

# **TRAINING FOR IMPROVED PRACTICE: Public Health and Nutrition in Emergencies**

## **Nutrition and Health Survey Methodology**

**UNICEF Core Corporate Commitments Training In collaboration  
with:**

**Feinstein  
International  
Famine Center,  
Tufts University**

**Mailman School of  
Public Health,  
Columbia University**

**International Emergency  
and Refugee Health Branch,  
Centers for Disease Control  
and Prevention**

# Overview

- The need for a standardized tool and methodology
- Designing, planning and implementing a health and nutrition survey: good practice methods and principles
- Basic analysis and interpretation
- Constraints of surveys

# Methods of Data Collection

	Rapid assessment	<b>Survey</b>	Surveillance
<b>Objective</b>	Rapid appraisal	<b>Medium-term appraisal</b>	Continuous appraisal
<b>Data Type</b>	Qualitative/ Cross sectional snapshot	<b>Quantitative/ Cross sectional snapshot</b>	Quantitative/ Longitudinal trends
<b>Method</b>	Observational / Secondary source	<b>Sample with survey instrument</b>	Periodic, standardized data collection

**Why the need for a standardized  
tool and methodology?**

# The problem: Non-standardization of methods

## Somalia

Boss, P. et al. Assessments of Mortality, Morbidity and Nutritional Status in Somalia during the 1991-92 Famine, JAMA 1994

## Sudan:

- Over 21 studies of nutritional status conducted in southern Sudan between April 1998 and January 1999

### Findings:

- Only three (3) covered populations of complete payams (administrative units like sub-districts)
- Only nine (9) of the surveys used cluster sampling with similar sample sizes
- Only three (3) used z-scores of wasting and the presence of oedema to define acute malnutrition

(Source: RNIS, 1999) <sup>5</sup>

# Problems with lack of standardization

- Inability to compare surveys
  - Over time
  - Compare different populations
- Use of inappropriate methods

# Can we believe it? What does it mean?

*“.....50% of children are malnourished in Democratic People’s Republic of Korea.....as UN agencies launch \$50 million appeal for disaster response.....”*

Guardian Weekly; Jan ‘97

# Health and Nutrition Survey Information

Food Frequency

Biochemical

Clinical signs

Morbidity

**Anthropometric**

**Mortality**

Data from combination of  
methods provide stronger  
information on nutritional status

# What is a cross-sectional survey?

A cross-sectional survey is a collection of data from a specific population at a single point in time.

# Surveys: Tasks and Important Steps

1. Determine broad questions to be answered
2. Determine objectives and outcomes to be measured
3. Define the sampling frame
4. Design a data collection form
5. Sampling design and implementation
6. Logistics, equipment, and survey team
7. Data entry and analysis
8. Interpretation of results
9. Preparation and dissemination of results
10. Take action

# Surveys: Tasks and Important Steps

1. **Determine broad questions to be answered**
2. Determine objectives and outcomes to be measured
3. Define the sampling frame
4. Design a questionnaire
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6. Survey administration
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# 1. Broad questions to be answered

- Should you do a survey?
  - Will a survey answer the questions you have?
- Surveys should be done to answer programme-oriented questions
- Information should not be gathered just “for interest”
- Programme questions can be to:
  - Determine need for programme
  - Design new programme
  - Evaluate existing programme

# 1. Broad questions to be answered

Which of these questions are appropriate programme questions to be answered in an emergency surveys?

- 1) What is the prevalence of stunting among the displaced population?
- 2) Does anemia lead to lower intellectual functioning in school-age children?
- 3) What are the risk factors for scurvy among the affected population?
- 4) Would it be interesting to measure head circumference in babies?

# Surveys: Tasks and Important Steps

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- 2. Determine objectives and outcomes to be measured**
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## 2. Determine objectives and outcomes

- Clearly defined objectives influence the rest of the survey
- Unclear objectives will complicate the rest of the survey
- A rapid assessment will assist in defining clear objectives and a rationale for analysis
- The objectives should include:
  - The outcomes to be measured
  - Target group
  - Population area to be included survey

# PRACTICAL EXERCISE

Read the short background for the Baringo case-study and define two objectives for a rapid health and nutrition survey.

Think about the outcomes that would need to be measured to meet this objective.

# Health and nutrition outcomes

Outcome	Case definition
Acute malnutrition in young children	<- 2 z-score weight for height or oedema
Measles	Fever, coryzal symptoms (cough, runny nose, sore eyes) and rash
Scurvy	Swollen joints, bleeding gums and bruising (hemorrhage)
Coverage of food ration	Households who received food ration during last month
Coverage measles vaccination	Children vaccinated for measles

# Mortality: General principles

- Recall period
  - Beginning of period should be well-known date
    - Major holiday or festival or
    - Occurrence everyone remembers
  - End of period is usually day of survey data collection
  - Recall period should be short
    - Allow accurate recall
    - Produce usable rate from recent past
  - Recall period long enough for statistical precision
  - 1 year often sufficient

# Mortality: General principles

- Births and deaths
  - Reported by living household member
  - Method should account for both births and deaths
  - Detection of deaths must be nearly complete
- Denominators of mortality rates are survey sample itself
  - No need to know population size

# Calculating mortality rates

$$\text{Mortality rate} = \frac{\text{Number of deaths}}{\text{Population}} \times \text{constant} / \text{time period}$$

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From surveillance:

$$\frac{13 \text{ deaths}}{25,000 \text{ population}} \times 10,000 / \text{week}$$

0.74 deaths / 10,000 / day

---

In survey:

$$\frac{86 \text{ deaths}}{3,467 \text{ subjects}} \times 10,000 / 11 \text{ months (334 days)}$$

0.74 deaths / 10,000 / day

# Methods used

- At least 3 methods currently used:
  - Current household census
  - Past household census
  - Previous birth history

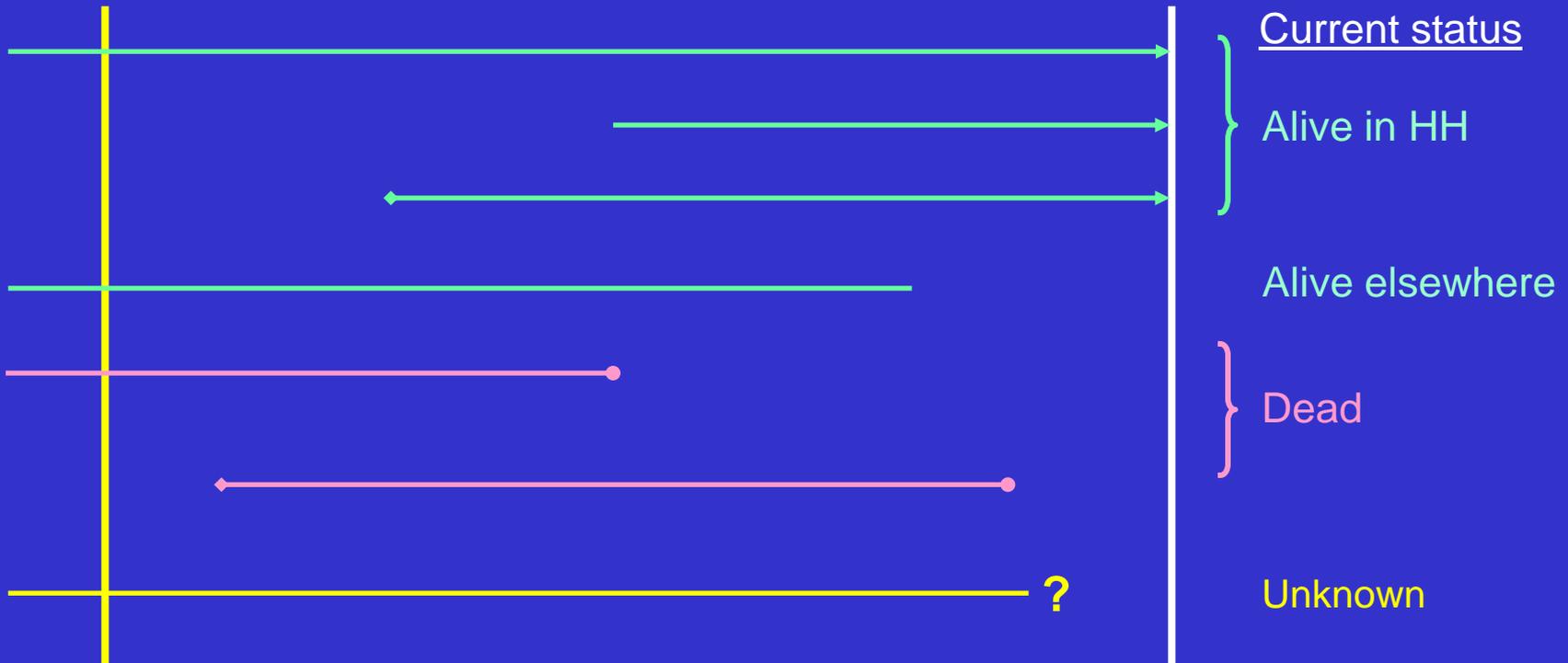
# Past HH census method

## HH census



Beginning of recall period

End of recall period  
(usually when survey data collected)



# Past household census method, Badghis Province, Afghanistan, March 2002

I would like to ask you about each person who lived in this household at the time of Eid Qurban 1379 (2001 Gregorian calendar) and children who were born since the time of Eid Qurban:

## HOUSEHOLD MEMBERS

Head of household  
on 1<sup>st</sup> line

1. Alive (living in this household)  
2. Alive (living elsewhere)  
3. Died  
4. Missing/Unknown

When \_\_\_\_ became ill,  
was he/she very thin or  
did he/she have  
swollen feet or legs?

When \_\_\_\_ died,  
was she pregnant  
or at the time of  
Chel or Nefaz?

