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| **Research Terms of Reference**  **Secondary Cities Analytics (Wau and Malakal)**  **South Sudan** | |
| **July 2024**  **V4** | IMPACT Initiatives recrute un Responsable de Recherche (Unité Réponse  d'urgence), Bamako, Mali - JobRapide |

# Executive Summary

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| **Country of intervention** | South Sudan | | | | | | | | |
| **Type of Emergency** | ■ | | Natural disaster | | | ■ | Conflict | □ | Other |
| **Type of Crisis** | □ | | Sudden onset | | | ■ | Slow onset | ■ | Protracted |
| **Mandating Body/ Agency** | World Bank | | | | | | | | |
| **IMPACT Project Code** | 32BDS | | | | | | | | |
| **Overall Research Timeframe** | 29/05/2024 to 04/12/2024 | | | | | | | | |
| **Research Timeframe** | 1. Training: 16/08/2024 | | | 5. Draft Report sent for validation: 17/10/2024 (Malakal), 06/11/2024 (Wau) | | | | | |
| 2. Start collect data: 20/08/2024 | | | 7. Outputs Finalized: 29/11/2024 | | | | | |
| 3. Data collected: 7/09/2024 | | | 8. Final presentation: 04/12/2024 | | | | | |
| 4. Data sent for validation: 27/09/2024 | | |  | | | | | |
| **Number of assessments** | ■ | | Single assessment (one cycle) | | | | | | |
| □ | | Multi assessment (more than one cycle) | | | | | | |
| **Humanitarian milestones** | **Milestone** | | | **Deadline (can be tentative)** | | | | | |
| ■ | | Donor plan/strategy | 29/11/2024 | | | | | |
| □ | | Inter-cluster plan/strategy | \_ \_/\_ \_/\_ \_ \_ \_ | | | | | |
| □ | | Cluster plan/strategy | \_ \_/\_ \_/\_ \_ \_ \_ | | | | | |
| □ | | NGO platform plan/strategy | \_ \_/\_ \_/\_ \_ \_ \_ | | | | | |
| ■ | | Other (Specify): Development Actors | 29/11/2024 | | | | | |
| **Audience Type & Dissemination** | **Audience type** | | | **Dissemination** | | | | | |
| ■ Strategic  ■ Programmatic  □ Operational  □ [Other, Specify] | | | ■ General Product Mailing (e.g. mail to NGO consortium; HCT participants; Donors)  □ Cluster Mailing and presentation of findings at next cluster meeting  ■ Presentation of findings (e.g. at HCT meeting)  ■ Website Dissemination (Relief Web & REACH Resource Centre)  □ [Other, Specify] | | | | | |
| **Stakeholder mapping** | □ | | Yes | ■ | No | | | | |
| **General Objective** | To understand the broad dynamics of urbanization in Wau and Malakal, with a particular focus on conflict trends, socio-economic conditions, governance, and climate change impact, in order to create data-informed urban profiles that support donor programming focused on urban development. | | | | | | | | |
| **Specific Objective(s)** | * SO1: To define the city structure of Wau and Malakal. * SO2: To understand key population dynamics of Wau and Malakal, in relation to population numbers, key sources of livelihood, and levels of food security. * SO3: To identify key infrastructure and determine access to basic services in Wau and Malakal, and how these are impacted by urbanisation. * SO4: To identify the dynamics of insecurity and social cohesion in Wau and Malakal. * SO5: To understand how governance actors and structures respond to violence and land disputes. * SO6: To understand to what extent Wau and Malakal are exposed to climate-related hazards. | | | | | | | | |
| **Research Questions** | To note that these questions will be answered using a mixture of sources including primary data, secondary data, and remote sensing. For more information see Section 3.1 ‘Methodology Overview’.   * RQ1: What is the city structure of Wau and Malakal? * Sub-RQ1.1: How are neighbourhoods defined and divided? * Sub-RQ1.2: What is the land cover in urban areas, and how is land being used, including for newly-built settlements? * RQ2: What are the key population dynamics of Wau and Malakal, including population numbers, key sources of livelihood, and levels of food security? * Sub-RQ2.1: What is the total population of Wau and Malakal, and how has this changed over the last 5-10 years? * Sub-RQ2.2: What are the key sources of livelihood, and how do these differ between communities based on displacement status and income? * Sub-RQ2.3: To what extent do different communities rely on aid to address food insecurity? * RQ3: What are the types, locations, and functionality of key infrastructure and services, in Wau and Malakal (and Malakal only: is there equal access to between different communities?) * Sub-RQ3.1: What are the types, locations, and functionality of key infrastructure and services? * Sub-RQ3.2: (Malakal only) What is the impact of new arrivals on access to services? * RQ4: What are the dynamics of insecurity and social cohesion in Wau and Malakal? * Sub-RQ4.1: What are the patterns of insecurity? (Malakal only: how do communities percieve these?) * Sub-RQ4.2: What are the relationships among and between different communities in the area, including based on displacement status and income? * RQ5: How do governance actors and structures respond to insecurity and land disputes? * Sub-RQ5.1: Which governance actors are responsible for mitigating conflict, including land disputes, and what strategies do they employ? * Sub-RQ5.2: (Malakal only): How do communities percieve the management of insecurity and land disputes? * RQ6: To what extent are Wau and Malakal exposed to climate-related hazards? * RQ6.1: How susceptible are Wau and Malakal to heatwaves and floods? * RQ6.2: What infrastructure and populations in Wau are exposed to climate-related hazards? | | | | | | | | |
| **Geographic Coverage** | This assessment will inform World Bank’s programming by developing data-informed profiles for two cities: Malakal (state capital of Upper Nile) and Wau (state capital of Western Bahr el Ghazal). See Section 3.2 ‘Geographic Coverage’. | | | | | | | | |
| **Secondary data sources** | In order to contextualize this assessment’s findings, as well as answer some research questions, the team will draw from a wide variety of secondary data sources. See Section 3.4 ‘Secondary Data Review’, as well as a full list in this assessment’s ‘Information Databank’ excel file [here](https://repository.impact-initiatives.org/document/repository/05f840b6/REACH_SSD_Secondary-Cities-Analytics_InformationDataBank.xlsx). | | | | | | | | |
| **Population(s)** | □ | | IDPs in camp | □ | IDPs in informal sites | | | | |
|  | ■ | | IDPs in host communities | □ | IDPs [Other, Specify] | | | | |
|  | □ | | Refugees in camp | □ | Refugees in informal sites | | | | |
|  | □ | | Refugees in host communities | □ | Refugees [Other, Specify] | | | | |
|  | ■ | | Host communities | ■ | Returnees | | | | |
| **Stratification** | □ | | Group #: \_ \_ \_  Population size per strata is known?  □ Yes □ No | | | □ | Group #: \_ \_ \_  Population size per strata is known?  □ Yes □ No | □ | *[Other Specify]* #: \_ \_  Population size per strata is known?  □ Yes □ No |
| **Data collection tool(s)** | ■ | | Structured (Quantitative) | ■ | Semi-structured (Qualitative) | | | | |
|  | **Sampling method** | | | **Data collection method** | | | | | |
| **Semi-structured data collection tool #1: MFGDs** | ■ Purposive | | | ■ Focus group discussion (Target #4): 2 Mapping Focus Group Discussions (MFGDs) per city (Wau and Malakal). 1 female and 1 male, with community leaders and community members. | | | | | |
| **Target level of precision if probability sampling** | N/A – purposive sampling | | | N/A – purposive sampling | | | | | |
| **Disaggregation by gender and age** | Gender | | | Age | | | | | |
| ■ | Yes | | □ | Yes | | | | |
| □ | No | | ■ | No | | | | |
| **Data collection level:** | ■ Individuals | | | □ Households | | | | | |
| **Structured data collection tool #2**  **Facilities assessment tool : KIIs and direct observation (Wau only)** | ■ Census (for direct observation)  ■ Purposive (for KIIs) | | | ■ Direct observation (mapping)  ■ Key informant interviews (KIIs) (Target #): As many as the number of facilities mapped during the 2 MFGDs in Wau.  (We will interview 1 key informant per piece of infrastructure in Wau Town related to health, education, markets and WASH, as identified in the MFGDs. Given we will interview 1 informant per key infrastructure, we therefore cannot predict the number of KIIs.) | | | | | |
| **Target level of precision if probability sampling** | N/A – Purposive Sampling | | | N/A – Purposive sampling | | | | | |
| **Disaggregation by gender and age** | Gender | | | Age | | | | | |
| □ | | Yes, | □ | Yes | | | | |
| ■ | | No | ■ | No | | | | |
| **Structured data collection tool # 3: KIIs** | ■ Purposive  ■ Snowballing | | | ■ Key informant interviews (KIIs) (Target #10 in total): 5 KIIs per city (Wau and Malakal) with local authorities, commuity leaders, experts in the field, and market traders | | | | | |
| **Target level of precision if probability sampling** | N/A – purposive sampling | | | N/A – purposive sampling | | | | | |
| **Disaggregation by gender and age** | Gender | | | Age | | | | | |
| □ Yes | | | □ Yes | | | | | |
| ■ No | | | ■ No | | | | | |
| **Semi-structured data collection tool #4: FGD FSL & Basic Services** | ■ Purposive (community  Members) | | | ■ Focus group discussions (FGDs) (Target #12 in total): 6 FGDs per city (Wau and Malakal) with community, split by gender as well as divided into IDPs, returnees, and host communities. | | | | | |
| **Target level of precision if probability sampling** | N/A – Purposive Sampling | | | N/A – Purposive sampling | | | | | |
| **Disaggregation by gender and age** | Gender | | | Age | | | | | |
| ■ Yes | | | □ Yes | | | | | |
| □ No | | | ■ No | | | | | |
| **Semi-structured data collection tool #5: FGD Conflict and Governance** | ■ Purposive (community members) | | | ■ Focus group discussions (FGDs) (Target #12 in total): 6 FGDs per city (Wau and Malakal) with community, split by gender as well as divided into IDPs, returnees, and host communities. | | | | | |
| **Target level of precision if probability sampling** | N/A – Purposive Sampling | | | N/A – Purposive sampling | | | | | |
| **Disaggregation by gender and age** | Gender | | | Age | | | | | |
| ■ | | Yes | □ | Yes | | | | |
| □ | | No | ■ | No | | | | |
| **Data management platform(s)** | ■ | | IMPACT | □ | UNHCR | | | | |
| □ | | [Other, Specify] | | | | | | |
| **Expected ouput type(s)** | □ | | Situation overview #: \_ \_ | | | ■ | Report, #2: City profiles for Wau and Malakal | □ | Profile #: \_ \_ |
| □ | | Presentation (Preliminary findings) #: \_ \_ | | | ■ | Presentation (Final), #1 | □ | Factsheet, # |
| □ | | Interactive dashboard #:\_ | | | □ | Webmap #: \_ \_ | ■ | Graphic overview of findings, #2: for both Malakal and Wau |
|  | □ | | [Other, Specify] #: \_ \_ | | | | | | |
| **Access** | ■ | | Public (available on REACH resource center and other humanitarian platforms) | | | | | | |
| □ | | Restricted (bilateral dissemination only upon agreed dissemination list, no publication on REACH or other platforms) | | | | | | |
| **Visibility** *Specify which* ***logos*** *should be on outputs* | ***IMPACT*** | | | | | | | | |
| ***Donor:*** *World Bank* | | | | | | | | |
| ***Coordination Framework:*** *N/A* | | | | | | | | |
| ***Partners:*** *N/A* | | | | | | | | |

