

STEP 4

Preparation for fieldwork



Photo credit: Jim Holmes

4.
Fieldwork
preparation

The bridge near Lamno, in Aceh Province, Indonesia, has survived for over a year now, hand-built by villagers from coconut palms felled in the tsunami.

Step 4 develops the questions, interview plans, and information-recording formats needed for EMMA interviews and other fieldwork. A mixture of qualitative information and quantitative data will be sought through fieldwork that is rapid, informal, and often conducted in local languages. EMMA interviews need to be planned so as to avoid rigid structures and encourage easy flow of communication.

Before starting Step 4, the EMMA leader should have...

- o drawn up a preliminary list of likely information sources (market actors, key informants, locations);
- o acquired basic interview skills and an understanding of EMMA's aims, tools, and concepts;
- o sketched preliminary market maps (showing baseline and emergency-affected situations);
- o refined the key analytical questions that EMMA is seeking to answer.

4.1 Overview of Step 4

Objectives

- Develop a set of focused interview agendas relevant to the specific market system.
- Write structured interview questions for each category of informant.
- Tailor response forms to assist in recording quantitative data and qualitative information.
- Refresh interview techniques and fieldwork skills of the EMMA team.

Activities

Sections 4.2–4.5: Interview agendas

- Identify the information needs that arise in each EMMA strand.
- Translate these into interview questions that can be used in the field.

Sections 4.6–4.7: Special issues in the fieldwork agenda

- Gender, conflict situations, transport, and financial services
- Cash-feasibility questions

Sections 4.8–4.9: Preparation and rehearsal

- Testing and rehearsal of interview formats
- Preparation of data-sheets

Key outputs

- Interview structures and questionnaires for different types of market actor and other informant
- Data sheets to record and collate quantitative data

4.2 EMMA's fieldwork agenda

The fieldwork agenda is a list of the issues or questions that the EMMA team is trying to answer. Market systems are often rather complex, as you may have already discovered from the preliminary mapping exercise in Step 3. It is therefore essential that the fieldwork agenda is carefully planned and as tightly focused as possible, given your knowledge of the situation.

The starting point must be the key analytical questions already drafted in Steps 2 and 3. More generally, EMMA teams will be interested in issues such as the following:

- Are emergency needs likely to be better met by cash-based interventions or by distributions of items?
- Does the local market system have the capacity to meet the emergency needs of the target affected population if their purchasing power is increased (e.g. by cash-based intervention)?

- What is the likely impact of any proposed cash-based or in-kind intervention on markets (including the likelihood of high or prolonged price distortions)?
- What are the key interventions to rehabilitate and ensure more long-term stability in market systems for critical food or non-food consumption, or in market systems that provide employment?
- How to ensure that emergency interventions are designed to support (and not undermine) existing long-term interventions?
- What are the key market indicators to be monitored throughout the course of an intervention?

As the introductory chapter described (section 0.4), EMMA breaks this investigation agenda down into three strands:

1. *Gap-analysis (or 'People') strand.* Understanding the emergency situation, priority needs, and preferences of the target population. It also puts these women's and men's needs (the gaps or deficits that they face) in the context of their economic profile and livelihood strategies.
2. *Market-system analysis strand.* Understanding the market system's constraints and capabilities in terms of playing a role in the emergency response. It develops a map and profile of the (pre-crisis) baseline situation and explores the impact of the emergency on it.
3. *Response-analysis strand.* Exploring different options and opportunities for humanitarian agencies. It looks at each option's respective feasibility, likely outcomes, benefits, and risks, before leading to recommendations for action.

The next sections examine the fieldwork agenda for each of these strands in turn.

4.3 The gap-analysis agenda

The basic fieldwork objectives in this strand are as follows:

- To verify your understanding of livelihood strategies and seasonal factors for women and men in different target groups.
- To confirm and quantify high-priority un-met needs of target-group households.
- To examine any constraints on women's and men's access to markets.
- To investigate different target groups preferences for assistance.

Remember, this is not a general emergency needs assessment, which should have taken place before Step 2. You have already selected the market system to be investigated. Your agenda should focus on the different target groups' interaction with, access to, and use of this specific market system.