No.	Age (yrs)	Sex (circle one)	Status as of TODAY (circle one)	Missing or dead, when? (mm/yy)	Died of which cause?	Malnutr?	Pregnant or in Chel??
1		M / F	1 2 3 4	/		Y / N	Y / N
2		M / F	1 2 3 4	/		Y / N	Y / N
3		M / F	1 2 3 4	/		Y / N	Y / N
4		M / F	1 2 3 4	/		Y / N	Y / N
5		M / F	1 2 3 4	/		Y / N	Y / N
6		M / F	1 2 3 4	/		Y / N	Y / N
7		M / F	1 2 3 4	/		Y / N	Y / N
8		M / F	1 2 3 4	/		Y / N	Y / N
9		M / F	1 2 3 4	/		Y / N	Y / N
10		M / F	1 2 3 4	/		Y / N	Y / N
11		M / F	1 2 3 4	/		Y / N	Y / N

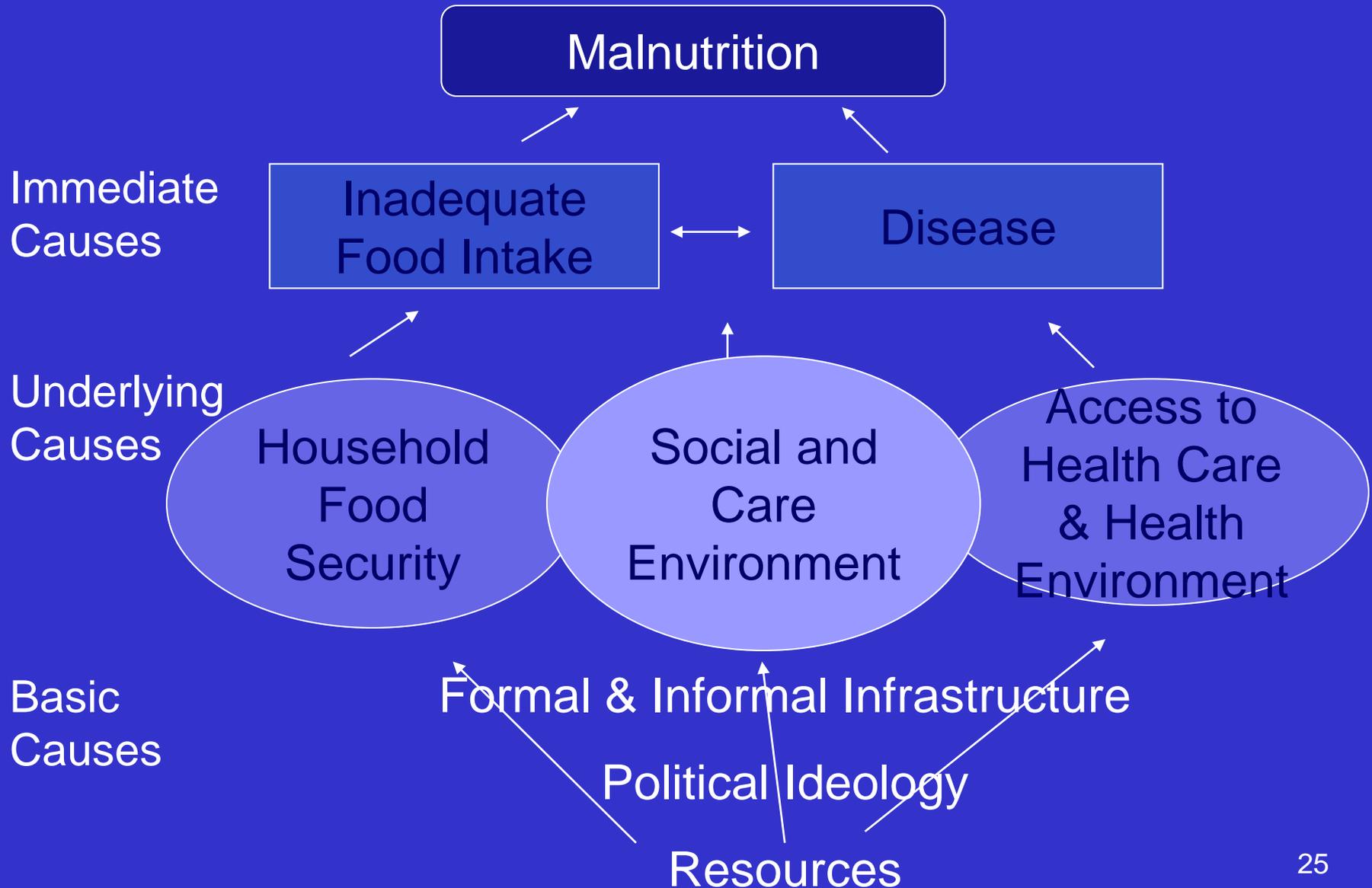
# Example of crude mortality rate calculation

Use past household census method

- Length of recall period = 383 days
- Number of household members at beginning of recall period = 3,045
- Number of births during recall period = 115
- Number of deaths during recall period = 85
- **What is crude mortality rate?**

$$\frac{85}{3045 + (0.5 \times 115) - (0.5 \times 85)} \times 10,000 / 383$$
$$= 0.71 \text{ deaths} / 10,000 / \text{day}$$

## 2. Determine objectives and outcomes



# Surveys: Tasks and Important Steps

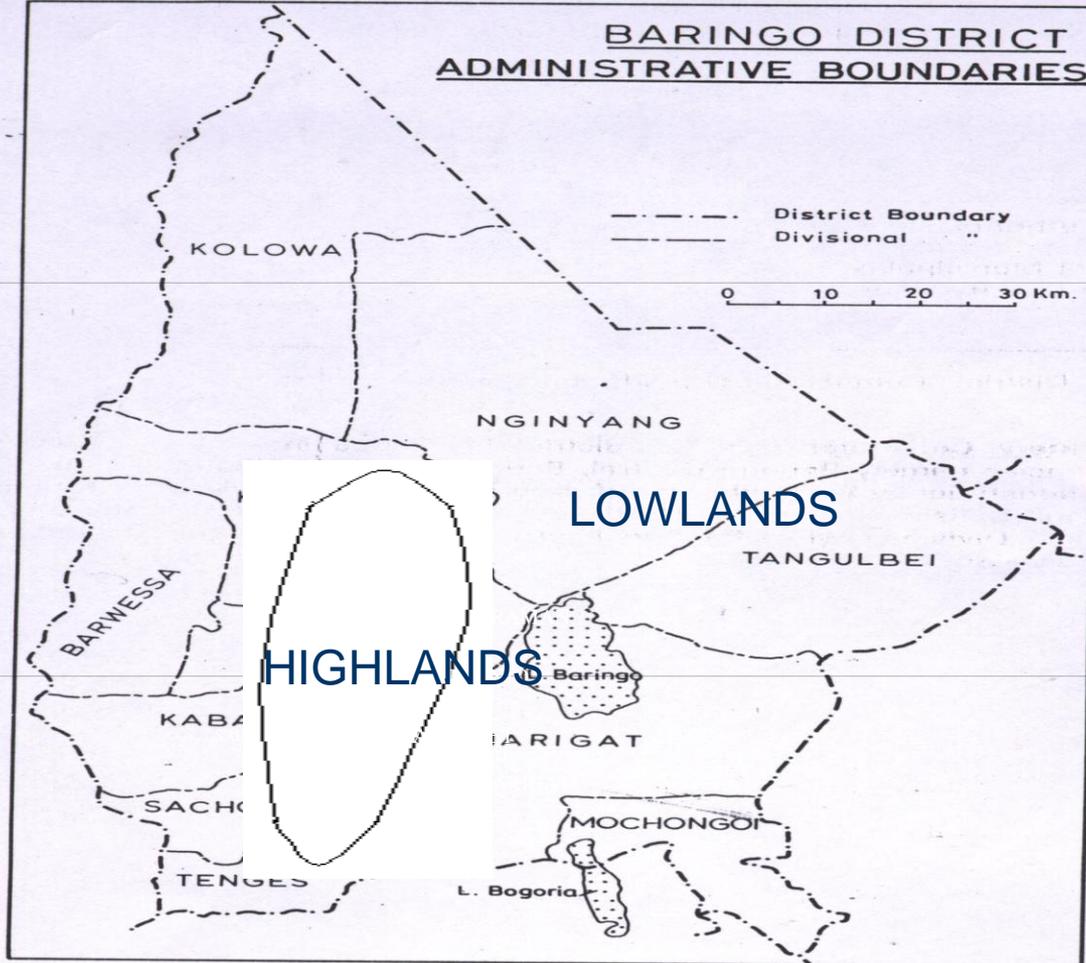
1. Determine broad questions to be answered
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- 3. Define the sampling frame**
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# PRACTICAL EXERCISE

What is the sampling universe for the survey(s) in Baringo District?

Map No. 2

### BARINGO DISTRICT ADMINISTRATIVE BOUNDARIES



Prepared by DRSRS

# Sampling frame

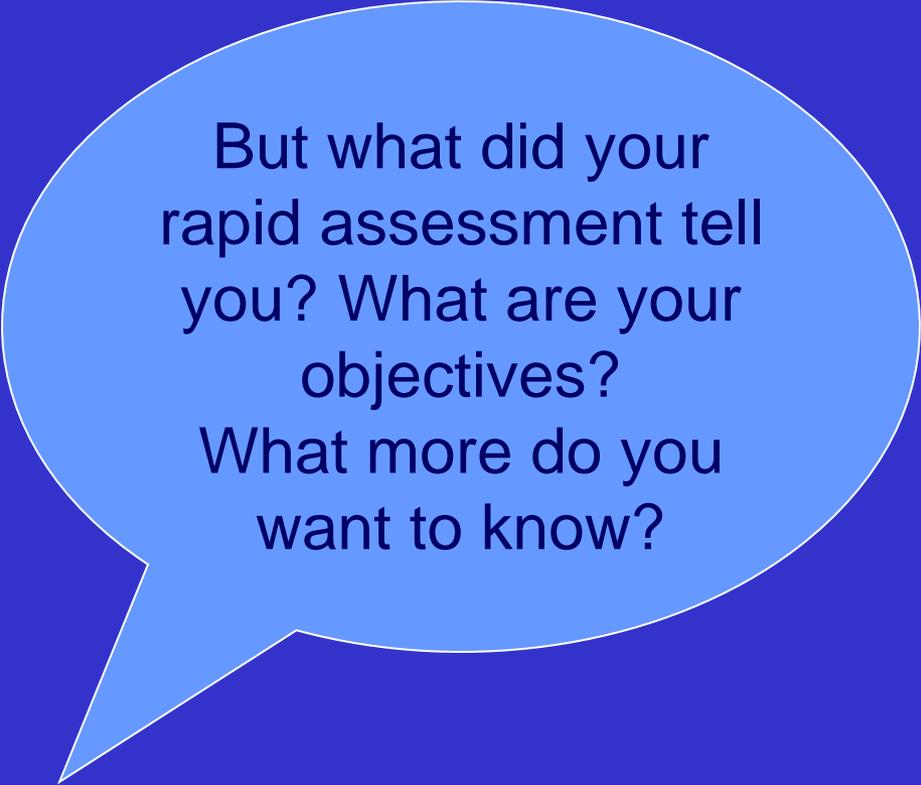
- Rapid assessment and objectives of survey
- Geography and access
- Security conditions
- Homogeneity of population
- Population to which the program is or will be targeted
- Factors causing differences in levels of malnutrition or disease

# Surveys: Tasks and Important Steps

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# Design the questionnaire: essential variables

- Age
- Sex
- Height
- Weight
- Oedema



But what did your  
rapid assessment tell  
you? What are your  
objectives?  
What more do you  
want to know?

