

Research Terms of Reference

Informing humanitarian action in out-of-camp refugee contexts

Global programme

11 July 2017 - Version 2

1. Summary

Country of intervention	Global with pilot studies in Jordan, Afghanistan and Niger					
Type of Emergency		Natural disaster	X	Conflict	X	Emergency
Type of Crisis		Sudden onset		Slow onset	X	Protracted
Mandating Body/ Agency	BPRM, in partnership with UNHCR					
Project Code	AGORA - 99IABQ					
Research Timeframe	01 June 2016 to 30 May 2018					
General Objective	The programme goal is to promote a more predictable, effective and relevant out-of-camp refugee response through an area-based approach to data collection and analysis.					
Research Questions	<ul style="list-style-type: none"> - How can area-based approaches to data gathering and analysis better inform humanitarian and development responses? - What are the core characteristics of an "area"? - How can "areas" be best identified and understood? - What characteristics can be used to identify key informants that are able to provide the most reliable data on the "area" of their knowledge? - Does the SNA theory apply within the humanitarian/development research framework? 					
Key activities	<p>Set-up and management of program governance mechanisms at global and country level</p> <p>Develop and pilot the "toolbox for area-based assessment and analysis"</p> <p>Roll-out of the "toolbox for area-based assessment and analysis"</p>					
Research Type		Quantitative		Qualitative	X	Mixed methods
Geographic Coverage	The toolbox methodology will be tested in 3 locations: Mafrq/Jordan, Kabul/Afghanistan and Diffa/Niger.					
Target Population(s)	Non-displaced and displaced population in out-of-camp settings					
Data Sources	<p>Secondary data review:</p> <ul style="list-style-type: none"> ➤ Ongoing mapping of existing literature and methodologies (ex. UNHCR urban policy, UNHCR alternative to camps, UDOC desk review, etc.) ➤ Ongoing assessments collecting comparable indicators to be used for triangulation with data collected at KI-level where feasible <p>Primary data collection</p> <p>Service catchment areas</p> <ul style="list-style-type: none"> ➤ Service catchment Areas identified through participatory mapping with service provider/local government key informants ➤ Service catchment level data collected through service provider / local government key informants ➤ Household level data aggregated and analysed at city level <p>Community area</p>					

	<ul style="list-style-type: none"> ➤ Community Areas identified through participatory mapping with community members ➤ Community level data collected through community key informants ➤ Household level data aggregated and analysed at community level 	
Expected Outputs	<ul style="list-style-type: none"> - 1 x global steering committee established - 3 x country level advisory board established¹ - 3 x country field pilots conducted - 3 x lesson learned workshop conducted at country level, within the framework of the advisory boards - 3 x set of outputs produced for each pilot (narrative and visual products) - 3 x regional presentations and Training of Trainers - 5 x presentations at global, regional and country level - 1 x finalised toolbox based on pilot results 	
Key Resources	See section below	
Audience	At country level: local authorities, local and international NGOs, UN agencies and the donor (BPRM)	
	At global level: UN agencies, BPRM, World Bank, INGOs and other IO.	
	Audience type	Specific actors
	X Operational	local authorities, local and international NGOs, UN agencies
	X Programmatic	UN agencies, BPRM, World Bank, INGOs and other IO
Access	X Strategic	UN agencies, BPRM, World Bank, INGOs and other IO
		Other
	X Public (available on IMPACT/AGORA website and other humanitarian platforms)	
Visibility		Restricted (bilateral dissemination only upon agreed dissemination list, no publication on REACH, AGORA or other platforms)
		Other
Dissemination	<p>All outputs will include the logos of:</p> <ul style="list-style-type: none"> - Program partners (IMPACT and ACTED) - The donor (BRPM) - Mention the partnership with UNHCR - Mention SC members at global level (in global-level outputs) or at country level (in country-specific outputs) <p>Findings and lessons learned will be shared/discussed during each final workshop at country level and with the global steering committee. After achievement of the 3 pilot studies (i.e. in 2018), IMPACT will conduct a total of 5 presentations: 1 at global level (Geneva), 1 at regional level (location to be agreed upon with Global Steering Committee) and three in the countries targeted through the deployments .</p>	