# Rationale

##### **2.1 Background**

On July 9, 2011, The Republic of South Sudan emerged as the world's newest nation, becoming Africa's 54th country. However, over a decade after its inception, South Sudan grapples with fragility, stagnant economic growth, and persistent instability. Poverty remains widespread, exacerbated by conflict-induced displacement and external economic shocks.[[1]](#footnote-2)

In the midst of these struggles, South Sudan is rapidly urbanizing. Following the signing of the Revitalized Agreement for the Resolution of the Conflict in South Sudan (R-ARCSS) in September 2018, the country has seen a notable increase in the number of people moving from rural to urban areas: roughly 170,000 in just 4 years, representing an 8 percent increase between 2018 and 2021. According to UN Habitat, the share of urban population has increased from 10% at independence in 2011 to 21% in 2023.[[2]](#footnote-3) Urbanization is particularly impacting Juba and other secondary cities – mainly state capitals.

Urbanization presents both challenges and opportunities for populations. Risk factors include overcrowded living conditions in informal settlements, unemployment, food insecurity, poor access to services, health risks associated with pollution and poor sanitation, the proliferation of small arms and high levels of crime and displacement.[[3]](#footnote-4) In contrast, cities can be hubs of national and regional development, and centers of government from the national to sub-national level. Urban areas can serve as the source of economic (market, trade and commerce) services as well as financial (banking, insurance and credit) services, and are centers of national and regional social infrastructure (e.g. health, education and training institutes). Furthermore, urban areas are often catalyzers for cultural change, modernization and social development and are intricately linked with the country’s overall development – if towns do not function effectively and efficiently, rural areas they support will not function or develop efficiently either.[[4]](#footnote-5)

The strategic role of cities in South Sudan, particularly how they can foster social and economic inclusion, support economic recovery, and resilience, is poorly understood. While, in the years following South Sudan’s independence, studies have assessed urbanization drivers and urban development in South Sudan[[5]](#footnote-6) – these studies almost exclusively focused on Juba. These studies shed some light on the broader dynamics of urban development in the country, though may be of less relevance to secondary cities. Little is known, therefore, about how South Sudan’s secondary cities potentially act as safe havens and attract investments that can support the rebuilding of the social contract between State and the people. Similarly, the specific role of urban environments in recent unrest, crime and violence in the country is not well understood.

