Research Terms of Reference
Area Based Response to Informal Settlements in Urban Contexts
AFG2104
Afghanistan

June 2021
Version 1

REACH Informing more effective humanitarian action

1. Executive Summary

Country of intervention	Afghanistan				
Type of Emergency	□ Natural disaster		X	Conflict	
Type of Crisis	□ Sudden onset	□	Slow onset	X	Protracted
Mandating Body/ Agency	USAID				
Project Code	02ARI				
Overall Research Timeframe	07/06/2021 to 01/04/2022				
Research Timeframe	1. Start collect data: 08/08/2021		4. Data sent for validation: 31/08/2021		
Phase 1. *Community Mapping*	2. Data collected: 17/08/2021		5. Outputs sent for validation: 04/10/2021		
	3. Data analysed: 31/08/2021		6. Outputs published: 17/10/2021		
Phase 2. *Community Profiling*	1. Start collect data: 05/09/2021		4. Data sent for validation: 23/09/2021		
	2. Data collected: 09/09/2021		5. Outputs sent for validation: 07/11/2021		
	3. Data analysed: 23/09/2021		6. Outputs published: 21/11/2021		
Phase 3. *Household Assessment*	1. Start collect data: 24/10/2021		4. Data sent for validation: 14/11/2021		
	2. Data collected: 04/11/2021		5. Outputs sent for validation: 16/12/2021		
	3. Data analysed: 11/11/2021		6. Outputs published: 23/12/2021		
Phase 4. *ISET Development Plans*	1. Start collect data: 03/10/2021		4. Data sent for validation: 15/11/2021		
	2. Data collected: 31/10/2021		5. Outputs sent for validation: 01/12/2021		
	3. Data analysed jointly with the consortium partners: 15/11/2021		6. Outputs published: 07/12/2021		
Number of assessments	X	Single assessment (one cycle): four phases of the same research cycle			
	□	Multi assessment (more than one cycle)			

Humanitarian milestones	**Milestone**	**Deadline**
*Specify **what** will the assessment inform and **when** e.g. The shelter cluster will use this data to draft its Revised Flash Appeal;*	□ Donor plan/strategy	_ _/_ _/_ _ _ _
	X Inter-cluster plan/strategy	09/01/2022
	□ Cluster plan/strategy	_ _/_ _/_ _ _ _
	□ NGO platform plan/strategy	_ _/_ _/_ _ _ _
	X Consortium: REACH, ACTED, NRC	Phase 1:01/09/2021 Phase 2: 03/10/2021 Phase 3: 21/11/2021 Phase 4: 01/11/2021

Audience Type & Dissemination *Specify who will the assessment inform and how you will disseminate to inform the audience*	Audience type		Dissemination
	X Strategic		X General Product Mailing (e.g. mail to NGO consortium; HCT participants; Donors)
	X Programmatic		X Cluster Mailing (Education, Shelter and WASH) and presentation of findings at next cluster meeting
	X Operational		X Presentation of findings (e.g. at HCT meeting; Cluster meeting)
	□ [Other, Specify]		X Website Dissemination (Relief Web & REACH Resource Centre)
			X Area Based Response Community Centers
Detailed dissemination plan required	X	Yes	□ No
General Objective	To promote a community-led coordination and collaborative localised response through supporting Community Center planning with evidence-based information on the immediate and long term local community needs, capacities and gaps in service provision at the sub-urban level.		
Specific Objective(s)	1. To map out the perceived boundaries of each urban neighborhoods (gozars) and informal settlements (ISETs) as well as their shared resources and social structures within the 4 urban centres (Herat, Kunduz, Mazar, Jalalabad) 2. To map out the key infrastructure available (electricity, water points and systems, sewage, healthcare facilities, mosques, community centres, schools, roads, markets, cemeteries) and needs for its rehabilitation within the targeted neighbourhoods 3. To identify the estimated numbers of persons of each population group, including vulnerable categories such as IDPs, older persons (60+), minors under the age of 18, single parents, persons with disabilities (not including chronic illness), persons with chronic illness which affects quality of life in gozars and informal settlements within the 4 assessed urban centres 4. To identify major stakeholders and assess their capacities for providing basic services and assistance within assessed urban centers and surrounding informal settlements 5. To identify the community leadership structures through which implementing partners will engage to ensure localizing the coordination response and strengthening of local coordination mechanisms 6. To identify the priority needs of displaced and host community populations at household level in terms of protection, shelter, WASH, ES/NFI, food security, education, market access, livelihoods and small business opportunities within assessed urban centers and surrounding informal settlements both for immediate assistance and for encouraging long-term durable solutions. 7. To identify household-level barriers that affect residents' ability to access basic services as well as the ways for improving quality service delivery 8. To identify the presence of local hazards (flooding, earthquakes) and unexploded ordinance 9. To identify the main barriers around community cohesion and long-term integration for ISETs populations		

	10. To identify long term community development priorities within assessed urban centers and informal settlements 11. To identify the impact the COVID-19 outbreak on the local economy and livelihood opportunities

Research Questions	1. What are the main characteristics of the four urban centres (Herat, Kunduz, Mazar, Jalalabad) and associated informal settlements?
	  1.1. Which are the territorial boundaries of gozars and informal settlements that are recognized by the community leaders?
	  1.2. What is the estimated number of people living in each gozar and informal settlement?
	  1.3. What are the vulnerability characteristics of population living within the identified geographies?
	  1.4. What is the location of key infrastructure (electricity, water, sewage, healthcare, education, roads, markets) within the identified geographies?
	  1.5. Who are the main local stakeholders, community leaderships, service providers within the identified geographies?
	    1.5.1. What geographic areas (city or sub-city) do the identified stakeholders providing the basic services serve?
	    1.5.2. What mechanisms are in place to support the coordination between these actors, within and across the targeted neighbourhoods?
	  1.6. Which basic services (shelter, protection, healthcare, WASH, education) are available within the identified geographies?
	    1.6.1. What are the capacities of the existing service providers?
	  1.7. What is the environmental profile of the target area?
	    1.7.1. What are the areas where extreme temperatures have occurred more often?
	    1.7.2. What are the areas where fires have occured more often?
	    1.7.3. What are the areas where droughts have occurred more often?
	    1.7.4. What are the areas where land subsidence is happening often?
	    1.7.5. What are the areas where flooding is happening often?
	    1.7.6. What are the areas where land earthquakes is happening often?
	
