

# Research Terms of Reference

## Area-Based Assessments (ABAs)

IRQ2101

Iraq

May 2021

Version 1

**REACH** Informing  
more effective  
humanitarian action

## 1. Executive Summary

Country of intervention	Iraq				
Type of Emergency	<input type="checkbox"/>	Natural disaster	<input checked="" type="checkbox"/>	Conflict	<input type="checkbox"/> Other ( <i>specify</i> )
Type of Crisis	<input type="checkbox"/>	Sudden onset	<input type="checkbox"/>	Slow onset	<input checked="" type="checkbox"/> Protracted
Mandating Body/ Agency	United Nations High Commissioner for Refugees (UNHCR)				
IMPACT Project Code	10ENB				
Overall Research Timeframe	14/02/2021 to 31/08/2021				
Research Timeframe	1. Pilot/ training: 25/04/2021		6. Data analysed: 18/07/2021		
	2. Start collect data: 26/04/2021		8. Final presentation: 08/08/2021		
	3. Preliminary presentation: 30/06/2021		9. Outputs sent for validation: 15/08/2021		
	4. Data collected: 08/07/2021		10. Outputs published: 31/08/2021		
	5. Data sent for validation: 13/07/2021				
Number of assessments	<input checked="" type="checkbox"/>	Single assessment (one cycle) Two ABAs conducted simultaneously in Tel Banat and Tel Qasab, with separate analyses			
	<input type="checkbox"/>	Multi assessment (more than one cycle)			
Humanitarian milestones	<b>Milestone</b>		<b>Deadline</b>		
	<input type="checkbox"/>	Donor plan/strategy	_ _ / _ _ / _ _ _ _		
	<input type="checkbox"/>	Inter-cluster plan/strategy	_ _ / _ _ / _ _ _ _		
	<input type="checkbox"/>	Cluster plan/strategy	_ _ / _ _ / _ _ _ _		
	<input checked="" type="checkbox"/>	Sinjar ABC Plan of Action (PoA)	TBD		
	<input type="checkbox"/>	Other (Specify):	_ _ / _ _ / _ _ _ _		
	<b>Audience type</b>		<b>Dissemination</b>		

<b>Audience Type &amp; Dissemination</b>	<input checked="" type="checkbox"/> Strategic <input checked="" type="checkbox"/> Programmatic <input type="checkbox"/> Operational <input type="checkbox"/> [Other, Specify]		<input checked="" type="checkbox"/> General Product Mailing (e.g. mail to NGO consortium; HCT participants; Donors) <input checked="" type="checkbox"/> Cluster Mailing (Education, Shelter and WASH) and presentation of findings at next cluster meeting <input checked="" type="checkbox"/> Presentation of findings (e.g. Sinjar Area-based Coordination Group (ABC) meeting, etc.) <input checked="" type="checkbox"/> Website Dissemination (Relief Web & REACH Resource Centre) <input type="checkbox"/> [Other, Specify]	
<b>Detailed dissemination plan required</b>	<input type="checkbox"/>	Yes	<input checked="" type="checkbox"/>	No
<b>General Objective</b>	To inform evidence-based humanitarian and development programming, service delivery and reconstruction in the short (next 6 months) and long-term (beyond 6 months) in Tel Banat and Tel Qasab communities of Sinjar District through a multi-sectoral area-based assessment in each area assessing conditions for access to services and reintegration of displaced populations. More specifically, assessed sectors and associated informed areas of programming include: demographics and movement intentions; livelihoods; protection; shelter and non-food items (NFI); food security and markets; healthcare; education; and, basic services.			
<b>Specific Objective(s)</b>	For each location (Tel Banat and Tel Qasab): <ul style="list-style-type: none"> <li>• Define and profile the geography of the area selected for assessment</li> <li>• Define and profile the demography of the area selected for assessment and displaced households who identify the area as their area of origin (AoO)</li> <li>• Identify and map the availability and accessibility of services within the area of assessment highlighting the key gaps and barriers to service provision for affected populations</li> <li>• Gauge the perceptions and expectations of residents regarding service delivery and recovery efforts</li> <li>• Identify and evaluate the movement intentions of households in displacement and push and pull factors affecting potential returns</li> <li>• Evaluate household-level priority multi-sectoral needs of the affected population within the area of assessment</li> <li>• Understand challenges to achieving durable solutions for affected populations in, and those displaced from, the area of assessment</li> <li>• Assess social cohesion between communities in the area of assessment and those in the surrounding areas, including changes since June 2014 and obstacles to restoring previous relations</li> </ul>			
<b>Research Questions</b>	For each location (Tel Banat and Tel Qasab): <ol style="list-style-type: none"> <li>1. What is the demographic and geographic profile of the population within the area of assessment?</li> <li>2. What is the demographic profile of the population who were displaced from the area of assessment?</li> <li>3. What is the current availability, functionality, and accessibility of services and infrastructure in the area, and how does this compare to before June 2014?<sup>1</sup></li> </ol>			

