

Research Methodology Note

Informal Settlements Assessment – Round 2

AFG2001

Afghanistan

10/10/2020

Version 1

REACH Informing
more effective
humanitarian action

1. Executive Summary

Country of intervention	Afghanistan			
Type of Emergency	<input type="checkbox"/>	Natural disaster	<input checked="" type="checkbox"/>	Conflict
Type of Crisis	<input checked="" type="checkbox"/>	Sudden onset	<input checked="" type="checkbox"/>	Slow onset
			<input checked="" type="checkbox"/>	Protracted
Mandating Body/ Agency	OCHA			
Project Code	02DUD/02iAKC			
Overall Project Timeframe	March 10 th –December 31 st , 2020 Current project: October 1 st – December 31 st , 2020			
Number of assessments	2/2			
Research Timeframe	1. Start collect data: 8/11/2020		5. Preliminary presentation: 10/01/2020	
	2. Data collected: 03/12/2020		6. Outputs sent for validation: 21/01/2020	
	3. Data analysed: 08/12/2020		7. Outputs published: 31/01/2021	
	4. Data sent for validation: 17/12/2020		8. Final presentation: 31/01/2021	
Humanitarian milestones	Milestone		Deadline	
	<input checked="" type="checkbox"/>	Donor plan/strategy	31/12/2020	
	<input checked="" type="checkbox"/>	Inter-cluster plan/strategy	31/12/2020	
	<input type="checkbox"/>	Cluster plan/strategy	__/__/____	
	<input checked="" type="checkbox"/>	NGO platform plan/strategy	31/12/2020	
	<input type="checkbox"/>	Other (Specify):	__/__/____	
Audience Type & Dissemination	Audience type		Dissemination	
	<input checked="" type="checkbox"/> Strategic		<input type="checkbox"/> General Product Mailing (e.g. mail to NGO consortium; HCT participants; Donors)	
	<input checked="" type="checkbox"/> Programmatic		<input checked="" type="checkbox"/> Cluster Mailing (Education, Shelter and WASH) and presentation of findings at next cluster meeting	
	<input type="checkbox"/> Operational		<input checked="" type="checkbox"/> Presentation of findings (e.g. at HCT meeting; Cluster meeting)	
	<input type="checkbox"/> [Other, Specify]		<input checked="" type="checkbox"/> Website Dissemination (Relief Web & REACH Resource Centre)	
			<input type="checkbox"/> [Other, Specify]	
Detailed dissemination plan required	<input type="checkbox"/>	Yes	<input checked="" type="checkbox"/>	No

General Objective	The overall project objective is to identify and provide basic information on current demographics and basic service information on locations and populations within informal settlements throughout Afghanistan in order to highlight caseloads and current conditions. This will provide a geographical understanding of the overall service access and assist in prioritization for more detailed needs assessments. With the focus on ISET vulnerability overall, one component of this will focus on COVID-19 vulnerability specifically.			
Specific Objectives	<ul style="list-style-type: none"> Review and update existing database on informal settlements (ISETs), providing an exhaustive, consolidated list of informal settlements locations and populations in the country (to be shared bilaterally, on a restricted basis). Estimate the population size in each settlement, providing an indication of the overall caseload in each settlement. Map key services, infrastructure and boundaries of ISETs to identify the service infrastructure that is available Assess and prioritize ISETs by key service availability and accessibility to the population to inform future needs assessments. Monitor longitudinal change in key multi-sectoral indicators throughout multiple rounds of data collection, to understand how new programming and the change in COVID-19 conditions affect site needs and vulnerabilities Create and maintain a vulnerability index for targeting and prioritizing communities with high vulnerability to COVID-19 			
Research Questions	<ol style="list-style-type: none"> 1) What is the current number of ISETs in Afghanistan, where are they located and what are their key characteristics? 2) What are the demographics of the populations in each ISET? 3) What services are accessible and what infrastructure and services are located inside the settlement? 4) What is the current level of service provision in each ISET, and what are the major service gaps and priorities by location? 5) How do site needs and vulnerabilities change over time? 6) What are the sector-specific risks and needs arising as a result of the COVID-19 emergency in informal settlements? 			
Geographic Coverage	All provinces of Afghanistan which contain ISETs – TBD after verification process. There is no distinction between urban or rural ISETs, the areas assessed will be determined by snowball sampling. Any ISET that fits the definition outlines in this methodology note will be profiled. The 1,148 sites that were assessed in Round 1 will be re-assessed this round, and we will aim to add new sites as partners or snowball sampling make them known.			
Secondary data sources	REACH ISETs Assessment: 2020 dataset and factsheets REACH ISET Profiling Tool: 2017 IOM DTM Displacement Profiling: 2019 Partner ISET lists			
Population(s) <i>Select all that apply</i>	<input type="checkbox"/>	IDPs in camp	<input checked="" type="checkbox"/>	IDPs in informal sites
	<input type="checkbox"/>	IDPs in host communities	<input type="checkbox"/>	IDPs
	<input type="checkbox"/>	Refugees in camp	<input checked="" type="checkbox"/>	Refugees in informal sites
	<input type="checkbox"/>	Refugees in host communities	<input type="checkbox"/>	Refugees
	<input type="checkbox"/>	Host communities	<input checked="" type="checkbox"/>	Returnees in informal sites
Stratification¹ <i>Select type(s) and enter number of strata</i>	<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 checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	Site #: ~150 districts ² Population size per strata is known? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Data collection tool(s)	<input checked="" type="checkbox"/>	Structured (Quantitative)	<input type="checkbox"/>	Semi-structured (Qualitative)

¹ Stratification refers to comparison between non-representative data for the second round

² Population is estimated based on validation exercise of the exiting secondary literature

	Sampling method	Data collection method
Structured data collection tool # 1 – Site verification	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 Snowballing	X Key informant interview (Target #): 1 per site <input type="checkbox"/> Group discussion (Target #): _____ <input type="checkbox"/> Household interview (Target #): _____ <input type="checkbox"/> Individual interview (Target #): _____ <input type="checkbox"/> Direct observations (Target #): _____ <input type="checkbox"/> Mapping (Target #): _____
Structured data collection tool # 2 – Profiling and mapping	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 <input type="checkbox"/> [Other, Specify]	X Key informant interview (Target #) 2 per site <input type="checkbox"/> Group discussion (Target #): _____ <input type="checkbox"/> Household interview (Target #): _____ <input type="checkbox"/> Individual interview (Target #): _____ <input type="checkbox"/> Direct observations (Target #): _____ <input type="checkbox"/> [Other, Specify] (Target #): _____
Target level of precision if probability sampling	__% level of confidence – N/A	__+/- % margin of error – N/A
Data management platform(s)	X IMPACT <input type="checkbox"/> [Other, Specify]	<input type="checkbox"/> UNHCR
Expected output type(s)	<input type="checkbox"/> Situation overview #: __ <input type="checkbox"/> Presentation (Preliminary findings) #: __ <input type="checkbox"/> Interactive dashboard #: __ <input type="checkbox"/> [Other, Specify] #: __	X Report #: 1 X Presentation (Final) #: 1 <input type="checkbox"/> Webmap #: __ <input type="checkbox"/> Profile #: __ X Factsheet #: ~150 (by district, province, overall) <input type="checkbox"/> Map #: __
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 [By default unless specified otherwise] Donor: OFDA Coordination Framework: None Partners: OCHA	

2. Rationale

2.1. Rationale

After twenty years of war, the situation of displaced persons in Afghanistan remains a key concern. According to the Humanitarian Needs Overview (HNO), there were 398,000 Internally Displaced Persons (IDPs) displaced across Afghanistan in 2019, along with 453,000 returnees from Pakistan.³ In addition to the increase in IDPs, the spread of conflict to formerly less affected areas of Afghanistan has triggered displacement in areas that were previously more stable and resilient, including North and North-Eastern Regions of the Country. Beyond this, returnees have increased, particularly in the west; although returns from Pakistan have slowed, economic decline in Iran has pushed hundreds of thousands of Afghan refugees back into the country.⁴ Natural disasters, including flooding, drought and earthquakes in 2018 and 2019

³ UNOCHA, Humanitarian Needs Overview, November 2019.

⁴ Ibid.

also continue to displace many households, as well as destroy many of the resources, including land, livestock, and monetary assets both IDPs and returnees can use to re-establish their lives.