In its programming, the World Bank aims to explore the drivers of urbanization, the role and potential of cities, and to identify policy reforms and investments that foster, green, resilient, and inclusive development in South Sudan. To help inform this programming, World Bank has commissioned IMPACT to provide data-informed profiles on two important secondary cities in South Sudan: Malakal (state capital of Upper Nile) and Wau (state capital of Western Bahr el Ghazal). Both cities host sizeable displaced communities with significant needs. In Malakal in 2023, 27% of the population was reported by the International Organization for Migration (IOM) as being either a returnee or IDP, while that number in Wau was 39%. Of those displaced, common reasons were generalised violence, communal clashes, and interrupted access to services.[[6]](#footnote-7) In both cities, households in all communities report living in a combination of temporary and semi-permanent structures, and facing significant challenges in accessing services, especially, but not limited to, healthcare.[[7]](#footnote-8) The relationship between the host community and the displaced is reported to be generally good,[[8]](#footnote-9) though any tensions may be underreported, given the sensitivity of these issues. Initial findings from the secondary data review also suggest that both cities have experienced an upsurge in crime and localized conflict.[[9]](#footnote-10) While some secondary data exists on these cities, the World Bank is in need of additional data aligning to their four programmatic ‘pillars’ of Conflict, Climate, Competitiveness, and Capacity.

##### **2.2 Intended impact**

This research will inform the World Bank’s *South Sudan: Green, Resilient, and Inclusive Cities Programmatic Advisory Service and Analytics* (PASA) by developing data-informed profiles for two cities: Malakal and Wau. As requested by the World Bank, the assessment will conduct analysis within four key themes: Conflict, Climate, Competitiveness, and Capacity, with the Malakal profile having a particular emphasis on Pillar 1 ‘Conflict’.

Beyond informing World Bank’s programming, this assessment will provide up-to-date data on urban dynamics in Wau and Malakal within these four themes. These data may be used by other humanitarian actors to inform their own programming focused on the topics addressed.

**2.3 Key definitions**

**Social Cohesion**: Sometimes described as “the glue that binds societies”, social cohesion is often considered to be the collective attributes and behaviours characterized by positive social relations, a sense of identification or belonging, and an orientation towards the common good.[[10]](#footnote-11)

**Urbanization**: Urbanization refers to all the social, economic, biophysical, and institutional changes that result from and accompany urban growth – many of which have a profound impact on human health and well-being.[[11]](#footnote-12) Since urbanization rates are highest in the Global South, increased attention is being paid to drivers of urbanization and the effects of urbanization within the humanitarian and developmental sectors.[[12]](#footnote-13)

**Economic development**: Defined as ‘the reduction and elimination of poverty, inequality, and unemployment within a growing economy.’[[13]](#footnote-14) While research has shown a positive relationship between the level of urbanization and average income, the relationship between urbanization and economic development is not so clear.[[14]](#footnote-15) Recent climatic, economic and health shocks have demonstrated some of the drawbacks and downsides of rapid urbanization. For example, wildfires and droughts have exposed cities with weak infrastructure to the catastrophic consequences of accelerating climate change. There is no simple linear relationship between urbanization and economic development, or between city size and productivity.[[15]](#footnote-16) Thus, there is a vital need for contextualized evidence on how urbanization can contribute to economic development in an effective, efficient and sustainable manner.

**Community:** A group of people with common characteristics and a shared identity (cultural/social) and/or shared resources that unite a larger society. For this assessment, community will be used to refer to the various population groups in Wau/Malakal that include the host community, returnees and internally displaced people (IDPs). Each these population groups can be described as a community.

**Returnee:** The term used by the international community to identify a person who was a refugee but who has recently returned to his/her country of origin. Defining a returnee is thus applicable on a person’s prior refugee status. Returnees are therefore individuals who have re-entered their country but who have not yet re-integrated into their homes and communities.[[16]](#footnote-17) For this assessment, returnees refer to South Sudan nationals who were refugees in Sudan and are now returning to South Sudan due to the ongoing conflict in Sudan.

**Host Communities:** Host communities, i.e., non-displaced persons, include South Sudanese people that have never been displaced from their habitual residence.

**Internally Displaced People (IDP):** IDPs are those who have been forced to flee their homes due to conflict, violence, persecution or disasters. However, unlike refugees, they remain within their own country.[[17]](#footnote-18)

# Methodology

##### **3.1 Methodology overview**

This assessment will use a mixed method approach to conduct the research, drawing from both qualitative and quantitative components, as well as secondary data such as remote sensing tools and UN datasets.

|  |  |  |  |
| --- | --- | --- | --- |
| **Objective** | **Data needed** | **Geographic coverage** | **Tool** |
| 1) To define the city structure of Wau and Malakal. | Neighbourhood boundaries | Wau/  Malakal | MFGDs  KIIs (local authorities) – to identify existing official city division and utility services responsible areas |
| Extent of urbanisation in the last 10-15 years | Wau/  Malakal | Remote sensing tools – to detect changes in urban areas based on the analysis of the available high-resolution images |
| Land use and land cover, including wetland mapping (and Wau only: land encroachment on environmentally protected areas) | Wau/  Malakal | Secondary data and GIS tools – using Copernicus Land Cover to map the cropland, grassland, water bodies and forest area the community may rely on and/or to map the natural resources. Attention will be paid to locating potential informal land use areas and existing disputes around access to the resources (to be addressed in objective 4).  MFGDs – to assess where communities are building, and whether they are building on environmentally protected areas |
| 2) To understand key population dynamics of Wau and Malakal, in relation to population numbers, key sources of livelihood, and levels of food security. | Population characteristics | Wau/  Malakal | Secondary data review – including statistics, global population datasets, global population movement datasets from International Organization of Migration (IOM) |
| Key sources of livlihoods | Wau/  Malakal | FGDs  KIIs (local government Officials & aid workers)  SDR |
| Level of food insecurity and dependence on food aid | Wau/  Malakal | FGDs  SDR |
| 3) To identify key infrastructure and determine access to basic services in Wau and Malakal, and how these are impacted by urbanisation. | Location and types of infrastructure/ services, and number of people with access to these. E.g. roads, bridges, water points, latrines, health facilities, power supply, schools, markets | Wau/  Malakal | MFGDs to map the services catchment area, and available infrastructure and services. This will be complemented by secondary data review (e.g. Open Street Map datasets for road mapping)  Quantitative facilities assessment tool will provide further information on these infrastructure and services, including on how many people access the service.  GIS to map the services with lower accessibility in terms of distance (drive and walk time zones of the services) |
| Impact of new arrivals on access to services | Malakal | FGDs  KIIs (local government Officials & aid workers) |
| Location, functionality, and authority controlling markets | Wau/  Malakal | MFGDs  KIIs (market traders) |
| 4) To identify the dynamics of insecurity and social cohesion in Wau and Malakal. | Patterns of gangs, crime and insecurity (Malakal only: gendered patterns) | Wau/ Malakal | FGDs  KIIs (local government Officials & aid workers) |
| Community perceptions of insecurity, including reasons for trends | Malakal | FGDs |
| Social cohesion (Malakal only: tensions due to access to services/land) | Wau/  Malakal | FGDs  KIIs (local government Officials & aid workers) |
| 5) To understand how governance actors and structures respond to violence and land disputes. | Governance actors responsible for mitigating conflict, strategies they employ | Wau/  Malakal | KIIs (local government officials) |
| Community perceptions of conflict management | Wau/  Malakal | FGDs |
| Role of land disputes in conflict, and land administration | Wau/  Malakal | KIIs (local government Officials) FGDs  SDR – for studies examining the role of land in conflict, and South Sudan Land Act 2009 |
| 6) To understand to what extent Wau and Malakal are exposed to climate-related hazards. | Flood- and heatwave-prone areas | Wau/  Malakal | GIS and remote sensing – using various satellite remote sensing indicators to define the flood and heatwave susceptibility. KIIs - to understand the lived experience of heatwaves/floods/drought, including how they impact different communities. |
| Infrastructure and population exposure to flood and heatwave | Wau | GIS tools - Overlaying Infrastructure location and population density within flooded areas in ArcGIS pro  MFGDs and quantitive facilities assessment – to understand seasonality of services/infrastructure, thus revealing impact of floods/heatwaves KIIs – to assess the maintenance of infrastructure in light of these climate-related hazards |

