Research Terms of Reference

Flood risk assessment
UKR2321
Ukraine

November 2023
V1

1. Executive Summary

Country of intervention	Ukraine					
Type of Emergency	X	Natural disaster	X	Conflict	□	Other (specify)
Type of Crisis	X	Sudden onset	□	Slow onset	X	Protracted
Mandating Body/ Agency	BHA					
IMPACT Project Code	64BAO					
Overall Research Timeframe	01/11/2023 to 15/03/2024					
Research Timeframe	1. Pilot/ training: 15/01/2024			6. Preliminary presentation: N/A		
	2. Start collect data: 22/01/2024			7. Outputs sent for validation: 08/03/2024		
	3. Data collected: 02/02/2024			8. Outputs published: 25/03/2024		
	4. Data analysed: 16/02/2024			9. Final presentation: 25/03/2024		
	5. Data sent for validation: 16/02/2024					
Number of assessments	X	Single assessment (one cycle)				
	□	Multi assessment (more than one cycle)				
Humanitarian milestones	Milestone			Deadline (can be tentative)		
	□	Donor plan/strategy		_ _/_ _/_ _ _ _		
	□	Inter-cluster plan/strategy		_ _/_ _/_ _ _ _		
	X	Cluster plan/strategy Shelter/NFI WASH Health		Ongoing planning		
	□	NGO platform plan/strategy		_ _/_ _/_ _ _ _		
	X	Other Local stakeholders (including local authorities, operational actors such as the State Emergency Services of Ukraine, and civil society organisations involved in emergency response and recovery)		15/03/2024		
	Audience type			Dissemination		

Audience Type & Dissemination	X Strategic X Programmatic X Operational □ [Other, Specify]		X General Product Mailing (e.g. mail to NGO consortium; HCT participants; Donors) X Cluster Mailing (Education, Shelter and WASH) and presentation of findings at next cluster meeting X Presentation of findings (e.g. at HCT meeting; Cluster meeting) X Website Dissemination (Relief Web & REACH Resource Centre) □ [Other, Specify]	
Stakeholder mapping	□	Yes	X	No
General Objective	Support preparedness, humanitarian response and recovery efforts in relation to flood risks in Ukraine in 2024, through the identification of vulnerable areas and the analysis of systemic resilience and capacities (at the community and institutional levels) to manage flood risks in the context of the protracted conflict.			
Specific Objective(s)	1. Identify areas of Ukraine at elevated risk due to a combination of natural flooding susceptibility and conflict-related vulnerabilities in 2024 ("Flood hotspots"). (Addressed through national stream). 2. In two "Flood hotspots", areas where natural flood susceptibility coinsides with people's vulnerabilities and lack of coping capacities, assess the conflict's compounding impacts on flood vulnerabilities and local risk management capacities at the household and institutional levels. (Addressed through area-based stream). 3. Identify modalities for strengthening local flood resilience* in "Flood hotspots" in the context of the conflict, with reference to best practices and lessons learned from previous years and other relevant contexts. (Addressed through area-based stream). * Local resilience refers to household, community and institutional levels.			
Research Questions	1. What areas in Ukraine are at high risk of elevated flooding impacts in 2024 due to a combination of natural flooding susceptibility and conflict-related vulnerabilities? a. How do environmental and climatological factors contribute to flood risk across the country? b. In what ways does the ongoing conflict exacerbate flood risks by reducing household coping capacities and systemic resilience, while increasing vulnerabilities? 2. In the two most vulnerable "Flood hotspots", how can the conflict compound vulnerability to flooding at both the household and institutional levels? a. What are the specific local vulnerabilities at the household level due to the potential combined effects of flooding and conflict? b. How do existing institutional frameworks for flood risk management perform under the stress of conflict? c. What are the existing local capacities and mechanisms for managing flood risk in these areas, and how are they impacted by the conflict? 3. What are effective modalities for enhancing local flood resilience in the identified "Flood hotspots" in the context of the ongoing conflict? a. How can household-level preparedness for flood risk be improved in these areas amidst the conflict?			