The humanitarian community regularly responds to the needs of recently displaced households through a variety of programmes, most notably the Emergency Response Mechanism (ERM).⁵ However, longer-term displaced households often live in Informal Settlements (ISETs); displacement sites with no written, legal agreement for land usage. These settlements tend to have limited access to essential services, such as healthcare and schools.⁶ The 2020 Humanitarian Response Plan (HRP) notes that ISET populations lack official documentation for their land tenure, making them vulnerable to eviction.⁷ A 2017 country-wide assessment on informal settlements sought to catalogue and identify the full number of ISETs in the country, but no formal updates have been made for an official list of ISETs since then.

A renewed focus on ISETs following the 2020 HRP has highlighted significant information gaps. ISET populations constitute a large potential caseload; a 2017 study by REACH, the most comprehensive and recent study to be published, identified 1,677 ISETs across Afghanistan, including 2,219,588 individuals and 326,520 households country-wide.⁸ However, the needs, demographics, and current living conditions of most ISET populations are not well-understood. Only a few studies have been conducted, including a UNOCHA Study in Kabul⁹, a REACH pilot of ISET profiling in Kabul and Nangarhar in 2016, and a country-wide assessment, both conducted by REACH in 2017.¹⁰ The lack of formal, standardized, and up to date data limited the ability of humanitarian partners to design responses to the long-underserved communities living in ISETs throughout Afghanistan. In addition to the unknown data for these sites in general, the recent and expanding coronavirus crisis threatens to compound existing service gaps and resulting vulnerabilities. This crisis heightens the need for information on these populations to better inform immediate responses in a safe way for humanitarian aid providers and beneficiaries.

In order to address this gap, REACH conducted a first round of the assessment in May and June of 2020, with the same objectives and research questions. Due to COVID-19, data collection was done remotely and mapping of sites was not possible. However, 1,148 sites were identified, demographic characteristics were recorded, and a baseline of needs and vulnerabilities, in particular relation to COVID-19, was established. The following second round of data collection will seek to provide longitudinal findings on key multi-sectoral indicators between the two rounds, and offer mapping of site locations, boundaries, and infrastructure.

The following data collection exercise will continue to identify ISETs with IDP, refugee, returnee and other migratory populations, as well as understand the extent of service access and existing infrastructure at each by locating, mapping, and assessing each ISET across Afghanistan. Round 2 will maintain a COVID-19 vulnerability index established in Round 1, to inform immediate responses to the evolving crisis. This will be done with an extensive secondary data review of the existing ISETs datasets, which will be aggregated and standardized into a single, common dataset. Each site will then be assessed through a combination of infrastructure mapping, identifying population demographics, and identifying main service access points and quality of services to assist in prioritization of ISETs for response purposes.

3. Methodology

3.1. Methodology overview

The methodology will consist of four components or phases, which allow REACH to continue to build and maintain a comprehensive database of ISET locations and contacts, and then assess the ISETs directly. In Round 1, REACH conducted a thorough secondary data review to compile all known ISETs in the country. From this list, REACH verified sites remotely and compiled a final list of sites that fit the definition for this exercise. A profiling tool was conducted with verified sites over the phone (Round 1) and will be conducted in person (Round 2) via Key Informant Interviews (KIIs). This profiling tool identifies demographics and basic levels of service access across all sectors. In Round 2, REACH will also be mapping the sites, including the boundaries of the site and key infrastructure contained within the sites.

⁵ European Civil Protection and Humanitarian Aid Operations, Emergency Response Mechanism: Standard Operating Procedures for Cash Transfers, February 2018.

⁶ UNHABITAT, *Issue Paper on Informal Settlements*, New York, May 2015.

⁷ UNOCHA, Humanitarian Response Plan: 2018 - 2021, December 2019.

⁸ REACH, Informal Settlement Profiling, October – November 2017.

⁹ UNOCHA Task Force on the Kabul Informal Settlements, Winter Assistance in the Kabul Informal Settlements: Winter 2015/2016 – Summary of Assessment Results, Approach and Interventions, January 2016.

¹⁰ REACH, Nangarhar Informal Settlement Profiling, January 2017; REACH: Informal Settlement Profiling, October-November 2017.

Assessment phases:

- 1) Secondary Data Review
- 2) Verification of ISET and identification of Key Informants / contact information
- 3) ISETs profiling by KI interview
- 4) Mapping of sites, including boundaries, key infrastructure locations and access/quality of that infrastructure

2.2. Population of interest

This assessment will focus on households living in informal settlements (ISETs). For the purposes of this assessment, the following (intentionally broad) definition will be used to define an ISET:

Informal Settlement – A collection of households in a given community which contains migrant populations, and must include one of the following to qualify for this assessment: IDP, returnee or refugee households. The definition is intentionally left broad, to capture all characteristics of sites that apply to various definitions of an ISET used by partners in this response.

There are two types of ISETs, solitary and integrated. *Solitary* ISETs contain only displaced and migratory populations. *Integrated* ISETs are places where these populations are living in the same area as populations who are not displaced (host community). Both types are considered in this assessment.

This group includes IDPs as well refugees from other countries and returnees that have returned from abroad. The assessment will also take note of economic migrants, cross-border migrants, and nomadic populations for demographic purposes. The definitions of these three population groups can often be mistaken for other, non-displaced groups, including seasonal migrants, economic migrants and nomadic groups. In order to ensure that the definitions are in line with the broader humanitarian community and are therefore usable by other agencies, REACH will take the following definitions from the IOM DTM dataset:

- **IDP** – Afghan Nationals who have been forced to flee or to leave their homes or places of habitual residence in the last 6 months, 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.
- **Prolonged IDP** – Afghan Nationals who were forced to leave their homes between 6 months and 2 years ago.
- **Protracted IDP** – Afghan Nationals who were forced to leave their homes a minimum of 2 years ago have since managed to reestablish their lives in new locations. They may or may not own land or hold well paying jobs, but are not considered by local residents to be part of the host community or be from the area.
- **Returnee** – Afghan Nationals that have returned to Afghanistan after living in other countries.
- **Refugee** – Nationals of other countries outside of Afghanistan who have been displaced and fled their countries and are now residing in Afghanistan.
- **Nomad** – Afghan nationals that traditionally do not have a fixed home or location of living, and regularly move throughout the country as part of their livelihoods. For instance, Kuchi populations.
- **Economic Migrant** – Afghan Nationals who have left their homes by choice in order to seek employment or obtain money or resources. They did not leave home due to the threat of violence, human right violations, or man-made disasters.

2.3. Secondary data review

The second round of this assessment will continue building on the secondary data review (SDR) compiled in Round 1. In coordination with OCHA and other relevant agencies and partners, REACH collected all quantitative data sources on existing Afghanistan ISETs and combined them into a comprehensive dataset, cleaning out duplicates. The following datasets will once again be consulted and compiled for this second Round of data collection:

- REACH ISETs Dataset, May/June 2020 (Round 1)
- [REACH Informal Settlements Dataset, 2017](#)
- [IOM DTM Afghanistan Displacement Data – Baseline Assessment, Round 8/9, 2019/2020](#)
- Individual Partner datasets (NRC, WHH), 2020 (if available)

Partners will again be invited to help identify new KIs in provinces where none were assessed in the first round.

2.4. Sampling and primary data collection

Round 2 will include face-to-face data collection, a methodology that presents risks to both enumerators and respondents. REACH has developed several protocols to keep all parties involved safe and healthy throughout data collection, including:

- Maintain the recommended distance apart (at least 1 meter) at all times,
- Avoid physical contact (handshaking, hugging, etc.) to greet respondents.
- If possible, conduct the interview outside
- Don't touch anything in or around the households or interview sites
- If possible, avoid interviewing elderly persons or persons with chronic illnesses
- After data collection, wash hands for at least 20 seconds
- Inform SFOs immediately if enumerators experience symptoms of COVID-19, or have been in contact with anyone who tested positive for COVID-19.

In case of an increase in reported COVID-19 cases in Afghanistan, data collection (site profiling) will revert back to remote data collection via phone, as completed in Round 1. In this case, mapping would not be completed for any sites, again as in Round 1.

