



# GLOBAL SHELTER CLUSTER

## Emergency Terms of Reference

### A. EXECUTIVE SUMMARY

<b>Emergency</b>	Natural Disaster <input type="checkbox"/>	Conflict <input checked="" type="checkbox"/>	Complex Emergency <input type="checkbox"/>
<b>Sector</b>	Shelter	<b>Cluster Lead</b>	UNHCR
<b>Donor</b>	UNHCR		
<b>Country</b>	Ukraine		
<b>Regional Focus</b>	Eastern Ukraine <sup>1</sup> , specifically the five oblasts (Dnipropetrovska, Zaporizka, Kharkivska, Donetska and Luhanska) which, not including areas controlled by non-government actors, collectively are hosting approximately 850.000 internally displaced persons.		
<b>Mission Timeframe</b>	Preparation: 16 March – 3 April Field operations / data collection: 6 April – 10 May Analysis & reporting: 11 – 25 May		
<b>Description of Context</b>	<p>As a result of ongoing conflict between Ukrainian Government forces and armed opposition groups in the eastern Donbas region of Ukraine, approximately 1.1 million people have been displaced to date from their homes and are becoming increasingly vulnerable as the conflict continues. Of this number, approximately 75% (850.000) are residing in 5 oblasts in the east of the country: Dnipropetrovska, Zaporizka, Kharkivska, Donetska, Luhanska (Source: UNHCR, 11 March 2015), not including the areas currently under the control of armed opposition groups.</p> <p>Although the Ukraine is a middle income country, the capacity of the government to continue providing services in areas not fully under governmental control is limited. In addition, the ability of the state to rehabilitate infrastructure and shelter has been weakened. In this context, access to basic lifesaving services have been disrupted throughout much of the affected area, with the influx of displaced persons placing a strain on goods available in the market, resulting in steadily increasing the price of food and non-food items. Since access to cash, income or social benefits may have been disrupted by the displacement the ability of displaced households to meet their needs in a sustainable way may be limited. Moreover, this influx has placed a strain also on the hosting population, in particular in areas with a high ratio of IDPs compared to the local population.</p> <p>Information on the specific shelter and NFI needs of the displaced population is limited and where available, is not sufficiently representative to be used as the basis of rigorous planning. Although OCHA and ACAPS have recently undertaken assessments with a multi-sectoral focus, these surveys are limited by their broad scope (including just a few key shelter/NFI indicators) and methodology. Data available to the cluster through post-distribution monitoring contains an inherent bias towards existing beneficiaries and therefore cannot by itself be used to build a comprehensive and detailed response plan. That said, REACH recognizes the value of the available data for triangulation of its own findings, and to narrowly define the scope of this assessment in order not to cover ground that has already been covered by others.</p> <p>In this context, REACH is proposing to undertake a detailed assessment of shelter and NFI needs among the displaced population in Ukraine that is both statistically representative and inclusive of existing data from other assessments and through Ukrainian government agencies. Combining secondary data review (including of OCHA HSM, ACAPS and PDM findings as well as socio-economic</p>		

<sup>1</sup> For the purpose of this document only, the term Eastern Ukraine will be used to refer to the five oblasts Dnipropetrovska, Zaporizka, Kharkivska, Donetska and Luhanska collectively, with exception of areas in Donetska and Luhanska oblasts not under government control.

