

Research Terms of Reference

ES-NFI Rapid Assessment Mechanism

AFG2203

Afghanistan

March 2022

Version 2

REACH Informing
more effective
humanitarian action

1. Executive Summary

Country of intervention	Afghanistan																		
Type of Emergency	<input checked="" type="checkbox"/> Natural disaster	<input checked="" type="checkbox"/> Conflict	<input type="checkbox"/> Other (<i>specify</i>)																
Type of Crisis	<input checked="" type="checkbox"/> Sudden onset	<input type="checkbox"/> Slow onset	<input type="checkbox"/> Protracted																
Mandating Body/ Agency	UNHCR, Emergency Shelter and non-Food Items (ES/NFI) Cluster																		
IMPACT Project Code	02iAQW																		
Overall Research Timeframe	01/01/2022 to 31/05/2022																		
Research Timeframe	<table border="1"> <tr> <td>1. Updating research design:</td><td>8. Data sent for validation:</td></tr> <tr> <td>2. Analytical Framework for site selection</td><td>9. Preliminary presentation:</td></tr> <tr> <td>3. Pilot/ training:</td><td>10. IMO training:</td></tr> <tr> <td>4. Alert raised/selected sites list provision</td><td>10. Outputs sent for validation:</td></tr> <tr> <td>5. Start collect data:</td><td>11. Outputs published:</td></tr> <tr> <td>6. Data collected:</td><td>12. Final presentation:</td></tr> <tr> <td>7. Data analysed:</td><td>13. RAM Toolkit handover</td></tr> <tr> <td> </td><td> </td></tr> </table>			1. Updating research design:	8. Data sent for validation:	2. Analytical Framework for site selection	9. Preliminary presentation:	3. Pilot/ training:	10. IMO training:	4. Alert raised/selected sites list provision	10. Outputs sent for validation:	5. Start collect data:	11. Outputs published:	6. Data collected:	12. Final presentation:	7. Data analysed:	13. RAM Toolkit handover		
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Number of assessments	<input type="checkbox"/> Single assessment (one cycle) <input checked="" type="checkbox"/> Multi assessment (cycle 1: 01/01/2022-31/05/2022, cycle 2: 01/06/2022-24/11/2022)																		
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			x Website Dissemination (Relief Web & REACH Resource Centre)
Detailed dissemination plan required	x	Yes	<input type="checkbox"/> No
General Objective	The overall objective of Rapid Assessment Mechanism is to identify the most vulnerable populations on site or village level and direct emergency and shelter related responses based on specific information.		
Specific Objective(s)	<ol style="list-style-type: none"> 1. Understand the location, size and scope of affected and displaced populations following sudden-onset conflict or natural-disaster events. 2. Identify and prioritize the key ES/NFI needs of disaster and displacement populations following conflict or natural-disaster events. 3. Support the ES/NFI cluster to establish a structure through which rapid assessments may be implemented and inform emergency response and empower localized coordination through the ES/NFI provincial focal point system. 4. Inform AHF funding response by conducting two rounds of rolling basis RAM in March and June 2022 across the country by systematic sites selection using the analytical framework to be developed by REACH. 5. Support ESN/NFI cluster and UNHCR in preparing for conducting the RAM on emergency basis by capacity building of the IMOs. 		
Research Questions	<ol style="list-style-type: none"> 1. What are the locations and caseloads of affected and displaced populations following a conflict or disaster event? 2. What is the demographic profile and immediate ES/NFI needs of disaster-affected populations following conflict or natural-disaster events? 3. What is the demographic profile and overall shelter needs of ES/NFI caseloads that have been assisted by ES/NFI Cluster partners in Afghanistan? 		
Geographic Coverage	Afghanistan		
Secondary data sources	UNOCHA, Humanitarian Needs Overview: Afghanistan 2022, January 2022. UNOCHA, Humanitarian Response Plan: Afghanistan 2022, January 2022. Whole of Afghanistan Assessment (WoAA), Key Sectoral Findings, October 2021. UN OCHA, Afghanistan: Humanitarian Response Plan (2018-2021) – 2021 Revision REACH, Household Emergency Assessment Tool, ERM 10, January 2021 REACH, Afghanistan: Winterization Evaluation, 2019-2020, June 2020. Shelter Cluster Afghanistan, Cluster Coordination Performance Monitoring Report and Consolidated Action Plan 2021 Global Shelter Cluster, 2021-05 Factsheet - Afghanistan		
Population(s)	x	IDPs in camp	x IDPs in informal sites
	x	IDPs in host communities	x IDPs [Other, Specify]
	x	Refugees in camp	x Refugees in informal sites
	x	Refugees in host communities	x Refugees [Other, Specify]
	x	Host communities	x Returnees

	x	Non-displaced natural-disaster affected populations			
Stratification	<input type="checkbox"/>	Geographical #: _ _ _ Population size per strata is known? <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/>	Group #: _ _ _ Population size per strata is known? <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Caseload #: Population size per strata is known? <input type="checkbox"/> Yes <input type="checkbox"/> No
Data collection tool(s)	x	Structured (Quantitative)		<input type="checkbox"/>	Semi-structured (Qualitative)
		Sampling method		Data collection method	
Structured data collection tool # 1		<input type="checkbox"/> Purposive x Probability / Simple random <input type="checkbox"/> Probability / Stratified 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 #): _ _ _ _ _ x Household interview (Target #): ≈ 101(per round) <input type="checkbox"/> Individual interview (Target #): _ _ _ _ _ <input type="checkbox"/> Direct observations (Target #): _ _ _ _ _ <input type="checkbox"/> [Other, Specify] (Target #): _ _ _ _ _	
Structured data collection tool # 2		x 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		x Key informant interview (Target #): ≈ 1 per sample area, which is called 'site' and could be a village, a settlement or a combination of villages/settlements. <input type="checkbox"/> Group discussion (Target #): _ _ _ _ _ <input type="checkbox"/> Household interview (Target #): _ _ _ _ _ <input type="checkbox"/> Individual interview (Target #): _ _ _ _ _ <input type="checkbox"/> Direct observations (Target #): _ _ _ _ _	
Target level of precision if probability sampling		95% level of confidence		10+/- % margin of error	
Data management platform(s)	x	IMPACT		<input type="checkbox"/>	UNHCR
	<input type="checkbox"/>	[Other, Specify]			
Expected output type(s)	<input type="checkbox"/>	Situation overview #: _ _	<input type="checkbox"/>	Report #: _ _	<input type="checkbox"/> Profile #: _ _
	<input type="checkbox"/>	Presentation (Preliminary findings) #: _ _	<input type="checkbox"/>	Presentation (Final) #: _ _	x Factsheet #: 1
	<input type="checkbox"/>	Interactive dashboard #: _	<input type="checkbox"/>	Webmap #: _ _	<input type="checkbox"/> Map #: <u>Map showing assessed sites</u>
	x	Standard Operating Procedures (SOP) #: 1			
Access	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)			
Visibility	REACH				
	Donor: UNHCR				
	Coordination Framework: ES/NFI Cluster				
	Partners: ACTED				