1. **Secondary Data Review and GIS tools:** This assessment includes an extensive secondary data review, which will form the basis for several research activities, and will seek to answer several research questions. This will include a review of NGO, UN, SSD government, and academic reports. We will also use geo-data, including remote sensing and other GIS methods, extensively to answer the research questions and provide maps for the report, including to show population flow and density, heatwave and flooding susceptibility assessments, and potentially, wetland mapping. A non-exhaustive list of secondary resources and methodologies to be used for this assessment is provided in the [Information Databank](https://repository.impact-initiatives.org/document/repository/05f840b6/REACH_SSD_Secondary-Cities-Analytics_InformationDataBank.xlsx) (separate excel file).
2. **Service and Infrastructure Mapping**

* **Wau (Qualitative):** MFGDs will be conducted with community leaders and community members to map infrastructure and services in Wau Town, addressing both their presence and functionality. The exercise will be conducted in a face-to-face setting using physical maps prepared by the IMPACT Senior GIS Officer. The MFGDs will aim to locate and map the vital local markets, health, education and WASH infrastructure including water sources, important markets and major hospitals within the town. Two MFGDs (one male, one female) each with four to eight participants will be conducted.
* **Wau (Quantitative):** After the MFGDs, the IMPACT team will conduct a quantitative facilities assessment. Infrastructure to be mapped will have been pre-identified during the MFGDs. To ensure all of the infrastructures are mapped during the facilities assessment, the IMPACT GIS team will survey the satellite imagery of the area to be mapped and create grids of 250 m by 250 m areas in Wau. These grids will then be loaded into Maps.me onto each enumerator’s smartphone. Enumerators will then be given a list of squares to complete on a daily basis, after having been trained to ensure they traverse each square until they have covered all the infrastructure for basic services such as for health, WASH, education, and markets. For each piece of infrastructure they find within their square, the enumerators will use Kobo collect to complete a quantitative facilities assessment questionnaire. The enumerators will interview subject matter experts such as market vendors, water point vendors, health experts (doctors, nurses or facility managers and education experts (head teachers, school directors or professors) at the relevant infrastructure point. Enumerators will also use direct observation to answer the questionnaire, by observing the existence and functionality of facilities. Supervisors will monitor which squares have been completed and they will reassign squares where necessary to ensure that all inhabited squares in the area of interest are covered.
* **Malakal (qualitative and quantitative):** This assessment will analyse qualitative and quantitative data collected from a comprehensive mapping assessment in Malakal by IMPACT in May 2024 to map infrastructure and services in town, including their presence and functionality.[[18]](#footnote-19)
* **Malakal (qualitative):** The team will conduct additional Mapping Focus Group Discussions (MFGDs) with community leaders and community members, to corroborate earlier findings as well as to collect additional data on neighbourhood boundaries, seasonality of access to infrastructure, and land use. Two MFGDs (one male, one female) each with four to eight participants will be conducted.

1. **Key Informant Interviews:** After the mapping exercise has been completed, 5 KIIs will be carried out per citywith market traders, community leaders, aid workers, and (if possible) government officials. KIIs will focus on themes including conflict trends, livelihoods, governance, and social cohesion.
2. **Focus Group Discussions:** In parallel to the KIIs, two FGD tools will be used. The first will focus on food security and livelihoods (FSL) and access to basic services, and the second on conflict and governance. Each of the two tools will be used for 6 FGDs per city, meaning there will be 24 FGDs in total. Each tool will be conducted with three different communities, based on displacement status, to identify the impact of urbanization dynamics on local populations. These communities will be: hosts, returnees, and IDPs. For each community, 1 male and 1 female FGD will be held.
   1. Geographic Coverage

**Geographical Coverage:** primary data collection will occur in Malakal (state capital of Upper Nile) and Wau (state capital of Western Bahr el Ghazal).

Both of these cities have sizeable displaced communities. In Malakal, 17% of participants in the IOM’s Intersectoral Needs Assessment (ISNA) reported being IDPs, and 9% reported being returnees. In Wau, 36% of participants reported being returnees, and 3% being IDPs.[[19]](#footnote-20)

Figure 1: Locations of Wau and Malakal within South Sudan



* 1. Secondary Data Review

Using secondary data, the team will conduct a set of research activities.