2. Background & Rationale

Recent displacement trends show that up to 60 % of refugees do not reside in camps or designated areas, but within host communities and increasingly in urban areas. As recognized by UNHCR, out-of-camp responses require “planning on the basis of data, information and analysis [...] supported by effective information management systems and the better use of available macro-economic and community-level data”². In order to achieve this, it is essential to establish clear communication channels with refugee and host communities to understand local dynamics, vulnerabilities and capacities and inform aid planning in a given area. This two-year programme led by IMPACT

¹ToRs at country and global level are different and available upon request.

² UNHCR “Policy on alternative to camps”, 2014

aims at developing a complementary approach to context understanding and data gathering by humanitarian actors working in out-of-camp refugee contexts.

3. Research Objectives

In the course of the programme IMPACT will develop and field-test a toolbox on collecting information about refugees and host communities in a given area using Key Informants. Specifically the toolbox will provide guidance on the following:

- **How to identify a relevant territorial framework for collecting data.** The toolbox will outline how to delineate different types of areas in line with the required information needs.
- **How to identify “best” Key informants in a given area using Social Networks Analysis.** This approach will be complementary to other existing data collection methodologies which are already widely used by humanitarian actors.

By developing a framework for Key-informant area-based data collection, the toolbox will contribute to the broader body of knowledge on area-based coordination and responses by humanitarian actors. The toolbox will enable aid actors to collect consistent and relevant information on host and refugee communities in a specific area, for more efficient planning and delivery of aid.

4. Research Questions

- How can area-based approaches to data gathering and analysis better inform humanitarian and development responses?
- What are the core characteristics of an “area”?
- How can “areas” be best identified and understood?
- What characteristics can be used to identify key informants that are able to provide the most reliable data on the “area” of their knowledge?
- Does the SNA theory apply within the humanitarian/development research framework?

5. Methodology

5.1. Secondary data review

An extensive literature mapping will be conducted covering two main aspects of this assessments: area-based approaches and the theory of Social Network Analysis. The objectives of this literature mapping are:

- 1) to gain a comprehensive understanding of the current policy debates on humanitarian assistance in out-of-camp settings;
- 2) to map implemented programs employing an area-based approach to data collection, analysis and aid delivery;
- 3) to comprehend the theory of Social Network Analysis (SNA) as far as necessary to adapt it to our context;
- 4) to identify relevant applications of SNA that could inform our methodology.

Sources will include policy papers from key international organisations in the humanitarian sector, briefing papers and program reports of implementing organisations as well as relevant academic publications.

5.2 Primary data collection and analysis

The approach to be tested through this programme has two methodological components:

1. **Identification and delineation of areas**, understanding of their characteristics and boundaries.
 - a. For service catchment areas, this is done through mapping in conjunction with service providers and/or the municipality
 - b. For community areas, in addition to background research, participatory mapping includes Mapping Focus Group Discussions (MFGD), where community members from all background are gathered to discuss and delineate their own area and describe its main features.
2. **Identification of best sources of information** for the areas defined in step 1. The overall objective here is to:
 - a. Assess to what extent it is possible to predict the ability to provide the most accurate information through SNA of key informant networks, and if so:
 - i. Which specific factors assessed through SNA can act as proxies for this ability, when identifying KIs for community based data collection.

These two methodological components that will be tested through this programme are outlined in detail in a draft Toolbox and will be implemented in 3 different locations.

3. In parallel, a **representative household level** sample will be collected on indicators and areas aligned with those of the toolbox methodologies. The objective (as mentioned above) is here to assess to what extent SNA and the data collected to inform the SNA, are effective in predicting which key informants are particularly able to provide reliable information about their area. To assess this, the data collected from key informants will be cross-checked against data on comparable indicators that has been collected from a corresponding household level representative sample.

It is therefore essential that the toolbox methodologies and the household level sample refer to not only the same indicators but also the same reference period (time-frame) and geographical area, to enable direct comparison of aggregated household level data and toolbox methodology data. This is enabled by drawing the household level sample from exactly the same areas that are identified through the participatory mapping component in the Toolbox. As a consequence the sampling framework for each pilot location will be developed specifically for each setting.

