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| --- |
| **Research Terms of Reference****WASH Baseline Assessment**Borno State, Nigeria |
| **24 May 2017****Version 1** | **C:\Users\Megan\AppData\Local\Microsoft\Windows\INetCache\Content.Word\REACH logo white (for a coloured background).jpg** |

# Summary

|  |  |
| --- | --- |
| **Country of intervention** | *Nigeria* |
| **Type of Emergency** |  | Natural disaster | x | Conflict |  | Emergency |
| **Type of Crisis** |  | Sudden onset  |  | Slow onset | x | Protracted |
| **Mandating Body/ Agency** | Global WASH Cluster |
| **Project Code** | 35xxxx |
| **REACH Pillar** | x | Planning in Emergencies  |  | Displacement |  | Building Community Resilience |
| **Research Timeframe** | September 2017 |
| **General Objective** | To establish an evidence base for both the upcoming Humanitarian Programme Cycle and provide actionable information for immediate WASH partner interventions in Borno State |
| **Specific Objective(s)** | 1. Provide a comprehensive/consolidated baseline for each of the WASH indicators identified during the June 2017 Global WASH Cluster mission
2. Identify WASH-related vulnerabilities in both IDP and non-displaced populations
3. Inform update of Nigeria WASH Sector Emergency Guidelines
 |
| **Research Questions** | 1. What, if any, challenges do IDP, returnee and non-displaced households face in terms of adequate access to water and how do they differ between populations
2. How do vulnerabilities related to adequate access to water differ between IDP, returnee and non-displaced households and how do they differ between populations
3. What sanitation conditions do IDP, returnee and non-displaced households experience and how do they differ between populations
4. What hygiene conditions do IDP, returnee and non-displaced households experience and how do they differ between populations
 |
| **Research Type** |  | Quantitative |  | Qualitative | X | Mixed methods |
| **Geographic Coverage** | 8 Local Government Area Capitals in Borno State (capitals plus other accessible areas where applicable) |
| **Target Population(s)** | Non-displaced households, returnee households and IDPs living in formal camps, informal camps and integrated with host community populations (as applicable) |
| **Data Sources** | **Secondary Data:** Existing intentions assessments conducted by IOM and UNHCR**Primary Data:** To be collected during September 2017 through a mixed-methods approach, including quantitative household surveys as well as focus group discussions with target communities |
| **Expected Outputs** | 1 factsheet per Local Government Area assessment (8); 1 comprehensive report; 1 presentation and workshop on preliminary findings |
| **Key Resources** |  |
| **Humanitarian milestones** | **Milestone** | **Timeframe** |
| X | Cluster plan/strategy | *Will inform 2018-2019 HPC – findings required by mid-October* |
|  | Inter-cluster plan/strategy  |  |
|  | Donor plan/strategy  |  |
|  | NGO plan/strategy  |  |
|  | Other  |  |
| **Audience** |  |
| **Audience type** | **Specific actors** |
| X | Operational | National Emergency Management Agency (NEMA), NGOs working in assessed areas |
| X | Programmatic | Borno State Water Board, National Emergency Management Agency (NEMA), OCHA, Sector Coordination, NGOs working in assessed areas |
| X | Strategic | Borno State Water Board, National Emergency Management Agency (NEMA), OCHA, Sector Coordination |
|  | Other |  |
| **Access**  | X | Public (available on REACH research centre and other humanitarian platforms)  |
|  | Restricted (bilateral dissemination only upon agreed dissemination list, no publication on REACH or other platforms) |
|  | Other  |
| **Visibility** | ECHO, Global WASH Cluster, Nigeria WASH Sector |
| **Dissemination**  | All outputs will be disseminated though REACH Nigeria mailing list, WASH Cluster and ISWG |

# Background & Rationale

Since May 2013, the former Boko Haram insurgency in Northern Nigeria has destroyed infrastructure, provoked dramatic livelihoods erosion and triggered the displacement of over 2 million people, out of which 1.4 million people are in Borno State. The humanitarian situation of IDPs in Borno State is critical. Following years of conflict, the majority of the state’s rural areas are empty. The population has fled to the relative safety of Maiduguri or capitals of Local Government Areas (LGAs). In IDP camps in Maiduguri and especially in the enclaved LGA capitals, the entire population is extremely vulnerable and in need of basic humanitarian support. While some areas have recently experienced returns in proximity of main roads (for example Beni Shekh in Kaga LGA), the population from many LGAs is likely to remain displaced for the medium term, lacking security, shelter and livelihoods in their villages of origin. When returns are made possible, it will be essential to accompany returning populations in order to enable them to rebuild their livelihoods and remain in their villages, which are in most cases completely destroyed while anticipating potential sources of conflict with local populations.