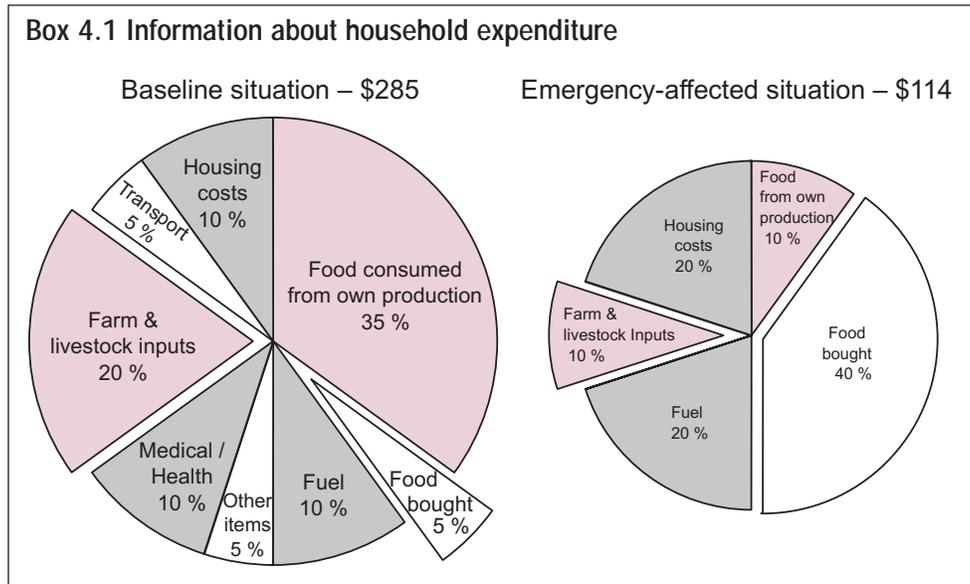
In order to make full sense of the information needs listed below, it is essential to study the process described in Step 7 and understand how this information will be used in the gap analysis.

Information needs in gap analysis

- Which groups and how many people normally used (had access to) the market system? Who was included and who was excluded? What are the costs of access (e.g. transport)?
- Were there ever convenient markets for women and men in the area for the critical items? How have different target groups' physical access to the market system been affected?
- What (in income systems) has been the emergency impact in terms of income – wage rates, amount of work, loss of earnings, and hence household budgets? How has this differed for women and men?
- What (in supply systems) has been the impact in terms of reduced consumption or changes in household expenditure? How has this differed for women and men?

Ultimately, the ideal objective is to be able to construct approximate income and expenditure profiles that show how households, women, and men are adapting to the emergency (Box 4.1).

- What coping mechanisms have women and men adopted since the crisis?
- Do different target groups have strong preferences for the type of assistance that they receive (e.g. cash-based or in-kind assistance), and why?
- What other factors affect / are likely to affect the access of different groups to this market system (e.g. gender roles, distance from trading posts, social or ethnic obstacles)?
- Are there any critical issues of accessibility that need to be factored into the analysis of the situation? How do these affect men and women differently?



4.4 The market-analysis agenda

The basic fieldwork objectives in this strand are as follows:

- To investigate the structure and conduct of the market system prior to the crisis.
- To obtain data about 'normal' production and trade volumes, prices in the pre-crisis baseline situation.
- To explore the impact of the crisis on market actors, infrastructure, and services, and understand their coping strategies.
- To assess (quantify) production and trade volumes, stocks, and prices since the crisis began.
- To identify current and expected constraints on the market system's performance in near future.

This agenda is the core of the EMMA toolkit – which distinguishes it from existing humanitarian assessment tools. Because market systems are often complex and hard to understand in their entirety, the market-system maps are crucial in identifying the most important information needs. You should use the preliminary maps as a tool for focusing attention on the market-system components and features that are most relevant to the target population. This must be an iterative process, since the EMMA team's awareness of what aspects of the system are salient may initially be low. As your understanding of the system grows during the fieldwork (Step 5), you may well need to re-focus your list of information needs and revise the questions that you are putting to informants.

In order to make full sense of the information needs listed below, it is essential to study the market-analysis process described in Steps 6 and 8, and understand how this information will be used in market mapping and analysis steps.

Information needs in market analysis

Market-chain actors and linkages

- Who were the market-chain actors, and how were they interlinked within the market system? What functions (roles) did different market actors play in the supply chain?
- How many compete to perform any specific function at different points in the system?
- What impact has the emergency had on particular market-chain actors and their linkages or relationships? Have specific functions in the market system been affected?
- What have traders or other market actors done to cope with or respond to the impacts listed above? In their view, why are goods available, or not available?

Infrastructure, inputs, and services

- What services and infrastructure played a part in supporting the market system (e.g. input suppliers, market information, transport, storage, technical expertise, financial services, etc.)?
- What impact has the emergency had on services and infrastructure which normally support the market system?

Institutions, rules, regulations, and norms

- What institutions, rules, regulations, and norms played an important part in shaping the business environment for this market system (either positively or negatively)?
- What impact (either positive or negative) has the emergency had on institutions, rules, regulations, and norms that normally shape the business environment for this market system?

Quantities and prices

- What volumes / quantities would normally be traded (at this time of year)?
- What prices (at various points in the system, e.g. import, wholesale, retail) would be normal?
- What has happened to stocks, quantities available and supplied, since the crisis began?
- How long does it take traders to order or re-stock goods for sale?

- What has happened to prices – at key points in the supply chain or value chain – since the crisis began?
- How do prices compare with a normal year? With import-parity prices? What is the trend? What predictions are people making about future price trends?