Examples

KI questionnaire: What proportion of school aged children (7-17) attended school at least one day per week during the month prior to data collection (February 2017)?

Household questionnaire: How many school aged children in this household (7-17) attended school at least one day per week during the month prior to data collection (February 2017)?

5.2.2 Primary data analysis

Results from the household level data collection will be aggregated to exactly the same areas level as delineated through the mapping exercise from the toolbox methodology and compared with the results from each of the KI that reported on a given question (e.g. % of school-aged children in the municipality attending school). The assumptions being tested here are:

1. That key informants with the widest social network and community or sector knowledge (that score highest in the SNA) will provide information that most closely reflects what is found in the HH representative sample.
2. That the accuracy of information provided by the selected key informants is "good enough" to inform target-area-wide planning.

6. Product Typology

Type of Product	Number of Product(s)	Additional information
Pilot primary data products		
Outputs	1 per area in each pilot location	number of areas tbc following delineation of areas at country level
	1 per area and 1 per location	1 for each area identified during pilots 1 for each location of pilot
Toolbox testing products		
Lessons learned report	3	1 for each pilot
Presentation	5	3 at regional level and 2 at global level
ToT	3	Regional Training of Trainers
Toolbox	1	

Mapping of relevant literature	1
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7. Global Work plan

	2016	2017	2018
	June – Dec.	Jan. - May	June – Dec.
	Jan. - May		
Draft methodology			
Pilot 1 - Mafrag			
Pilot 2 - Kabul			
Pilot 3 - Diffa			
Toolbox finalised			
Regional pres.&ToT			
Global presentation			

8. Risks & Assumptions

Risk	Mitigation Measure
Key stakeholders do not see the added value to take part in the pilot or the programme, at country and/or global levels	Meetings and discussions will be held beforehand to ensure full cooperation and transparent communication with all key actors involved in the different pilots and at global level. Each pilot location are congruent to UNHCR buy in at country level, thus if need be location can be changed.
Communities (displaced and host) are unwilling to participate in data collection exercise	Clear communication about the objectives of the assessment to help relay the value of the data collected; replacement sample strategy in case of refusal to participate
Insecurity/existing threats prevents access to the field for a proper data collection	Close follow-up of the security alerts, mitigation measures and security rules will be followed up to avoid any incidents and ensure field work is happening in the best possible conditions.

9. Monitoring and Evaluation

Indicator	Target	Indicator type	Baseline	How measured/documented/collected
Country-level steering committees established	3	Input	No committee existing	Member lists of steering committees, minutes of meetings, meetings attendance sheets.
Humanitarian and governance actors per country participating to programme governance and strategy	5	Output	No actor currently involved	Member lists of steering committees, minutes of meetings, meetings attendance sheets.
Draft toolbox developed	1	Input	No toolbox exists	Toolbox documents
Field pilot study conducted	3	Input	0 case studies conducted	Field study final reports
Humanitarian actors participating in piloting the toolbox per country	5	Output	No actor currently involved	Meeting minutes, tracking of in kind contributions for toolbox piloting, users survey
# of global steering committee established	1	Input	No committee existing	Member lists of steering committees, minutes of meetings, meetings attendance sheets.

# of people trained in "the toolbox for area-based data collection"	80	Input	0	Internal records, attendance sheets
# of presentation/workshops held at global level	2	Input	0	Internal records, attendance sheets
# of presentation held at country/regional level	4	Input	0	Internal records, attendance sheets
UNHCR considers to adopt an area-based strategy in at least two localities	2	Outcome	UNHCR is currently not utilising an area-based strategy in the proposed countries of intervention	Survey with UNHCR staff, review of country strategic/planning documents

10. Documentation Plan

For better understanding and reuse of this assessment result as secondary data by stakeholders, IMPACT will produce a package of data, which contains cleaned anonymized database, factsheet, analysis, and maps.

