

Research Terms of Reference

Multi-Cluster Needs Assessment in Informal Settlements

REACH Support to Cluster Assessments and Information Management, Afghanistan

November 2017
Version 1

REACH Informing
more effective
humanitarian action

1. Summary

Country of intervention	Afghanistan					
Type of Emergency		Natural disaster		Conflict	X	Emergency
Type of Crisis		Sudden onset		Slow onset	X	Protracted
Mandating Body/ Agency	OCHA					
Project Code	02 CYR I14					
REACH Pillar		Planning in Emergencies	X	Displacement		Building Community Resilience
Research Timeframe	1 May – 30 November 2017					
General Objective	The overall objective of the assessment is to support evidence-based planning amongst key actors in Afghanistan, to promote informed interventions targeting insufficiently understood Informal Settlement populations.					
Specific Objective(s)	<ul style="list-style-type: none"> To inform the response of humanitarian decision-making in 5 Afghan regions. These 5 regions, focusing on 19 provinces, were selected by the Food Security, WASH and Shelter clusters as they contain a high number of refugees and returnees, in addition to IDPs, thus providing the most relevant information required. The assessment will achieve this by completing the following objectives: <ol style="list-style-type: none"> Profiling the demographics of residents and mapping basic services in informal settlements, to develop understanding of these sites and their residents. Identifying food security vulnerabilities, needs and coping strategies of households in settlements. Identifying WASH vulnerabilities, needs and coping strategies of households in settlements. Identifying Shelter vulnerabilities, needs and coping strategies of households in settlements. Noting how these vulnerabilities, needs and coping strategies differ across regions and amongst displacement groups, helping to define those most in need of assistance. Outlining the specific food security, WASH and shelter needs affect women and girls in informal settlements. To inform upcoming intervention planning, as well as the next Humanitarian Needs Overview (HNO) and Humanitarian Response Plan (HRP). To evaluate the effectiveness of the widespread method of displaced population self-identification used by humanitarian actors, including clusters and other partners, throughout Afghanistan for research assessments and beneficiary identification. The assessment serves to highlight the limitations of 					

	this current technique, thus providing scope for improvements in the methods used by partners when they select beneficiaries nationwide.			
Research Questions	<ol style="list-style-type: none"> How can we best understand the nature of informal settlements in terms of: <ul style="list-style-type: none"> Their location and establishment history Geographical and population size Demographics and socio-economic status of residents Our current definitions of displaced populations, and how can we improve our methods of accurately identifying displaced populations What are the specific Food Security vulnerabilities, needs and coping strategies of those living in informal settlements? <ul style="list-style-type: none"> What are the specific food security needs of women and girls? How do these differ between regions? How do these differ between displacement groups? What are the specific WASH vulnerabilities, needs and coping strategies of those living in informal settlements? <ul style="list-style-type: none"> What are the specific WASH needs of women and girls? How do these differ between regions? How do these differ between displacement groups? What are the specific Shelter vulnerabilities, needs and coping strategies of those living in informal settlements? <ul style="list-style-type: none"> What are the specific Shelter needs of women and girls? How do these differ between regions? How do these differ between displacement groups? 			
Research Type	Quantitative		Qualitative	X Mixed methods
Geographic Coverage	A set of 19 provinces across five regions, selected by the Food Security, ESNFI and WASH clusters. In the West (Herat, Farah, Ghor and Badghis), North (Faryab, Jawzjan, Saripu, Balkh and Samangan), Centre (Kabul, Kapisa and Logar), South-East (Paktya, Khost and Paktika) and East (Nangarhar, Nuristan, Kunar and Laghman).			
Target Population(s)	Vulnerable, displaced population groups residing in Informal Settlements (ISETs) across the 19 target provinces in five regions.			
Data Sources	<p>Secondary Data:</p> <ul style="list-style-type: none"> REACH (2017) Informal Settlement Profiling Project REACH (2017) Food Security Assessment in Informal Settlements in Kabul and Nangarhar REACH (2017) Multi-Cluster Needs Assessment of Prolonged IDPs Amnesty International (2016) My Children Will Die This Winter <p>Primary Data:</p> <ul style="list-style-type: none"> Clean dataset containing all Informal Settlement Profiling data Clean dataset containing all Food Security data Clean dataset containing all WASH & Shelter data 			
Expected Outputs	<ul style="list-style-type: none"> 1 assessment ToR 1 master list of all reviewed settlements Set of relevant factsheets and consequential factsheet booklets Clean datasets 3 preliminary findings presentation – 1 for each Cluster 2 final reports on Food Security and on WASH & Shelter findings 			
Key Resources	REACH Country Focal Point			