	2. What are the gaps in basic service delivery capacities, in terms of meeting the needs of populations in these areas?
	  2.1. What types of service are needed but unavailable?
	  2.2. What are the main challenges faced by service providers when they deliver quality services?
	3. What challenges do households face in accessing the basic services?
	  3.1. Which population groups face challenges in accessing services?
	  3.2. To what extent are affected populations satisfied with the quality of service they receive?
	4. What are the economy characteristics of households and main current livelihood activities within the identified geographies?
	  4.1. What are the barriers to employment opportunities faced by specific population groups (disaggregated by age, sex, IDP status, vulnerability) within the identified geographies?
	5. What are common characteristics of the business environment (labor market, finance, and access to markets)?
	  5.1. Which sectors of the economy could provide the most livelihood and small business opportunities within the identified geographies?
	6. To what extent the COVID-19 outbreak affected the local economy and livelihood opportunities?

	6.1.1. Which demographic groups are most exposed to the changes in the local economy and livelihood opportunities?
Geographic Coverage	Seven districts of four cities: Herat city, Injil urban district in Herat province, Kunduz city in Kunduz province, Mazar-i-Sharif city, Nahr-i-Shahi urban district in Balkh province, Behsud urban district, Jalalabad city in Nangarhar province
Secondary data sources	· UN-Habitat, State of Afghan Cities Report: Volume I, December 2015 · AREU, Urban Governance in Afghanistan: Assessing the New Urban Development Programme and its Implementation, June 2017 · REACH, Informal Settlement Assessment Factsheet Booklet of multi-cluster&COVID-19 analysis,Round 2, December 2020 · IOM, Afghanistan: Informal Settlements Infosheet, Round 9, October - December 2019

Population(s) *Select all that apply*	□ IDPs in camp	X IDPs in informal sites
	□ IDPs in host communities	□ IDPs
	□ Refugees in camp	□ Refugees in informal sites
	□ Refugees in host communities	□ Refugees
	X Non-displaced (hosting)	□ Non-displaced (not hosting)
	□ Returnees	□ [Other, Specify]

Stratification *Select type(s) and enter number of strata*	□ Geographical #: 4 urban centers (Herat, Kunduz, Mazar, Jalalabad) Population size per strata is known? X Yes □ No	□ Group #: IDPs in informal sites and Non-displaced (hosting) Population size per strata is known? □ Yes X No	□ *[Other Specify]* #: _ _ 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 *Profiling*	X Purposive □ Probability / Simple random □ Probability / Stratified simple random □ Probability / Cluster sampling □ Probability / Stratified cluster sampling □ [Other, Specify]	X Key informant interview (Target #):≈2,400 across 4 areas (1 KII per gozar and ISET) □ Group discussion (Target #):_ _ _ _ _ □ Household interview (Target #):_ _ _ _ _ □ Individual interview (Target #):_ _ _ _ _ □ Direct observations (Target #):_ _ _ _ _ □ [Other, Specify] (Target #):_ _ _ _ _
Structured data collection tool # 2 *HH data collection*	□ Purposive □ Probability / Simple random X Probability / Stratified simple random □ Probability / Cluster sampling □ Probability / Stratified cluster sampling □ [Other, Specify]	□ Key informant interview (Target #):_ _ _ _ _ □ Group discussion (Target #):_ _ _ _ _ X Household interview (Target #): 846 (106 Informal settlement and 106 host community HH per 4 areas) □ Individual interview (Target #):_ _ _ _ _ □ Direct observations (Target #):_ _ _ _ _

		□ [Other, Specify] (Target #):_ _ _ _ _
Semi-structured data collection tool (s) # 1 *Mapping*	X Purposive □ Snowballing □ [Other, Specify]	□ Key informant interview (Target #):_ _ _ _ _ □ Individual interview (Target #):_ _ _ _ _ X Focus group discussion (Target #): ≈100 FGDs across 4 areas (2 FGDs per Nahiya). □ [Other, Specify] (Target #):_ _ _ _ _
Semi-structured data collection tool (s) # 2 *Programme information*	X Purposive □ Snowballing □ [Other, Specify]	□ Key informant interview (Target #):_ _ _ _ _ □ Individual interview (Target #):_ _ _ _ _ X Group discussion (Target #):4
Target level of precision if probability sampling	95% level of confidence	10+/- % margin of error

Data management platform(s)	X	IMPACT		□	UNHCR		
	□	[Other, Specify]					
Expected output type(s)	□	Situation overview #: _ _	□	Report #: _ _		X	Profile #: 4 drafts of city profiles (Phase 2); 4 publishable city profiles (Phase 3)
	X	Presentation (Preliminary findings) #: 1 (Phase 3)	□	Presentation (Final) #: _ _		X	Factsheet#:4 City Development Plans (Phase 4)
	□	Interactive dashboard #:_	□	Webmap #: _ _		X	Map #: 4 (Phase 1)
	X	Datasets #: 4 datasets of ISET location points (Phase 1); 4 datasets of prioritzed ISETs (Phase 2);					
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 *Specify which logos should be on outputs*	USAID, REACH, ACTED, Norwegian Refugee Council						