2. Rationale

2.1. Background

The recent crisis in Afghanistan has further worsen the conditions of the people and has led to emergency needs more than ever, including shelter and winterization needs of displaced, host, and shock-affected populations. Out of the 24.4 million people in need, 10.9 million are in need of ES-NFI and 16.2 million in need of protection.¹ Prior to regime change in 2021 some 700,000 people internally displaced almost within six months of the same year.² The WoA assessment showed that 55 per cent of displaced and non-displaced population were in need of shelter repair/upgrade.³ Equally 65% of the assessed households were in need of winterization and were relying on inadequate heating sources like animal dung, waste, bushes or no source of energy at all.⁴

Given these expanding needs, the importance of coordination within the ES/NFI sector is critical, particularly when considering that actual reach of the cluster's interventions. Since March 2008 the ES/NFI Cluster was activated in Afghanistan under UNHCR leadership and co-chaired by IOM with a membership of 51 partners including National and International NGOs, UN agencies, and Donors. To ensure effective coordination and timely response, the Cluster has in place a Coordination Team at the National Level. At the sub-national level the Cluster has Regional Focal Point and Co-chair for the seven regions and Provincial Focal Points (PFPs) for all 34 provinces in Afghanistan.⁵ However, according to the January 2021 revision of the Humanitarian Response Plan (HRP), only 1 million people with ES/NFI needs, less than 16% of those in need, are likely to be reached. This gap is a result of a realistic analysis of partners' capacity to deliver and funding received in past years, despite its increased capacity to scale-up response when required.⁶ Of the 2 million highlighted as in need for the Spring Disaster Contingency Planning, only 0.2 Million are expected to be reached⁷ due to various reasons such as lack of access, partners' capacity, limited findings and so on. Given these constraints, the importance of ensuring that the cluster is able to target and respond to the most in-need households is critical. This response can come in a number of ways, from strengthening emergency response capacities, in order to respond more quickly and effectively to key needs of immediately displaced households, and technical assessments aimed at providing a deeper understanding of the challenges faced by shock-affected population groups underlying more protracted responses.

2.2. Intended impact

By leveraging extensive experience of nearly five years of research in Afghanistan, including detailed shelter assessments aimed at assistance in the development of resilience programming and durable solutions, in both 2019 with its Shelter and Winterization Assessment,⁸ and in 2020 through its 2019/2020 Winterization Response Evaluation,⁹ and also through technical assessments like it's Local Architecture Review,¹⁰ conducted in late 2020, REACH will support ES/NFI partners in information management to better integrate data driven approaches into their regular annual programming to inform strategic, programmatic, and operational priorities in Afghanistan. Through this multi-cycle assessment REACH aims to set up a rapid assessment mechanism to empower the existing system of the Provincial Focal Points established by the ES/NFI Cluster in order to improve local-level coordination mechanism and the overall response for shock-affected and sudden-onset displaced populations by providing more information on them.

¹ [UNOCHA, Humanitarian Needs Overview: Afghanistan 2022, January 2022.](#)

² [UNOCHA, Humanitarian Response Plan: Afghanistan 2022, January 2022.](#)

³ [Whole of Afghanistan Assessment \(WoAA\), Key Sectoral Findings, October 2021.](#)

⁴ [Whole of Afghanistan Assessment \(WoAA\), Key Sectoral Findings, October 2021.](#)

⁵ [Shelter Cluster Afghanistan, Cluster Coordination Performance Monitoring Report and Consolidated Action Plan 2021](#)

⁶ [UNOCHA, Humanitarian Response, Plan: Afghanistan 2018-2021, January 2021.](#)

⁷ [UNOCHA, Afghanistan: Spring Disaster Contingency Plan, 4 March 2021.](#)

⁸ [REACH, Afghanistan: ES/NFI Assessment, December 2019.](#)

⁹ [REACH, Afghanistan: Winterization Evaluation, 2019-2020, June 2020.](#)

¹⁰ [REACH, Afghanistan: Local Architecture Review, November 2020](#)

3. Methodology

3.1 Methodology overview

There will be two possible pathways for site selection. For the planned assessments in March and June 2022 the districts will be prioritized by using Analytical Framework which uses data from the previous assessments like HEAT and HSM. The ranked list of the districts will be further fine-tuned by RFPs by using the KII tools for RFPs and will finalize the specific sites for the assessments. The final decision will be taken by ES/NFI cluster. On the other hand, site selection for the 'The Emergency RAM' will not be random but should come from the alert triggered by any event or conflict. After site(s) selection the assessment will comprise of:

1. A short KII tool is first used to provide overall information on the site. This information will be collected by the RFPs, either directly or through partners, from key informants, who will either be members of the community or from direct observations by NGO staff. These results are indicative, and used to provide detailed information about the caseload that will be needed in order to correctly sample for the HH level tool
2. The assessment uses a household interview (HHI) tool which gathers critical information about the targeted (in case of nationwide RAM) or event affected population (in case of emergency basis RAM). A HH-level closed-question quantitative tool will assess shock-affected population at household level. Households will be randomly sampled to be representative of the shock affected population at 95% confidence interval and 10% margin of error. The sample size will be determined by REACH (in case of rolling-basis RAM) and IMOs (in case of emergency-basis RAM) using the total population size that should come from the RFP tool or any other source of information.

The ES/NFI Cluster at National and Regional Level will coordinate the rapid assessments, and will be the liaison between REACH and the provincial focal points (PfPs), who will be responsible for collecting the data for the rapid assessment in their specific provinces. REACH will provide training for the partners on a regular basis. In addition, REACH will develop Standard Operating Procedures (SOPs) for Rapid Assessment Mechanism to ensure availability of clear guidelines methodology and information management. Following data collection, all data will be uploaded to a Kobo server set up by REACH, who will then clean and analyse the data, providing quality control for all data collected. This data will be put into factsheets, which will be shared back with the ES/NFI Cluster to act upon.

Under the "Nationwide RAM" two round of assessments have been planned, one in May and another in June 2022. For these assessments sites will be selected using systematic approach. Within each province that ESNFI Cluster has ranked based on severity districts will be prioritised using the analytical framework. Following this RFPs will be prioritizing sites within each district using the KII tools for RFPs in FDGs and discussions with community leaders. All these lists will be shared with the ESNFI Cluster where the final number of sites will be determined for the assessment.

Parallel to the "Nationwide RAM" and after the handover of the RAM-Tool-Kit to ESNFI cluster there is second mechanism of launching the assessment called the Emergency RAM. Through this approach an alert—either from OCHA, local stakeholders or any other source, following any disaster event, should rise and notify ESNFI cluster who then decide whether to launch the RAM or not. The ES/NFI Cluster will inform the provincial focal point, who will start the assessment within 5 days of the alert. In the event that other emergency assessments, such as the Emergency Response Mechanism (ERM) are involved, the Provincial Focal Points (PfPs) or PfP alternates will coordinate with these other actors to ensure that there is no duplication through the regional Operational Coordination Team (OCTs) and Joint Assessment Teams (JATs). If the ERM and Rapid ES-NFI assessments are ongoing at the same time this would likely create tensions and issues with the community as the community could either assume that application of this tool means they are eligible for assistance or believe that targeting and selecting for assistance was done

incorrectly. It is essential to ensure that ES-NFI Rapid Assessment takes place after the JAT assessment or ERM to reduce any potential confusion among respondents and avoid inaccurate registration of beneficiaries.