2.4.1 Site verification

As with the first Round, any new sites identified this round will first be verified to ensure they fit what is considered an ISET for this assessment. The verification exercise will be completed using purposive and snowball sampling, and likely cover ~25 sites. Verification will be conducted as new sites are identified, and may overlap with the profiling and mapping of known sites, beginning November 2020. Verification will be conducted remotely over the phone with the same brief kobo tool used in Round 1, only for new KI contacts shared by partners in October and November 2020. After each form, enumerators will also use snowball sampling and ask the KI about new ISETs in the area.

One interview will be conducted for each ISET. Verification data collected will include the ISET's name, administrative location (province, district), geographic location (village), last date of assessment, date of founding, population size (households) and typology (urban, rural, peri-urban). The final dataset will be used to identify the total number and location of ISETs that will need to be profiled.¹¹ The data from the exercise will allow REACH to:

- Identify and map the location and populations of informal settlements in the relevant provinces.
- Inform the primary data collection methodology and tool design.
- Provide a basis for triangulation with primary data.

Based on the information received, the site will be marked as either an ISET, and added to the list of sites to profile and map, or not an ISET and removed from REACH records. The final list of informal settlements will then be cleaned, consolidated and re-issued for field teams who will then use it for primary data collection for the profiling tool.

2.4.2 Site profiling

The profiling exercise will use purposive sampling, with enumerators interviewing the KIs of ISETs identified in Round 1 or during the verification process this round. Under the management of the Senior Field Officer (SFO), pairs of enumerator teams will visit the verified sites and conduct two face-to-face KI interviews: one mapping and one a profiling questionnaire. Information will be recorded on a smart phone based Kobo questionnaire. REACH teams will be organized at the Provincial level, but be managed regionally through REACH's Sr. Field Officers located in each of Afghanistan's 7 regional capitals: Kabul (Central), Herat (West), Kandahar (South), Paktya (South-East), Nangarhar (East), Faizabad (North-East), and Mazar (North).

Before arriving at a site, SFOs will call the KIs to set up a time that would be good for a 3-hour interview to encourage participation (advised by Operations colleagues). Pairs of enumerators will then travel to the sites, meet the two pre-arranged KIs, and conduct their respective interviews. One enumerator will sit with a second KI and conduct the profiling tool. This tool is an updated and slightly shortened version of the Round 1 tool, still focusing on overall service access and demographics of the site. The following questions will be covered:

¹¹ REACH, Informal Settlement Profiling, October-November 2017.

- 1) Demographics: Individuals, Households (In terms of Refugees, Returnees, IDPs, or other), establishment of site location, typology, new arrivals over the last 6 months and vulnerabilities
- 2) Sectoral Access: WASH, Protection, Livelihoods, Shelter, Education, HLP, Early Recovery, COVID-19 (new for New for Round 2: Accountability to Affected Populations, Nutrition, Child Protection, shock events)

Enumerators will enter information into a Kobo data collection tool that is downloaded on to REACH smartphones provided to enumerators. The forms will be uploaded onto a mobile data collection server from which the aggregated data can be downloaded and analysed.

2.4.2 Site mapping

For Round 2, REACH will also be conducting a mapping exercise of each site using kobo, happening simultaneously with the profiling interview. The tool asks the enumerator to walk with the KI around the perimeter of the site, so that boundaries can be overlaid onto a map. Once boundaries are clear, KIs will be asked to walk to key infrastructure *inside the site boundaries* so that a GPS point can be recorded, and a few follow up question about quality of the infrastructure will be recorded. Key infrastructure includes: public waterpoints, health centres, schools and the main mosque.

Again, enumerators will enter information into a Kobo data collection tool that is downloaded on to REACH smartphones provided to enumerators. The forms will be uploaded onto a mobile data collection server from which the aggregated data can be downloaded and analysed.

2.5. Data Processing & Analysis

All data will be checked on a daily basis for consistency, quality and inaccuracies. Designated criteria to check and flag will be used to design an R script that will automatically check the data each day. This will include the length of the survey, the number of surveys per day, the GPS points taken, numeric outliers, 'other' responses, and the logic of particular responses appearing together in the same locations. The results of this data check identified by the Assessment Officer and project Senior Field Officer in Kabul and fed back to the field teams. All issues will be followed up on and the changes will be marked in a data cleaning log by the Assessment Officer. Following the completion of the data collection, the data will be cleaned according to the data cleaning log, which will be informed by [REACH's minimum standards checklist](#). In addition, any geospatial data will be triangulated against the satellite imagery that is ordered to ensure that it is correct. If not, the GIS Officer will modify the spatial data in QGIS to ensure that it conforms with the satellite imagery.

The final cleaned dataset will then be analyzed according to an analysis plan developed by the Assessment Officer in coordination with the Data Officer. This data analysis plan will then be automated by the Data Officer, so that the data can be automatically fed into outputs, outlined below.

2.6 Outputs

For Round 2, there will be two public outputs for this assessment: a brief report presenting key findings from the two rounds of data collection in 2020, and a factsheet booklet containing one factsheet per assessed district, province and overall (~150). Each factsheet will include some longitudinal analysis for sites that were in both Round 1 and 2, as well as highlight of a few indicators from each sector and the COVID-19 vulnerability index. These public resources will be shared with the humanitarian community via a single email that briefly describes the project and provides links to the profiles and aggregated, district-level dataset.¹² In addition, REACH will deliver a presentation for partners at the Inter Cluster Coordination Team (ICCT) that summarizes assessment findings.

REACH will also produce one internal output: one map of boundaries and infrastructure for each ISET assessed. These maps are intended for humanitarian actors specifically to use REACH data operationally in planning programming and COVID-19 responses to address site-specific needs. The site-level data will belong to REACH, and will only be shared bilaterally and through a very controlled manner with donors and potential partners to ensure that it is not used to harm other individuals.

¹² Only cleaned, analysed data **with no identifiable information** will be shared. This means that only highly aggregated data (up to district level) will be shared. No specific site data will be shared publically.

2.7. Project Timeline

Data collection for Round 2 will begin in early November, and continue for one month. Data cleaning will occur simultaneously with data collection to ensure decisions around cleaning are made based on optimal enumerator recollection. Analysis will be completed in the second half of December and outputs produced and disseminated in January 2021.

Table 2: Round 2 timeline

Task	October				November				December				January			
	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
Develop ToR and Tools																
Validated ToR and Tools																
Create Training Materials																
Translate Training Materials																
Hire Enumerators																
Training																
Pilot																
Data Collection																
Data Cleaning																
Data Analysis																
Preliminary Findings																
Product Draft																
Product Validation																
Dissemination																

4. Roles and responsibilities

Table 2: Description of roles and responsibilities

Task Description	Responsible	Accountable	Consulted	Informed
ToR Development	Assessment Officer (AO), Research Manager (RM)	RM	HQ Research Design Unit (HQ RDU), Country Focal Point (CFP)	UNOCHA, NRC
Secondary Data Review	AO, Data Officer (DO)	AO	IOM, HQ RDU	CFP, UNOCHA, NRC
Identification Of Sites	AO, DO, Senior Field Coordinators (SFOs)	Field Manager (FM)	Operations Manager (OM)	RM, CFP
Site Verification	SFOs	FM	OM, AO	RM, CFP
Tool Development for Primary Data Collection	AO	DO	AM, RM, HQ Research Design Unit	IOM, CFP
Data Collection	SFO	AO	RM HQ Research Design and Data Unit	CFP

Data Cleaning	AO	DBO	RM, SFO, HQ Data Unit	FM, CFP
Data Analysis	DO	AO	RM, GVA RDU, HQ Data Unit	CFP, UNOCHA
Output Production	AO, DO	AO	RM, GVA RDU, HQ Reporting Unit	CFP, UNOCHA, NRC
Dissemination	AO	RM	CFP, GVA RDU, HQ Reporting Unit	UNOCHA, NRC
Monitoring & Evaluation	AO, DO	AO	RM, CFP, HQ Research Design and Data Unit	GVA RDU
Lessons learned	AO, DO, SFO	AO	RM, CFP, HQ Research Design and Data Unit	GVA RU