	b. What institutional measures (preparedness and response) can be adopted or strengthened to enhance resilience against flooding in these areas, particularly among various vulnerable groups (e.g., IDPs, elderly or disable people)? c. How can the conflict's impacts hinder the implementation of flood resilience measures in these areas? d. What lessons can be learned from best practices and previous experiences in similar contexts to inform the strengthening of flood resilience in Ukraine's conflict zones?					
Geographic Coverage	The national stream will cover the entire area under the control of the Government of Ukraine as of 30 November 2023. Based on the outcomes of the national assessment, two areas (settlements or hromadas) will be selected for detailed area-based analysis ("ABA stream").					
Secondary data sources	Secondary data sources have been reviewed for contextual analysis and determine the methodological approach. They included: - State program for the prevention and control of land flooding - Flood risk management plans in individual territories within river basin districts - Flood risk protection 2020 (UNDP) - REACH's Central African Republic Flood Susceptibility & Risk Assessment - INFORM Risk Methodology					
Population(s)	□	IDPs in camp		□	IDPs in informal sites	
	X	IDPs in host communities		X	IDPs [hromadas]	
	□	Refugees in camp		□	Refugees in informal sites	
	□	Refugees in host communities		□	Refugees [Other, Specify]	
	X	Host communities		□	[Other, Specify]	
Stratification	X	Geographical #: 1,318 hromadas within GCA of Ukraine Population size per strata is known? X 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)		X	Semi-structured (Qualitative)	
	Sampling method			**Data collection method**		
Semi-structured data collection tool (s) # 1	X Purposive (stakeholders, experts, officials) X Snowballing (hromadas) X HH interviews: geo-sampling in areas at high risks of flooding (ABA)			X Key informant interview (Target #):12 (total) X Household interview (Target #): 20 (total) □ Focus group discussion (Target #):_ _ _ _ _ □ [Other, Specify] (Target #):_ _ _ _ _		
Disaggregation by gender and age	**Gender**			**Age**		
	□	Yes		□	Yes	
	X	No		X	No	
Data management platform(s)	X	IMPACT		□	UNHCR	
	□	[Other, Specify]				
Expected ouput type(s)	X	Situation overview #: 1 national overview report	□	Report #: _ _	□	Profile #: _ _
	□	Presentation (Preliminary findings) #:0	X	Presentation (Final) #: 3	X	Factsheet #: 2 Local flood risk products

	□	Interactive dashboard #:_	□	Webmap #: _ _	□	Map #: 2 (standalone at hromada level)
	□	[Other, Specify] #: _ _				
Access	X	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	REACH					
	BHA / USAID					
	Coordination Framework:					
	Partners: Zoï Environmental Network					

2. Rationale

2.1 Background

Despite climate change resulting in decreased water availability across Ukraine, some regions experienced unusually high river levels in 2022-23 due to an atypical pattern of heavy rains in winter and spring, followed by rapid snowmelt (Big water-2023). These conditions resulted in extended flooding periods, including during winter months, predominantly affecting the northern part of the country (Floodlist). In 2023, intense summer rainfalls caused flooding in Western Ukraine , resulting in forced evacuations and significant damage to hundreds of homes in Skhidnytsia town (NV).

War-related destruction of transport and critical infrastructure, flood protection systems, as well as residential buildings, has significantly increased people's vulnerability to such hazards (Nature). In addition to infrastructure damage, the war generated socio-economic vulnerability caused by insecurity, displacement, disrupted livelihoods, and overall high levels of humanitarian needs, further decreasing communities' capacity to absorb additional shocks such as floods and other natural hazards. The conflict in Ukraine, which escalated into a full-scale war in February 2022, has also seen deliberate attacks on dams in locations such as Demydiv, Kryvyi Rih, and Kakhovka, compounding "natural" flood risks with anthropogenic risks (REACH, Ecopolitics).