* 1) IMPACT will draw on two comprehensive infrastructure mapping assessments conducted by IMPACT in Renk and Malakal in May 2024. These assessments were based on a mixed-methods approach, and mapped available facilities and functionality of Renk Town, Malakal Town, and Malakal Protection of Civilian (PoC) Site.
* 2) Satellite remote sensing will be used to assess flood and heatwave hazard exposure and urbanization patterns. Heatwave susceptibility mapping will be done using thermal bands of available satellite sensors, such as Modis and Landsat. Historic flood events will be also detected and delineated to the extent feasible based on available remote sensing data, such as Sentinel 1 and 2. Additionally, flood modelling results from the [Joint Research Centre](https://joint-research-centre.ec.europa.eu/index_en) and [Fathom-Global 3.0](https://acted.sharepoint.com/sites/IMPACTSSD/Shared%20Documents/General/05_R&A/05_R&A-SSD-LAP-556/06_World%20Bank_PASA/02_Project%20Documents/HQ%20Validation%20ToR%20and%20Tools/Fathom-Global%203.0) will be used were possible. High resolution satellite images will be used for urbanization mapping.
* 3) Secondary data will also be used to assess the availability of data to answer the objectives, thereby identifying key information gaps to be filled through primary data collection. For further information of which questions will be answered through primary and/or secondary data, please see the [Data Analysis Plan.](https://repository.impact-initiatives.org/document/repository/bb0feb0d/IMPACT_SSD_DAP_World-Bank-Secondary-Cities-Analytics_July-24-v4.xlsx)

The Information Databank, which can be found in a [separate excel file](https://repository.impact-initiatives.org/document/repository/05f840b6/REACH_SSD_Secondary-Cities-Analytics_InformationDataBank.xlsx), contains a non-exhaustive list of secondary resources and methodologies to be used for this assessment. These include, among others: (i) comparison of historic/modern satellite images (Landsat 8 / Sentinel 2), (ii) SRTM 30m global digital elevation model (DEM), (iii) REACH Google Earth Engine scripts on flood and drought detection, CHIRPS rainfall data, (iv) Population estimates from 2021, (v) REACH movement and displacement tracker, including accessibility data, (vi) REACH Area of Knowledge (AoK) assessments conducted quarterly, (vii) REACH Joint Market Monitoring Initiative (JMMI) market and functionality data, (viii) Infrastructure / local governance mappings from previous REACH assessments, (ix) OpenStreetMap road data, (x) SMART surveys, (xi) IPC report and data from March 2022. (xii) FEWSNET livelihood zones report, (xiii) ACLED data, and (xiv) other secondary data sources (such as UNDP, CSRF, DTM, VAM).

These documents and resources have been reviewed to aid in establishing definitions and conceptualisations of this ToR, and to formulate the research objectives, questions and sub-questions. During the data analysis phase, these resources will be used to triangulate primary data collected.

* 1. Primary Data Collection and Sampling

Primary data collection is scheduled to take place between August 19 and September 6, 2024. In both Wau and Malakal, FGDs and KIIs will be conducted. Additionally, in Wau (only) we will conduct a comprehensive infrastructure mapping exercise, using a mixed-methods approach. Qualitative data will be collected through Mapping Focus Group Discussions (MFGDs) and complemented with quantitative data from an infrastructure facilities assessment through Key Informant Interviews (KIIs). For Malakal, a comprehensive infrastructure mapping exercise was already carried out by IMPACT in May 2024, so a full mapping exercise is not necessary. However, given there are some additional topics to be covered in Malakal, such as neighbourhood boundaries, and the role of seasonality in access to services, we will conduct two MFGDs.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Data Collection Tool | Location | Target Sample Size | Sampling Strategy | Participants |
| Mapping Exercise: Mapping Focus Group Discussions Tool | Wau/ Malakal | 2 MFGDs per city (4-8 people per group) | Purposive | Community leaders and community members |
| Mapping Exercise: Facilities Assessment Tool (Direct Observation and KIIs)  After the MFDGs, IMPACT will deploy the facilities assessment tool to assess the precise location and functionality of infrastructure in the territorial unit. | Wau | Census (for Direct Observation of each facility) | None – census. Direct Observation: The enumerators will use direct observation to assess the existence and functionality of each facility. | N/A – facilities |
| 1 KII per infrastructure. Thus, the number of KIIs is dependent on the number of infrastructures in each of the sectors in the territorial unit | Purposive | The key informants will include:   * service providers * local authorities * local experts   These could include, for example, market vendors, water point vendors, doctors, nurses, facility managers, head teachers, school directors or professors at the relevant infrastructure point. |
| Focus Group Discussions: FSL and Access to Services Tool | Wau & Malakal | 12 in total. 6 in each city, split by gender and community. | Purposive  Split by gender. The groups’ compositions should aim to reflect community dynamics. | In each city, the team will conduct:   * 2 FGDs in host communities (1 male, 1 female) * 2 FGDs in IDP communities (1 male, 1 female) * 2 FGDs in returnee communities (1 male, 1 female) |
| Focus Group Discussions: Conflict and Governance Tool | Wau & Malakal | 12 in total. 6 in each city, split by gender and community. | Purposive  Split by gender. The groups’ compositions should aim to reflect community dynamics. | In each city, the team will conduct:   * 2 FGDs in host communities (1 male, 1 female) * 2 FGDs in IDP communities (1 male, 1 female) * 2 FGDs in returnee communities (1 male, 1 female) |
| Key Informant Interviews Tool | Wau & Malakal | 10 KIIs in total. 5 in each city. | Purposive and snowballing  We will start with an initial round of interviews with pre-defined key stakeholders. Following these, snowball sampling will be used to identify additional key informants. | The team will interview 5 key informants in each city, including:   * Local Government Officials * Community leaders/representatives * National and International NGO/UN workers * Market traders |

*Table 2: Data collection methods and sampling*

**MFGDs:** In Wau and Malakal, MFGDs will be conducted to map infrastructure and services in town, including their presence, functionality and the coverage area. Therefore, our target population are community leaders and community members, both groups which have signficant exposure to the urban dynamics, services, and infrastructure of each city.

**Quantitative Facilities Assessment Tool (Wau only):** Enumerators wil complete this facilities assessment questionnaire through both direct observation, and by interviewing key informants such as market vendors, water point vendors, doctors, nurses, facilty managers, head teachers, school directors or professors at the relevant infrastructure point.

**KIIs**: Our target key informants are individuals with proven experience with, and extensive knowledge of the dynamics of Wau or Malakal, including as relevant to the aforementioned four pillars. The team will therefore seek to interview: Local Government Officials, community leaders/representatives, national/international aid workers, including from NGOs and UN bodies, and market traders. We will aim for an equal division of key informants between the public sector and humanitarian/development sector, and will strive for a diverse group of key informants in terms of gender, age, organisation, position and thematic experience. Through capturing a variety of voices and perspectives, we thus ensure we best understand localized dynamics, trends and patterns.

**FGDs**: The FGDs will aim to identify community perspectives on the impact of urbanization dynamics on local populations. We will therefore be conducting FGDs within each of the key populations in these areas: returnees, IDPs, and hosts. FDGs will be split by gender, given our experience is that this helps participants to feel more comfortable and voice their opinions more freely.