# Design the questionnaire: Example

The  
questionnaire  
must be  
piloted

NUTRITION SURVEY 2001 -- Data collection form (page 3)

## CHILD 6-59 MONTHS OF AGE

Cluster number: \_\_\_\_\_ Household number: \_\_\_\_\_ Child's household member number: \_\_\_\_\_

Child's date of birth: ..... Day \_\_\_\_\_ Month \_\_\_\_\_ Year \_\_\_\_\_

Sex: (circle one) ..... Male, Female

Relationship of respondent to child: (circle one) ..... Mother Father Grandparent Other

Is this child breast feeding? ..... Yes, No

If no, was this child ever breast fed? ..... Yes, No

If no, at what age did child stop breast feeding? ..... \_\_\_\_ mos.

Now I would like to ask you about foods that your child ate in the last 7 days. In the past 7 days:

How many days did this child eat meat? ..... \_\_\_\_ days

How many days did this child eat flour or flour products? ..... \_\_\_\_ days

How many days did this child eat milk, butter or dairy products? ..... \_\_\_\_ days

How many days did this child eat rice? ..... \_\_\_\_ days

How many days did this child eat potatoes? ..... \_\_\_\_ days

How many days did this child eat other vegetables? ..... \_\_\_\_ days

# Surveys: Tasks and Important Steps

1. Determine broad questions to be answered
2. Determine objectives and outcomes to be measured
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4. Design a questionnaire
- 5. Sampling methodology and sample size**
6. Data collection
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# Sampling

Why sample?

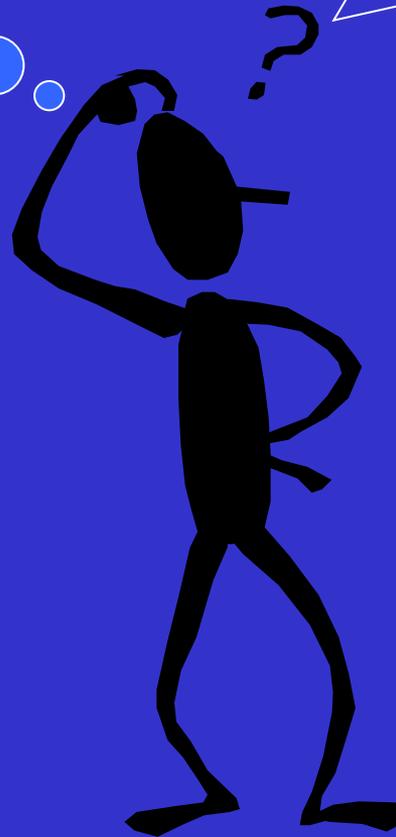
..because we cannot measure every person in the population

What is the goal of sampling?

..to estimate some measure in the larger population

What is necessary to achieve this goal?

....to estimate some measure in the population, the sample must be representative



# Sampling Methodology: types

## Probability sampling

- Simple random sampling
- Systematic random sampling
- Cluster sampling

## Non-probability sampling

- Key informants
- Convenience sampling
- Purposive sampling

# Sampling Methodology:

A representative sample means that:

1. Each individual or sampling unit in the population has the same chance or probability of being selected
2. The selection of one individual should be independent of the selection of another

Simple random sampling  
Systematic or interval sampling  
**Cluster sampling**

Which sampling method here?

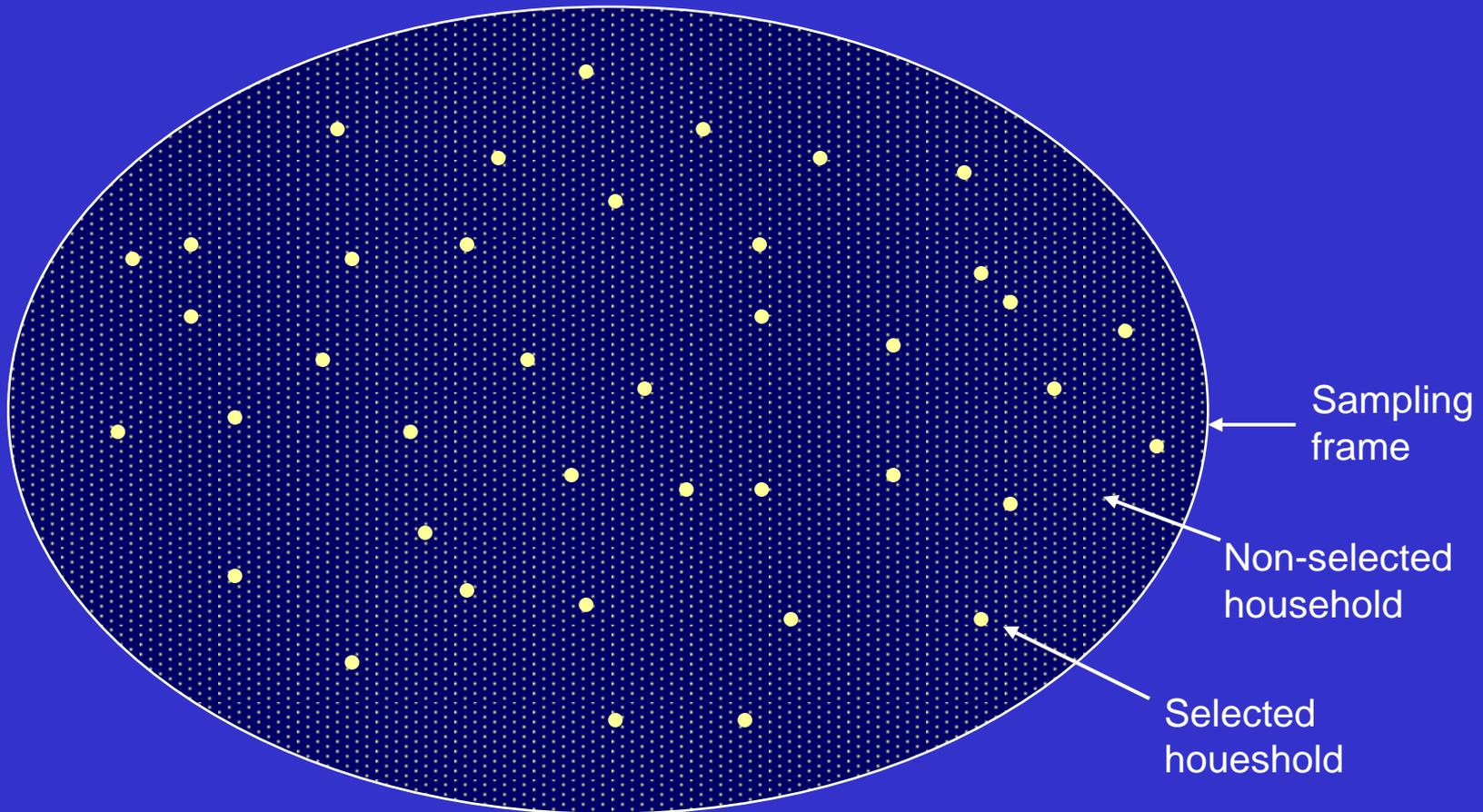




Which sampling method here?

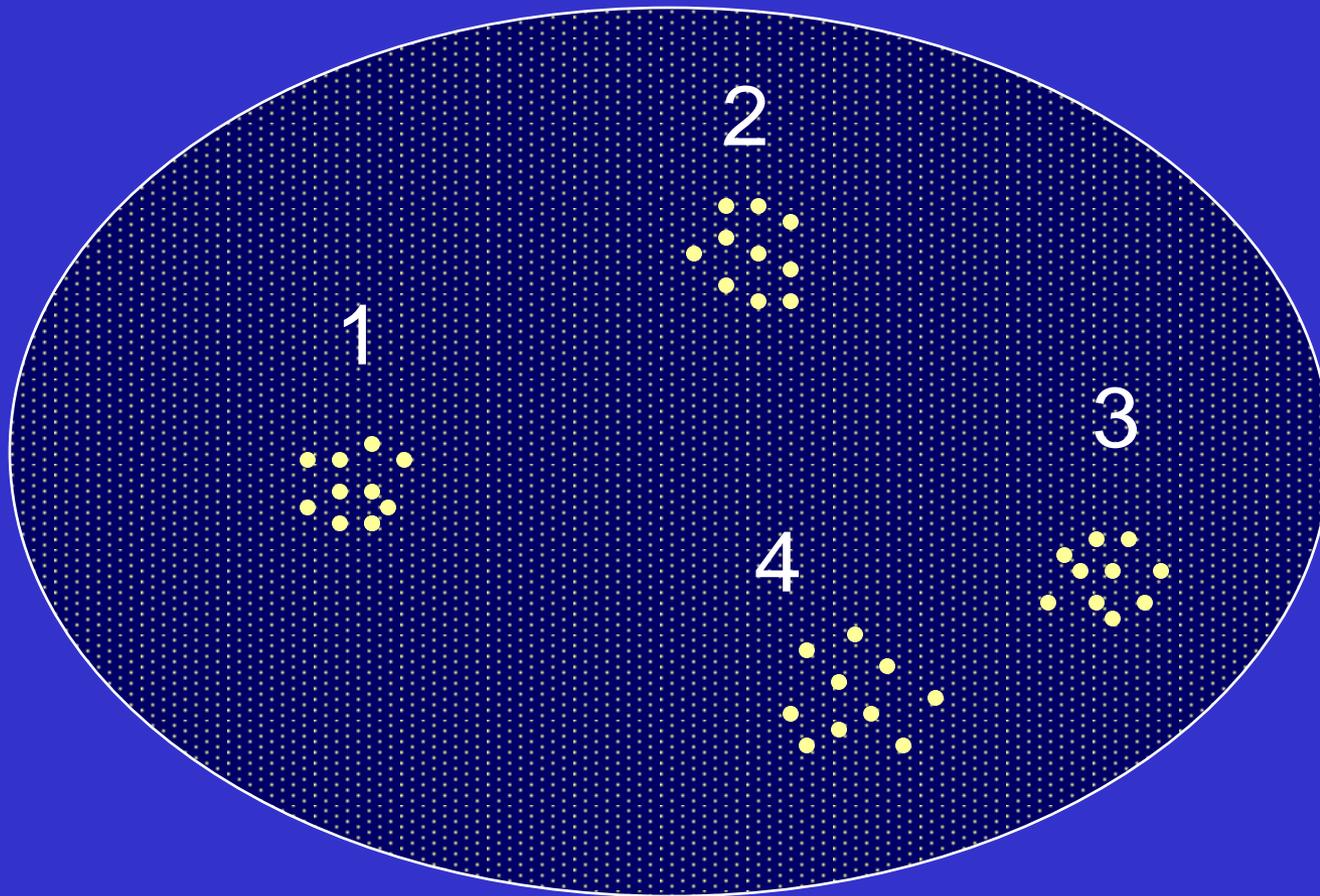
# Sampling

## Simple random sampling



# Sampling

## Cluster sampling



# Sample size

Small sample size



Result of single survey

# Sample size

Large sample size without bias:



# Sample size

Large sample size



Bias from poor measurements, bad equipment, selecting a non-representative sample

# Precision

Precision: obtaining similar results with repeated measurement



# Calculating the sample size

1. Precision desired
2. Expected prevalence of the outcome
3. Error risk (taken as 5%)

As long as the sampling frame is larger than a few thousand, then do not need to know the denominator or total population size

# Calculating the sample size

The sample size is calculated using the following formula:

$$n = \left\{ t^2 \times \frac{p \times q}{d^2} \right\}$$

Where: **n = sample size**

**t** = the risk of error (1.96 or 5% error)

**p** = expected prevalence (fraction of 1)

**q** = 1- p (expected non-prevalence)

**d** = level of precision (fraction of 1)

Sample size should be multiplied by design effect in cluster surveys

# Calculating the sample size

The sample size is calculated using the following formula:

$$81 = \left\{ 1.96^2 \times \frac{0.3 \times 0.7}{0.1^2} \right\}$$

Where: **n = sample size**

**t** = the risk of error (1.96 or 5% error)

**p** = expected prevalence (fraction of 1)

**q** = 1- p (expected non-prevalence)

**d** = level of precision (fraction of 1)

Sample size should be multiplied by design effect in cluster surveys

# Sample size: individuals

Indicator	Target Group	Est. prevalence	Prec.	# of subjects	# per HH	Req'd # of HHs
Wasting	Children <5 yrs	10%	±5	139	0.84	165
Anemia	Women 15-49 yrs	50%	±10	96	1.39	69
Iodized salt	Households	80%	±5	246	1.00	246
Exclusive BF	Infants <6 mos	20%	±5	246	0.08	3075

# Sample size: households

Indicator	Target Group	Est. prevalence	Prec.	# of subjects	# per HH	Req'd # of HHs
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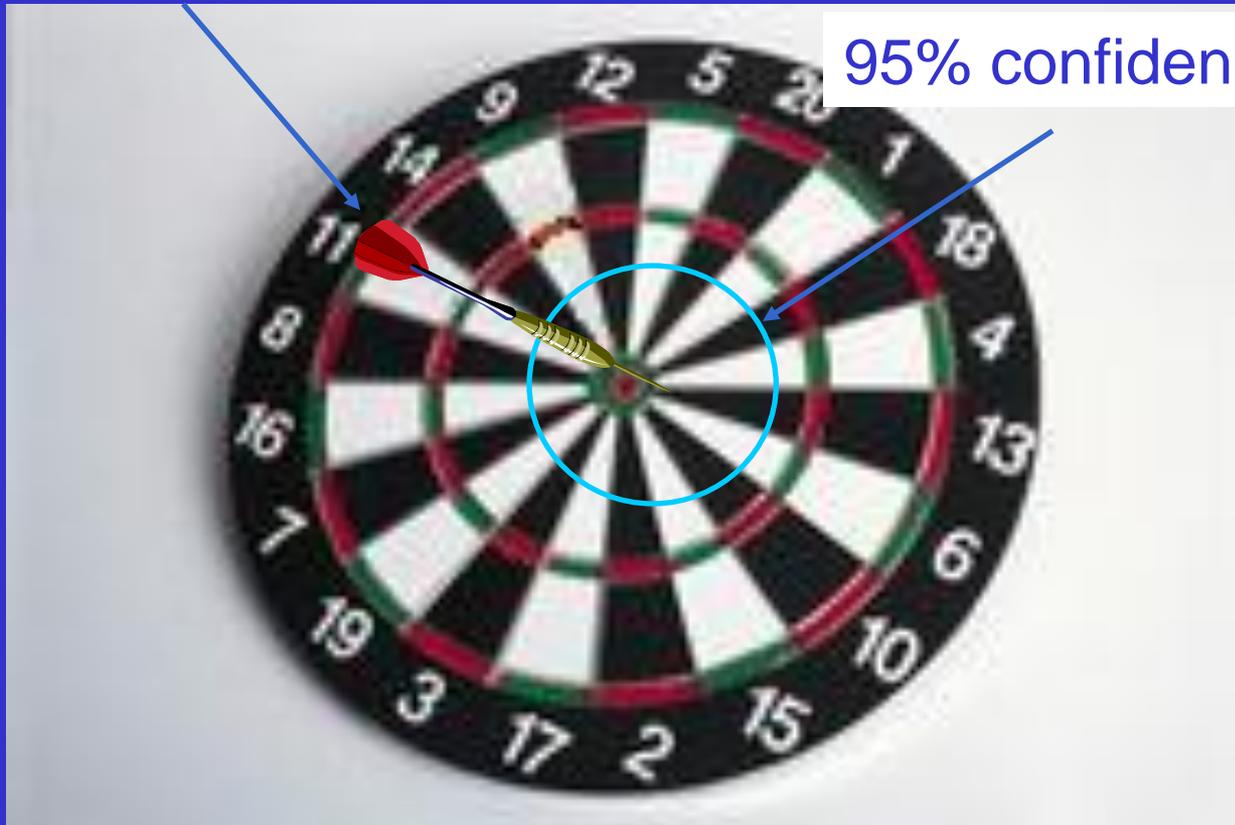
# Confidence Interval

What does a 95% confidence interval mean?

**Assuming that the prevalence in the entire population is what you estimate in your survey, then if you repeat your survey 100 times with a different sample each time, 95 of these surveys would give a result inside the confidence interval.**

# Sampling: Confidence Interval

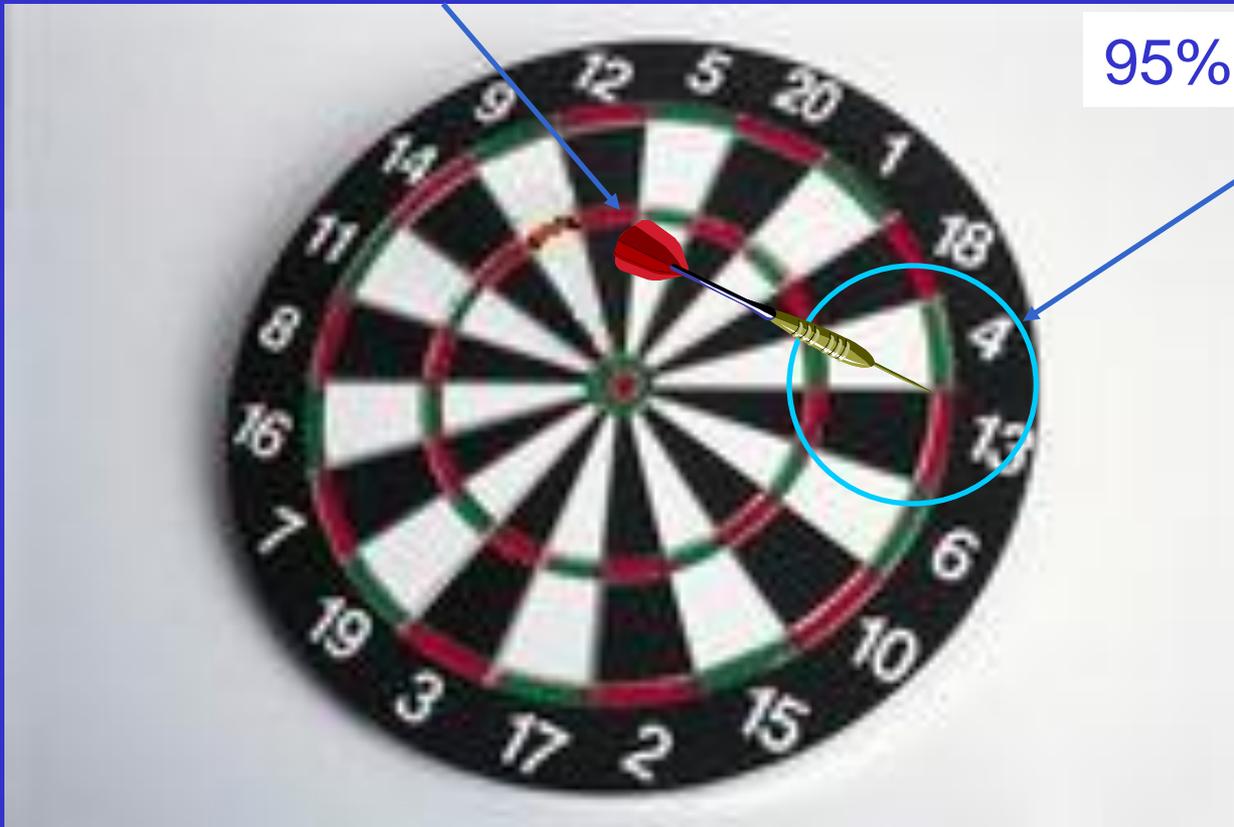
Result of single survey



95% confidence limits

# Sampling: Confidence Interval

Result of single survey



95% confidence limits

# Design Effect

- Design effect is associated with:
  - Clustering of outcome in population
  - Number of clusters

For a 30 cluster survey in Mongolia, the design effect was:

- Iodated salt - 5.1
- Stunting in children - 1.4
- Acute malnutrition in children – 1.3

# Calculating the sample size in cluster surveys

The sample size is calculated using the following formula:

$$n = \left\{ t^2 \times \frac{p \times q}{d^2} \right\} \times \text{design effect}$$

# PRACTICAL EXERCISE

Calculate the required sample size required to estimate the prevalence of acute malnutrition with simple random sampling in Baringo:

We want a precision of  $\pm 4$

Assume design effect of 2

What should we assume as prevalence?

~30%

# PRACTICAL EXERCISE

What is required sample size?

1008

How many children in each of 30 clusters?

34

# PRACTICAL EXERCISE

Change desired precision to  $\pm 5$

What is required sample size now?

