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| **Research Terms of Reference**  **Humanitarian Situation Monitoring**  **UKR2206B**  **Ukraine** | |
| **February 2024**  **V2** | **C:\Users\Megan\AppData\Local\Microsoft\Windows\INetCache\Content.Word\REACH logo white (for a coloured background).jpg** |

# Executive Summary

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| **Country of intervention** | *Ukraine* | | | | | | | |
| **Type of Emergency** | □ | Natural disaster | X | Conflict | | | □ | Other *(specify)* | |
| **Type of Crisis** | X | Sudden onset | □ | Slow onset | | | □ | Protracted | |
| **Mandating Body/ Agency** | *OCHA* | | | | | | | |
| **IMPACT Project Code** | *64BAO, 64BAJ, 64BAG* | | | | | | | |
| **Research Timeframe**  *Add planned deadlines (for first cycle if more than 1)* | 1. Pilot/ training: 04/03/2024 | | | | 7. Outputs validated/published: 18/04/2024 | | | |
| 2. Start collect data: 04/03/2024 | | | | 8. HSM Round 16 data collection: 29/04/2024 – 12/05/2024 | | | |
| 3. Data collected: 22/03/2024 | | | | 9. HSM Round 17 data collection: 17/06/2024 – 30/06/2024 | | | |
| 4. Data cleaned/aggregated/validated: 28/03/2024 | | | | 10. HSM Round 18 data collection: 12/08/2024 – 25/08/2024 | | | |
| 5. Dashboard updated: 12/04/2024 | | | | 11. HSM Round 19 data collection: 07/10/2024 – 20/10/2024 | | | |
| 6. Outputs sent for validation: 11/04/2024 | | | | 12. HSM Round 20 data collection: 02/12/2024 – 15/12/2024 | | | |
| **Humanitarian milestones**  *Specify* ***what*** *will the assessment inform and* ***when***  *e.g. The shelter cluster will use this data to draft its Revised Flash Appeal;* | **Milestone** | | | | **Deadline** | | | |
| □ | Donor plan/strategy | | | \_ \_/\_ \_/\_ \_ \_ \_ | | | |
| X | Inter-cluster plan/strategy | | | Ongoing | | | |
| X | Cluster plan/strategy | | | Ongoing | | | |
| □ | NGO platform plan/strategy | | | \_ \_/\_ \_/\_ \_ \_ \_ | | | |
| □ | Other (Specify): | | | \_ \_/\_ \_/\_ \_ \_ \_ | | | |
| **Audience Type & Dissemination** *Specify* ***who*** *will the assessment inform and* ***how*** *you will disseminate to inform the audience* | **Audience type** | | | | **Dissemination** | | | |
| X Strategic  X Programmatic  X Operational  □ [Other, Specify] | | | | X General Product Mailing (ICCG)  X Cluster Mailing (Health, Shelter, WASH, FSL, Education) and presentation of findings at cluster /working group meetings  X Presentation of findings (e.g. at HCT meeting; Cluster meeting)  X Website Dissemination (Relief Web & REACH Resource Centre)  □ [Other, Specify] | | | |
| **Detailed dissemination plan required** | □ | Yes | | | X | No | | |
| **General Objective** | *To assist humanitarian actors in making more informed decision about the scale, scope and location of the humanitarian situation through providing detailed information on humanitarian needs and vulnerabilities, displacement dynamics, and service access issues in settlements across Ukraine and how humanitarian needs have changed over time.* | | | | | | | |
| **Specific Objective(s)** | * *To identify immediate shelter/NFI (Non-food items), food and livelihood, WASH (Water, Sanitation, Hygiene), health, and protection concerns / needs in conflict-affected areas, particularly the areas close to the frontline, areas retaken by the Government of Ukraine (GoU), and the areas beyond the GoU control.* * *To identify shelter/NFI, food and livelihoods, WASH, health, education and protection sectoral vulnerabilities in conflict-affected areas, particularly the areas close to the frontline.* * *To monitor IDP (Internally displaced people) and returnee presence and assess immediate shelter/NFI, food and livelihood, WASH, health, and protection concerns / needs in areas with recent arrivals.* * *To identify information needs and preferences of affected populations, and barriers to accessing humanitarian assistance.* * *To monitor how humanitarian needs have changed over time (since the conflict escalation in February 2022 till the period of the ongoing data collection).* | | | | | | | |
| **Research Questions** | * *What are the needs and vulnerabilities of populations in conflict affected areas (particularly the areas close to the front line,areas retaken by the GoU, and the areas beyond the GoU control) with regards to shelter/NFI, food and livelihood, WASH, health, education and protection?* * *What are the immediate shelter/NFI, food and livelihood, WASH, health, education and protection concerns / needs, in areas with recent arrivals?* * *What are the information needs and barriers to humanitarian assistance in conflict affected areas and/or settlements with IDP presence?* * *How have humanitarian needs changed over time since the conflict escalation in February 2022 till the period of the ongoing data collection?* | | | | | | | |
| **Geographic Coverage** | *This assessment will be conducted nation-wide, whereby 24 oblasts will be assessed through a two-fold process and methodology. Depending on access (and therefore choice of methodology) two main geographic areas can be distinguished:*   * *Ukrainian Government-controlled areas (GCAs): specifically looking at settlements close to the front line and in areas retaken by the GoU.* * *Areas beyond/not under the control of the Government of Ukraine.* | | | | | | | |
| **Secondary data sources** | * Live Universal Awareness Map (LIVEUAMAP),[[1]](#footnote-2) * REACH Initiative: Multi-Sector Needs Assessment,[[2]](#footnote-3) * ACLED – Ukraine crisis analysis,[[3]](#footnote-4) * IOM Displacement Tracking Matrix (DTM),[[4]](#footnote-5) * OCHA: Humanitarian Needs and Response Plan (2024),[[5]](#footnote-6)   More detailed information can be found under Point 3.3. Secondary Data Review in the Methodology Section. | | | | | | | |
| **Population(s)** | □ | IDPs in camp | | | X | IDPs in informal sites | | |
|  | X | IDPs in host communities | | | □ | IDPs [Other, Specify] | | |
|  | □ | Refugees in camp | | | X | Returnees | | |
|  | □ | Refugees in host communities | | | □ | Refugees [Other, Specify] | | |
|  | X | Host communities | | | X | Non-displaced | | |
| **Stratification** | X | Geographical #:  1) Ukrainian Government-controlled areas (Zone A – areas within 30 km from the front line and the state border with the Russian Federation; Zone B – areas within 30-100km from the front line and the state border with the Russian Federation, NAAs; Zone C – ‘Rest of GCA’);  2) Areas beyond/not under the control of the Government of Ukraine (GoU) (Zone D)  Population size per strata is known?  □ Yes X No | □ | Group #:  Population size per strata is known?  □ Yes □ No | | | □ | Group #: \_ \_  Population size per strata is known?  □ Yes □ No |
| **Data collection tool(s)** | X | Structured (Quantitative) | | | X | Semi-structured (Qualitative) | | |
|  | **Sampling method** | | | | **Data collection method** | | | |
| **Structured data collection tool # 1** | X Purposive  This tool will be used to interview representatives from local government, local non-profit organisations and community-based organisations as well as representatives of organisations representing specific population groups (e.g., internally displaced people (IDPs), people with disabilities, older persons, etc.) | | | | X Key informant interview (Target #):1411  See more detailed sample plan in [Annex 1](#_Annex_1:_Sample) | | | |
| **Structured data collection tool # 2** | X Purposive  This tool will be used to interview people who have recently (within 14 days prior to data collection) been displaced from the areas beyond/not under the control of the Government of Ukraine, or are in regular contact with people who have stayed there  X Snowballing | | | | X Key informant interview (Target #):  No threshold of KIIs set per settlement  See more detailed sample plan in [Annex 2](#_Annex_2:_Sample) | | | |
| **Semi-structured data collection tool (s) # 3** | X Purposive  The tool will be used as a one-off addition to the regular HSM Data collection in Round 15 to interview:   * people that have been displaced within 3 months prior to data collection from the areas beyond the GoU control, as well as * representatives of the response actors that have operations or aid programs in those areas. | | | | x Key informant interview (Target #): 21  See a more detailed sample plan in the methodology section | | | |
| **Semi-structured data collection tool (s) # 4** | X Purposive  The tool will be used as a one-off addition to the regular HSM Data collection in Round 15.  The tool will be used to conduct focus group discussions with two population groups (returnees and non-displaced people) in the settlements retaken by the GoU. | | | | X Focus group discussions (Target #): 10  See a more detailed sample plan in the methodology section | | | |
| **Data management platform(s)** | X | IMPACT | | | □ | UNHCR | | |
|  | □ | [Other, Specify] | | | | | | |
| **Expected ouput type(s)** | X | Situation overview #: 3  Findings from the semi-structured data collection on social cohesion (only in Round 15)  Findings from the structured data collection: focus on areas closer to the frontline  Findings from the structured data collection: focus on the areas beyond the GoU control | □ | Report #: \_ \_ | | | □ | Profile #: \_ \_ |
|  | □ | Presentation (Preliminary findings) #: \_ \_ | □ | Presentation (Final) #: \_ \_ | | | X | Factsheet #: |
|  | X | 2 Interactive dashboards  [1 Dashboard](https://dashboards.impact-initiatives.org/ukr/hsm/gca/) for settlements in the Ukrainian Government-controlled areas  1 Dashboard for settlements in the Areas beyond/not under the control of the Government of Ukraine | □ | Webmap #: \_ \_ | | | □ | Map #: \_ \_ |
|  | □ | [Other, Specify] #: \_ \_ | | | | | | |
| **Access** | X | Public (available on REACH resource center and other humanitarian platforms)  **Dashboard and situation overview(s) covering the Ukrainian Government-controlled areas** | | | | | | |
| X | Restricted (bilateral dissemination only upon agreed dissemination list, no publication on REACH or other platforms)  **Dashboard and situation overview(s) covering Areas beyond/not under the control of the Government of Ukraine** | | | | | | |
| **Visibility** *Specify which* ***logos*** *should be on outputs* | ***REACH*** | | | | | | | |
| ***Donor:*** *UHF, BHA, FCDO* | | | | | | | |
| ***Coordination Framework:*** *None* | | | | | | | |
| ***Partners:*** *None* | | | | | | | |