Each assessment will include maximum 101 HH interviews to ensure a population-representative sample of households to provide a population representative sample with 95% confidence and a 10% margin of error, with a 5% buffer in case interviews need to be deleted for quality reasons. KIIs will be conducted to ensure contextual data that can be used to help triangulate the HHI findings. All data will be submitted to a centralized Kobo server managed by REACH, who will clean and process the data within 1-2 days (this will apply to working days only). The data will be fed into a factsheet, which will be shared with the ES/NFI Cluster. If very few rapid assessments are conducted, REACH will conduct a review of previous rapid assessments to identify lessons learned and any key findings from previous responses.

Development of Rapid Assessment Tools and Methodologies

The tool will be a quantitative tool based on Kobo, so that all of the data collected will be standardized and can be sent to a single server from anywhere in the country. A separate KoBo account will be set up specifically for the ES-NFI project with the limited access rights for PFP partners ("View and Submission" rights). In the case that poor access or security require it, forms may be filled out on paper and later submitted to the server. The tools will be based on existing rapid assessment tools, including the Household HEAT tool endorsed by the Inter-Cluster Coordination Team (ICCT) and used as part of IDP SOPs and the Emergency Response Mechanism (ERM). The tool will be based on the HEAT tool, but will have additional ES/NFI questions added to provide additional information for the ES/NFI cluster. This will be coordinated with OCHA to ensure that any data collected is aligned with existing procedures.

3.2 Population of interest

The Rapid Assessments will cover approximately 101 HH per targeted area to ensure a 95% level of confidence with a 10% margin of error for the population with HH interviews. These populations covered will differ based on the causes of each crisis and the status of the people affected. However, they may fall into the following categories:

- **Internally Displaced Persons (IDPs):** are defined as "persons or groups of persons who have recently been forced or obliged to flee or to leave their homes or places of habitual residence, in particular as a result of or in order to avoid the effects of armed conflict, situations of generalized violence, violations of human rights or natural or human-made disasters, and who have not crossed an internationally recognized state border."
- **Host communities:** refers to all communities that host large populations of refugees, returnees or internally displaced persons, typically in camps or integrated into households directly.
- **Returnee populations:** Refers to persons who are Afghan Nationals that have returned to Afghanistan after living in other countries.
- **Refugee populations:** Refers to persons who are not Afghan nationals that have fled their homes in other countries and are now residing within the borders of Afghanistan.
- **Non-displaced natural-disaster affected populations:** includes those households that have never been displaced as a result of or in order to avoid the effects of armed conflict, situations of generalized violence, violations of human rights or natural or human-made disaster, but who have been affected by natural disasters that have occurred since 2019. 'Affected' will be defined as households having their shelter severely damaged or destroyed as a result of natural disasters, such as floods.

3.3 Secondary data review

Contextual analysis

The following resources will be reviewed as part of the secondary review phase to build a contextual basis for the analysis of primary data. These sources will provide context for the household questionnaires as well as provide background for the analysis of results.

Table 1. Data sources for secondary data review

Source	Document
REACH	Household Emergency Assessment Tool, ERM 10, January 2021.
REACH	Local Architecture Review, November 2020
REACH	Whole of Afghanistan Assessment, October 2020.
REACH	Winterization Evaluation, 2019-2020, June 2020.
REACH	ES/NFI Assessment, December 2019.
REACH	Joint Market Monitoring Initiative, December 2020.
UNOCHA	Afghanistan: Spring Disaster Contingency Plan, 4 March 2021
UNOCHA	Afghanistan: Humanitarian Needs Overview (2021)
UNOCHA	Afghanistan Humanitarian Response Plan 2021

3.4 Primary Data Collection

Primary data will mainly come from household survey conducted across each site but the key informant interviews will also gather some basic information for potential sites before commencing the household surveys. Both are elaborated in this section below:

- Key informant Interviews with Community Leaders
REACH will develop a KII Tools for RFPs to capture basic necessary information on potential sites to be surveyed within each district. The information from this exercise has two purposes. Firstly, it will help RFPs to finalize exact sites for the assessment based on the severity and vulnerability determined as a result of the discussions with the community leaders and or local stakeholders. Secondly, after the sites are selected the information gathered as a result of this exercise will play a key role in designing any possible response. This is because the information from the KII will complement the information obtained from the households surveys. The KII intends to gather information across the following categories:
 - 1- Location: this section will provide exact location of the site including the province, district, area and settlement within which the site lies.
 - 2- Population and Demographics: information on total population, IDP population, IDP returnees, returnee's population, and host community will be gathered under this section.
 - 3- Contextual Information: under this section information about the vulnerability, overall situation, history of recent events/conflict, and assistances received will be collected. Presence of any partner(s) will also be asked.
 - 4- Prioritization and Vulnerability: this section further zooms into the overall status of the sites and collect specific information on any event/disaster and its consequences.
- The household survey will explore perceptions of the residents of assessed areas in terms of current multi-sector needs, and preferred modalities of NFI aid. The survey will use a random sampling approach with a 95% confidence interval and 10% margin of error for each area. A sample will be drawn across all targeted area assuming an infinite-sized population. The total sample size per each site will be depend on population size (approximately 101 HH

interviews) and will be distributed within targeted area based on the number of households identified through KII. An additional buffer of 5% will also be included in the target sample size to account for non-response rates and potential deletion of entries during data cleaning.

Data will be collected using the KoBo toolbox, and PfP staff will be trained prior to data collection in the use of KOBO as well as interviewing techniques. After conducting pre-data collection security assessment, the interviews will be collected in-person, using COVID-19 mitigation measures according to the IMPACT Covid-19 SOPs¹¹. To select respondents for the HH survey systematic sampling will be applied. Before going to the field, a short briefing for each team of PfP should be organised in order to provide them with the sample size for each area based on the findings obtained from KIIs and ensure that they are familiar enough with the boundaries of area of data collection (e.g. urban neighbourhood or village zone). After arriving to the location enumerators will randomly select HHs to conduct interviews until the sampling goal for the particular area will be reached. A threshold will be calculated based on number of shelters in a location (village or urban neighbourhood). For example, if there are 500 shelters in a village, it will be divided by sample needed from a location (for example, 101 HHs) – $500/101 = 4.9$. Enumerators will arrive at the center of the location and randomly select the first shelter from 1 to 5. The area will be divided in blocks to implement systematic sampling. In each block, enumerators will visit all the households, after the first HH, each enumerator will interview every 5th HH they visit. In case a HH is not available for interview, an enumerator will approach the next HH.

In order to track the validity of collected data, random selection of respondents, who previously gave their consent for second contact (through phone calls), will be conducted during the period of ongoing data collection. In particular, the respondents will be asked to answer again up to five questions from the HH survey for a quick data verification.

