Research Terms of Reference Urban Refugees and Sustainable Livelihoods in Uganda UGA2205 Uganda

July 2022 Version 1

REACH Informing more effective humanitarian action

1. Executive Summary

Country of intervention	Ugan	da					
Type of Emergency	Х	Natural disaster	Х	Con	flict		Other (specify)
Type of Crisis		Sudden onset		Slov	w onset	Х	,
Mandating Body/	Europ	Iropean Union Civil Protection and Humanitarian Aid (ECHO)					
Agency	Forei	gn, Commonwealth, & Devel	opm	ent C	Office (FCDO)		
IMPACT Project Code	25AN	IW, 25AMI					
Overall Research	01/06	6/2022 to 28/02/2023					
Timeframe							
Research Timeframe	1. Pil	ot/ training: 29/08/2022			6. Preliminary pres	sen	tation: 12/12/2022
	2. Sta	art data collection: 13/09/202	2		7. Outputs sent for	r va	alidation: 23/12/2022
	3. Da	ta collected: 02/11/2022			8. Outputs publish	ed	: 31/01/2023
		ta analysed: 11/11/2022			9. Final presentati	on:	28/03/2023
	5. Da	5. Data sent for validation: 11/11/2022					
Number of	Х	Single assessment (one cy	cle)				
assessments		Multi assessment (more the	an o	ne cy	/cle)		
Humanitarian	Miles	stone			Deadline		
milestones	X	Donor plan/strategy: ECHC FCDO will use findings to in livelihoods agenda Inter-cluster plan/strategy			01/05/2023		
	X	Working Group (LRSWG) with the findings to inform on the	velihoods and Resilience Sector orking Group (LRSWG) will use e findings to inform on the plementation of their Refugee esponse Plan (RRP)				
		Other (Specify):			/_/		
	Audi	ence type			Dissemination		

Audience Type & Dissemination Specify who will the assessment inform and how you will disseminate to inform the audience	Strategic X General Product Mailing (using the IMPACT Uganda mailing list) Programmatic X Cluster Mailing (LRSWG) and presentation findings at next cluster meeting [Other, Specify] X Presentation of findings (to donor + relevan stakeholders) X Website Dissemination (Relief Web & REAC Resource Centre, U-Learn website) X Dissemination through the Cities Alliance website and network	of It
Detailed	Yes X No ¹	
dissemination plan		
required General Objective	e general objective of the assessment is to create a better understanding of the	
Specific Objective(s)	ovement of refugees between settlements and urban centres, and to inform how the elihoods of refugee and host communities in both settlement and urban contexts car est be supported.	
	 between settlements and urban centres. Even more specifically, the assessmains to understand: a. Why refugees move from the settlements to urban centres; b. What kinds of challenges refugees face in the urban centres; c. How common movement between urban centres, settlements, and home countries is. 	ient
	 Understand the main barriers and enabling factors of sustainable livelihoods the following groups: refugees in settlements; refugees in urban centres; host communities around settlements; and host communities in urban centres. To reach this objective, the assessment aims to understand the following: a. For each group, what are the key livelihoods factors, strategies, and outcomes, looking at:	t irity on s, l

¹ The findings for the primary research component (livelihoods) will be disseminated primarily through U-Learn mechanisms, who have established dissemination strategies and plans.

	b. For each group, what the key barriers are to sustainable livelihoods;c. How the findings for 2a and 2b differ between the assessed groups.
	 Map and summarize ongoing livelihoods programmes across contexts, and understand how they relate to the livelihoods situation assessed under specific objective 2. Even more specifically, the assessment aims to understand: a. What kinds of livelihoods programming are currently being implemented across settlements and urban centres in Uganda; b. What (if any) the commonalities are between livelihoods approaches; c. To what extent the livelihoods approaches employed in livelihoods programming match the identified asset gaps and barriers under objective 2.
Research Questions	In order to achieve the general and specific objectives, the following research questions
	will guide the assessment:
	5
	1. For specific objective 1:
	a. Why do refugees move from settlements to urban areas?
	i. What are the key push factors in the settlements?
	ii. What are the key pull factors for the urban areas?
	iii. What are the key deterrants to self-settlement in urban areas?
	b. What kinds of challenges do refugees face in the urban areas?
	i. What are the priority needs of refugees in urban areas?ii. How do priority needs of refugees in urban areas compare to
	priority needs of refugees in the settlement and needs of host communities?
	iii. What challenges did they face upon arrival in urban areas?
	c. How common is the movement between urban areas, settlements, and
	home countries?
	 How common is it for refugees to travel to settlements for food rations?
	ii. How common is it for refugees to commute to urban areas for work or to access services?
	iii. How common is it for refugee households to be split between settlements and urban area?
	iv. How common is it for refugees to travel between their
	residence in Uganda and their home country?
	 v. How common are remittances between urban areas and settlements?
	vi. How common are remittances between refugees in Uganda and their home country?
	2. For specific objective 2:
	a. For each group (i.e., refugees in settlements; refugees in urban
	centres; host communities around settlements; and host communities in urban centres), what are key livelihoods factors, strategies, and
	outcomes?

		in term capital	is of human, nati ?	d assets do households g ural, financial, physical, a	and social					
		iii. Which assets do households perceive to be the biggest enabling and prohibiting factors in relation to their livelihoods?								
		iv. What k deploy	kinds of livelihood	d strategies do househol and diversity, and how o	ds generally					
				velihood outcomes in ter	ms of					
		income stratec		od consumption, and co	ping					
	b.	-		y barriers to sustainable	livelihoods?					
				factors and assets influe	ence the					
			n livelihood strate o the contextual	•	tegies					
		ii. How do the contextual factors, assets, and strategies influence livelihood outcomes?								
				or barriers across the re						
				ontributing to poor livelihe	ood outcomes?					
	C.	If yes, what are they? c. How do the findings differ between the assessed groups?								
			0	0 1						
	3. For specific objective 3:									
	3. For sp€	-								
	3. For spe a.	What kinds of li		mming are currently beir	ng					
	a.	What kinds of li implemented ac	cross settlements	and urban centres?	-					
	a. b.	What kinds of li implemented ac What (if any) ar	cross settlements e the commonali	and urban centres? ties between livelihoods	approaches?					
	a.	What kinds of li implemented ac What (if any) ar To what extent	cross settlements e the commonali are identified live	and urban centres? ties between livelihoods lihoods programmes an	approaches? d approaches					
	a. b.	What kinds of li implemented ac What (if any) ar To what extent	cross settlements e the commonali are identified live	and urban centres? ties between livelihoods	approaches? d approaches					
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Geographic Coverage	a. b. c. The assessment cities) and settle	What kinds of li implemented ac What (if any) ar To what extent aligned with the t under specific of ments. The follow	cross settlements e the commonali are identified live gaps and barrie ojectives 1 and 2 ving nine collection	and urban centres? ties between livelihoods elihoods programmes an rs found under objective will target specific urbar ons will be targeted:	approaches? d approaches 2?					
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Geographic Coverage	a. b. c. The assessment cities) and settle Region Central South-West	What kinds of li implemented ac What (if any) ar To what extent aligned with the t under specific of ments. The follow District Kampala Isingiro	cross settlements e the commonali are identified live gaps and barrie ojectives 1 and 2 ving nine collection Type City Settlement	and urban centres? ties between livelihoods elihoods programmes an rs found under objective will target specific urbar ons will be targeted: Location Kampala Nakivale	approaches? d approaches 2?					
Geographic Coverage	a. b. c. The assessment cities) and settle Region Central South-West South-West	What kinds of li implemented ac What (if any) ar To what extent aligned with the t under specific of ments. The follow District Kampala Isingiro Mbarara	cross settlements e the commonali are identified live gaps and barrie ojectives 1 and 2 ving nine collection Type City Settlement City	and urban centres? ties between livelihoods elihoods programmes an rs found under objective will target specific urbar ons will be targeted: Location Kampala Nakivale Mbarara	approaches? d approaches 2?					
Geographic Coverage	a. b. c. The assessment cities) and settle Region Central South-West	What kinds of li implemented ac What (if any) ar To what extent aligned with the t under specific of ments. The follow District Kampala Isingiro	cross settlements e the commonali are identified live gaps and barrie ojectives 1 and 2 ving nine collection Type City Settlement	and urban centres? ties between livelihoods elihoods programmes an rs found under objective will target specific urbar ons will be targeted: Location Kampala Nakivale	approaches? d approaches 2?					
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Geographic Coverage	a. b. c. The assessment cities) and settle Region Central South-West South-West West Nile West Nile	What kinds of li implemented ac What (if any) ar To what extent aligned with the t under specific of ments. The follow District Kampala Isingiro Mbarara Arua Gulu Kitgum Lamwo Madi Okollo Yumbe	cross settlements e the commonali are identified live gaps and barrie ojectives 1 and 2 <i>i</i> ing nine collection Type City City City City City City City City	and urban centres? ties between livelihoods elihoods programmes an rs found under objective will target specific urbar ons will be targeted: Location Kampala Nakivale Mbarara Arua Gulu Kitgum Palabek Rhino Camp Bidibidi	approaches? d approaches 2? n centres (i.e.,					

	Couth West	Kilumba
	South-West South-West	Kikuube
	South-West	Kiryandongo
	South-West	Kyegegwa Mbarara
	West Nile	Adjumani
	West Nile	Arua
	West Nile	Gulu
	West Nile	
		Kitgum
	West Nile West Nile	Koboko
		Lamwo
	West Nile	Madi Okollo
	West Nile	Obongi
	West Nile	Yumbe
Secondary data sources	types of sources will be consulted and	key component of this assessment. The following used throughout the assessment: general livelihoods context in Uganda, including
	 published by the Ministry of United Nations (UN) agencies for Refugees (UNHCR) and International Non-Governm academics published in recog 2. Sources that inform on the set These sources are more scan Nonetheless, they will be use Notable publications include they largely focus on (urban) 3. Sources that provide techn Sustainable Livelihoods Fra assessment. As the framework the most important source of Livelihoods Guidance Sheets 4. Sources that will be used specifically the data collected (RIMA) led by the FAO.⁴ The assessment, including data of collected in the settlements a 5. Sources that describe the live for refugees in host communication 	to inform tool design and triangulate findings – for the Resilience Index Measurement and Analysis data covers the many of the aspects relevant to this in income and physical household assets. Data was

² The RSC is a part of the Oxford Department of International Development and is focused on building knowledge and understanding of forced migration. For more information, see <u>here</u>.