<sup>1</sup> June 2014 represents the date the two communities were occupied by the group known as the Islamic State of Iraq and the Levant (ISIL)

	4. Where are functional services and infrastructure located within the area of assessment?																				
	5. What are the primary obstacles to accessing services, from the perspective of community members?																				
	6. What are the primary obstacles to delivering services, from the perspective of providers?																				
	7. What are the movement intentions of the households displaced from the area of assessment, including continued barriers to return?																				
	8. What are the multi-sectoral needs of the population within the area of assessment?																				
	9. How have relations between communities within the area of assessment changed since June 2014, in terms of access to services, livelihoods, and mutual perceptions and behaviors?																				
<b>Geographic Coverage</b>	Tel Banat and Tel Qasab communities within the Sinjar district and selected surrounding communities																				
<b>Secondary data sources</b>	<ul style="list-style-type: none"> <li>Population data (e.g. IOM Displacement Tracking Matrix's <a href="#">Integrated Location Assessment</a> [ILA] and <a href="#">Return Index</a>)</li> <li>Data and reports from previous needs and vulnerability assessments (e.g. <a href="#">UN Habitat</a>, <a href="#">IOM Iraq</a>)</li> <li>General background and context research on areas being targeted for assessment</li> <li>Geo-spatial data (e.g. UNOSAT satellite imagery)</li> <li>Tools and Lessons Learned from previous ABAs</li> <li>Relevant REACH Initiatives assessments (e.g. <a href="#">Markaz Sinjar</a>, <a href="#">al Qairawan</a> ReDS, <a href="#">Movement Intentions</a> assessments; context monitoring in Ninewa (in partnership with GIZ, not published))</li> </ul>																				
<b>Population(s)</b> <i>Select all that apply</i>	<table border="1"> <tr> <td><input checked="" type="checkbox"/></td><td>IDPs in camp</td><td><input type="checkbox"/></td><td>IDPs in informal sites</td></tr> <tr> <td><input checked="" type="checkbox"/></td><td>IDPs in host communities</td><td><input type="checkbox"/></td><td>IDPs [Other, Specify]</td></tr> <tr> <td><input type="checkbox"/></td><td>Refugees in camp</td><td><input type="checkbox"/></td><td>Refugees in informal sites</td></tr> <tr> <td><input type="checkbox"/></td><td>Refugees in host communities</td><td><input type="checkbox"/></td><td>Refugees [Other, Specify]</td></tr> <tr> <td><input type="checkbox"/></td><td>Host communities</td><td><input checked="" type="checkbox"/></td><td>Returnees</td></tr> </table>	<input checked="" type="checkbox"/>	IDPs in camp	<input type="checkbox"/>	IDPs in informal sites	<input checked="" type="checkbox"/>	IDPs in host communities	<input type="checkbox"/>	IDPs [Other, Specify]	<input type="checkbox"/>	Refugees in camp	<input type="checkbox"/>	Refugees in informal sites	<input type="checkbox"/>	Refugees in host communities	<input type="checkbox"/>	Refugees [Other, Specify]	<input type="checkbox"/>	Host communities	<input checked="" type="checkbox"/>	Returnees
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<input type="checkbox"/>	Host communities	<input checked="" type="checkbox"/>	Returnees																		
<b>Stratification</b> <i>Select type(s) and enter number of strata</i>	<table border="1"> <tr> <td><input checked="" type="checkbox"/></td><td>Geographical #: 2<sup>2</sup> communities (Tel Banat and Tel Qasab) Population size per strata is known? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</td><td><input checked="" type="checkbox"/></td><td>Group #: 3<sup>3</sup> Population size per strata is known? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</td><td><input type="checkbox"/></td><td>[Other Specify] #: _ _ Population size per strata is known? <input type="checkbox"/> Yes <input type="checkbox"/> No</td></tr> </table>	<input checked="" type="checkbox"/>	Geographical #: 2 <sup>2</sup> communities (Tel Banat and Tel Qasab) Population size per strata is known? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/>	Group #: 3 <sup>3</sup> Population size per strata is known? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/>	[Other Specify] #: _ _ Population size per strata is known? <input type="checkbox"/> Yes <input type="checkbox"/> No														
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<b>Data collection tool(s)</b>	<table border="1"> <tr> <td><input checked="" type="checkbox"/></td><td>Structured (Quantitative)</td><td><input checked="" type="checkbox"/></td><td>Semi-structured (Qualitative)</td></tr> </table>	<input checked="" type="checkbox"/>	Structured (Quantitative)	<input checked="" type="checkbox"/>	Semi-structured (Qualitative)																
<input checked="" type="checkbox"/>	Structured (Quantitative)	<input checked="" type="checkbox"/>	Semi-structured (Qualitative)																		
	<b>Sampling method</b>	<b>Data collection method</b>																			
		#1: HH returnees																			
		#2: HH IDPs in secondary and primary displacement																			
		#3: Community leader KIIs																			
		#4: SME KIIs																			
		#5: Mapping KIIs																			

<sup>2</sup> The geographical stratification represents the two separate ABAs that we will be conducting separately and simultaneously in Tel Banat and Tel Qasab. We will not be comparing the findings from the two locations.