# Rationale

* 1. Background

Since the escalation of the conflict in February 2022, people in Ukraine have experienced wide-scale humanitarian needs across multiple sectors. Furthermore, the humanitarian situation continued to deteriorate throughout two years of the war as key civilian infrastructure continued being targeted (such as energy infrastructure particularly over the winter 2022-2023,[[6]](#footnote-7) the destruction of the Kakhovka Dam in June 2023,[[7]](#footnote-8) or renewed winter attacks targeting infrastructure since December 2023[[8]](#footnote-9)). As the war is entering its thirdyear, coping strategies are slowly exhausted and vulnerabilities are increasing, especially in areas closer to the front line.

In response to the lack or limited information available on the humanitarian needs, their scale, scope, and location, as well as service access challenges at the beginning of the conflict escalation in February 2022, REACH commenced a country-wide Humanitarian Situation Monitoring (HSM) in March 2022. Starting with a Rapid Needs Assessment as the first round, REACH has since then completed 13 additional rounds of data collection aiming to cover the existing information gaps on the humanitarian needs and how those have changed over time.

As the humanitarian response actors have gradually shifted the focus of their interventions and programming more towards the eastern areas of the country closer to the frontline that are directly affected by the conflict and are facing growing challenges because of the intensified attacks on key infrastructure, there has been a growing need for information about the humanitarian situation and humanitarian needs of people in these areas. Therefore, from February 2023, HSM’s 8th Round onwards, the data collection aims to contribute to filling these information gaps and support the evidence-based decision-making and response-planning in these areas.

* 1. Intended impact

Overall, the HSM intends to improve the understanding of the current humanitarian situation in Ukraine and inform response actors about immediate humanitarian needs in areas affected by the ongoing war in Ukraine. In addition, the HSM aims to highlight needs and barriers to accessing services in areas closer to the front line, areas retaken by the GoU, as well as provide indicative information on the humanitarian needs and service access constraints in areas beyond/not under the control of the GoU.

With the regular rounds of data collection, the HSM aims to provide response actors an indication on changes and trends through time. The information will be shared with various coordination mechanisms, agencies, and other actors that are involved in the response on a strategic, programmatic and/or operational level, intending to improve their understanding of the current situation and inform ongoing or planned humanitarian interventions.

Furthermore, the data presented in [Dashboard](https://dashboards.impact-initiatives.org/ukr/hsm/gca/) format will enable clusters (such as WASH, Health, Shelter, Protection, Education, FSL, and other clusters) and response actors (including international organisations and local implementing partners) to compare findings with the previous rounds and to conduct their own analysis. This will allow humanitarian actors to get a better overview of how humanitarian needs have changed over time, as well as get indicative information on the areas where a higher level of need or service access concerns have been registered throughout recent months for a timely and efficient response planning and programming.

In addition, with the newly introduced Settlement Vulnerability Index (SVI) framework, HSM aims to give humanitarian partners a quick but comprehensive overview of the existing overall and sectoral vulnerabilities at the settlement level. The SVI scores will serve as a starting point for HSM partners to identify the main drivers of the settlement-level vulnerabilities and the areas where settlements with heightened vulnerabilities are concentrated in, enabling (re)prioritisation of response activities where relevant.

# Methodology

3.1 Methodology overview

**3.1.1. Method Summary**

The assessment will consist of quantitative research using the Area of Knowledge (AoK) approach[[9]](#footnote-10) that is a data collection and analysis methodology for producing information on humanitarian conditions through quantitatively aggregated structured community Key informant interviews (KIIs).

* **Ukrainian Government controlled areas**: Settlements will be assessed through **Community Key Informant (CKI)** interviews using a structured data collection tool. The tool will capture information on immediate humanitarian needs experienced at the settlement level within 14 days prior to data collection. Interviews will be conducted remotely, over the phone. The selection of the CKIs will be done through a purposive sampling approach.
* **Areas beyond/not under the control of the Government of Ukraine**: Settlements will be assessed through CKI interviews with internally displaced people (IDPs) recently coming from the settlements of interest or in regular contact with people staying there within 14 days prior to data collection with the latter asked to provide information on the settlement they have been displaced from. The selection of the KIs will be done through a non-probability sampling approach based on the availability and presence of respondents in transit hubs/ data collection sites (see selection criteria in [3.4.2.](#_Methodology)).

Additionally, in response to the growing reports throughout past HSM rounds about social tensions and discrimination of certain population groups, primarily in areas beyond the control of the GoU, a one-off qualitative component will be launched in Round 15. For the purpose of exploring unique factors impacting social cohesion in frontline communities in GCAs, a parallel semi-structured data collection will also be launched in areas retaken by the GoU.

In both areas, the following questions will be explored.

* What are the dynamics of social relationships in the areas of interest?
* What are the manifestations of the social tensions within the community, if any?
* What community mechanisms are currently employed by the population to cope with social tensions in the area, if any?
* How can social tensions be mitigated or addressed by aid actors?

For this component, the following semi-structured tools will be used:

1. Focus group discussions in retaken areas in GCAs,
2. Due the increased sensitivity surrounding data collection and the notable information gap requiring in-depth approach, Key Informant (KI) interviews will be conducted in areas beyond the control of the GoU:
   * KI interviews with IDPs coming from the areas beyond the GoU control,
   * KI interviews with representatives of response actors that have operations and/or aid programs in the areas beyond the control of the GoU.

**3.1.2. Key definitions**

* **Area of Knowledge (AoK)**: It is a data collection and analysis methodology that entails interviewing KIs about communities which they have declared having recent knowledge of and aggregating resulting KI responses at community-level for each assessed community (settlement).
* **Government-controlled areas:** Areas that are under the control of the GoU at the time of sampling, as monitored by LiveUA.
* **Areas beyond the GoU control**: Areas that are beyond/not under the control of the GoU at the time of sampling, as monitored by LiveUA.
* **Front line**: Areas along which ground hostilities are taking place (as monitored by LiveUA).
* **Areas close to the front line**: Areas that are within 30 km range from the front line at the time of the sampling (as monitored by LiveUA) or the state border with the Russian Federation.
* **Retaken areas**: Areas that have been beyond the control of the GoU since the escalation of the conflict on 24 February 2022 and have since been retaken by the GoU.
* **IDP-hosting areas**: IDP-hosting settlements that are identified based on the KIs in the assessed settlement reporting the presence of IDPs in their settlement at the time of data collection.
  1. Population of interest

**3.2.1. Geographical area assessed**

Through the two approaches described above, the assessment aims to achieve country-wide coverage.[[10]](#footnote-11)

Settlements to be assessed will be selected from 24 oblasts, stratified according to two area categories, and including 4 geographic zones that are distinguished based on the level of access and, therefore, selected methodology.

* **Ukrainian Government-controlled areas:** specifically looking at settlements in the following zones:
  + **Zone A:** Areas within 30 km range from the front line at the time of sampling, as monitored by LiveUA, and the state border with the Russian Federation,
  + **Zone B:** Areas within 30-100 km range from the front line at the time of sampling, as monitored by LiveUA, NAAs, and raions intersecting with these areas by 50% of the raion territory.
  + **Zone C:** Remaining areas within the control of the GoU.
* **Non-government-controlled areas:**
  + **Zone D:** Areas beyond/not under the control of the GoU.

**3.2.2. Population assessed**

**Population of interest:** In recognition of the urgent need for data from areas close to the front line, areas retaken by the GoU, this assessment focuses on conflict-affected populations in these areas, as well as the areas beyond/not under the control of the GoU. Through the CKI approach, key informants will be also asked to report about the humanitarian situation and humanitarian needs in their settlements of knowledge, specifically focusing on the groups of population they represent or have information about.

**Assessed population:** In Government-controlled areas, local government representatives, NGO staff, and representatives of specific population groups (such as IDPs, returnees, older persons, children, women, people with disabilities) are interviewed, while in Areas beyond/not under the control of the GoU, IDPs that have recently been displaced from those areas or are in regular contact with people who have stayed there will be interviewed.

**3.2.3. Unit of measurement**

Data is collected at the lowest possible administrative unit – defined according to its population size by the Ukrainian government,[[11]](#footnote-12) to ensure that the area for which KIs are providing information corresponds directly to their actual area of knowledge, thereby mitigating unfounded deductions. The data will be aggregated to the settlement level and overall findings will be presented at the oblast level and/or raion level.

The level of coverage (proportion of settlements assessed in each oblast/geographic area) will be declared for each product when results are presented.

* 1. Secondary data review

The sources provided below will be used to aid understanding of context and verify/triangulate or simply complement primary data and findings.