2. Rationale

2.1. Rationale

After over four decades of protracted conflict and recurring natural disasters in Afghanistan, aid actors have expanded their focus from providing life-saving assistance to people affected by displacement to also addressing early recovery and wider developmental problems including improving infrastructure, livelihood security and facilitating access to essential services, both with the goal of improving quality and non-discriminatory service delivery and promoting participatory community-level stakeholder engagement. According to the 2021 Afghanistan Humanitarian Response Plan, of the 18.4 million people

identified as being in need nationwide in 2021, an estimated 5.6 million are now in urban areas[1] and 72% of informal settlements reported to be containing recently arrived internally displaces persons (IDPs).[2] Additionally, 78% of all settlements are located in urban and peri-urban areas, where competition for land is high and the threat of eviction even higher than in other areas. Rapid urbanization through informal settlements (ISETs) with limited access to basic services and insecure land tenure[3] along with COVID-19 outbreak and economic crisis made residents of urban centers a particularly vulnerable population group. Even though many ISETs have formed within the boundaries of Afghan large urban centers and considering their rapid variation over time, there is still a lack of understanding of the main factors shaping vulnerability of their residents. As there are only a few detailed assessments at the local scale were conducted in recent years, it is critical to broader the knowledge about the main challenges and opportunities to address them in fast-growing urban centers in Afghanistan.

For a sustainable response to local urban community needs it is essential to ensure an effective humanitarian coordination mechanism and an information exchange system at the early recovery stage. As an integral part of these efforts, this USAID-funded project aims to address the widening gap between the needs of displaced population living in informal settlements in urban centers and the existing aid interventions in Afghanistan. Area-based response, which is focusing on a territorial unit as an entry point rather than a specific humanitarian sector, will enable both streamlining humanitarian issues and response delivery into local planning frameworks and ensure the successful integration of vulnerable populations of ISETs into existing service delivery networks of the large host cities.

Therefore, through utilising a neighbourhood-based approach, Consortium partners– under REACH's lead, ACTED and Norwegian Refugee Council - will promote holistic service provision, strengthen the evidence-based local planning, and improve coordination between humanitarian actors, local stakeholders and beneficiaries. ACTED and NRC will promote sustainable coordinated mechanism to address humanitarian and socio-economic vulnerabilities through establishing Community Centres and committees. In turn REACH research will inform the location of Community Centers as well as identify household needs, available capacities and major stakeholders involved in the range of humanitarian and longer-term interventions in each community.

Activities implemented under this project will follow an integrated community-based approach and include four major phases:
   i.   To ensure a full understanding of existing structure and capacities of informal communities within four large urban centres REACH will map out all Gozars and ISETs through organising participatory mapping focus group discussions (MFGDs) with community leaders;
   ii. To provide additional analysis and develop detailed profile of each targeted city REACH will conduct key informant interviews (KIIs) with well-informed representatives of each local community (Gozar and ISET);
   iii. REACH will conduct primary data collection with households livening within target areas to support community-led response through identifying main community vulnerability points;
   iv. In collaborations with Community Committees ACTED and NRC, with REACH technical support, envision to develop priority data-driven programs specifically designed for each ISETs using area-based approach.

3. Methodology

2.1. Methodology overview

The assessment will use a mixed method approach consisting of
a) in-depth secondary data review to gather all available information on neighbourhood and stakeholder mapping;

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[1] UNOCHA, Afghanistan Humanitarian Response Plan 2021

[2] REACH, Informal Settlement Assessment Factsheet Booklet of multi-cluster&COVID-19 analysis, Round 2, December 2020

[3] UNOCHA, Afghanistan: Humanitarian Needs Overview (2021)

b) a qualitative participatory mapping exercise of informal settlements, infrastructure, key affected populations and stakeholders through participatory mapping interviews held with local community leaders in urban neighbourhoods of the target cities;

c) key informant interviews with community leaders and wakil-i-gozars (head of gozar) of each gozar and ISET to identify community-level gaps in service provision as well as long term community development priorities;

d) a quantitative household survey (95% confidence level and 10% margin of error) to identify the level to which households in each city experience problems accessing services, what problems they experience, and the characteristics that contribute to such problems. For each city sampling will be stratified according to the household displacement status (host communities and IDP residents of ISETs);

e) consultations with the local stakeholders to identify key priorities for each catchment area and develop response planning city development plans.

Table 1. Overview of data collection methods

Data collection method	Target Herat	Target Balkh	Target Kunduz	Target Nangarhar	Target Overall
Participatory mapping interviews (MFGD)	2 FGDs per each Nahiya				100
Key informant interviews (community leaders)	1 KII per each gozar and ISET				2,400
Household Surveys	106 Informal settlement IDP HH; 106 host community HH	106 Informal settlement IDP HH; 106 host community HH	106 Informal settlement IDP HH; 106 host community HH	106 Informal settlement IDP HH; 106 host community HH	846
Programme information	*Consultations with the ISET community leadership*				TBD

2.2. Population of interest

Table 2. Sampling overview

Location	Population group	MFGDs (Nahiya level)	Key informant interviews (gozar and ISET level)*	Household interviews**	Consultations
Herat (Herat and Injil district)	Community leaders	2 per 15 Nahiyas of Herat; 2 for Injil district	1 per 500 gozars; 1 per 100 ISETs	-	TBD
	Hosts	-	-	106	-
	IDPs	-	-	106	-
Kunduz	Community leaders	2 per 8 Nahiyas;	1 per 500 gozars; 1 per 100 ISETs	-	TBD
	Hosts	-	-	106	-

				106	-
	IDPs	-	-	106	-
Balkh (Mazar-i-Sharif and Nahr-i-Shahi district)	Community leaders	2 per 10 Nahiyas;	1 per 500 gozars; 1 per 100 ISETs	-	TBD
	Hosts	-	-	106	-
	IDPs	-	-	106	-
Nangarhar (Jalalabad and Behsud district)	Community leaders	2 per 9 Nahiyas;	1 per 500 gozars; 1 per 100 ISETs	-	TBD
	Hosts	-	-	106	-
	IDPs	-	-	106	-
Total		**88**	**2400**	**848**	
* Exact number of key informants will depend on the results from focus group discussions *** Number of HH interviews at neighbourhood level will depend on the size of population in identified gozars and ISETs*					

The first population of interest are community leaders, including wakil-i-gozars (gozar heads) and ISET community leaders, who are knowledgeable about their respective communities. For this population REACH will survey community leaders of each gozar and ISETs within the target area.