The household survey tools will use Kobo mobile data collection, and will be analysed and triangulated with secondary data sources. The decision to conduct a rapid assessment would be made by the National ES/NFI Cluster and primary data collection will be implemented by the provincial focal points (PfPs) from the ES/NFI Cluster. During the first weeks of implementation, in coordination and with the agreement of the national ES/NFI Cluster, REACH has developed detailed SOPs (see Annex I).¹² With a week prior to data collection REACH team will train PfPs on the Rapid Assessment Mechanism, in particular on how to use the tools, sampling methodologies, and how the data will be collected, analysed, and used. All PfPs will adhere to REACH global COVID-19 assessment mitigation measures to ensure that enumerators do not become vectors for the virus and inadvertently spread it among the population, which includes socially-distanced interviews and the use of Personal Protective Equipment (PPE).¹³ In addition to provincial focal points, alternate organizations will be identified to participate in the assessments when the PfPs are unable to. This will include a mechanism through which the rapid assessment will be launched. These procedures will be endorsed by the ES/NFI Cluster and its partners in a meeting, after which the Rapid Assessment mechanism will be launched. REACH will commit to a maximum of 6 rapid assessments initially, but may do more if capacity and ability allow.

3.5 Data Processing & Analysis

Data from the KII tools used by RFPs prior to assessment will be analysed by RFPs themselves as well as by the ESNFI Cluster both for sites finalisation and any designing any possible response after the assessment. The KII tools (an excel spreadsheet) automatically sums of the score on each indicator given to each site and thus helps in identifying the severe and vulnerable sites for the assessment. Other general information gathered by this tool can be used when planning a response after the assessment.

¹¹ [Impact Initiatives, SOPs for Data Collection during COVID-19, April 2020](#)

¹² See Annex 1

¹³ [REACH, SOPs for Data Collection during COVID-19, May 2018.](#)

Data from the household interviews will be collected through mobile data collection tools. Data cleaning will be conducted by the REACH Data Analysis Officer who will check for consistency, outliers, and logic in responses¹⁴ provided and will provide feedback to PfPs for additional clarification by next day. Any interviews that are insufficient quality will be deleted, and will need to be re-collected by the PfP. Data will be stored on IMPACT Kobo accounts. After applying final changes to the data based on feedback from the partners, the data analysis team will share anonymised raw and cleaned data along with the value cleaning log with IMPACT HQ for validation. The value cleaning log can be shared with the ES-NFI Cluster if needed.

During primary data collection, the REACH Senior Assessment Officer and Database Officer will review data daily to ensure collection methodology is being followed by PfPs and investigate any extreme outliers or other problematic data, including ensuring the sampling methodology is being carried out in accordance with the sampling plan. The Senior Assessment Officer and Database Officer will keep a log of any changes, including cleaning of data. Data from household interviews and KII will be analysed in R.

Output production

To develop a rapid-assessment mechanism that will be coordinated through the ES/NFI Cluster REACH will produce the following outputs:

- Standard Operating Procedures (SOPs)
- Assessment Tools (KII Tools for RFPs and Households Surveying Questionnaire)
- Terms of Reference
- Shared Data Platforms (KoBo platform)
- Data Analysis Plan
- Clean Datasets
- Factsheets for each site where the rapid assessment conducted

4. Key ethical considerations and related risks

For detailed guidance on how to complete this section, see also Step 5 of the IMPACT Research Design Guidelines

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

The proposed research design...	Yes/ No	Details if no (including mitigation)
... Has been coordinated with relevant stakeholders to avoid unnecessary duplication of data collection efforts?	Yes	
... Respects respondents, their rights and dignity (specifically by: seeking informed consent, designing length of survey/ discussion while being considerate of participants' time, ensuring accurate reporting of information provided)?	Yes	
... Does not expose data collectors to any risks as a direct result of participation in data collection?	Yes	
... Does not expose respondents / their communities to any risks as a direct result of participation in data collection?	Yes	
... Does not involve collecting information on specific topics which may be stressful and/ or re-traumatising for research participants (both respondents and data collectors)?	Yes	

¹⁴ [IMPACT Initiatives, Guidelines: Data Cleaning for Structured Data, 2020](#)

... Does not involve data collection with minors i.e. anyone less than 18 years old?	Yes	
... Does not involve data collection with other vulnerable groups e.g. persons with disabilities, victims/ survivors of protection incidents, etc.?	Yes	
... Follows IMPACT SOPs for management of personally identifiable information ?	Yes	

5. Roles and responsibilities

Table 3: Description of roles and responsibilities

Task Description	Responsible	Accountable	Consulted	Informed
Research design	Senior Assessment Officer	Assessment Manager	IMPACT HQ, ES/NFI Cluster	ES/NFI Cluster Coordinator
Supervising data collection	ES/NFI Cluster partners	Cluster Lead	Assessment Officer, Senior Project Officer	Assessment Manager
Data processing (checking, cleaning)	Database Officer	Database Manager	Assessment Officer, IMPACT HQ	Research Manager
Data analysis	Database Officer	Database Manager	Assessment Officer, IMPACT HQ	Research Manager, ES/NFI Cluster
Output production	Assessment Officer	Assessment Manager	IMPACT HQ	Country Coordinator, ES/NFI Cluster
Dissemination	Assessment Officer	Assessment Manager	ES/NFI Cluster, Country Coordinator	IMPACT HQ
Monitoring & Evaluation	Assessment Officer	Assessment Manager	ES/NFI Cluster, Country Coordinator	IMPACT HQ
Lessons learned	Assessment Officer	Assessment Manager	ES/NFI Cluster, Country Coordinator	IMPACT HQ

Responsible: the person(s) who executes the task

Accountable: the person who validates the completion of the task and is accountable of the final output or milestone

Consulted: the person(s) who must be consulted when the task is implemented

Informed: the person(s) who need to be informed when the task is completed

6. Data Analysis Plan

SEE THE ATTACHMENT

6. Data Management Plan

Administrative Data			
Research Cycle name	ES-NFI Rapid Assessment		
Project Code	AFG2203		
Donor	UNHCR		
Project partners	ES/NFI Cluster		
Research Contacts	Ari Weiss, Research Manager, ari.weiss@impact-initiatives.org Said Muhammad Shenwari, Senior Assessment Officer, said.muhammad@reach-initiative.org		
Data Management Plan Version	Date: 25/03/2022	Version: 8	
Related Policies	IMPACT Research Cycle Guidelines		
Documentation and Metadata			
What documentation and metadata will accompany the data? <i>Select all that apply</i>	<input checked="" type="checkbox"/>	Data analysis plan	<input checked="" type="checkbox"/> Data Cleaning Log, including: <input type="checkbox"/> Deletion Log <input type="checkbox"/> Value Change Log
	<input type="checkbox"/>	Code book	<input type="checkbox"/> Data Dictionary
	<input type="checkbox"/>	Metadata based on HDX Standards	<input type="checkbox"/> [Other, Specify]
Ethics and Legal Compliance			
Which ethical and legal measures will be taken?	<input checked="" type="checkbox"/>	Consent of participants to participate	<input checked="" type="checkbox"/> Consent of participants to share personal information with other agencies
	<input type="checkbox"/>	No collection of personally identifiable data will take place	<input checked="" type="checkbox"/> Gender, child protection and other protection issues are taken into account
	<input checked="" type="checkbox"/>	All participants reached age of majority	[Other, Specify]
Who will own the copyright and Intellectual Property Rights for the data that is collected?	IMPACT		
Storage and Backup			
Where will data be stored and backed up during the research?	<input checked="" type="checkbox"/>	IMPACT/REACH Kobo Server	<input type="checkbox"/> Other Kobo Server: <i>[specify]</i>
	<input type="checkbox"/>	IMPACT Global Physical / Cloud Server	<input type="checkbox"/> Country/Internal Server
	<input checked="" type="checkbox"/>	On devices held by REACH staff	<input type="checkbox"/> Physical location <i>[specify]</i>
	<input type="checkbox"/>	[Other, Specify]	
Which data access and security measures have	<input checked="" type="checkbox"/>	Password protection on devices/servers	<input checked="" type="checkbox"/> Data access is limited to REACH staff