³ DFID, "Sustainable Livelihoods Guidance Sheets," 1991.

⁴ The 2020 data can be found <u>here</u>. For more information on the RIMA, see <u>here</u>.

	For more information on some of the specific sources that will be consulted for the							
	asses	ssment, see section 3.3.						
Population(s)		IDPs in camp			X Host communities in urban centres			
Select all that apply		IDPs in host communities				IDPs [Other, Sp	pecify]	
	Х	Refugees in settlements				Refugees in informal sites		
	Х	Refugees in urban centres				Refugees [Othe	er, Specify]	
	Х	Host communities around				□ [Other, Specify]		
		settlements ⁵						
Stratification	Х	Geographical #: 9	Х	Grou	, p‡	#: 18	[Other Specify] #:	
Select type(s) and enter		Population size per strata		Ρορι	ulat	tion size per	Population size per	
number of strata		is known? X Yes 🗆 No				s known?	strata is known?	
				X Ye		🗆 No		
Data collection tool(s)	Х	Structured (Quantitative)				Semi-structure	1 /	
	Samp	oling method			Da	ata collection m	nethod	
Tool #1: Structured	🗆 Pu	rposive				Key informant int	terview (Target #):	
data collection,		bability / Simple random				Group discussion (Target #):		
Household survey		bability / Stratified simple rando	m			K Household interview (Target #): 2622 ⁸		
			/11					
Relevant for:		bability / Cluster sampling			Individual interview (Target #):			
Components 1&2 ⁷	□ Pro	bability / Stratified cluster samp	oling		Direct observations (Target #):			
	□ [Ot	her, Specify]			□ [Other, Specify] (Target #):			
Tool #2: Semi-	X Purposive					Key informant int	terview (Target #):	
structured data		owballing						
collection, Focus		Jwballing			□ Individual interview (Target #):			
group discussion	□ [Ot	□ [Other, Specify]			X Focus group discussion (FGD) (Target #): 36 ⁹			
						[Other, Specify] ((Target #):	
Relevant for:								
Components 1&2								
Tool #3: Semi-	X Pu	posive			Key informant interview (Target #):			
structured data	🗆 Sn	owballing			X Individual interview (Target #): 36 ¹⁰			
collection, In-depth Individual Interview							cussion (Target #):	
	□ [Ot	her, Specify]				- .		
(IDI)						Participatory work	kshop (Target #):	
Relevant for:								
Component 2								
	I							

⁵ Data collection will focus specifically on those host community members that reside in the sub-counties that overlap with, or border, the targeted refugee settlements.

⁶ Population sizes of refugees in Kampala and the settlements, and population sizes of host communities, are generally known. Population sizes of urban refugees in secondary cities are not always known, in which cases data collection will be preceded by qualitative data collection to get estimates from key informants.

⁷ The components align with the 3 specific research objectives. I.e., the objectives and questions under specific objective 1 will be answered through component 1.

⁸ The surveys target both refugees and host communities in all 9 locations listed under geographic coverage. The sample per group in each location is calculated with a 95% confidence level, 10% margin of error, and 50% buffer.

⁹ Breaks down to 2 FGDs per group (refugee and host community) in each of the 9 locations. For each group in each location, 1 FGD will be held with male community leaders and 1 FGD will be held with male community leaders.

¹⁰ Breaks down to 2 IDIs per group/location type.

Tool #4: Semi- structured data collection, Participatory workshop	X Purposive Snowballing [Other, Specify] 				 Key informant interview (Target #): Individual interview (Target #): Focus group discussion (Target #): X Participatory workshop (Target #): 18¹¹ 			
Relevant for: Component 2								
Tool #5: Structured data collection, Online expert survey Relevant for: Component 3	 X Purposive Probability / Simple random Probability / Stratified simple random Probability / Cluster sampling Probability / Stratified cluster sampling [Other, Specify] 				 Key informant interview (Target #): Group discussion (Target #): Household interview (Target #): Individual interview (Target #): Direct observations (Target #): X Expert survey (online) (Target #): maximum 40¹² 			
Tool #6: Semi- structured data collection, Live expert interview Relevant for: Component 3	X Purposive Snowballing [Other, Specify]				5 ¹³ Individual interview 	view scus:	(T	ew (Target #): maximum Farget #): ion (Target #): et #):
Target level of precision if probability sampling	95%	evel of confidence			10% margin of err	or		
Data management platform(s)	X	[Other, Specify]						
Expected ouput type(s)	X	Situation overview #: Presentation (Preliminary findings) #: 1 Interactive dashboard #:_	ry X Pres #: 1		port #: 1 esentation (Final) 1 ebmap #:		- -	Profile #: Factsheet #: 12 ¹⁴ Map #:
Access	X	[Other, Specify] #: Public (available on REACH resource centre and other humanitarian platforms) Restricted (bilateral dissemination only upon agreed dissemination list, no publication on REACH or other platforms)						

¹¹ One full-day workshop will be held with each group in each location, in which multiple participatory tools will be deployed. For more information on the specific tools, see section 3.4.

¹² This is an estimate only, as the sampling will rely on self-reporting and snowballing techniques to identify relevant actors.

¹³ This will depend on how the first two phases (SDR and expert surveys) will go, and which information gaps remain.

¹⁴ Breaks down to 9 location-specific livelihoods factsheets, 1 livelihoods programming factsheet, 1 joint livelihoods and programming factsheet, and 1 movement intentions factsheet.

Visibility	REACH, U-Learn
	Donor: ECHO, FCDO
	Coordination Framework: Livelihoods and Resilience Sector Working Group (LRSWG)
	Partners: U-Learn

2. Rationale

2.1 Background

The humanitarian crisis in Uganda is becoming increasingly protracted. As of April 2022, more than 1.5 million refugees reside in Uganda, hailing primarily from South Sudan and the Democratic Republic of Congo (DRC).¹⁵ While new refugees continue to enter the country,¹⁶ a large proportion of refugees in Uganda arrived over 2 years ago.¹⁷ Despite relatively long stays, a large proportion of refugees is not economically stable. According to the 2020 Vulnerability and Essential Needs Assessment (VENA) led by REACH, the World Food Programme (WFP), and the United Nations High Commissioner for Refugees (UNCHR), 91% of refugee households in Uganda were highly economically vulnerable.¹⁸ Many refugee households were additionally found to be highly dependent on humanitarian assistance, as 72% reported that food assistance was their household's main source of food.¹⁹

In response to the persisting vulnerabilities and dependencies, humanitarian and development donors, United Nations (UN) agencies, and International Non-Governmental Organizations (INGOs) are focusing more and more on the need and potential of livelihoods programming.²⁰ The Livelihoods and Resilience Sector Working Group (LRWSG), in coordination with U-Learn, recently held a workshop with its members, in part to understand what the key knowledge gaps are for donors, UN agencies, and INGOs that are working on livelihoods in Uganda. Some of the research needs that arose were, firstly, understanding what kinds of livelihoods programmes are most effective in the Ugandan context for both refugees and host communities. Many different actors are implementing different forms of livelihoods assistance, yet there is little clarity on the comparative advantage of these different approaches.

Secondly, LRWSG members noted an interest in better understanding the livelihoods of urban refugees. Urban refugees are refugees who have self-settled in cities in Uganda. While some information is available on refugees in Kampala,²¹ very little is known about refugees who have settled in secondary cities in the country. Several actors have called for increased focus on this group, especially in light of rapid urbanization in secondary cities.²² The Humanitarian Policy Group has argued that self-settlement of refugees in secondary cities, and the implications for sustainable livelihoods, need to be further researched and considered within the humanitarian response. Furthermore, they have argued that supporting livelihoods in secondary cities may be key to Uganda meeting its commitments to the Comprehensive Refugee Response Framework (CRRF).²³

2.2 Intended impact

REACH and U-Learn are planning this livelihoods assessment in order to respond to some of the highlighted information gaps related to urban refugees, livelihoods, and livelihoods programmes in Uganda. The assessment will explore three

¹⁵ See UNHCR's <u>Uganda Comprehensive Refugee Response Portal</u>.

¹⁶ As of May 12th 2022, over 50,000 refugees arrived in Uganda since January 2022 as per UNHCR's Refugee Influx Dashboard.

¹⁷ No current data found, but data from 2017 estimates that 32% of refugees arrived over 2 years prior to data collection, based on a working paper by Development Pathways: <u>Analysis of Refugee Vulnerability in Uganda</u>.

¹⁸ REACH, WFP, UNCHR, "<u>Vulnerability and Essential Needs Assessment</u>," October 2020.

¹⁹ Idem.

²⁰ See for example the 2019 World Bank report "Informing the refugee policy response in Uganda: Results from the Uganda refugee and host communities 2018 household survey".

²¹ See for example various papers published by the Refugee Studies Center (RSC) housed by the Oxford Department of International Development <u>here</u>. More information on these sources can also be found in section 3.4.