With a highly dynamic and difficult to access context, Nigeria remains a crisis with limited amount of evidence available to humanitarian partners for aid planning and delivery. In such context, it is key to ensure that the humanitarian community continues to have regular access to data on humanitarian needs and context in Nigeria. Specifically, in Borno State, there is a there is a clear lack of a relevant baseline understanding of basic issues across most sectors that is limiting the capacity of humanitarian and government actors at all levels to plan and execute an effective and appropriate response.

Recognizing the needs within the response, the Nigeria WASH Sector completed an After Action Review exercise in May 2017, facilitated by a UNICEF Global and Regional Team including the Global WASH Cluster Coordinator and Senior Emergency Advisor. The review came out with a series of recommendations that the sector is committed to implement quickly to address the gaps and challenges in the current sector coordination and response; chief among these is the imperative need to strengthen the sectors evidence base for programming. In view of the urgency to move towards the implementation of overall recommendations from the review, the Nigeria WASH Sector has chosen to collaborate with REACH and the Global WASH Cluster on planning and executing a broad-reaching WASH baseline assessment. This assessment will build upon the tools designed during the Global WASH Cluster’s Assessment Specialist’s deployment to Nigeria in June 2017.

# Research Objectives

REACH will conduct a focused WASH baseline assessment to establish an evidence base for both the upcoming Humanitarian Programme Cycle and provide actionable information for immediate WASH partner interventions in Borno State. This assessment will also serve to:

1. Provide a comprehensive/consolidated baseline for each of the WASH indicators identified during the June 2017 Global WASH Cluster mission
2. Identify WASH-related vulnerabilities in both IDP and non-displaced populations
3. Inform update of Nigeria WASH Sector Emergency Guidelines

# Research Questions

1. What, if any, challenges do IDP, returnee and non-displaced households face in terms of adequate access to water and how do they differ between populations
2. How do vulnerabilities related to adequate access to water differ between IDP, returnee and non-displaced households and how do they differ between populations
3. What sanitation conditions do IDP, returnee and non-displaced households experience and how do they differ between populations
4. What hygiene conditions do IDP, returnee and non-displaced households experience and how do they differ between populations

# Methodology

## Methodology overview

REACH will use mixed-methods data collection driven by a household-level tool and methodology developed through close coordination between the Global WASH Cluster Assessment Specialist and the Nigeria WASH Sector to collect baseline WASH data, as well as vulnerabilities, of non-displaced, IDP and returnee households across 8 LGA capitals of Borno State. The quantitative component of the assessment will produce representative results with a 95% confidence level and a 9% margin of error. There is currently no accepted, reliable data set that provides accurate non-displaced population figures at the LGA capital or ward level. As such, an infinite, equally distributed, population will be assumed for at the LGA capital level, with samples equally distributed between wards within the capital; sampling for IDP populations will be derived from IOM DTM round XVII;[[1]](#footnote-1) sampling for returnee households will be based on cumulative figures captured by IOM DTM at the LGA level.TheIDP population sample will be proportionally stratified by primary housing location types (formal camp, informal camp, outside camps amongst host communities) to ensure findings are representative of the IDP population overall. A total sample of **2,644** households is anticipated (see below Tables 2 and 3).

The structured household-level data collection will be followed by semi-structured qualitative data collection (FGDs). These are meant to contextualise household-level data collection by providing a means to further investigate significant differences in responses, such as between different locations and/ or population groups. This tool will be designed at the midpoint of quantitative data collection based on analysis of data available at that point, and will be drafted in close coordination with both the Global and Nigeria WASH Sector.

## Population of interest

REACH will specifically target LGA capitals that are:

1. Secure and accessible
2. Lack established local LGA-level coordination mechanisms
3. Have limited existing information on WASH-related needs of conflict-affected populations

Within each of the selected LGA capitals, REACH will conduct sampling at 95/9 within three populations groups:

1. Non-displaced persons (simple random)
2. Returnees[[2]](#footnote-2) (simple random)
3. IDPs (systematic random)
	1. Residing in formal camps (proportional)
	2. Residing in informal camps(proportional)
	3. Living outside camps, amongst host communities (proportional)