been taken?	<input checked="" type="checkbox"/>	Form and data encryption on data collection server	<input type="checkbox"/>	Partners signed an MoU if accessing raw data
	<input type="checkbox"/>	[Other, Specify]		

Kobo Access Rights

Kobo Access	Person	Account Name
View Form	Moh.Taqi SHAYAN, Abdul Ahmad MUSHFIQ, Inna Novak	mtsh, moshfiq, inna_novak
View and Edit Form	Moh.Taqi SHAYAN	mtsh
View Form and Submit Data	Cluster partners	TBC
Download Data	Moh.Taqi SHAYAN	mtsh

Raw Data Access Rights

Raw Data Access	Reason	Person
Accountable	Accountable	Moh.Taqi SHAYAN, Database Manager
Access	Data cleaning	Hadisa RAHIMY

Preservation

Where will data be stored for long-term preservation?	<input checked="" type="checkbox"/>	IMPACT / REACH Global Cloud / Physical Server	<input type="checkbox"/>	OCHA HDX
	<input checked="" type="checkbox"/>	REACH Country Server	<input type="checkbox"/>	[Other, Specify]

Data Sharing

Will the data be shared publically?	<input type="checkbox"/>	Yes	<input checked="" type="checkbox"/>	No, only with mandating agency / body
Will all data be shared?	<input type="checkbox"/>	Yes	<input checked="" type="checkbox"/>	No, only anonymized/ cleaned/ consolidated data will be shared
	<input type="checkbox"/>	No, [Other, Specify]		
Where will you share the data?	<input checked="" type="checkbox"/>	REACH Resource Centre	<input type="checkbox"/>	OCHA HDX
	<input checked="" type="checkbox"/>	Humanitarian Response	<input type="checkbox"/>	[Other, Specify]

Data protection risk assessment

Have you completed the Indicators Risk Assessment table below?	<input checked="" type="checkbox"/>	Yes	<input type="checkbox"/>	No, no information that potentially allows identification of individuals is to be collected.
--	-------------------------------------	-----	--------------------------	--

Risk indicator	Type of identification risk	Disclosure implications	Benefits	Class	Required mitigation
KI or HH name	Identification of KI or HH	Loss of privacy	Follow up for data cleaning	C	REMOVE
KI or HH phone number	Direct contact with KI or HH	Loss of privacy	Follow up for data cleaning	B1	Deleted directly after verification/cleanin
HH income	Security Risk	Potential criminality	Economic conditions	B3	stored

KI and HH interview time	Indirect identification	Loss of privacy	Follow up for data cleaning	B3	stored
Female breadwinner	Indirect identification	Loss of privacy	Count ES NFI Vulnerability Index	B3	stored

Responsibilities	
Data collection	Aboraihan SAFI, Program Manager, aboraihan.safi@reach-initiative.org
Data cleaning	Moh. Taqi SHAYAN, Database Manager, taqi.shayan@reach-initiative.org
Data analysis	Moh. Taqi SHAYAN, Database Manager, taqi.shayan@reach-initiative.org
Data sharing/uploading	Moh. Taqi SHAYAN, Database Manager, taqi.shayan@reach-initiative.org

7. Monitoring & Evaluation Plan

IMPACT Objective	External M&E Indicator	Internal M&E Indicator	Focal point	Tool	Will indicator be tracked?
Humanitarian stakeholders are accessing IMPACT products	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		<input type="checkbox"/> 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		<input type="checkbox"/> Yes
		# of visits to x webmap/x dashboard	Country request to HQ		<input type="checkbox"/> Yes
IMPACT activities contribute to better program implementation and coordination of the humanitarian response	Number of humanitarian organisations utilizing IMPACT services/products	# references in HPC documents (HNO, SRP, Flash appeals, Cluster/sector strategies)	Country team	Reference_log	ES/NFI Cluster documents
		# references in single agency documents			
Humanitarian stakeholders are using IMPACT products	Humanitarian actors use IMPACT evidence/products as a basis for decision making, aid planning and delivery Number of humanitarian documents (HNO, HRP, cluster/agency strategic plans, etc.) directly informed by IMPACT products	Perceived relevance of IMPACT country-programs	Country team	Usage_Feedback and Usage_Survey template	Will target ES/NFI Cluster and its partners
		Perceived usefulness and influence of IMPACT outputs			
		Recommendations to strengthen IMPACT programs			
		Perceived capacity of IMPACT staff			
		Perceived quality of outputs/programs			
		Recommendations to strengthen IMPACT programs			
Humanitarian stakeholders are engaged in IMPACT programs throughout the research cycle	Number and/or percentage of humanitarian organizations directly contributing to IMPACT programs (providing resources, participating to presentations, etc.)	# 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

ANNEX I: GUIDANCE AND SOPs FOR PARTNERS AND ENUMERATORS ON THE TOOL, DATA COLLECTION, AND INFORMATION MANAGEMENT

Scope of this document

This document aims to provide Provincial Focal Point (PfP) implementing partners and assessment teams with guidelines on the tool, and the following steps (data cleaning, verification, processing, and IM) to ensure consistency and accuracy of data. This document also contains information on the tool itself, outputs, communication, and feedback mechanisms.

Together, this SOP can be downloaded and distributed to partners and enumerators as a booklet.

The document contains the following information:

1. Background
2. Triggers for assessments
3. Coordination structure and assessment participation
4. Minimum enabling conditions for assessments
5. Guidance and support provided to adopt the tool
6. Key definitions
7. REACH role
8. Kobo server
9. Data cleaning and verification
10. Information sharing and analysis (IM)
11. Contacts and Communication
12. Data collection
13. The questionnaire
14. Troubleshooting

This SOP may be updated and/or revised as necessary.

Background

In an increasingly complex operating environment, stronger coordination around humanitarian needs assessments is critical to:

1. enable effective assessment of multi-dimensional needs
2. optimise available resources (including use of trained enumerators)
3. reduce the burden on key informants, and
4. capitalise on a sometimes brief windows of access.

Under the direction of the ES-NFI Cluster, REACH Initiative has been tasked to develop a joint assessment form and guidance note to support effective coordination for rapid needs assessments.