²² Cities Alliance, "Forum on Migration and Sustainable Urbanization," April 2022.

²³ Humanitarian Policy Group, "The Comprehensive Refugee Response Framework (CRRF): Progress in Uganda," September 2019.

separate but closely related questions: 1) why and how refugees choose to self-settle in urban centres; 2) what the main livelihoods barriers and challenges are for refugees and host communities in and outside urban centres; and 3) to what extent current livelihoods programmes are addressing the identified barriers to livelihoods.

The intended impact of the research is essentially threefold. Firstly, the findings are intended to assist in donors' strategic decision-making regarding livelihoods programming in Uganda, for both refugees and host communities, with an eye on building on more sustainable livelihoods. Secondly, the research is meant to inform programmatic decision-making of the LRSWG, its members, and any other actors that are investing in sustainable livelihoods in Uganda. Finally, the focus on urban refugees is contributing to a larger conversation about self-settlement and support for sustainable livelihoods for refugees outside the settlements. Organizations advocating for increased focus and support for this group may use the findings in their efforts.²⁴

3. Methodology

3.1 Methodology overview

The planned research is based on a mixed methods approach intended to capture representative information regarding movement, assets, and livelihoods, as well as qualitative data regarding household perceptions on their livelihoods. As per the research questions and objectives detailed in the executive summary, the assessment will explore three different themes: 1) movement intentions and patterns; 2) livelihoods context, assets, strategies and outcomes; and 3) livelihoods programming and their alignment with the livelihoods barriers and opportunities identified under point 2. The three themes can essentially be seen as separate but complementary research components. The first two components will be researched jointly through focus group discussions (FGDs) and household surveys. Additionally, participatory workshops and in-depth interviews (IDIs) will be held to triangulate and complement the general livelihoods research under the second component. The third component will be researched independently from the first two components (i.e., entirely separate tools). The findings for the second and third component will be brought together and analyzed jointly as the final step of the research. The methodological steps that will be taken under each component will be detailed here. First, however, there will be a quick note on the key definitions for this assessment.

Key definitions:

- Refugee: "Refugees are people who have fled war, violence, conflict or persecution and have crossed an international border to find safety in another country".²⁵
- Settlement: In the Ugandan context, settlements are areas assigned for refugee settlement by the Government of Uganda. The settlements are managed by the Office of the Prime Minister (OPM) with the support of UNHCR.
- Refugee-hosting districts: Refugee-hosting districts are districts (Administrative level 2) in Uganda that (partially) contain at least one refugee settlement.
- Host community: The host community refers to Ugandan people that reside in refugee-hosting districts. For this assessment, the definition will be extended to include Ugandans who live in urban centres outside of refugee-hosting districts where a large proportion of refugees have settled.
- Host community around the settlements: For this assessment, not all host communities in the refugee-hosting districts will be covered. Instead, data collection will focus on the host communities that reside in sub-counties that border or overlap with the targeted refugee settlements.

 ²⁴ As an example, Cities Alliance is a global partnership that has been active in advocacy efforts for increased support for secondary cities in Uganda, especially those that are hosting large numbers of unregistered and unenumerated refugees. See <u>here</u> for more.
 ²⁵ <u>UNHCR</u>.

- Urban centre: Urban centres for this assessment are defined as commercial centres with relatively high population concentrations. Urban centres include both towns and cities (such as Arua or Kampala).
- Self-settlement: Self-settlement refers to refugees choosing to settle somewhere outside of the settlement. Refugees may choose to do so upon entering the country or after having been allocated and registered in a settlement.²⁶
- Refugee households in settlements vs. urban refugee households: For this assessment, it is important to distinguish between refugees in settlements and refugees in urban centres. It is possible for refugee households to be split or regularly move between these two location types. For the purposes of this assessment, the following definitions will be used:
 - 'Refugees in settlements' will be defined as refugees who have their primary residence in the settlement, and who are part of households where the majority of household members spend the majority of their time in the settlement.
 - E.g., if a refugee has a shelter in the settlement where most of his family resides, and he or she
 occasionally travels outside of the settlement for agriculture inputs and to sell produce, they
 would be considered as a settlement-based refugee.
 - 'Refugees in urban centres' will be defined as refugees who have their primary residence in an urban centre, and who are part of households where the majority of household members spend the majority of their time in and urban centre.
 - E.g., if a refugee has a shelter in both the settlement and an urban centre, has a small business
 with his family in the urban centre, and goes to the settlement primarily to pick up food rations or
 socialize, they would be considered as an urban refugee.
- Secondary city: Secondary cities are small or medium size cities outside of the capital that have important functions within the national system of cities.²⁷

Component 1: Movement intentions and patterns

The first component of the research is relatively small. The objective is to understand the movement intentions and patterns of self-settled urban refugees. This will done in three steps. First, an extensive secondary desk review (SDR) will be completed to map existing information regarding the presence of urban refugees in different cities and towns in Uganda. Second, FGDs will be held with refugees and members of Refugee-Led Organizations (RLOs) in 6 urban centres to estimate the size of the urban refugee population in that location. The FGDs will also serve to gather perspectives and build consensus on the primary push and pull factors related to migration to urban centres. Third, household surveys in both urban centres and settlements will be completed to estimate the respective prevalence of different push and pull factors, current movement intentions, and the commonality of movement between urban centres, settlements and home countries. The survey may be updated prior to data collection based on the FGDs. A total of 2622 household surveys will be done, based on a 95% confidence level, 10% margin of error, and 50% buffer per location and population group. Both the FGDs and the household survey data collection will take place from 13/9 to 2/11. The results of the FGDs and household surveys will be triangulated with each other and the SDR findings in order to draw conclusions about the movement intentions and patterns of refugees in Uganda.

Component 2: Livelihoods context, assets, strategies, and outcomes

The second component is the largest and most complex of this assessment. The objective is to understand what and how different factors influence the livelihoods strategies and outcomes of refugees in settlements, refugees in urban centres, host communities around settlements, and host communities in urban centres. Ultimately, this will lead to a better understanding of the key barriers to building sustainable livelihoods. The methodology for this component is based on the Sustainable Livelihoods Framework (SLF). The SLF was developed by FCDO (Department for International Development

²⁶ As per Uganda's <u>Refugees Act of 2006</u>, refugees have the right to work and the right to freedom of movement.

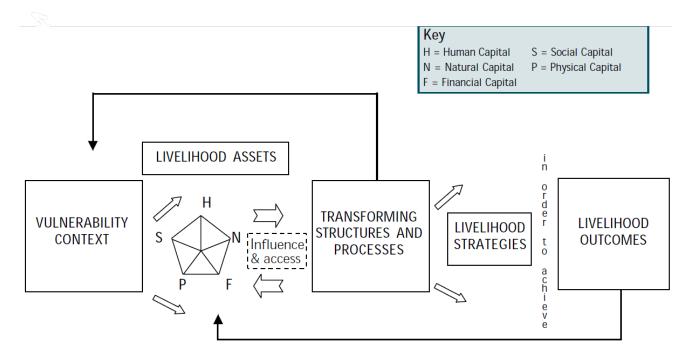
²⁷ Approximate definition taken from Cities Alliance, see <u>here</u>.

(DFID) at the time) as a tool and means of understanding and analysing "the livelihoods of the poor".²⁸ It has been used in various contexts and by different actors to better understand the key barriers to sustainable livelihoods. For example, studies using the SLF in Tanzania and Ethiopia highlighted fundamental flaws in many of the assumptions on which livelihoods programmes in the respective areas had been based.²⁹ The framework consists of five interrelated elements, all of which need to be researched to create a comprehensive picture of livelihoods in a specified setting. The five elements are as follows:

- 1. The vulnerability context: this encompasses all trends and stagnant phenomena that make up the environment in which households and other types of actors operate.
- 2. Livelihoods assets: these are the assets, or capitals, that households possess or have access to that are or can be used towards the household's livelihoods
- 3. Transforming processes and structures: the actors and institutions that constitute the operating environment for households. The structures are the public, private, and civil society actors. The processes refer to formal and informal rules, such as government policies and cultural expectations.
- 4. Livelihood strategies: the methods and means by which households obtain food and/or money. For the SLF, it is important not only to look at livelihood type and diversity, but also how the reality relates to ambitions
- 5. Livelihood outcomes: the top-level outcomes of livelihood strategies, including income and food consumption.³⁰

All of the elements of the SLF are closely related. Changes in one element will likely impact the entire framework. Figure 1 below is taken from the original guidance sheets for the SLF and indicates the ways the elements relate to each other. The thin black arrows indicate direct impacts. For example, if a household's income increases (livelihood outcomes) that would directly impact their financial assets. The block arrows indicate general influence across the framework. For example, climate change (vulnerability context) is likely to impact all other elements in the framework.





- ²⁹ Development Study Group (DSG), "The Sustainable Livelihoods Approach," September 2002.
- ³⁰ Specifically, the Food Consumption Score (FCS) will be used.

²⁸ DFID, "Sustainable Livelihoods Guidance Sheets," April 1999.

³¹ Figure taken from the DFID "<u>Sustainable Livelihoods Guidance Sheets</u>".

In order to operationalize the framework, all of the elements need to be researched. It is widely recommended to use various different methods when operationalizing the framework, including participatory methods.³² For this assessment, methods have been selected for each component of the SLF independently based on SLF guidance documents and current information availability. In Annex 1, the exact methods and indicators selected for each part of the framework are shown. Below, the planned methodology for each section of the framework is outlined.