Primary Sources

* [OCHA | Ukraine 2024 Humanitarian Needs and Response Plan (HNRP)](https://reliefweb.int/report/ukraine/ukraine-humanitarian-needs-and-response-plan-2024-december-2023-enuk?_gl=1*1wbwj7r*_ga*MjAyNDgxNzA1NS4xNzA3NjcxMjMw*_ga_E60ZNX2F68*MTcwNzY4MDY4NC4yLjEuMTcwNzY4MDcwMy40MS4wLjA.)
* [OCHA | Ukraine Situation Reports](https://reports.unocha.org/en/country/ukraine/)
* [UNHCR | Ukraine Situation Flash Updates](https://data.unhcr.org/en/search?country=&text=%22Ukraine%20situation:%20Flash%20Update%22&type%5B0%5D=link&type%5B1%5D=news&type%5B2%5D=highlight&type%5B3%5D=document&type%5B4%5D=needs_assessment&type%5B5%5D=dataviz&partner=&working_group=&sector=&date_from=&date_to=&uploader=&country_json=%7B%220%22:%22%22%7D&sector_json=%7B%220%22:%22%22%7D&apply=&page=1)
* [IOM DTM | Internal Displacement Reports](https://dtm.iom.int/reports?f%5B0%5D=report_country_facet%3A201)
* [USAID | Ukraine Complex Emergency Fact Sheets](https://www.usaid.gov/humanitarian-assistance/ukraine)
* [UNICEF | Ukraine Situation Reports](https://www.unicef.org/appeals/ukraine/situation-reports)
* [Data Friendly Space | Ukraine Analyses](https://datafriendlyspace.org/ukraine-analyses/)
* [ACAPS | Ukraine Special Reports](https://www.acaps.org/country/ukraine/special-reports)
* [REACH Initiative | Multi-Sectoral Needs Assessment](https://www.impact-initiatives.org/resource-centre/?category%5b%5d=information_products&category%5b%5d=data_methods&location%5b%5d=250&programme%5b%5d=756&order=latest&limit=10)
* [REACH Initiative | Other relevant information products](https://www.impact-initiatives.org/resource-centre/?category%5b%5d=information_products&category%5b%5d=data_methods&location%5b%5d=250&order=latest&limit=10)
* Official websites and/or channels of local and national authorities
* Local and International media sources

Sources used less frequently (dependent on their availability)

* [WFP Ukraine | Food Security Reports](https://www.wfp.org/publications?text=ukraine&f%5B0%5D=publication_type%3A2190)
* [WHO | Ukraine Emergency Situation Reports](https://www.who.int/emergencies/situations/ukraine-emergency)
* [ICRC | News Releases](https://www.icrc.org/en/resource-centre/result?r%5b0%5d=document_type%3A%22News+release%22&r%5b2%5d=places%3A%22Europe+and+Central+Asia%22&sort=date+desc)
* [Save the Children International | News & Stories](https://www.savethechildren.net/news-stories)
* [IFRC | Operation Updates](https://www.ifrc.org/appeals?date_from=&date_to=&location%5B%5D=6339&type%5B%5D=8&type%5B%5D=13&type%5B%5D=19&type%5B%5D=20&type%5B%5D=21&type%5B%5D=22&type%5B%5D=6514&appeal_code=&text=)
* Clusters in Ukraine: situation reports
* [Institute for the Study of War (understandingwar.org) | Ukraine Conflict Updates](https://www.understandingwar.org/backgrounder/ukraine-conflict-updates)
  1. Primary Data Collection

**3.4.1. Method**

**Structured interviews:** While in both GCAs and the Areas beyond the GoU control the AoK method will be used for structured data collection, it will differ based on direct or indirect level of knowledge on the settlement of interest.

* **Direct AoK in GCAs: Community Key Informant (CKI) interviews** will be collected using a structured tool, built on the data analysis plans (DAP) of the previous 7 research cycles (HSM Rounds 8 – 14) as the HSM DAP was fundamentally restructured for HSM Round 8. Interviews will be conducted via Computer-assisted telephone interviews (CATI) by Kyiv International Institute of Sociology (KIIS), the data collection partner of REACH. REACH and KIIS have worked together on numerous assessments in past years, including HSM and Calibration Assessment, and KIIS is therefore familiar with and is instructed to adhere to REACH data quality standards.
* **Indirect AoK in the areas beyond the GoU control:** Interviews will be conducted with IDPs coming from the settlements of interest in the areas beyond/not under the control of the GoU within the 14 days before data collection. The AoK approach will be operationalised at collective centres and humanitarian support points throughout locations that have experienced a high influx of IDPs and/or are known transit centres for people displacing to other areas in Ukraine or abroad. These locations include Kyiv, Lviv, Dnipro, Poltava, Vinnytsia, Khmelnytskyi, Kropyvnytski, Zaporizhzhia, Odesa, Kharkiv, Kryvyi Rih, and Mykolaiv. For this data collection component, face-to-face data collection will take place via REACH enumerators who will select research participants through a non-probability sampling approach based on the availability of the respondent and presence in the locations of data collection. Exceptions can be made for raions that are difficult to cover through the face-to-face AoK method (e.g., due to limited recent displacement to transit hubs), and towards the end of data collection, a snowballing approach will be used to gather contact details of IDPs recently displaced from the relevant raions of interest, and they will be interviewed by phone. KIs from previous rounds who have agreed to be contacted again for the following rounds of data collection may also be interviewed by phone.

**Semi-structured methods:** While in both GCAs and the Areas beyond the GoU control the semi-structured tools will be used to gain a more in-depth understanding of the social relations within the areas of interest and the impact of the reported social tensions on access to essential services and humanitarian aid for the population, the method used will differ between GCAs and the Areas beyond the GoU control.

* Focus group discussions (FGDs) will be conducted in the selected GCA settlements retaken by the GoU. Separate FGDs will be conducted with two different groups in the community: non-displaced community members who have not left the area following the escalation of the war in February 2022, and returnees who have been displaced for more than 14 days due to the war and had since returned to their settlement of origin. The participants will be chosen through purposive sampling.
* Semi-structured face-to-face and remote key informant interviews (KII) will be conducted to assess the social relations in the areas beyond the GoU control.
  + Indirect AoK KIIs will be conducted with IDPs who will be selected through purposive sampling. All KIs will be providing information about the situation in the settlement of their origin.
  + Several KIIs will be conducted with representatives of response actors involved in aid programming in areas beyond the control of the GoU, aiming to gather additional insights on the impact of social tensions on the aid provision, as well as possible modes of mitigating them.

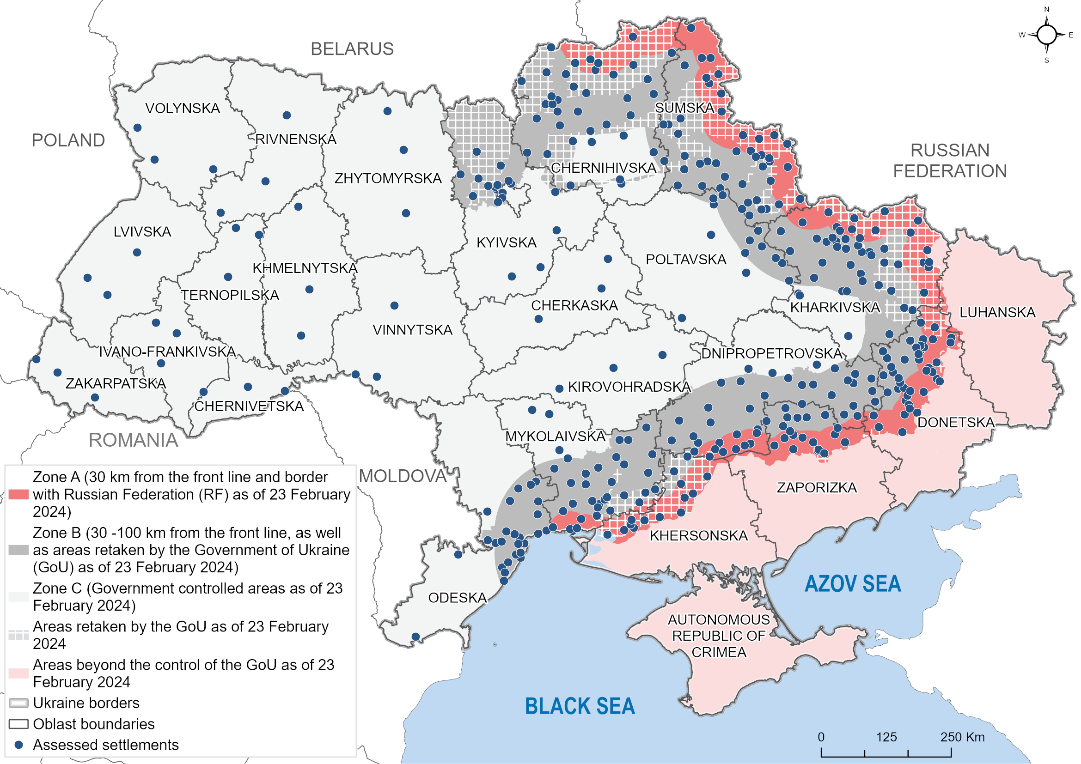
**3.4.2. Sampling**

As with the overall method, sampling differs between GCAs and the Areas beyond/not under the control of the Government of Ukraine.

**Structured KI interviews:**

* **Ukrainian Government-controlled areas**:

In each GCA settlement, a purposive sampling methodology will be implemented. The assessment will target representatives from local government, local non-profit organisations, and representatives of specific population groups. To get a more even spread of respondents representing specific population groups, representatives of the following population groups are targeted: older persons, people with disabilities, children, women, IDPs, returnees, and others. If present in the selected settlements, they will be asked to focus on the humanitarian situation of this specific group within the settlement when responding to the questions in the tool.