	REACH GIS/DB Officer	
Humanitarian milestones		
	Milestone	Timeframe
		Cluster plan/strategy
	X	Inter-cluster plan/strategy <i>November 2017 (HNO 2018 deadline)</i>
		Donor plan/strategy
		NGO plan/strategy
Audience		Other
	Audience type	Specific actors
	X	Operational <i>63 UN agencies, national and international NGOs</i>
	X	Programmatic <i>63 UN agencies, national and international NGOs</i>
	X	Strategic <i>63 UN agencies, national and international NGOs</i>
Access		Other
	X	Public (available on REACH research center and other humanitarian platforms)
		Restricted (bilateral dissemination only upon agreed dissemination list, no publication on REACH or other platforms)
		Other
Visibility	<i>CHF, OCHA, REACH</i>	
Dissemination	<i>Country level joint analysis workshop, presentation of findings during inter-cluster and/or HCT meetings, country level mailing list, upload on web portals (REACH, Humanitarian Response Info, ReliefWeb, and other relevant platforms)</i>	

2. Background & Rationale

Displacement is rife in Afghanistan, with unprecedented numbers of IDPs, returnees and other displaced groups moving within Afghanistan in the past year. Notably, there was a return of 618,291 registered and undocumented Afghans from Pakistan and Iran in 2016 (OCHA, 2017). As the rate of return of Afghan families increased exponentially since July 2016, the returnee situation has become more prominent on the Afghan humanitarian agenda. Sustained levels of internal displacement have been observed across the 34 provinces of Afghanistan, with 592,324 new conflict IDPs in 2016 alone. REACH's nationwide assessment of prolonged IDPs has identified 324,927 of them across Afghanistan. Meanwhile, Afghanistan remains highly exposed to natural disasters. Frequent floods, heavy rain, snow, landslides and avalanches in certain provinces result in widespread destruction of assets, resources and infrastructure and in population displacement, affecting 230,000 Afghans per year on average.

In this context, issues surrounding Informal Settlements (ISETs) has become more prominent, as these locations often form pockets of vulnerability where households have limited access to essential services and livelihood opportunities, resulting in compounded exposure to vital threats. REACH's assessment of Kabul and Nangarhar ISETs found that inhabitants show high levels of food insecurity. In addition, residents of ISETs face high WASH and Shelter needs. Amnesty International has found that "in all displaced communities (...), access to water was a critical issue (...). A potable water source adequate to cover residents' needs is a rarity". The same report has identified high Shelter needs, as 'displaced people (...) invariably lived in extremely poor housing conditions'. Such needs are expected to increase due to unrelenting population displacement, and are often associated with protection issues. Furthermore, recent findings in the East suggest high WASH and Shelter needs, largely expanded by the arrival of returnee caseloads. Displacement also results in acute protection

needs that particularly affect women and children. Displacement reduce populations' self-protection capacity, especially in ISETs where they live in substandard conditions and develop negative coping mechanisms, and where the lack of documentation impedes access to basic services. Conflict IDPs include high numbers of vulnerable households (including 9.5% female-headed). Returnees are also affected by protection threats, and include around 60% of children.

As such, this assessment has been designed based on the imperative identified in the Humanitarian Needs Overview and Humanitarian Response Plan for 2017 to improve evidence-based humanitarian resource allocation, in the context of high needs and scarce resources. Information gaps surrounding ISETs affect multiple Clusters, as well as their members' ability to design and implement needs-based programming across Afghanistan, with priority areas including food security, WASH and Shelter needs. In addition, the specific need of women and girls remains a further issue, as no multi-regional, dedicated food security, WASH or Shelter needs assessment have been conducted to date and as gender-specific needs are often overlooked in the face of humanitarian crises. Failure to assess and understand the specific needs of vulnerable population groups may result in incomplete humanitarian programming, and may also result in harmful programming. Assessments therefore need to encompass a strong gender and age focus, as well as a focus on most vulnerable households among affected populations.