The second population of interest in this study are IDPs and host communities living in the urban target areas of Herat (including Herat and Injil districts), Kunduz, Balkh (including Mazar-i-Sharif and Nahr-i-Shahi districts), Nangarhar (including Jalalabad and Behsud districts). For each target area, REACH will collect one random sample of ISET HHs and one random sample host HHs to reflect differences in needs and dynamics regarding access to basic services between the two population groups with a 95% confidence level and a 10% margin of error.

Secondary data review

Contextual analysis

The following resources will be reviewed as part of the secondary review phase to build a contextual basis for the analysis of primary data. These sources will provide context for the elaboration of KI and household questionnaires as well as provide background for the analysis of results.

Table 3. Data sources for secondary data review

Source	Document
NRC/TLO	Listening to Women and Girls Displaced to Urban Afghanistan, January 2015
Housing, Land and Property Task Force	A Brief Guide to Ownership Documents in Afghanistan, July 2020
FMO	Thematic Guide: Camps versus settlements, Anna Schmidt
UN-HABITAT	State of Afghan Cities Report: Volume I, December 2015

UN-HABITAT	State of Afghan Cities Report: Volume II, December 2015
UN-HABITAT	Covid-19 Vulnerability in Informal Settlements: A Case Study of an Urban IDP Community in Jalalabad, Afghanistan, June 2020
Task Force on the Kabul Informal Settlements	Winter Assistance in the Kabul Informal Settlements, January 2016
REACH	Area Based Response Assessment and Planning Framework, Afghanistan, February 2021
REACH	Informal Settlement Assessment Factsheet Booklet of multi-cluster&COVID-19 analysis, Round 2, December 2020
OCHA	Pilot Initiative: Area-Based Response in Afghanistan, February 2021
IOM DTM	Afghanistan: Informal Settlements Infosheet, Round 9, October - December 2019
AREU	Urban Governance in Afghanistan: Assessing the New Urban Development Programme and its Implementation, June 2017
Integrity Watch Afghanistan	Review of Wakil-e-Gozars' Duties and Their Relationship with Administrative Corruption, 2013
Nagoya Institute of Technology	A Study on Neighborhood Functions of "Gozars" in Kabul, Afghanistan, Shahab and Kaneda, 2015
Global Shelter Cluster	Settlements Approach Guidance Note, December 2020
UNOCHA	Afghanistan: Humanitarian Needs Overview (2021)
UNOCHA	Afghanistan Humanitarian Response Plan 2021

Mapping

To map out the gozars and informal settlements in the 4 target cities and functional urban areas of those cities first REACH will review a secondary data to identify existing Nahiya within each city. In addition, through the Consortium partners, ACTED and NRC, REACH will contact the local municipal and district leadership to inform them about the exercise and identify ISET leaders and wakil-i-gozars who will be involved in focus groups for participatory mapping.

2.3. Primary Data Collection

Mapping Focus Group Discussions (MFGDs)

Through utilizing REACH KI list from previous assessments and coordinating with the Community Centers, municipalities and other major stakeholders, ACTED team will engage and mobilize community leaders of the gozars and informal settlements for MFGDs. A total of ten or twelve participants will be involved in each mapping exercise, using the criterion of a 'community leader', meaning a person who has in-depth first-hand knowledge of what is going on in the area they reside. The participants of each MFGD should be representatives of different gozars and ISETs within one Nahiya. To include a diverse range of perspectives REACH will aim to conduct one MFGD with male community leaders and one with female community leaders for each Nahiya. Due to social norms as well as security reasons, REACH will organize only gender-segregated MFGDs.

MFGDs will take place in ACTED offices. It will be conducted by a facilitator and note taker. GIS officer also will be present if possible. With consent of participants, the discussion will be recorded to enable retrospective checks. This quantitative and qualitative data will be recorded both on the map and in the mapping exercise transcript.

After gaining consent and reaching consensus on the MGD rules, the facilitator will begin by familiarizing the participants with the corresponding Nahiya reference map. The facilitator will then proceed to work through the topic guide and the associated probes, following the allocated time for each section. The facilitator will allow the conversation to be led by the participants, although ensuring the participation of all attendees.

Facilitators and transcribers will be requested to complete the debrief form after each mapping exercise. This form will help to fine tune the question route (including whether the participants understood the questions, flagging any missing key points from the discussion), understand group dynamics and improve set-up of MFGDs.

Key informant interviews with community leaders

REACH will interview key informants (KIs) on a sub-city level to identify community local resources, capacities, availability of services, presence of local hazards and long term community development priorities. In terms of access to services and multi-sectorial community needs, community leaders of each ISET and wakil-i-gozars will be asked to speak on behalf of the experiences of their fellow community members. The KIs will be selected from the consolidated list of community leaders and wakil-i-gozars mapped out during the phase one. At the beginning of KIIs REACH enumerators will check their willingness to participate and test an ability to represent general perspective in the community by asking how long the KI has been living in the community, if they interact with a range of community members from different background and if they feel knowledgeble enough to participate in the survey on behalf of their community.