645

# Cluster sampling: Probability Proportional to Size (PPS)

District:	Tsaag-annur	Nogoon-nuur	Ulgii	Altant-sogts	Bugat	Bayan-nuur
Not PPS	231	912	3,099	376	484	763
PPS	231	912	3,099	376	484	763

# Cluster sampling

## Selecting the clusters: STAGE 1

- Construct a list of primary sampling units (e.g. camp sections), listing the population size of each one
- In an adjacent column, list the cumulative population
- Estimate sampling interval: divide population by 30 clusters
- Pick random number between 1 and sampling interval: this is your random start
- Add sampling interval to the random number and choose 2nd cluster
- Continue until 30 clusters have been selected

# Cluster sampling

## Selecting the households: STAGE 2

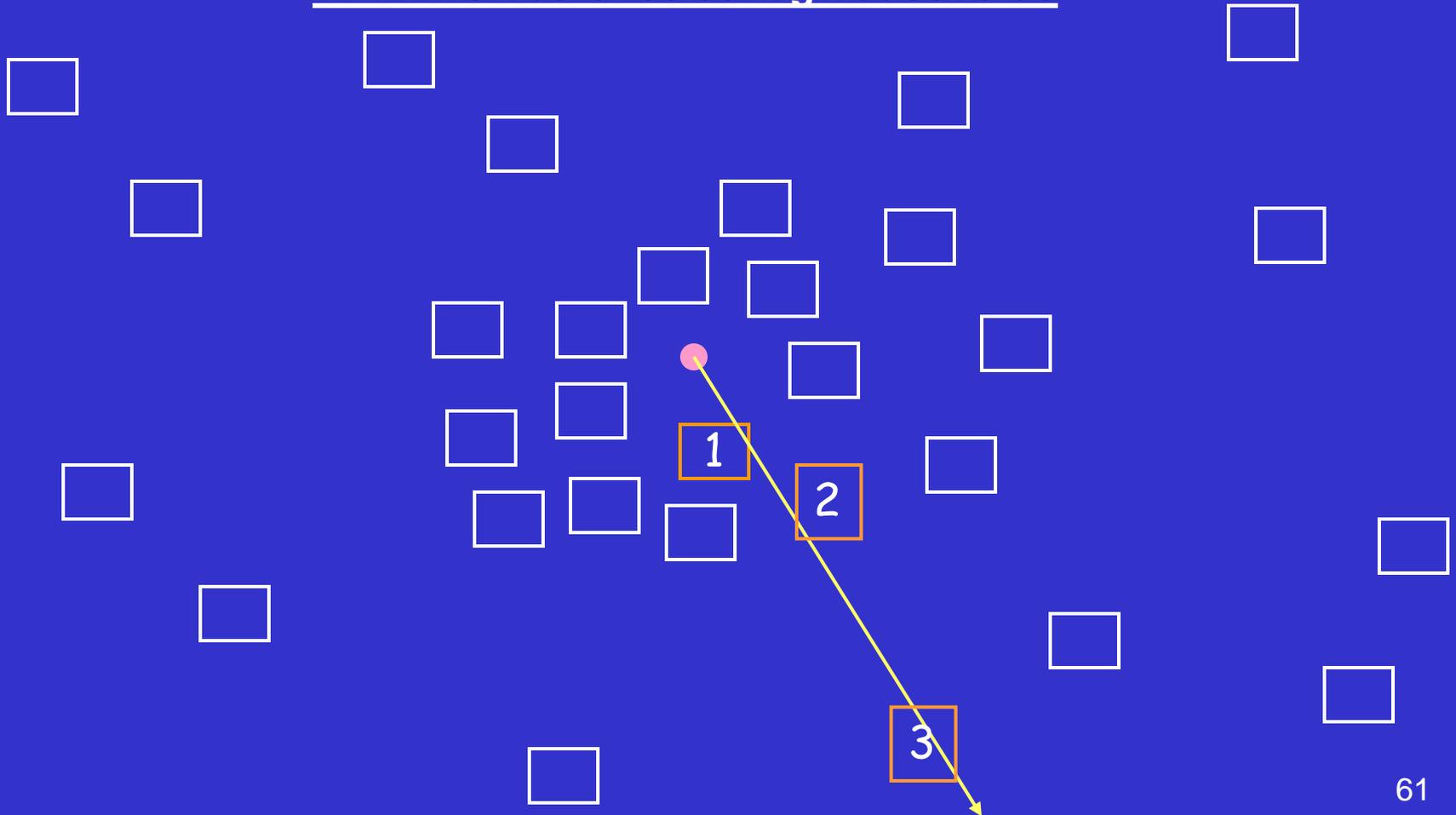
### I: EPI method of selecting households

- In each cluster go to the center and choose a random direction
- Walk in a straight line to the perimeter of the cluster counting the number of houses in that line ( $x$ )
- Choose random number between 1 and  $x$
- This is the first house
- Continue next closest house until you complete your cluster

# Cluster sampling

## Selecting the households: STAGE 2

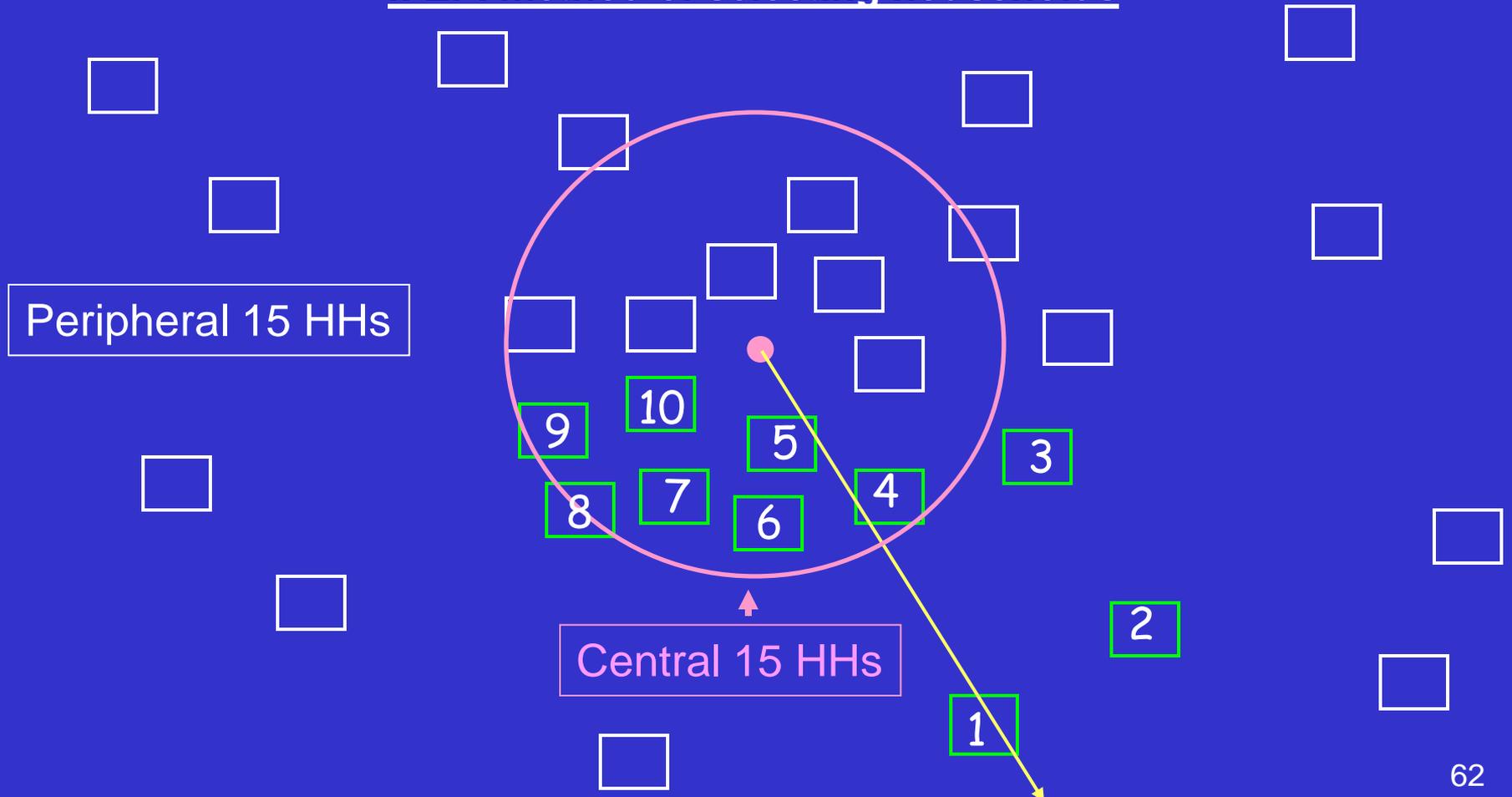
I: EPI method of selecting households



# Cluster sampling

## Selecting the households: STAGE 2

### I: EPI method of selecting households



# Cluster sampling

## Selecting the households: STAGE 2

### II: Random sampling using community lists

- Upon arriving in the village, locate the village leader and explain the survey
- Ask for a complete list of all households, allocate numbers to each household
- If more than 100-200 households, identify sub-sections and list households in a randomly selected subsection
- Choose random numbers using table until required number of households selected

# PRACTICAL EXERCISE

Identify the first fifteen clusters (of 30 clusters) to be surveyed in the case-study (Stage 1 sampling)

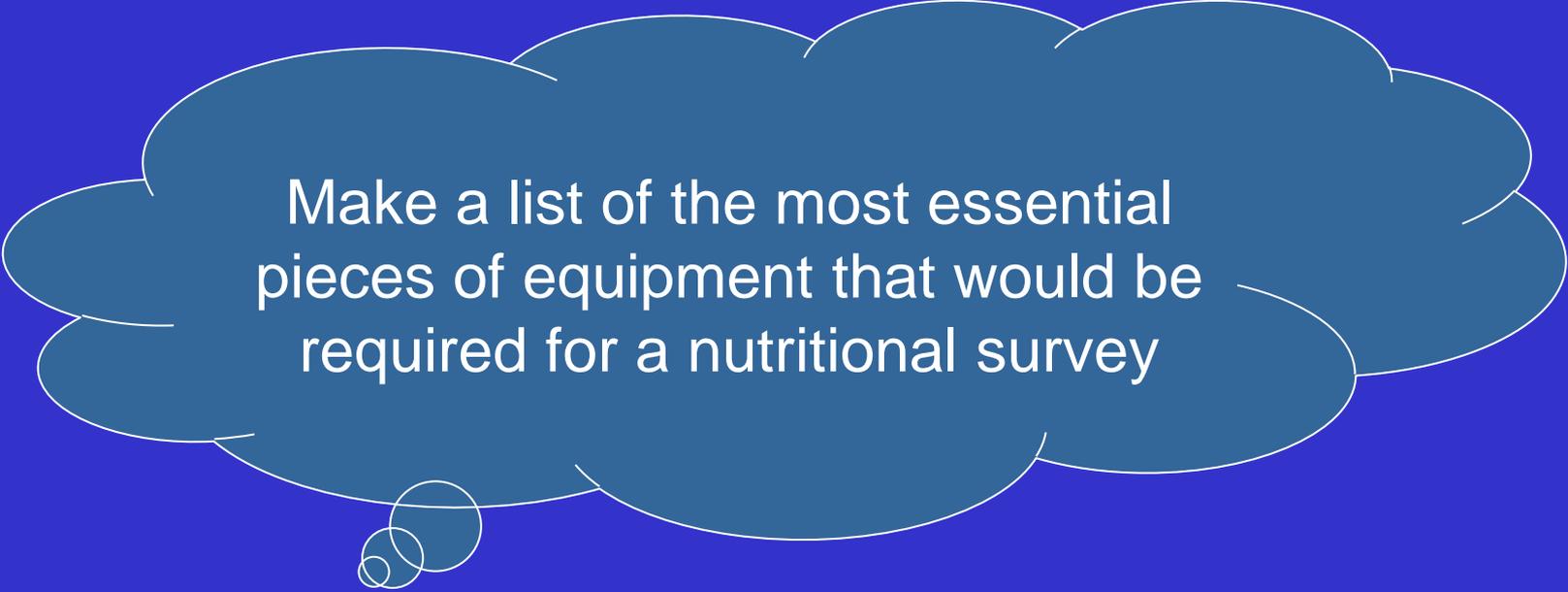
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# Survey planning; early stages