Seasonality

- How does trade change during the year (i.e. religious holidays, production, road conditions, transport costs, crop calendar, etc.)?
- When are seasonal variations in access, prices, variety, and quantities experienced?

Competition / market power

- Are there functions (or links) in the market system which are normally dominated by one or two traders alone, such that they can control prices? Or do traders compete with each other?
- To what extent have the crisis and its outcomes undermined competition or created imbalances of market power in the market system?

Market integration

- From where do traders normally purchase goods brought into the local area? Is there normally significant trading between the crisis-affected area and other less-affected areas?
- Do seasonal price fluctuations in the local area normally reflect similar fluctuations in the national market?
- Can the local market easily be reached by suppliers and purchasers?
- To what extent have the crisis and its outcomes reduced integration with neighbouring markets?

4.5 The response-analysis agenda

The basic fieldwork objectives in this strand are as follows:

- To identify any plausible support actions to rapidly assist coping, recovery, or better performance of the market system.
- To collect any other information that indicates the operational feasibility of various response options being proposed by respondents.

In order to make full sense of the information needs listed below, it is essential to study the response-analysis process described in Step 9, and understand how this information will be used in response analysis.

Information needs in response analysis

- What are the main constraints on the market system's role in emergency response?
- What are the immediate and longer-term actions that might be undertaken to remedy the situation?
- How quickly could these interventions be implemented, so as to be relevant?
- What resources would be required to implement each approach?
- What are the existing structure(s) that can be worked with (i.e. unions, guilds, associations, NGOs, local groups, lending institutions, networks, government agencies, etc.)?
- How feasible is it in technical, social, and political terms to deliver each of these support options in practice?

4.6 Special issues in market-system analysis*Impacts on particular market actors, system linkages, and relationships*

Look for damage to particular types of business in the supply chain or value chain. Focus on impacts on business linkages or trading relationships that are causing the greatest disruption to the overall system from the point of view of the target population (as households, producers, or workers).

Loss of business assets, premises, vehicles, and stocks for some types of market actor (e.g. wholesalers, land-owners) may have a particularly severe impact on the market system as a whole. Look out for compounding problems. For example, if shop keepers are the main source of credit, the destruction of shops may be a double blow to affected households.

Economic catchment areas

When quantifying production and trade volumes, it is essential to define the economic area to which the data refer. This might be the local emergency zone itself, the wider district or a region that is the main source of supplies, or the national picture. The reason for this is explained in Step 8.

Often, there can be no objective definition of the boundaries of the 'local economic area'. However, local traders will usually be able to explain to you what they regard as their territory. This may be determined by local geography (a valley, an island), or by the economic catchment area of a particular market town or city.

Impacts on services and infrastructure

Find out about any damage to vital services (e.g. transport, communications, finance, animal health) that were important to the effective performance of the

market system in the baseline situation. Record what has happened to the providers of these services, and the prospects for their recovery.

Consider also any essential public infrastructure upon which the market system depended heavily in the baseline situation (e.g. roads, waterways, ports and docks, telephone and electricity grids, water supplies, storage facilities). Record how these have been affected, and what prospects there are for their rehabilitation.

Take note of the plans of local or national governments, or other agencies that are likely to undertake repair of essential infrastructure.

Transport services

Transport is not often seen as a priority emergency need, but transport services play a crucial role in supporting supply chains and value chains in many different market systems. Transport matters not only for the movement of food or goods in supply chains, but also to enable affected people to move to places of work, or find family members. The cross-cutting nature of transport may justify treating transport services as a market system worthy of EMMA investigation in their own right.

Financial services

Financial services are always a key issue in market analysis. Although formal banking services may be rare, there are usually non-formal credit arrangements between market actors, and with consumers, in most market systems. These are easily disrupted in crises, and often slow to recover because of the inter-dependency between actors along a market chain. For example, a retailer who has lost her store in a flood may be unable to re-stock because her customers are also unable to repay her for inputs that they took on credit before the crisis. The situation will be even worse if her wholesaler is also suffering a 'credit crunch'.

EMMA teams need to try to understand the financial relationships among market actors, which are just as relevant as the physical logistics of production and trade. Sometimes these relationships are well suited to rapid and far-reaching emergency response using financial resources (see sections 9.3 and 9.4).

See Minimum Standards for Economic Recovery After Crisis (SEEP Network, 2009).

Changes to institutions, rules, and norms

Investigate any policies, regulations, social norms, or business practices that have an important influence on how the market system works – in both positive and negative ways. The emergency situation may have exposed the importance of some of these factors; or it may have prompted changes in rules.

Government policies and regulations may be seen to have an especially important influence on the emergency situation; for example:

- restrictions and tariffs on the movement and trade in staple food crops;

- constraints on the economic activities of refugees – employment, land-ownership, etc.