As such, this assessment aims to collect key information on the ISETs, with specific adherence to relevant sector needs and vulnerabilities of their inhabitants. The population groups considered are Internally Displaced Persons (IDPs), prolonged IDPs, returnees and any found refugees. This assessment covers five regions of Afghanistan; North, West, Central, South East and East. In close collaboration with the relevant Clusters, REACH will carry out two components to this assessment:

1. A food security assessment in ISETs across all five regions
2. A Water, Sanitation and Hygiene (WASH) and Shelter assessment in ISETs across all five regions

These five regions were selected as they provide the most critical insights on displaced populations of interest to these clusters; in particular the vulnerabilities of refugees from Iran and Pakistan, returnees from Pakistan and IDPs more generally.

3. Research Objectives

The overall objective of the assessment is to support evidence-based planning amongst key actors in Afghanistan, to promote informed interventions targeting insufficiently understood Informal Settlement populations.

- To inform the response of humanitarian actors decision-making in 5 regions of Afghanistan. These 5 regions, focusing on 19 provinces, were selected by the relevant clusters as they contain a high number of refugees and returnees, in addition to IDPs, thus providing the most relevant information required. The assessment will achieve this by completing the following objectives across 19 provinces in 5 regions of Afghanistan:
 1. Profiling the demographics of residents and mapping basic services in informal settlements, to develop understanding of these sites and their residents.
 2. Identifying food security vulnerabilities, needs and coping strategies of households in settlements.
 3. Identifying WASH vulnerabilities, needs and coping strategies of households in settlements.
 4. Identifying Shelter vulnerabilities, needs and coping strategies of households in settlements.
 5. Noting how these vulnerabilities, needs and coping strategies differ across regions and amongst displacement groups, helping to define those most in need of assistance.
 6. Outlining the specific food security, WASH and shelter needs affect women and girls in informal settlements.
- To inform upcoming intervention planning, as well as the next Humanitarian Needs Overview (HNO) and Humanitarian Response Plan (HRP).
- To evaluate the effectiveness of the widespread method of displaced population self-identification used by humanitarian actors, including clusters and other partners, throughout Afghanistan for research assessments and

beneficiary identification. The assessment serves to highlight the limitations of this current technique, thus providing scope for improvements in the methods used by partners when they select beneficiaries nationwide.

4. Research Questions

1. How can we best understand the nature of informal settlements in terms of:
 - Their location and establishment history
 - Geographical and population size
 - Demographics and socio-economic status of residents
 - Our current definitions of displaced populations, and how can we improve our methods of accurately identifying displaced populations
2. What are the specific Food Security vulnerabilities, needs and coping strategies of those living in informal settlements?
 - What are the specific food security needs of women and girls?
 - How do these differ between the North and Western regions?
 - How do these differ between displacement groups?
3. What are the specific WASH vulnerabilities, needs and coping strategies of those living in informal settlements?
 - What are the specific WASH needs of women and girls?
 - How do these differ between the Central, South Eastern and Eastern regions?
 - How do these differ between displacement groups?
4. What are the specific Shelter vulnerabilities, needs and coping strategies of those living in informal settlements?
 - What are the specific Shelter needs of women and girls?
 - How do these differ between the Central, South Eastern and Eastern regions?
 - How do these differ between displacement groups?

5. Methodology

5.1. Methodology overview

This assessment employs quantitative methods in a two-stage process to achieve the above stated objectives. Firstly, Key Informant Interviews (KIIs) will be conducted in informal settlements across the relevant provinces of Afghanistan. This allows for the profiling aspect of the assessment to be completed, identifying the location, size, demographic profile and displacement histories of all settlements. Upon completion, this information will be used to produce the master list of all informal settlements; a valuable tool in the Afghan context.

The second round of data collection consists of household level surveys to gather specific information on the vulnerabilities, needs and coping strategies of informal settlement residents in terms of food security, WASH and shelter sectors. The questionnaire, designed in collaboration with the relevant Clusters and partners, will seek to identify differences between the regions, in terms of sector-specific needs and vulnerabilities, and amongst displacement groups. Emphasis will also be placed in the survey on noting the particular needs of women and girls in the household. A total of 7,417 household surveys will be conducted across the 5 regions using cluster sampling to outline sample sizes in each settlement, providing results that are generalizable with a quantified level of precision. In complementarity to the household surveys, a small number of guiding WASH and Shelter FGDs will be carried out in Central and East regions to support a deeper understanding of the key findings of WASH and Shelter needs in an urban settlement setting.