- TORs: specifying data collection methodology, scope for each pilot assessment
- Tools: that have been developed to collect the data as outlined here (HH survey, KI SNA surveys, KI health/education/neighborhood surveys)
- Datasets and Cleaning log: specifying all modifications that have been made to the raw data set eliminating data collection and data entry errors.
- R scripts use to process and compare households and KI informants data
- Geographical data including the cleaned communities' area boundaries.

ANNEX 1 : DATA MANAGEMENT PLAN

Administrative Data	
Project Name	Informing Area-based humanitarian action in out-of-camp refugee contexts
Project Code	99iACQ0B1
Donor	BPRM
Project partners	ACTED, IMPACT
Project Description	<p>The project goal is to promote a more predictable, effective and relevant out-of-camp refugee response through an area-based approach to informing humanitarian action.</p> <ul style="list-style-type: none"> • The effective identification of target communities and the delineation of the territory they inhabit (their area or settlement). Community areas do often not correspond to existing administrative and service-catchment boundaries, instead reflecting informal community-based relationship and decision-making networks. • The identification of effective community counterparts to most reliably inform and support humanitarian action in out-of-camp settings. <p>To pilot the draft Toolbox and test the participatory mapping methodology identifying community areas along with the reliability of the subsequent community area level data collected with community key informants identified through Social Network Analysis.</p>
Project Data Contacts	olivier.cecchi@impact-initiatives.org
DMP Version	26 June 2017 V4
Related Policies	
Data Collection	
What data will you collect or create?	<p><u>Primary data collection:</u></p> <p>IMPACT will collect and create the following data:</p> <ul style="list-style-type: none"> - Household interviews database in selected communities - Ki interviews database reporting on selected communities, including link between the different key informants - Georeferenced community area delineation of selected communities
How will the data be collected or created?	<p>Key Informant Interviews</p> <p>Community-level focus group discussions as well as official registers will be used to pre-identify community key informants and service-level key informants respectively. Thereafter a preliminary telephone interview with identified persons will be held via a call center put in place by IMPACT to ask for consent for participation in the further research and to obtain basic information on the key informant. Thematic (education, health or neighborhood related) key informant interviews will then be led by IMPACT enumerators at city and / or neighborhood level.</p> <p>Household interviews</p> <p>The data collected at household level aims to give representative findings at neighborhood of the selected communities with a minimum of 95% confidence and 10% error margin depending on the pilot context. The sampling frame will be based on the latest population figure available in the selected communities.</p>

IMPACT enumerators will collect data through mobile devices offline and data will be sent on a day-today basis to an ODK (Open Data Kit) server (IMPACT Kobo account). The IMPACT database officer in country will review incoming data for potential errors; check and verify any possible corrections with the data collection teams.

Once data collection is completed, the IMPACT database officer in country will export the final dataset and check for errors, recording any corrections and modifications made in a data cleaning log. Raw and master databases are saved on IMPACT server using IMPACT file name & document title standards.

Electronic File Name:

IMPACT_Countrycode_typeofdocument_Crisisname_mandatingbody_MonthYear

Document Title:

Countrycode_producttype_crisisname_monthYear

Documentation and Metadata

What documentation and metadata will accompany the data?

For better understanding and reuse of this assessment result as secondary data by stakeholders, IMPACT will produce a package of data, which contains cleaned anonymized database, factsheet, analysis, and maps.

- TORs: specifying data collection methodology, scope.
- Tools: that have been developed to collect the data as outlined here (HH survey, KI SNA surveys, KI health/education/neighborhood surveys)
- Data Cleaning log: specifying all modifications that have been made to the raw data set eliminating data collection and data entry errors.
- R scripts use to process and compare households and KI informants data
- Geographical data including the cleaned communities area boundaries.

IMPACT will also add meta-data in the data-set of this assessment which contain:

1. Methodology of the assessment
2. Limitations of the methodology
3. Period of the survey
4. Geographical coverage of the survey
5. Tag of sectors/thematic covered by the assessment
6. Description of any composite variables created
7. Data cleaning log

Ethics and Legal Compliance

How will you manage any ethical issues?

