

Research Terms of Reference

Comprehensive Food Security and Livelihoods Assessment

REACH Support to the Food Security and Agriculture Cluster in Afghanistan

September 2016
Final

REACH Informing
more effective
humanitarian action

1. Summary

Country of intervention	<i>Afghanistan</i>				
Type of Emergency		Natural disaster		Conflict	X Complex Emergency
Type of Crisis		Sudden onset		Slow onset	X Protracted
Mandating Body/ Agency	<i>Global Food Security Cluster</i>				
Project Code	<i>02 iACS 0G4</i>				
REACH Pillar		Planning in Emergencies	X	Displacement	Building Community Resilience
Research Timeframe	20 December 2016 – 31 January 2017				
General Objective	<p>The overall project objective is to promote evidence-based planning by decision-makers in Afghanistan to support the allocation of limited humanitarian financial resources to priority areas and target groups related to food security.</p> <ol style="list-style-type: none"> To assess/update food security situation of vulnerable households living in informal settlements in Kabul and Nangarhar, with a specific focus on IDPs and returnees Assess/update the level of vulnerability to food insecurity and coping capacity of the targeted households <p>Provide data and information to guide the programming and targeting of severely food insecure households for relevant food security intervention(s) during 2017.</p>				
Specific Objective(s)	To better understand food security needs of vulnerable households living in informal settlements in Kabul and Nangarhar.				
Research Questions	<ul style="list-style-type: none"> What are the key demographic and socio-economic characteristics of population groups within informal settlements in Kabul and Nangarhar? What are the specific food security vulnerabilities, needs and coping strategies of those living in informal settlements? 				
Research Type		Quantitative	X	Qualitative	Mixed methods
Geographic Coverage	Kabul and Nangarhar				
Target Population(s)	Population groups found in informal settlements (IDPs, returnees, seasonal migrants, nomadic peoples)				
Data Sources	<ul style="list-style-type: none"> REACH's verified location list (includes location and total population (disaggregated between population groups) for each informal settlement. 				

Expected Outputs	<ul style="list-style-type: none"> - 1 assessment ToR - 1 clean dataset from household level survey - 1 preliminary findings presentation. - 1 report 	
Key Resources	REACH Country Focal Point REACH GIS/DB Officer REACH Assessment Officer	
Humanitarian milestones	Milestone	Timeframe
	X Cluster plan/strategy	<i>Planning for 2017</i>
	Inter-cluster plan/strategy	
	Donor plan/strategy	
	NGO plan/strategy	
	Other	
Audience	Audience type	Specific actors
	X Operational	AFSAC and agencies/NGOs implementing food security projects
	X Programmatic	AFSAC and agencies/NGOs implementing food security projects
	X Strategic	AFSAC and agencies/NGOs implementing food security projects
	Other	
Access	X Public (available on REACH research center and other humanitarian platforms)	
		Restricted (bilateral dissemination only upon agreed dissemination list, no publication on REACH or other platforms)
		Other
Visibility	<i>GFSAC/Afghan FSAC, REACH</i>	
Dissemination	<i>Country level joint analysis workshop, presentation of findings during FSAC (and other interested clusters) meetings, country level mailing list, upload on web portals (REACH, Humanitarian Response Info, ReliefWeb, and other relevant platforms)</i>	

3. Background & Rationale

Within Afghanistan in 2016, an estimated 1.57 million people have suffered from severe food shortages. Food security differs throughout the country, but urban areas swelled by labour migration and areas impacted by recent displacements are at greater risk of food insecurity. Informal settlements, often exhibiting economic difficulties and containing IDPs and returnees (both vulnerable groups), pose a particular risk of food insecurity.

Throughout Afghanistan, vulnerable groups including IDPs and returnees are living in temporary informal settlements. Informal settlements are often populated with the most vulnerable groups found in an area. With continual internal displacement and a rising number of returnees, the locations, conditions and populations of informal settlements are continually fluid. Sites can remain active for a number of years, with changes in population throughout. Site residents are often a mix of IDPs and returnees and the vulnerabilities are different for each group.

Informal settlements are a common habitat for vulnerable groups in Afghanistan, but lack a single definition. For the purpose of this exercise, informal settlements are broadly defined as:

1. areas where groups of housing units have been constructed on land that the occupants have no legal claim to, or occupy illegally;
2. unplanned settlements and areas where housing is not in compliance with current planning and building regulations (unauthorized housing).