5.2. Population of interest

The assessment will target resident populations of informal settlements in the 19 targeted provinces. Within this, only displaced populations will be considered, including IDPs, returnees and any refugees. Whilst host populations do reside in some of these settlements, referring to those which have never been displaced and thus still live in their Area of Origin (AoO) will not be included in this assessment.

5.3. Secondary data review

In coordination with relevant clusters and partners, REACH will gather and review all available secondary sources pertinent to this assessment. Given the broad spectrum of this multi-cluster assessment, this will include the review of food security, WASH and shelter reports, relevant datasets, discussions of informal settlements, and geographically relevant studies.

This process will identify key thematic areas of focus, pre-identifying the main WASH, shelter and food security concerns within informal settlements. In addition, existing tools and assessment data will be analyzed to ensure the proposed assessment fits into wider educational and protection information management.

For instance, the findings and methodologies employed by several previous REACH reports are relevant. A recent assessment of the location and situation of Prolonged IDPs in the country will serve as an insightful basis and methodological starting point. Furthermore, information provided by the recent Informal Settlement Profiling project provides a preliminary list of settlements with which to review and offers an existing data collection tool that will be employed in this assessment. In addition, reports and assessments produced by Samuel Hall, Amnesty International and other relevant actors will provide thematic insights which will be used to shape indicator lists and ultimately the questions used throughout this assessment.

5.4. Primary Data Collection

This assessment takes a quantitative approach, and data collection will be two-fold. Firstly, data collection teams will identify informal settlements in the relevant locations, by triangulating available data, contacting relevant partners and stakeholders, and carrying out informal discussions amongst the local communities. Informal settlements will largely be found through word-of-mouth methods and snowballing techniques. An informal settlement profiling tool, similar to that used in the REACH ISET project, will be used to identify the population demographics and displacement histories of residents in each site. This information will be collected via KII. Data collection will be conducted using Open Data Kit (Kobo Toolbox), and will be uploaded every evening by enumerators. This allows for data to be collected efficiently and restraints can be imposed. This process also allows for the collection of geographical locations, supporting the acquisition of size and location data of sites. Information from this stage of data collection will be used to produce the master list of informal settlements and can be used to make factsheets about the sites which can later be compiled into relevant factsheets.

Following this, the second stage of data collection will take place. This consists of household level surveys in the profiled ISETs. The sampling strategy is stratified by region and displacement status, to allow thematic comparisons between the regions whilst allowing for comparison between displacement groups (IDPs, returnees and refugees) at the overall level. These findings will be generalisable with a confidence level of 95% and a margin of error of 5%. Having produced a master list as part of the ISET project, this contains a list of settlement locations and resident population figures for each displacement status. This provided a sample size from which to draw survey figures in each site. Cluster sampling was used to identify the number of households in each site, by displacement status, generating the following strategy:

A minimum of 385 surveys will take place in each region, giving a total of at least 1,925 households reviewed. This allows for findings to be generalised across the overall reviewed provinces, with a confidence level of 95% and a margin of error of 5%. This allows for comparisons to be made between the provinces and regions, and allows for overall differences to be noted between displacement groups. A sample size will then be generated using the Households will be randomly sampled within the informal settlements, which can be derived from the population lists identified in the first stage of this data collection.

Table 1: Household survey sampling strategy, stratified by region and displacement status

	West	Central	South-East	East	North	Totals
IDP	756	754	362	797	624	3293
Returnee	203	758	1327	720	717	3725
Refugee	0	0	399	0	0	399
Totals	959	1512	2088	1517	1341	7417

Accordingly, with an outline of how many household interviews were to be conducted in each settlement, with households of each displacement status, enumerators will approach relevant sites and randomly sample households to interview. In small settlements, this enumerators will write names of household heads in each relevant displacement status group and pull names randomly out of a box to meet the required number of interviews. In larger settlements, every 5th house will be approached, from entering the site, until all data collection in the location is completed. In some very large ISETs, key informants have been found to hold lists and locations of residents, in which case names will be randomly sampled accordingly.

Again, Kobo will be used to administer the household questionnaire. Every evening enumerators will upload their collected forms to Kobo, and enumerators will also return to the office to debrief in the evening. Translations will be conducted and initial data cleaning will be carried out, identifying issues in data collection early on. The Senior Field Officer will be responsible for translations, from Dari and Pashto to English. The Assessment Officer will be responsible for compiling all the findings, data cleaning and checking, providing feedback and discussing issues with the Senior Field Officer. This allows for issues in data collection to be picked up early and prevented in further data collection.