**Table 1. Areas assessed/ not assessed**

|  |  |  |  |
| --- | --- | --- | --- |
| **LGA** | **Non-displaced community and returnee areas assessed** | **IDP locations assessed** | **IDP locations not assessed** |
| Askira/Uba | Askira/Uba (LGA capital) | Dille / Huyum (Partial) | Chul / Rumirgo |
| Lassa (Partial) | Husara / Tampul |
| Askira East | Kopa Mai Kadir |
| Uba | Dille / Huyum |
| Zadawa / Hausari | Husara / Tampul |
| Lassa (Community Level) |   |
| Bayo | Bayo (LGA capital) | Fikayel | Balbaya |
| Gamadadi | Jara Gol |
| Jara Dali | Briyel |
| Teli (Community Level) |   |
| Wuyo (Community Level) |
| Biu | Biu (LGA capital) | Dugja | Buratai |
| Kenken | Dadin Kowa |
| Sulumthla | Garubula |
| Zarawuyaku | Mandara Girau |
| Yawi (Community Level) | Miringa |
| Chibok | Chibok (LGA capital) | Chibok Garu | Gatamarwa |
| Chibok Likama | Korongilim |
| Chibok Wuntaku (Partial) | Kuburmbula |
| Pemi (Community Level) | Mbalala |
|   | Mboa Kura |
| Shikarkir |
| Kautikari |
| Kunduga | Kunduga (LGA capital) | Konduga | Jewu / Lamboa |
| Dalori / Wanori (Partial Access) |   |
| Auno / Chabbol (Partial Access) |
| Kwaya Kusar | Kwaya Kusar (LGA capital) | Kwaya Kusar | Peta |
| Gondi (Community Level) | Gusi / Billa |
| Guwal (Community Level) | Kubuku |
| Wada (Community Level) | Kurba |
|   | Wawa |
| Yimirthalang |
| Mafa | Mafa (LGA Capital) | Mafa |   |
| Mobbar | Mobbar (LGA capital) | Damasak |   |
| Zanna Umorti |

However, not all population groups are present in every LGA (as illustrated in table 3, below). In such cases, only population groups (strata) that exist in the LGA will be targeted.

## Secondary data review

At present, relevant secondary data on WASH conditions in Nigeria is available through the following resources:

1. State and LGA-level coordination meeting minutes <https://www.humanitarianresponse.info/en/operations/nigeria/document/minutes-40th-wash-sector-coordination-meeting>
2. IOM-DTM WASH Indicator Tracker <https://www.humanitarianresponse.info/en/operations/nigeria/documents/bundles/7716/document-type/data-statistics>
3. Further Resources available here

https://www.dropbox.com/work/Nigeria/SDR

Other sources of information that will be used to identify target population and sample size are:

1. IOM-DTM Round XVII <https://nigeria.iom.int/dtm-june-2017>

Further, Humanitarian Response and ReliefWeb will be monitored to for pertinent information uploaded by partners

1. <https://www.humanitarianresponse.info/en/operations/nigeria>
2. <http://reliefweb.int/country/nga>

## Primary Data Collection

Primary quantitative data collection will take place over an estimated 30 working days using 3 teams of 8 enumerators, each led by a permanent staff member, working in as many as 3 separate LGA capitals at any given moment. FGD’s will be collected by Senior Field officers and/ or international staff members concurrent with quantitative data collection.

**Quantitative (Household-level) Sampling**

Sample sizes will be determined based on the most current, reliable information available at the start of the assessment in each LGA. Simple random sampling will be conducted at the household level, aiming for a confidence level of 95% with a 9% margin of error. The assessment will take place only in LGA capitals due to security considerations. Due to the dynamic security landscape, the exact geographic area of the assessment within each LGA capital will be fixed based on security conditions at the start of the assessment in each LGA.

Household sampling will be conducted to produce a random, representative sample of three target groups – IDPs, returnees and non-displaced households, with the IDP population proportional stratified by and within location of residence (formal camp, informal camp/ settlement, and those integrated with host community populations outside of camp/ camp-like settings), to ensure representative findings of the IDP population overall.

Within each LGA capital, systematic IDP sampling will be based on the total population of IDPs within the capital, and will be proportionally drawn from each of the three location type (formal camps, informal camps and host community areas). Within each location type, the sample will also be proportionally drawn from each identified site based on the population of that site[[3]](#footnote-3). Within each site, every *kth* household will be selected for assessment, with non-responsive households being and the next willing household selected, with the original target household being retained as the basis for determining the next *kth* household.

REACH will use simple random sampling based on randomly generated points to select non-displaced and returnee households within each LGA capital assessed. There is currently no accepted, reliable data set that provides accurate population figures at the LGA capital or ward level for either of these populations. As such, an infinite, equally distributed, population will be assumed for both populations at the LGA capital level, with samples equally distributed between wards within the capital. A number of lat/long points will be generated within each ward for each of the two population groups (two different sets of points) equal to the required number of samples for that ward. Enumeration teams will navigate to each point and select the nearest household of the relevant population type for assessment. Should the selected household be non-responsive, enumerators will spin a pen and select the next household in the direction it indicates.