* + **Zone A** – settlements within the 30 km zone from the front line (as monitored by LiveUA at the time of sampling) and the state border with the Russian Federation.
    - ‘Administrative centre’ approach will be applied, sampling all types of administrative centres (including hromada, raion, and oblast centres) in the Zone, both urban and rural settlements. The rationale behind is that the level of needs and service access constraints reported by KIs in ‘administrative centres’ can be considered as indicative of the situation in other non-centre settlements, particularly the ones that have administrative or governance links with the centres (e.g. settlements within a single hromada).
    - Settlements with a pre-war population size of less than 1,000 people were excluded from the sample.
    - In the case of oblasts which do not have any settlements categorised as administrative centres within the Zone A (such as Chernihivska oblast), urban settlements will be purposively selected along with one third of the rural settlements (selected randomly) from among those settlements in the oblast which have not been excluded based on the pre-war population size criteria. In the case that KIIS does not have contacts in a certain rural settlement, they can randomly select another rural settlement within the same oblast.
    - Non-administrative centre settlements, primarily with a significance similar to administrative centres, can purposively added to the sample per relevance to response programming, identified information gaps, and other factors pertinent to evidence-based decision-making in the humanitarian context.[[12]](#footnote-13)
  + **Zone B –** settlements within 30-100km zone from the front line, retaken areas, and raions intersecting these areas with 50%.
    - Similar to Zone A, ‘Administrative centre’ approach will be applied, sampling all types of administrative centres (including hromada, raion, and oblast centres) in the Zone, both urban, urban-type, and rural settlements.
    - Settlements with a pre-war population size of less than 1,000 people were excluded from the sample.
    - To align with the purpose of the current and following rounds of HSM data collection (in terms of a greater focus on the humanitarian situation in areas closer to the frontline and higher level of exposure to conflict incidents), in the case of oblasts which do not include any settlements from areas retaken by the GoU (such as Dnipropetrovska and Odeska oblasts), the rural settlements farther from the frontline will be purposively excluded from the sample (beyond 70 km).
    - Furthermore, in the case of Odeska oblast only one third of non-excluded rural settlements in each raion will be selected randomly aiming to avoid over-representation of settlements from Odeska oblast in the overall sample of the Zone B. In the case that KIIS does not have contacts in a certain rural settlement, they can randomly select another rural settlement within the same raion.
    - Non-administrative centre settlements, primarily with a significance similar to administrative centres, can purposively added to the sample per relevance to response programming, identified information gaps, and other factors pertinent to evidence-based decision-making in the humanitarian context.[[13]](#footnote-14)
  + **Zone C –** “Rest of GCAs”
    - ‘Administrative centre’ approach will be applied in this Zone as well. Unlike Zones A and B, as Zone C covers a wider area and larger number of settlements, only a select number of administrative centres will be sampled for the assessment. In each oblast, three settlements (urban and rural) will be purposively sampled:
      * For oblasts that have their centres within Zone C: one oblast centre (urban settlement), one urban raion centre (urban or urban-type settlement), and one hromada-level centre within a rural raion (rural settlement) will be selected.
      * For oblasts that have their centres within Zones A or B (the oblast centres in these cases will already be included in the sample of Zones A or B): 2 urban raion centres (urban and/or urban-type settlements), and 1 hromada-level centre within a rural raion (rural settlement) will be selected.
      * In both cases, oblast centres will be purposively selected, while the raion and hromada-level centres will be randomly selected. In cases where the selected raion centres overlap with the oblast centres, another raion centre will be randomly selected, and in cases where there are no raions categorised as urban raions within a given oblast, a raion centre of a rural raion (urban or urban-type settlement) will be randomly selected. In cases where the oblast area in the Zone C includes only one raion, hromada-level centres (urban or urban-type settlements) will be randomly selected for the missing number of urban raion centre(s).
    - Settlements with a pre-war population size of less than 1,000 people will be excluded from the sample.

To account for a possible higher variation in needs in units with a larger population size (irrespective of the type of the settlement: urban or rural), the number of KIs per settlement will differ for the **3 categories of unit of measurement** (settlements with population size of 1,000-9,999 prior to the conflict escalation,[[14]](#footnote-15) settlements with population size of 10,000 – 99,999 prior to the conflict escalation, settlements with population size of over 100,000 prior to the conflict escalation).[[15]](#footnote-16) The sample will include **3 KIs in every selected settlement with population size of 1,000-9,999 prior to the conflict escalation, 5 KIs in every selected settlement with population size of 10,000 – 99,999** prior to the conflict escalation**, and 7 KIs in every selected settlement with population size of over 100,000** prior to the conflict escalation.

Potential respondents matching the description will be identified in the database of data collection partner and/or REACH’s contacts database. In addition, the aim is to alternate between the groups of qualifying CKIs (local government workers, non-government organisations and representatives of specific population groups) to ensure a balance between the different target populations of CKIs. In Zone C, in the case that KIIS does not have contacts in a certain rural settlement, they can randomly select another rural settlement within the same oblast. See the below table for sample distribution and sample plan and entire sample frame in [Annex 1](#_Annex_1:_Sample).

Table 1: Sample summary of Government-controlled areas (updated every round in case of changes to the front line)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Urban settlements** | **Rural settlements** (including previous urban-type[[16]](#footnote-17) settlements) | **Number of settlements** | **Number of interviews** |
| **Zone A** | 35 | 74 | 109 | 399 |
| **Zone B** | 46 | 159 | 205 | 737 |
| **Zone C** | 38 | 19 | 57 | 275 |
| **GRAND TOTAL** | **119** | **252** | **371** | **1411** |

* **Areas beyond/not under the control of the Government of Ukraine:**



* + A minimum of **10% coverage** is set per raion in the areas beyond/not under the control of the GoU, including urban and rural settlements.
  + The oblasts included in the Areas beyond/not under the control of the GoU are Khersonska, Zaporizka, Kharkivska, Donetska, Luhanska, and Mykolaivska.
  + KIs surveyed include people that have been displaced (or have been/are in contact with someone who is still in the settlement who is providing updates on the situation) within the 14 days prior to data collection from a settlement within the areas beyond/not under the control of the GoU.
  + The following targets are set for the data collection: (1) 10% of all settlements within the Areas beyond/not under the control of the GoU is assessed; (2) 10% of the total number of settlements within each raion is assessed to ensure an even distribution within oblasts. Therefore, the sample plan will include at minimum 188 settlements within the six relevant oblasts (see sample frame in Annex 2).

**Semi-structured KI interviews and FGDs:**

* **Government-controlled areas:**

Focus group discussions will primarily focus on the areas retaken by the Government of Ukraine in Kharkivska and Khersonska Oblasts. In each Oblast, 2 settlements will be selected (1 rural and 1 urban) enabling identification of specific dynamics and/or social tensions depending on the type of the settlement. The settlements will be selected based on the HSM findings, primarily based on the reports of social tensions and/or discrimination among protection concerns, presence and new influx of returnees, overall level of vulnerabilities at the settlement level, and other relevant indicators. In each settlement, 2 FGDs will be organised with returnee and non-displaced population. In the urban settlements one additional FGD will be organised with returnees and/or non-displaced population. The population groups were identified based on the reports of social tensions between these groups primarily in the areas retaken by the GoU, as well as based on the preliminary findings of REACH Ukraine’s Area-based assessment in front-line areas[[17]](#footnote-18). Up to 8 participants will be involved in each FGD and will be balanced based on age and sex as much as possible.

***Table 1: FGDs in areas retaken by the GoU***

|  |  |  |
| --- | --- | --- |
| **Oblast** | **Settlement** | **No. of FGDs** |
| Kharkivska | Urban | 2 with returnees  1 with non-displaced people |
| Rural | 1 with returnees  1 with non-displaced people |
| Khersonska | Urban | 1 with returnees  2 with non-displaced people |
| Rural | 1 with returnees  1 with non-displaced people |

* **Areas beyond the GoU control:**

The key informant interviews (KIIs) will be conducted through a pre-determined purposive sampling method through which IDPs from areas beyond the control of the GoU as well as representatives of response actors with aid programming in those areas are selected for an interview. Both face-to-face interviews and remote interviews will be conducted by REACH enumerators or field officers. The following profiles will be targeted:

***Table 2: KII for areas beyond the control of the GoU***

|  |  |  |
| --- | --- | --- |
| **No.** | **Disaggregation** | **Number of interviews** |
| 1 | People whose settlement of origin is within 30 km from the front line (in the areas beyond the GoU control)   * Female, 18-59 y. old * Male, 18-59 y. old * Female, 60+ y. old * Male, 60+ y. old   \* 2 of the KIs will be selected to be either people with disabilities or having people with disabilities among their family that stayed in the areas beyond the GoU control  In addition, 2 of the KIs will also be selected based on their prior status of having been displaced within the areas beyond the GoU control prior to moving to the GoU controlled areas | 8 |
| 2 | People whose settlement of origin is further from the front line (in the areas beyond the GoU control)   * Female, 18-59 y. old * Male, 18-59 y. old * Female, 60+ y. old * Male, 60+ y. old   \* 2 of the KIs will be selected to be either people with disabilities or having people with disabilities among their family that stayed in the areas beyond the GoU control  In addition, 2 of the KIs will also be selected based on their prior status of having been displaced within the areas beyond the GoU control prior to moving to the GoU controlled areas | 8 |
| 3 | Representatives of response actors with aid programming in the areas beyond the control of the GoU | Up to 5 |

**3.4.3. Tools**

The tools used for the data collection are based on the DAP from the previous rounds of HSM data collection that incorporate inputs from cluster partners.