One common rapid ES-NFI assessment form will be used by the ES/NFI Cluster partners participating in local coordination mechanism in areas affected by escalating conflict or natural disaster. The assessment form is drawn from indicators within the existing HCT-endorsed Household Emergency Assessment Tool (HEAT) and indicators used for the REACH Emergency Shelter Non-Food Item Winterization Assessment from 2019. The purpose of developing a shared, harmonized, and standard tool is to ensure that the ES-NFI Cluster Provincial Focal Points engaged in the humanitarian response in Afghanistan agree to a common structure, template form and a minimum set of enabling conditions necessary to carry out the independent and impartial, ES-NFI assessments that form the basis for the delivery of shelter/NFI aid. These enabling conditions are grounded in the imperative to build a robust evidence-base from which partners can implement a needs-based response.

Triggers for assessments

An alert system will be used to trigger assessments. The alert can come from multiple sources including: contact centres at the community level, humanitarian and development organisations, community leaders, security organisations, the Government, affected people, including through the inter-agency call centre (AWAAZ), and other service centres. In the event of a peace agreement or sustained cease-fire, the agreement itself will be the trigger for the initiation of assessments. To provide greater shelter information after the initial emergency response is carried out through a joint rapid assessment or ERM assessment, the decision to activate the ES-NFI assessment will be taken by the ES/NFI national cluster.

Coordination structure and assessment participation

The ES/NFI Cluster is led by UNHCR and co-led by IOM and has in place a Coordination Team at the national level as well as Regional and Provincial Focal Points. As per current practice, the existing Emergency Shelter and NFI Cluster in the different provinces will continue to be the coordination and decision-making platforms for assessments which will strengthen more localized coordination.

Members of the assessment team should meet minimum requirements including, but not limited to:

- Familiarity and agreement with the Code of Conduct for International Red Cross and Red Crescent Movement and NGOs in Disaster Relief (1992), UN General Assembly Resolutions (1991 and 2003), the Sphere Standards (1999), and the Core Humanitarian Standard (2015)
- Familiarity and agreement with the JOPs, HCT Data Sharing Protocol, IDP SOPs
- Familiarity with engaging with community leadership to negotiate principled access for the assessment team
- Independence from active enlistment in any armed group or militia
- Familiarity and agreement with all necessary safeguarding protocols, including PSEA
- Experience with humanitarian assessment methodology and training on common multi-sector assessment form

When an event has been reported, implementing partners are committed to coordinate with the ES/NFI Cluster, to carry out an assessment in a timely and coordinated manner. While timeliness of the response is clearly the priority, the importance of data quality to have reliable and accurate information should also be mainstreamed throughout each assessment.

Minimum enabling conditions for assessments

- Humanitarians require direct engagement with affected communities to assess their needs and vulnerabilities at the household levels.
- Humanitarians require safe and unimpeded access to all affected areas to conduct assessments. This will require either directly or indirectly engaging with parties to the conflict to gain principled access to the assessment area.
- When possible, humanitarians should have both female and male enumerators to ensure the needs of different population groups (such as women and children, people with disabilities, the elderly) are fully represented in the results of assessments and response planning. There must not be restrictions on assessment teams speaking directly to women about their needs.
- Humanitarians require staff safety and security during assessments, and that staff are left free from interference.
- Selection of humanitarian assessment teams must be free from interference by local leaders; requests and demands to select members of the assessment team by parties to the conflict will not be entertained.
- No one participating in an assessment is permitted to carry a weapon.

Guidance and support provided to adopt the tool

Through this guidance/SOP, the ES/NFI Cluster Provincial Focal Points aim to support the implementing partners adopting the ES-NFI Rapid Assessment Tool through a booklet of information to read and use should questions arise during assessments or internal trainings.

Additionally, REACH will provide capacity building training for humanitarian partners who will adopt the tool or need support to better understand the data collection processing. The training will mainly focus on how to guide enumerators during the assessment, how to identify gaps and inconsistencies, and how to debrief with enumerators at agency level.

Furthermore, the ES/NFI Cluster Provincial Focal Points will also prioritize staff safety and security risk assessments, as well as maintaining a detailed contact list of implementing organizations in all areas, especially those affected by heavy conflict.

Key definitions

Term	Definition
Household	A group of individuals that used to live under the same roof, sharing income and meals before the displacement/becoming hosts and still living together
Head of Household	A member of the household who manages the family resources and decisions (He/She is the final decision maker on most decisions related to income allocation and major family activities). This person will also have the most information about individual household members and the household as a unit.
Respondent	The person that you are interviewing.
Vulnerability	The characteristics of a person or group in terms of their capacity to anticipate, cope with, resist and recover from the impact of a shock, including natural disaster or conflict.
Coping strategy	Certain behaviors by people in the household, using available resources and skills, to face and manage adverse conditions and humanitarian needs.

REACH role

In light of the role and experience REACH gathered on handling, cleaning, processing, and analyzing multi-sector rapid assessment data, REACH committed to:

- Develop this guidance/SOP for implementing organizations and usable as an enumerator booklet
- Provide capacity building trainings on best practices on data collection
- Provide capacity building trainings on data cleaning, processing, and management
- Conduct data cleaning
- Conduct data analysis
- Produce analytical factsheet

Kobo Server

For ease and efficiency of data processing, all data should be collected directly in Kobo and uploaded on a Kobo server. In order to ensure data protection, enumerators should be granted just “View and Submission” of the forms. In order to ensure anonymity and the respect of basic Data Protection standards, just one person per organization should have access to the tool itself and to the data. If the restrictions on downloads are not met, each enumerator from any device will be able to

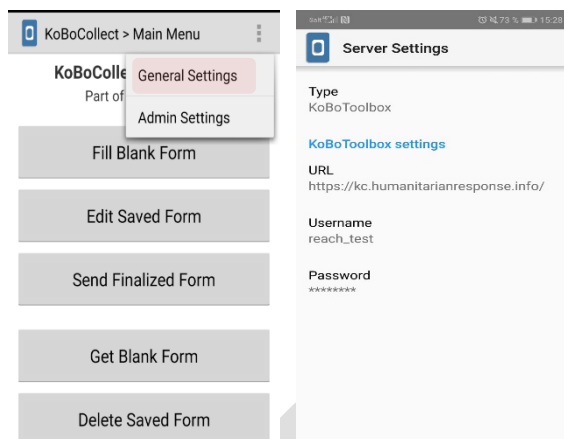
download all the data, including sensitive information as family names, areas, ID numbers, GPS coordinates, etc. Similarly, this also applies to cloned tools within the servers¹⁵.

Kobo Toolbox is a free, open-source suit of tools for mobile data collection, available to all. It allows you to collect data in the field using mobile devices such as Android mobile phones or tablets, or computers.