The vulnerability context and transforming structures and processes will be researched through secondary sources. Based on initial research and stakeholder consultations, some of the key dimensions for the Ugandan and refugee context that will be investigated are highlighted in the figure. An SDR matrix will be developed to gather and summarize key findings from various sources related to the livelihoods context. In the matrix, the sources will be sorted based on themes, key points, and the locations and population groups for which the respective sources are relevant. The sources will be identified through: regular Google searches using key terms; regular checks of humanitarian data and information management platforms, such <u>ReliefWeb</u>, <u>Humanitarian Data Exchange (HDX)</u>, and the <u>UNHCR Assessment Registry</u>; and sector and UNHCR mailing lists. Before the start of primary data collection (13/9), the key findings in the SDR matrix will be summarized in short paragraphs per theme and location or group (where relevant). The matrix and key findings overview will be updated throughout data collection if new sources are published in this period. The summaries will be used to contextualize findings and aid the final analysis and output creation process.

The assessment of livelihood assets will be done through the aforementioned household surveys as well as IDIs and participatory methods. The objective of this part of the research is to map the average strength of the different assets per location and population group, as well as the local perceptions regarding the importance of various assets for sustainable livelihoods. The expected outputs are 'asset pentagons' for each group and location that are robust and comparable.³³ The pentagons will be accompanied by a qualitative exploration of perceived importance of assets. The asset pentagon will be constructed based on data from the household surveys. Four or five indicators will be selected for each capital. The indicators will be indexed to create comparable results. For each indicator, and for each household, a standardized score between 0 and 1 will be assigned. The capital score will be calculated for the household by averaging the indexed indicator scores. As a final step to create the asset pentagon, the capital scores for each location type and group will be calculated by averaging the household scores. This method of indexing indicators to create standardized scores is in line with previous studies that operationalized the asset pentagon.³⁴

The asset pentagons will indicate how strong different livelihoods assets are per location and group, but does not indicate how important or relevant different assets are for the dominant livelihoods in the locations. For example, natural capital is likely relatively lower in the urban areas, but if households are primarily pursuing trade or tailoring, this is not necessarily an issue. Therefore, the asset pentagons will be complimented by qualitative findings from participatory methods and IDIs. The main objective of the participatory methods is to understand which assets households perceive to be the most important, and which represent the most significant helping and hindering factors for sustainable livelihoods. For each location and population group, a full day participatory workshop will be held with the relevant community. Approximately 20 participants will be invited to participate, with an even split between men and women. Throughout the workshop, two breakout groups will be formed, one group with male participants and one group with female participants. The groups will be given four exercises throughout the day: social mapping, resource mapping, creation of a seasonal calendar, and forcefield analysis. These types of methods are highly recommended for the contextualization of the livelihoods assets analysis.³⁵ Finally, IDIs

³² Overseas Development Institute (ODI), Secure Livelihoods Research Consortium, "<u>How to study livelihoods: Bringing a Sustainable Livelihoods Framework to Life</u>," Working paper 22, September 2014.

³³ For an example of what these pentagons look like, see UNDP, "<u>Guidance Note: Application of the Sustainable Livelihoods Framework</u> in Development Projects," 2017.

³⁴ See for example: Mengesha, "<u>Peri-Urban Modern Small Scale Irrigation Projects and Female Headed Households' Livelihood Capitals in Kobo Town, Ethiopia,</u>" World Journal of Agricultural Sciences, 13(6), 2017', or 'Tadesse et al, "<u>Effects of participatory forest management on livelihood assets in Gebradima forest, southwest Ethiopia</u>,", Forests, Trees and Livelihoods, 26(4), 2017'.
³⁵ DFID, "Sustainable Livelihoods Guidance Sheets," April 1999.

will primarily be used to capture the perspectives of particular groups, namely women from female-headed households, and people with special needs. These groups are typically more vulnerable, so it is important to understand what additional barriers they may face in accessing assets and services. For each location and group, one IDI will be conducted with a representative for female-headed households and one with a representative for people with special needs. For more information on the specific tools, see section 3.4 below.

The assessment of livelihood strategies will cover the type, diversity, and motivation of households. The type and diversity of livelihood strategies, in other words the various means by which households obtain food and money, will be investigated through the household surveys. The motivation behind livelihood strategies will be researched through the FGDs and IDIs. The motivation is important to understand, as it indicates whether the dominant livelihood strategies align with what households intend to do in the long-term, or if there are other forms of livelihoods that are better suited to the interest and skill levels of the population. The interests and skill levels can be important to take into account for long-term sustainable livelihood programming. The findings on the motivations and interests of households will also be analyzed alongside the findings of the participatory methods related to livelihoods barriers.

Finally, livelihood outcomes will be assessed through the household surveys. Income leves, food consumption, and coping strategies will be used as proxies for livelihood outcomes. During the analysis, the relationship between the assets, strategies, and outcomes will be tested and compared across groups and location types.

In sum, the second component of this assessment will be researched through secondary sources, households surveys, FGDs, IDIs, and participatory methods. All elements will be analyzed alongside each other to create an overall picture of livelihoods and the key barriers per location and group. The livelihoods and barriers can then be compared across locations and groups to understand the differences between refugees and host communities, as well as the differences between households in urban and rural or settlement locations.

Component 3: Livelihoods programmes

The final component of this assessment will be a mapping of livelihoods programmes and approaches in Uganda. The mapping will done independently from the first two components of the research. The following steps will be taken to complete the mapping:

- 1. SDR related to programmes in Uganda
- 2. Creation of preliminary classification of livelihoods programmes
- 3. Discussion of preliminary classification and programmes with the co-chairs of the LRSWG
- 4. Amendments to the classification as necessary
- 5. Creation of expert survey based on classification system
- 6. Circulation of survey to LRSWG members and other relevant stakeholders to understand distribution of actors across classified approaches
- 7. Small number (2-4) follow-up interviews with survey respondents to get more in-depth information on the programmes.
- 8. In collaboration with U-Learn, potentially include 1-2 case study of the main livelihoods programmes in Uganda.

The findings from the programmes mapping exercise will be analysed alongside the findings from component two to understand how the approaches match with identified barriers to sustainable livelihoods. While the findings will not constitute any direct form of impact analysis, they will speak to the valididity of some of the assumptions on which the programmes may have been based.

3.2 Population of interest

The population of interest differs slightly between the components:

- Component 1: Refugees in urban centers and refugees in settlements
- Component 2: Refugees in urban centers; refugees in settlements; host communities in urban centers; and host communities around settlements.
- Component 3: Actors involved in livelihoods programming for refugees and host communities in and around the settlements and urban centres.

For the exact definitions of the listed groups, see above under section 3.1. For component one and two, the unit of measurement is the household. The analysis for component one will also be at household level. The analysis of component two will be at location & group level (e.g., refugees in an a specific urban centre). In terms of geographic coverage, the following locations will be covered for the primary data collection under component 1 and 2:

Region	District	Туре	Location				
Central	Kampala	City	Kampala				
South-West	Isingiro	Settlement	Nakivale				
South-West	Mbarara	City	Mbarara				
West Nile	Arua	City	Arua				
West Nile	Gulu	City	Gulu				
West Nile	Kitgum	City	Kitgum				
West Nile	Lamwo	Settlement	Palabek				
West Nile	Madi Okollo	Settlement	Rhino Camp				
West Nile	Yumbe	Settlement	Bidibidi				

The selection process for the locations began with a review of secondary sources related to urban refugees, in order to understand where urban refugees are primarily located. Self-settled refugees are not tracked or enumerated if they settle outside of the settlements or Kampala.³⁶ As a result, there is no data available on refugee population concentrations in secondary cities, except for two locations where previous studies have generated population estimations.³⁷ Scoping interviews were held with actors active in secondary cities to get a better understanding of where urban refugees are, and what kind of vulnerabilities they are facing. Urban centres were selected based on stakeholder interests and existing information availability. The settlements were subsequently selected for their proximity to selected urban centres. Proximity to the urban centres was selected as a key criteria to aid the investigation of movement patterns between settlements and urban centres. The exception is Bidibidi, which was selected because it was requested by stakeholders, it is the largest settlement in Uganda, and because it is assumed to feed into the urban refugee population in Gulu, which is not located near any particular settlement. For Kampala, no settlement is located in close proximity.

For component three, the unit of measurement will be the implementing actor, with analysis done at response level. The analysis will focus specifically on the 12 refugee-hosting districts in Uganda, and the districts that host any of the cities that were included in the scope and are outside of the official 12 refugee-hosting districts. In practice, this means the following 16 districts will be the focus of the secondary research, primary data collection, and analysis:

Table 2: Districts targeted for component 3

Region	District
Central	Kampala
South-West	Isingiro

³⁶ Lozet & Easton-Calabria, "Counting Urban Refugees During COVID-19,", 2020.

³⁷ For Arua, the Uganda Bureau of Statistics (UBOS), in cooperation with Cities Alliance and AVSI, estimated that 10% of the population in the central division were refugees: The report was produced in October 2021, but has not been widely circulated.