<sup>3</sup> The three strata will be: returnees, IDPs in camps in KRI who identify Tel Qasab or Tel Banat as their area of origin, and IDPs in Sinjar city who identify Tel Qasab and Tel Banat as their area of origin. The comparison between the three population groups (Returnee HHs, HHs in secondary displacement and HHs in primary displacement) will be indicative since 2 out of the 3 population groups will be sampled using a non-probabilistic method while one is using a probabilistic method. Findings from returnee HHs will be representative within each of the two ABA locations.

		#6: Snowballing KIIs		
		#7: Intro and consent		
<b>Structured data collection tool #1: Household-level survey (Returnees)</b>	<input type="checkbox"/> Purposive <input type="checkbox"/> Probability / Simple random <input checked="" type="checkbox"/> Probability / simple random <input type="checkbox"/> Probability / Cluster sampling <input type="checkbox"/> Probability / Stratified cluster sampling <input type="checkbox"/> [Other, Specify]	<input type="checkbox"/> Key informant interview (Target #):_____ <input type="checkbox"/> Group discussion (Target #):_____ <input checked="" type="checkbox"/> Household interview (Target #):ABA Tel Qasab( 104) and ABA Tel Banat (102) <sup>4</sup> <input type="checkbox"/> Individual interview (Target #):_____ <input type="checkbox"/> Direct observations (Target #):_____ <input type="checkbox"/> [Other, Specify] (Target #):_____ 		
<b>Structured data collection tool #2: Household-level survey (IDPs in primary and secondary displacement)<sup>5</sup></b>	<input checked="" type="checkbox"/> Purposive <input type="checkbox"/> Probability / Simple random <input type="checkbox"/> Probability / Stratified simple random <input type="checkbox"/> Probability / Cluster sampling <input type="checkbox"/> Probability / Stratified cluster sampling <input checked="" type="checkbox"/> Snowballing	<input type="checkbox"/> Key informant interview (Target #):_____ <input type="checkbox"/> Group discussion (Target #):_____ <input checked="" type="checkbox"/> Household interview (Target #): ABA Tel Qasab( 223) and ABA Tel Banat (212) <sup>6</sup> <input type="checkbox"/> Individual interview (Target #):_____ <input type="checkbox"/> Direct observations (Target #):_____ <input type="checkbox"/> [Other, Specify] (Target #):_____ 		
<b>Structured data collection tool #3: Key informant interviews</b>	<input checked="" type="checkbox"/> Purposive <input type="checkbox"/> Snowballing <input type="checkbox"/> [Other, Specify]	<input checked="" type="checkbox"/> Key informant interview (Target #): 50 <sup>7</sup> <input type="checkbox"/> Individual interview (Target #):_____ <input type="checkbox"/> Focus group discussion (Target #):_____ <input type="checkbox"/> [Other, Specify] (Target #):_____ 		
<b>Semi-structured data collection tool #4: Mapping Key Informant Interviews (MKIIs)</b>	<input checked="" type="checkbox"/> Purposive <input type="checkbox"/> Snowballing <input type="checkbox"/> [Other, Specify]	<input type="checkbox"/> Key informant interview (Target #):_____ <input type="checkbox"/> Individual interview (Target #):_____ <input type="checkbox"/> Focus group discussion (Target #):_____ <input checked="" type="checkbox"/> Mapping Key Informant Interviews (MKIIs) (Target #): ABA in Tel Qasab MKIIs (10 KIIs each with 2 participants) and ABA in Tel Banat (12 KIIs each with 2 participants)		
<b>Target level of precision if probability sampling</b>	95 % level of confidence		10 +/- % margin of error	
<b>Data management platform(s)</b>	<input checked="" type="checkbox"/>	IMPACT	<input checked="" type="checkbox"/>	UNHCR
	<input type="checkbox"/>	[Other, Specify]		
<b>Expected output type(s)</b>	<input type="checkbox"/>	Situation overview #: __	<input type="checkbox"/>	Report #: __
			<input type="checkbox"/>	Profile #: __

<sup>4</sup> Sample is representative at the 95/10 level and includes a 25% buffer.

<sup>5</sup> IDPs in primary displacement are those living in camps within Tel Banat and Tel Qasab while IDPs in secondary displacement are IDPs living in Sinjar City but are originally from either Tel Qasab and Tel Banat.

<sup>6</sup> Figures designed to match a representative sample at the 95/10 level and includes a 25% buffer.

<sup>7</sup> Includes 10 CL KIIs (1 per neighborhood) and 14 SME KIIs in Tel Qasab while in Tel Banat there would be 12 CL KIIs (1 per neighborhood) and 14 SME KIIs.