	data available from the Ukrainian Government) with a robust field data collection method, REACH aims to close the information gap with respect to the shelter and NFI needs of the displaced population and provide a baseline for future assessment activity
Main objective	To contribute to inform the Shelter Cluster response strategy in Eastern Ukraine.
Specific objectives	<p>This assessment is designed to provide statistically representative data at the district level to enable the Shelter Cluster to:</p> <ol style="list-style-type: none"> <li>1. Identify priority shelter and NFI needs to be addressed in urban and rural locations across Eastern Ukraine;</li> <li>2. Identify specific vulnerable groups and location types among the overall IDP population;</li> <li>3. Understand displacement trends and current intentions of the displaced population</li> <li>4. Accurately determine the scale of the response required in Eastern Ukraine and corresponding planning and funding needs to be addressed.</li> </ol>
Data Sources	This assessment will collect quantitative primary data through household surveys with beneficiaries at field level, and will review and incorporate available secondary data in order to inform questionnaire design, triangulate findings and provide context and illustration to the statistical data collected through household surveys. Existing secondary data includes PDM reports by Shelter Cluster partners, previous assessments undertaken by OCHA and ACAPS to the extent accessible, and publicly available socio-economic data from Ukrainian government agencies.
Targeting	This assessment will take a representative random sample of IDPs in 35 clusters of up between one (most urban clusters) and up to 17 (some rural clusters) districts in the accessible areas of Eastern Ukraine, based on official registration data from the Ministry of Social Policy (MoSP) dated 11 March 2015. By clustering districts into relatively homogeneous groups on the basis of their level of urbanization and population size, economic profile, and geographic location (proximity to the line of contact), the assessment will facilitate programming decisions at a local level whilst avoiding unnecessary duplication at the lowest level. The results will also enable comparative analysis of the different needs of IDPs depending on the type of location in which they have sought refuge, or their distance from the conflict zone. Moreover, the results will be aggregated to the Oblast and regional level by weighting the results from each district based on the IDP population and thus also enable planning at the regional level. The assessment will be representative at the district-cluster level with a 90% confidence level and a 10% margin of error and at the Eastern Ukraine regional level (95% confidence level with a 5% margin of error).
Period of assessment	16 <sup>th</sup> March – 25 <sup>th</sup> May
REACH Resources	<p>1 x Assessment Coordinator (international)</p> <p>1 x Assessment Officer (international)</p> <p>1 x GIS / DB Manager (international)</p> <p>1 x Field Coordinator</p> <p>5 x Team Leaders</p> <p>35 x Enumerators</p> <p>11 x Drivers</p>
Expected Results	<ol style="list-style-type: none"> <li>1. A comprehensive assessment report detailing findings on specific shelter and NFI needs and vulnerabilities, corresponding caseload figures (based on IDP registration figures provided by the Ukrainian government), and providing recommendations for Shelter Cluster and partner organizations;</li> <li>2. Static analytical maps further illustrating the assessment findings;</li> <li>3. A cleaned dataset available to cluster partners for further analysis as necessary.</li> <li>4. Detailed information regarding shelter vulnerabilities amongst IDPs is analysed and mapped</li> </ol>

Expected Deliverables	<ol style="list-style-type: none"> <li>1. 1 Assessment report</li> <li>2. 1 Presentation of key preliminary findings</li> <li>3. 4 Static analytical maps representing key indicators</li> <li>4. 1 Cleaned dataset</li> <li>5. 1 Spreadsheet of findings and corresponding caseloads</li> </ol>
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## **B. OBJECTIVES OF THE ASSESSMENT**

The overall objective of the deployment is to, contribute to inform the Shelter Cluster response strategy in Eastern Ukraine by informing the humanitarian community, and shelter cluster partners in particular, on the key shelter and non-food item needs as reported by the IDP population, differentiation between urban and in rural locations, and enabling a better understanding of how the location and demographic background of IDPs determine their respective shelter and NFI needs.

### **B.1 . Specific Objectives**

Currently, while information on IDP shelter and NFI needs is available through various sources (PDM reports and field observations by cluster partners, IDP registration figures from government sources, and data available from previous assessments), a gap exists where it comes to comprehensive, statistically representative data with sufficient detail on specific shelter and NFI needs. In order to enable the Shelter Cluster and partners to design an effective overall response plan for Eastern Ukraine, REACH is deployed as a partner of the Global Shelter Cluster to conduct a rapid assessment with the specific object of closing this gap.

This assessment will be designed to provide the following information:

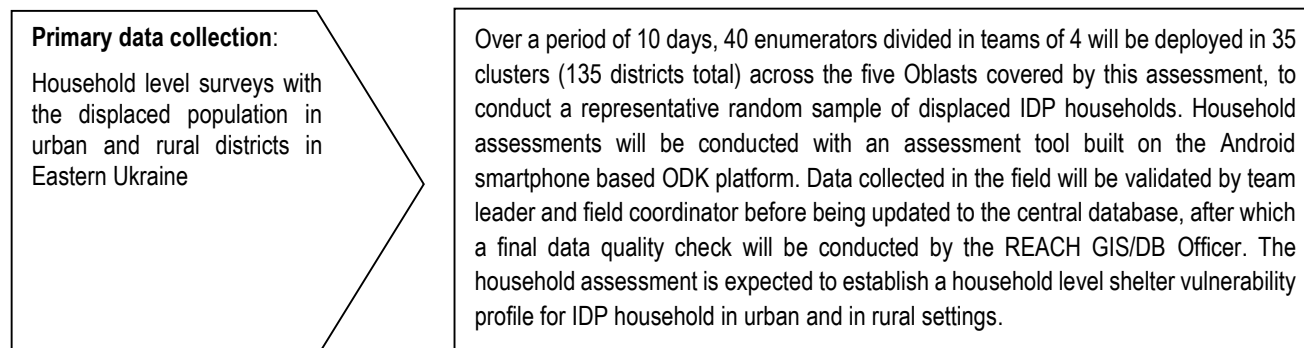
1. Statistically representative data on the shelter situation and different shelter improvement needs of IDPs in urban and rural settings in Eastern Ukraine;
2. Statistically representative data on IDP access to certain non-food items and corresponding priority needs;
3. Indicative data on the vulnerability of specific subgroups based on demographic or geographic factors.

By providing this information, this assessment is designed to enable the Shelter Cluster to:

1. Identify priority shelter and NFI needs to be addressed;
2. Identify specific target groups and location types among the overall IDP population
3. More accurately estimate the scale of the response required in Eastern Ukraine and corresponding planning and funding needs to be addressed.

## **C. METHODOLOGY**

Two sources of data will be used: Field Data Collection (survey among a statistically representative sample of households) and secondary data. The figure below outlines the tools to be used and the data expected from each technique:



**Secondary Data:**

Sources include PDM reports from Shelter Cluster partners, data provided by humanitarian actors and data shared by Ukrainian Government agencies.

Prior to and during the primary data collection stage, REACH, in cooperation with Global Shelter Cluster representatives, will conduct a thorough review of secondary data, first to identify information gaps in the target area with regards to shelter vulnerability and NFI needs, and second to contextualize and triangulate the findings of the household level assessment.

**C.1. Sampling Strategy**

This assessment will use representative random cluster sampling in order to give a complete picture of the shelter situation and basic NFI needs of IDPs displaced from their homes as a result of the ongoing conflict in eastern Ukraine. The sampling strategy will provide a confidence level of 90% and a 10% margin of error representative geographically at the district cluster level, and will enable generalization of results to the oblast and regional level with a confidence level of 95% and a margin of error of 5%. Moreover the sampling frame will enable disaggregation of the data into two subgroups of urban and rural locations, helping the cluster understand differences based on the local context.

*Stage 1: Geographic scope of the assessment*

Due to logistical constraints, considering that approximately 75% of IDPs registered by the Ukrainian Government are based in 5 Oblasts in eastern Ukraine (not including areas under control of armed opposition groups), considering that the Shelter Cluster is planning to open a sub-base in Sloviansk to coordinate the response in Eastern Ukraine, the scope of this assessment will be limited to IDPs in these 5 oblasts. For reasons of security, access and the unavailability of basic IDP registration data, the scope of the assessment will be limited to districts currently under governmental control to which enumerators can safely gain access for the purpose of data collection.

*Stage 2: Clustering of districts*

Following discussions with Shelter Cluster representatives, it became clear that while data that is representative only at the Oblast level would not provide the level of detail required, data representative at the level of the individual district (of which there are 135 within the geographic coverage area) would in fact provide a level of detail that is not necessary to adequately inform the response, and would require a disproportionate investment of time and money. Following discussions between UNHCR and REACH taking into account field experience and lessons learned from post-distribution monitoring, it was agreed to cluster districts into 35 homogeneous units based on the following rules<sup>2</sup>:

- Clusters are geographically contiguous and do not cross Oblast lines;
- Individual cities or adjoining urban areas with a population of more than 100,000 inhabitants (2001 census data) form separate clusters;<sup>3</sup>
- Districts immediately surrounding cities of more than 1 million inhabitants (Dnipropetrovsk and Kharkiv) are clustered separately from other rural areas;
- Rural districts (and urban districts with a population below 100,000 inhabitants) are clustered based on their proximity to the Line of Contact, creating roughly three rings around the LoC (see map in Annex A);

<sup>2</sup> NB: For this assessment to properly function as a baseline, future assessments designed to test against this baseline will need to follow the same cluster breakdown to ensure comparability of data.