South-West	Kamwenge
South-West	Kikuube
South-West	Kiryandongo
South-West	Kyegegwa
South-West	Mbarara
West Nile	Adjumani
West Nile	Arua
West Nile	Gulu
West Nile	Kitgum
West Nile	Koboko
West Nile	Lamwo
West Nile	Madi Okollo
West Nile	Obongi
West Nile	Yumbe

3.3 Secondary data review

The secondary sources that will be consulted for this assessment can be grouped in five categories:

- 1. Sources that inform on the general livelihoods context in Uganda, with a focus on sources that inform on the vulnerability context and transforming processes and structures (as per the planned methodology under component 2). Examples of key sources:
 - a. The Ministry of Gender, Labour, and Social Development (GLSD), "Jobs and livelihoods integrated response plan for refugees and host communities in Uganda," April 2021.
 - b. FAO, "Refugee-host proximity and market creation in Uganda," February 2021.
 - c. UNHCR, "Using socioeconomic data to promote employment solutions for refugees in Uganda," July 2021.
 - d. World Bank, "<u>Monitoring social and economic impacts of COVID-19 on refugees in Uganda: Results</u> from the high-frequency phone survey," February 2021.
- 2. Sources that inform on the situation of self-settled urban refugees in Uganda. These sources are more scarce, and often speak only to refugees in Kampala. Nonetheless, they will be used to frame the research around urban refugees and their movement patterns. Review will additionally focus on sources that inform on the vulnerability context and transforming processes and structures, to complement the sources listed above. Examples of key sources:
 - a. Refugee Studies Center (RSC), "<u>Refugee economies in Uganda: what difference does the self-reliance</u> <u>model make?</u>," January 2019.
 - b. Humanitarian Policy Group, "<u>The Comprehensive Refugee Response Framework (CRRF): Progress in</u> <u>Uganda</u>," September 2019.
 - c. Tulibaleka et al, "Protracted refugees: Understanding the challenges of refugees in protracted refugee situations in Uganda," March 2022.
- 3. Sources that provide technical guidance on the operationalization of the SLF and the use of participatory methods. Examples of key sources:
 - a. DFID, "Sustainable Livelihoods Guidance Sheets," April 1999.
 - b. Overseas Development Institute (ODI), Secure Livelihoods Research Consortium, "<u>How to study</u> <u>livelihoods: Bringing a Sustainable Livelihoods Framework to Life</u>," September 2014.
 - c. UNDP, "<u>Guidance Note: Application of the Sustainable Livelihoods Framework in Development Projects</u>," 2017.
- 4. Sources that will be used to inform tool design and triangulate findings. Specific data sources:
 - a. The questionnaire and data collected for the <u>Resilience Index Measurement and Analysis (RIMA)</u> led by the FAO.

- b. The questionnaire and data collection for the <u>Food Security and Nutrition Assessment (FSNA)</u> led by the World Food Programme (WFP) and UNHCR.
- 5. Sources that describe the livelihoods programmes being implemented in Uganda for refugees in host communities, in line with the methodology for component 3. Examples of key sources:
 - a. World Vision, "<u>Navigating the Nexus: A brighter future for refugee and host community children in West</u> <u>Nile, Uganda</u>," July 2020.
 - b. Catholic Relief Services (CRS), "Livelihoods programming in emergency reponse and recovery contexts," 2018.
 - c. Innovations for Poverty Action (IPA), "<u>The impact of a graduation program on livelihoods in refugee and host communities in Uganda</u>," 2020.

All sources will be organized in four separate SDR matrices to assist in the analysis process. A matrix will be created for each of the above points, with the exception of point four. The sources under point four are in the form of questionnaires and microdata, rather than secondary reports.

3.4 Primary Data Collection

Primary data collection will serve to research all three components of the assessment. For components 1 and 2, some of the tools are in common. For example, the same household survey will contribute to research questions under both component 1 and component 2. Table 1 lists all planned forms of data collection and the research components they intend to inform.

Component	Sub-component/topic	Tools			
Component 1	Push and pull factors; movement patterns; challenges in urban centres, remittances	Tool #1: Household survey			
	Push and pull factors; movement patterns	Tool #2: FGDs			
Component 2	Livelihood assets; livelihood strategies; livelihood outcomes	Tool #1: Household survey			
	Livelihood strategies; livelihood barriers	Tool #2: FGDs			
	Livelihood assets; livelihood strategies; livelihood barriers	Tool #3: IDIs			
	Livelihood assets; livelihood barriers	Tool #4: Participatory workshops			
Component 3	Livelihoods programmes	Tool #5: Expert surveys			
	Livelihoods programmes	Tool #6: KIIs			

Table 3: Primary data collection methods per research component

The methods, associated sampling, tools, and triangulation strategies for each data collection method will be discussed below. In each location, the FGDs will be done first, followed by the participatory workshops and finally the household surveys. Data collection for the expert surveys and KIIs will be remote and take place throughout the data collection period.

Method

Tool #1: Household survey, relevant for components 1&2

The household surveys will be collected in all 9 locations with refugees and host communities between 13/9 – 3/11. A total of 2622 surveys will be conducted, based a 95% confidence level, 10% margin of error, and 50% buffer. Sampling targets are set separately for refugees and host communities in each location. Data collection will be done by enumerators hired in the field from the IMPACT enumerator database. The field team, trained prior to departure to the field by the assessment team, will train the enumerators on location ahead of data collection. Data will be collected using KoBo. Enumerators will be provided with phones and tablets to do the data collection. The refugee and host community households will be randomly selected for data collection, through random geospatial sampling. For more information, see the sampling section below.

Tool #2: FGD, relevant for components 1&2

The FGDs will be conducted with community leaders. The rationale for including only community leaders is to the relative complexity of the research questions that the FGDs are meant to answer. The two main topics of the FGDs are population estimtes for urban refugees and the dominant livelihood strategies deployed by a group. Community leaders are individuals that have more than average expertise on their community. They are typically well-connected individuals. Mobilization of community leaders will focus on Local Councils (LCs) for the host communities, Refugee Welfare Councils (RWCs) for refugees in settlements, and Refugee-led Organizations (RLOs) for refugees in urban centres. Throught these initial agencies and organizations, additional actors with relevant expertise may be identified and including the FGDs. The FGDs will be facilitated by members of the field team. One field team member will be present to lead on facilitation, while another member will attend to take notes. Additionally, a translator will be hired in the field for the refugee groups in the urban centres, as needed. In each location and for each group, two FGDs will be held, one with female participants and one with male participants. A total of 36 FGDs will be conducted.

Tool #3: IDI, relevant for component 2

The IDIs will be conducted with representatives from specific communities. They may be community leaders or community members, as long as they meet the criteria for that group. Two groups will be looked at for this method: female heads of household and persons with special needs. The primary purpose will to understand if there are specific challenges faced by these groups beyond those identified during the household surveys, FGDs, and participatory workshops. The interviews will focus on the experiences of the individual, with some questions expanding towards their wider community. For each group in each location, one IDI will be conducted with a female head of household and with one person with special needs. In total, this adds up to 36 IDIs. The IDIs will be conducted by two field officers, one to lead the interview and one to take notes.

Tool #4: Participatory workshop, relevant for component 2

The participatory workshops will span one entire day for each group in each location. Approximately 20 participants will be invited for each workshop. The participants will all be community members, with no requirements or screening related to specific knowledge. The only consideration will be that community members should have arrived more than six months ago, as the assessment is focussed on self-reliance rather than immediate needs of new arrivals. Participants in the FGDs held earlier will be asked to support in the mobilization of community members for participation. The FGD participants may attend the workshop themselves as well, though this should be avoided where possible as a domination of the discussion by relative experts should be avoided. The workshop will be facilitated by the field team. In each location, two field officers will be present to facilitate, both of whom will have a translator to assist in the facilitation during the workshops with refugees. Notes will be taken periodically throughout the workshop, but the primary outputs of the workshops will be the physical maps and diagrams produced during the exercises. During the workshop, two smaller groups will be formed to complete the participants. Each of the two facilitators present will have a group each to monitor during the breakout exercises. The facilitators will be IMPACT field staff, and the groups with female participants will have a female facilitator, and those with male participants will have a male facilitator. For the workshops with refugees, the facilitators will also have a translator each who will help them with the facilitation.

The schedule for each workshop will be as follows:

- 1. Welcome and discussion of agenda and ground rules
- 2. Brief introduction to the concepts used during the day (assets; livelihoods; community)
- 3. First breakout exercise: Social mapping (only for refugee groups)
- 4. Quick presentation of maps by each group
- 5. Cofee/tea break
- 6. Second breakout exercise: Resource mapping
- 7. Quick presentation of calendars by each group

- 8. Lunch break
- 9. Third breakout exercise: Seasonal calendar
- 10. Quick presentation of calendars by each group
- 11. Cofee/tea break
- 12. Fourth breakout exercise group: Forcefield analysis
- 13. Quick presentation of forcefield diagrams
- 14. Summary & closure of workshop

As one workshop will be held per group in each location, a total of 18 workshops will be held. The maps and diagrams produced will be kept by the field team and taken back to Kampala. Photos will be taken as well in case any of the materials get lost.

Tools #5&6: Expert survey and KII, relevant for component 3

For the third research component, the expert surveys will be circulated through the LRSWG mailing list. Ideally, all actors involved in the livelihoods programming will fill out the online survey. Directed follow-ups will be done with relevant actors in case of a lack of response. The survey will be coded with Kobo and responses will be recorded in the desktop version of Kobo. The assessment team will be responsible for ensuring the survey is circulated and that follow-ups are done when needed. The KIIs will be done by an assessment team member. Between two and five KIIs will be done, with actors that reporting deploying various different livelihoods programme approaches, as per the expert survey. The KIIs will be very loosely structured, with the exact questions based on the identified programmatic approaches. The objective of the KIIs is to provide additional information on the rationale and specifics of implemented or planned livelihoods programmes.