In addition to the household survey, a very small number of focus group discussions (FGDs) will be used in Central and East regions, requested by the WASH and Shelter clusters only. The purpose of these discussions is to gain broad thematic insights on a few key issues in Informal Settlement, with the questionnaire being designed with involvement from the clusters, and influenced by preliminary findings of the household-level surveys. A small number of settlements will be purposively selected for their varied composition, consisting of different displacement groups and ethnic groups, as well as being located in urban centres. Male and female voices will be included, with key community figures being sought in each site, including community and religious leaders, for their specialist knowledge on the WASH and shelter needs of residents. Respondents will also be of varied displacement status, where possible. As such, the following sampling strategy will be used:

Table 2: Focus Group Discussion sampling strategy, by region and participant gender

	Central Region	East Region	Total
Male Participants	2 FGDs	1 FGD	3 FGDs
Female Participants	1 FGD	2 FGDs	3 FGDs
Total	3 FGDs	3 FGDs	6 FGDs

These FGDs will contain between 6 and 8 participants. When permission is provided, audio of the discussion will be recorded and translated, providing a full English transcription. Findings of this will be triangulated with results from the household level survey to substantiate WASH and Shelter findings.

5.5. Data Analysis Plan

The data collected by REACH during the household-level assessment will be entered in to Kobo Toolbox forms on smartphones, which will be developed by REACH for this assessment. The data provided via Kobo will be triangulated with secondary data sources and FGD findings where appropriate, in order to fully address the above stated research questions. Data analysis plans will be designed in close collaboration with the relevant clusters. For each cluster, REACH will produce a report which compares findings across the regions, and focus on the specific thematic (food security, WASH, shelter) areas. In all cases, comparisons will be made across the different population groups and will identify the specific needs of girls and women in the settlements

Following this, a core set of information products will be produced. REACH will publicly release preliminary findings and clean datasets, followed by comprehensive reports (including maps, tables and graphs), detailing findings and recommendations, and settlement factsheets summarising the profile of each informal settlement. The results will be

presented in all appropriate cluster and coordination meetings. REACH will also release a master list containing key findings for every reviewed informal settlement.

6. Product Typology

Table 1 : Type and number of products required

Type of Product	Number of Product(s)	Additional information
ToR	1	1x Assessment ToR
Master List	1	1x Informal Settlement Master List
Factsheet	1	1x Factsheet per relevant Informal Settlement
Dataset	2	2x Clean datasets – 1 for Food Security and 1 for WASH/Shelter
Map	3	3x Maps per fully reviewed Informal Settlement + Province settlement maps
Presentation	3	1x Preliminary findings presentation – 1 per cluster
Report	2	1x Food Security report + 1x Wash & Shelter report

7. Management arrangements and work plan

7.1. Roles and Responsibilities, Organogram

Table 2: Description of roles and responsibilities

Task Description	Responsible	Accountable	Consulted	Informed
Define research scope	CFP/Assessment Officer	CFP	Clusters, donors, partners	Partners
Define indicator list and questionnaire	Assessment Officer	CFP	Clusters, donors, partners	Partners
Define sampling frame	Assessment Officer	CFP	Partners	Partners
Organise data collection	Assessment Officer/ SFOs	CFP	CFP, partners	CFP, partners
Conduct data cleaning	Assessment Officer	Assessment Officer	CFP	CFP
Produce analysis plan	Assessment Officer	Assessment Officer	CFP	CFP
Draft skeleton report	Assessment Officer	Assessment Officer	CFP	CFP
Conduct analysis	Assessment Officer	Assessment Officer	CFP	CFP, partners, clusters
Draft full report	Assessment Officer	Assessment Officer	CFP	CFP, partners, clusters

Responsible: the person(s) who execute the task

Accountable: the person who validate 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

7.2. Resources: HR, Logistic and Financial

In terms of resources mobilisation:

- Enumerators will be hired on temporary contracts, fitting with data collection timelines.
- Daily budget of 30USD is provided for transport costs to each enumerator.
- Data collection tools, such as smartphones with Kobo, have already been purchased.