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

5. Data Analysis Plan

TOOL 1: SITE VERIFICATION TOOL DAP

Research questions	IN #	Data collection method	Indicator / Variable	Questionnaire Question	Questionnaire Responses	Data collection level
What are the boundaries, typologies, and locations of all the known ISETs in Afghanistan?	A.1.1	Key Informant Interview	Site has been previously assessed	Is the informal site (ISET) on the main list, or is it a new site?	New Site Site is on List	ISET
	A.1.2	Key Informant Interview	Site code number (if assessed before)	Enter ISET List Number	Text	ISET
	A.1.3	Key Informant Interview	Province	What Province is the informal settlement located in?	Province List	ISET
	A.1.4	Key Informant Interview	District	What district is the informal settlement located in?	District List	ISET
	A.1.5	Key Informant Interview	Village	What village is the informal settlement located in?	Village List	ISET
	A.1.6	Key Informant Interview	Site Name	What is the name of this ISET Location	Text	ISET
	A.1.7	Key Informant Interview	Date of Establishment of ISET	What year was this ISET Established?	Enter Integer (between 1979 and 2020)	ISET
	A.1.8	Key Informant Interview	Settlement Typology	Where is the settlement located?	City Province Capital Suburb District Capital	ISET

					Rural Area/Villages Other	
	A.1.9	Key Informant Interview	Settlement Typology	Is the ISET only IDPs, returnees, refugees, or migrants? Or is it integrated with the local host community?	Discrete (ISET stands alone) Integrated (mixed with host community)	ISET
	A.1.10	Key Informant Interview	Settlement Typology	Approximately how many households are living in this settlement?	Integer	ISET
What is the definition of an ISET?	F.1.1	Key Informant Interview	IDPs Present	Are there IDPs living at the site?	yes no	ISET
	F.1.2	Key Informant Interview	Refugees Present	Are there Refugees living at the site?	yes no	ISET
What is the definition of an ISET? Key Informant Information	F.1.3	Key Informant Interview	Returnees Present	Are there Returnees living at the site?	yes no	ISET
	F.2.1	Key Informant Interview	Displaced population half or more	Do IDPs, Returnees, or Refugees, make up half or more than half of the site?	yes no	ISET
	F.3.1	Key Informant Interview	Displaced have legal documentation for land use	Do most of the IDPs, refugees, and returnees have legal, written documentation to prove that they are allowed to use the land they are living on?	yes no	ISET
	F.4.1	Key Informant Interview	Is the Site an ISET?	Calculation	IF (F.1.1 OR F.1.2 OR F.1.3) = yes AND F.2.1 = yes AND F.3.1 = no, F.4.1 = yes	ISET
	F.5.1	Key Informant Interview	New Sites	Is the Site on the existing ISET list?	yes no	ISET
	E.1.1	Key Informant Interview	KI Position 1	What is your job/position in the community at the site?	Arbab/Malik Malim/Teacher Health care staff Qarya Dar Community representative (IDP) Community representative (Returnee) Community representative (Refugee) NGO Staff Mullah Other (Specify) Don't want to answer	ISET

E.1.2	Key Informant Interview	KI Contact Number 1	What is your phone number?	Integer	ISET
E.2.1	Key Informant Interview	KI Position 2	What is your job/position in the community at the site?	Arbab/Malik Malim/Teacher Health care staff Qarya Dar Community representative (IDP) Community representative (Returnee) Community representative (Refugee) NGO Staff Mullah Other (Specify) Don't want to answer	ISET
E.2.2	Key Informant Interview	KI Contact Number 2	What is the phone number of a KI for the ISET community? What is your phone number?	Integer	ISET
E.3.1	Key Informant Interview	KI Position 3	What is your job/position in the community at the site?	Arbab/Malik Malim/Teacher Health care staff Qarya Dar Community representative (IDP) Community representative (Returnee) Community representative (Refugee) NGO Staff Mullah Other (Specify) Don't want to answer	ISET
E.3.2	Key Informant Interview	KI Contact Number 3	What is the phone number of a KI for the ISET community? What is your phone number?	Integer	ISET

E3.3	Note	Note Advising Key Informants on upcoming assessment	Thank you for answering these questions. In the next two weeks, enumerators with REACH will come to your site, and will map key services and ask you about population and service access availability. Please collect the following information, so that you will be able to answer the following: households and individuals total numbers of IDPs, Refugees, Host Community, Protracted IDPs, Economic Migrants, Nomads (Kuchi).	N/A	N/A
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TOOL 2: PRIMARY DATA COLLECTION TOOL DAP (ROUND 2): PROFILING

Demographics	DEM01	Settlement location	In which province is this settlement located?	Select one	Cascading
Demographics	DEM02	Settlement location	In which district is this settlement located?	Select one	Cascading
Demographics	DEM03	Settlement location	In which village is this settlement located?	Select one (or text if too bulky for tool)	Cascading
Demographics	DEM04	Settlement location	What is the name of this settlement?	Text	
Demographics	DEM05	Settlement location	What is this settlement's ISET code as provided on the KI information form?	Text	
Demographics	DEM06	Settlement location	Where is this settlement located?	Select one	Provincial capital District capital Other city Suburb Rural area / village Other
		Informed consent	My name is [[name]] and I work for ACTED. On behalf of OFDA, we are conducting an assessment of informal settlements across Afghanistan so that the humanitarian community can better understand these settlements, their service access, and each community's needs, especially in relation to the covid-19 emergency. The questions are specifically about settlement demographics, key infrastructure available, the quality of these infrastructure, and how access and quality of infrastructure has changed in the last 30 days. Any information that you provide will be confidential. This is voluntary and you can choose not to answer		

			any or all of the questions; however, we hope that you will participate since your views about and knowledge of your community are important. Participation in the survey does not have any impact on whether you or your settlement receive assistance. Do you have any questions?		
		Informed consent	Do you consent to participate in this survey?	Select one	Yes No
		% of KIs, by gender	What is the gender of the KI?	Enumerator observation, Select one	Male Female
		% of KIs, by age range	What is your age?	Read options, Select one	18-29 30-39 40-49 50-59 60-69 70-79 80+
Demographics	DEM07	Population types present in settlement	Is the population living in the settlement made up of only migrants (e.g. IDPs, returnees, refugees, etc), or is it sharing the same space with the host community?	Select one	Population is only migrants Population is mixed with migrants and host community
Demographics	DEM08	Population types present in settlement	Which migrant populations are living in this site?	Read options, select multiple	IDP (displaced less than 6 months) Prolonged IDP (displaced 6 months - 2 years) Protracted IDP (displaced 2+ years) Refugee Returnee Economic migrant Nomad (e.g. Kuchi)
Demographics	DEM09	Population types present in settlement	[If IDP reported in settlement] How many IDP households are living in the settlement? For this assessment, an IDP is an Afghan National who has been forced to leave their homes in the last 6 months.	Integer	
Demographics	DEM10	Population types present in settlement	[If prolonged IDP reported in settlement] How many PROLONGED IDP households are living in the settlement? For this assessment, a prolonged IDP is an	Integer	

			Afghan National who was forced to leave their homes between 6 months and 2 years ago.		
Demographics	DEM11	Population types present in settlement	<p>[If protracted IDP reported in settlement] How many PROTRACTED IDP households are living in the settlement?</p> <p><i>For this assessment, a protracted IDP is an Afghan National who was forced to leave their homes a minimum of 2 years ago, and have since reestablished their lives in new locations. They are now considered part of the host community.</i></p>	Integer	
Demographics	DEM12	% of KIs reporting IDP origins in last 3 months	[If IDP hhs = >0] How many of these IDP households (regardless of displacement length) arrived in the last 3 months?	Integer	
Demographics	DEM13	% of KIs reporting IDP origins in last 3 months	[If IDPs reported >0] Which province have most IDPs come from in the last 3 months?	Select one	Province list
Demographics	DEM14	Population types present in settlement	[If refugees reported in settlement] How many refugee households are living in the settlement?	Integer	
Demographics	DEM15	% of KIs reporting refugee origins in last 3 months	[If refugee hhs = >0] How many of these refugee households arrived in the last 3 months?	Integer	
Demographics	DEM16	Population types present in settlement	[If returnees reported in settlement] How many returnee households are living in the settlement?	Integer	
Demographics	DEM17	% of KIs reporting returnee origins in last 3 months	[If returnee hhs = >0] How many of these returnee households arrived in the last 3 months?	Integer	
Demographics	DEM18	% of KIs reporting returnee origins in last 3 months	[If >0 returnees] From where did MOST of these returnees travel from?	Select one	<p>Iran</p> <p>Pakistan</p> <p>Turkmenistan</p> <p>Uzbekistan</p> <p>Tajikistan</p> <p>Turkey</p> <p>Other</p>