Sampling

Tool #1: Household survey, relevant for components 1&2

The sampling for the household surveys will be done using randomly generated geospatial points. Sampling targets are based on a 95% confidence level and 10% margin of error, with a generous buffer of 50%. The large buffer was chosen to account for any potential enumerator issues and potential deletion of any question modules. Potential enumerator issues will ideally be addressed early on during data collection. However, field teams will be moving quickly from location to location and it will be important to avoid additional data collection days. As most of the analysis will be done at location and group level, the sample size for all locations and groups needs to be large enough after the cleaning process to do all indicator analysis with a margin of error that does not go beyond 10%. With these parameters, the sample size was calculated using the following steps:

- 1. Selection of the relevant divisions and sub-counties for each location and group
 - a. For the secondary cities, sampling will take place in all divisions
 - b. In Kampala, sampling will take place in the three divisions where the large majority of refugees in the city are located.³⁸
 - c. For refugees in the settlements, sampling will take place in the entire settlement
 - d. For host communities around the settlements, the sub-counties that border or overlap with the settlements are selected.
- 2. Creation of sampling frame for the selected settlements, divisions, and sub-counties using data from UNHCR (for refugees)³⁹ and the Uganda Bureau of Statistics (UBOS) (for host communities)⁴⁰

³⁸ As per UNHCR's Kampala Refugee Statistics, March 2022.

³⁹ For refugees in Kampala, the source in the footnote above was used. For refugee population figures in the settlements: <u>UNHCR's</u> <u>Refugee Statistics, June 2022</u>

⁴⁰ For the host community, national population projections produced by UBOS were used. See here for more information.

- a. For refugees in secondary cities, no population data is available. For the further steps, a infinite population size is assumed, with the refugees distributed equally among the divisions.⁴¹
- 3. Calculation of sample size for each group in each location using the listed parameters.
- 4. Redistribution of sampling targets to the selected divisions and sub-counties. If the redistribution led to fractions (e.g., 30.4 surveys to be collected in a sub-county), the sampling target was rounded up.
- 5. Summation of rounded up redistributed targets to create the final sampling targets per location and group.

A full table with sampling calculations can be found in Annex 2. A summary of the final targets per group and location can be found below.

Region	District	Туре	Location	Groups targeted	Final sampling targets
Central	Kampala	City	Kampala	Refugees	146
				Host communities	145
South-West	Isingiro	Settlement	Nakivale	Refugees	144
	-			Host communities	147
South-West	Mbarara	City	Mbarara	Refugees	150
				Host communities	147
West Nile	Arua	City	Arua	Refugees	146
				Host communities	145
West Nile	Gulu	City	Gulu	Refugees	148
				Host communities	146
West Nile	Kitgum	City	Kitgum	Refugees	147
				Host communities	145
West Nile	Lamwo	Settlement	Palabek	Refugees	143
				Host communities	144
West Nile	Madi Okollo	Settlement	Rhino Camp	Refugees	144
				Host communities	145
West Nile	Yumbe	Settlement	Bidibidi	Refugees	144
				Host communities	146

Table 4: Summary of sampling targets

Practically, sampling will be done through randomly generated global positioning system (GPS) points. For the settlements and host communities around the settlements, the generation of sampling points will be relatively straightforward, as the location of the relevant groups is well-known. In the urban centres, the boundaries between refugees and host communities are likely to be less clearly delineated. Nonetheless, refugees are expected to be concentrated to some extent in certain neighborhoods.⁴² Prior to starting data collection, the assessment team will reach out to relevant actors and local governments in the urban centres to obtain infromation on the neighborhoods where urban refugees are concentrated. The generation of sampling points for urban refugees will be concentrated in those neighborhoods. Findings will consequently only be representative at the level of those neighborhoods. As mentioned earlier, the quantitative data collection will take place after the FGDs and participatory workshops have been completed. Both of these qualitative exercises may uncover more regarding the population size and location of urban refugees. The sampling frame and GPS points can be updated following those exercises if the findings diverge significantly from the assumptions on which the generation of points was based. In the case that the FGDs, participatory workshops, or earlier outreach do not indicate any geographical concentration of urban refugees, the sampling strategy will have to be adjusted to purposive snowballing. If this strategy is used instead, the findings for this group will not be representative.

⁴¹ Both of these assumptions will be adjusted if and when new information is obtained regarding the location and number of refugees. See the paragraph below the sampling table for more information.

⁴² This was found to be the case in Arua during the REACH assessment that was conducted there in 2018. See <u>here</u> for more information on that assessment and the relevant neighborhoods.

The points will be generated prior to data collection by the GIS officer. As mentioned above, the points generated for urban refugees may be replaced after the qualitative data collection. Additional points can be generated during data collection if needed. The points will be shared with the field officers, who will in turn share them with the relevant enumerators. The enumerators will travel to the GPS locations, and approach and survey a household within a 150 meter radius of that point. If the household identified within the radius has a different status (refugee or host community) than expected, the enumerator should still conduct the survey. If there are multiple households at this point, the enumerator can select any respondent at random within the radius. If no consenting household can be found within the radius, the enumerator will travel to the next point. If the enumerator runs out of assigned points and buffer points, he or she will reach out to the field team to obtain additional points. The GPS points of surveyed households will be captured in Kobo.

Tools #2,3,4: FGD, IDI, Participatory workshop, relevant for components 1&2

Sampling for all other data collection tools will be purposive. For the FGDs, members of LCs, RWCs, and RLOs will be asked to participate and identify additional participants. The participants of the FGDs will be asked to invite and recruit participants for the participatory workshops as well. For both the FGDs and workshops, the participants should be evenly split between men and women. The FGDs will be separate for men and women. For the workshops, male and female participants will attend the same workshop, but the breakout groups will not be mixed. For the IDIs, recruitment for respondents from the specified groups will be done through existing networks and with the help of the LCs, RWCs, and RLOs where necessary. Table 5 below contains a summary of the planned FGDs, IDIs, and workshops.

Location	Groups targeted	Tool #2: FGD # of FGDs with female participants	Tool #2: FGD # of FGDs with male participants	Tool #3: IDI # of IDIs with female heads of household	Tool #3: IDI # of IDIs with persons with special needs	Tool #4: Participatory workshop # of participatory workshops
Arua	Refugees	1	1	1	1	1
	Host communities	1	1	1	1	1
Rhino	Refugees	1	1	1	1	1
Camp	Host communities	1	1	1	1	1
Bidibidi	Refugees	1	1	1	1	1
	Host communities	1	1	1	1	1
Gulu	Refugees	1	1	1	1	1
	Host communities	1	1	1	1	1
Palabek	Refugees	1	1	1	1	1
	Host communities	1	1	1	1	1
Kampala	Refugees	1	1	1	1	1
	Host communities	1	1	1	1	1
Mbarara	Refugees	1	1	1	1	1
	Host communities	1	1	1	1	1
Nakivale	Refugees	1	1	1	1	1
	Host communities	1	1	1	1	1
Kitgum	Refugees	1	1	1	1	1
	Host communities	1	1	1	1	1
Total with	refugees	9	9	9	9	9
Total with I members	host community	9	9	9	9	9
Total		18	18	18	18	18

Table 5: FGDs, IDIs, and participatory workshops

Tools #5&6: Expert survey and KII, relevant for component 3

For the expert survey, data collection is dependent on self-selected sampling. The survey link will be circulated to the LRSWG mailing list and any other actors identified during the first stages of SDR. The link will be accompanied with a request to forward the survey to any other livelihoods actors that they are aware of. The follow-up KIIs will be selected based on initial analysis of the received data. Depending on how many 'categories' of livelihoods approaches are identified, one or two KIIs will take place with actors that are classified within each category.

Tools

Tools #1,2,3: Household survey, FGD, IDI, relevant for components 1&2

The tools will developed alongside relevant and interested stakeholders. For the household survey tool, the LRSWG members and actors active with urban refugees will be consulted. The initial design will take into consideration the FSNA and RIMA questionnaires to facilitate triangulation with the associated datasets during the analysis phase. The indicators will be selected based largely on various guidance documents related to operationalizing the SLF and measuring assets. The household tool may be updated based on the FGDs or participatory workshops, in the scenario that certain dimensions are highlighted there that have not yet been included in the household survey tool. The FGD tool will also be reviewed and validated by external actors, especially those working with urban refugees, as the FGD will be a key starting point for understanding urban refugee population size, location, and movement. The IDI tool will also be reviewed by external actors, especially those with expertise related to gender and/or persons with special needs.

Tool #4: Participatory workshop, relevant for component 2

The participatory workshops will be used to deploy four different tools. These tools are as follows:

- <u>Social mapping:</u> Mapping tools are commonly used to understand how groups, assets, and services are spread out across certain locations. Social mapping is used to visualize the relative position of different population groups in a neighborhood, region, or city.⁴³ For this assessment, it is especially relevant for understanding the distribution of different refugee groups and nationalities in urban centres and settlements. Social mapping will therefore only by used with refugee groups. In practice, the breakout groups will be given large maps of their city, settlement, or district (depending on location type and group) alongside pens to indicate population groups and colored sticky notes to add any additional information.
- 2. <u>Resource mapping:</u> Resource mapping serves to visualize the distribution and concentration of natural resources, services, and social institutions.⁴⁴ Social and resource mapping will be combined for this assessment to understand where populations are, and how their positions relate to what participants consider to be important assets. After the social mapping is done, the groups will use the same map to indicate where different the most important services and assets are located. As a first step, the groups will create a list of 5-10 services or assets that they think are most important for the community. After, the group will use sticky dots to indicate where they are located on the map.
- 3. <u>Seasonal calenders</u>: Seasonal calendars can be used to diagram various different phenomena that may change over the year. These seasonal trends include potentially obvious trends like climatic changes over the year, but can also be used to better understand variations in access to services, income, and even migration trends.⁴⁵ By mapping these trends alongside each other, it also highlights how they may relate to each other.⁴⁶ Participants will be given a sheet that shows the last twelve months, and they will be asked to add sticky notes to the calendar to indicate the most important changes, shocks, and trends they experienced in the last year.