	<input checked="" type="checkbox"/> X	Presentation (Preliminary findings) #: 2	<input checked="" type="checkbox"/> X	Presentation (Final) #: 2	<input type="checkbox"/> Factsheet #: _ _
	<input checked="" type="checkbox"/> X	Interactive dashboard #: 1	<input type="checkbox"/> □	Webmap #: _ _	<input checked="" type="checkbox"/> X Map #: 22 <sup>8</sup>
	<input type="checkbox"/> □	[Other, Specify] #: _ _			
<b>Access</b>	<input checked="" type="checkbox"/> X	Public (available on REACH resource center and other humanitarian platforms)			
	<input type="checkbox"/> □	Restricted (bilateral dissemination only upon agreed dissemination list, no publication on REACH or other platforms)			
<b>Visibility</b>	<b>REACH</b>				
	<b>Donor:</b> UNHCR				
	<b>Coordination Framework:</b> Durable Solutions Technical Working Group				
	<b>Partners:</b> IOM				

## 2. Rationale

### 2.1 Background

Since the Government of Iraq (GoI) declared victory over the group known as the Islamic State of Iraq and the Levant (ISIL) in December 2017<sup>9</sup>, displaced Iraqis have been returning to the areas and homes they had been displaced from over the course of the conflict. By February 2021, the International Organization for Displacement's (IOM) Displacement Tracking Matrix estimated that approximately 4.8 million Iraqis had returned to their homes, while 1.2 million remained internally displaced.<sup>10</sup> Displaced and returnee households face a host of challenges to their returns, which include damaged or destroyed homes, lack of services and livelihoods, and lingering insecurity. The Sinjar district of Ninewa governorate, in particular, was one of the most devastated by ISIL and the legacy of the group's control of the area is still acutely felt. Sinjar - both the district and the town that gives the district its name - is the primary home of Iraq's Yazidi population, who suffered some of the worst abuses at the hands of ISIL - crimes that were ultimately assessed to constitute genocide.<sup>11</sup> Beyond the human cost, it was estimated that ISIL destroyed 80% of public infrastructure and 70% of civilian homes in Sinjar city and the surrounding area.<sup>12</sup> By February 2021, an estimated 116,790 individuals had returned to their areas of origin in the Sinjar district<sup>13</sup> though as many as 200,000 may remain in displacement<sup>14</sup>. Returnees report that services and livelihoods have yet to recover from the destruction wrought by ISIL, problems that are particularly pronounced in rural areas.<sup>15</sup> Further, social fissures and tensions created as a result of the ISIL occupation are reported, paired with a dearth of reconciliation processes to defuse and resolve them.<sup>16</sup>

The context in two communities - Tel Banat and Tel Qasab, located in the al Qairawan sub-district - within the Sinjar district of Ninewa governorate also reflect these dynamics. These two communities are located approximately 10 and 17 kilometres, respectively, southeast of the town of Sinjar. They were founded in the 1970s, as "complexes" designed to house Yazidi households deported from villages throughout the Sinjar district. In 2014, the communities were completely depopulated as residents fled the impending assault by ISIL. Following re-capture of the areas by GoI forces, households have begun to return though the most recent figures indicate the majority of households remain in either primary or secondary displacement. There is currently little localized information on these areas, though partner information shows levels of need may be high and dynamics affecting social cohesion with neighbouring communities. Particularly, in the period before the arrival of ISIL

<sup>8</sup> Exact number of maps could vary depending on findings, capacity and relevance.

<sup>9</sup> Wilson Center. [Timeline: the Rise, Spread, and Fall of the Islamic State](#). October 2019.

<sup>10</sup> IOM DTM. [DTM Dashboard](#). February 2021.

<sup>11</sup> Global Center for the Responsibility to Protect (GCR2P) et al. [Without Justice and Recognition the Genocide by ISIS Continues](#). July 2020.

<sup>12</sup> United Nations Development Program (UNDP). [Six years after Sinjar massacre, support is vital for returning Yazidis](#). August 2020.

<sup>13</sup> IOM DTM. [Return Index Dataset 11](#). February 2021.

<sup>14</sup> United Nations Development Program (UNDP). [Six years after Sinjar massacre, support is vital for returning Yazidis](#). August 2020.

<sup>15</sup> IOM Iraq. [RURAL AREAS IN NINEWA: Legacies of Conflict on Rural Economies and Communities in Sinjar and Ninewa Plains](#). 2019.

<sup>16</sup> Ibid.

a degree of interaction existed between the two complexes and the surrounding villages, largely populated by Arabs. However, partners confirm that since the retaking of villages from ISIL and the return of households, engagement between the complexes and the surrounding communities has virtually ceased, reflecting the legacy of the conflict.

## **2.2 Intended impact**

In April 2020, the Durable Solutions Task Force (DSTF) was established through the humanitarian coordination architecture of Iraq. The DSTF is a body designed to bring together humanitarian, development, stabilization, and peacebuilding actors in a dedicated platform working towards solutions to displacement in Iraq. The Task Force is supported by two national-level groups, the Returns Working Group (RWG) and the newly-established Durable Solutions Technical Working Group (DSTWG). The DSTWG was designed to focus on the design and implementation of programs and approaches aimed at supporting durable solutions in Iraq. As part of this mandate, the DSTWG has established area-based coordination (ABC) groups in several locations across Iraq to promote area-based approaches to durable solutions and coordinate programming, response, and strategy on a local scale. The Sinjar district is one of these locations where an ABC has been established, of which REACH is a member.