##### 3.5 Fieldwork Logistics

The data collection team will consist of one REACH Senior Assessment Officer (SAO), one REACH Field Officer (FO) per city and, depending on the town, a note-taker and/or translator. The latter two roles will either be filled by REACH FOs or hired in each town of assessment, depending on resources available. Data will be collected by REACH field teams, in close contact with the SAO and the Translation team. KIIs and (M)FGDs will be conducted and facilitated in person by a minimum of one moderator/ facilitator, one note-taker and, if possible, one translator. Field teams shall receive comprehensive training on the tools and how to handle and discuss sensitive issues to ensure the data collection follows a conflict-sensitive approach and adheres to the “do no harm” principle. As far as possible, the gender and first language of the key informants and FGD participants will be appropriately matched with that of moderators/translators to ensure participants can speak freely.

While the data collection tools are in English, they will be translated by the field teams to the preferred language during the interview as needed. Note-takers during data collection exercises will use notebooks or laptops to record discussions. Field teams will not collect or record any Personal Identifiable Information (PII).

Prior to data collection exercises, field teams shall receive 2 days of training, provided by the SAO. The field teams shall discuss any issues or questions that arise with the SAO. The location of training depends on the location of field teams. While it is optimal to bring the field teams to Juba for training, project resources and timing may render this unfeasible.

Once training is complete, FOs will deploy to Malakal and Wau simaltaneously, if possible. The SAO will closely coordinate with the Field Teams throughout the various phases of the research cycle. Through daily check-ins, the SAO will ensure the tools are effective, flow well, and are sensitive to the context, as well as to ensure other consideratinos for informative and respectful qualitative and quantitative data collection exercises are implemented. Should any issues occur, the SAO, in close consultation with the Research Manager (RM) and FOs, will amend the tools as necessary. Depending on field team capacity, full transcripts of each data collection exercise will be prepared as soon as possible after the exercise, as well as the accompanying debrief forms. In every data collection exercise, the guiding principles of informed consent, ‘do no harm’, confidentiality and respect will be adhered to. Any issues arising shall be reported immediately to the SAO and RM.

* 1. Data Processing & Analysis

**FGDs and KIIs**

During FGDs, the lead researcher will take detailed notes while moderating the discussion through a translator. During KIIs, the researcher will take detailed notes while asking questions in English. Ideally, notes are typed directly onto a laptop – in the Data Collection Exercise tool template – to ensure they are as close to verbatim as possible and they capture additional details such as participants’ body language, expressions and non-verbal responses throughout the conversation. Completed transcripts are saved in a dedicated folder space under password protection.

Data from the FGDs and KIIs will be analysed using a Data Saturation and Analysis Grid (DSAG). Depending on time available, each transcript will be entered into the DSAG within 24 hours of data collection – to identify commonalities, key findings, issues worthy of follow-up in the next day’s data collection, and opportunities for optimising the data collection tool(s). Any modifications to the data collection tools will be recorded in a clear and structured manner, so as to maintain transparency and track lessons learned. At all times during the analysis, team members will follow the IMPACT Standards Checklist for Semi-Structured Data Processing and Analysis.

**GIS, Remote Sensing & Mapping Exercise (MFGDs and Quantitative Facilities Assessment)**

*Spatial Characteristics and Urbanisation*

To assess the urbanization pattern, the team will analyse satellite images, examine land use and changes in vegetation cover. Depending on the context, the expansion of settlements, before, during and after a displacement will be assessed. High-resolution images will be acquired within the last 10-15 years, with particular attention paid to the years around expected displacement waves such as the violence in 2016. The available imagery accessed through Google Earth will be used, if necessary, from the [Maxar](https://www.maxar.com/maxar-intelligence/products/satellite-imagery) database. To detect the types of land transformed into urban areas or vice versa, the additional inclusion of [Sentinel](https://sentinels.copernicus.eu/web/sentinel/home) imagery might be beneficial to disaggregate the agricultural lands from natural ecosystems and wetlands. In addition, [Copernicus land cover](https://lcviewer.vito.be/), as well as cropland change monitoring platforms might be used to map cropland, grassland, water bodies, and forested areas that the community may rely on.

To map the neighbourhoods' boundaries, satellite images from Google Earth in 2023-2024 will be used to visually delineate the neighbourhoods with similar urban patterns, where the information about the type and density of the buildings as well the urbanization expansion will be taken into account. Mapping results will be printed and discussed during MFGDs.

*Population dynamics and livelihoods*

The population density maps will be created in ArcGIS Pro from the secondary data source [WorldPop South Sudan 2022](https://hub.worldpop.org/geodata/summary?id=28976). The population movement map will be created using [REACH Population Movement Baseline](https://repository.impact-initiatives.org/document/reach/0b5fae06/SSD_REACH_Report_Population-Movement-Baseline_Final-1.pdf) dataset in ArcGIS pro.

*Services location and access mapping*

On completion of the MFGDs and in the case of good saturation of data, the IMPACT GIS Officer will photograph the maps produced during the MFGD session, then vectorized using ArcGIS pro and save in shapefile format. The area delineation product from this exercise will then be used during the infrastructure mapping and facilities assessment as IMPACT engages enumerators to collect data on the precise location of all the infrastructure identified during the MFGDs and any other public infrastructure that may have been missed during the MFGDs.

Data collected during the infrastructure mapping exercise will be uploaded daily into the KOBO server. the collected data will be checked and cleaned on a daily basis and a cleaning log maintained. The data checking process will include a review of internal logic and comparing individual records to identify potential data entry errors and standardise answers. Daily spatial verifications will be done by the GIS officer to check on the GPS points, facility types and names and to check that all areas within Renk Town. After cleaning the data will be analysed in order to obtain key statistics that will support the work of humanitarian actors in Wau. The outcomes of the data quality checks will form a basis for debriefing the enumerators before further data collection the next day. The analysis will be shared with the World Bank along with the maps that show the locations of the mapped infrastructure points.

After the quant dataset collection, the services catchment area will be mapped, the combination of ArcGIS analysis tools will be used, such as creation of buffer area and/or route network model allowing to map the travel-time areas to the services and highlight the urban areas with limited or distant access to services.

*Climate-Related Hazards and Exposure*

Flood extent and susceptibility (for recent event or several consecutive years): will be estimated from remote sensing using several methods, including calculating the Normalized Difference Water Index (NDWI, [McFeeters version](https://custom-scripts.sentinel-hub.com/custom-scripts/sentinel-3/ndwi/) is suggested) using multispectral high (e.g. Sentinel 2) or low (MODIS, Sentinel 3 or Landsat) resolution data. By setting an appropriate threshold to reclassify NDWI image as a water/no water raster, the flooded area can be extracted and converted from raster to vector (GEE [code](https://code.earthengine.google.com/659e76bf6408e66cd62e465b846d78cc) to export NDWI). Also using Synthetic Aperture Radar (SAR) high (e.g. Sentinel 1) or very high (Radarsat) to detect flood extent by change detection approach. This is one of the most effective ways of monitoring flood extent, especially for large-area flooding ([UN-SPIDER](https://www.un-spider.org/advisory-support/recommended-practices/recommended-practice-google-earth-engine-flood-mapping/step-by-step) methodology, [GEE code](https://code.earthengine.google.com/fa891877c6ffbf44c96f64a125984b58)) and manual interpretation (vectorization) of high (e.g. Sentinel 2) or very high (e.g. Planet, Worldview etc.) resolution data, for large-scale and localised flooding, respectively.