The expected sample size and population is as follow:

### Table 2. Population and expected sample size by location

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **LGA** | **Population group** | **HHs surveyed** | **Population surveyed** | **Confidence/Error** | **Sample per group** | **Total sample** |
| Askira/Uba | Host Community |   | \* | 95/9 | 119 | 343 |
| Returnee Community | 20587 | 164696 | 95/9 | 118 |
| IDP | 914 | 5484 | 95/9 | 106 |
| Formal Camp |  - |  - | - |  |
| Informal Camp | 671 | 4026 | - |  |
| Host Community | 243 | 1458 | - |  |
| Bayo | Host Community |   | \* | 95/9 | 119 | 258 |
| Returnee Community | 445 | 2771 | 95/9 | 94 |
| IDP | 70 | 560 | 95/9 | 45 |
| Formal Camp |  - |  - | - |  |
| Informal Camp |  - |  - | - |  |
| Host Community | 70 | 560 | - |  |
| Biu | Host Community |   | \* | 95/9 | 119 | 344 |
| Returnee Community | 1257 | 8540 | 95/9 | 109 |
| IDP | 4244 | 30388 | 95/9 | 116 |
| Formal Camp |  - |  - | - |  |
| Informal Camp | 432 | 2731 | - |  |
| Host Community | 3812 | 27657 | - |  |
| Chibok | Host Community |   | \* | 95/9 | 119 | 341 |
| Returnee Community | 3461 | 21223 | 95/9 | 115 |
| IDP | 1075 | 5356 | 95/9 | 107 |
| Formal Camp | 53 | 275 | - |  |
| Informal Camp | 38 | 191 | - |  |
| Host Community | 984 | 4890 | - |  |
| Kunduga | Host Community |   | \* | 95/9 | 119 | 352 |
| Returnee Community | 3461 | 21223 | 95/9 | 115 |
| IDP | 15758 | 86858 | 95/9 | 118 |
| Formal Camp | 11529 | 64367 | - |  |
| Informal Camp | 2666 | 14207 | - |  |
| Host Community | 1563 | 8284 | - |  |
| Kwaya Kusar | Host Community |   | \* | 95/9 | 119 | 311 |
| Returnee Community | 25000\* | \* | 95/9 | 119 |
| IDP | 173 | 989 | 95/9 | 73 |
| Formal Camp |  - |  - | - |  |
| Informal Camp |  - |  - | - |  |
| Host Community | 173 | 989 | - |  |
| Mafa | Host Community |   | \* | 95/9 | 119 | 347 |
| Returnee Community | 4023 | 8612 | 95/9 | 116 |
| IDP | 1739 | 6772 | 95/9 | 112 |
| Formal Camp |   |   | - |  |
| Informal Camp | 1419 | 6093 | - |  |
| Host Community | 320 | 679 | - |  |
| Mobbar | Host Community |   | \* | 95/9 | 119 | 348 |
| Returnee Community | 5548 | 35515 | 95/9 | 112 |
| IDP | 1782 | 8910 | 95/9 | 117 |
| Formal Camp |  - |  - | - |  |
| Informal Camp |  - |  - | - |  |
| Host Community | 1782 | 8910 | - |  |
| Total Sample (excluding buffer) | 2644 |

\*No reliable data on non-displaced population; therefore assuming an infinite population

**Quantitative Key Informant Interviews**

In locations that fall outside of LGA capitals but are accessible to field teams, a KI tool will be administered to capture indicative findings of WASH related vulnerabilities at the community level. The field teams will use a community level tool designed by and agreed upon by the GWC and national WASH cluster. One KI interview will be captured per population group.

The expected locations of the key informant interviews are as follows:

|  |  |
| --- | --- |
| **LGA** | **Ward** |
| Askira / Uba | Lassa |
| Bayo | Teli |
| Bayo | Wuyo |
| Biu | Yawi |
| Chibok | Pemi |
| Konduga | Auno / Chabbol |
| Konduga | Dalori / Wanori |
| Konduga | Jewu / Lamboa |
| Kwaya / Kusar | Gondi |
| Kwaya / Kusar | Guwal |
| Kwaya / Kusar | Wada |

**Qualitative Sampling**

1. FGDs will be conducted for each the three target population groups in each LGA assessed
2. FGDs will be gender disaggregated within each population group
3. Participants will be gathered based on their availability at the time of assessment
4. REACH will conduct a total of approximately 40 FGDs, distributed amongst LGA and populations groups according to research needs revealed during quantitative data collection

### Table 3. FGD sample table[[4]](#footnote-4)

|  |
| --- |
| Number of FGDS per population group |
| **Population group** | **LGA** | Askira/Uba | Bayo | Biu | Chibok | Kunduga | Kwaya Kusar | Mafa | Mobbar |
| Non-displaced | Male | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 |
| Female | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 |
| Returnee Community | Male | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 |
| Female | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 |
| IDP | Male | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 |
| Female | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 |
| Total number of FDGs | **48** |

## Data Analysis Plan

### Factsheets

Clean quantitative data will be rapidly analysed using Excel or R following the completion of each LGA-level household assessment, and presented in as a draft factsheet for Global WASH Cluster and Nigeria WASH Sector review and validation. This product will contain summary statistics and analysis for core indicators by displacement status. Following validation, the factsheets will be uploaded to the REACH Resource Centre and disseminated via email through the WASH Sector and ISWG.