The ongoing full-scale war has likely altered flood resilience[1] capacities at all levels, diverting resources like workforce, finances, and institutional support to more immediate needs, such as security. In some areas, flooding remains the primary, most direct hazard even in the context of the ongoing war; yet in this changed context, emergency response capacities and priorities are poorly understood by both local actors and the humanitarian community (R2P). While not explicitly addressing the compounding impacts of conflicts on natural hazards, the Sendai Framework for Disaster Risk Reduction 2015-2023 emphasises the importance of tackling underlying risk drivers, including socio-economic, politico-institutional, and environmental factors, to mitigate the impact of natural hazards. These factors are particularly salient in the context of armed conflict.

With the 2024 flood season approaching (March-May), the risk of riverine flooding remains high in Ukraine, and could result in severe impacts due to cumulative infrastructure damage, high levels of humanitarian needs, and the likelihood of further attacks on transport infrastructure by the Russian Federation during the winter 2023/24 (Forbes, Reuters), which could delay the emergency response. The combination of conflict-driven vulnerability and high flood risk could not only compound levels of humanitarian needs, but also hinder recovery efforts.

To help mitigate these impacts, REACH will conduct a Flood Risk Assessment to inform flood preparedness and response through the identification of the most vulnerable areas, increase the understanding of the conflict's impact

[1] In the context of this assessment, "flood resilience" is considered as the capacity to anticipate, adapt to, respond to, and recover from the adverse impacts of flooding, minimizing damage and enabling sustainable development.

on flood resilience, and assess local capacities and locally-relevant impact mitigation strategies in the changed context of the ongoing conflict.

2.2 Intended impact

The research aims to inform humanitarian actors about potential needs and geographic priorities for the upcoming 2024 spring flood season in Ukraine. Its goal is to enhance the understanding of the geographic extent of flood hazards, particularly natural riverine flooding, and to assess exposure, vulnerabilities, and potential compounded impacts on people. This assessment will guide the emergency response approaches of donors and implementing partners, supporting them to adjust intervention planning in the changed context of the ongoing armed conflict.

This will entail the production and dissemination of information, data, and mapping products to identify "flood Hotspots" that are likely to experience increased needs during the flood season. In addition to identifying "flood Hotspots" through combining various sources of secondary data (see Methodology below), the findings will be grounded in primary data gathered from experts, officials and scientists at national level through the consultations and local level actors involved in flood response planning, including challenges and lessons learned in flood response planning and implementation. Local flood preparedness and response actors in the most vulnerable hromadas (administrative units of level 3 in Ukraine) are expected to provide detailed information on flood hazard management approaches and current capabilities in varying environmental and socio-economic contexts.

The assessment also aims to support evidence-based emergency response planning by Ukrainian civil protection institutions and officials at different levels, as well as humanitarian actors in relevant emergency response sectors, including Shelter, WASH, and Health clusters. The timeline and dissemination plan of the assessment are aligned with the natural annual flood cycle, anticipating water level peaks in March-April, and occasionally in May. To ensure the operational utility of the assessment's outcomes, they will highlight gaps in both emergency planning and implementation, lessons learned from past experiences, and stakeholders' awareness and preparedness for future floods in the challenging context of the ongoing war.

3. Methodology

3.1 Methodology overview

This assessment will consist of two sequenced, complementary streams. The ***national stream*** will identify areas (hromadas) most vulnerable to riverine and flash flooding, considering hazard (natural susceptibility), exposure and conflict-driven socio-economic vulnerability. This will be complemented by an ***area-based stream*** consisting of two localised assessments in selected hromadas, employing an Area-Based Approach (ABA). Both streams will leverage the INFORM methodology, which accounts for indicators of hazards, exposure, vulnerability and lack of coping capacity (LOCC) to assess risks. The generation of a "Flood Risk Index" combining both climatological, environmental and socio-economic variables enables the identification of "flood hotspots" (areas where flood hazards compound with susceptibility and lack of coping capacity, at the hromada level) most vulnerable to flood impacts, and the selection of two hromadas for area-based assessments.