- Permission from authorities
- Enlist community support
- Consult other organizations about data to collect
- Inform community
- Feasibility
  - Security
  - Accessibility
- Budget
  - Supplies and equipment
  - Manpower
  - Transportation and logistics

# Survey planning; equipment



Make a list of the most essential pieces of equipment that would be required for a nutritional survey

Oxfam Survey Kits:  
See handout

# Survey team: Manpower and personnel

## Task

- Supervising
- Driving
- Interviewing
  
- Weighing and measuring
  
- Obtaining biologic specimens

## Type of person needed

- Person experienced with surveys
- Driver
- Physician, nurse, nurse assistant, community worker
- Nurse, teacher, other (literate)
  
- Laboratory technician, physician, nurse

# Survey teams: Training

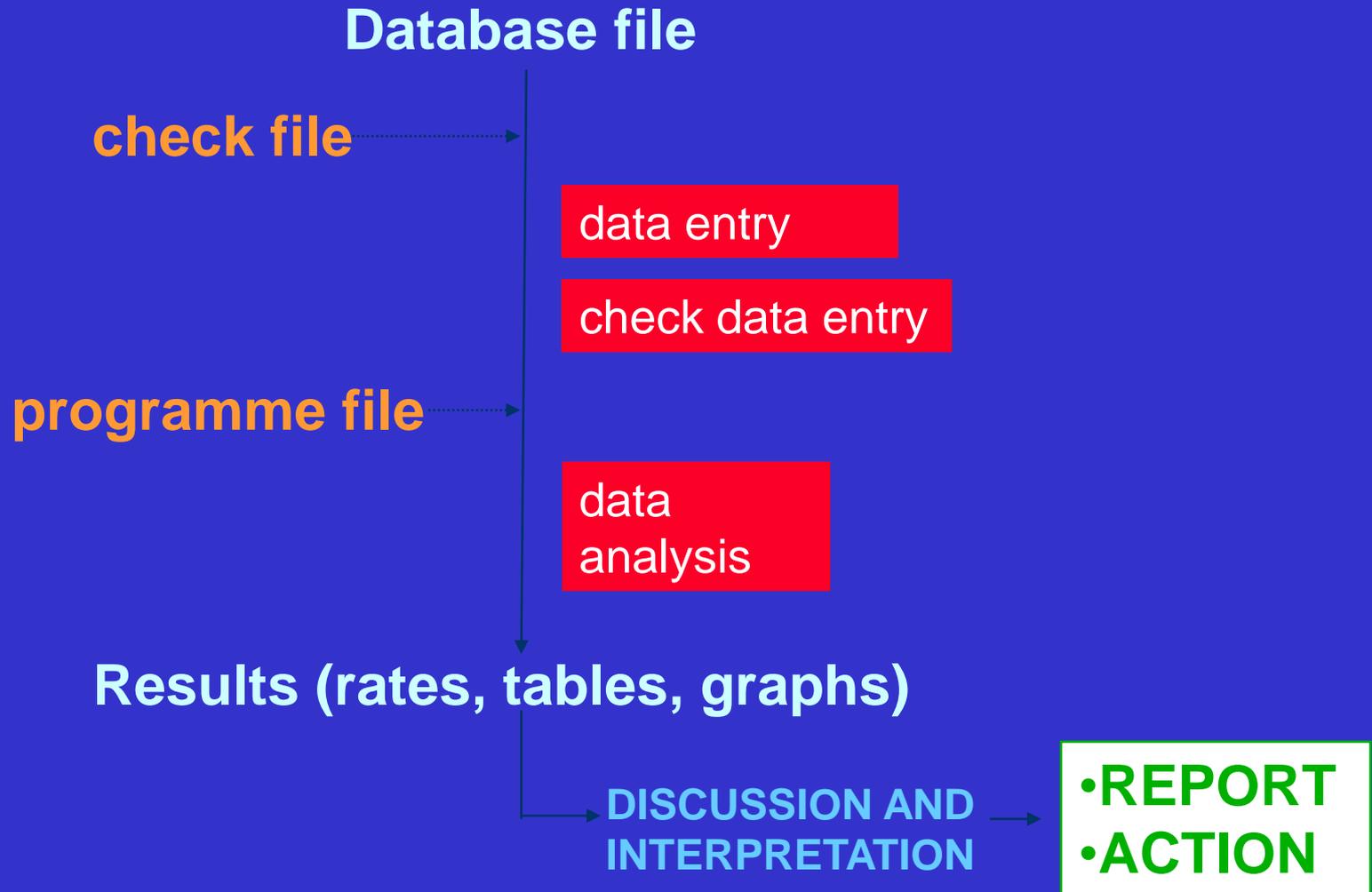
- Decide which team members need which skills and knowledge
- Create schedule for training
- Include mixture of theory and practice
- Allow plenty of time for practice in classroom and in field situation



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# Data Analysis with Computers



# Analysis: Results

## Sample size:

- 855 children less than 5 years old
- 598 families surveyed

## Prevalence of wasting:

- 28.9% < -2 Z scores weight for height [CI:25.9-32.1]
- 5.3% < -3 Z scores weight for height [CI:3.9-7.0]

## Malnutrition level by origin (resident or displaced):

- Displaced 31.9% <-2 Z scores
- Resident 24.2% <-2 Z scores [p=0.02]

## Coverage of feeding programmes:

- SFP 21.2% [12.9-32.7]
- TFC 17.2% [3.9-46.4]

# Results (cont)

## Measles coverage:

- Measles immunization coverage 59.4% [CI:54.6-64.1]

## Major morbidity in last two weeks:

- Watery diarrhea 17.2% [CI:13.8-21.2]
- Measles 6.2% [CI: 4.2-9.0], N=53

45% of measles cases moderately or severely malnourished

22% of mortality in children over 5 years of age from measles

## Mortality rates: (over 7 month period)

- Crude mortality rate: 3.2/10,000/day
- <5 mortality rate: 9.8/10,000/day

# Analysis: Nutritional results

- Overall acute malnutrition ( $<-2$  z-score or presence of oedema) with a 95% confidence limit
- Moderate acute malnutrition ( $>-3$  and  $<-2$  z-score without oedema) with a 95% confidence limit
- Severe acute malnutrition ( $<-3$  z-score or presence of oedema) with a 95% confidence limit
- Number (and proportion) of severely malnourished children who have oedema

# Quick Quiz

- A survey included 836 children 6-59 months of age.
- 2 children without oedema had a z-score of  $<-3$  weight for height. An additional 2 children with normal z-scores had oedema.
- 27 had a z-score  $>-3$  but  $\leq-2$ .
- What is the prevalence of severe, moderate and overall malnutrition?

Severe malnutrition =  $4 (2+2) / 836 = 0.5\%$   
( $<-3$  z-score or oedema)

Moderate malnutrition =  $27 / 836 = 3.2\%$   
( $\leq-2$  and  $>-3$  z-score)

Overall malnutrition =  $(4 + 27) / 836 = 3.7\%$   
( $<-2$  z-score or oedema)

# Analysis: Confidence Intervals

- Simplified formula for calculation of the 95% confidence interval:

$$d = 1.96 \times \sqrt{2 \times \frac{p \times q}{n}}$$

$$CI = p \pm d$$

# Analysis: Results Summary (1)

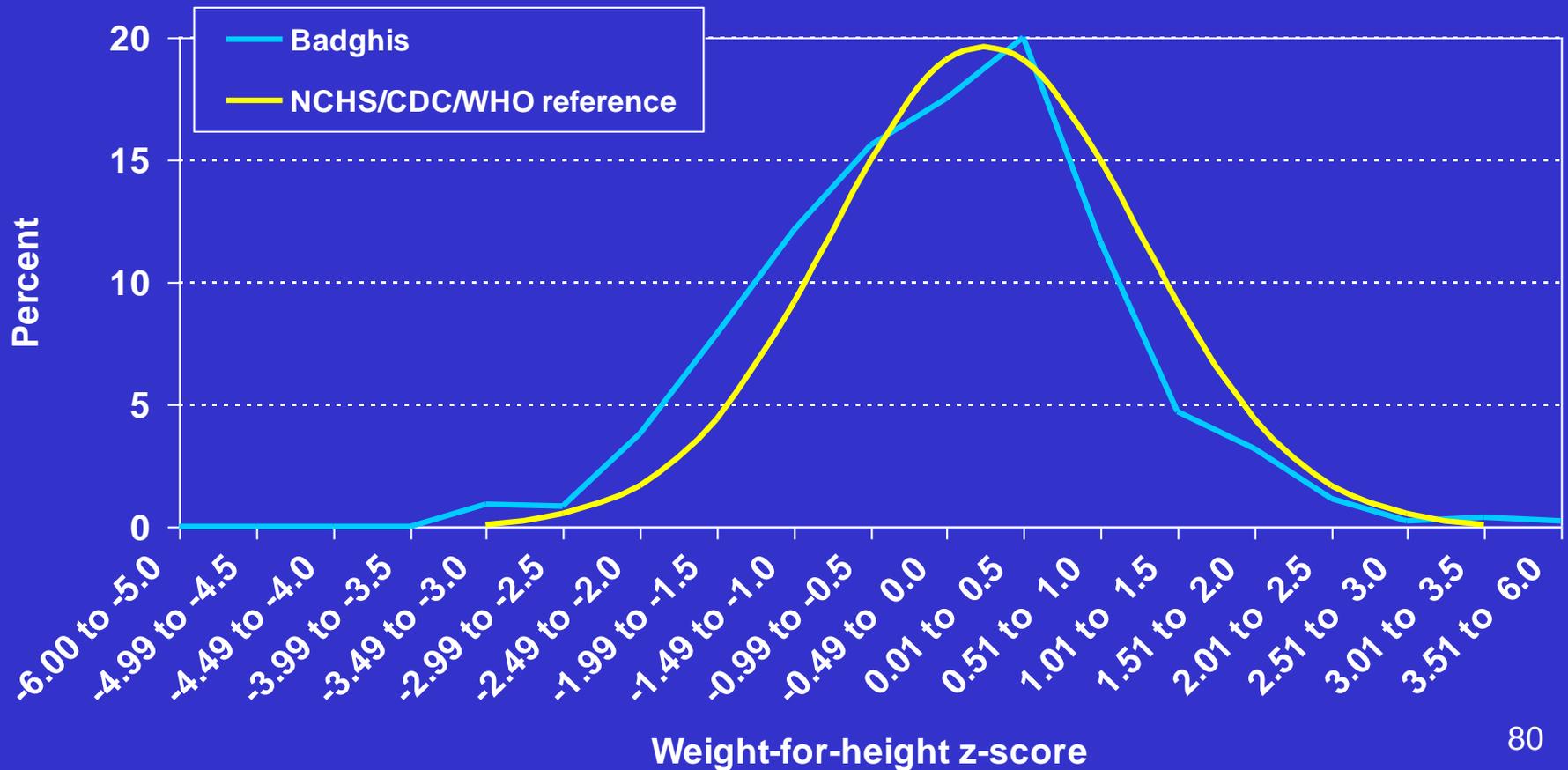
	$\leq -3$ z-scores and/or oedema		$> -3$ and $< -2$ z-scores		$\geq -2$ z-scores	
	N	%	N	%	N	%
6-17 months						
18-29 months						
<b>6- 29 months</b>						
30-41 months						
42-53 months						
54-59 months						
<b>6 – 59 months</b>						