### Report

Part of the report will build on the quantitative data analysed for the factsheets, as described above. In addition, following the completion of FGDs, qualitative data will be compiled and analysed using Nvivo or similar software. Both quantitative and qualitative datasets will be triangulated with available secondary data sources with the express aim of answering the research questions of the assessment (see above). REACH will present preliminary assessment findings in a dedicated workshop in Maiduguri with relevant WASH actors to enable discussion around preliminary findings and contribution to the final analysis. REACH will consolidate qualitative and quantitative findings, along with workshop outputs and recommendations into a final assessment report. Upon validation by the Global WASH Cluster and Nigeria WASH Sector, REACH will upload a final clean report, quantitative dataset, and analysis scripts to the REACH Resource Centre and OCHA’s HDX web-portal, or on other appropriate platforms identified in consultation with the sector. It will also be disseminated via email through the WASH Sector and ISWG.

### Table 5: Core indicators

|  |  |  |  |
| --- | --- | --- | --- |
| **Indicator category** | **IN #** | **Indicator / Variable** | **Data collection method** |
| Disaggregation | A.1 | IDP household current place of residence | Household Survey |
| Disaggregation | A.2 | Type of settlement (formal camp, informal camp, host community) | Household Survey |
| Disaggregation | A.3 | Gender of head of household | Household Survey |
| Disaggregation | A.4 | Age of head of household | Household Survey |
| Disaggregation | A.5 | Gender of respondent | Household Survey |
| Disaggregation | A.6 | Age of respondent | Household Survey |
| Disaggregation  | A.7 | Marital status of head of household | Household Survey |
| Disaggregation | A.8 | Size of household | Household Survey |
| Disaggregation  | A.9 | Ethnicity of head of household | Household Survey |
| Water | C.1.1a | Proportion of households using an Improved Water Source  | Household Survey |
| Water | C.1.1b | Proportion of communities/sites accessing an Improved Water Source  | Community tool |
| Water | C.1.2a | Proportion of households accessing an adequate/sufficient quantity of water (+ calculation or litres/person/day, if possible)  | Household Survey |
| Water | C.1.2b | Proportion of communities/sites accessing an adequate/sufficient quantity of water  | Community tool |
| Water | C.1.3a | Proportion of households for whom fetching water constitutes a problem and calculation of time | Household Survey |
| Water | C.1.3b | Proportion of communities/sites in which fetching water constitutes a problem  | Community tool |
| Water | C.1.4 | Challenges accessing safe  improved drinking water | Focus Group Discussion |
| Hygiene | D.1.1a | Proportion of household having and using soap- and reason why if negative answer | Household Survey |
| Hygiene | D.1.1b | Proportion of communities/sites where members have and use soap | Community tool |
| Hygiene | D.1.2a | Proportion of HH having received hygiene promotion in the last 30 days and/or washing their hands at minimum 3 of the 5 critical times | Household Survey |
| Hygiene | D.1.2b | Proportion of communities having received hygiene promotion activities in the last 30 days | Community tool |
| Hygiene | D.1.3 | Challenges related to household hygiene | Focus Group Discussion |
| Sanitation | E.1.1a | Proportion of households accessing/using a functioning latrine | Household Survey |
| Sanitation | E.1.1b | Proportion of communities/sites where members are accessing a functioning latrines | Community tool |
| Sanitation | E.1.2 | Challenges accessing functioning latrine facilities | Focus Group Discussion |
| Environmental Hygiene | F.1.1a | Proportion of households facing sever environmental hygiene problems (solid waste and wastewater) | Household Survey |
| Environmental Hygiene | F.1.1b | Proportion of communities/sites facing severe environmental hygiene problems (solid waste and wastewater management) | Community tool |
| Environmental Hygiene | F.1.2 | Impact of environmental hygiene issues on household  | Focus Group Discussion |

**A detailed data analysis plan for the report will be finalised based on the indicators above following their approval or amendment by WASH Sector partners. This TOR will be amended to reflect that agreement.[[5]](#footnote-5)**

# Product Typology

### Table 6: Type and number of products required

|  |  |  |
| --- | --- | --- |
| **Type of Product** | **Number of Product(s)** | **Additional information** |
| Report | 1 | Synthesises data from all LGAs assessed |
| Factsheet | 8 | One per LGA |
| Presentation | 1 | Likely given multiple times, but should not be need for multiple products |
| Dataset | 1 | Personally identifying information will be removed |

# Accountability to affected populations

Resources are not currently available to provide feedback to participating communities. However, subsequent assessments in forthcoming research cycles will be conducted in the same areas. When REACH returns to assessed areas, providing the political climate allows, they will share the key findings with communities and obtain their feedback, which will potentially be used to inform further assessments or provide updates to previous products.