7.3. Work plan

Stage	Task	Who?	May				June				July				August				September				October				November			
			1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
RD	ToR validation	CFP																												
RD	Kick off meeting with clusters	CFP																												
RD	Secondary data review	AO																												
DC	Train SFOs	AO																												
OP	Recruit/form DC team	SFO																												
DC	Data collection - ID of ISETs	SFO																												
A+R	Creation of INFORMAL SETTLEMENT factsheets	AO																												
DC	Data collection - HH level survey	SFO																												
A+R	Analysis	AO																												
A+R	Report drafting	AO																												
A+R	Validation process	AO																												
A+R	Dissemination	CFP																												

8. Risks & Assumptions

Table 3 : List of risks and mitigating action

Risk	Mitigation Measure
<i>Locations and population of informal settlement rapidly changing from initial data collection to household level data collection</i>	Data collected during the profiling stage will be pertinent to the time of collection. The ongoing profiling of settlements will shed further light on changes in the sites allowing data to be as up-to-date as possible. The process of data collection will fully be explained to enumerators and participants and it is hoped that drastic changes in the nature of the site will be picked up during the household level survey stage, if changes occurred since the profiling stage.
<i>Difficulty locating all informal settlements in a given province</i>	Informal settlements are particularly volatile settings. Efforts have been made to locate every settlement within the province, however allowances should be made for the fact that locations may have closed down whilst other sites may have been established. Therefore findings best represent the situation at time of data collection.
<i>Settlement populations are unwilling to participate in assessment</i>	Clear communication about the objectives of the assessment to help relay the value of the data collected; replacement sample strategy in case of refusal to participate.
<i>Security concerns prevent data collection</i>	Daily monitoring of security situation to identify safe periods of data collection; data will be collected by phone call in unsafe situations.

9. Monitoring and Evaluation

Table 4 : Monitoring and evaluation targets

IMPACT Objective	External M&E Indicator	Internal M&E Indicator	Methodology	Focal point	Tool	Research-specific information
Humanitarian stakeholders are accessing IMPACT products	Number of humanitarian organisations accessing IMPACT services/products	# of downloads of x product from Resource Center	User monitoring	Country request to HQ	User_log	Y
	Number of individuals accessing IMPACT services/products					
		# of downloads of x product from Relief Web		Country request to HQ		Y
		# of downloads of x product from Country level platforms		Country team		N
		# of page clicks on x product from REACH global newsletter		Country request to HQ		N
		# of page clicks on x product from country newsletter, sendingBlue, bit.ly		Country team		N
		# of visits to x webmap/x dashboard		Country request to HQ		N
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)	Reference monitoring	Country team	Reference_log	Afghanistan HNO 2018, Afghanistan HRP 2018, Afghanistan CHF Strategy 2018
		# 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	Perceived relevance of IMPACT country-programs	Usage M&E	Country team	Usage_Feedback and Usage_Survey templaye	Indicated by Afghanistan HNO and HRP 2018 being

	delivery Number of humanitarian documents (HNO, HRP, cluster/agency strategic plans, etc.) directly informed by IMPACT products					directly informed by products
		Perceived usefulness and influence of IMPACT outputs				<i>Usage survey will be conducted in November 2017, following the release of final reports, with the FSAC, WASH and ESNFI clusters.</i>
		Recommendations to strengthen IMPACT programs				
		Perceived capacity of IMPACT staff				
		Perceived quality of outputs/programs				
		Recommendations to strengthen IMPACT programs				
Humanitarian stakeholders are engaged in IMPACT programs throughout the research cycle	Number and/or percentage of humanitarian organizations directly contributing to IMPACT programs (<i>providing resources, participating to presentations, etc.</i>)	# of organisations providing resources (i.e.staff, vehicles, meeting space, budget, etc.) for activity implementation	Engagement Monitoring	Country team	Engagement_log	
		# of organisations/clusters inputting in research design and joint analysis			Engagement_log	Feedback considered from all FSAC, WASH and ESNFI cluster partners

		# of organisations/clusters attending briefings on findings;			Engagement_log	Presentation of key findings with FSAC, WASH and ESNFI leads followed by a findings presentation with all partners
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10. Documentation Plan

The following key documents and outputs should be filed for future reference:

- Assessment Terms of Reference
- Consolidated secondary data review matrix
- Primary data collection tracking matrix
- Clean primary datasets
- Primary data cleaning logs