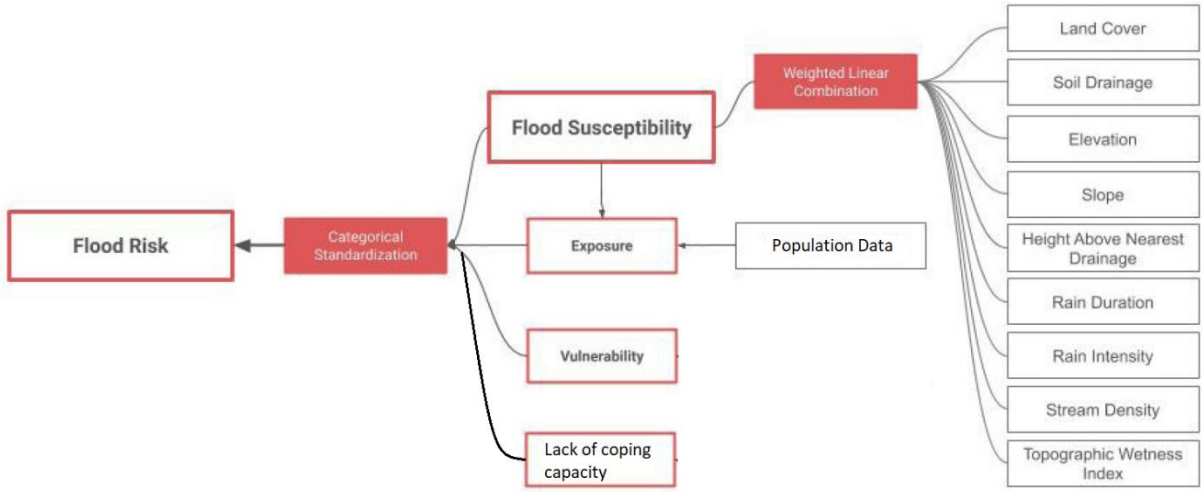
This assessment will also include qualitative data collection to assess community- and systemic-level resilience, as well as local flood response capacities and understanding the challenges for flood response and recovery emerging from direct and indirect impact of protracted military conflict across the country. This includes:

- Expert consultations for the national overview;
- 12 key informant interviews for the two ABAs (6 per location) with representatives of local self-government, the State Emergency Services of Ukraine (SESU), representative of State Water Agency, volunteer rescue teams, and other KIs as relevant for the selected locations.

- 20 household interviews (10 per location) in areas identified at high risks of flooding.

The scheme below provides general understanding of Flood Risk Index calculation using indicators reflecting hazard (flood susceptibility), exposure, vulnerability and lack of coping capacity. The formula implies using the same weights for each of group of indicators. Selection criteria for concrete flood risk indicators include relevance, availability, spatial accuracy and coverage, credibility, and actuality.

More details about INFORM methodology could be find under the following link: https://drmkc.jrc.ec.europa.eu/inform-index/INFORM-Risk/Methodology. The detail explanation on the Flood Susceptibility calculation is described in the following REACH assessment.



3.2 Population of interest

The population of interest for this research cycle are local residents, representatives of local authorities and relevant organisations in the identified "flood hotspots". Qualitative data collection will be conducted at the hromada level by interviews with key informants (KIs) who represent local authorities, civil protection, SESU, water management organisations, NGOs or scientific organizations and household interviews (HH) who live in most flood vulnerable zones and have been affected by floodsIn line with the ABA, the assessment will concern the flooding risk awareness, coping capacity and preparedness needs of community members to inform local authorities with better civil protection and disaster preparedness planning. At least 10 KIs (5 per each hromada) and 20 HHs (10 per hromada) will be engaged for interviews. This will provide details on the main hromada needs for enhanced flood risk reduction planning.

3.3 Secondary data review

Secondary data review will include the analysis on hazard identification at hromada level for the government-controlled areas of Ukraine as of October 2023. Secondary data sources to be used for identification of "flood hotspots" include (additional source may be added) the following.