* Data collection in GCAs will be conducted by KIIS operators using the CATI method.
* Data collection in Areas beyond/not under the control of the GoU will be conducted using KOBO, and the access to it will be limited to enumerators and the list of REACH team who will each have their own level of access needed to perform relevant tasks.[[18]](#footnote-19) During data collection, enumerators will use smartphones for data inputs through KOBO.

The tools used for different zones will have slight variations: several questions will be excluded from a given zone depending on their relevance to the zone, including based on the findings from the previous rounds of HSM data collection.

**3.4.4. Briefing and debriefing of enumerators**

REACH enumerators will be trained prior to data collection in the use of KOBO as well as interviewing techniques and issues of protection of vulnerable populations.

KIIS enumerators will be trained separately on the HSM tool and guidance online to ensure they have the same understanding of the questions as REACH enumerators.

3.5 Data Processing & Analysis

**3.5.1. Data entry and cleaning process**

**Structured data collection in GCAs:** KIIS is tasked with data collection for the CKI interviews. Once completed, preliminarily cleaned raw data will be handed over to REACH for data cleaning and processing.

**Structured data collection in the areas beyond the GoU control:** Primary data will be collected through KOBO and exported to Excel. During primary data collection, the REACH Database Officer will review the data daily to ensure the data collection methodology is being followed by enumerators and investigate any extreme outliers or other problematic data, including ensuring that the sampling methodology is carried out in accordance with the sampling plan.

The data team will keep a log of any changes, including cleaning of data, aligning to [IMPACT’s Minimum Standards Checklist for Data Cleaning and Processing for Structured (Quantitative) Data](https://www.impact-repository.org/wp-content/uploads/2020/01/IMPACT_Memo_Data-Cleaning-Min-Standards-Checklist_28012020-1-1.pdf) as well as [IMPACT’s Data Protection SoPs](https://www.impact-repository.org/wp-content/uploads/2019/08/SOP_data_protection_PII.pdf). Cleaning of data will include conducting cross checks during data collection to ensure logical coherence and avoid errors, checking metadata is fully completed, ‘other’ responses are recoded accordingly, and all personalised data is removed from the dataset.

**Semi-structured data collection:** All KIIs and FGDs will be recorded, transcribed, and translated. In addition, every KII and FGD will be followed by completing an enumerator debrief form as per [IMPACT's Data Processing and Analysis Guidelines for Qualitative Data](https://acted.sharepoint.com/:w:/r/sites/IMPACT-Research/Shared%20Documents/1-1.1_RDD/2%20-%20Data/Guidelines%20%26%20Templates/2_Qual%20data%20processing%20%26%20analysis/1_IMPACT%20Qualitative%20Data%20Processing%20%26%20Analysis%20Guidelines_FINAL_V1.2_2023-06.DOCX?d=w44add7d00cfa460abd139c8592ba8cde&csf=1&web=1&e=7nogsP). Personally identifiable information (name and phone number) will be collected at the stage of identification of the potential KIIs following the consent of the respondents. This is necessary considering the short stay of the newly arriving IDPs from the areas beyond the GoU control in the transit points where the enumerators will be working to identify potential KIs for the data collection.

**3.5.2. Data analysis process**

Data analysis will be conducted by producing an aggregated dataset in Excel that will be used by REACH to generate dashboards, factsheets and/or briefing notes, as well as facilitate presentations of key findings. The data will be aggregated to the settlement level, while the overall findings may be presented at the oblast or raion level. Disaggregation of the findings will include geographic areas defined under 3.2.1. key definitions, as well as settlements with reported extreme or severe level of vulnerabilities, etc. as relevant for the analysis.

Additionally, the data from the GCAs will be used to calculate the Settlement vulnerability index (SVI). The SVI framework was developed based on HSM indicators to determine the severity of vulnerability at the settlement level. The SVI scores will be analysed by the Assessment team in order to identify assessed settlements with heightened vulnerabilities, as well as to identify the main drivers of these scores. The data utilized in the SVI score calculation is reported by KIs referring to the situation in the whole settlement, thus does not capture specific household inputs and potential nuances within individual household situations. Accounting for the different approaches, indicators used, and objectives, the current framework should not be understood as comparable with other similar frameworks, including by REACH. More details can be found in *3.5.4. SVI Framework*.

For semi-structured data collection, following transcription and translation, the analysis of data will take place using saturation grids aiming to identify common discussion topics and points.

**3.5.3. Data aggregation plan**

All KI responses from the same settlement will be aggregated to have one data point per variable per settlement. The HSM data collection will use the following data aggregation rules (similar to the ones used for the previous rounds):

1. ***Multiple-choice questions***
   * For direct AoK CKI interviews, select all options that have been reported/cited by at least 1 out of 3 KIs in settlements with population size of 1,000 – 9,999 prior to the conflict escalation, 2 out of 5 KIs in settlements with population size of 10,000 – 99,999 prior to the conflict escalation, and 3 out of 7 KIs in settlements with population size of over 100,000 prior to the conflict escalation.
   * For indirect AoK interviews, select all options that have been reported/cited by at least 40% of the respondents. If fewer than 3 KIs, select all options that have been reported/cited by at least 1 respondent.
2. **Single-choice questions**
   * **Average approach** will be used for single-choice questions. If a question has, for example, 5 ordinal response options which represent different levels of severity (1-5), and we have 4 KIs, one says severity 1, one says severity 2, one says severity 5, and one severity 4, then the team will aggregate the response by averaging the KI responses, i.e., 1+2+5+4/4=3, which will convert to the option of severity level 3.
   * In case of ‘even’ numbers (for example, 1 yes /1 no), report ‘no consensus’.
   * In case of response options ‘Don’t know’ or ‘Cannot estimate,’ these values will be considered as not applicable (‘NA’) and be left out of the calculation.

Example with **5 answers** from KIs:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Severity level** | **Options** | **Response** | **Calculation** | **Average response** |
| 4 | More than half | 1,1 | 8 | Half (score: 2.8) |
| 3 | Half | 1 | 3 |
| 2 | Less than half | 1 | 2 |
| 1 | None | 1 | 1 |

* ‘Always (24 hours)’: severity level 6, ‘Often (8-12 hours)’: severity level 5, ‘Several hours (4-8 hours)’: severity level 4, ‘Few hours (1-4 hours)’: severity level 3, ‘Less than 1 hour’: severity level 3, ‘Never’: severity level 1.
* ‘Most of the time every day or all the time’: severity 4, ‘A few hours every day’: severity 3, ‘Every few days’: severity 2, ‘Not at all’: severity 1.
* ‘Very significant influx’: severity 3, ‘Significant influx’: severity 2, ‘Small influx’: severity 1.
* ‘Extreme needs’: severity 5; ‘Severe needs’: severity 4, ‘High needs’: severity 3, ‘Moderate needs’: severity 2, ‘Limited/no needs’: severity 1.
* ‘None’: severity 1, ‘Only a few (less than 25%)’: severity 2, ‘Half or less than half (approximately (26-50%)’: severity 3, ‘More than half (approximately (51-75%)’: severity 4, ‘All or almost all (approximately (76-100%)’: severity 5.
* ‘Catastrophic’: severity 6, ‘Extreme’: severity 5, ‘Severe\_lv2’: severity 4, ‘Severe\_lv1’: severity 3, ‘Stress’: severity 2, ‘None/Minimal’: severity 1.
* ‘Increased significantly’: severity 4, ‘Increased’: severity 3, ‘No change’: severity 2, ‘Decreased’: severity 1.
* ‘Movement is not possible’: severity 4, ‘A lot of restriction’: severity 3, ‘Some restrictions’: severity 2, ‘No restrictions’: severity 1.
* ‘Only a few (less than 25%)’: severity 1, ‘Half or less than half (approximately (26-50%)’: severity 2, ‘More than half (approximately (51-75%)’: severity 3, ‘All or almost all (approximately (76- 100%)’: severity 4.

1. ***In case the question is a subset question***

For the "total number of settlements" we take the number of settlements that we get for the "master" question. E.g., if we have 7 out of 10 settlements selecting "access to water as a concern", for the "frequency of water interruptions" questions we consider only these settlements, and the total is "7 settlements" in the calculation.

**3.5.4. SVI Framework**

The SVI framework requires the calculation of individual composite scores for each sector, followed by a calculation of an inter-sectoral composite score as the final Settlement Vulnerability Index.

The framework is composed of HSM indicators across six sectors: Food Security and Livelihoods, Shelter and Non-food items (NFIs), Water, Sanitation, and Hygiene (WASH), Healthcare, Protection, and Education. The indicators incorporated in the calculation of sectoral scores were selected based on the information they capture regarding people’s access to basic services and essential items. The indicators not incorporated in the score will still be used as part of the analysis and reporting as a way to present a comprehensive overview of the situation in the assessed settlements.

‘Severity’ signifies the intensity of vulnerabilities in the settlement, using a scale that ranges from 1 (minimal/ none) to 4+ (Extreme and Risk of Catastrophic/Sectoral Collapse). The levels of sectoral vulnerability imply:

* **None/minimal:** Essential basic sectoral needs are met in the settlement,
* **Stress:** Borderline inability to meet basic sectoral needs in the settlement,
* **Severe:** Moderate inability to meet basic sectoral needs in the settlement,
* **Extreme:** Extreme inability to meet basic sectoral needs in the settlement,
* **Extreme+:** Collapse of basic services and/or total inability to meet basic sectoral needs in the settlement.