Participatory mapping data will be overlaid with satellite imagery to verify and augment remote sensing analysis of flooding completed in Google Earth Engine. Geospatial data on the extent of flooding will be compared to satellite imagery in order to verify how inundation appears in satellite imagery, and to calibrate ongoing remote sensing analysis of flooding in Google Earth Engine.

To delineate an area with higher-than-average temperature (heat anomaly) over a certain period, [Modis](https://modis.gsfc.nasa.gov/data/dataprod/mod11.php) land surface temperature satellite dataset will be used. Additionally, the team will use Google Earth engine ([GEE Code](https://code.earthengine.google.com/b7299a47413aa11914647a7a1259603a?noload=true)) to assess the percentage of days of land surface temperature in which the daily maximum temperature exceeds the average maximum temperature by at least 5°C in hot season (time frame: 10 or 20 years).

* 1. Key deliverables

Based on this assessment’s findings, two city profiles will be prepared.

1. A detailed profile of Malakal will be prepared in the form of both a graphic overview and a report, making best use of maps, graphs, figures, charts, tables, and supporting the narrative where needed. While providing key findings under all pillars, the analysis will focus on Theme 1: Conflict. While the structure and content of the final products are subject to change based on availability of data and primary data collection constraints, the deliverables will ideally present findings on each of the following: i) geographic conditions (the location and boundaries of neighbourhoods, ) (ii) population and displacement trends, (iii) settlement structure of the city (for example locations and types of newly built-up areas) (iv) political structure of the city (v) access to community infrastructure and services – specifically spatial and community based disparities in access to services, (vi) crime, violence, and insecurity, (vii) social cohesion dynamics, and (viii) socio-economic conditions.
2. An overview profile of Wau will be prepared in the form of both a graphic overview and a report. Since the profile of Wau will focus on all four themes (conflict, climate, competitiveness, and capacity), the profile will be broader and less detailed than the conflict-focused profile for Malakal. The following main themes will be covered in the report: (i) general description of the city (including location, geographic characteristics, population characteristics, etc); (ii) patterns of conflict; (iii) climate vulnerability and resilience; (iv) competitiveness; and (v) capacity.

Both of the expected outputs will have a cover page with an overview of the county and a summary of the defining features. The final reports will be developed in InDesign and exported as a PDF file. Maps included in the county profiles will be developed in Google Earth Engine and ArcGIS Pro and integrated into the InDesign document. Graphs, figures, charts, and tables will be created in R, Excel, or InDesign.

##### 3.8 Limitations

**Accessibility**

While the team has drafted an initial list of key informants to interview, accessibility challenges (such as flooding or insecurity) as well as scheduling challenges (related to participants’ availability during the period of data collection), may result in some stakeholders being difficult to access during the time of study. In such cases, the team will choose another representative with a similar background and expertise. Similarly, accessibility challenges may occur that prevent field teams from accessing communities to conduct focus group discussions. In such cases, the SAO, in close collaboration with the RM and IMPACT data officer, will replace participants while ensuring to maintain the integrity of the sample.

**Level of Detail**

Given the wide range of themes included in the FGDs and KIIs, the team will only be able to gather data to a limited level of detail. However, these data will be used in combination with secondary data to answer the assessment’s research questions.

**Generalizability**

Given the chosen sampling strategy, findings will not be representative and, as such, these findings should be treated as indicative. While disaggregated results (by vulnerability group or displacement status) may be provided, it should be kept in mind that these are not representative and should also be treated as indicative.

**Translation / transcription errors**

Since interviews will not be audio-recorded, it is likely that “transcripts” will more resemble notes. Moreover, as some of the interviews will be translated from the local language to English during the interview, it is also possible that some details will be lost in translation or that responses might be abbreviated by the translator. To mitigate this, the team will i) carefully review the transcripts for any translation errors or missing data, and ii) quickly follow up with FOs should any data be wrong or missing, with the aim to correct if possible.

**Sensitivity**

Certain themes and sub-topics that will be explored within this assessment are sensitive, particularly in the South Sudanese context. This mainly includes anything related to political/territorial control of state and non-state armed actors in cities; dynamics/tensions between social groups; and crime, violence and insecurity. Consequently, participants may potentially be hesitant to answer questions around these themes. To mitigate this, the team will i) train FOs on how to handle and discuss sensitive issues, including that the participant can choose to not answer any question or withdraw from the interview at any time ; ii) ensure that each participant understands that their responses will be fully anonymous, and; iii) abide by OHCHR’s recommendation[[20]](#footnote-21) to place more sensitive topics towards the end of the questionnaire, with the hope that the participant is more at ease and thus more willing to answer sensitive questions by that time.

# 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 risks as a direct result** of participation in data collection? | Yes |  |
| … Does not involve **collecting information on specific topics which may be stressful and/ or re-traumatising** for research participants (both respondents and data collectors)? | No | Some of the themes explored in this assessment are considered to be sensitive topics in the South Sudanese context, and may be stressful and/or (re)traumatizing for participants or data collectors to speak about. This is particularly true for any discussions around conflict, violence and insecurity. The research team will ensure the date collection tools approach these sensitive topics in a respectful, sensible and humane manner – to avoid any stressful or retraumatizing experiences. In the training of the data collection team, specific attention will be paid to how to best navigate conversations around such sensitive topics. Furthermore, data collectors will be instructed to emphasize to participants that they have the right to not answer any question, as well as end the interview early, without having to give a reason for doing so. |
| … Does not involve **data collection with minors** i.e. anyone less than 18 years old? | Yes |  |
| … Follows IMPACT SOPs for management of **personally identifiable information**? | Yes |  |

# Roles and responsibilities

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Task Description** | **Responsible** | **Accountable** | **Consulted** | **Informed** |
| Research design | *SAO* | *RM* | *World Bank (WB), SSD IMPACT Deputy Country Coordinator (DCC), IMPACT SSD GIS team* | *SSD IMPACT Country Represtative (CR)* |
| Supervising data collection | *SAO, FO* | *RM* | *DCC* | *CR, WB* |
| Data processing (checking, cleaning) | *SAO* | *RM* | DCC | *CR, WB* |
| Data analysis | *SAO* | *RM* | *IMPACT HQ; GIS team* | *CR* |
| Output production | *SAO* | *RM* | *DCC, IMPACT HQ; IMPACT SSD GIS team; WB* | *CR, IMPACT HQ, WB* |
| Dissemination | *SAO* | *RM* | *DCC* | *CR, IMPACT HQ, WB* |
| Monitoring & Evaluation | *SAO* | *RM* | *DCC* | *CR. IMPACT HQ* |
| Lessons learned | *SAO* | *RM* | *DCC* | *CR, IMPACT HQ, WB* |

***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*

# Data Analysis Plan

DAP presented in a separate file [here](https://repository.impact-initiatives.org/document/repository/bb0feb0d/IMPACT_SSD_DAP_World-Bank-Secondary-Cities-Analytics_July-24-v4.xlsx).