At least one interview will be conducted per gozar and ISET. As the total exact number of gozars and ISETs is unkown, it is expected to collect maximum 2400 KIIs (1 per gozar/ISET with maximum 600 of these neighbourhoods per urban center). However, communities as heterogenous collections of individuals cannot effectively be fully represented by a single profile (usually older male), and therefore effort will also be made to conduct more interviews with additional selection of KIs that represent diverse backgrounds, including gender and age. KIs will be asked to speak about the experiences of people with similar profiles with regards to accessing services in the settlement.The KII survey will be a structured interview, conducted on Kobo. To enable comparison between results from the two data collection tools, the questions will be designed to be similar to the household survey, but at the community level, for example

KI questionnaire:
Are you aware of any common issues, faced by the "<gozar/ISET community>", regarding the quality of health care service facilities and equipment?
What are these issues?

Household questionnaire:
How do you rate the healthcare facilities in terms of building accessibility, cleanliness, being in good condition and adequately equipped.
Do you agree or disagree that: The doctor or other healthcare staff you saw appeared well qualified and competent during the consultation.

Household survey

The household survey will explore perceptions of the residents of assessed cities in terms of current multi-sector needs, service access, socioeconomic status, and leadership inclusivity. The survey will use a stratified random sampling approach

with a 95% confidence interval and 10% margin of error for each city. A sample for each strata (host communities and ISET households) will be drawn across all gozars and ISETs within each target districts in each city assuming infinite population. The total sample size per each strata (106 HH interviews) will be distributed within each gozar and ISETs based on their population size. An additional buffer of 10% will also be included in the target sample size to account for non-response rates and potential deletion of entries during data cleaning.

Data will be collected using the KOBO platform, and enumerators will be trained prior to data collection in the use of KOBO as well as interviewing techniques. After conducting pre-data collection security assessment, the interviews will be collected in-person, using COVID-19 mitigation measures according to the IMPACT Covid-19 SOPs[4]. To select respondents for HH survey systematic sampling with random selection on site will be applied. Before going to the field, enumerators will be provided with the sample size for each gozar/ISET. They will meet at the centre of the targerted area, pick a random direction (by spinning a pen and following the direction in which the pen points) and then walk in that direction towards the boundary of the gozar/ISET, counting the number of minutes. The minutes will then be divided by the number of interviews to be completed, with the enumerator approaching every n-number house for data collection.

In order to track the validity of collected data, random selection of respondents, who previously gave their consent for second contact (through phone calls), will be conducted during the period of ongoing data collection. In particular, the respondents will be asked to answer again up to five questions from the HH survey for a quick data verification.

Consultations with ISET leadership

Through conducting a series of consultations with the community committees the Consortium partners will develop the evidence-based programs that will be most responsive to local needs and priorities. The engagement activities will be led by ACTED and NRC community mobilization teams and will be focused on gathering qualitative information about resources available in ISETs as well as resources which need to be provided, including the overall likely funding and project duration for the proposed activities. Additional stakeholders will be invited to take part in this process, including other gozar stakeholders, CDCs, youth communities and women representatives. Private sector industries will also be invited to participate if possible.

This qualitative data collection will involve the following stages:

   i.   Through discussing the findings obtained over the first three phases of this research the Consortium partners and local stakeholders will jointly select the key priorities for each ISET;
   ii. Compilation of problem rankings and plenary with stakeholder representatives, local leaders and technical experts (to review problems, vote on the top three or four for feasible solution or project which is aimed to meet the identified key priorities, document available resources, identify relevant implementing partners, expected cost and timeline);
   iii. Organizing final round of discussions with stakeholder representatives (to present the whole process, discuss institutional arrangements and formalization of the next steps).

In order to ensure the consistency and effectiveness of these exercises REACH will develop a preliminary template of the local development plan prior to data collection as well as provide ACTED and NRC with a data collection tool and main needed indicators (priority activity, involved stakeholders, resources, cost, duration etc) in Excel format.

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[4] Impact Initiatives, SOPs for Data Collection during COVID-19, April 2020

2.5. Data Processing & Analysis

Data obtained from Mapping Focus Group Discussions

All of the data from maps will be digitized into a database. Firstly, Field teams will take photographs of maps produced during MFGDs and then send them to a GIS officer for uploading the data into GIS software. The GIS Officer will compile results from all MFGDs and look for overlapping of boundaries. In case there is a good saturation of data then the GIS team will proceed with the mapping of the area. If there is no data saturation, internal discussions with local staff will be conducted to further triangulate available data. In line with IMPACT guidelines[5] all qualitative data will be reviewed, processed, translated into English without paraphrasing or summarising on daily basis and then analysed by the Assessment Officer using MAXQDA software.

As key data for each Gozar and ISET is to assist with prioritization of sites to inform the location of the community centres it will initially be transcribed into four datasets of ISET location points (one for each targeted city), so it can be quickly and easily shared with the consortium members and relevant partners to begin their activities. Thereafter, a full digitalization of the city maps will begin which will lead to the development of more detailed GIS products for the project needs of humanitarian community as well as community leadership in order to improve the local planning process. Published city level maps will not contain ISET location information given the sensitive nature of such data.

Data obtained from Household and KI Interviews

Data from both household interviews and key informant interviews will be collected through mobile data collection tools. Data cleaning will be conducted by the data analysis unit that will check for consistency, outliers, and logic in responses provided and will provide feedback to team leaders and enumerators for additional clarification. Data will be stored on IMPACT Kobo accounts and will be shared with the Consortium partners after removal of personally identifiable information. The data analysis team will share anonymised raw and cleaned data along with the value cleaning log with IMPACT HQ for validation. Data analysis will be conducted by the data analysis team and will produce clean data and frequency tables of all indicators for all 4 cities.