Demographics	DEM19	% of KIs reporting returnee origins in last 3 months	[If Pakistan] What was the main province from which most returnees from Pakistan came?	Select one	Kashmir Quetta Gilgit Islamabad Khyber Pakhtunkhwa Punjab Sindh
Demographics	DEM20	% of KIs reporting returnee origins in last 3 months	[If Iran] What was the main province from which most returnees from Iran came?	Select one	Isfahan Kerman Mazandaran Qom Shiraz Mashhad Tehran Bandar Abbas
Demographics	DEM21	% of KIs reporting returnee origins in last 3 months	[If Tajikistan] What was the main province from which most returnees from Tajikistan came?	Select one	Dushanba Bukhara Samarqan Qashqadaryo
Protection	PRO01	% of KIs reporting abuse of returnees due to covid-19	[If yes, returnees present] Have any of these returnees faced challenges in integrating into your settlement?	Select multiple	Yes, based on country from which they returned Yes, based on age Yes, based on health condition (showing cough, fever or other coronavirus symptoms) No challenges Yes, for other reasons
Demographics	DEM22	Population types present in settlement	[If economic migrants reported in settlement] How many economic migrant households (those moving in order to find work) are living in the settlement?	Integer	
Demographics	DEM23	Population types present in settlement	[If nomads reported in settlement] How many nomad (e.g. Kuchi) households are living in the settlement permanently?	Integer	
Demographics	DEM24	Population types present in settlement	[If 'mixed' community reported] How many host community households are living inside the settlement boundaries?	Integer	
Demographics	DEM25	% of KIs reporting vulnerable settlement residents	Are there any households in the site which contain a person with a disability? <i>An individual may have a disability if they have difficulty seeing, hearing, walking or climbing steps, communicating or understanding conversation, or</i>	Select one	None A few (less than 10%) Some (10-29%) Many (30-49%) More than half

			<i>challenges with caring for themselves.</i>		
Demographics	DEM26	% of KIs reporting vulnerable settlement residents	Are there any households in the site which contain an individual with a chronic illness that prevents them from completing everyday tasks? <i>Examples of chronic illness: heart disease, hypertension, diabetes, chronic respiratory diseases, cancer, moderate to severe asthma</i>	Select one	None A few (less than 10%) Some (10-29%) Many (30-49%) More than half
Demographics	DEM27	% of KIs reporting vulnerable settlement residents	Are there any households in the site which contain in individual 60 years of age or older?	Select one	None A few (less than 10%) Some (10-29%) Many (30-49%) More than half
Demographics	DEM28	% of KIs reporting vulnerable settlement residents	Are there any households with a female heads in the site?	Select one	None A few (less than 10%) Some (10-29%) Many (30-49%) More than half
Demographics	DEM29	% of KIs reporting ethnic groups present in their settlement	Which ethnic groups are present in this settlement?	Select multiple	Aimaq Arab Baloch Brahui Hazara Gujjar Jat Jogi Kochi Nuristani Pamiri Pashtun Pashayee Tajik Turkmen Uzbek
Demographics	DEM30	% of KIs reporting the majority of residents living in the settlement less than 5 years	Have most households in your settlement lived here more than 5 years?	Select one	Yes No Don't know
Demographics	DEM31	% of KIs reporting residents planning to move in next month	Do any residents of this settlement plan to move elsewhere within the next month?	Select one	Yes No Don't know

Demographics	DEM32	% of KIs reporting residents planning to move in next month	[If yes, plans to move] For what reason are households planning to move elsewhere?	Select multiple	Intimidation and harassment by host community / local authorities Land dispute forced them off land / shelter No work opportunities available here Moving to be with family / friends Threat of covid Better security where they are moving Better access to services where they are moving Better job opportunities Other
Demographics	DEM33	% of KIs reporting residents planning to move in next month	[If yes, there are hhs planning to relocate in next month] Where to these households plan to go?	Select multiple	Remain in current province but change district Place of origin Another province different to place of origin Leaving Afghanistan
AAP	AAP01	% of KIs reporting settlements receiving covid-19 health messaging	Are residents in this settlement aware of the new coronavirus disease, also known as COVID-19?	Select one	Yes Yes, some residents but not all No
AAP	AAP02	% of KIs reporting coronavirus as a serious concern for their settlement	Is the new coronavirus disease an important concern for MOST residents of your settlement?	Select one	Yes No Don't know
AAP	AAP03	% of KIs reporting most settlement residents using prevention methods for the new coronavirus disease?	Are MOST settlement residents using prevention methods for the new coronavirus disease, such as wearing masks, hand washing, or practicing social distancing?	Select one	Yes Yes, some residents but not all No
AAP	AAP04	% of KIs reporting settlements receiving covid-19 health messaging	[If any yes, using of prevention] From where / from whom are MOST settlement residents getting their information about coronavirus and prevention?	Select multiple	Government; Community or religious leaders; UN, NGOs or INGOs Media (TV, radio) Text message alerts Healthcare workers; Family and friends; Message over loudspeaker

AAP	AAP05	% of KIs reporting preferred communication methods for the site	Regardless of COVID-19, what is the PREFERRED means of obtaining information used by MOST people in your settlement?	Select one	Face-to-face communication (e.g. from friends) Community group discussions/ meeting Television Phone communications i.e. voice call or SMS/text Radio Printed information (Notice board and poster / Newspaper or magazines /Printed leaflet) Loud speaker Other Do not know / Do not want to answer
Protection	PRO03	% of KIs reporting inaccessible handwashing facilities for women/girls in the settlement	Are these water points safely and easily accessible to women and girls? <i>For example, are they in safe, public and well-lit areas so that women and girls can collect water on their own without disturbance.</i>	Select one	Yes No Don't know
WASH	WSH01	% of KIs reporting type of handwashing facilities used by settlement	Where do settlement residents go to wash their hands?	Select multiple	At home (private sink) Community facility (e.g. school, health centre) Public source (handpump, tap, etc) Open source (stream or pond, etc) Don't know Other
WASH	WSH02	# (%) of people having access to collective handwashing stations with C-19 prevention physical distancing promoted when queuing	In the last 7 days, have residents been seen to keep at least one meter away from each other when waiting to use these handwashing facilities?"	Select one	Yes, always Yes, sometimes No, no one stands one meter apart Don't know
WASH	WSH03	% of KIs reporting no handwashing facilities	Is soap and water available for handwashing at most handwashing facilities?	Select one	Yes No Don't know

WASH	WSH04	% of KIs reporting overcrowding at WASH facilities in their settlement	Has the infrastructure at functional collective water points (e.g. handle of handpump, tap) been cleaned or disinfected on a daily basis in the last 7 days?	Select one	Yes, all Yes, some No Don't know
WASH	WSH05	% of KIs reporting changes in accessing potable water	Does your settlement face any barriers to accessing potable/drinking water?	Select multiple	Long line/wait to access waterpoint Unpleasant colour/taste/smell of water Waterpoint has low capacity (runs out of water often) Waterpoints are unsafe Waterpoints are too far Cost is prohibitive i.e. water trucking Other
Health	HEA01	% of KI reporting health concerns for residents in their sites	Have there been any major outbreaks of disease amongst the residents of this site in the last 3 months (COVID-19, acute watery diarrhoea, etc)?	Select one	Yes No Don't know
Health	HEA02	% of KIS reporting service quality at accessible health centres	Have residents made use of nearby health services since the beginning of the COVID-19 pandemic?	Select one	Yes No Don't know
Health	HEA03	% of KIS reporting service quality at accessible health centres	Do residents face any barriers to accessing healthcare at the nearest centre?	Select multiple	Don't know where to go; Cost of transport; Cost of care/ treatment; Cost of medicines; Cultural constraint; Concern for physical safety; Long travel time; Insufficient capacity of health centre; Denied access/ treatment; No barrier
Protection	PRO04	% of KIs reporting negative coping observed in response to covid	What behaviours, if any, have you observed in residents of your settlement to deal with the coronavirus outbreak?	Read options, Select multiple	Social withdrawal Angry / aggressive behaviour Dangerous/risky behaviours Multiple unexplained physical complaints (headaches, stomach pains etc.) Increased alcohol/opium/other drug intake No unusual behaviour Other