# Analysis: Results Summary (2)

	Number	Weight for Height		Total % <- 2	Mean Z-score	% with oedema	
		< -3 z-score	<-2 z-score and >-3 z-score			< - 2 z-score	>- 2 z-score
6 -11 m 0 - 11 m							
12 - 17 m 18 -23 m 12 -23 m							
24 - 35 m 36 -47 m 48 - 59 m 24 - 59 m							
Total 0 - 59 m							

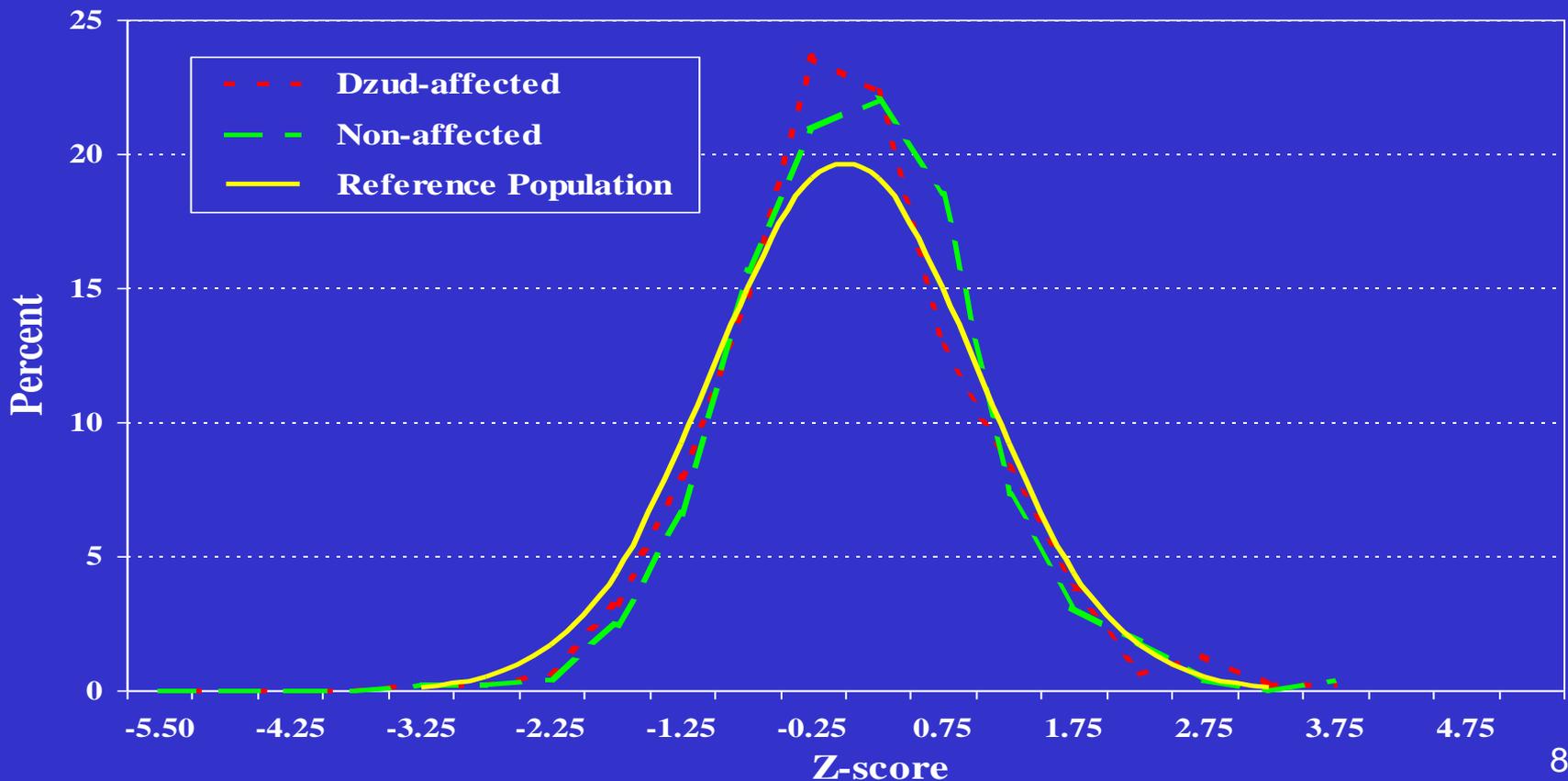
# Analysis: Frequency Distribution

Distribution of weight-for-height z-scores, children < 5 years of age, Badghis Province, Afghanistan, March 2002



# Analysis: Frequency Distribution

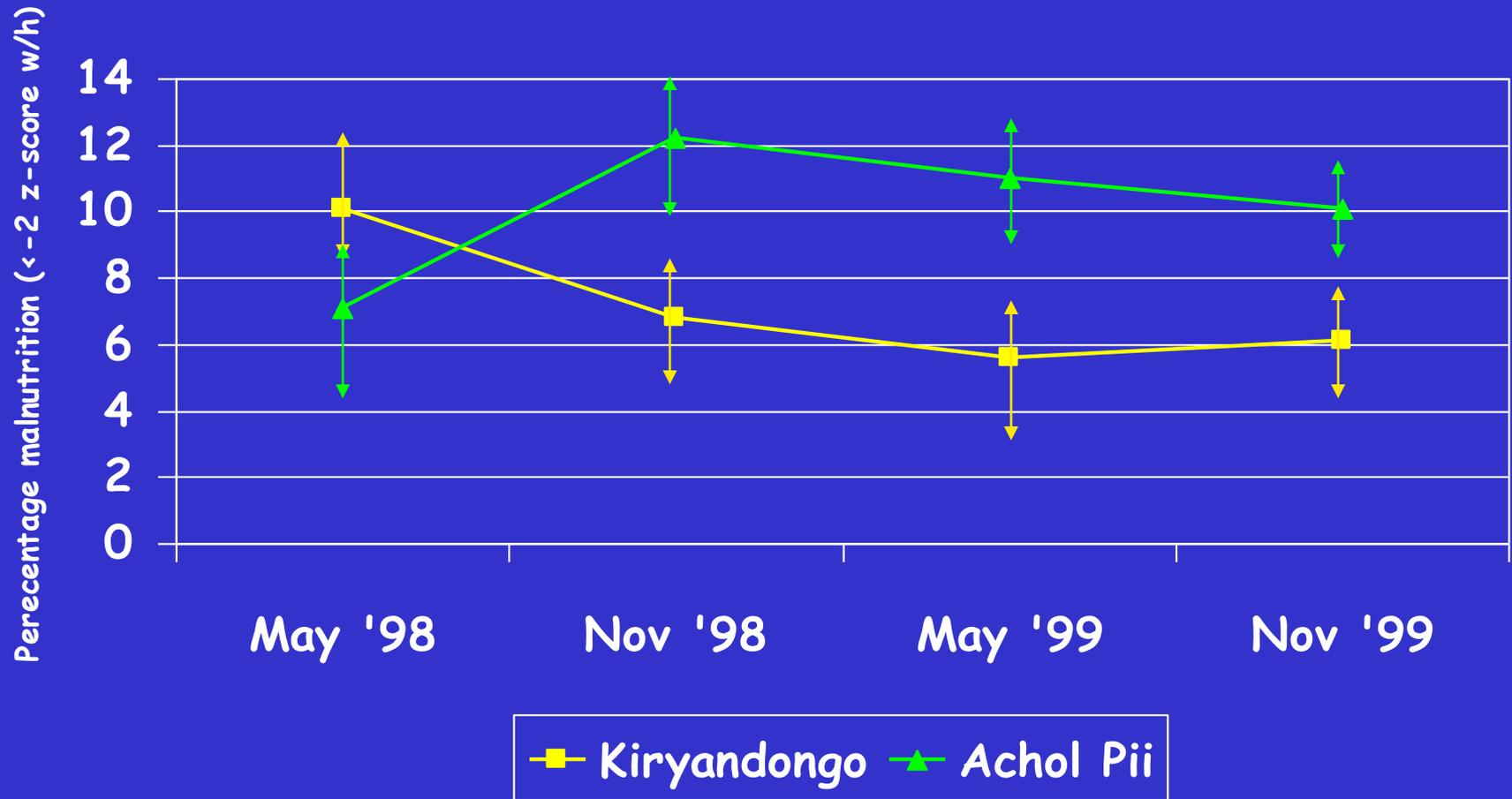
Distribution of weight-for-height z-scores for children 6-59 months of age, by dzud, Mongolia Nutrition Survey, June 2001.