To support ABC planning and operations of fellow members and other actors, REACH will be conducting an area-based assessment (ABA) in two communities within the Sinjar District: Tel Banat and Tel Qasab. Consistent with previous ABAs, the current assessment aims to collect information on the current needs and vulnerabilities of households in these two communities, as well as existing services and perceptions of households in the area. For the present ABA, REACH will also be integrating components designed to (1) assess social cohesion between households in the two communities and households in communities in the surrounding area and (2) assess the circumstances of households from the two communities who are presently in primary and secondary displacement. Data will be collected to provide a multi-sectoral overview of circumstances in the communities, bridge existing information gaps, and inform ongoing or planned humanitarian interventions. More specifically, in addition to demographic data, needs will be assessed across seven identified sectors: livelihoods, protection, shelter and non-food items, food security and markets, healthcare, education and basic services (electricity, water, solid waste disposal, wastewater disposal).

## **3. Methodology**

### **3.1 Methodology overview**

The ABAs will use a mixed-methods approach in conducting the research. Qualitative data will be collected through key informant interviews with community leaders and subject matter experts and MKIs with community leaders. Quantitative data will be collected through a household-level survey conducted across three strata: (1) returnee households, (2) households originally from Tel Qasab and Tel Banat displaced in camps, and (3) households originally from Tel Qasab and Tel Banat displaced in Sinjar city. The household survey among returnee households will be conducted through face-to-face interviews in the area of interest in late April/early May 2021, with households selected through simple random sampling (SRS). Since all households were displaced from these areas in 2014, populations in Tel Qasab and Tel Banat are all considered returnees; there are no households defined as host community.

Among households in displacement, the survey will be conducted remotely, through phone interviews. Call lists will be developed through snowballing with community leaders (mukhtars) displaced from or returned to the assessed areas, or using contact lists of IDPs registered with partners operational in the area. As the sample will be developed through purposive means, the findings will not be statistically representative of households in either primary or secondary displacement.



Surveys will be conducted with populations from Tel Qasab and Tel Banat displaced in camps in the Kurdistan Region of Iraq (KRI) or in displacement in Sinjar city.<sup>17</sup>

For the ABA in Tel Banat, a total of 314 surveys will be conducted with 102 returnee HHs and 212 with displaced households while for the ABA in Tel Qasab a total of 327 surveys will be conducted with 104 returnee HHs and 223 displaced HHs. Among the returnee households, results will be representative at a 95/10 confidence level with a 25% buffer. The sample for households in primary and secondary displacement will also match figures that would yield statistical representation at a 95/10 level, however, because of the purposive manner in which households were selected, results will not be considered statistically representative.

Participants for the KIIs will be selected through purposive means, namely identification by partners, and snowballing, such as identification from other KIIs. KIIs will include community leaders (mukhtars) from the 10 and 12 neighbourhoods of Tel Qasab and Tel Banat respectively, as well as from surrounding villages as identified by partners. Additional KIIs will be carried out with subject matter experts (SMEs) across the seven assessed sectors. 14 SMEs each will be identified by operational partners in the assessed area or by community leaders; in case of gaps, further KIIs will be identified through snowballing.

The methodology proposed is based on IMPACT's analysis of (projected) security and operational conditions at the time of writing; the exact methodology could be subject to change due to shifts in the security context, transmission rates and movement restrictions linked to the COVID-19 pandemic, or other factors outside IMPACT's control (including timeliness of securing authorizations and reduced working hours due to Ramadan). Security dynamics and COVID-19 related considerations will be established in close consultation with ACTED security teams in country and in line with [IMPACT's SOPs for data collection during COVID-19](#). Any change to the proposed methodology – such as a shift to remote methodologies for the household surveys with returnees – will be established in coordination with UNHCR teams and IMPACT HQ. In the instance of a shift to remote data collection for the household surveys, call lists will be developed with partners and/or community leaders, with snowballing to ensure a full sample; the same number of interviews will be conducted, however – due to the non-random sampling – findings would be considered indicative.

### 3.2 Population of interest

The ABA will be conducted in two communities: Tel Banat and Tel Qasab, located in the al Qairawan sub-district, within the Sinjar district of Ninewa governorate. The ABA will focus on all households who have returned to these two communities, as well as all of those in displaced in camps in KRI who identify one of them as their area of origin. In addition, several smaller communities in the area surrounding Tel Banat and Tel Qasab – which, in contrast to the primarily Yezidi population of the two complexes, are populated largely by Arabs – will be included in order to assess social cohesion dynamics between the areas.