Both sectoral and inter-sectoral composite scores were calculated using the arithmetic mean (average) of scores and were rounded up if the score has a decimal of 0.5 or higher to assign it to a value (1-4+, Minimal to Extreme+). The sectoral score is calculated based on the sectoral indicators incorporated in the framework (see Annex 3), and the inter-sectoral score is calculated based on the sectoral scores calculated in the previous step. If an indicator cannot be recoded to 1-4+ values, it is by default given a value of 1 (Minimal). In cases where only part of the conditions satisfies for a given level of vulnerability for the selected indicator / combination of indicators as specified in the SVI Framework, those cases will be classified with one lower level (e.g., ‘Severe‘ instead of ‘Extreme‘).

The approach of calculating the ‘average’ score has its limitations primarily in relation to limited sensitivity to outliers (e.g., if a particularly strong indicator is showing a severe situation by itself, or if one of the sectors indicates a severe vulnerability of the settlement by itself). To account for this, the sectoral scores are to be reviewed as a second level of the analysis to identify settlements where only a single or limited number of sectors is/are showing a severe situation and due to the average approach, the settlements are classified in a lower-level vulnerability group. Where relevant, the scores for individual indicators/indicator combinations will also be reviewed for a comprehensive understanding of what drives higher levels of settlement vulnerabilities. Due to the included data being indicative in the scoring process, the resulting scores cannot be considered representative of the conditions within settlements and offer an approximate understanding of the humanitarian situation.

# 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 | Clear notes and skip logics are added to the tool and the enumerators have been briefed to be very clear about the topics that the IDP will be asked, as well as that they can stop at any time of the interview. |
| … 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 |  |

# Roles and responsibilities

Table 2: Description of roles and responsibilities

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Task Description** | **Responsible** | **Accountable** | **Consulted** | **Informed** |
| Research design | Assessment Officer (AO) | Senior Assessment Officer (SAO), Research Manager (RM) | Research Department at IMPACT HQ,  Deputy Country Coordinator (DCC) |  |
| Supervising data collection | Field team, AO | SAO, RM | Field Manager, DCC | Operational Partners (ACTED) |
| Data processing (checking, cleaning) | Senior Database Officer (SDO), data collection partner (KIIS), AO | SAO, RM | DCC, IMPACT HQ Research Department |  |
| Data analysis | SDO, AO | SAO, RM | DCC, IMPACT HQ Research Department |  |
| Output production | AO, SAO | SAO, RM | DCC, IMPACT HQ Research Department | IMPACT Country Coordinator |
| Dissemination | AO, SAO, IMPACT country PD team | RM | DCC | HQ Communications |
| Monitoring & Evaluation | AO, SAO | SAO, RM | DCC | Research Department at IMPACT HQ |
| Lessons learned | AO, FO | SAO, RM | DCC, IMPACT Country Coordinator | Research Department at IMPACT HQ |

***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

Data Analysis Plan for GCAs is available at [IMPACT Resource Centre](https://repository.impact-initiatives.org/document/reach/25392bb4/REACH_UKR2206B_HSM_DAP_R15_February-2024_GCA_External-1.xlsx).

Data Analysis Plan for the semi-structured interviews is also available at the [IMPACT Resource Centre](https://repository.impact-initiatives.org/document/reach/36c2fdb8/REACH_UKR2206B_HSM_Semi-Structured-DAP_Round-15_Social-Cohesion_External.xlsx).