Flood susceptibility indicators:

- Land cover - Information on land cover from Global ESA WorldCover 2021 (Source: https://worldcover2021.esa.int/)
- Soil drainage - Information on soil drainage class from ISRIC soil dataset (Source: https://data.isric.org/geonetwork/srv/eng/catalog.search#/metadata/dc7b283a-8f19-45e1-aaed-e9bd515119bc)

- Elevation – Based on data from global Digital Surface Model ALOS World 3D - 30m (AW3D30) (Source: https://developers.google.com/earth-engine/datasets/catalog/JAXA_ALOS_AW3D30_V3_2)
- Slope - Derived from AW3D30 Digital Surface Model (Source: https://developers.google.com/earth-engine/datasets/catalog/JAXA_ALOS_AW3D30_V3_2)
- Height Above Nearest Drainage (HAND) - Data extracted from MERIT Hydro: global hydrography datasets (Source: http://hydro.iis.u-tokyo.ac.jp/~yamadai/MERIT_Hydro/)
- Rain Duration – Data derived from GPM: Global Precipitation Measurement (GPM) v6 (Source: NASA GES DISC at NASA Goddard Space Flight Center; Link: https://developers.google.com/earth-engine/datasets/catalog/NASA_GPM_L3_IMERG_V06)
- Rain Intensity– Data derived from GPM: Global Precipitation Measurement (GPM) v6 (Source: NASA GES DISC at NASA Goddard Space Flight Center; Link: https://developers.google.com/earth-engine/datasets/catalog/NASA_GPM_L3_IMERG_V06)
- Stream density - derived from HydroSheds dataset (Source: https://www.hydrosheds.org/products/hydrorivers)
- Topographic Wetness Index (TWI) - Calculated from AW3D30 Digital Surface Model (Source: https://developers.google.com/earth-engine/datasets/catalog/JAXA_ALOS_AW3D30_V3_2)

Additional indicators to be used to triangulate the flood hazard level:

- Flood hazard map of the World - 100-year return period (Source: JRC; Link: https://data.jrc.ec.europa.eu/dataset/jrc-floods-floodmapgl_rp100y-tif)
- Data base of historical floods in 2000-2023 received from SESU (if available, internally only)
- Zones with significant level of probability of the riverine flood hazard (Source: SESU; Link: Flood risk management plans in individual territories within river basin districts)

Exposure indicators:

- Estimated number of people who reside in high and very high flood susceptible areas - Population estimation based on data from the latest Oxford population estimates for Ukraine as of 30 April 2023 (Leasure DR, Dooley CA. 2023. Contemporary sub-national population estimates for Ukraine by age and sex estimated using social media activity and geolocated conflict events; link: https://acted.sharepoint.com/:f:/r/sites/IMPACTUKR/Documents%20partages/General/00_Reference/14_GIS_data/04_Statistic_data/01_Population/Ukr_pop_estimates_20230530_Oxford/sub-oblast_quarterly_population/admin3_disagg?csf=1&web=1&e=ObUAAV)

Vulnerability indicators:

- Number of recorded IDP arrivals per hromada (Source: IOM. Link: not publicly available) - Round 28 *September 2023*.
- Share of elderly people based on data from the latest Oxford population estimates for Ukraine as of 30 April 2023 (Leasure DR, Dooley CA. 2023. Contemporary sub-national population estimates for Ukraine by age and sex estimated using social media activity and geolocated conflict events; link: https://acted.sharepoint.com/:f:/r/sites/IMPACTUKR/Documents%20partages/General/00_Reference/14_GIS_data/04_Statistic_data/01_Population/Ukr_pop_estimates_20230530_Oxford/sub-oblast_quarterly_population/admin3_disagg?csf=1&web=1&e=ObUAAV)
- Share of children based on data from the latest Oxford population estimates for Ukraine as of 30 April 2023 (Leasure DR, Dooley CA. 2023. Contemporary sub-national population estimates for Ukraine by age and sex estimated using social media activity and geolocated conflict events; link:

https://acted.sharepoint.com/:f:/r/sites/IMPACTUKR/Documents%20partages/General/00_Reference/14_GIS_data/04_Statistic_data/01_Population/Ukr_pop_estimates_20230530_Oxford/sub-oblast_quarterly_population/admin3_disagg?csf=1&web=1&e=ObUAAV)