### 3.3 Secondary data review

REACH will conduct a secondary data review in advance of primary data collection to develop contextual knowledge, inform key indicators, and identify information gaps to be addressed through the research. Materials consulted will include REACH products, those shared by partners, and external sources identified. REACH products will include the Returns and Durable Solutions (ReDS) profiles for the [al Qairawan](#) and [Markaz Sinjar](#) sub-districts, in addition to district-level data from the [2020 MCNA](#) and relevant assessments on households in displacement including those in-camp and out-of-camp (e.g. [movement intentions](#)). Further, reports, documents, and datasets by key partners – such as the IOM Displacement Tracking Matrix (DTM) or GIZ month context monitoring updates from 2020 in Sinjar district (internal) – will be consulted. The repository of the Sinjar Area-Based Coordination (ABC) Group, which includes relevant materials from all Group members, will be

<sup>17</sup> Households from Tel Qasab and Tel Banat displaced in Sinjar city are often secondarily displaced; they may have initially displaced to another location, and have re-displaced to Sinjar as they are unable to return to their area of origin.

reviewed, as well. Population figures of returnee and displaced households will be reviewed to inform the development of the sampling framework. Finally, relevant materials by external actors will be consulted.

### **3.4 Primary Data Collection**

Primary data will be collected through qualitative and quantitative tools. In traditional ABA sequencing, REACH conducts key informant interviews (KIIs) with community leaders as the first step, interviews that are used to estimate the population of the assessed area in order to calculate the sample for the household survey. These are followed by MKIIs to identify the boundaries and sub-divisions of the area of interest in order to distribute geo-points for the household surveys. However, as both population figures and detailed maps for the two communities will be provided by partners, REACH will begin data collection with the household survey. Contact lists for households in displacement are not available, requiring REACH enumerators to collect contact information from key informants through snowballing techniques. KIs capable of providing this information have already been identified by partners.

#### Household surveys with returnees and IDPs in displacement from areas of interest

The household survey will be conducted across three strata in the two communities: (1) returnee households, (2) households from Tel Qasab and Tel Banat displaced in camps, and (3) households displaced in Sinjar city displaced in Tel Qasab and Tel Banat. Household surveys among returnee households will be conducted through face-to-face interviews by REACH enumerators from the Sinjar district. A total of 206 surveys will be conducted in Tel Banat (n = 102) and Tel Qasab (n = 104), which will be representative at a 95/10 level and include a 25% buffer. Households will be selected through simple random sampling, with locations determined by the distribution of geo-points by GIS officers. Among displaced households, the survey will be conducted remotely, using contact information provided by KIs. For households displaced in camps, a total of 110 and 113 household surveys will be conducted among those who identify Tel Banat and Tel Qasab respectively as their AoO. For households displaced in Sinjar city, a total of 102 and 110 household surveys will be conducted among those who identify Tel Banat and Tel Qasab respectively as their AoO.

For returnee households, REACH will apply the traditional household survey that has been used in previous ABAs. The survey will be responsible for identifying demographic characteristics of households, needs and vulnerabilities across the key sectors, as well as the current state of services and expectations. Based on consultations with partners, the survey will be adapted to include indicators on social cohesion. For displaced households, the survey will be adapted to capture circumstances related to displacement, such as movement intentions, barriers to returns, and other indicators. The tool will be developed in concert with key partners.



**Population and sample size for household surveys, by population group**

	Returnee				IDPs in camps				IDPs in Sinjar				Total
	Total # Households	Sample	Buffer (25%)	Total	Total # Households	Sample	Buffer (25%)	Total	Total # Households	Sample	Buffer (25%)	Total	Grand Total
<b>Tal Banat</b>	440	81	21	102	950	88	22	110	900	81	21	102	314
<b>Tal Qasab</b>	530	83	21	104	1480	90	23	113	990	88	22	110	327

All survey data will be entered by enumerators on KoBo Collect and submitted on the REACH KoBo server. At the close of each day, the Assessment Officer will perform daily data cleaning and checks. Potential errors and anomalies will be sent to the Field Coordinator to provide feedback to enumerators before the next day's data collection and for follow-up and corrections, where appropriate. Before beginning data collection, REACH will pilot both the survey for returnee households and displaced households, revising sequencing, word choice, length, and other related matters accordingly.

Surveys will be conducted with the self-reported head of household. If the head of household is unavailable, another adult with knowledge of household circumstances will be interviewed in his/her stead. No individuals under the age of 18 will be interviewed.

**Key Informant Interviews (KIIs)**

KIIs will be conducted with two types of KIs: community leaders (commonly mukhtars of identified neighbourhoods) and subject matter experts (SMEs) in relevant sectors (e.g. education (teachers, school administration, education program coordinators, NGO government officials, etc.), health (doctors, nurses, health staff, hospital administration, government officials, etc.), livelihoods (NGO livelihoods officials, employers, market experts, etc.)). Community leaders – and the neighbourhood they are responsible for – will be identified through partner lists. SMEs will be identified through snowballing with community leaders and other experts. REACH anticipates conducting between three and four interviews with SMEs across the seven sectors. Interviews with community leaders will be designed to collect general information on neighbourhoods across all sectors. Those with SMEs will ask detailed and technical questions on the specific sector of which they are knowledgeable. As the ABAs for the Sinjar-based communities aims to include a section on social cohesion, specific indicators and questions will be developed to measure circumstances and perceptions on relevant topics. KIIs will also be conducted with community leaders from the communities on the periphery of Tel Banat and Tel Qasab to examine their perceptions on the state of social cohesion. Partners will identify these KIIs and provide contact information.