⁴³ World Bank, "<u>Tool Name: Social Mapping</u>," 2001.

⁴⁴ Healthy City, "<u>Participatory Asset Mapping</u>," April 2012.

⁴⁵ GSDRC, "Tools for participatory analysis of poverty, social exclusion and vulnerability," June 2013.

⁴⁶ Ibid.

4. <u>Forcefield analysis</u>: Forcefield analysis is a diagramming tool that gathers the participants' inputs on the hindering and helping factors of a particular situation or objective.⁴⁷ For our purposes, sustainable livelihoods are at the center and participants will be invited to add notes on what they perceive to be the biggest helping and hindering factors. In the initial phase, the groups will be asked to add as many as they can think of. Then towards the end, the participants will be asked to agree on the three most important helping, and the three most important hindering factors.

The participatory tools are very loosely structured, but will come with specific instructions and prompts for the facilitators to use. To understand how to best facilitate the exercises, the tools will be testing internally with the field team. Additionally, the tools will be piloted in Kampala. In Kampala, testing will be done with host community members.

Tools #5&6: Expert survey and KII, relevant for component 3

Finally, the expert survey and KII tools will be designed based on the initial SDR. The SDR will lead to the initial classification of livelhoods programmes being implementing in Uganda. This classification as well as the expert survey tool will be discussed with the LRSWG leads. Additionally, the expert survey tool and the later KII tool will be developed in close coordination with the U-Learn Learning Hub. The Learning Hub has a particular interest and expertise in this kind of mapping exercise, so they will be consulted and included in the design process.

Triangulation strategy

Tool #1: Household survey, relevant for components 1&2

The triangulation strategy for quantitative data is extensive. Enumerators will be trained by the field team prior to data collection. Two days of training will take place, so that the tools as well as the assessment background can be covered in depth. From the start of data collection, all submitted data will be closely monitored. Every night, a data monitoring script will run on the data, checking for the following:

- Performance against sampling targets
- Verification of GPS points
- Number of surveys per enumerator
- Time lapsed per survey
- Time lapsed between surveys
- Logical errors or inconsistencies

A tracker as well as a cleaning log will be produced and shared with the assessment and field teams every morning. The cleaning log will also illustrate the surveys that will or may be deleted, for example as a result of incorrect GPS points or short duration. A summary of the issues and performance against targets will be created by the assessment team and shared with the field officers. These summaries will be used by the field team to brief the enumerators before data collection every morning. The most common logical errors will be discussed in those briefings. Additionally, the data monitoring will flag any enumerators that are not collecting according to schedule, submitted surveys that are suspiciously short, or making a large amount of logical errors. The field team will follow-up with these enumerators in particular, to make sure these issues are resolved for the continuation of data collection.

The tracking of sampling targets will be especially important in urban centres where refugee targets could be especially hard to reach, considering the lack of information on population size and location. The data collection tracker will inform whether additional GPS points need to be generated, or if the sampling strategy needs to be updated to make sure enough urban refugees are reached.

⁴⁷ Voluntary Services Overseas (VSO), "Participatory Approaches: A facilitator's guide," 2004.

Tools #2,3,4: FGD, IDI, Participatory workshop, relevant for components 1&2

For the FGDs, IDIs, and participatory workshops, the field team will doing the data collection. Not only will the field team be trained on these tools, they will be involved in the development and testing process. This should ensure the field team is very familiar with the tools and the methods for ensuring the data relates back to the research questions. The field team will fill out debrief forms for the FGDs, IDIs, and the participatory workshops, which will be reviewed by the assessment team.

3.5 Data Processing & Analysis

As per the triangulation section above, data quality will be closely monitoring during data collection. The scripts used for quantitative data collection will be used after data collection to do the data cleaning. Data cleaning will focus on correcting logical errors where necessary, deleting surveys that are too short or submitted by enumerators who for whatever reason are not trusted, and dealing with 'other' responses in the survey. The cleaning log will serve to track any changes that need to be made. The cleaning log will then be used to update the raw data and produce the clean dataset. Analysis of the quantitative data will also be done in R, in line with the analysis and indexing strategy highlighted in the methodology section.

The FGDs and IDIs will be analysed in MAXQDA. The transcripts will be uploaded in the software and coded on common themes. The coding system will be exported as a data saturation grid to highlight the key themes, areas of consensus, and areas of disagreement.

The participatory workshops will produce four different visual outputs per breakout group. In total, that means 16 outputs between maps, calendars, diagrams and matrixes per workshop. The information on the outputs will firstly need to be translated by the on-sight translator. Translations will also need to be checked by another translator at a later stage. After translation and validation, the outputs will be digitized by the assessment team. The digitization will be done using a graphic design software, such as Lucid. The digitized outputs, in additional to the supplementary notes of the field staff, will be analysed and summarised as the last step. Approximately one paragraph will be produced per exercise (for all breakout groups) per workshop. The paragraphs will follow the same structure, to aid comparison between locations and groups.

The final profiles per locations and groups will be based on the summaries of the secondary sources, the summaries from the qualitative data, and the asset pentagons based on the quantitative data.

For the third component, the expert survey response will be monitored throughout, with a saturation grid that will be updated with every response. The saturation grid will be based on the programming categories created prior to the circulation of the survey. Data collection for the expert survey will run until sufficient saturation has been reached. The KIIs will serve to fill any information gaps that remain. The KII transcripts will be coded when all have been collected to supplement the expert survey saturation grid.

4. Key ethical considerations and related risks

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

The proposed research design	Yes/ No	Details if no (including mitigation)
Has been coordinated with relevant stakeholders to avoid unnecessary duplication of data collection efforts?	Yes	
Respects respondents, their rights and dignity (specifically by: seeking informed consent, designing length of survey/ discussion while being considerate of participants' time, ensuring accurate reporting of information provided)?	Yes	

Does not expose data collectors to any risks as a direct result of participation in data collection?	Yes	
Does not expose respondents / their communities to any	Yes	
risks as a direct result of participation in data collection?		
Does not involve collecting information on specific topics which may be stressful and/ or re-traumatising for research participants (both respondents and data collectors)?	Yes	
Does not involve data collection with minors i.e. anyone less than 18 years old?	Yes	
Does not involve data collection with other vulnerable groups e.g. persons with disabilities, victims/ survivors of protection incidents, etc.?	Yes	
Follows IMPACT SOPs for management of personally identifiable information?	Yes	

5. Roles and responsibilities

Table 3: Description of roles and responsibilities

Task Description	Responsible	Accountable	Consulted	Informed
Research design	Senior Assessment Officer	Senior Assessment Officer	Country Coordinator, U- Learn Consortium Management Unit (CMU), IMPACT HQ FSL Specialist, IMPACT HQ Cash & Markets Specialist, IMPACT HQ Research Design and Data Unit (RDDU)	LRSWG, ATWG, other relevant stakeholders (urban actors)
Supervising data collection	Field Manager	Senior Assessment Officer	Country Coordinator, IMPACT HQ RDDU	LRSWG, ATWG, other relevant stakeholders (urban actors)
Data processing (checking, cleaning)	Data Unit	Senior Assessment Officer	Field manager, Country Coordinator, IMPACT HQ RDDU	LRSWG, ATWG, other relevant stakeholders (urban actors)
Data analysis	Data Unit	Senior Assessment Officer	Country Coordinator, U- Learn CMU, IMPACT HQ FSL Specialist, IMPACT HQ Cash & Markets Specialist, IMPACT HQ Research	LRSWG, ATWG, other relevant stakeholders (urban actors)

Urban Refugees and Sustainable Livelihoods in Uganda, July 2022

			Design and Data Unit (RDDU)	
Output production	Senior Assessment Officer	Senior Assessment Officer	Country Coordinator, U- Learn CMU, IMPACT HQ Research Reporting Unit	LRSWG, ATWG, other relevant stakeholders (urban actors)
Dissemination	Senior Assessment Officer	Senior Assessment Officer	Country Coordinator, U- Learn CMU	LRSWG, ATWG, other relevant stakeholders (urban actors)
Monitoring & Evaluation	Senior Assessment Officer	Senior Assessment Officer	Country Coordinator, IMPACT HQ Research Department	LRSWG, ATWG, other relevant stakeholders (urban actors)
Lessons learned	Senior Assessment Officer	Senior Assessment Officer	Country Coordinator, IMPACT HQ Research Department	LRSWG, ATWG, other relevant stakeholders (urban actors)

Responsible: the person(s) who executes the task

Accountable: the person who validates the completion of the task and is accountable of the final output or milestone Consulted: the person(s) who must be consulted when the task is implemented Informed: the person(s) who need to be informed when the task is completed

6. Data Analysis Plan

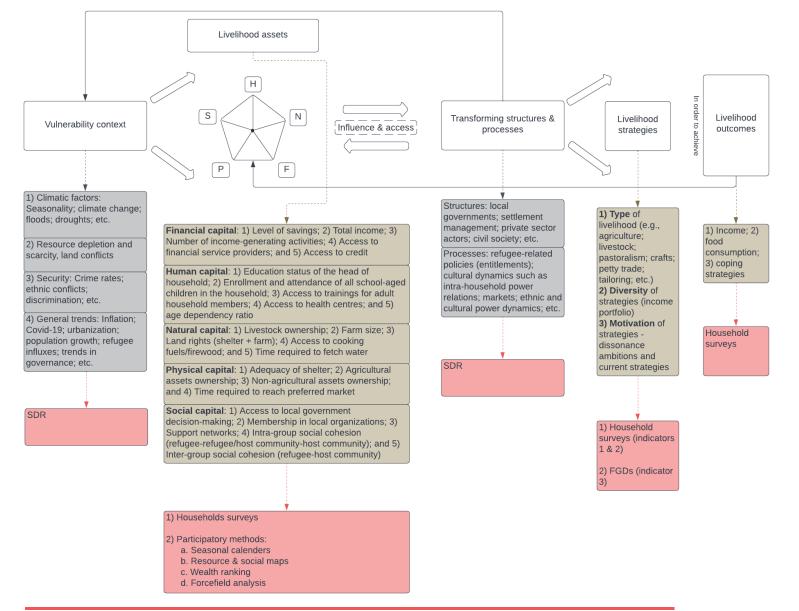
All of the tools for the planned assessment, except for the expert KII tools, can be found here.