Such policies might be the target for selective lobbying by humanitarian agencies.

Gender roles and norms

Social or cultural norms that govern how different groups or sexes access and use markets or participate in certain forms of employment may, in an emergency context, become a cause of humanitarian concern.

Emergencies have different impacts on women and men. For example, the burden of caring for sick or injured relatives may prevent women from taking advantage of economic opportunities during a crisis. Responsibilities for scavenging food or fuel tend to fall on women – meaning less time for economic activities. Insecurity, and the threat of gender-based violence, may have a huge impact on how, when, and where women can engage with market systems.

It is vital to register these factors in the market mapping and analysis.

Effects of humanitarian action

Do not overlook the effects (impacts) that humanitarian actions may also be having now or in the near future on the market system; or future effects that can be foreseen from planned interventions. Sometimes these post-crisis impacts are just as significant as the shock of the initial crisis. It may be important to include these sorts of activity and effect in your analysis. For example:

- Large-scale food distributions may put traders and retailers out of business.
- Cash-for-work programmes may reduce the availability of labour for local employment.

Market systems in conflict situations

Conflict situations usually lead to very profound disruptions to the rules and norms that operate in market systems and enable them to function effectively. Violence, or the threat of violence, is frequently used to create new relationships of market power that affect issues of who can trade with whom, when, and where. New transaction costs are imposed – for example, through road-blocks and rent-seeking. Sometimes entire parallel or shadow market systems emerge to control trade in lucrative goods: this can be one of the drivers of conflict in the first place.

See the EMMA reference manual for further reading on markets and conflict; also Jaspars and Maxwell (2009), and the Microlinks web link in Box 1.2

4.7 Cash-feasibility agenda

One purpose of EMMA is to help humanitarian managers to decide where cash-based interventions are an appropriate component of emergency response. This decision has both analytical and operational aspects. From a market-analysis perspective, in Steps 8 and 9 you will assess the market system's capacity to respond to the extra demand that cash would stimulate. From an operational perspective, if cash programmes look like a distinct possibility, it is important to include questions (see Box 4.2) about their operational feasibility in the EMMA fieldwork agenda.

Box 4.2 'Operational' questions about cash feasibility

Needs and preferences

- To what extent did women and men depend on cash before the shock?
- What strategies are households using to cope with food or income insecurity?
- Do emergency-affected populations have a preference for cash or in-kind approaches?

Social relations (power differences within households and the community)

- Do men and women have different priorities?
- How is control over resources managed within households?
- What are the differences within the community in terms of control over resources?
- What impact will cash distributions have on existing social and political divisions?

Policy

- What is government policy regarding use of cash-based interventions?

Security and delivery mechanisms

- What are the options for delivering cash to people?
- Are banking systems or informal financial transfer mechanisms functioning?
- What are the risks of cash benefits being taxed or seized by elites or warring parties?
- How do these risks compare with the risks posed by in-kind alternatives to cash?

Corruption

- What are the risks of cash being diverted by local elites or project staff?
- How do these compare with the risks of providing in-kind alternatives?
- What accountability safeguards are available to minimize these risks?

Intervention history

- Have any cash-based interventions been implemented previously in the area?
- What was the outcome? Were there any particular problems? Or positive recommendations from the experience?

Source: Creti and Jaspars, 2006

4.8 Interview planning and rehearsal

Matching information needs and sources

Before designing interview structures and devising questionnaires, it is essential to think carefully about the various sources of information and data that you may be consulting in Step 5. They should be a diverse range of individuals: for example, members of target households, petty traders, shop keepers, employers, government officials, wholesalers, import–export agents, local NGO staff, bank officials.

For each type of respondent or informant, the EMMA team must consider the following:

- the type of information (gap, market, response) which each informant is most likely to be able to supply;
- the amount of time available and, hence, the number of questions you will have an opportunity to ask;
- the language and style of questioning that are appropriate to that individual or group.

Remember to keep the key analytical questions prominently in mind. The information agendas listed above are very intense, and it will usually be unrealistic to try to cover all the issues. You will have to adapt your interview questions and methods to fit your informants. Generally, there are four categories of informant (see Box 4.3).

Box 4.3 Categories of informant, and interview style	
<i>Source of information</i>	<i>Focus and method of interview</i>
Target-group households (women and men) (the intended final beneficiaries of emergency response)	Semi-formal questionnaire, narrowly focused gap-analysis issues. Use simple, direct questions in vernacular language. May be conducted with individuals or small groups. Guide time: 20–30 minutes. Interview women separately from men, if possible.
Local market actors <i>in supply chains</i> (shop keepers, petty traders, input suppliers, transporters) <i>in value chains</i> (employers, buyers, traders)	Structured interview, focusing on the most tangible market-analysis and response-analysis issues. Concentrate on practical information and data about market chain, services, and inputs: prices, volumes, availability, constraints, coping strategies. Include road-side conversations and walk-through meetings. Use simple, direct questions in vernacular language. Ask open questions to allow for qualitative answers as well as quantitative data. Usually on individual basis, 20–40 minutes.
Larger market actors (importers, wholesalers, manufacturers, industrial processors, service providers)	Structured interview, focusing on more strategic market-analysis and response-analysis issues. Concentrate on open-ended ‘big picture’ questions to understand the system as a whole, especially market shares, trends, and availability. Individual basis, 30 minutes.
Key informants (government officials, NGO staff, chambers of commerce, consultants)	Structured interview, focusing on system-wide issues from across the fieldwork agenda, especially looking at policy issues, rules, and norms. Up to 60 minutes, depending on the individual.