During primary data collection, the REACH Assessment Officer and Database Officer will review data daily to ensure collection methodology is being followed by enumerators and investigate any extreme outliers or other problematic data, including ensuring the sampling methodology is being carried out in accordance with the sampling plan. The Database Officer will share detailed data collection statistics, including number and percentage of collected interviews for each geography and strata, with the Field and Assessment teams weekly. The Assessment Officer and Database Officer will keep a log of any changes, including cleaning of data. Data from household interviews and KII will be analysed in R.

Data obtained from consultations

The local development planning phase involves holding a series of linked local workshops where different stakeholders to make a plan for each ISET development. After data is collected by ACTED and NRC, REACH will conduct data cleaning and formatting process to prepare the dataset for a datamerge type format through InDesign software.

Output production

As a result of the research, several types of products will be developed:
Phase 1 - 4 datasets of ISET location points, 4 city infrastructure and gozar maps

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[5] IMPACT Initiatives, Data Processing and Analysis Guidelines for Qualitative Data, June 2021

Phase 2 - 4 datasets of prioritized ISETs to be immediately shared with the consortium partners for direct response activities, 4 city profiles

Phase 3 - 1 preliminary findings presentation, 4 publishable profiles

Phase 4 - The plans will be developed with the Community Committees, using information they themselves have collected as well as REACH's ISET profiles and needs assessment products created as part of phase one and two and other data collected by partners and other stakeholders.

3. Roles and responsibilities

Table 4: Description of roles and responsibilities

Task Description	Responsible	Accountable	Consulted	Informed
Research design	Assessment Officer	Assessment Manager	GIS Officer, IMPACT HQ, Consortium members	HLP (Housing, Land and Property) Cluster
Supervising data collection	Senior Project Officer	Programme Manager	Assessment Officer	Assessment Manager
Data processing (checking, cleaning)	Database Officer	Database Manager	Assessment Officer, IMPACT HQ	Research Manager
Data analysis	Database Officer	Assessment Manager	Assessment Officer, IMPACT HQ	Research Manager, Consortium members
Output production	Assessment Officer	Assessment Manager	IMPACT HQ	Country Coordinator, Consortium members
Dissemination	Assessment Officer	Assessment Manager	Country Coordinator	IMPACT HQ, Consortium members
Monitoring & Evaluation	*Assessment Officer*	*Assessment Manager*	Country Coordinator	IMPACT HQ
Lessons learned	Assessment Officer	Assessment Manager	Country Coordinator, Consortium members	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

Research questions	Sub-research question	SUBQ #	Questionnaire QUESTION	Probes	Mapping instructions	Data collection method	Key disaggregations (Group types)
Opening question		1.1	Within this area, where do each of you live approximately?		Mark each location with "X" on the nahiya map if possible. Should not be exact house but should mark their gozar for example or as close to where they live as they are comfortable.	MFGD	gozars and ISETs per Nahiya
RQ1.What are the main characteristics of the four urban centres (Herat, Kunduz, Mazar, Jalalabad) and associated informal settlements?	1.1 Which are the territorial boundaries of gozars and informal settlements that recognized by the community leaders?	1.2	What, in your opinion, defines a gozar?	Is it the area which shares the same services and/ or resources? Is it people within a gozar that have common daily issues/needs/opportunities? Is it the group of people who share similar socio-cultural characteristics such as religion, ethnicity, history, socio-economic status etc.?)		MFGD	
RQ1. What are the main characteristics of the four urban centres (Herat, Kunduz, Mazar, Jalalabad) and associated informal settlements?	1.1 Which are the territorial boundaries of gozars and informal settlements that recognized by the community leaders?	1.3	Taking into consideration these definitions of a gozar, how many gozars are there within your Nahiya?			MFGD	gozars and ISETs per Nahiya

RQ1. What are the main characteristics of the four urban centres (Herat, Kunduz, Mazar, Jalalabad) and associated informal settlements?	Which are the territorial boundaries of gozars and informal settlements that recognized by the community leaders?	1.4	Can you identify on the map the exact boundaries of the immediate area occupied by each gozar within your Nahiya?		If there is disagreement about where the boundaries are, try to understand why there are different perceptions. See if participants can eventually agree on the boundary. Once agreed on, outline the agreed area boundary with red marker. If there is still disagreement, mark other boundaries	MFGD	gozars and ISETs per nahiya
RQ1. What are the main characteristics of the four urban centres (Herat, Kunduz, Mazar, Jalalabad) and associated informal settlements?	1.2 What is the estimated number of people living in each gozar and informal settlement?	1.5	How many HHs are living within each gozar boundary? Do you know approximately how many IDP HHs vs host HHs?			MFGD	gozars and ISETs per nahiya
RQ1.What are the main characteristics of the four urban centres (Herat, Kunduz, Mazar, Jalalabad) and associated informal settlements?	1.2 What is the estimated number of people living in each gozar and informal settlement?	1.6	How many individuals are living within each gozar boundary? Do you know approximately how many IDP individuals vs host individuals?			MFGD	gozars and ISETs per nahiya
RQ1.What are the main characteristics of the four urban centres (Herat, Kunduz, Mazar,	1.1 Which are the territorial boundaries of gozars and informal settlements that	2.1	What, in your opinion, defines an informal settlement?			MFGD	gozars and ISETs per nahiya