How to use the KoBo Toolbox – Android App step by step:

1. Downloading the App and Form:

- a. Type “kobocollect” in PlayMarket to install the app on Android phones or tablets.
- b. In your Android device, open KoBo App and open the General Settings (click on the settings button of your device to access the settings, either at the bottom or the top of your screen)
- c. Go to the ‘general settings’ on the Kobo main menu and Insert the <https://kc.humanitarianresponse.info/username/> - enter both username and password



- ***Do not enter username as this is a shared form.***
- ***Username goes in the Username field****
- ***Password goes in the Password field****

****SFOs set up the username and password on enumerators phone***

- d. In the main menu, select ‘Get Blank Form’, and then select the form you need
- e. Click on ‘Get Selected’.
- f. Select 3 dots symbol at top-right corner of the screen and select ‘Change Language’ and choose your preferred language (the tool will be available in English, Dari, and Pashto)

2. Then start collecting data:

- a. Press ‘Fill Blank Form’ and choose the form that you want to use;
- b. Once you are done in collecting the information, you will reach the last page which says ‘You are at the End of the Form’;
- c. Change the ‘Name’ of the form if needed;
- d. If you are not yet sure with your response and want to check back later, uncheck ‘Mark Form as Finalized’.

3. Please remember to save the data:

- a. Press ‘Save Form and Exit’. For saved forms but not yet submitted, look at ‘Edit Saved Form’ and retrieve the form;
- b. Click ‘Go to Start’, review your responses until you reach the end. Make sure that ‘Mark Form as Finalized’ has been checked. You will return to the main page.

4. Make sure you having a working internet connection

- a. Click on ‘Send Finalized Form’;
- b. Select the finalized form you want;
- c. Select ‘Send Selected’

Important rules:

- **Only delete a form if:**
 1. If the saved form cannot be completed,

¹⁵ For data protection purposes, please, **do not** clone any tool (or use cloned tools) from the original server, as cloned tools do not have restriction for data access, and anyone with the credentials could be able to access and download the data.

2. If on your device there are too many saved forms which you already submitted and it slows down/prevents you to save any more, or
 3. There is a security threat;
- **Do not duplicate or clone the tool** – use the provided one, otherwise the raw data will be accessible to enumerators and won't meet the basic Data Protection standards.
 - **Do not make any changes in .xls form;**
 - **Do not use or share any forms for personal purposes;**
 - **Do not set-up accounts on personal devices,** unless this is the necessary means of professional data collection;
 - **Use the correct form** – Make sure you are using the newest form for the data collection.
 - **One form per household** – Fill in a separate survey for each individual household that data is collected from.
 - Downloading the form should be done at the beginning of the data collection period; ideally as part of the training. You need to be connected to internet (WiFi or Data)
 - **You do not need to download the form every day.**

- **Always conduct the whole interview from start to finish, in one go.** Do not edit answers in the evening! Do not open the forms before the interview.
- Interviews can be 'uploaded' in the evening or next day once you have WIFI, but **the actual interviews are not to be opened again, after the interview is finished and saved.** If you open the interview again, the phone will mark the interview as invalid.
- **Always take enough time to conduct the interview.** Remember, the phone will record the time you took for each interview. If the time recorded for an interview is not realistic, the interview will be declared invalid.

Data cleaning¹⁶ and verification

Data, once collected by PFPs, will need to be cleaned and processed by REACH team as below¹⁷:

- All answers to in text questions will need to be translated and harmonized
- Time-checks will need to be applied to ensure minimum standards in terms of data quality (not applicable to forms collected in hard-copy and then entered in Kobo).
- Inconsistencies will have to be spotted, corrected, and logged into a cleaning log. Inconsistencies may include issues with:
 - 'Outlier' values i.e. if the recorded values do not seem possible (likely typos – 20,000 instead of 2,000, or 1 instead of 1,000).
 - Patterns i.e. one enumerator entered the same value for all forms (e.g. all households have the same number of HH members)
 - Exaggerated entries i.e. households of 6 with more than 3 disabilities.
 - Skip logics done to shorten the length of the questionnaire i.e. answering "no" to the key received assistance initial question just to skip the following 6 detailed ones.

¹⁶ [IMPACT Initiatives, Guidelines: Data Cleaning for Structured Data, 2020](#)

¹⁷ Should you have questions on data cleaning and processing, kindly contact the ES-NFI Rapid Assessment focal point at REACH for additional capacity building or ad-hoc trainings.

- Illogical responses

During primary data collection, the REACH Assessment Officer and Database Officer will review data daily to ensure collection methodology is being followed by PfPs and investigate any extreme outliers or other problematic data, including ensuring the sampling methodology is being carried out in accordance with the sampling plan. Right after detection of inconsistency, outliers, and illogical responses the feedback to PfPs will be provided for additional clarification. The Database Officer will share detailed data collection statistics, including number and percentage of collected interviews for each geography and strata with the PfPs and the Assessment teams weekly.

Information sharing and analysis (IM)

The Assessment Officer and Database Officer will keep a log of any changes, including cleaning of data. Data from household interviews and KII will be analysed in R. REACH data analysis team will share anonymised raw and cleaned dataset along with the value cleaning log with IMPACT HQ for validation. After that the clean datasets will be shared with the ES-NFI Cluster.

To build confidence in the assessment process, sharing of assessment methodology and anonymized information on needs with local stakeholders is critical. Assessment teams will reiterate, however, that the data gathered by humanitarians is principally owned by the affected people from whom it was gathered and can only be shared with their consent. Affected people have the first and final say in how their data is handled, stored, shared, and destroyed. Once collected data has been processed, information will only be shared with those outside the assessment team in an anonymized manner, without personal and identifying information, to mitigate against any risks of exploitation or harm to people. The HCT Data Sharing Protocol provides the framework for the sharing of assessment data, including with community leaders.

As final outputs REACH Assessment Officer will develop 6 factsheets with the key findings on shelter/NFI needs for each assessed area. The selection of indicators to be included in the final product will be prior agreed with the Shelter/NFI Cluster.

Contacts and Communication

The contact information of the focal points for queries and information on the tool can be found here below:

Focal Point	Role	Contact #	Contact email
Said Mohammad Shenwari	Senior Assessment Officer		said.mohammad@reach-initiative.org
Ari Weiss	RRRU Research Manager		ari.weiss@reach-initiative.org

Data collection

It is essential to plan a data collection in a way when interviews with KIs will be conducted before primary data collection with HHs, as its results will inform the HH data collection sampling approach.

Here below there are information on data collection and best practices to keep in mind when conducting the assessments.

Anonymity and Consent

During data collection, there are some general principles that apply, whether the interview is conducted in-person or remotely. The first is to ensure **data protection and respondent anonymity**:

- Data protection protocols should be utilized to assure respondents that their personally identifiable information will not be released and that all communication is confidential. The phone numbers, name and other identifiable information gathered by enumerators will be considered as “sensitive data”, and therefore removed by shared datasets and considered exclusively for the purpose of data cleaning and quality control.