Interview structures and questionnaires

Interview structures and questions are generally most effective when prepared, practised, and revised beforehand. When preparing questionnaires, use open-ended and non-leading questions. In general, questions that encourage people to reflect and reveal details are best. Avoid ‘closed questions’ that prompt simple Yes/No responses, and ‘leading questions’ that simply invite people to confirm your own assumptions.

Questionnaires generally work best when questions are organized in a logical and categorized manner. You should prepare your questions to follow a flow from

one topic to another, allowing the interviewee to remain focused. Bear in mind EMMA's key analytical questions to keep the interview focused on your main goal.

You will need to prepare questionnaires for the unique context of the market system that you are investigating. You will usually need to develop different questionnaires for each category of informant. Boxes 4.4–4.7 provide sample questions. However, it is important to appreciate that in most fieldwork situations EMMA teams will not have sufficient time to cover as many questions as this in every interview. The art of doing fieldwork effectively in emergencies lies in selecting which questions to ask, taking into account the following factors:

- Time available for interviews is always less than ideal, especially with busy market actors and officials.
- Individuals may be (understandably) reluctant to provide some types of information.
- The way in which questions are phrased or presented needs to be sensitive to the type of informant – his or her language, education, and current situation.
- The most pertinent questions to ask will depend on what you already know.

EMMA teams must therefore prepare a flexible set of questions or interview formats for each category of informant. This will need to be reviewed and revised on a daily basis. The tools will evolve iteratively as the fieldwork progresses.

Testing the interview format and questions

If possible, you should test interview structures and questions during the first week of EMMA – even if this means interviewing a few traders outside the emergency area – so that the team have an opportunity to reflect on the results before going to the field (see also section 5.2). This exercise can be integrated into the induction of local EMMA teams, and also provides an opportunity to check and revise their interview techniques.

4.9 Sample questions

Box 4.4 Sample questions for women and men in target households

Your situation in recent 'normal' times (e.g. this same season, but last year)

1. What were the main foodstuffs (cereals, meat, fish, oil, and vegetables) that your household consumed?
2. How did you obtain these basic foodstuffs? (e.g. *own production [agriculture, fishing, livestock], purchased in market, collected wild food, gifts from family, barter labour for food, food aid*)
3. What were the most essential non-food items or other services (e.g. *transport, loans*) that your household used?
4. What were your primary sources of cash income (or benefits in kind) at this time of year? (e.g. *wage labour, sale of crops, livestock, micro-enterprise activities, remittances*)

Food situation now

5. How is your household's normal food consumption being affected by the emergency situation? Which of the different foods (above) are affected?
6. How big is the gap (deficit) that you are now facing in each of these basic food items?
7. In each case, in what way is the emergency having an impact on your normal consumption? (e.g. *destroyed your crop, reduced your income, raised prices, reduced availability in market, blocked your access to market*)

Essential non-food items or other services now

8. Which of the essential non-food items and services (above) that your household normally uses have been affected by the emergency situation?
9. In each case, in what way has the emergency had an impact on your normal usage? (e.g. *increased your need, reduced your income, raised prices, reduced availability in market, blocked your access to market*)
10. What other urgent non-food or service needs do you now have as a result of the emergency situation?

Income and/or employment situation now

11. If you normally rely on casual labour or employment for income, please describe any changes in the amount of work that you are able to find currently; and/or the wage rates.
12. If you normally rely on selling your own produce (food, livestock, manufactured goods) for income, please describe any changes in the amount that you are able to sell, and/or the prices that you obtain.
13. In each case, tell us in what way the emergency is having an effect on your normal earnings / income. (e.g. *made you unable to work, reduced demand for labour, reduced demand for produce, cut transport to jobs, reduced wage rates, reduced selling prices for your goods, changes in the way time is allocated to paid and unpaid activities*)

Humanitarian response

14. How are you and your household coping? What changes have you and your family made to adjust to the new hardships?
15. Have any agencies intervened to alleviate the situation yet? What activities are offered by the government or NGOs to help you through this time?
16. If you were given cash rather than material aid, what types of goods or services would you purchase first? Where could you spend? Given a choice, how would you prefer to receive assistance with your household food needs? (*e.g. food distributions, cash-based help*)
17. Given a choice, how would you prefer to receive assistance with your household non-food needs? (*e.g. item distributions, cash-based help*)

Box 4.5 Sample questions for local market actors**Your business**

1. How is your business doing? What is the impact of the crisis on your business? How do traders and community usually cope in difficult times / how are they managing now?
2. Which products / items are you selling since the crisis began? How much / how many?
3. How much / many would you normally expect to sell at this time of year?
4. What level of stocks are you holding? Is this more or less than normal for you?