3. Research Objectives

To better understand food security needs of vulnerable households living in informal settlements in Kabul and Nangarhar

1. To assess/update food security situation of vulnerable households living in informal settlements in Kabul and Nangarhar, with a specific focus on IDPs and returnees
2. Assess/update the level of vulnerability to food insecurity and coping capacity of the targeted households
3. Provide data and information to guide the programming and targeting of severely food insecure households for relevant food security intervention(s) during the 2016-2017 winter months

4. Research Questions

1. What are the key demographic and socio-economic characteristics of population groups within informal settlements in Kabul and Nangarhar?
2. What are the specific food security vulnerabilities, needs and coping strategies of those living in informal settlements?

5. Methodology

5.1. Methodology overview

REACH will work in collaboration with the Afghanistan Food Security Cluster to create an inclusive assessment that serves the information needs of the cluster and agencies/NGOs that conduct food security related programming.

To ensure coordination with the cluster, REACH will attend relevant coordination meetings. Ad-hoc meetings to discuss the assessment will be organised in order to keep the relevant focal points in the cluster up-to-date. REACH will not duplicate efforts where methodologies/tools are already available through the cluster or other partners. When it is necessary to create new tools/methodologies, these will be developed with the cooperation of the cluster. When finalized, these products will be handed over to IMs to promote consistency across sectors. REACH will use secondary data available through existing reports, databases, maps, partners, and the food security cluster, particularly during the initial phase of the assessment.

Primary data will be collected directly from the field by REACH field teams, security and access permitting. Probability sampling methods will be used to enable generalisations with a specified level of precision. When primary data collection is unfeasible due to security constraints, REACH will work with partners already in the field to collect data, either by embedding staff in partners' teams, or providing support from the capital or provincial level. Primary data collection will be conducted at household level, where possible using a mobile data collection platform, which enables geo-localisation of data points allowing REACH to monitor proper implementation of the random sampling strategy and conduct geo-spatial analysis. When mobile data collection is impossible, data will be collected using paper forms and action plans revised to reflect time/resources needed for data cleaning/processing.

5.2. Population of interest

The assessment will not necessarily focus on a single population group, instead focusing on the mode of settlement (that of the informal settlement). Population groups found within informal settlements include IDPs (including protracted, prologned and recent), returnees (again with differing lengths of stay within the settlements), seasonal migrants and nomadic populations.

5.3. Secondary data review and verification

In coordination with the cluster, relevant partners and agencies, REACH will collect and gather all available secondary data (quantitative and qualitative) on both the food security situation within Afghanistan, and in particular food security within informal settlements. REACH will also use the datasets created as part of its Informal Settlements project as the population estimate for each informal settlement. The data sources will be triangulated with the aim to:

- 1) Identify & map the location and populations of informal settlements in Kabul and Nangarhar.
- 2) Inform the primary data collection methodology and tool design
- 3) Provide a basis for triangulation with primary data

Key data sources that will be requested from partners for inclusion in the triangulation include:

- ✓ The Kabul Informal Settlement food security asesstment (2015/2016)

It is expected that the triangulated datasets created from the household level survey will need verification to ensure best possible understanding of the findings. Therefore as part of the preliminary findings exercise, findings will be compared to the Kabul Informal Settlement Food security vulnerability assessment (2016/2017). The preliminary findings will also be presented to the KIS group and to the food security cluster. Comments from both groups will be used to help guide the creation of the report.

5.4. Primary Data Collection

Primary data collection methodology will be finalised between REACH and the Afghanistan Food Security cluster. In particular, the secondary data review will identify necessary parameters for the sampling framework (e.g. understanding the location and population of informal settlements) and inform development of indicators (e.g. streamling indicators to match with previous assessments).

REACH will liaise with the Food Security cluster and other relevant actors on the data collection tools and analysis framework to strengthen assessment ownership by key stakeholders, and consider access constraints to develop methodologies appropriate for each target area.

The aim is to use a probability sampling strategy to randomly select households within informal settlements, thereby enabling generalisation with a specified level of precision of findings to the population of interest. The target precision of the sampling strategy is generalisation to province level (Kabul and Nangarhar), with a minimum of 95% level of confidence and a maximum of 5% margin of error.

A cluster sampling approach may be used to minimise the number of locations that need to be accessed by the data collection team. A larger sample would in this case need to be interviewed to counter the impact of the resulting design effect on level of precision.