Lack of coping capacity indicators

- Presence and number of water regulation facilities (dams, weirs, hydropower plants) within the river courses (Source: OpenStreetMap; Link: https://www.openstreetmap.org/).
- Density of conflict incidences per hromada - ACLED database (Conflict type = 'explosions/remote violence' 24.02.2022 – 02.06.2023), (link: https://acleddata.com/) - *data as of October 20, 2023*.
- Number of damaged hazardous and infrastructure facilities per hromada – Information from Ecodozor database compiled by ZoI environmental network (24.02.2022 – 30.09.2023); (Source: Ecodozor) - *updated data for September 2023*.
- Contamination area by ERW (explosive remnants of war), including land mines (Source: SESU). - *Data as of December 2022.*

Additional data sources of information for refinement of methodology to the local context will embrace:

- Information on river courses with more than average probability of floods included in the Flood risk management plans adopted by the Government of Ukraine (link: https://www.kmu.gov.ua/npas/pro-zatverdzhennia-planiv-upravlinnia-ryzykamy-zatoplennia-na-okremykh-terytoriiakh-u-mezhakh-raioniv-baseiniv-richok-895-081022).
- Various REACH thematic assessments, methodology guidelines and relevant data sets (e.g., https://repository.impact-initiatives.org/document/reach/c6793974/REACH_CAR_FloodRisk_Methodology_06July2020_EN.pdf).
- Information on settlement boundaries (Source: OCHA/SSE Kartografia. Link: https://www.openstreetmap.org)

3.4 Primary Data Collection

The data will be collected by IMPACT Field Unit by CATI (computer-assisted telephone interview) or face-to-face (f2f) interview with pre-identified relevant stakeholders (for KIs) and HH who live in flood-prone areas and have been affected by floods in selected hromadas. Expected time for data collection is January-February 2024 for the area-based stream. Before that, consultations with national level experts and officials are planned for November-December 2023.

In case of f2f interview the KOBO/ODK Collect application will be used. Debriefing of enumerators is expected to be the main tool for data quality monitoring.

3.5 Data Processing & Analysis (for the qualitive component)

Qualitative KIIs will be recorded (when consent is given), and interviewers will take notes. Enumerators will transcribe these notes, using recordings to consolidate, as soon as possible after the discussions. All data cleaning and analysis will be reviewed by the IMPACT HQ Research Department before the output production.

Qualitative data will be analysed and coded using a data saturation grid (DSAG) according to the IMPACT Qualitative Data Analysis Guidelines. As data is collected, the grid will be completed daily, monitoring all new discussion topics and adding in new rows using an inductive and iterative method.

3.6 Limitations

Possible limitations of the assessment include, but are not limited to:

- Methodology: lack of accurate and complete spatial information on the residential, critical and flood protection infrastructure, areas affected during the recent major flood events, data on up-to-date population across the country, including IDPs; flood-prone areas defined in official flood risk management plans might not indicate all the areas with high natural flood susceptibility.
- Context: sensitivity of information about hydrological infrastructure might cause the refusal to provide it or participate in the assessment by representatives of government organisations; low priorities of civil protection against the natural hazards amid the ongoing military conflict may lead to the reluctance during the primary data collection and dissemination of results.

The above-mentioned limitations can be mitigated by identifying highly-motivated experts and stakeholders for primary data collection, and the extensive revision and utilisation of secondary datasets based on satellite imagery. In addition, relevant data and list of stakeholders is foreseen to be received at the stage of consultation with national experts to inform DAP development and design of second phase of the assessment.