11. Annexes

1. Data Management Plan

Annex 1 : Data Management Plan

Administrative Data	
Project Name	Multi-Cluster Needs Assessment in Informal Settlements
Project Code	02 CYR I14
Donor	CHF
Project partners	ACTED, IMPACT initiatives, OCHA, Food Security, WASH and Shelter Clusters
Project Description	<p>The overall purpose of this assessment is to collect information on informal settlements in Afghanistan, and identify the sector-specific needs and vulnerabilities of their inhabitants (Internally Displaced Persons (IDPs), prolonged IDPs, returnees, etc.) in five regions of Afghanistan</p> <p>It will achieve this goal by conducting two stages of quantitative data collection, beginning with key informant interviews followed by household level surveys with residents of these sites. The five regions include the North, West, Central, South East and East. Once data collection is complete, analysis will identify the need, vulnerabilities and coping strategies of settlement households, noting differences between different displacement groups and making comparisons between the regions. Attention will be placed also on noting the particular requirements of women and girls in informal settlements.</p>
Project Data Contacts	vincent.annoni@impact-initiatives.org ; thomas.stork@reach-initiatives.org
DMP Version	17 May 2017 V1
Related Policies	
Data Collection	
What data will you collect or create?	<p>This research contains two stages of data collection 1. Secondary data review 2. Primary data collection.</p> <ol style="list-style-type: none">1. Secondary data review: REACH will request to use all relevant currently available data sources to identify informal settlements and relevant sector-specific assessments.2. Primary data collection: Primary data will be collected by REACH data collectors through key informant interviews and household level surveys. The primary data will be collected using ODK forms (where security permits) and the processed data will be shared with all stakeholders.
How will the data be collected or created?	<p>REACH will deploy data collection teams to identified informal settlement sites. Data will be sent to ODK-based server by data collection teams. The REACH database officer will review incoming data for potential errors; check and verify any possible corrections with the data collection teams. Once data collection is completed, the final dataset is exported and checked for errors, with any</p>

	<p>verifications and corrections made, recorded in a data cleaning log. Raw and master databases are saved on the REACH server using REACH file name & document title standards.</p> <p>Electronic File Name: REACH_Countrycode_typeofdocument_Crisisname_mandatingbody_MonthYear</p> <p>Document Title: Countrycode_producttype_crisisname_monthYear</p>
Documentation and Metadata	
What documentation and metadata will accompany the data?	<p>For better understanding and reuse of this assessment result as secondary data by stakeholders, REACH will produce a package of data, which contains cleaned databases and sets of factsheets.</p> <p>REACH will also add meta-data in the data-set of this assessment which contain:</p> <ol style="list-style-type: none"> 1. Methodology of the assessment 2. Limitations of the methodology 3. Year of the survey 4. Geographical coverage of the survey 5. Tag of sectors/thematic covered by the assessment 6. Description of any composite variables created 7. Data cleaning log
Ethics and Legal Compliance	
How will you manage any ethical issues?	<p>In accordance with the Code of Ethics and Conduct, REACH will ensure that every person from whom data is gathered for the purposes of research consents freely to the process on the basis of adequate information. They will also be able, during the data gathering phase, to withdraw freely or modify their consent and to ask for the destruction of all or part of the data that they have contributed.</p> <p>Throughout training of assessment teams, it will be emphasized that participants are not obliged to provide information they feel poses a risk to their well-being or if they feel this may cause a threat to their personal safety. Through constant feedback, such instances are reported to inform continuous improvements to training. Personal identifiable information will not be publicly disseminated to minimize/eliminate protection concerns for the assessed population. All data will be aggregated to a location and no household identifiers will be publicly visible from the reports and maps. If agencies request the raw data containing household identifiers, then the sensitive name/contact details will be removed and replaced with a unique key so that the identifier information can be re-connected at a later date, based on protection standards. If there is a further request for the names, REACH will contact OCHA (or in the case of secondary data, the discloser of this data) to examine whether the requesting agency can receive the identifier data or not, and if so, under which conditions.</p> <p>REACH will not collect personally identifiable data. REACH will include a request for consent within assessments to share household level information collected, which will only occur under the following circumstances:</p> <ul style="list-style-type: none"> - For REACH internal use for the purposes of data management (i.e. avoiding duplicate data collection) - With donor / partner organization where data-sharing agreement exists, and only for humanitarian purposes - With partner organization and/ or agency where specific and urgent need occurs, for example urgent medical needs or for other referral mechanism. - With the owner (i.e. the assessed party) of the information if requested. <p>REACH will work closely with relevant clusters to ensure assessment methodologies, indicators and analysis is sensitive to gender concerns and wider protection issues. Data collected will be disaggregated by age and gender, with the</p>