Protection	PRO05	% of KIs reporting PSS available for their settlement	Are you aware of any community-based support available for people in your settlement suffering from stress or issues with wellbeing?	Select one	Yes No Don't know
Protection	PRO06	% of KIs reporting PSS available for their settlement, by service	[If yes, services available] What are these services?	Select multiple	Emotional support from religious or community leaders Counselling from NGO workers Community support groups (e.g. women's groups) Clinical mental health support (psychiatric – medication for mental health issues) Referrals to mental health services by HFs/NGOs Other
Protection	PRO07	% of KIs reporting secondary impacts of COVID19 lockdown, by impact	What kind of secondary impacts do you foresee for people in your settlement due to the coronavirus disease lockdown?	Select multiple	Increased gender-based violence Increased poverty/no income Increased health issues Community violence Increased insecurity Lack of access for NGOs to provide services Other
Protection	PRO02	% of KIs reporting tazkira ownership amongst site population	In the past 3 months, what proportion of households in your settlement had AT LEAST ONE member with a Tazkira?	Select one	No households (0%) Few households (1 - 25%) Some households (26 - 50%) Many households (51 - 75%) Almost all / all households (76 - 100%) Do no know/do not want to answer
Protection	PRO08	% of KIs reporting a change in settlement security since the start of the covid crisis	How would MOST people rate the safety and security from crime and conflict in your settlement in the past 3 months?	Select one	Very good (Completely stable situation and no criminality or conflict) Good (Stable situation and people are feeling safe. Only criminality but no conflict) Okay (Situation is good but can change at any time - unstable) Poor (Suicide attack, demonstration, explosion, but existence of some safer location. People are in danger from one partie) Very poor (Ongoing fights, mines/explosions. People are in danger from both parties)

Protection	PRO09	% of KIs reporting a the security situation for men in the the site	In the past 3 months, are you aware of ANY men (18 or older) subject to ANY of the following protection incidents? Multiple answers possible.	Select multiple	Verbally threatened or intimidated Assaulted without a weapon (hit, slapped, punched) Assaulted with a weapon (beaten, stabbed, attacked, shot) Hindered to move freely within or outside your settlement Forced to work Forcibly detained Forced recruitment None of the above Do not know / do not want to answer
Protection	PRO10	% of KIs reporting a the security situation for women in the the site	In the past 3 months, are you aware of ANY women (18 or older) subject to ANY of the following protection incidents Multiple answers possible.	Select multiple	Verbally threatened or intimidated Assaulted without a weapon (hit, slapped, punched) Assaulted with a weapon (beaten, stabbed, attacked, shot) Hindered to move freely within or outside your settlement Forced to work Forcibly detained Forced recruitment None of the above Do not know / do not want to answer
Protection	PRO11	% of KIs reporting a the security situation for boys in the the site	In the past 3 months, are you aware of ANY boys (17 or younger) subject to ANY of the following protection incidents in the past 3 months? Multiple answers possible.	Select multiple	Verbally threatened or intimidated Assaulted without a weapon (hit, slapped, punched) Assaulted with a weapon (beaten, stabbed, attacked, shot) Hindered to move freely within or outside your settlement Forced to work Forcibly detained Forced recruitment None of the above Do not know / do not want to answer
Protection	PRO12	% of KIs reporting a the security situation for girls in the the site	In the past 3 months, are you aware of ANY girls (17 or younger) subject to ANY of the following protection incidents in the past 3 months? Multiple answers possible.	Select multiple	Verbally threatened or intimidated Assaulted without a weapon (hit, slapped, punched) Assaulted with a weapon (beaten, stabbed, attacked, shot) Hindered to move freely within or outside your settlement Forced to work Forcibly detained Forced recruitment None of the above Do not know / do not want to answer

Protection	PRO13	% of KIs reporting a the security situation for girls in the the site	In the past 3 months, have you been aware of ANY girls in your settlement that got married under the age of 16 ?	Select one	Yes No Don't Know
Protection	PRO14	% of KIs reporting the threat/impact of explosives for their sites	In the past 3 months, have you been aware of the presence of ANY explosive hazards (mines, ERWs, PPIEDs) in or within 5km of your settlement?	Select one	Yes No Don't Know
Protection	PRO15	% of KIs reporting the threat/impact of explosives for their sites	If yes, have this presence impacted the population of the settlement in ANY of the following ways in the past 3 months? Multiple answers possible.	Select multiple	Constrained the access to basic services (for example school, hospital, mosque) Restricted access to playing and recreation (for children) Negative Impact on livelihood/income Impact on psychological wellbeing (for example fear, stress, anxiety) Incident - death or disability of family member None of the above Do not know / do not want to answer
AAP	AAP06	% of KIs reported preferred mechanism for complaints	How would people most people in your settlement prefer to make a complaint about a sensitive topic like being hurt by a humanitarian worker or corruption by an aid agency?	Select one	Informal justice actors (Jirga or Shura) Community Development Council (CDC) Host community leaders Imam/Religious organisations Friends or neighbours Police Civil court house UN/NGO AOG No one ; manage privately

AAP	AAP07	% of KIs reporting	Do people in your settlement participate in decision-making about humanitarian aid programmes that they use?	Select one	Yes No Don't know
Protection	PRO16	% of KIs reporting relationship quality between ISET and host community	How do you describe the social relationship between your settlement and the host community in your area?	Select one	Positive Neutral Negative Don't want to answer
Protection	PRO17	% of KIs reporting no support for the settlement from host community	Has the Government or local authorities made any efforts to relocate the households in this settlement or forced residents to leave in the last 2 years?	Select one	Yes No
Protection	PRO18	% of KIs reporting no support for the settlement from host community	If a resident of your community had a serious dispute with somebody from the host community, who would they go to for help?	Select multiple	Informal justice actors (Jirga or Shura) Community Development Council (CDC) Host community leaders Imam/Religious organisations Friends or neighbours Police Civil court house UN/NGO AOG No one ; manage privately
Protection	PRO19	% of KIs reporting ownership of the land where the settlement sits	Do you know who owns the land on which this settlement sits?	Select one	Yes No Don't Know
Protection	PRO20	% of KIs reporting ownership of the land where the settlement sits, by owner	[If yes, know ownership] Who owns the land?	Select multiple	Government; Private ownership UN / NGO designated Communal
Protection	PRO21	% of KIs reporting settlement residents paying a fee to live in their shelters	Do residents have to pay any fees, monetary or in kind, to use the settlement land or live in shelters there?	Select one	Yes No Don't Know

Protection	PRO22	% of KIs reporting evictions in the last 3 months in their settlements	In the last 3 months, have any households in your settlement experienced an eviction from their shelter?	Select one	Yes No Don't Know
Protection	PRO23	% of KIs reporting threats of eviction in the last 3 months in their settlements, by source of threat	[If yes] In the last 3 months, who has enforced these evictions?	Select multiple	Local authorities Government Host community Other
Protection	PRO24	% of KIs reporting evictions in the last 3 months in their settlements, by reason	[If yes, evictions] For what reason have the majority of these evictions occurred?	Select one	Unable to pay rent Disputes about rental price Dispute about ownership Other disagreements with landlord Dispute with host family This land is privately owned Other
Protection	PRO25	% of KIs reporting threats of eviction in the last 3 months in their settlements	In the last 3 months, have any households in your settlement been threatened with eviction from their shelter?	Select one	Yes No Don't Know
ESNFI	ESN01	% of KIs reporting main shelter type in settlement	What type of shelter do MOST people in your settlement live in?	Select one	Tents (emergency shelter) Makeshift Shelter Transitional Shelter Permanent shelter (pakhsa) Permanent shelter (mud and bricks) Collective centre (building not intended for living) Open space (no shelter) Unfinished shelter (house) Damaged House
ESNFI	ESN02	% of KIs reporting most common accommodation arrangements for households in their settlement	What is the accommodation arrangement for most families in your settlement?	Read options, Select one	Own shelter WITH documentation Own shelter WITHOUT documentation Rent shelter Hosted in shelter by friends/family for free (co-living with host) Staying in shelter for free WITH owner's consent (not co-living) Staying in shelter for free WITHOUT owner's consent Prefer not to answer
ESNFI	ESN03	% of KIs reporting most common tenure agreements for	Is the most common type of agreement for occupying the living space used by households written, verbal, or no agreement at all?	Select one	Written agreement Verbal agreement None (occupied without permission) Prefer not to answer