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 risks as a direct result** of participation in data collection?	Yes	
… Does not involve **collecting information on specific topics which may be stressful and/ or re-traumatising** for research participants (both respondents and data collectors)?	Yes	
… 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

Task Description	Responsible	Accountable	Consulted	Informed
Research design	Senior GIS Officer (SGISO), GIS Specialist	Research manager (RM), Associate research manager (ARM), GIS Manager	Research Design & Data Unit (RDDU) at IMPACT HQ, Deputy Country Coordinator (DCC),	IMPACT HQ, Shelter Cluster Coordinator

			Country Representative (CR)	
Supervising data collection	SGISO, GIS Specialist	ARM	HQ (IMPACT Research Design and Data Unit (RDDU))	RM
Data processing (checking, cleaning)	SGISO, GIS Specialist	ARM	HQ (IMPACT Research Design and Data Unit (RDDU))	RM
Data analysis	SGISO, GIS Specialist	ARM	Data Team, HQ (IMPACT Research Reporting Unit (RRU))	RM
Output production	SGISO, GIS Specialist	ARM, RM, GIS Manager	HQ (IMPACT Research Reporting Unit (RRU))	CR
Dissemination	SGISO, GIS Specialist	ARM, RM, SGISO, GIS Specialist	Deputy Country Coordinator (DCC), CR	HQ (IMPACT Research Reporting Unit (RRU))
Monitoring & Evaluation	SGISO, GIS Specialist	ARM, RM	DCC, CR	Research Department at IMPACT HQ
Lessons learned	ARM, SGISO, GIS Specialist	ARM, RM	DCC, CR	Research Department at IMPACT HQ

6. Data Analysis Plan

The Data Analysis Plan will be delivered after ToR validation and consultations with external stakeholders in a separate Excel file.

7. Data Management Plan

Administrative Data				
Research Cycle name	*UKR2215 – Flood risk assessment*			
Project Code	*BHA 2024 (Code upcoming)*			
Donor	*BHA*			
Project partners	*N/A*			
Research Contacts	*Anatoliy Smaliychuk anatoliy.smaliychuk@reach-initiative.org* *Liliia Yurkiv liliia.yurkiv@reach-initiative.org* *William Kilner william.kilner@impact-initiatives.org* *Antoine Chandonnet antoine.chandonnet@impact-initiatives.org*			
Data Management Plan Version	*Date: 10/11/2023*	*Version:1*		
Related Policies	*IMPACT, Management of Personal Data, SOPs,*			
Documentation and Metadata				
What documentation and metadata will accompany the data?	X	Data analysis plan	□	Data Cleaning Log, including: □ Deletion Log □ Value Change Log

Select all that apply	□	Code book	□	Data Dictionary
	□	Metadata based on HDX Standards	□	[Other, Specify]
Ethics and Legal Compliance				
Which ethical and legal measures will be taken?	X	Consent of participants to participate	□	Consent of participants to share personal information with other agencies
	□	No collection of personally identifiable data will take place	X	Gender, child protection and other protection issues are taken into account
	X	All participants reached age of majority		[Other, Specify]
Who will own the copyright and Intellectual Property Rights for the data that is collected?	*IMPACT*			
Storage and Backup				
Where will data be stored and backed up during the research?	□	IMPACT/REACH Kobo Server	□	Other Kobo Server: *[specify]*
	X	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?	X	Password protection on devices/servers	X	Data access is limited to specified REACH staff only
	□	Form and data encryption on data collection server	□	Partners signed an MoU if accessing raw data
	□	[Other, Specify]		

Kobo Access Rights

Account Name(s)	Person(s)	Type of Kobo access
[Insert account name(s)] *[Add relevant number of rows for access rights]*	*[Insert name(s)]*	□ View □ Submit Data □ Edit □ Download Data
[Example for enumerators] enumeratorsaccount@impact-initiatives.org	*Enumerator*	X View X Submit Data □ Edit □ Download Data
*[Example for the **single individual** who will be awarded the right to download the raw data]*	*Responsible analyst's name*	X View □ Submit Data □ Edit X Download Data

Raw Data Access Rights

Raw Data Access	Reason	Person
Accountable	Accountable	*Anatoliy Smaliychuk, Liliia Yurkiv*
Access	Enumerator – transcription Field Officer – responsible for transcription Translation officer – translating transcripts	*TBD* *Roxana Kuranova* *TBD*

Preservation

Where will data be stored for long-term preservation?	X	IMPACT / REACH Global Cloud / Physical Server	□	OCHA HDX
	X	REACH Country Server	□	[Other, Specify]
Data Sharing				
Will the data be shared publically?	□	Yes	X	No, only with mandating agency / body
Will all data be shared?	□	Yes	X	No, only anonymized/ consolidated data will be shared
	□	No, [Other, Specify]		
Where will you share the data?	□	REACH Resource Centre	□	OCHA HDX
	□	HumanitarianResponse	X	[Other, Specify]
Data protection risk assessment				
Have you completed the Indicators Risk Assessment table below?	□	Yes	X	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 phone number, professional affiliation		Loss of privacy/potential target of armed actors	Build trust during data collection, follow up for data cleaning	B1	To be deleted after data cleaning.