Jalalabad) and associated informal settlements?	recognized by the community leaders?						
RQ1.What are the main characteristics of the four urban centres (Herat, Kunduz, Mazar, Jalalabad) and associated informal settlements?	1.1Which are the territorial boundaries of gozars and informal settlements that recognized by the community leaders?	2.2	Taking into consideration these definitions of an informal settlement, how many ISETs are there within your Nahiya?			MFGD	gozars and ISETs per nahiya
RQ1.What are the main characteristics of the four urban centres (Herat, Kunduz, Mazar, Jalalabad) and associated informal settlements?	1.1 Which are the territorial boundaries of gozars and informal settlements that recognized by the community leaders?	2.3	Can you identify on the map the exact boundaries of the immediate area occupied by each ISET within your Nahiya?		If there is disagreement about where the boundaries are, try to understand why there are different perceptions. See if participants can eventually agree on the boundary. Once agreed on, outline the agreed area boundary with with red marker with stripes. If there is still disagreement, mark other boundaries	MFGD	gozars and ISETs per nahiya
What are the main characteristics of the four urban centres (Herat, Kunduz, Mazar, Jalalabad) and associated informal settlements?	1.1	2.4	Is the ISET population mixed in or separate from the host community within nahiya?			MFGD	gozars and ISETs per nahiya

RQ1.What are the main characteristics of the four urban centres (Herat, Kunduz, Mazar, Jalalabad) and associated informal settlements?	1.2 What is the estimated number of people living in each gozar and informal settlement?	2.5	How many HHs are living within each ISET boundary?			MFGD	gozars and ISETs per nahiya
RQ1.What are the main characteristics of the four urban centres (Herat, Kunduz, Mazar, Jalalabad) and associated informal settlements?	1.2 What is the estimated number of people living in each gozar and informal settlement?	2.6	How many individuals are living within each ISET boundary?			MFGD	gozars and ISETs per nahiya
RQ1.What are the main characteristics of the four urban centres (Herat, Kunduz, Mazar, Jalalabad) and associated informal settlements?	1.4 What is the location of key infrastructure (electricity, water, sewage, healthcare, education, roads, markets) within the identified geographies?	3.1	What are the main functional public water sources available within this each gozar and ISET?	Can you name and mark all public water sources, such as points for accessing drinking water and for household use (rivers, springs, wells, public taps, etc) (total number, name and mark on the map)	Mark each point with the assigned number from the mapping legend	MFGD	gozars and ISETs per nahiya
RQ3. What challenges do households face in accessing the basic services?	3.2. To what extent are affected populations satisfied with the quality of service they receive?	3.2	Can you describe the quality of public water sources available within each gozar and ISET?	Water of good quality with sufficient access Water of good quality but insufficient access Water of bad quality	Tick one of the option for the pre-set list of gozars and ISETs	MFGD	gozars and ISETs per nahiya

RQ1.What are the main characteristics of the four urban centres (Herat, Kunduz, Mazar, Jalalabad) and associated informal settlements?	1.5.1 What geographic areas (city or sub-city) do the identified stakeholders providing the basic services serve?	3.3	Which gozar or ISETs do the people who use these water sources come from? (name of gozar/ISET and mark on the map) If people from other Nahiya use them, how do you feel about that?		Mark each network with incoming blue arrow	MFGD	gozars and ISETs per nahiya
RQ1.What are the main characteristics of the four urban centres (Herat, Kunduz, Mazar, Jalalabad) and associated informal settlements?	1.4What is the location of key infrastructure (electricity, water, sewage, healthcare, education, roads, markets) within the identified geographies?	3.4	What are the main roads within this Nahiya? (total number, name and mark on the map)	Which are the most important? What makes them important?	Mark each point with the assigned letter from the mapping legend. Stick to most-well known, does not need to be exhaustive.	MFGD	gozars and ISETs per nahiya
RQ1.What are the main characteristics of the four urban centres (Herat, Kunduz, Mazar, Jalalabad) and associated informal settlements?	1.4 What is the location of key infrastructure (electricity, water, sewage, healthcare, education, roads, markets) within the identified geographies?	3.5	How many health centres are in each gozar and ISET? Mark them on the map	What type of health centre are they? - Basic Health Centre - Comrehensive health centre - Clinic - Health Post - Hospital - Family health house - Health sub-centre - Medical Camp -Pharmacies	Mark each point with the assigned number from the mapping legend. Please specify the type of the health center on the map.	MFGD	gozars and ISETs per nahiya
RQ2.What are the gaps in basic service delivery capacities, in terms of meeting the needs of populations in these areas	2.1 What types of service are needed but unavailable?	3.6	Can you describe the access to healthcare services within each gozar and ISET?	Available for everyone No available for some population groups Not available	Tick one of the option for the pre-set list of gozars and ISETs	MFGD	gozars and ISETs per nahiya

RQ1.What are the main characteristics of the four urban centres (Herat, Kunduz, Mazar, Jalalabad) and associated informal settlements?	1.5.1What geographic areas (city or sub-city) do the identified stakeholders providing the basic services serve?	3.7	Which gozar or ISETs do the people who use these health centres come from? (name of gozar/ISET and mark on the map) If people from other Nahiya use them, how do you feel about that?		Mark each network with incoming green arrow	MFGD	gozars and ISETs per nahiya
RQ1.What are the main characteristics of the four urban centres (Herat, Kunduz, Mazar, Jalalabad) and associated informal settlements?	What is the location of key infrastructure (electricity, water, sewage, healthcare, education, roads, markets) within the identified geographies?	3.8	How many schools are in each gozar and ISET? Mark them on the map	What type of schools are they? - Primary School - Secondary School - High School - University - Technical School - Madrasa - Technical Training Centre (TTC) - Early Childhood Education (ECE)	Mark each point with the assigned number from the mapping legend. Please specify the type of the education facility on the map.	MFGD	
RQ2.What are the gaps in basic service delivery capacities, in terms of meeting the needs of populations in these areas	2.1.What types of service are needed but unavailable?	3.9	Can you describe the access to education services within each gozar and ISET?	Available for everyone No available for some population groups Not available	Tick one of the option for the pre-set list of gozars and ISETs	MFGD	gozars and ISETs per nahiya
RQ1.What are the main characteristics of the four urban centres (Herat, Kunduz, Mazar, Jalalabad) and associated informal settlements?	1.5.1What geographic areas (city or sub-city) do the identified stakeholders providing the basic services serve?	3.10	Which gozar or ISETs do the people who use these schools come from? (name of gozar/ISET and mark on the map) If people from other Nahiya use them, how do you feel about that?		Mark each network with incoming black arrow	MFGD	gozars and ISETs per nahiya