Once the sample strategy has been identified, implementation of sampling can be conducted. It is essential to ensure as equal probability as possible for households in the population of interest to be selected for inclusion in the sample throughout the informal settlement. Possible strategies to mitiage this issue are:

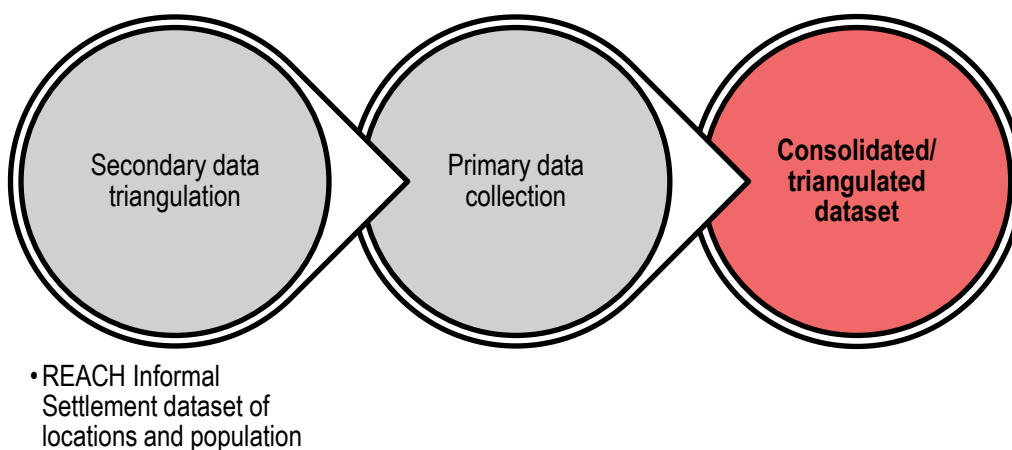
1. Maps for each informal settlement with a randomised grid of points. Enumerators select a random point and interview the household closest to the chosen point.
2. A random number generator/dice strategy. Enumerators roll the dice or create a random number, and use this to chose how many households they need to skip before interviewing.

A data collection tool will be developed based on indicators proposed to and reviewed with the cluster. Indicators should be based on existing indicators as much as possible, to maximise comparability with existing datasets. A questionnaire will be built on a mobile data collection platform (e.g. Kobo) and downloaded on tablets/smartphones to be used to record interviews in the field. Completed forms are uploaded to a dedicated server and monitored on a daily basis for any errors or misunderstandings that can be corrected and fed back during daily debriefings with the data collection team. GPS coordinates recorded for each form at the location of the interview can be plotted to monitor compliance with the sampling strategy. Once data collection is completed the data collection team conducts a thorough end of assessment debriefing with the Country Focal Point & GIS/DB Officer to review and aid interpretation and analysis of collected data. In total, a team of 24 enumerators will be recruited for 12 working days to conduct the primary data collection exercise. In addition to data collection, this period must include training, travel between locations and debriefing sessions.

5.5. Data Analysis Plan

Once data is collected and any cleaning resulting from the debriefing sessions is completed, the final dataset will be analysed and triangulated with secondary data sources with an understanding to address the research questions (see above). Upon completion of the analysis, REACH will present preliminary assessment findings in a dedicated workshop in Kabul with all aid actors that have been involved in the assessment process to enable contribution to the analysis and discussion around preliminary findings. REACH will consolidate workshop outputs and recommendations into a final assessment report, including maps and factsheets where appropriate. Finally, upon validation by the cluster, REACH will upload a final clean assessment dataset and other products on OCHA's HDX web-portal or on other appropriate platforms identified in consultation with the cluster. The data analysis plan will be finalised based on the indicators agreed with humanitarian actors during the initial finalisation of the assessment terms of reference.

Figure 1: Data analysis methodology



6. Product Typology

Table 1: Type and number of products required

Type of Product	Number of Product(s)	Additional information
Assessment TOR	1	
Dataset	1	1 x Household level food security assessment
Report	1	
Presentation	1	

7. Risks & Assumptions

Table 3: List of risks and mitigating action

Risk	Mitigation Measure
<i>Locations and population of informal settlement rapidly changing from initial data collection to household level data collection</i>	The REACH dataset of informal settlement location and population was collected or refreshed during the last month and so is as up-to-date as possible. If locations have closed down, or the inhabitants have been evicted, an update of the sampling will be performed and new locations or an increased number of surveys per site will be the result.
<i>Partners and/or ministries are unwilling to cooperate</i>	Clear communication and outreach to key stakeholders conducted during initial stages of the project.
<i>IDPs are unwilling to participate in assessment</i>	Clear communication about the objectives of the assessment to help relay the value of the data collected; replacement sample strategy in case of refusal to participate.
<i>Security concerns prevents data collection</i>	Daily monitoring of security situation to identify safe periods of data collection; outsourcing of data collection to local partners.