#### Annex 1: Sample Frame – Community Key Informant Interviews (in GCAs: Zones A - C)

|  |  |  |  |
| --- | --- | --- | --- |
| **Oblast** | **Settlement** | **Settlement type** | **Sample**  **size** |
| **ZONE A** |  |  |  |
| Chernihivska | Snovsk | Urban | 5 |
| Novi Borovychi | Rural | 3 |
| Turia | Rural | 3 |
| Semenivka | Urban | 3 |
| Horodnia | Urban | 5 |
| Dnipropetrovska | Hrushivka | Rural | 3 |
| Marhanets | Urban | 5 |
| Myrove | Rural | 3 |
| Nikopol | Urban | 7 |
| Pershotravneve | Rural | 3 |
| Pokrov | Urban | 5 |
| Pokrovske | Rural | 3 |
| Chervonohryhorivka | Rural | 3 |
| Velykomykhailivka | Rural | 3 |
| Donetska | Zvanivka | Rural | 3 |
| Toretsk | Urban | 5 |
| Velyka Novosilka | Rural | 3 |
| Vuhledar | Urban | 5 |
| Komar | Rural | 3 |
| Illinivka | Rural | 3 |
| Kostiantynivka | Urban | 5 |
| Ivanopillia | Rural | 3 |
| Lyman | Urban | 5 |
| Hrodivka | Rural | 3 |
| Novohrodivka | Urban | 5 |
| Ocheretyne | Rural | 3 |
| Selydove | Urban | 5 |
| Druzhkivka | Urban | 5 |
| Bilenke | Rural | 3 |
| Krasnotorka | Rural | 3 |
| Yasnohirka | Rural | 3 |
| Siversk | Urban | 5 |
| Zalizne | Urban | 3 |
| Chasiv Yar | Urban | 5 |
| Kramatorsk | Urban | 7 |
| Mykolaivka | Urban | 5 |
| Kurakhove | Urban | 5 |
| Hirnyk | Urban | 5 |
| Krasnohorivka | Urban | 5 |
| Ukrainsk | Urban | 5 |
| Sviatohirsk | Urban | 3 |
| Myrnohrad | Urban | 5 |
| Kharkivska | Bohodukhiv | Urban | 5 |
| Zolochiv | Rural | 3 |
| Borova | Rural | 3 |
| Velykyi Burluk | Rural | 3 |
| Vilkhuvatka | Rural | 3 |
| Dvorichna | Rural | 3 |
| Kupiansk | Urban | 5 |
| Kurylivka | Rural | 3 |
| Petropavlivka | Rural | 3 |
| Vilkhivka | Rural | 3 |
| Lyptsi | Rural | 3 |
| Mala Danylivka | Rural | 3 |
| Tsyrkuny | Rural | 3 |
| Staryi Saltiv | Rural | 3 |
| Derhachi | Urban | 5 |
| Vovchansk | Urban | 5 |
| Khersonska | Beryslav | Urban | 5 |
| Borozenske | Rural | 3 |
| Mylove | Rural | 3 |
| Novovorontsovka | Rural | 3 |
| Novooleksandrivka | Rural | 3 |
| Novoraisk | Rural | 3 |
| Tiahynka | Rural | 3 |
| Bilozerka | Rural | 3 |
| Darivka | Rural | 3 |
| Muzykivka | Rural | 3 |
| Stanislav | Rural | 3 |
| Kherson | Urban | 7 |
| Chornobaivka | Rural | 3 |
| Mykolaivska | Kobleve | Rural | 3 |
| Kutsurub | Rural | 3 |
| Ochakiv | Urban | 5 |
| Chornomorka | Rural | 3 |
| Blahodatne | Rural | 3 |
| Sumska | Nova Sloboda | Rural | 3 |
| Boromlia | Rural | 3 |
| Velyka Pysarivka | Rural | 3 |
| Kyrykivka | Rural | 3 |
| Bezdryk | Rural | 3 |
| Verkhnia Syrovatka | Rural | 3 |
| Krasnopillia | Rural | 3 |
| Myropillia | Rural | 3 |
| Richky | Rural | 3 |
| Stepanivka | Rural | 3 |
| Sumy | Urban | 7 |
| Khotin | Rural | 3 |
| Yunakivka | Rural | 3 |
| Bereza | Rural | 3 |
| Hlukhiv | Urban | 5 |
| Esman | Rural | 3 |
| Znob-Novhorodske | Rural | 3 |
| Svesa | Rural | 3 |
| Shalyhyne | Rural | 3 |
| Yampil | Rural | 3 |
| Zaporizka | Stepnohirsk | Rural | 3 |
| Bilenke | Rural | 3 |
| Komyshuvakha | Rural | 3 |
| Kushuhum | Rural | 3 |
| Novooleksandrivka | Rural | 3 |
| Stepne | Rural | 3 |
| Tavriiske | Rural | 3 |
| Ternuvate | Rural | 3 |
| Vozdvyzhivka | Rural | 3 |
| Mala Tokmachka | Rural | 3 |
| Preobrazhenka | Rural | 3 |
| Huliaipole | Urban | 5 |
| Orikhiv | Urban | 5 |
|  |  | **TOTAL** | **399** |
| **ZONE B** |  |  |  |
| Chernihivska | Berezna | Rural | 3 |
| Honcharivske | Rural | 3 |
| Desna | Rural | 3 |
| Dobrianka | Rural | 3 |
| Ivanivka | Rural | 3 |
| Kyinka | Rural | 3 |
| Kozelets | Rural | 3 |
| Kulykivka | Rural | 3 |
| Liubech | Rural | 3 |
| Mykhailo-Kotsiubynske | Rural | 3 |
| Novyi Bilous | Rural | 3 |
| Olyshivka | Rural | 3 |
| Ripky | Rural | 3 |
| Sedniv | Rural | 3 |
| Tupychiv | Rural | 3 |
| Chernihiv | Urban | 7 |
| Koriukivka | Urban | 5 |
| Sosnytsia | Rural | 3 |
| Kholmy | Rural | 3 |
| Vertiivka | Rural | 3 |
| Mryn | Rural | 3 |
| Nova Basan | Rural | 3 |
| Korop | Rural | 3 |
| Novhorod-Siverskyi | Urban | 5 |
| Ponornytsia | Rural | 3 |
| Sukhopolova | Rural | 3 |
| Vysoke | Rural | 3 |
| Dmytrivka | Rural | 3 |
| Komarivka | Rural | 3 |
| Talalaivka | Rural | 3 |
| Dnipropetrovska | Novopokrovka | Rural | 3 |
| Solone | Rural | 3 |
| Bozhedarivka | Rural | 3 |
| Krynychky | Rural | 3 |
| Vakulove | Rural | 3 |
| Kryvyi Rih | Urban | 7 |
| Nyva Trudova | Rural | 3 |
| Sofiivka | Rural | 3 |
| Shyroke | Rural | 3 |
| Tomakivka | Rural | 3 |
| Ternivka | Urban | 5 |
| Vasylkivka | Rural | 5 |
| Ilarionove | Rural | 3 |
| Malomykhailivka | Rural | 3 |
| Mezhova | Rural | 3 |
| Mykolaivka | Rural | 3 |
| Novopavlivka | Rural | 3 |
| Pershotravensk | Urban | 5 |
| Petropavlivka | Rural | 3 |
| Pokrovske | Rural | 3 |
| Rozdory | Rural | 3 |
| Synelnykove | Urban | 5 |
| Slavhorod | Rural | 3 |
| Slovianka | Rural | 3 |
| Apostolove | Urban | 5 |
| Zelenodolsk | Urban | 5 |
| Donetska | Andriivka | Rural | 3 |
| Shabelkivka | Rural | 3 |
| Novodonetske | Rural | 3 |
| Oleksandrivka | Rural | 3 |
| Cherkaske | Rural | 3 |
| Dobropillia | Urban | 5 |
| Kryvorizhzhia | Rural | 3 |
| Pokrovsk | Urban | 5 |
| Sloviansk | Urban | 7 |
| Udachne | Rural | 3 |
| Bilozerske | Urban | 5 |
| Bilytske | Urban | 3 |
| Rodynske | Urban | 3 |
| Kharkivska | Malynivka | Rural | 3 |
| Novopokrovka | Rural | 3 |
| Pechenihy | Rural | 3 |
| Slobozhanske | Rural | 5 |
| Chkalovske | Rural | 3 |
| Chuhuiv | Urban | 5 |
| Donets | Rural | 3 |
| Izium | Urban | 5 |
| Oskil | Rural | 3 |
| Savyntsi | Rural | 3 |
| Rohan | Rural | 3 |
| Shevchenkove | Rural | 3 |
| Balakliia | Urban | 5 |
| Barvinkove | Urban | 3 |
| Zmiiv | Urban | 5 |
| Kharkiv | Urban | 7 |
| Starovirivka | Rural | 3 |
| Staryi Merchyk | Rural | 3 |
| Kolomak | Rural | 3 |
| Krasnokutsk | Rural | 3 |
| Oleksiivka | Rural | 3 |
| Pervomaiskyi | Urban | 5 |
| Bezliudivka | Rural | 3 |
| Vysokyi | Rural | 3 |
| Liubotyn | Urban | 5 |
| Nova Vodolaha | Rural | 5 |
| Pisochyn | Rural | 5 |
| Solonytsivka | Rural | 5 |
| Khersonska | Velyka Oleksandrivka | Rural | 3 |
| Vysokopillia | Rural | 3 |
| Kalynivske | Rural | 3 |
| Kyivska | Peremoha | Rural | 3 |
| Bilohorodka | Rural | 3 |
| Borodianka | Rural | 5 |
| Petropavlivska Borshchahivka | Rural | 3 |
| Bucha | Urban | 5 |
| Hostomel | Rural | 5 |
| Irpin | Urban | 5 |
| Kotsiubynske | Rural | 5 |
| Makariv | Rural | 3 |
| Nemishaieve | Rural | 3 |
| Piskivka | Rural | 3 |
| Vyshhorod | Urban | 5 |
| Dymer | Rural | 3 |
| Ivankiv | Rural | 5 |
| Novi Petrivtsi | Rural | 3 |
| Mykolaivska | Bashtanka | Urban | 5 |
| Bereznehuvate | Rural | 3 |
| Volodymyrivka | Rural | 3 |
| Horokhivske | Rural | 3 |
| Inhulka | Rural | 3 |
| Kazanka | Rural | 3 |
| Pryvilne | Rural | 3 |
| Sofiivka | Rural | 3 |
| Berezanka | Rural | 3 |
| Vesniane | Rural | 3 |
| Voskresenske | Rural | 3 |
| Halytsynove | Rural | 3 |
| Mykolaiv | Urban | 7 |
| Mishkovo-Pohorilove | Rural | 3 |
| Nechaiane | Rural | 3 |
| Olshanske | Rural | 3 |
| Pervomaiske | Rural | 3 |
| Radisnyi Sad | Rural | 3 |
| Stepove | Rural | 3 |
| Sukhyi Yelanets | Rural | 3 |
| Shevchenkove | Rural | 3 |
| Veselynove | Rural | 3 |
| Doroshivka | Rural | 3 |
| Novyi Buh | Urban | 5 |
| Snihurivka | Urban | 5 |
| Nova Odesa | Urban | 5 |
| Poltavska | Velyki Budyshcha | Rural | 3 |
| Hadiach | Urban | 5 |
| Krasna Luka | Rural | 3 |
| Velyka Rublivka | Rural | 3 |
| Dykanka | Rural | 3 |
| Kotelva | Rural | 5 |
| Martynivka | Rural | 3 |
| Opishnia | Rural | 3 |
| Skorokhodove | Rural | 3 |
| Chutove | Rural | 3 |
| Odeska | Kurisove | Rural | 3 |
| Berezivka | Urban | 3 |
| Ivanivka | Rural | 3 |
| Raukhivka | Rural | 3 |
| Rozkvit | Rural | 3 |
| Shabo | Rural | 3 |
| Bilhorod-Dnistrovskyi | Urban | 5 |
| Serhiivka | Rural | 3 |
| Vyhoda | Rural | 3 |
| Dachne | Rural | 3 |
| Nerubaiske | Rural | 3 |
| Yasky | Rural | 3 |
| Avanhard | Rural | 3 |
| Biliaivka | Urban | 5 |
| Velykodolynske | Rural | 5 |
| Dobroslav | Rural | 3 |
| Ovidiopol | Rural | 5 |
| Odesa | Urban | 7 |
| Tairove | Rural | 3 |
| Teplodar | Urban | 5 |
| Chornomorsk | Urban | 5 |
| Chornomorske | Rural | 3 |
| Yuzhne | Urban | 5 |
| Sumska | Bochechky | Rural | 3 |
| Duboviazivka | Rural | 3 |
| Konotop | Urban | 5 |
| Popivka | Rural | 3 |
| Hrun | Rural | 3 |
| Komyshi | Rural | 3 |
| Okhtyrka | Urban | 5 |
| Chernechchyna | Rural | 3 |
| Chupakhivka | Rural | 3 |
| Oleshnia | Rural | 3 |
| Khmeliv | Rural | 3 |
| Shostka | Urban | 5 |
| Lebedyn | Urban | 5 |
| Vasylivka | Rural | 3 |
| Mykolaivka | Rural | 3 |
| Nyzhnia Syrovatka | Rural | 3 |
| Sad | Rural | 3 |
| Romny | Urban | 5 |
| Nedryhailiv | Rural | 3 |
| Korovyntsi | Rural | 3 |
| Andriiashivka | Rural | 3 |
| Vilshana | Rural | 3 |
| Lypova Dolyna | Rural | 3 |
| Synivka | Rural | 3 |
| Zaporizka | Zaporizhzhia | Urban | 7 |
| Mykhailivka | Rural | 3 |
| Mykhailo-Lukasheve | Rural | 3 |
| Novomykolaivka | Rural | 3 |
| Petro-Mykhailivka | Rural | 3 |
| Shyroke | Rural | 3 |
| Vilniansk | Urban | 5 |
|  |  | **TOTAL** | **737** |
| **ZONE C** |  |  |  |
| Cherkaska | Cherkasy | Urban | 7 |
| Voznesenske | Rural | 3 |
| Zvenyhorodka | Urban | 5 |
| Chernihivska | Nizhyn | Urban | 5 |
| Pryluky | Urban | 5 |
| Plysky | Rural | 3 |
| Chernivetska | Chernivtsi | Urban | 7 |
| Mamalyha | Rural | 3 |
| Vyzhnytsia | Urban | 3 |
| Dnipropetrovska | Dnipro | Urban | 7 |
| Kamianske | Urban | 7 |
| Mezhyrich | Rural | 3 |
| Ivano-Frankivska | Ivano-Frankivsk | Urban | 7 |
| Kalush | Urban | 5 |
| Pasichna | Rural | 3 |
| Kharkivska | Krasnohrad | Urban | 5 |
| Lozova | Urban | 5 |
| Natalyne | Rural | 3 |
| Khmelnytska | Khmelnytskyi | Urban | 7 |
| Krupets | Rural | 3 |
| Dunaivtsi | Urban | 5 |
| Kirovohradska | Kropyvnytskyi | Urban | 7 |
| Oleksandriia | Urban | 5 |
| Pishchanyi Brid | Rural | 3 |
| Kyivska | Tarashcha | Urban | 3 |
| Myronivka | Urban | 5 |
| Divychky | Rural | 3 |
| Lvivska | Lviv | Urban | 7 |
| Drohobych | Urban | 5 |
| Biskovychi | Rural | 3 |
| Mykolaivska | Voznesensk | Urban | 5 |
| Pervomaisk | Urban | 5 |
| Blahodatne | Rural | 3 |
| Odeska | Rozdilna | Urban | 5 |
| Izmail | Urban | 5 |
| Petropavlivka | Rural | 3 |
| Poltavska | Poltava | Urban | 7 |
| Velyki Sorochyntsi | Rural | 3 |
| Kremenchuk | Urban | 7 |
| Rivnenska | Rivne | Urban | 7 |
| Kozyn | Rural | 3 |
| Sarny | Urban | 5 |
| Ternopils'ka | Ternopil | Urban | 7 |
| Velyki Dederkaly | Rural | 3 |
| Kremenets | Urban | 5 |
| Vinnytska | Vinnytsia | Urban | 7 |
| Babchyntsi | Rural | 3 |
| Mohyliv-Podilskyi | Urban | 5 |
| Volynska | Lutsk | Urban | 7 |
| Vyshniv | Rural | 3 |
| Volodymyr-Volynskyi | Urban | 5 |
| Zakarpatska | Uzhhorod | Urban | 7 |
| Ivanivtsi | Rural | 3 |
| Khust | Urban | 5 |
| Zhytomyrska | Zhytomyr | Urban | 7 |
| Slovechne | Rural | 3 |
| Korosten | Urban | 5 |
|  |  | **TOTAL** | **275** |
|  |  | **GRAND TOTAL** | **1411** |