<sup>3</sup> One hypothesis that this assessment is designed to test is whether significant differences in terms of shelter / NFI needs exist between IDPs located in rural areas and those in urban areas. Based on their administrative status as either “raion” or “miska rada,” corroborated by socio-economic indicators available from the Ministry of Social Policy, each district has been classified as either urban or rural.

- Districts in the third, most distant ring around the LoC which are located along the main roads between Donetsk and the two major cities Dnipropetrovsk and Kharkiv, are clustered separately;
- The city of Izium (Kharkivska oblast), despite having a population below 100,000 inhabitants, forms a separate cluster due to its unique displacement profile, resulting from previous dynamic in the conflict and location alongside the main road between Donetsk and Kharkiv;

### Stage 3: Random selection of households at field level

Within each cluster, a random sample of households representative at the cluster level with a confidence level of 90% and a margin of error of 10% will be selected, geographically spread across the different districts making up the cluster reflecting the ratio of IDP registration in each district. Within each district, target locations will be randomly selected from a list of named towns, villages, settlements and city neighbourhoods in the area. In each location, a total of 8-10 households will be identified and selected for assessment. Households will be selected by enumerators by conducting a field walk, identifying IDP households by asking three different sources for directions: local authorities; local store owners; and so-called *babushka*'s<sup>4</sup> for directions. After identifying IDPs in the target locations, enumerators will flip a coin to decide whether or not the identified households will be included in the sample. Where possible, interviewed households will also be used to identify further IDP households to assess using the snowball method. Within each cluster, a total of up to 67 households will be assessed, providing a confidence level of 90% and a margin of error of 10% at this lowest unit of measurement.

Using this sampling framework, REACH will target 2,520 households across 135 districts (in 35 clusters) and 5 oblasts:

Oblast	IDPs	Districts <sup>5</sup>	Clusters (Urban – Rural)	Sample size
Dnipropetrovska	71,561	35	9 (5-4)	648
Donetska	407,815	27	9 (5-4)	648
Kharkivska	149,652	34	7 (2-5)	504
Luhanska	143,381	14	5 (1-4)	360
Zaporizhka	81,187	25	5 (3-2)	360
<b>Eastern Ukraine</b>	<b>853,596</b>	<b>135</b>	<b>35 (16-19)</b>	<b>2,520</b>

## C.2. Building capacity

Where possible, data collection will be conducted using staff seconded by shelter cluster partners to REACH, under the direct supervision of REACH staff for the purposes of this assessment. This will not only present an efficient use of resources, it will also enable REACH to build capacity among local actors and their staff in the robust data collection methodologies applied by REACH. Strengthening such capacity will enable the Shelter Cluster and its partners to apply high data collection and data management standards to their future assessment activities, which for instance may include an assessment of shelter and NFI needs among both IDPs and non-displaced people in the areas not under government control; or assessments studying the impact of planning against targets set based on the baseline dataset produced by this current assessment. Where possible team leaders will be recruited from among the pool of enumerators.

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<sup>4</sup> The decision to include *babushka*'s – elderly women, who often spend much of their time outside observing local events, and as a result have a strong local knowledge on IDPs which may not be available from official sources – was made based on lessons learned from the ACAPS MSNA and in recognition of the fact that many of the people who have been displaced from the Donbas region may not have felt the need to register with local authorities.

<sup>5</sup> Not including those districts under control of non-government forces and/or for which no IDP registration data was available.

### C.3. Work plan

Activities	March		April				May			
	16-22	23-29	30-5	6-12	13-19	20-26	27-3	4-10	11-17	18-25
Preparation										
Development of indicators										
Secondary data review										
Design and translation of questionnaire										
Recruitment and training of enumerators										
Training of enumerators										
Field data collection										
Data cleaning and initial analysis										
Production of maps										
Dissemination of preliminary findings										
Workshops with local partners on preliminary results										
Presentation of final results										
Circulation of draft report for cluster input										
Production and dissemination of final report										

### C.4. Resources

In the event that (insufficient) staff are unavailable for secondment, REACH will directly recruit enumerators from local universities for the duration of the assessment. As with data collection staff, vehicles for the purposes of the assessment will be, where possible, sourced from shelter cluster partners. In the event that vehicles are not available, REACH will directly contract drivers for the duration of the assessment. Where enumerators and drivers are recruited specifically for the assessment, REACH will facilitate the payment of daily salaries. The budget presented in section D is based on the highest cost scenario in which no staff or other resources can be seconded by partners; secondments would consequently lower the total cost of the assessment accordingly.