8. Documentation Plan

The following key documents and outputs should be filed for future reference:

- Assessment Terms of Reference
- Consolidated secondary data review matrix
- Primary data collection tracking matrix
- Clean primary dataset
- Primary data cleaning log

9. Annexes

1. Data Management Plan

Annex 1 : Data Management Plan

V3

Checklist Section	Questions to consider and guidance
Administrative Data	
Project Name	Kabul and Nangarhar Informal Settlement Food Security Assessment
Project Code	02CPN
Donor	FAO
Project partners	ACTED, IMPACT initiatives and UNITAR//UNOSAT
Project Description	<p>The overall project objective is to promote evidence-based planning by decision-makers in Afghanistan to support the allocation of limited humanitarian financial resources to priority areas, sectors, and target groups. Specifically, the project will support humanitarian actors to enhance their understanding of the vulnerabilities and needs of prolonged IDPs.</p> <p>In coordination with OCHA, UNHCR, ERM partners, clusters, the ICCT, and the Assessment Working Group, REACH will collect and gather all available data (quantitative and qualitative) on prolonged IDPs, who are reported at risk of prolonged displacement. REACH will then analyse this secondary data to: 1) Identify and assimilate available information on prolonged IDPs' numbers, needs and vulnerabilities; 2) Identify prolonged IDPs' locations across Afghanistan and, in coordination with OCHA and the clusters, classify these locations according to levels of access. As a result, a first mapping of the location of prolonged IDPs will be available; 3) Inform the assessment analysis framework and data collection tools design; 4) Provide the REACH team with data enabling a future triangulation of the assessment findings.</p>
Project Data Contacts	vincent.annoni@impact-initiatives.org ; thomas.stork@reach-initiative.org
DMP Version	27 August 2016 V3
Related Policies	
Data Collection	
What data will you collect or create?	<p>This research contains two stages of data collection 1. Secondary data review 2. Primary data collection.</p> <ol style="list-style-type: none"> 1. Secondary data review: REACH will request to use all relevant currently available data sources (ERM, UNHCR, OCHA and other project partners) to identify prolong IDPs locations. 2. Primary data collection: Primary data will be collected by REACH data collectors through household interviews using probability sampling, with parameters identified through the secondary data review (e.g. number and types of strata; probability sampling method). The primary data will be collected using ODK forms (where security permits) and the processed data will be shared with all stakeholders.
How will the data be collected or created?	REACH will deploy the data collection team to identified prolonged IDP locations according to the specified sampling strategy. Data will be sent to ODK-based server by data collection teams. The REACH database officer will review incoming data for potential errors; check and verify any possible corrections with the data collection teams. Once a data collection is completed,

the final dataset is exported and scanned for errors, with any verifications and corrections made, recorded in a data cleaning log. Raw and master databases are saved on the REACH server using REACH file name & document title standards.

Electronic File Name:

REACH_Countrycode_typeofdocument_Crisisname_mandatingbody_MonthYear

Document Title:

Countrycode_producttype_crisisname_monthYear

Documentation and Metadata

What documentation and metadata will accompany the data?

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

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

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

Ethics and Legal Compliance

How will you manage any ethical issues?

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

Throughout training of assessment teams, it will be emphasized that participants are not obliged to provide information they feel poses a risk to their well-being or if they feel this may cause a threat to their personal safety. Through constant feedback, such instances are reported to inform continuous improvements to training. Personal identifiable information will not be publicly disseminated to minimize/eliminate protection concerns for the assessed population. All data will be aggregated to a location and no household identifiers will be publicly visible from the reports and maps. If agencies request the raw data containing household identifiers, then the sensitive name/contact details will be removed and replaced with a unique key so that the identifier information can be re-connected at a later date, based on protection standards. If there is a further request for the names, REACH will contact OCHA (or in the case of secondary data, the discloser of this data) to examine whether the requesting agency can receive the identifier data or not, and if so, under which conditions.