		shelters in their settlement			
ESNFI	ESN04	% of KIs reporting most common tenure agreements for shelters in their settlement	[If written agreement] What written document do most households poses?	Read options, Select one	Land title deed issued by Court of Law Customary tenure document Letter of permission from Government Authorities Safayee Notebook Occupancy certificate Rental agreement Prefer not to answer
ESNFI	ESN05	% of KIs reporting average shelter size, by number of rooms	What is the average number of rooms in most shelters in which household members sleep?	Integer	
ESNFI	ESN06	% of KIs reporting community access to sim cards	Do MOST residents in your settlement have access to a sim card?	Select one	Yes No Don't know
Shock Events	SHK01	% of KIs reporting the impact of shock events on their sites	In the past 3 months, has your settlement been directly subject to ANY of the following events? Multiple answers possible.	Select multiple	Active conflict or violence Earthquake Flood / heavy rain Drought / precipitation deficit COVID - 19 None Do not know/ Do not want to answer
Shock Events	SHK02	% of KIs reporting the impact of shock events on their sites	In the past 3 months, did MOST of the people in your settlement experienced a loss of income due these events?	Select one	Yes No Don't know
Shock Events	SHK03	% of KIs reporting the impact of shock events on their sites	In the past 3 months, did MOST people in your settlement lost or had a severe damage to their shelter due these events?	Select one	Yes No Don't know
Food Security and Livelihood	FSL01	% of KIs reporting main employment activity for their settlement	Which income-generating activity do MOST residents in your settlement engage in?	Select one	Small business / sale of goods or services Unskilled daily labour (without contract) Skilled daily labour (without contract) Formal employment (with contract) Farming (livestock) Farming (cash crop) Borrowing / Loans /

					Humanitarian aid Other
Food Security and Livelihood	FSL02	% of KIs reporting lack of employment for settlement residents due to covid-9	How has work for MOST settlement residents changed in the last 3 months?	Select one	Increased for all residents Increased for some residents Remained consistent Decreased for some residents Decreased for all residents
Food Security and Livelihood	FSL03	% of KIs reporting negative coping mechanisms within their settlement due to unemployment	[If reduction in work] What actions are settlement residents taking to cope with the reduction in work?	Select multiple	Spending savings Selling assets Borrowing money / taking on debt Reducing non-food spending (health, education, etc) Relying on aid from NGOs Selling assistance items received Begging None Don't know
Food Security and Livelihood	FSL04	% of KIs reporting main food sources for residents	What is the main source of food for people in the settlement?	Select one	NGO food distributions Purchase in markets inside the settlement Purchase in markets outside the settlement Own production Provided from family and friends in the area Other Don't know
Food Security and Livelihood	FSL05	% of KIs reporting residents without enough food for their households	In the past 3 months, were MOST members of your settlement able to afford enough food to meet daily needs?	Select one	Yes No Don't know
Food Security and Livelihood	FSL06	% of KIs reporting barriers to accessing the market in their site	What, if any, do you think are the barriers consumers have faced in accessing the market in the past 30 days?	Select multiple	Insecurity travelling to or at the market Market too far Restrictions on movement/lockdown Fear of going outside due to COVID-19 Cannot afford market prices Too many checkpoints to cross before the market Other None Don't know
Nutrition	NUT01	% of KIs reporting change in food consumption	In the past month, have you been aware of ANY member of your settlement that reduced food consumption for adult so that small children are able to eat when food or money to buy food is not available?	Select one	Yes No Don't know

Nutrition	NUT02	% of KIs reporting change in food consumption	If yes, what proportion of households in your settlement had to rely on such coping strategy to eat when food or money to buy food is not available?	Select one	Few households (1 - 25%) Some households (26 - 50%) Many households (51 - 75%) Almost all / all households (76 - 100%) Do no know/do not want to answer
Education	EDU01	% of KIs reporting closed educational facilities due to health concerns, by alternatives	What barriers, if any, do children in the site face to accessing education at your nearest schools?	Select multiple	School is not open after COVID-19 lockdowns Route to school or school site is unsafe Cannot afford fees to attend Higher learning facilities unavailable (e.g. secondary school)

TOOL 3: PRIMARY DATA COLLECTION TOOL DAP (ROUND 2): MAPPING

Demographics	DEM01	Settlement location	In which province is this settlement located?	Select one	Cascading
Demographics	DEM02	Settlement location	In which district is this settlement located?	Select one	Cascading
Demographics	DEM03	Settlement location	In which village is this settlement located?	Text	Cascading
Demographics	DEM04	Settlement location	What is the name of this settlement?	Text	
Demographics	DEM05	Settlement location	What is this settlement's ISET code as provided on the KI information form?	Text	
Demographics	DEM06	Settlement location	Where is this settlement located?	Select one	Provincial capital District capital Other city Suburb Rural area / village Other

		Informed consent	My name is [[name]] and I work for ACTED. On behalf of OFDA, we are conducting an assessment of informal settlements across Afghanistan so that the humanitarian community can better understand these settlements, their service access, and each community's needs, especially in relation to the covid-19 emergency. The questions are specifically about settlement demographics, key infrastructure available, the quality of these infrastructure, and how access and quality of infrastructure has changed in the last 30 days. Any information that you provide will be confidential. This is voluntary and you can choose not to answer any or all of the questions; however we hope that you will participate since your views about and knowledge of your community are important. Participation in the survey does not have any impact on whether you or your settlement receive assistance. Do you have any questions?		
		Informed consent	Do you consent to participate in this survey?	Select one	Yes No
	MAP01	Site boundary mapping	I'd like to start by first walking the perimeter of the site with you. Please will you show me the edge of your settlement, where the site ends and households outside the edge are not considered part of this community.	Enumerator records GPS point every X meters along boundary	

WASH	WSH05	% of KIs reporting the number of water sources inside their site	Within the settlement boundaries, how many main water points does this settlement use?	Go to each main water source that the settlement population uses (within settlement boundaries) and take a GPS point. Ask the accompanying questions for each GPS point.	Integer
WASH	WSH06	% of KIs reporting quality of WASH services inside the site	Is this water from this waterpoint clean enough for drinking, or used only for household purposes (e.g. cleaning)?	Select one	Drinking water Household use only (cleaning, etc)
WASH	WSH07	% of KIs reporting quality of WASH services inside the site	What type of infrastructure is at this water point?	Select one	'Hand pump (pumped well) - private Hand pump (pumped well) - public Piped water - public Spring, well, or kariz - protected Spring, well, or kariz - unprotected Surface water (stream/river/irrigation) Water trucking / tanking Other
WASH	WSH08	% of KIs reporting quality of WASH services inside the site	Is this water source functional and providing water?	Select one	Yes No
WASH	WSH09	# (%) of people having access to collective water points with C-19 prevention physical distancing promoted when queuing	Do residents keep at least one meter away from each other when waiting to use this water point?"	Select one	Yes No Don't know

Health	HEA04	% of Kis reporting a healthcare center inside the site	Is the main health center that the settlement population uses inside the settlement or outside?	Go to the health centre that the settlement population uses and take a GPS point.	Inside the settlement's boundaries Outside the settlement's boundaries
Health	HEA05	% of KIS reporting quality of service at healthcare centres inside the site	What type of health facility is this?	Select one	Public hospital Private hospital Public clinic (BHC, CHC) Private clinic Traditional healer Do not know / do not want to answer
Health	HEA06	% of KIS reporting quality of service at healthcare centres inside the site	Does this health facility have female staff or health services to treat women and girls?	Select one	Yes No Don't know
Health	HEA07	% of KIS reporting quality of service at healthcare centres inside the site	Does this health facility have trauma care services for emergency treatment?	Select one	Yes No Don't know
Education	EDU02	% of KIS reporting the number of schools inside the site	Within the settlement boundaries, how many schools are used by the settlement population?	Go to each school that the settlement population uses (within the settlement boundaries) and take a GPS point. Ask the accompanying questions for each GPS point.	Integer
Education	EDU03	% of Kis reporting the quality of services at schools inside the site	What type of school is this?	Select one	Primary school High school Madrasa Community based education Technical training centre