Your customers / buyers

5. Who are your customers? What are their characteristics? (NB: 'customer' means person who buys from you, not necessarily the end-user)
6. How many customers do you have these days? (*e.g. number of transactions per week*)
7. How many sales did you have at a similar time of year before the crisis?
8. How has the crisis affected your customers' demand for particular products / items?
9. What is your selling price now? What was your selling price this time last year?

Credit / debt

10. Before the crisis did you normally give any of your customers credit?
11. Are you allowing any of your customers to pay later (have credit) now?
12. How much in total are you owed by your customers? (How many weeks of income?)
13. Before the crisis did you normally get any credit from your suppliers?
14. Are you still able to get credit from your suppliers?
15. How much do you owe your suppliers? (How many weeks' supply?)

Your suppliers

16. Who and where are your suppliers?
17. Has this changed since the crisis began?
18. Are there any seasonal factors affecting prices and affecting when you buy inputs / supplies?
19. Have your suppliers' prices changed since the crisis began? By how much?
20. If demand from your customers increased, how quickly could you supply
 - a) the same quantity as before;
 - b) double the quantity;
 - c) three times as much?
21. Do you think you would have to pay more than before to get these supplies / inputs?

Your business costs (i.e. transport, storage, rents, etc.)

22. What are the major costs that you incur in your business apart from purchasing supplies? (*e.g. transport, storage, premises, labour, licences*)
23. What impact has the crisis had on these costs?

Your competitors (other businesses)

24. How many other businesses (traders) are selling your particular products / items in the same local area as you?
25. What do you estimate is your 'share' of the total market in the area that you serve?
26. Are there any areas nearby that are not getting regular market supplies? If so, why?

The future

27. What are the main problems that you face in doing business now?
28. Are there any restrictions on where you can move goods for sale or buy goods? Market regulations? Which of these problems is related to the impact of the crisis?
29. What do you think could be done to solve any of these problems (especially those related to impact of the crisis)? What are the potential immediate and longer-term steps that can be taken to remedy the situation?

Box 4.6 Sample questions for larger market actors / key informants**Baseline situation: normal structure and functioning of this market system***Market actors*

1. Describe the functional steps and people or companies involved in getting this product to market (i.e. from producers via traders and intermediaries to consumers).
2. What functions does each of these people or companies perform in the chain?
3. What in a normal year are typical prices paid along the market chain at this time of year?

Service providers

4. Are there any important services provided by other businesses which support or make this market chain viable? (e.g. input suppliers, transport services, storage facilities, communications, financial services)
5. Are there any important services or infrastructure provided by government / local authorities which support or make this market chain viable? (e.g. credit facilities, power and water, market places)

Institutions, rules, and norms

6. What laws, formal rules, or regulations have a big influence (positive or negative) on the way this supply chain works?
7. Are there any informal customs, habits, and practices that shape the relationships (e.g. build trust) between market actors? (e.g. customs about whom to sell to or buy from)

Baseline performance of the market system

8. Which are the months of highest demand in a 'typical' year? And lowest demand?
9. Please estimate the total combined local production that you and your competitors traded last season (nationally and in the crisis-affected area).
10. Does the price of this product change seasonally? What time of year are the highest and lowest prices usually? What would normally be the price at this time of year?
11. How much stock is generally available in a normal year? (Breakdown by total stock and in warehouse depots up-country.)
12. Who normally buys your products – rich people, middle-class people, poor people? Could you estimate how much each of these households would typically consume per week?

Is this market usually competitive and well integrated?

13. Are there any points in the supply chain where one or two market actors (e.g. traders) are able to dominate or control the supply and thus set the price of goods?
14. Does the pattern of seasonal price variations in the affected area tend to be the same as the pattern in other regions or in the capital (after accounting for transport costs)? If not, why do you think seasonal price variations in this area are different from elsewhere?

Emergency-affected situation*How has the emergency affected the functioning of the market?*

15. What impacts / changes have there been in the supply routes from producer via trader to consumer?
16. Have any particular market actors or functions in the value chain been especially affected?
17. How has the emergency affected important business services mentioned above, important government services, or public infrastructure?
18. How much more costly is it to do business as a result of the emergency? Which business costs have increased (*e.g. fuel, storage, goods, labour, etc.*), and by how much?
19. Have your sales increased or decreased? If so, why?
20. What has happened to your access to local production?
21. Has the emergency affected your ability to import? (*e.g. damage to ports, rail, roads, or lack of customs staff to clear goods*)
22. Have prices for this product increased, decreased, or stayed the same, compared with the normal trends for this time of year? Specify by how much.
23. How much stock of these goods is currently available? Breakdown by total stock and in warehouse depots up-country, especially in disaster-affected area?
24. Are certain groups of consumer now effectively unable to purchase these goods because of high prices or lack of access to suppliers?