# Management arrangements and work plan

1.

## Roles and Responsibilities, Organogram

* Regional Coordinator:
	+ External engagement
	+ Review of tools, methodology, plans and outputs
	+ Develop research design and methodology
* Country Focal Point
	+ External Engagement
	+ Develop research design, methodology and workplan
	+ Coordinate assessment implementation plans
* Assessment Officer (1x)
	+ Oversee assessment implementation
	+ Draft data collection tools and training materials
	+ Lead output production
* GIS Officer (1x)
	+ Design and draft factsheets
	+ Proved maps for targeting assessment locations
	+ Data analysis support
* Senior Field Officer (2x)
	+ Coordinates access to research locations
	+ Identification of enumerators
	+ Conduct training of field teams
	+ Oversight of fieldwork
	+ Communication point between field and assessment/ analysis teams
* Field Assistants (4x)
	+ Support FGDs through community mobilisation, translation and facilitation
	+ Conduct training of field teams
	+ Management of field teams and oversight of fieldwork
	+ Communication point between field and assessment/ analysis teams
* Enumerators x 24
	+ Conduct data collection in the field
* Database Officer
	+ Clean data

### Table 7: Description of roles and responsibilities

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Task Description** | **Responsible** | **Accountable** | **Consulted** | **Informed** |
| Define research scope | RC | RC | WASH Sector, GWC, REACH Global Team | ISWG |
| Design questionnaire | CFP, AO | RC | WASH Sector, GWC, REACH Global Team |  |
| Define sampling frame | CFP | RC | WASH Sector, GWC, REACH Global Team | Donors, ISWG |
| Organise Data collection | Senior Field Officer | AO | CFP, GIS-O, Logs | ACTED CD |
| Data cleaning | DB Officer | AO | Field Officers | CFP |
| Factsheet production | GIS Officer | CFP | AO, FOs, REACH Global Team, WASH Sector, GWC | ISWG  |
| Report production | AO  | CFP | GISO, FOs, REACH Global Team, WASH Sector, GWC | Donors, ISWG |

***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*

## Resources: HR, Logistic and Financial

The Global WASH Cluster will provide the primary support for operations through partner grants with either OFDA or ECHO. This will cover Country-level assessment coordination, assessment staff, logistic/ security staff, technical equipment, field accommodation and vehicle rental. REACH will leverage existing assets and concurrent operations to provide other necessary staff and support equipment.

## Work plan

|  |  |  |  |
| --- | --- | --- | --- |
| **Activity** | **Aug** | **Sept** | **Oct** |
| **3** | **4** | **1** | **2** | **3** | **4** | **1** | **2** | **3** | **4** |
| Tool design |   |   |   |   |   |   |   |   |   |   |
| Tool review |   |   |   |   |   |   |   |   |   |   |
| Tool validation |   |   |   |   |   |   |   |   |   |   |
| TOR/ Methodology design |   |   |   |  |  |   |   |  |  |   |
| TOR/ Methodology review |   |   |   |  |  |   |   |  |  |   |
| TOR/ Methodology validation |   |   |   |  |  |   |   |  |  |   |
| Training |   |   |   |   |   |   |   |   |   |   |
| Quantitative Assessment pilot |   |   |   |   |   |   |   |   |   |   |
| Quantitative Assessment LGA 1 |   |   |   |   |   |   |   |   |   |   |
| Quantitative Assessment LGA 2 |   |   |   |   |   |   |   |   |   |   |
| Factsheet production |   |   |   |   |   |   |   |   |   |   |
| Factsheet dissemination |   |   |   |   |   |   |   |   |   |   |
| Quantitative Assessment LGA 3 |   |   |   |   |  |   |   |  |  |   |
| Quantitative Assessment LGA 4 |   |   |   |   |  |   |   |  |  |   |
| Factsheet production |   |   |   |  |   |   |   |  |  |   |
| Factsheet dissemination |   |   |   |  |   |   |   |  |  |   |
| Qualitatitve Assessment all LGAs |   |   |   |   |   |   |   |  |  |   |
| Quantitative Assessment LGA 5 |   |   |   |   |   |   |   |   |   |   |
| Quantitative Assessment LGA 6 |   |   |   |   |   |   |   |   |   |   |
| Factsheet production |   |   |   |   |   |   |   |   |   |   |
| Factsheet dissemination |   |   |   |   |   |   |   |   |   |   |
| Quantitative Assessment LGA 7 |   |   |   |  |  |   |   |  |  |   |
| Quantitative Assessment LGA 8 |   |   |   |  |  |   |   |  |  |   |
| Factsheet production |   |   |   |  |  |   |   |  |  |   |
| Factsheet dissemination |   |   |   |  |  |   |   |  |  |   |
| Data aggregation and analysis |   |   |   |   |   |   |   |   |   |   |
| Joint Analysis Workshop |   |   |   |   |   |   |   |   |   |   |
| Report drafting |   |   |   |   |   |   |   |   |   |   |
| Report review |   |   |   |   |   |   |   |   |   |   |
| Report dissemination |   |   |   |   |   |   |   |   |   |   |