KIIs will also be conducted by KoBo Collect, and include a combination of open and closed-ended questions. All interview data will be submitted after completion of the interviews and will be reviewed and cleaned by the Assessment Officer at the close of the day. Enumerators and the AO will then hold a debrief, where enumerators will provide further detail where applicable and identify issues to be resolved in the tool. The AO will discuss any potential errors or anomalies and clean the data accordingly.

	Community leaders KIIs		SMEs KIIs	
	# of neighborhoods	Total # of community leader KIIs interviews	# of SME sectors	Total # SMEs KII interviews
<b>Tal Banat</b>	12	12	7	14
<b>Tal Qasab</b>	10	10	7	14
<b>Total</b>		22		28

### Mapping Key Informant Interviews

REACH will conduct participatory mapping sessions with community leaders to map the infrastructure and services, including their presence, quality, and other circumstances, in each neighbourhood. The mappings will be conducted in a face-to-face setting using physical maps obtained from UNOSAT imagery. Whenever possible, mappings will be conducted by REACH GIS officers. However, reflecting the logistical and operational constraints related to accessing the two communities, enumerators – with the initial supervision of GIS officers – may conduct the mapping sessions. It is expected that a mapping session will be conducted with one community leader from each neighbourhood (22 neighbourhoods in total, 12 in Tel Banat and 10 in Tel Qasab). Mapping may be conducted through sessions similar to focus group discussions (FGDs), with limited participants (up to 3) involved at a social distance, in open air if possible, and wearing personal protective equipment (PPE). Should the rates of COVID-19 in the area and/or logistical considerations mean that MKIIs are not feasible or advisable, they will be conducted one-on-one. REACH expects to use KoBo Collect to record relevant responses, in addition to drawing on the physical maps to mark individual points or general areas.

	Mapping Key Informant Interviews	
	# of neighborhoods	Total # of mapping key informant interviews
<b>Tal Banat</b>	12	12
<b>Tal Qasab</b>	10	10
<b>Total</b>		22

### **3.5 Data Processing & Analysis**

All data from the household surveys and KII will be entered in KoBo Collect and submitted on the REACH server. Daily data cleaning will be conducted by the AO to identify potential errors and anomalies. As established in [IMPACT's Data Cleaning Minimum Standards Checklist](#), the data cleaning will involve searching for the following issues and errors and taking the required action:

- Inexplicable or impossible outlying figures
- Logical errors/inconsistencies
- Duplicated records

- Information that can be used to identify individuals or households
- Interviews in unintended sampling locations/points
- Unreasonably quick interviews
- Enumerators consistently follow the shortest questionnaire path or the exact same path

The AO will review these with the enumerators and field coordinator on a daily basis to perform necessary corrections and identify necessary changes in future data collection, if appropriate. Maps created by enumerators in the participatory mapping session will be reviewed by the supervising GIS officer and the AO.

Household survey data will be analysed through statistical software (either R or SPSS) and will include both descriptive statistics in addition to more advanced statistical analysis where appropriate. Data from KIIs will be analysed through a variety of tools and the findings will be presented at city level in which case data will be collected from each of the neighbourhoods and then aggregated to Tel Banat and Tel Qasab. If the number of community leader KIIs is sufficiently large, statistical software may be used to run analysis of close-ended questions. Significance tests will be conducted for any additional comparative analysis that will be conducted. Otherwise, all data will be analysed through tools such as a Data Saturation Grid, and conducted in line with [IMPACT's qualitative data minimum standards](#). MKIIs data will be analysed using ArcGIS.

## 4. Key ethical considerations and related risks

The proposed research design meets / does not meet the following criteria:

<i>The proposed research design...</i>	<i>Yes/ No</i>	<i>Details if no (including mitigation)</i>
... Has been coordinated with relevant stakeholders to <b>avoid unnecessary duplication</b> of data collection efforts?	Yes	
... <b>Respects respondents, their rights and dignity</b> ( <i>specifically by: seeking informed consent, designing length of survey/ discussion while being considerate of participants' time, ensuring accurate reporting of information provided</i> )?	Yes	
... Does not <b>expose data collectors to any risks as a direct result</b> of participation in data collection?	No	The COVID-19 pandemic means there is some inherent risk in in-person data collection. To mitigate this risk, transmission rates will be closely monitored and – if required – adaptations to the methodology will be employed, such as remote data collection. Additionally, enumerators will be trained on <a href="#">COVID-19 protection measures</a> – such as social distancing and conducting interviews in open air as far as possible – and equipped with personal protective equipment (masks, gloves and sanitizers).
... Does not <b>expose respondents / their communities to any risks as a direct result</b> of participation in data collection?	No	As above.