#### Annex 2: Sample Frame – AoK Interviews (in Areas Beyond/Not Under the Control of the Government of Ukraine: Zone D)

|  |  |  |  |
| --- | --- | --- | --- |
| **Oblasts** | **Raions** | **Number of settlements** | **Target number of settlements (10% threshold per raion)** |
| **Donetska** | Bakhmutskyi | 55 | 6 |
| Horlivskyi | 2 | 0 |
| Kalmiuskyi | 2 | 0 |
| Mariupolskyi | 87 | 9 |
| Pokrovskyi | 16 | 2 |
| Volnovaskyi | 98 | 10 |
| **Kharkivska** | Kupianskyi | 32 | 3 |
| **Khersonska** | Henicheskyi | 163 | 16 |
| Kakhovskyi | 160 | 16 |
| Khersonskyi | 30 | 3 |
| Skadovskyi | 113 | 11 |
| **Luhanska** | Shchastynskyi | 83 | 8 |
| Sievierodonetskyi | 84 | 8 |
| Starobilskyi | 194 | 19 |
| Svativskyi | 170 | 17 |
| **Mykolaivska** | Mykolaivskyi | 3 | 0 |
| **Zaporizka** | Berdianskyi | 113 | 11 |
| Melitopolskyi | 208 | 21 |
| Polohivskyi | 169 | 17 |
| Vasylivskyi | 96 | 10 |
|  | **Grand Total** | **1878** | **188** |

#### Annex 3: Sectoral indicators incorporated in the SVI Framework

|  |  |
| --- | --- |
| **Sector** | **Indicator** |
| Food Security & Livelihoods | % of settlements by the level of need in relation to accessing sufficient food in the 14 days prior to data collection |
| % of settlements by the level of need in relation to accessing markets to purchase goods in the 14 days prior to data collection |
| % of settlements by main barriers for people to access markets in the 14 days prior to data collection  % of settlements by main barriers to accessing food items in the 14 days prior to data collection |
| Shelter & Non-food items (NFI) | % of settlements by the level of need in relation to accessing safe and adequate housing in the 14 days prior to data collection |
| % of settlements by main barriers for people to access safe and adequate housing in the 14 days prior to data collection  % of settlements by main barriers for displaced persons to access safe and adequate housing in the 14 days prior to data collection |
| % of settlements by main sources of energy most people used for heating during winter  % of settlements by main barriers people faced in accessing heating during winter |
| % of settlements by the proportion of civilian housing damaged in the 14 days prior to data collection |
| % settlements by MOST people having access to non-food items (NFIs) in the 14 days prior to data collection  % of settlements by main barriers people faced in accessing NFIs in the 14 days prior to data collection |
| % of settlements by frequency of disruptions to electricity supply in the 14 days prior to data collection  % settlements by frequency of disruptions to gas supply in the 14 days prior to data collection  % settlements by frequency of disruptions to phone network in the 14 days prior to data collection  % settlements by frequency of disruptions to internet coverage in the 14 days prior to data collection |
| Health | % of settlements by the level of need in relation to healthcare services in the 14 days prior to data collection |
| % of settlements by main barriers people faced to access healthcare services in the 14 days prior to data collection  % of settlements by types of healthcare/facilities people were unable to access in the 14 days prior to data collection (used only for the ‘Extreme’ classification) |
| % of settlements by types of healthcare/facilities people were unable to access in the 14 days prior to data collection |
| % of settlements by main barriers people faced to access medicines in the 14 days prior to data collection |
| Protection | % of settlements by main safety and security concerns faced by people in the 14 days prior to data collection |
| % of settlements by the degree of restrictions on movement into or out of the settlement |
| Education | % of settlements by the proportion of education facilities NOT available for educational purposes in the 14 days prior to data collection  % settlements by frequency of disruptions to internet coverage in the 14 days prior to data collection |
| % of settlements by main reasons for educational facilities being unavailable for educational purposes |
| WASH | % settlements by frequency of disruptions to water supply in the 14 days prior to data collection |
| % of settlements by the level of need in relation to accessing water in the 14 days prior to data collection |
| % of settlements by main barriers people faced in accessing water in the 14 days prior to data collection |
| % of settlements by the level of need in relation to accessing improved sanitation facilities in the 14 days prior to data collection  % of settlements by main barriers people faced in accessing functional toilets in the 14 days prior to data collection |
| % of settlements by main barriers people faced in accessing water in the 14 days prior to data collection |

1. [Live Universal Awareness Map](https://liveuamap.com/en) [↑](#footnote-ref-2)
2. Upon the publication of [data, bulletins, and other outputs](https://www.impact-initiatives.org/resource-centre/?category%5b%5d=information_products&category%5b%5d=data_methods&location%5b%5d=250&programme%5b%5d=756&order=latest&limit=10). [↑](#footnote-ref-3)
3. ACLED, [Ukraine Crisis Hub](https://acleddata.com/ukraine-crisis/#analysis) [↑](#footnote-ref-4)
4. IOM [Displacement Tracking Matrix](https://dtm.iom.int/ukraine). [↑](#footnote-ref-5)
5. OCHA, [Ukraine Humanitarian Needs and Response Plan 2024](https://reliefweb.int/report/ukraine/ukraine-humanitarian-needs-and-response-plan-2024-december-2023-enuk) [↑](#footnote-ref-6)
6. UN OCHA, [Ukraine: Situation Report](https://reliefweb.int/report/ukraine/ukraine-situation-report-19-dec-2022-enruuk), 19 December 2022 [↑](#footnote-ref-7)
7. European Civil Protection and Humanitarian Aid Operations, [A disaster in photos: Nova Kakhovka dam breach in Ukraine](https://civil-protection-humanitarian-aid.ec.europa.eu/news-stories/stories/disaster-photos-nova-kakhovka-dam-breach-ukraine_en), 27 June 2023. [↑](#footnote-ref-8)
8. UN OCHA, [Ukraine Humanitarian Response 2023 Winter Attacks: Humanitarian Impact of Intensified Strikes and Hostilities – Flash Update #2](https://www.unocha.org/publications/report/ukraine/ukraine-humanitarian-response-2023-winter-attacks-humanitarian-impact-intensified-strikes-and-hostilities-flash-update-2-29-dec-2023), 29 December 2023. [↑](#footnote-ref-9)
9. REACH, [The Area of Knowledge (AoK) method for Humanitarian Situation Monitoring](https://repository.impact-initiatives.org/document/reach/265a2d83/REACH-AoK-Validation-Study-Summary-Report-October-2023-4.pdf), September 2023 [↑](#footnote-ref-10)
10. Areas of Donetska and Luhanska oblasts not under the control/beyond the control of the GoU since 2014, as well as the Autonomous Republic of Crimea are not included in the geographic coverage. [↑](#footnote-ref-11)
11. As defined by the GoU- <https://ips.ligazakon.net/document/JF7II00A> [↑](#footnote-ref-12)
12. Thirteen such settlements were added to the sample in Round 11 of HSM (June-July 2023). [↑](#footnote-ref-13)
13. Thirteen such settlements were added to the sample in Round 11 of HSM (June-July 2023). [↑](#footnote-ref-14)
14. There are no official figures of the population size in the settlements after the conflict escalation of February 2022. [↑](#footnote-ref-15)
15. Most of the rural and previously urban-type settlements fall under the first two categories. [↑](#footnote-ref-16)
16. The category of urban-type settlements was abolished on 2 February 2024 (Law No.8263). [↑](#footnote-ref-17)
17. REACH, [Research Terms of Reference, Area-based assessment: urban centres retaken by the Government of Ukraine](https://repository.impact-initiatives.org/document/reach/82c12e87/UKR2319_ABA-urban-centres-retaken-by-Ukraine_TOR_Nov23_External.pdf), November 2023 [↑](#footnote-ref-18)
18. See KOBO Access Rights in the 7. Data Management Plan section for more details. [↑](#footnote-ref-19)