# Risks & Assumptions

### Table 8: List of risks and mitigating action

|  |  |
| --- | --- |
| **Risk** | **Mitigation Measure** |
| Assessment locations become inaccessible due to security concerns, rendering primary data collection impossible. | Flexible workplan to allow movement of assessment alternative locations should security in target areas decline; if the security situation subsides data can be collected at a later point in the data collection period.  |
| Randomly selected sample of householdsgenerate non-responses | Ensure overall sample contains a 10% buffer, with the aim to survey 10% more respondents than needed to reach the target sample size |
| Interviewees are unwilling to participate in theassessment | Survey questions will respect humanitarian protection guidelines and respondents will be approached in a courteous and respectful manner, while emphasising the importance of the information gathered. If households remain unwilling to participate, enumerators will be instructed to move on to other households |

# Monitoring and Evaluation

See table in annex 4.

# Documentation Plan

* Terms of reference
* Indicator list
* Data analysis plan
* Data collection tools
* Raw dataset and cleaning log
* Clean datasets
* Intentions factsheet for each LGA assessed
* Presentation of findings
* Summary report synthesising all findings once the exercise has been completed

# Annexes

1. Data Management Plan
2. Questionnaire(s) / Tool(s)
3. Dissemination Matrix
4. M&E Matrix
5. *Other (if relevant)*

# Annex 1: Data Management Plan

|  |  |
| --- | --- |
|  |  |
| **Administrative Data** |
| Project Name | IDP Intentions to Return, Relocate and Settle in Place |
| Project Code | 35ixxx |
| Donor | GWC |
| Project partners | Nigeria WASH Sector |
| Project Description | Wide-reaching representatively sampled assessment of the Knowledge, Attitudes and Practices of IDPs, returnees and non-displaced populations in Borno State toward WASH |
| Project Data Contacts | Tessa Richardson, REACH Country Focal Point Tessa.richardson@reach-initiative.org |
| DMP Version | Draft v1 |
| Related Policies | None |
| **Data Collection** |
| What data will you collect or create? | Secondary and primary (qual, quant) |
| How will the data be collected or created? | Quantitative data collected with ODK and stored on IMPACT’s KoBo account; Qualitative data collected through FGD**Data format**- word document, excel and R/ STATA/ SPSS. These formats enable sharing and long-term access to data. |
| **Documentation and Metadata** |
| What documentation and metadata will accompany the data? | **Value change log.** Documents changes to the dataset in order to track all the amendments made to the data values. **Data cleaning log.** Documents data cleaning process i.e. checking for inconsistencies, running logical checks, renaming variables, dropping variables if need be, generating new variables, merging or appending datasets if need be. **Analysis log** Documents the analyses commands, either auto-generated by R/STATA/ SPSS or in a do-file. The log will make it possible to replicate the analyses command for other projects too.**Data dictionary** (for an actual dataset, this object highly connected with “Tool” sheet) – should contain information on data types and metadata for each variable. Usually represented in a structured format with the next fields:* Variable ID
* Variable Name
* Section
* Data Type (e. g.):
	+ Integer
	+ Numeric
	+ Logical (TRUE/FALSE)
	+ Text
	+ Date
	+ Time
	+ DateTime
* Semantic Data Type (e. g.):
	+ Single Choice
	+ Multiple Choice
	+ Id
	+ Geopoint
* Technical Data Type (e. g.):
	+ Auto fill
	+ Calculated
	+ User Input
* Reference Field – in case we have related variables, for example one variable with concatenated multiple choices and set of binary responses for each choice, or variable that triggers another answer (like “yes” → reason or “Other” → Specify), this field should contain reference to the primary variable (id).