... Does not involve <b>collecting information on specific topics which may be stressful and/ or re-traumatising</b> for research participants (both respondents and data collectors)?	No	Indicators on social cohesion will be designed to, as much as possible, avoid re-traumatization. All tools will be closely vetted by field teams and partners to ensure they are appropriately sensitive to the context. In addition, respondents are free to stop the interview whenever they feel uncomfortable or do not wish to continue. Equally, respondents will have response options such as “do not wish to answer” for questions with which they may feel uncomfortable.
... Does not involve <b>data collection with minors</b> i.e. anyone less than 18 years old?	Yes	
... Does not involve <b>data collection with other vulnerable groups</b> e.g. persons with disabilities, victims/ survivors of protection incidents, etc.?	Yes	
... Follows IMPACT SOPs for management of <b>personally identifiable information</b> ?	Yes	

## 5. Roles and responsibilities

Table 3: Description of roles and responsibilities

<i>Task Description</i>	<i>Responsible</i>	<i>Accountable</i>	<i>Consulted</i>	<i>Informed</i>
<i>Research design</i>	Senior Assessment Officer (SAO)	Research Manager (RM)	HQ Research Unit, Country Coordinator (CC), Sinjar ABC, IOM, UNHCR, RM, GIS officer, Operations coordinator	UNHCR, IOM, Sinjar ABC
<i>Supervising data collection</i>	SAO	SAO	Operations coordinator, UNHCR, non-UNHCR camp managers	UNHCR, IOM, Sinjar ABC
<i>Data processing (checking, cleaning)</i>	SAO, Assessment Officer (AO), Assessment Assistant (AA)	SAO	HQ Research Unit, RM	

<i>Data analysis</i>	SAO, AO, AA	SAO	HQ Research Unit, RM, Sinjar ABC, IOM, UNHCR, GIS officer	CC, UNHCR, IOM, Sinjar ABC
<i>Output production</i>	SAO, AO, AA	SAO	RM, HQ Research Unit, IOM, UNHCR	CC, UNHCR, IOM, Sinjar ABC
<i>Dissemination</i>	SAO, AO	SAO	RM, Sinjar ABC, IOM, UNHCR	CC, IMPACT HQ
<i>Monitoring &amp; Evaluation</i>	SAO, AO, AA	SAO	RM	CC, IMPACT HQ
<i>Lessons learned</i>	SAO, AO, AA	SAO	RM	CC, IMPACT HQ

## 5. Data Analysis Plan

The final data analysis plan for all surveys can be found [here](#).

## 6. Monitoring & Evaluation Plan

IMPACT Objective	External M&E Indicator	Internal M&E Indicator	Focal point	Tool	Will indicator be tracked?
<b>Humanitarian stakeholders are accessing IMPACT products</b>	Number of humanitarian organisations accessing IMPACT services/products  Number of individuals accessing IMPACT services/products	# of downloads of x product from Resource Centre	Country request to HQ	User_log	X Yes
		# of downloads of x product from Relief Web	Country request to HQ		X Yes
		# of downloads of x product from Country level platforms	Country team		X Yes
		# of page clicks on x product from REACH global newsletter	Country request to HQ		X Yes
		# of page clicks on x product from country newsletter, sendingBlue, bit.ly	Country team		X Yes
		# of visits to x webmap/x dashboard	Country request to HQ		X Yes
<b>IMPACT activities contribute to better program implementation and coordination of the humanitarian response</b>	Number of humanitarian organisations utilizing IMPACT services/products	# references in HPC documents (HNO, SRP, Flash appeals, Cluster/sector strategies)	Country team	Reference log	Plan of Action (PoA) by Sinjar ABC
		# references in single agency documents			
<b>Humanitarian stakeholders are using IMPACT products</b>	Humanitarian actors use IMPACT evidence/products as a basis for decision making, aid planning and delivery	Perceived relevance of IMPACT country-programs	Country team	Usage_Feed back and Usage_Survey template	Sinjar ABC and members to be informed and consulted at presentations/workshops and in the design of indicators, tools, overall area profile, and community response plans
	Number of humanitarian documents (HNO, HRP, cluster/agency strategic	Perceived usefulness and influence of IMPACT outputs			
		Recommendations to strengthen IMPACT programs			



	plans, etc.) directly informed by IMPACT products	Perceived capacity of IMPACT staff			
		Perceived quality of outputs/programs			
		Recommendations to strengthen IMPACT programs			
<b>Humanitarian stakeholders are engaged in IMPACT programs throughout the research cycle</b>	Number and/or percentage of humanitarian organizations directly contributing to IMPACT programs ( <i>providing resources, participating to presentations, etc.</i> )	# of organisations providing resources (i.e.staff, vehicles, meeting space, budget, etc.) for activity implementation	Country team	Engagement_log	X Yes
		# of organisations/clusters inputting in research design and joint analysis			X Yes
		# of organisations/clusters attending briefings on findings;			X Yes