Education	EDU04	% of Kis reporting the quality of services at schools inside the site	Is this facility still closed due to health concerns or movement restrictions relating to COVID-19?	Select one	Yes No
WASH	WSH10	% of Kis reporting handwashing facilities in schools located inside the site	Does this school have functional handwashing facilities with soap and water available for student use?	Select one	Yes No Don't know
WASH	WSH11	% of Kis reporting handwashing facilities in schools located inside the site	[If no handwashing facility] What is missing from the facilities here that make it not possible for students to wash their hands?	Select multiple	There is no handwashing facility There is no water There is no soap
WASH	WSH12	% of Kis reporting handwashing facilities in schools located inside the site	Have children been observed staying at least one meter apart when waiting to use these handwashing facilities in the last 7 days?	Select one	Yes, always Yes, sometimes No, on one stands one meter apart Don't know
Food Security	FSL08	% of KIS reporting the number of markets inside the site	Within the settlement boundaries, how many markets do settlement residents use?	Go to each of the main markets that the settlement population uses and take a GPS point.	Integer
Food Security	FSL09	% of Kis reporting the quality of service at markets inside the site	What type of market is this?	Enumerator observation, select one	Open-air/ Portable unit (stand, vehicle, carriage etc.) Semi-permanent structure (corrugated iron, wooden, rub hall, etc.) Permanent/ Concrete building structure
Food Security	FSL10	% of Kis reporting the quality of service at markets inside the site	How many traders operate in this market?	Enumerator observation, select one	1 2-5 6-15 16-50 >50

Food Security	FSL11	% of Kis reporting the quality of service at markets inside the site	Have food prices in general in this market changed in the past 30 days?	Read options Select one	Increased a lot Increased a little No change Decreased a little Decreased a lot
Protection Cash & Voucher	PRO26	% of Kis reporting the quality of service at markets inside the site	Who is able to shop in this market?	Read options Select all that apply	Men Women when accompanied Women when alone Boys Girls when accompanied Girls when alone
AAP	AAP06	% of Kis reporting the location of the main mosque used by residents of the site.	Is the main mosque that the settlement population uses inside the settlement or outside?	Go to the main mosque that the settlement population uses and take a GPS point	Yes No

TOOL 4: COVID-19 VULNERABILITY INDEX CALCULATION

Vulnerability is the sum of three components: susceptibility to harm, coping capacities to reduce negative impacts, and adaptability for long-term societal change to reduce future vulnerability. This vulnerability index has categorized 14 indicators from the ISETs profiling tool into the three vulnerability components: susceptibility, coping capacity, and adaptive capacity. To ensure each category is equally represented in the calculation, a weight has been added to each indicator.

Calculation of the composite indicator

- Step 1: Multiply the scores of the individual factors by their respective weights
- Step 2: Add up the multiplied scores of all factors
- Step 3: Divide the sum by 36
- Step 4: The higher the site's score, the higher their vulnerability

Ranking

- 0 – 0.25 = Low risk of secondary impacts (vulnerability and needs) due to COVID-19
- 0.26 – 0.5 = Moderate risk of secondary impacts (vulnerability and needs) due to COVID-19
- 0.51 – 0.75 = High risk of secondary impacts (vulnerability and needs) due to COVID-19
- 0.76 – 1 = Extreme risk of secondary impacts (vulnerability and needs) due to COVID-19

Vulnerability component	Questionnaire Question	Response options	Answer Scoring	Weight
CROSS SECTOR				
Susceptibility	Approximately how many households in your settlement contain members that have a chronic illness that prevents them from completing everyday tasks?	If reported integer divided by total number of reported households is >5% of hhs	1	2
		If reported integer divided by total number of reported households is <5% of hhs	0	

Susceptibility	Approximately how many INDIVIDUALS in your settlement are 60 years of age or older	If reported integer divided by total number of reported individuals is >5% of indivls	1	2
		If reported integer divided by total number of reported individuals is <5% of indivls	0	
Adaptive capacity	Have there been efforts made by local government or authorities to inform or provide additional services to your settlement in relation to coronavirus risks?	No	1	3
		Yes	0	
		Don't know	N/A	
WASH				
Coping capacity	Are soap and water available for handwashing at most handwashing facilities?	No	1	3
		Yes	0	
		Don't know	N/A	
Coping capacity	Has overcrowding at these handwashing facilities been an issue in the last 7 days?	Yes	1	3
		No	0	
		Don't know	N/A	
HEALTH				
Coping capacity	Is there an accessible health centre within 2 km of your settlement?	No, none accessible	1	3
		Yes, within 2 km No, further than 2 km	0	
Coping capacity	[If any settlement resident sought care at health centre in last 3 months] Did they face any barriers to accessing healthcare at this centre?	Don't know where to go Cost of transport Cost of service Cost of medicines Cultural constrain Concern for physical safety Long travel time Insufficient capacity of health centre Denied access/ treatment Other	1	3
		No barrier	0	
PROTECTION				
Adaptive Capacity	What behaviours, if any, have you observed in residents of your settlement to deal with the coronavirus outbreak?	Social withdrawal Angry / aggressive behaviour Dangerous/risky behaviours Multiple unexplained physical complaints (headaches, stomach pains etc.) Increased alcohol/snuff/opium/other drug intake Other	1	3
		No unusual behaviour	0	
Adaptive Capacity	What kind of secondary impacts do you foresee for people in your settlement due to the coronavirus disease lockdown?	Increased gender-based violence Increased poverty/no income Increased health issues Community violence Increased insecurity Lack of access for NGOs to provide services Other	1	3

		Not answered because respondent unaware of coronavirus		
		None	0	
ESNFI				
Susceptibility	What type of shelter did MOST people in your settlement live in?	Tents (emergency shelter) Makeshift Shelter Transitional Shelter Collective centre (building not intended for living) Open space (no shelter) Unfinished shelter (house) Damaged House	1	2
		Permanent shelter (mud) Permanent shelter (bricks)	0	
		Other	N/A	
Susceptibility	What is the average number of rooms in most shelters in which household members sleep?	If average family size divided by number of rooms per shelter is NOT enough for 4 persons per room plus one additional isolation room	1	2
		If average family size divided by number of rooms per shelter is enough for 4 persons per room plus one additional isolation room	0	
FSL				
Susceptibility	Which income-generating activity do MOST residents in your settlement engage in?	Unskilled daily labour (without contract) Borrowing / loans / aid Small business / sale of goods or services Skilled daily labour (without contract)	1	2
		Formal employment (with contract) Farming (livestock) Farming (cash crop)	0	
		Other	N/A	
Susceptibility	How has work for MOST settlement residents changed due to movement and economic restrictions related to health concerns in the last 3 months?	Completely stopped Partially stopped	1	2
		Continued without decline	0	
COVID-19				
Adaptive capacity	What actions are most settlement residents taking to PREVENT EXPOSURE to the coronavirus?	None	1	3
		Wash hands frequently Practice physical distancing Self-isolate if experiencing symptoms Wear masks and gloves if experiencing symptoms Wear masks and gloves in general Do not touch your face Avoid large crowds and gatherings Other	0	

6. 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 Center	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		<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	[List here relevant HPC-documents to be monitored: E.g. Iraq HNO 2018, Iraq Flash Appeal Mosul, Shelter Cluster strategy]
		# references in single agency documents			[List here relevant agency-documents to be monitored: E.g. UNHCR Country Strategy, UNICEF WASH Response Strategy]
Humanitarian stakeholders are using IMPACT products	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_Feedback and Usage_Survey template	
		Perceived usefulness and influence of IMPACT outputs			
		Recommendations to strengthen IMPACT programs			
		Perceived capacity of IMPACT staff			
	Number of humanitarian documents (HNO, HRP, cluster/agency strategic plans, etc.) directly informed by IMPACT products	Perceived quality of outputs/programs			
		Recommendations to strengthen IMPACT programs			
Humanitarian	Number and/or percentage of	# of organisations providing resources (i.e.staff, vehicles,	Country team		X Yes

stakeholders are engaged in IMPACT programs throughout the research cycle	humanitarian organizations directly contributing to IMPACT programs (providing resources, participating to presentations, etc.)	meeting space, budget, etc.) for activity implementation		Engage ment_lo g	X Yes X Yes
		# of organisations/clusters inputting in research design and joint analysis			
		# of organisations/clusters attending briefings on findings;			