**Codebook-** A document that describes data content- values, type of variables, missing values.  |
| **Ethics and Legal Compliance** |
| How will you manage any ethical issues? | **Consent** - All the respondents and FGD participants will be asked for their consent prior to the interviews. **Anonymization** - all the personally identifiable information (PII) will be removed or anonymised from shared datasets |
| How will you manage copyright and Intellectual Property Rights (IPR) issues? | NA. IMPACT/ REACH will own the data and it will be made public |
| **Storage and Backup** |
| How will the data be stored and backed up during the research? | During data collection, all paper forms (FGDs) will be securely stored in locked premises. Once digitized, these will be destroyed.All digital data will be uploaded to KoBo and stored in Nigeria folder of South Sudan Dropbox on a daily basis and backed up weekly to NAS in Juba |
| How will you manage access and security? | Only senior team will have direct access to data; access by others team members will be closely controlled and on an a needed basis only |
| **Selection and Preservation** |
| Which data should be retained, shared, and/or preserved? | All digitized will be retained in password protected, limited access files on Dropbox; only anonymized data will be shared |
| What is the long-term preservation plan for the dataset? | Archived in South Sudan Dropbox and NAS – to be transferred to NGA Dropbox/ server once established |
| **Data Sharing** |
| How will you share the data? | Data will be uploaded to REACH Resource Centre, shared via WASH Sector, given to any requesting |
| Are any restrictions ondata sharing required? | Personally identifying information must be removed from the data set prior to sharing |
| **Responsibilities** |
| Who will be responsible for data management? | DB Officer |
|  |  |

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

# Annex 2 : Questionnaire(s) / Tool(s)

Please note the below are still in draft phase; links will be updated when tools are finalised.

*Quantitative tool*

https://www.dropbox.com/s/9zgx3czs2mhl544/REACH\_NGA\_GWC\_Borno\_DRAFT.xls?dl=0

*FGD tool*

<https://www.dropbox.com/sh/v0ofay8wf9nopw2/AABOTVUI0ZDP_3-6MsqU8_Jva?dl=0>

# Annex 3 : Dissemination Matrix

|  |  |
| --- | --- |
| **Dissemination Channel** | **Comments** |
| Nigeria WASH Sector | Sharing of products, presentation |
| ISWG | Sharing of products, presentation |
| Information Management Working | Sharing of anonymised data sets |
| Resource Center | Upload all products to the resource centre |

# Annex 4 : M&E Matrix

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Goal** | **External M&E Indicator** | **Internal M&E Indicator** | **Methodology** | **Focal point** | **Tool** | **Research-specific information (to be filled by country team for each research cycle/ToR)** |
| **Humanitarian stakeholders are accessing IMPACT products** | Number of humanitarian organisations accessing IMPACT services/productsNumber of individuals accessing IMPACT services/products | # of downloads of x product from Resource Center | User monitoring | Country request to HQ | User\_log | Y |
| # 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 | Protection Sector Strategy for 2018 |
| # references in single agency documents | DRC and NRC Country Strategies; UNHCR Protection Strategy |
| **Humanitarian stakeholders are using IMPACT products** | Humanitarian actors use IMPACT evidence/products as a basis for decision making, aid planning and deliveryNumber of humanitarian documents (HNO, HRP, cluster/agency strategic plans, etc.) directly informed by IMPACT products  | Perceived relevance of IMPACT country-programs | Usage M&E | Country team | Usage\_Feedback *and* Usage\_Survey template |  |
| Perceived usefulness and influence of IMPACT outputs |  |
| Recommendations to strengthen IMPACT programs | Usage survey to be conducted at the end of the research cycle related to all outputs, targeting at least 20 partners |
| Perceived capacity of IMPACT staff |  |
| Perceived quality of outputs/programs |  |
| Recommendations to strengthen IMPACT programs |  |
| **Humanitarian stakeholders are engaged in IMPACT programs throughout the research cycle**  | Number and/or percentage of humanitarian organizations directly contributing to IMPACT programs *(providing resources, participating to presentations, etc.)* | # of organisations providing resources (i.e.staff, vehicles, meeting space, budget, etc.) for activity implementation | Engagement Monitoring | Country team | Engagement\_log | Running log to be kept of all contributions, inputs and engagement |
| # of organisations/clusters inputting in research design and joint analysis |  |
| # of organisations/clusters attending briefings on findings; |  |

1. IOM. “DTM Nigeria Round XVI Dataset of Site Assessments” and “DTM Nigeria Round XVI Dataset of Location Assessments”, available at <https://nigeria.iom.int/dtm-june-2017> [↑](#footnote-ref-1)
2. REACH will define ‘returnee’ as “someone who has permanently returned to their habitual pre-displacement residence (or, pre-displacement home) after having been displaced as either an IDP or refugee” [↑](#footnote-ref-2)
3. Site locations and populations provided by IOM DTM round XVII will be used [↑](#footnote-ref-3)
4. Target population group and/or LGA’s may be revised based on findings from preliminary analysis at mid-point of HH level data collection [↑](#footnote-ref-4)
5. Indicators subject to agreement with WASH partners [↑](#footnote-ref-5)