### C.5. Training

Enumerators will be recruited in five locations (Kharkiv, Dnipropetrovsk, Sloviansk, Severodonetsk or Zaporizhia, which will serve as the bases of operation for field data collection) with the help of Shelter Cluster partners and trained locally in Dnipropetrovsk. The Shelter Cluster will provide facilities for the training and will cover DSA for seconded staff of partner organisations. If necessary, REACH may organize additional trainings in Kharkiv or Sloviansk. The training by the REACH Assessment Coordinator will cover standard assessment techniques, usage of Android phones and of the Android-based ODK platform, and detailed training on the questionnaire. REACH strongly recommends the involvement of a Shelter Cluster representative to assist in the training of specific definitions and technical standards as applicable in the Ukrainian context. Training will last 2 days and will include a pilot run in the field on the second day.

### C.6. Data Collection

Enumerators will be organized into mobile teams of 4, each with a car and driver (ideally, the driver will also participate in the data collection). Each team will be assigned specific locations to visit within the target clusters. The Field Coordinator and team leaders will accompany the teams to the targeted districts where they will be responsible for introducing the local administrative authorities to the objectives of the assessment to ensure acceptance. Upon arrival in a selected location, the one member of the enumerator team will be

responsible for doing the same with local authorities at the town or neighbourhood level. Data collection teams will then, under the supervision of their respective field coordinator, conduct a random selection of 8-10 households per location before moving on to the next location selected for assessment.

### **C.7. Data Entry**

All household level assessments will be conducted using an assessment tool built on the KoBo android smart phone based platform. The questionnaire will be conducted in Russian or Ukrainian, based on the preference of the respondent - with enumerators directly entering the answers on the smart phone (procured for the purposes of this assessment by REACH). With exception of open-ended questions, all answers will be immediately available in English for field-level review (spot checks) by REACH Assessment staff and, following upload to the REACH server, will be immediately available in English for analysis.

The ODK platform significantly improves data quality as a result of:

- Reducing human error as a result of loss of forms, data collection mistakes, and data entry mistakes thus improving the accuracy of collected data;
- Increases the speed at which mapping products and analytical reports can be produced through reducing data cleaning time and removing the for data entry;
- Ensuring the protection of data as a result of completed forms being removed from the data collection tool upon upload to the centralised database.

### **C.8. Data Cleaning**

Completed household survey forms will be first checked and where necessary corrected by the responsible team leader and field coordinator, and will be subject to spot check review by the Assessment coordinator before upload. Answers to open-ended questions will be translated in the resulting database by the Field Coordinators. After translation, the data will be reviewed, any obvious data entry errors excluded from the analysis. Any statistical outliers will be carefully reviewed and either excluded or kept in the analysis as appropriate.

Raw data from the household level surveys, along with a data cleaning log describing reasons for exclusion or inclusion of specific data points, will be handed over to the Global Shelter Cluster representatives.

### **C.9. Analysis**

Following the conclusion of data collection, REACH will conduct the initial analysis of the results and will prepare preliminary findings in the form of descriptive statistics for presentation to the Shelter Cluster partners. Results will be statistically representative at the level of the individual targeted clusters, as well as at the level of urban and rural settings across Eastern Ukraine. REACH will be primarily responsible for the analysis, but following presentation of the preliminary results partners are greatly encouraged to provide their feedback and local perspective on these preliminary results, in order to improve the strength and validity of the final analysis. Moreover, partners will be asked following this presentation to provide their input on recommended actions based on the assessment results, for inclusion in the assessment report.

### **C.10. Outputs, validation and dissemination**

The assessment will result in the publication of a final assessment report, including an executive summary, as well as static analytical maps with shared REACH and Shelter Cluster branding. The report and accompanying maps will be validated by the Shelter Cluster lead in Ukraine and the REACH global headquarters in Geneva before publication. This report will be targeted to local and international Shelter Cluster partners, other humanitarian actors as well as other interested parties. The report will be disseminated in Ukraine by the Shelter Cluster, and may be disseminated to international partners by the Shelter Cluster and REACH as appropriate.