IMPACT will ensure that every person from whom data is gathered for the purposes of research consents freely to the process on the basis of adequate information. They will also be able, during the data gathering phase, to withdraw freely or modify their consent and to ask for the destruction of all or part of the data that they have contributed.

Throughout training of assessment teams, it will be emphasized that participants are not obliged to provide information they feel poses a risk to their well-being or if they feel this may cause a threat to their personal safety. Through constant feedback, such instances are reported to inform continuous improvements to training. Personal

identifiable information will not be publicly disseminated to minimize/eliminate protection concerns for the assessed population. All data will be aggregated to a location and no household identifiers will be publicly visible from the reports and maps. If agencies request the raw data, any sensitive information potentially leading to household identification will be removed carefully. IMPACT will not share personally identifiable data.

Storage and Backup

How will the data be stored and backed up during the research?

IMPACT will be responsible for data storage, back up, and data recovery. Multiple data storages will be used to maximize data security, as outlined below:

1. ODK-based server: The ODK server (IMPACT Kobo account) will be administrated by IMPACT database team in country, to which a limited number of IMPACT staff will have access (the device setting will only contain the URL of the forms and no password) and whenever any data is requested as per guidelines, it will be extracted from ODK-based server. The following staff will have access to the server during the data collection and analysis phase:
 - Country database manager
 - Assessment manager
 - Global senior data analyst
2. IMPACT country server:
 - a. Pre Assessment: Before starting any assessment, specific separate folders will be made for each assessment (considering IMPACT documentation system) and will be protected by passwords
 - b. During Assessment: A daily backup will be extracted from ODK server into and saved as a spreadsheet file in the specific assessment folder.
 - c. Post Assessment: After completion of data collection IMPACT database officer will clean the data according to data cleaning guidelines and stop accepting submissions into ODK server for the specific assessment. Raw and cleaned data sets will be stored on the IMPACT country server as a spreadsheet, as well as maintained online on the KOBO server.
3. IMPACT: The final cleaned database of the assessment will stored by IMPACT HQ Geneva.

How will you manage access and security?

The access policy to the data will differ by the time of assessment (during assessment and after assessment).

1. During assessment: only the IMPACT database officer reporting to the IMPACT Global analyst will have access to ODK-based server. The following staff will have access to the ODK-based server:
 - a. Country level database manager
 - b. Country level assessment manager
 - c. Olivier Cecchi, Global senior data analyst

2. After assessment: when data collection process is completed the cleaned anonymized data will – on request – be shared with global and country-level Steering Committee members, including UNHCR.

Selection and Preservation

Which data should be retained, shared, and/or preserved?

IMPACT will delete all personally identifiable data relating to the respondent (name and phone number) from the households dataset. The GPS records will be trimmed to ensure that household locations are protected.

IMPACT will keep the personal information relating to key informants, such as name and phone numbers, during the project implementation for IMPACT internal data verification purpose. These sensitive information will not be shared with any other parties. After completion of the project, the dataset will be anonymized and as the sensitive information will be deleted.

What is the long-term preservation plan for the dataset?

Due to data security IMPACT will not keep any paper form (hard filling) from this assessment's dataset. The dataset of this assessment will be archived virtually on the IMPACT country server, and global cloud as IMPACT primary data. IMPACT or other stakeholders can benefit from this information in future assessments, reports, and proposals.

Data Sharing

How will you share the data?

The processed anonymized data (completed, cleaned, analyzed, and validated data) will be shared with Steering Committee members only and based upon their request.

Are any restrictions on data sharing required?

IMPACT will apply an anonymization policy, deleting all sensitive information from the dataset. No data will be disseminated before completing the data process (data cleaning and data validation).

Data will be shared with humanitarian actors, specifically those taking part in the governance of the pilot (Steering Committee Members) and working groups at country level.

Responsibilities

Who will be responsible for data management?

IMPACT will be responsible for the assessment's data-flow. Each step of data collection and data process will be managed by an IMPACT database officer on Country level reporting to the IMPACT Global Database Manager. Once data collection and cleaning are finalized, the full data set will be sent to IMPACT HQ Geneva where the IMPACT Global senior data analyst (Olivier Cecchi) will be responsible for data management.