How are you dealing with the emergency?

25. How have you adapted your normal trading pattern to overcome challenges caused by the emergency?
26. How well have other actors in the market chain (*e.g. input suppliers, transporters, producers, etc.*) adapted also?

How has the emergency affected competition?

27. Has the emergency affected the way in which supplies and prices are controlled – and if so, how? (*e.g. by reducing the number of businesses in operation, or limiting transport options*)
28. Do you think your largest competitor has enough leverage to restrict supply and drive up prices now?

What if the purchasing power of affected households were restored?

29. If greater demand in the emergency zone were guaranteed, to what extent would you be able to increase your supplies / business volumes in the affected area?
30. Where would you source extra supplies if necessary?
31. Which factors would be most likely to limit your capacity to increase volumes of business?
32. How long would it take you to scale up your trade to meet increased demand?
33. Would there still be certain groups of consumer who would be difficult to supply – for example because of high risks, weak infrastructure, poor roads?

Box 4.7 Sample questions for large employers

Baseline: normal structure and functioning of this market system

Value-chain actors

1. What is the nature of your business (production of goods or services) and what are its inputs? Who is involved in delivering your raw materials, etc? What functions does each of these people or companies perform in the chain?
2. To what extent do they compete with each other? And with other supply chains?

Service providers

3. Are there any important services provided by other businesses that support or make this market chain viable? (*e.g. suppliers, transport services, storage facilities, communications, financial services*)
4. Are there any important services or infrastructure provided by government / local authorities that support or make this market chain viable? (*e.g. credit facilities, power and water*)

Business environment / institutions

5. What laws, formal rules, or regulations have a big influence (positive or negative) on the way in which this supply chain works?
6. Are there any informal customs, habits, and practices that shape the relationships (*e.g. build trust*) between market actors? (*e.g. customs about whom to sell to or buy from*)

Baseline performance of the market system

7. How many people do you employ normally at this time of year? Does it change seasonally? Where do your workers come from? Percentage of men / women?
8. How much do your workers normally earn? Do they receive other benefits?
9. Do profits change during the year (*i.e. seasonally*)? At what time of year do you employ the greatest / least number of people? In a normal year, how many staff would be working for you, and what would your profits be?
10. Who normally buys your products or uses your services – rich people, middle-class people, poor people? Could you estimate how much each of these households would typically consume per week?

Is this market usually competitive and well integrated?

11. Do you have competitors? Do you or your competitors control the supply and thus set the price of goods/services? If so, how do you / they establish and maintain this control?
12. Does the pattern of seasonal price variations in your area (affected by disaster) tend to be the same as the pattern in other regions or in the capital (after accounting for transport costs)? If not, why do you think seasonal price variations in this area are different from elsewhere?

Emergency-affected situation*How has the emergency affected the functioning of the market?*

13. What impacts / changes have there been to your ability to stay in business and employ staff?
14. Have any particular market actors or functions in the value chain been especially affected?
15. How has the emergency affected important services or public infrastructure mentioned above?
16. How much more costly is it to do business as a result of the emergency? Which business costs have increased (fuel, storage, goods, labour, etc.) and by how much? How are you dealing with the emergency?
17. How have you adapted your operations to overcome challenges caused by the emergency?
18. How have other actors in the market chain adapted? (e.g. input suppliers, transporters, producers)

How has the emergency affected competition?

19. Has the emergency changed competition within your sector? (e.g. have some been more severely affected by the disaster than your company?)
20. Do you think you or your competitors have enough leverage to restrict supply and drive up prices now?

How is the market performing now?

21. Have your sales increased or decreased? If so, why?
22. Have prices for this product / service increased, decreased, or stayed the same, compared with the normal trends for this time of year? Specify by how much.
23. Are certain groups of consumers now effectively unable to purchase these goods / services because of high prices or lack of access to suppliers?

What if the purchasing power of your buyers was restored and you could continue to employ people?

24. If greater demand for your goods / services in the emergency zone could be guaranteed, to what extent would you be able to increase your supplies / business volumes in the affected area?
25. Are your employees still available, and are raw materials accessible now?
26. Which factors would be most likely to limit your capacity to increase volumes of business?

4.10 Data-collection sheets

Methods of recording the information gathered in interviews are discussed in Step 5. For many EMMA practitioners this is a personal choice. However, when it comes to quantitative data, it is a good idea to prepare standard data-collection sheets. These can help to ensure that data are captured systematically and in a consistent format so that they can be easily compared, aggregated, or utilized in a way that enables you to understand the market better.