# Data Management Plan

|  |  |
| --- | --- |
| **Administrative Data** | |
| Research Cycle name | *South Sudan – Secondary Cities Analytics* |
| Project Code | *32BDS* |
| Donor | *World Bank* |
| Project partners | *N/A* |

|  |  |  |
| --- | --- | --- |
| Research Contacts | *Sophie Waters –* [*sophie.waters@impact-initiatives.org*](mailto:sophie.waters@impact-initiatives.org)  *Elijah Makau -* [*elijah.makau@impact-initiatives.org*](mailto:elijah.makau@impact-initiatives.org)  *Diliga Cosmas -* [*diliga.cosmas@reach-initiative.org*](mailto:diliga.cosmas@reach-initiative.org) | |
| Data Management Plan Version | *Date: 15/7/2024* | *Version: 1* |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Related Policies | | IMPACT Minimum Standards for Qualitative Data Processing and Analysis  IMPACT Minimum Standards for Quantitative Data Processing and Analysis IMPACT Guidelines for SOPs for Management of Personally Identifiable Data | | | | | | | | | | | |
| **Documentation and Metadata** | | | | | | | | | | | | | |
| What documentation and metadata will accompany the data?  *Select all that apply* | | **■** | | Data analysis plan | | | | ■ | | Data Cleaning Log, including:  □ Deletion Log  □ Value Change Log | | | | |
| **■** | | Code book | | | | □ | | Data Dictionary | | | | |
| □ | | Metadata based on HDX Standards | | | | □ | | Data Saturation Analysis Grid | | | | |
| **Ethics and Legal Compliance** | | | | | | | | | | | | | |
| Which ethical and legal measures will be taken? | | ■ | | Consent of participants to participate | | | | □ | | Consent of participants to share personal information with other agencies | | | | |
| ■ | | No collection of personally identifiable data will take place | | | | ■ | | Gender, child protection and other protection issues are taken into account | | | | |
| **■** | | All participants reached age of majority | | | |  | | [Other, Specify] | | | | |
| Who will own the copyright and Intellectual Property Rights for the data that is collected? | | IMPACT and World Bank | | | | | | | | | | | |
| **Storage and Backup** | | | | | | | | | | | | | |
| Where will data be stored and backed up during the research? | | ■ | | IMPACT/REACH Kobo Server | | | | □ | | Other Kobo Server: *[specify]* | | | | |
| □ | | IMPACT Global Physical / Cloud Server | | | | ■ | | Country/Internal Server | | | | |
| □ | | On devices held by REACH staff | | | | □ | | Physical location *[specify]* | | | | |
| □ | | [Other, Specify] | | | | | | | | | | |
| Which data access and security measures have been taken? | | ■ | | Password protection on devices/servers | | | | ■ | | Data access is limited to the Senior Assessment Officer, Data Officer, and GIS Officer | | | | |
| ■ | | Form and data encryption on data collection server | | | | □ | | Partners signed an MoU if accessing raw data | | | | |
| □ | | [Other, Specify] | | | | | | | | | | |
| **Kobo Access Rights** | | | | | | | | | | | | | |
| **Kobo Access** | | | **Person** | | | | | | | | **Account Name** | | |
| View and Edit Form, Download Data | | | Sophie Waters | | | | | | | | Tbd | | |
| View form, download form, submit data | | | Diliga Cosmas | | | | | | | | Tbd | | |
| **Raw Data Access Rights** | | | | | | | | | | | | | |
| Raw Data Access | | Reason | | | | | Person | | | | | | |
| Access | | Data Quality checks | | | | | Sophie Waters, SAO | | | | | | |
| **Preservation** | | | | | | | | | | | | | |
| Where will data be stored for long-term preservation? | | □ | | IMPACT / REACH Global Cloud / Physical Server | | | | □ | | OCHA HDX | | | | |
| ■ | | REACH Country Server | | | | □ | | [Other, Specify] | | | | |
| **Data Sharing** | | | | | | | | | | | | | |
| Will the data be shared publicly? | | □ | | Yes | | | | ■ | | No, only with mandating agency / body | | | | |
| Will all data be shared? | | □ | | Yes | | | | ■ | | No, only anonymized/ cleaned data will be shared | | | | |
| □ | | No, [Other, Specify] | | | | | | | | | | |
| Where will you share the data? | | ■ | | REACH Resource Centre | | | | □ | | OCHA HDX | | | | |
| □ | | Humanitarian Response | | | | ■ | | With client | | | | |
| **Data protection risk assessment** | | | | | | | | | | | | | |
| Have you completed the Indicators Risk Assessment table below? | | ■ | | Yes | | | | | □ | No, no information that potentially allows identification of individuals is to be collected. | | | | |
| [Please complete the first 4 columns in the Indicators Risk Assessment table below] | | | | | | | | | | | |
| Risk indicator (including direct and indirect identifiers) | Type of identification risk | | | | Disclosure implications | Benefits | | | | | | **Class** | **Required mitigation** |
| *KI’s role/position*  */occupation* | *Direct identification of KI* | | | | *Loss of privacy/potential target of armed actors/retaliation from local actors involved in humanitarian aid* | *Weighting information for analysis* | | | | | | *B2* | *To be deleted after data analysis* |
| *FGDs and KIIs participant details (all information combined)* | *Direct identification of participants* | | | | *Loss of privacy/potential target of armed actors/retaliation from local actors involved in humanitarian aid* | *Weighting information for analysis* | | | | | | B2 | *To be deleted after data analysis* |
| **Responsibilities** | | | | | | | | | | | | | |
| Data collection | | *Sophie Waters – Senior Assessment Officer* [*Sophie.waters@impact-initiatives.org*](mailto:Sophie.waters@impact-initiatives.org)  *Diliga Cosmas – Senior GIS Officer* [*diliga.cosmas@reach-initiative.org*](mailto:diliga.cosmas@reach-initiative.org) | | | | | | | | | | | |
| Data cleaning | | *Sophie Waters – Senior Assessment Officer Diliga Cosmas – Senior GIS Officer* | | | | | | | | | | | |
| Data analysis | | *Sophie Waters – Senior Assessment Officer*  *Diliga Cosmas – Senior GIS Officer* | | | | | | | | | | | |
| Data sharing/uploading | | *Sophie Waters – Senior Assessment Officer* | | | | | | | | | | | |

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