REACH will not collect personally identifiable data. REACH will include a request for consent within assessments to share household level information collected, which will only occur under the following circumstances:

- For REACH internal use for the purposes of data management (i.e.

- avoiding duplicate data collection)
- With donor / partner organization where data-sharing agreement exists, and only for humanitarian purposes
 - With partner organization and/ or agency where specific and urgent need occurs, for example urgent medical needs or for other referral mechanism.
 - With the owner (i.e. the assessed party) of the information if requested.

REACH will work closely with relevant clusters to ensure assessment methodologies, indicators and analysis is sensitive to gender concerns and wider protection issues. Data collected will be disaggregated by age and gender, with the ability to identify vulnerable households. REACH will also work with relevant agencies in protection and health to ensure the referral of urgent cases.

Specifically, all questionnaires and assessments will be designed in coordination and collaboration with relevant cluster leads, including Protection, Food security, WASH, Education, Health and displacement, with close coordination with OCHA. The sensitivity of questions is reviewed in coordination with protection colleagues. Specific protection assessments will be defined in close liaison with the protection cluster at a later stage.

How will you manage copyright and Intellectual Property Rights (IPR) issues?

The anonymized dataset will be uploaded on the OCHA HDX web portal under open data license. Any anonymized secondary data that is incorporated in datasets uploaded on the OCHA HDX web portal will be fully referenced acknowledging the original data source.

Storage and Backup

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

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

1. ODK-based server: The ODK server will be operated by Impact HQ GIS team in Geneva, to which a limited number of REACH staff will have access (the device setting will only contain the URL of the forms and no password) and whenever any data is requested as per guidelines, it will be extracted from ODK-based server.
2. REACH country server:
 - a. Pre Assessment: Before starting any assessment, specific separate folders will be made for each assessment (considering REACH documentation system) and will be protected by passwords
 - b. During Assessment: A daily backup will be extracted from ODK server into the specific assessment folder and saved as an xls file..
 - c. Post Assessment: After completion of data collection, the REACH database officer will clean the data according to data cleaning guidelines and stop accepting submissions into ODK server for the specific assessment. Raw and cleaned data sets will be stored on the REACH country server in xls format.
3. REACH global cloud: The final cleaned database of the assessment will be stored by REACH HQ Geneva on the REACH Global Server in

	CERN.
How will you manage access and security?	<p>The access policy to the data will differ by the time of assessment (during assessment and after assessment).</p> <ol style="list-style-type: none"> 1. During assessment: only designated technical staff (REACH GIS officer, Assessment officer, and database officer) will have access to ODK-based server. 2. After assessment: when the data collection process is completed the cleaned anonymised data will be uploaded on the OCHA HDX web portal under open data license.
Selection and Preservation	
Which data should be retained, shared, and/or preserved?	REACH will not destroy any of the data set included in this research but will apply information anonymization policy (replacing sensitive fields in the data into codes) to ensure that sensitive information of households will not be shared with irrelevant parties.
What is the long-term preservation plan for the dataset?	Due to data security REACH will not keep any paper form (hard filling) from this assessment's data-set, The data set of this assessment will be archived virtually on the REACH country server, and global cloud as REACH primary data. REACH or other stakeholders can benefit from this information in future assessments, reports, and proposals.
Data Sharing	
How will you share the data?	The processed data (completed, cleaned, analyzed, and validated data) will be shared with all stakeholders through HDX web portal, humanitarianreponse.info website and REACH resource center. A copy of the dataset will be provided to cluster Information Managers upon request. Any anonymized secondary data incorporated in these datasets will be fully referenced, acknowledging the original data source.
Are any restrictions on data sharing required?	REACH will apply restrictions only on those data-sets which contain sensitive information such as beneficiary contact details, personal information and complainant identity. REACH will apply an anonymization policy, unlinking all sensitive information from the dataset while ensuring a unique record identifier is in place that enables reconnection of the information. If there is a further request for the sensitive information, REACH will contact OCHA (or in the case of secondary data, the Discloser of the data) to examine whether the requesting agency can receive the identifier data or not, and if so, under which conditions. No data will be disseminated before completing the data process (data cleaning and data validation).
Responsibilities	
Who will be responsible for data management?	REACH will be responsible for the assessment's data-flow and implementation of DMP and every single step of data collection and data process will be managed by REACH database officer. REACH will take lead in collaborative researches across partners and every server of partners will share their forms to REACH server.