You may find it useful to include a data table on the same sheet as the interview questions. These can be transposed, and calculations made and aggregated later in Step 6. Templates of these sheets can be found on EMMA reference manual CD-ROM.

Household income and expenditure data

A simple data sheet like that in Box 4.8 can be used to collect information about household income. A similar format is suitable for exploring how household expenditure is divided.

Box 4.8 Data-sheet for household income – example		
Major sources of income <i>including consumption of own food produce</i>	Location	H/H size
	<i>Baseline situation</i>	<i>Emergency situation</i>
1. Consumption of own-grown maize	15 kg / week (est. value \$6)	Nil (crop lost)
2. Profit from sales of own beans surplus	\$75 lump sum (over 12 wks)	Nil (crop lost)
3. Wages for casual work in fish ponds	\$8 / week	\$4 / week
4. Remittances from brother in capital	\$2 / week	\$4 / week
5. Loan (advance) from landlord (i.e. 10 wks)	\$50 sum until July	Nil (landlord displaced)
6. Government cash-for-work programme	Nil	\$10 / week
<i>Approximate total</i>	<i>\$27 / week</i>	<i>\$18 / week</i>

Gap-analysis data

The datasheet illustrated in Box 4.9 is a useful way to summarize the analysis of the ‘gap’ (deficit) that a particular household is facing while awaiting the next harvest in ten weeks. The household has cut staple maize consumption from 15 to 8 kg per week as a coping strategy. But it faces a gap in household stocks of approximately 100 kg – or 10 kg per week for ten weeks.

Box 4.9 Data sheet for 'gaps' information – example			
	<i>Baseline situation</i>	<i>Emergency situation</i>	<i>Expected gap in next few weeks</i>
Example A: Maize (staple food)			
<i>Household consumption</i>	15 kg/week	8 kg/week	10 kg/week for food, for next 10 wks 50 kg seed-corn by May
<i>Household stocks</i>	150 kg food (= 10 wks) 50 kg for seed-corn	50 kg (= 3 wks) No seed-corn	
Example B: Coastal fisheries (casual labour)			
<i>Household income</i>	\$8/week	\$4/week (work available but no transport to coast)	\$15 for bus fares
Example C: Informal finance			
<i>Household income</i>	\$50 lump sum (April) loan from landlord	Nil (Landlord displaced)	\$5 /week for 10 weeks (for farm inputs, food)

Small traders / retailers data (in a supply market system)

The data sheet in Box 4.10 is a useful way to summarize the impact of the emergency on a small trader or local retailer. Remember that understanding the trend is just as important as getting precise figures.

Box 4.10 Data sheet for local trader / retailer – example			
Type of actor: <i>village shop</i>	Item: <i>Beans (retail)</i>		Location: <i>Dhaizpur</i>
	<i>Baseline</i>	<i>Emergency</i>	<i>Change or trend</i>
Sales volume Kg / week	150–200	Oct: 200–300 Nov: 50–100	Sales peaked after quake, but now ~ 30% normal
Input costs \$ / kg	25–30 wholesale + 6 for transport	Oct: 70 Nov: 50	Costs initially doubled but now returning to normal
Selling price \$ / kg	40–45	Oct : 90 Nov: 55	Profit margins cut to minimum
Stocks held kg	1,200	300	Stocks very low for time of year

Producer data (in a supply market system)

A similar data sheet (Box 4.11) is useful for summarizing the experiences of local producers or farmers.

Box 4.11 Data sheet for local farmer / producer			
Type of actor	Item		Location
	<i>Baseline</i>	<i>Emergency</i>	<i>Change or trend</i>
Production Kg / month			
Sales \$ / month			
Input costs \$ / Kg			
Net earnings \$ / month			

Employer data (in an income market system)

The kind of data sheet used for producers or retailers can also be adapted to employers in income market systems (Box 4.12).

Box 4.12 Data sheet for local employer – example			
Type of actor	Employment activity		Location
	<i>Baseline situation</i>	<i>Emergency situation</i>	<i>Change or trend</i>
<i>Fishing-boat owner</i>	<i>In-shore fishing</i>		<i>Fezeen</i>
Employment	36 man days/week (6 people) Had two of 13 boats in the local estuary (= 15%)	10 days/week (5 days x 2 people)	Lost one boat, and some crew displaced
Wages rate	1.50–2.00 typically	2.20–2.60	Wages have risen due to unavailability or loss of crew
Wage bill	\$60/wk	\$25/wk	
Sales	Would not disclose in detail	Would not disclose in detail	Sales have dropped by more than half

Checklist for Step 4

- o Interview agenda for gap analysis
- o Interview agenda for market-system analysis
- o Interview agenda for response analysis
- o Cash-feasibility agenda
- o Preparation of data sheets