Moreover, REACH will provide a Powerpoint presentation of key findings for the purpose of sharing with partners by the Shelter Cluster.

Finally, REACH will share all raw data as well as a cleaned dataset (with any personal identifying information such as names, addresses or phone-numbers of beneficiaries removed) of the household survey results with the Shelter Cluster.

## D. RESOURCES

BL #	Description of Items	Units	# of Units	Unit Price (USD)	Months / days	Totals
<b>1. PERSONNEL COSTS</b>						<b>49,130</b>
	<b>International Staff</b>					
	Assessment Coordinator	Per month	1	6000	1.5	9,000
	Assessment Officer	Per month	1	5000	1	5,000
	GIS/DB Manager	Per month	1	5000	0.5	3,750
	Senior Coordinator	Per month	1	9000	0.5	4,500
	<b>National Staff</b>					
	REACH Field Coordinator	Per month	1	1000	2	2,000
	Finance / Administration Officer	Per month	1	750	2	1,500
	Assessment Team Leader	Per day	5	70	12	4,200
	Enumerator*	Per day	35	40	12	16,800
	Driver (including car rental)*	Per day	11	30	11	3,630
<b>2. OPERATIONAL COSTS</b>						<b>20,600</b>
	Communication costs	Per month	1	800	2	1,600
	Data collection equipment*	Per phone	42	150	1	6,300
	Laptop + Printer	Laptop	1	1000	1	1,000
	Accommodation Kyiv (guesthouse)	Per month	1	1200	2	2,400
	Accommodation field base (hotel)	Per night	40	35	1	1,400
	International transportation	Roundtrip	4	1000	1	4,000
	Domestic transportation	Lumpsum	1	1500	1	1,500
	Car fuel*	Per day	10	20	12	2,400
<b>3. OTHER COSTS</b>						<b>6,973</b>
	Impact Technical Backstopping	10%	1	6973	1	6,973
<b>4. INDIRECT COSTS</b>						<b>3,835</b>
	Standard overhead / HQ costs	5%	1	3835	1	3,835
<b>TOTAL COSTS (USD)</b>						<b>80,538</b>

\* REACH welcomes the secondment of Shelter Cluster partner staff as enumerators or the use of their cars and smart phones for data collection in Luhanska and Donetsk oblasts (the main areas where partners are currently operating), in order to achieve a more cost-effective project – thus reducing personnel and operational costs marked with an \* by **up to 40%**. Secondments need to be for the full duration of data collection activity and staff will be under the direct supervision of REACH staff during this period.

**TOTAL COSTS (USD) in case of maximum national staff secondment** **68,886**



## **E. ASSUMPTIONS**

The planning of the assessment is based on the assumption that certain underlying conditions, dependent on external factors, are and will continue to be met during the period of the project.

- 1) Local authorities will sanction field level data collection;
- 2) Security context will permit REACH teams to safely access the target areas, notably in Luhansk and Donetsk oblasts, for the purpose of household level data collection. REACH will rely on UNHCR and partner organisation security assessment to determine access;
- 3) Shelter Cluster partners will support REACH in the design of the data collection tools by providing input on indicators and questionnaire as well as by supporting the analysis and interpretation of assessment results by providing input on preliminary findings;
- 4) Secondary data is shared, where possible in English, by relevant parties;

In the event that local authorities, security context, logistical constraints or changes in the availability of seconded staff negatively impact the progress of data collection, REACH may in consultation with the Shelter Cluster reduce the sample size in selected locations, thus reducing the confidence level, in order to achieve results on a timely basis.

In the absence of local partners to second staff in these areas, REACH enumerators will in any case be responsible for covering the area of Kharkiv, Dnipropetrovska and Zaporizhka oblasts. UNHCR will request partner organisations to provide staff to cover Donetsk and Luhanska oblasts. If no partner can commit to conduct data collection in these areas by 10 April at the latest, REACH will recruit its own enumerators to cover the gap.

In the event that sufficient seconded staff resources are available, REACH enumerators may in consultation with the Shelter Cluster be allocated to either cover areas where partners have no presence, or increase the sample size in selected locations, thus improving the confidence level and reducing margin of error of findings. This, however, may require realignment of budget lines as the operational framework changes.

## **F. ANNEXES**

Annex A                      Shelter Cluster Assessment Clusters