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11. Take action

# Prevalence of Malnutrition: Sudanese refugee camps, Uganda (1998- 99)

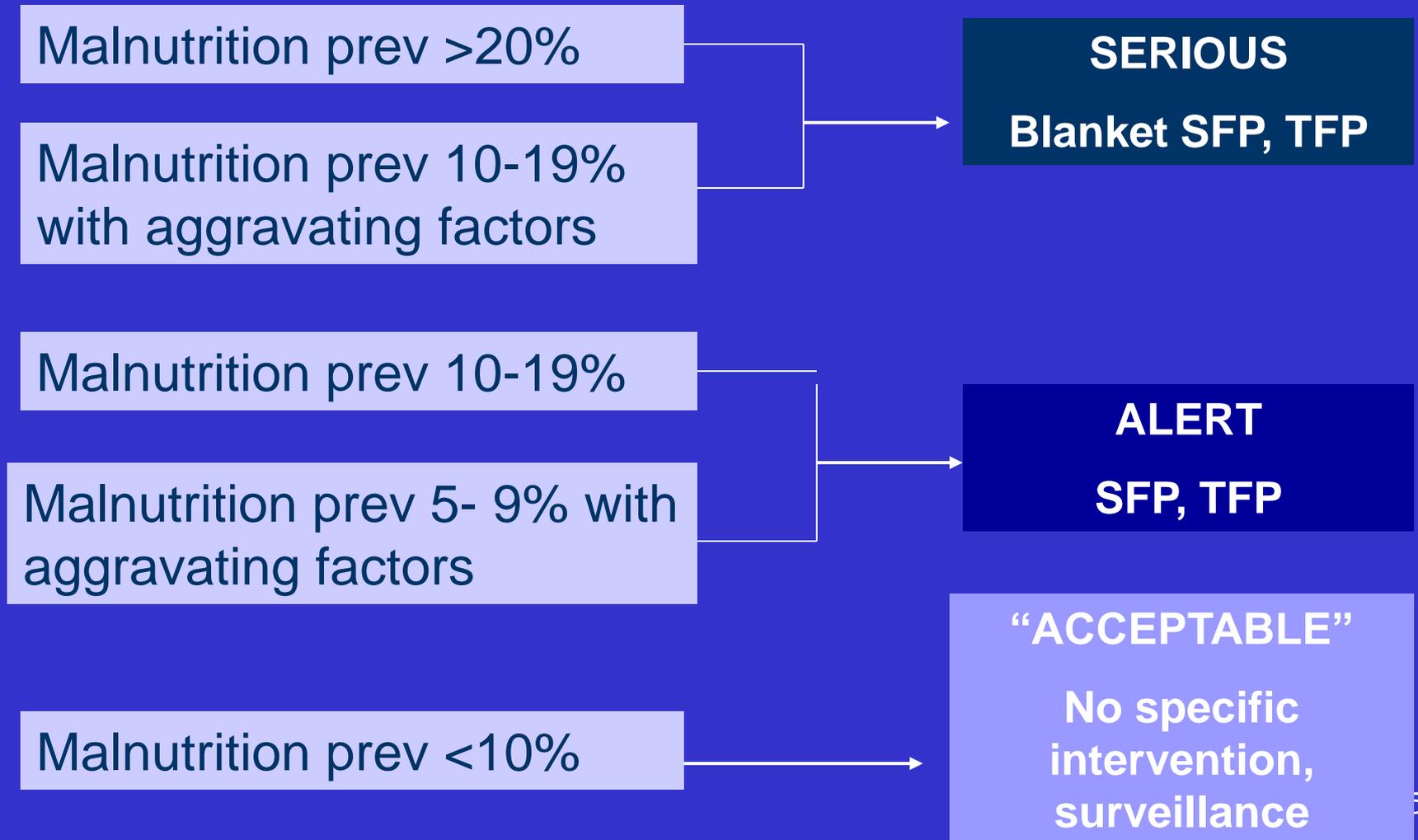


Source: WFP/UNHCR 2001

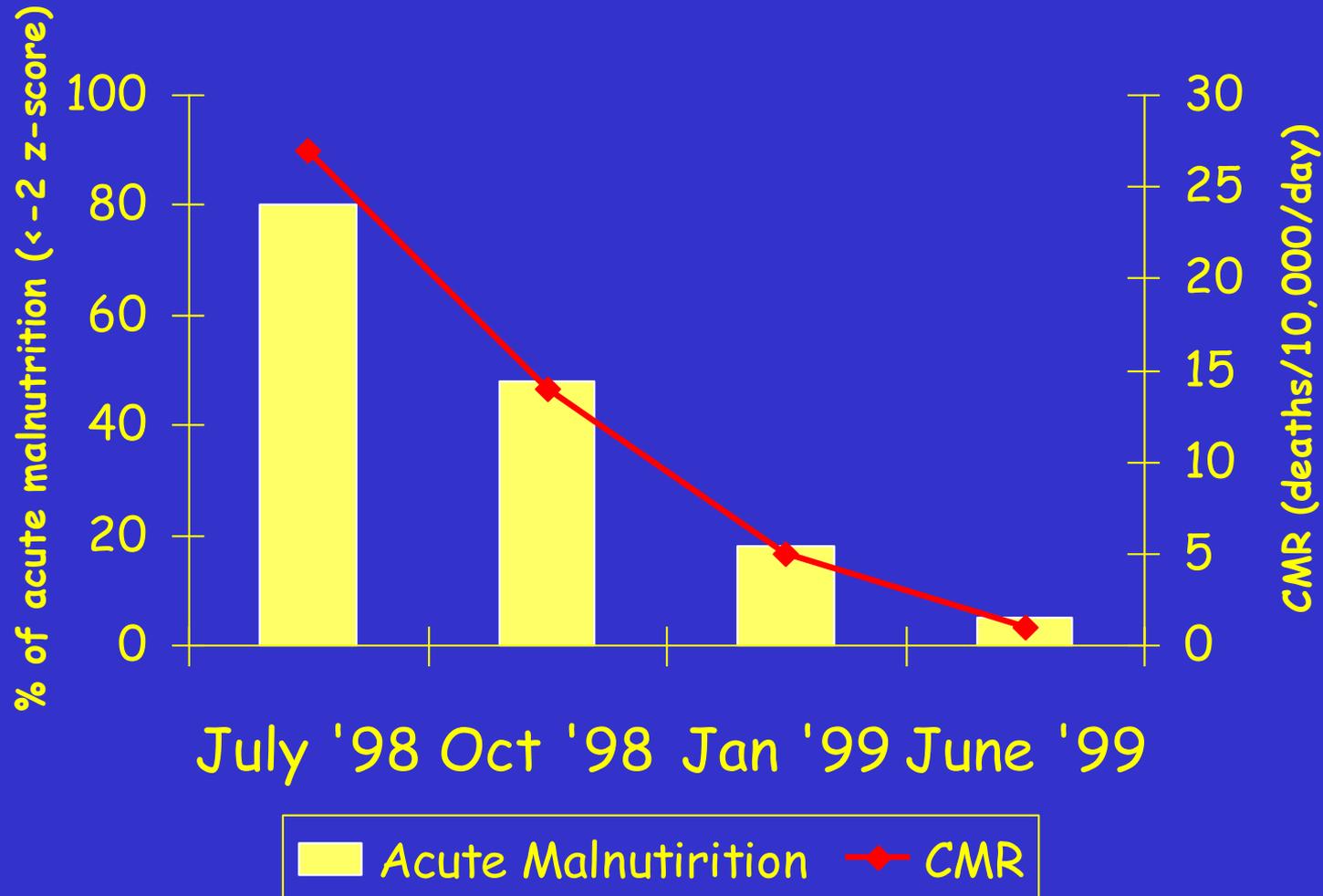
# Interpretation: Other factors

- Trends and change
- Confidence Intervals (CI)
- Seasonality
- Intervention cut-offs and benchmarks (MSF, RNIS)
- Aggravating factors or risks
- Baseline or 'normal' prevalence
- Prevalence of other types of malnutrition e.g. MDDs, chronic malnutrition
- Mortality levels

# Bench-marks of levels of wasting used to guide intervention (MSF 1995, WHO 2000)



# Malnutrition and Mortality



# Surveys: Tasks and Important Steps

1. Determine broad questions to be answered
2. Determine objectives and outcomes to be measured
3. Define the sampling frame
4. Design a questionnaire
5. Sampling design and implementation
6. Survey administration
7. Logistics, equipment, and survey team
8. Data entry and analysis
9. Interpretation of results
- 10. Preparation and dissemination of report**
11. Take action

# Preparation of report

- Executive Summary
- Background
  - **description of context**
  - **rationale for survey**
  - **participants and date**
- Goals and objectives
  - **“to determine the prevalence of acute malnutrition among under five year olds”.**
  - **the questions that need to be answered**
- Methods
  - **sampling framework, sampling methodology and sample size, questionnaire, case definitions for morbidity, training, quality control**

# Preparation of report (cont)

- Results
  - description of survey sample
  - prevalence based on weight for height z-score (also by age groups), graphs, prevalence of diseases
  - other analyses
- Discussion
  - comparison with previous surveys (trends)
  - discussion of seasonal variation on nutritional status
  - underlying causes
  - information from secondary sources e.g mortality, food security
  - limitations of survey

# Preparation of report (cont)

- Recommendations
  - relate to objectives
  - specific and practical
- Appendices
  - maps
  - populations figures
  - calculations of sample size
  - example of questionnaire

# Dissemination of Report

- Timeliness
- Feedback to local authorities
- Feedback to survey team
- Distribute report widely
- Refugee Nutrition Information System (RNIS)

# Surveys: Tasks and Important Steps

1. Determine broad questions to be answered
2. Determine objectives and outcomes to be measured
3. Define the sampling frame
4. Design a questionnaire
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# Take Action

- Interpret and understand findings
- Review and revise programme objectives
- Advocate for resources e.g. food pipeline or access to clean water
- Address underlying causes of poor health or nutrition
- Increase coverage of programmes
  - Vaccination, food aid, SFPs
- Close emergency selective feeding
- Use findings as part of wider country information system

# Role of UNICEF in Surveys?

- Advocate for universally accepted best practice data collection methods
- Develop national protocols with Government
- Provide equipment
- Provide technical support
- Provide training
- Establish data base (map etc)
- Ensure findings are used appropriately, especially in UNICEF programmes
- Ensure that there is in-country capacity for doing valid surveys (emergency preparedness)

# Conclusions and Review

- An appropriate response requires a good understanding
- A rapid nutrition and health assessment survey is one useful tool for understanding extent and severity of the public health problem
- A good survey:
  - Requires good planning and preparation
  - Is based on standardized data collection methods

# Conclusions and Review

- **Prevalence of malnutrition:**
  - Should be reported using standard nutritional indices
  - Should be interpreted in the context of other information
- **UNICEF has an important role in broadening and strengthening good practice in nutritional survey methodology in emergencies**

# Constraints of nutritional surveys

“.....Expensive nutritional status surveys have become so common over the years that people can rightly ask whether we are getting any kind of return at all on an investment in more surveys, at least as they have traditionally been undertaken - often measuring for the sake of measuring...”

(Berg, 1991)

# Constraints of nutritional surveys