7. Monitoring & Evaluation Plan

IMPACT Objective	External M&E Indicator	Internal M&E Indicator	Focal point	Tool	Will indicator be tracked?
		# of downloads of x product from Resource Centre	Country request to HQ		X Yes
	Number of humanitarian	# of downloads of x product from Relief Web	Country request to HQ		X Yes
Humanitarian stakeholders are	organisations accessing IMPACT services/products	# of downloads of x product from Country level platforms	Country team		□ Yes
accessing IMPACT products	Number of individuals accessing IMPACT	# of page clicks on x product from REACH global newsletter	Country request to HQ	User_log	□ Yes
	services/products	# 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		□ Yes
IMPACT activities contribute to better		# references in HPC documents (HNO, SRP, Flash appeals, Cluster/sector strategies)			LRSWG strategy
program implementation and coordination of the humanitarian response	Number of humanitarian organisations utilizing IMPACT services/products	# references in single agency documents	Country team	Reference_I og	Cities Alliance advocacy documents
Humanitarian stakeholders are	Humanitarian actors use IMPACT evidence/products as a	Perceived relevance of IMPACT country-programs Perceived usefulness and influence of IMPACT outputs	Country	Usage_Feed back and	U-Learn, the key partner for this exercise, deploys satisfaction surveys that will be used to also
using IMPACT products	basis for decision making, aid planning and delivery	Recommendations to strengthen IMPACT programs Perceived capacity of IMPACT staff Perceived quality of outputs/programs	team	Usage_Surv ey template	inform the perceived relevance of the exercises that IMPACT is also involved with.

	Number of humanitarian documents (HNO, HRP, cluster/agency strategic plans, etc.) directly informed by IMPACT products	Recommendations to strengthen IMPACT programs			
Humanitarian stakeholders are engaged in IMPACT programs throughout the research cycle	Number and/or percentage of humanitarian organizations directly	# of organisations providing resources (i.e.staff, vehicles, meeting space, budget, etc.) for activity implementation			X Yes
	contributing to IMPACT programs (providing resources, participating to presentations, etc.)	# of organisations/clusters inputting in research design and joint analysis	Country team	Engagement _log	X Yes
		# of organisations/clusters attending briefings on findings;			X Yes

ANNEX 1: THE OPERATIONALIZATION OF THE SLF



SLF components Dimensions relevant to Uganda Indicators Source of information/method of verification

ANNEX 2: HOUSEHOLD SURVEY SAMPLING CALCULATIONS

Ste	Step 1: Selection of sub-counties and city divisions			Step 2: Creation sampling frame			Step 3: Calculation initial sample sizes				Step 4: Rec	listribution	Step 5: Final total targets			
Region	District	Туре	Location	Sub-county/ City division/ Settlement	Host population (hh)	Host community population - total for location	Refugee population (hh)	Refugee population - total for location	Host sample - total for location	Refugee sample - total for location	Host sample with buffer - total for location	Refugee sample with buffer - total for location	Host target - redistributed	Refugee target - redistributed	Host final target - total for location	Refugee final target - total for location
West Nile	Arua	City	Arua	River Oli Division	10680	15240	[unknown]	[unknown]	96	97	144	146	101	73	145	146
West Nile	Arua	City	Arua	Arua Hill Division	4560	15240	[unknown]	[unknown]	96	97	144	146	44	73	145	146
West Nile	Yumbe	Settlement	Bidibidi	Ariwa	7300	77160	N/A	N/A	96	96	144	144	14	N/A	146	144
West Nile	Yumbe	Settlement	Bidibidi	Drajini	9500	77160	N/A	N/A	96	96	144	144	18	N/A	146	144
West Nile	Yumbe	Settlement	Bidibidi	Kochi	12560	77160	N/A	N/A	96	96	144	144	24	N/A	146	144
West Nile	Yumbe	Settlement	Bidibidi	Kululu	11240	77160	N/A	N/A	96	96	144	144	21	N/A	146	144
West Nile	Yumbe	Settlement	Bidibidi	Lodonga	9900	77160	N/A	N/A	96	96	144	144	19	N/A	146	144
West Nile	Yumbe	Settlement	Bidibidi	Odravu	12820	77160	N/A	N/A	96	96	144	144	24	N/A	146	144
West Nile	Yumbe	Settlement	Bidibidi	Romogi	13840	77160	N/A	N/A	96	96	144	144	26	N/A	146	144
West Nile	Yumbe	Settlement	Bidibidi	Bidibidi settlement	N/A	77160	56999	56999	96	96	144	144	N/A	144	146	144
West Nile	Gulu	City	Gulu	Bar Dege Division	10060	37460	[unknown]	[unknown]	96	97	144	146	39	37	146	148
West Nile	Gulu	City	Gulu	Laroo Division	6820	37460	[unknown]	[unknown]	96	97	144	146	27	37	146	148
West Nile	Gulu	City	Gulu	Layibi Division	9260	37460	[unknown]	[unknown]	96	97	144	146	36	37	146	148
West Nile	Gulu	City	Gulu	Pece Division	11320	37460	[unknown]	[unknown]	96	97	144	146	44	37	146	148
West Nile	Kampala	City	Kampala	Central Division	17360	196420	24447	24447	96	96	144	144	13	70	145	146
West Nile	Kampala	City	Kampala	Lubaga Division	88400	196420	10188	10188	96	96	144	144	65	30	145	146
West Nile	Kampala	City	Kampala	Makindye Division	90660	196420	15822	15822	96	96	144	144	67	46	145	146
West Nile	Kitgum	City	Kitgum	Central Division	2360	10080	[unknown]	[unknown]	96	97	144	146	34	49	145	147
West Nile	Kitgum	City	Kitgum	Pager Division	3500	10080	[unknown]	[unknown]	96	97	144	146	50	49	145	147

West Nile	Kitgum	City	Kitgum	Pandwong	4220	10080	[unknown]	[unknown]	96	97	144	146	61	49	145	147
South- West	Mbarara	City	Mbarara	Biharwe Division	5160	45960	[unknown]	[unknown]	96	97	144	146	17	25	147	150
South- West	Mbarara	City	Mbarara	Kakiika Division	5100	45960	[unknown]	[unknown]	96	97	144	146	16	25	147	150
South- West	Mbarara	City	Mbarara	Kakoba Division	13040	45960	[unknown]	[unknown]	96	97	144	146	41	25	147	150
South- West	Mbarara	City	Mbarara	Kamukuzi Division	8220	45960	[unknown]	[unknown]	96	97	144	146	26	25	147	150
South- West	Mbarara	City	Mbarara	Nyakayojo Division	9000	45960	[unknown]	[unknown]	96	97	144	146	29	25	147	150
South- West	Mbarara	City	Mbarara	Nyamitanga Division	5440	45960	[unknown]	[unknown]	96	97	144	146	18	25	147	150
South- West	Isingiro	Settlement	Nakivale	Nakivale settlement	N/A	46980	36403	36403	96	96	144	144	N/A	144	147	144
South- West	Isingiro	Settlement	Nakivale	lsingiro Town Council	7340	46980	N/A	N/A	96	96	144	144	23	N/A	147	144
South- West	Isingiro	Settlement	Nakivale	Kabingo	5720	46980	N/A	N/A	96	96	144	144	18	N/A	147	144
South- West	Isingiro	Settlement	Nakivale	Kashumba	4260	46980	N/A	N/A	96	96	144	144	14	N/A	147	144
South- West	Isingiro	Settlement	Nakivale	Mbaare	8780	46980	N/A	N/A	96	96	144	144	27	N/A	147	144
South- West	Isingiro	Settlement	Nakivale	Ngarama	8800	46980	N/A	N/A	96	96	144	144	27	N/A	147	144
South- West	Isingiro	Settlement	Nakivale	Rugaaga	8660	46980	N/A	N/A	96	96	144	144	27	N/A	147	144
South- West	Isingiro	Settlement	Nakivale	Rushasha	3420	46980	N/A	N/A	96	96	144	144	11	N/A	147	144
West Nile	Lamwo	Settlement	Palabek	Palabek Gem	3300	8540	N/A	N/A	95	95	143	143	56	N/A	144	143
West Nile	Lamwo	Settlement	Palabek	Palabek Kal	3160	8540	N/A	N/A	95	95	143	143	53	N/A	144	143
West Nile	Lamwo	Settlement	Palabek	Palabek Ogili	2080	8540	N/A	N/A	95	95	143	143	35	N/A	144	143
West Nile	Lamwo	Settlement	Palabek	Palabek settlement	N/A	8540	17426	17426	95	95	143	143	N/A	143	144	143
West Nile	Madi Okollo	Settlement	Rhino	Rhino settlement	N/A	12240	34227	34227	96	96	144	144	N/A	144	145	144
West Nile	Madi Okollo	Settlement	Rhino	Rhino Camp	5860	12240	N/A	N/A	96	96	144	144	69	N/A	145	144
West Nile	Madi Okollo	Settlement	Rhino	Rigbo	6380	12240	N/A	N/A	96	96	144	144	76	N/A	145	144