The second is to ensure that the **respondent provides informed consent** to participate:

- The interviewer should establish a dialogue with the participant by first explaining: who you are, who you work for, and what/why you are doing. Remember that information collected will be used to assess the household needs, but **do not provide any assurance that assistance will be received as a result of participation.**
- After the initial conversation about the questionnaire, the enumerators should inform the respondent that they have the option to choose if they would like to participate in the survey. **If the respondent does not consent, then the interview will be terminated.**

Methodologies: In-person versus remote data collection

Due to the impact of the third wave of COVID-19, data collection methodologies may need to be adjusted. There are **three possible scenarios for data collection** in case of new alerts:

1. Maintaining in person data collection but with all possible precautions
2. Remote data collection from petition alerts with identifiable contacts and from ERM dataset
3. In-person collection of key household information and conduction of the actual assessment remotely (calling back)

In-person data collection

Visiting potential beneficiaries during the COVID-19 outbreak requires particular attention and training to ensure the enumerators' safety and well-being while conducting the interviews. Few precautionary measures must be taken into account:

- Enumerators must wear a mask at all times during the interviews
- Enumerators should prefer conducting the interview outside rather than in the respondent house
- Enumerators should avoid any physical contact, and keep no less than 2m distance between them and the respondent
- Enumerators should be provided with hand sanitizer or hand washing facilities and wash their hands between interviews and before leaving an assessment area.
- Enumerators should immediately report back to senior staff whether some of these steps were not met and may have been exposed to a possible risk.

Remote data collection

In-person interviews are always preferable to remote data collection. However, where in-person data collection is not possible or advisable, there are **some general rules and guidance for how to conduct remote data collection:**

1. Always follow the script set out in the survey.
2. Provide the reason for the call immediately and the organization you work for.
3. Always confirm that you have the right number of the household you are contacting.
4. Always be polite, respectful, and aware of the other person's time constraints.
5. Do not skip questions.
6. If the cell service is bad or you cannot hear, please move to a different or higher location and try the call again.
7. If the call drops, call back. If you cannot establish a connection, wait 5 minutes and call again. If you can still not establish a connection, wait 15 minutes and try again. If you still cannot establish a connection, inform your manager and try another contact.
8. Make sure to ask follow up questions relating to answers that may seem exaggerated or untrue.
 1. “Can you confirm XXX was the amount spent over the last 30 days?”

2. "Pardon, you said there are XXX HHs members, correct?"
9. Be clear about who you want to talk to. Try to speak to the head of HHs (HoHH), or alternatively to an adult member of the family.
10. It is okay to set call back times with the respondent, but do know that this is sometimes used as a polite way of saying they do not wish to talk to you, so be prepared to call another household if this is the case.
11. If you feel threatened or unsafe during the call, please hang up and talk with a manager about blacklisting a number.

The questionnaire

The questionnaire has multiple sections: Introduction, HH information, HH composition, HH vulnerability factors, HH displacement status, Impact of shock/event on HH, Assistance received, Sectoral needs, Shelter, NFI/WASH/Winterization, HH socio-economic profile, Protection incidents and vulnerabilities, and Assistance modality.

Best practice

- Take your time, and give the respondent the time to think;
- It is advisable to take a short break between one section and another, and take the time to introduce the change of topic to the respondents
- Remind them, if necessary, that the answers will remain confidential

The initial part of the questionnaire will still address the **households' key information** as name, age, sex and marital status of the head of household. This section is then followed by the **household composition**, which remains unvaried. *Kindly pay attention to the number/response to the total household members, and remind the respondents to count themselves and head of household as oftentimes there is a discrepancy between what they reported and the calculated household size.*

As follow up questions there will be the number of women that at the time of the interview are either pregnant or lactating, and whether in the household there are any newborns/infants are under 24 months/ 2 years old.

The next section addresses disabilities and needed medical care, based on Washington Group standard questions. These questions and criteria are aimed to assess whether a family accounts for at least one member with disabilities. First two questions refer to HoHH and the following to other members of HH. It asks about sight and wearing glasses, hearing related problems and hearing aid, walking and movement difficulties (e.g. climbing steps), memory loss with remembering things and focusing, self-care and more severe disabilities, and communication issues.

The two following sets of questions address the household displacement status (displaced, non-displaced, returnee, or refugee), and, if displaced, how long they have been displaced for, what is their area of origin and movement intentions. All respondents will then have to identify the shock/event that may have affected them in the weeks or months (up to three) prior to data collection.

The sectoral need sections, namely **Shelter, NFI, WASH, Winterization** the households' sectoral needs and barriers to accessing services through key and strategic questions. Depending on the answers provided to each of these questions, household may indicate conditions that could potentially further compound existing vulnerabilities or their resilience capacity to shocks and displacement.

- **Are handwashing facilities available to you?**

Amongst the other ways to prevent the spread of the virus, frequently washing hands seems to be one of the most effective ways, together with covering the mouth when sneezing or coughing. Full hand washing facilities should include soap, running water, and paper towels (or anything else disposable) to dry the hands. When people cannot wash their hands, a solid alternative is using hand sanitizer, particularly those with at least 70% of alcohol content or those killing up to 99% of bacteria. It is important particularly when accessing offices and public spaces, on public transport, etc...

○ **Is there a functional public health facility within 2 hours of your house?**

Properly mapping functional health facilities in the district is important to coordinate the response. Areas with no access to functioning facilities might be more vulnerable than others. However, even where there are functioning facilities, we also need to know if they are accessible, and within 2 hours travel time.

Additionally, for some of those who might have contracted the virus, the access to specific treatments could be pivotal. Around 1 out of every 6 people who gets COVID-19 becomes seriously ill and develops difficulty breathing. Older people, and those with underlying medical problems like high blood pressure, heart problems or diabetes, are more likely to develop serious illness. People with fever, cough and difficulty breathing should seek medical attention. However, most people (about 80%) recover from the disease without needing special treatment. Then the respondent will also need to identify main barriers to access healthcare facilities.

Then, the questionnaire presents questions addressing the households socio-economic profile asking the total amount debt accrued in the last three months, and the main expenditures for which the household accrued said debt.

Concerning the **Protection** related information to gather, the tool has one question:

- Do any members of the HH feel unsafe or afraid in the area of displacement, including when accessing services, in public areas (such as going to the market, or to collect water), and/or inside the shelter? Question presents a set of multiple choice answers, namely: physical violence or harassment targeted at WASH facilities (i.e. bathrooms/showers), in accessing services (e.g. hospitals, clinics, distribution points, schools), in public areas (e.g. public bathrooms, in the camp, in the streets, in the market), in accessing public transportation, or none.

The final set of questions in the tool concerns assistance modality and feedback preferences, asking what kind of assistance the household would prefer to receive and what means of communication would be the most suitable for them.

Troubleshooting

Field work:

- Anticipated delays – If for COVID-19 purposes, access restrictions, clashing responsibilities, or security purposes you identify possible delays in data collection or verification, please inform your manager and the assigned focal point.
- Security context – If you identify a change in local security context that prevents you from accessing the area of displacement in a safe manner, please immediately inform your organization's focal point and refrain from collecting data. Security of the staff is the highest priority – no unnecessary risk should be taken for this assessment.

KoBo Toolbox:

- Download of forms not working – If you cannot download the latest form, check if you have entered the correct URL (the link breaks down if there is a typo) and whether you are connected to the internet.
- Upload of data not working – If the upload of the data does not work, make sure you are connected to the internet and try again. If you still cannot upload the data, check if you have downloaded the latest form. Uploads with an old form are not possible.