Responsibilities	
Data collection	*Field Coordinator, Yuliia Lastochkina yuliia.lastochkina@impact-initiatives.org*
Data cleaning	*Liliia Yurkiv liliia.yurkiv@reach-initiative.org* *Anatoliy Smaliychuk anatoliy.smaliychuk@reach-initiative.org*
Data analysis	*Liliia Yurkiv liliia.yurkiv@reach-initiative.org* *Anatoliy Smaliychuk anatoliy.smaliychuk@reach-initiative.org*
Data sharing/uploading	*Liliia Yurkiv liliia.yurkiv@reach-initiative.org* *Anatoliy Smaliychuk anatoliy.smaliychuk@reach-initiative.org*

8. Monitoring & Evaluation Plan

IMPACT Objective	External M&E Indicator	Internal M&E Indicator	Focal point	Tool	Will indicator be tracked?
Humanitarian stakeholders are accessing IMPACT products	Number of humanitarian organisations accessing IMPACT services/products	# of downloads of x product from Resource Center	Country request to HQ	User_log	□ Yes
		# of downloads of x product from Relief Web	Country request to HQ		□ Yes
		# of downloads of x product from Country level platforms	Country team		□ Yes

	Number of individuals accessing IMPACT services/products	# of page clicks on x product from REACH global newsletter	Country request to HQ		□ Yes
		# of page clicks on x product from country newsletter, sendingBlue, bit.ly	Country team		□ Yes
		# of visits to x webmap/x dashboard	Country request to HQ		□ Yes
IMPACT activities contribute to better program implementation and coordination of the humanitarian response	Number of humanitarian organisations utilizing IMPACT services/products	# references in HPC documents (HNO, SRP, Flash appeals, Cluster/sector strategies)	Country team	Reference_log	*[List here relevant HPC-documents to be monitored: E.g. Iraq HNO 2018, Iraq Flash Appeal Mosul, Shelter Cluster strategy]*
		# references in single agency documents			*[List here relevant agency-documents to be monitored: E.g. UNHCR Country Strategy, UNICEF WASH Response Strategy]*
Humanitarian stakeholders are using IMPACT products	Humanitarian actors use IMPACT evidence/products as a basis for decision making, aid planning and delivery Number of humanitarian documents (HNO, HRP, cluster/agency strategic plans, etc.) directly informed by IMPACT products	Perceived relevance of IMPACT country-programs	Country team	Usage_Feedback *and* Usage_Survey template	*[Outline here the usage survey to be implemented for this research cycle* *E.g. Usage survey to be conducted in November 2017, following the release of x outputs, targeting at least 10 partners* *E.g. Usage survey to be conducted at the end of the research cycle related to all outputs, targeting at least 20 partners]*
		Perceived usefulness and influence of IMPACT outputs			
		Recommendations to strengthen IMPACT programs			
		Perceived capacity of IMPACT staff			
		Perceived quality of outputs/programs			
		Recommendations to strengthen IMPACT programs			
Humanitarian stakeholders are engaged in IMPACT programs throughout the research cycle	Number and/or percentage of humanitarian organizations directly contributing to IMPACT programs *(providing resources, participating to presentations, etc.)*	# of organisations providing resources (i.e.staff, vehicles, meeting space, budget, etc.) for activity implementation	Country team	Engagement_log	□ Yes
		# of organisations/clusters inputting in research design and joint analysis			□ Yes
		# of organisations/clusters attending briefings on findings;			□ Yes