	<p>ability to identify vulnerable households. REACH will also work with relevant agencies in protection and health to ensure the referral of urgent cases.</p> <p>Specifically, all questionnaires and assessments will be designed in coordination and collaboration with relevant cluster leads, including Protection, Food security, WASH, Education, Health and displacement, with close coordination with OCHA. The sensitivity of questions is reviewed in coordination with protection colleagues. Specific protection assessments will be defined in close liaison with the protection cluster at a later stage.</p>
How will you manage copyright and Intellectual Property Rights (IPR) issues?	The anonymized dataset will be uploaded on the OCHA HDX web portal under open data license. Any anonymized secondary data that is incorporated in datasets uploaded on the OCHA HDX web portal will be fully referenced acknowledging the original data source.
Storage and Backup	
How will the data be stored and backed up during the research?	<p>REACH will be responsible for data storage, back up, and data recovery. Multiple data storages will be used to maximize data security, as outlined below:</p> <ol style="list-style-type: none"> 1. ODK-based server: The ODK server will be administrated by Impact HQ GIS team in Geneva, to which a limited number of REACH staff will have access (the device setting will only contain the URL of the forms and no password) and whenever any data is requested as per guidelines, it will be extracted from ODK-based server. 2. REACH country server: <ol style="list-style-type: none"> a. Pre Data Collection: Before starting any assessment, specific separate folders will be made for each assessment (considering REACH documentation system) and will be protected by passwords b. During Data Collection: A daily backup will be extracted from ODK server into and saved as an xls file in the specific assessment folder. c. Post Data Collection: After completion of data collection REACH database officer will clean the data according to data cleaning guidelines and stop accepting submissions into ODK server for the specific assessment. Raw and cleaned data sets will be stored on the REACH country server xls format. <p>REACH global cloud: The final cleaned database of the assessment will be stored by REACH HQ Geneva on the REACH Global Server in the CERN.</p>
How will you manage access and security?	<p>The access policy to the data will differ by the time of assessment (during assessment and after assessment).</p> <ol style="list-style-type: none"> 1. During assessment: only designated technical staff (REACH GIS officer, Assessment officer, and database officer) will have access to ODK-based server. <p>After assessment: when data collection process is completed the cleaned anonymised data will be uploaded on the OCHA HDX web portal under open data license.</p>
Selection and Preservation	
Which data should be retained, shared, and/or preserved?	REACH will not destroy any of the data set included in this research but will apply information anonymisation policy (replacing sensitive fields in the data into codes) to

	ensure the sensitive information of households will not be shared with irrelevant parties.
What is the long-term preservation plan for the dataset?	Due to data security REACH will not keep any paper form (hard filling) from this assessment's data-set, The data set of this assessment will be archived virtually on the REACH country server, and global cloud as REACH primary data. REACH or other stakeholders can benefit from this information in future assessments, reports, and proposals.
Data Sharing	
How will you share the data?	The processed data (completed, cleaned, analysed, and validated data) will be shared with all stakeholders through HDX web portal, humanitarianresponse.info website and REACH resource center. A copy of the dataset will be provided to cluster Information Managers upon request. Any anonymized secondary data incorporated in these datasets will be fully referenced, acknowledging the original data source.
Are any restrictions on data sharing required?	REACH will apply restrictions only on those data-sets which contain sensitive information such as beneficiary contact details, personal information and complainant identity. REACH will apply an anonymisation policy, unlinking all sensitive information from the dataset while ensuring a unique record identifier is in place that enables reconnection of the information. If there is a further request for the sensitive information, REACH will contact OCHA (or in the case of secondary data, the Discloser of the data) to examine whether the requesting agency can receive the identifier data or not, and if so, under which conditions. No data will be disseminated before completing the data process (data cleaning and data validation).
Responsibilities	
Who will be responsible for data management?	REACH will be responsible for the assessment's data-flow and implementation of DMP and every single step of data collection and data process will be managed by REACH database officer. REACH will take lead in collaborative researches across partners and every server of partners will share their forms to REACH server.

Adapted from:

DCC. (2013). Checklist for a Data Management Plan. v.4.0. Edinburgh: Digital Curation Centre. Available online: <http://www.dcc.ac.uk/resources/data-management-plans>