RQ1.What are the main characteristics of the four urban centres (Herat, Kunduz, Mazar, Jalalabad) and associated informal settlements?	1.4What is the location of key infrastructure (electricity, water, sewage, healthcare, education, roads, markets) within the identified geographies?	3.11	What are the different markets/bazaars people living in each gozar and ISET go to? (total number, name and mark on the map)	What type of bazzars are they?small bazaars (5 to 30 shops) and large bazaars (more than 30 shops)	Mark each point with the assigned letter from the mapping legend. Please specify the type of the market on the map.	MFGD	gozars and ISETs per nahiya
RQ1.What are the main characteristics of the four urban centres (Herat, Kunduz, Mazar, Jalalabad) and associated informal settlements?	1.6Which basic services (shelter, protection, healthcare, WASH, education) are available within the identified geographies?	3.12	What type of shelter do MOST people in each gozar and ISET live in?	Flat roof permant - Curved roof permanent - Cotton/Canvas Tents - Huts packed mud (pakhsa) or bricks	Tick one of the option for the pre-set list of ISETs	MFGD	gozars and ISETs per nahiya
RQ3.What challenges do households face in accessing the basic services	3.2.To what extent are affected populations satisfied with the quality of service they receive?	3.13	Can you describe the quality of shelter MOST people live in within each gozar and ISET?	Sufficient Insufficient Bad quality	Tick one of the option for the pre-set list of gozar and ISETs	MFGD	gozars and ISETs per nahiya
RQ1.What are the main characteristics of the four urban centres (Herat, Kunduz, Mazar, Jalalabad) and associated informal settlements?	1.4What is the location of key infrastructure (electricity, water, sewage, healthcare, education, roads, markets) within the identified geographies?	3.14	How many mosques are in each gozar and ISET? Mark them on the map	What type are they? Friday mosque small mosque	Mark each point with the assigned letter from the mapping legend.	MFGD	gozars and ISETs per nahiya

RQ1.What are the main characteristics of the four urban centres (Herat, Kunduz, Mazar, Jalalabad) and associated informal settlements?	1.4What is the location of key infrastructure (electricity, water, sewage, healthcare, education, roads, markets) within the identified geographies?	3.15	How many cemeteries are in each gozar and ISET? Mark them on the map		Mark each point with the assigned letter from the mapping legend.	MFGD	gozars and ISETs per nahiya
4.What are the economy characteristics of households and main current livelihood activities within the identified geographies?	4.1. What are the barriers to employment opportunities faced by specific population groups (disaggregated by age, sex, IDP status, vulnerability) within the identified geographies?	4.1	How are the main livelihoods different between each gozar and ISETs within your Nahiya?	Do people in particular gozar or ISETs have specific problems (that other gozar or ISETs don't have) generating a sufficient income?		MFGD	gozars and ISETs per nahiya
RQ1.What are the main characteristics of the four urban centres (Herat, Kunduz, Mazar, Jalalabad) and associated informal settlements?	1.3. What are the vulnerability characteristics of population living within the identified geographies?	4.2	How do the main protection concerns (if any) vary between gozars and ISETs?	In which gozar and ISETs are protection concerns at high level? How do protection concerns vary by gender, age, ethnicity or other population groups?		MFGD	gozars and ISETs per nahiya
RQ1.What are the main characteristics of the four urban centres (Herat, Kunduz, Mazar, Jalalabad)	1.5.Who are the main local stakeholders, community leaderships, service providers within the	5.1	We are seeking to speak with others who are knowledgeable about each gozar and ISET within this Nahiya. We would very much appreciate it if you could recommend another organisation or	Could be Local councils, technical departments, community representatives or traditional leaders, local NGOs or humanitarian		MFGD	gozars and ISETs per nahiya

and associated informal settlements?	identified geographies?		knowledgeable person we can speak with. To ensure the diversity we would especially like to interview women, youth, ethnical minorities if possible. If not any person who knowledgeable enough about their community life (community leaders, teachers, doctors etc) could take part in survey. Be assured that, the person you nominate can refuse to take part. Can you think of someone who could help? (Note down name, number and position as available)	actors, civil society organisations, informal community groups (youth, women, cooperatives), service providers			

5. Data Management Plan

Available upon request

6. 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 Number of individuals accessing IMPACT services/products	# of downloads of x product from Resource Center	Country request to HQ	User_log	xYes
		# of downloads of x product from Relief Web	Country request to HQ		xYes
		# of downloads of x product from Country level platforms	Country team		□ Yes
		# of page clicks on x product from REACH global newsletter	Country request to HQ		x 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	*Consortium Project Documents*
		# references in single agency documents			
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	Perceived relevance of IMPACT country-programs	Country team	Usage_Feedback *and* Usage_Survey template	*Usage survey to the Consortium Project Managers* *Usage survey to be conducted at the end of each phase of the research cycle targeting at least 8 Consortium partners*
		Perceived usefulness and influence of IMPACT outputs			
		Recommendations to strengthen IMPACT programs			
		Perceived capacity of IMPACT staff			

		Perceived quality of outputs/programs			
	documents (HNO, HRP, cluster/agency strategic plans, etc.) directly informed by IMPACT products	Recommendations to strengthen IMPACT programs			
Humanitarian stakeholders are engaged in IMPACT programs throughout the research cycle	Number and/or percentage of humanitarian organizations directly 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	x Yes
		# of organisations/clusters inputting in research design and joint analysis			x Yes
		# of organisations/clusters attending briefings on findings;			x Yes