baseline Livelihood Strategies	Presentation	20 minutes	
2. Brainstorming: sources of food and income, and expenditure items	Brainstorming	If plenary: 20 minutes	If split into groups: 1 hour
3. Wrap up and final discussion		10 minutes	
	Total	50 minutes	1 hour 30 minutes

Session 13: Introduction to Kilocalorie Calculations		
Activity	**Methodology**	**Timing**
1. Introduction to calories and their role in HEA	Presentation and discussion in plenary	10 minutes
2. Doing calorie calculations in HEA	Individual exercises	1 hour
3. Wrap up	Plenary discussion	5 minutes
	Total	1 hour 15 minutes

Session 14: Central Southern Upland Crops and Livestock Exercise		
Activity	**Methodology**	**Timing**
1. Practising food, income and expenditure calculations	Exercise in pairs Discussion(s) in plenary	3 hours
2. Wrap up	Presentation in plenary	15 minutes
	Total	3 hours 15 minutes

Session 15: Coping Strategies		
Activity	**Methodology**	**Timing**
1. Introduction to coping strategies	Brief outline by facilitator	5 minutes
2. Examples of coping strategies	Brainstorming (plenary)	10 minutes

3. Why are coping strategies important in HEA?	Presentation (part of)	10 minutes
4. Categorising coping strategies according to cost	Brainstorming (plenary)	10 minutes
5. Why is the 'cost' of coping strategies so important in HEA?	Presentation (remainder)	10 minutes
	Total	45 minutes

Session 16: Conducting Interviews with Household Representatives		
Activity	**Methodology**	**Timing**
1. Review of Interview Form 4	Small group work	2 hours
2. Practise interview with household representatives	Mock interview in pairs or threes	4 hours
3. Review of mock interviews and discussion of problems	Discussion in plenary	1 hour
4. Review of dos and don'ts of semi-structured interviewing	Presentation in plenary	10 minutes
	Total	Around 7 hours

Session 17: Review of Field Forms		
Activity	**Methodology**	**Timing**
Review of field forms	Discussion in plenary or in groups	1 hour 30 minutes
	Total	1 hour 30 minutes

Session 18: Field Testing and Interview Practice		
Activity	**Methodology**	**Timing**
1. Interview with community leaders in the field	Interviews in the field in pairs or threes	2 - 3 hours
2. Interview with household representatives	Interviews in the field in pairs or threes	2 - 3 hours
3. Review of field interviews (the following morning)	Plenary discussion	1½ - 2 hours
	Total	1 day plus 1½ - 2 hours the following morning
NOTE: Arrangements for this session need to be made at least a week in advance. See Facilitators' Notes		

Session 19: Storing Baseline Data		
Activity	**Methodology**	**Timing**
Introduction to the Baseline Storage Sheet	Presentation and discussion	30 minutes
	Total	30 minutes

Session 20: Analysing Baseline Data		
Activity	**Methodology**	**Timing**
1. Analysing baseline data	Presentation and discussion	30 minutes
2. Cross checking exercises	Exercises in pairs or threes Exercise answers and discussion	40 minutes 15 minutes
3. Wrap up	Plenary discussion	5 minutes
	Total	1 hour 30 minutes

Session 21: Understanding Agricultural Production Systems		
Activity	**Methodology**	**Timing**
Understanding agricultural production systems	Presentation Discussion	30 minutes
	Total	30 minutes

Session 22: Non-food Needs Baseline Information		
Activity	**Methodology**	**Timing**
1. Introduction to non-food needs assessment	Facilitator	10 minutes
2. Review of non-food needs assessment checklist	Group exercise Plenary discussion	30 minutes 30 minutes
	Total	1 hour 10 minutes

Session 23: Incorporating Secondary Information		
Activity	**Methodology**	**Timing**
1. Different types of secondary information and its limitations	Brainstorming	15 minutes
2. How secondary information can feed into an HEA baseline (two options)	Group exercise Plenary discussion	20 minutes 30 minutes
3. Wrap-up	Facilitator wrap up (lead through handout)	5 minutes
	Total	1 hour 10 minutes
NOTE: Requires preparation before session to gather secondary information.		