COMPANION
English

# PARK

## Profiling and Assessment Resource Kit

JIPS / ACAPS

www.parkdatabase.org

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# FOREWORD Chaloka Beyani

The number of people internally displaced by armed conflict, generalised violence and human rights violations has steadily risen from around 17 million in the late 1990s to 27.5 million in 2010. Moreover, some 42 million people are estimated to have been forced to flee due to disasters triggered by sudden-onset natural hazards in 2010 alone. These are more than figures, they tell us how diverse the needs of displaced persons are and how challenging it is to ensure lasting solutions to their displacement situation. Obtaining specific data on their needs and situation is the much needed first step.

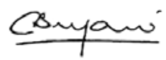
While national governments bear the primary responsibility for ensuring the well-being and security of their citizens, many situations of internal displacement require a strong collaboration between national actors and the international community to address the concerns of internally displaced persons (IDPs) and more broadly, of persons affected by displacement. Evidence-driven solutions are essential to an effective national response and to ensuring a successful collaboration between governments, civil society and international organisations. Collecting data is the key pre-requisite, to know who are the persons affected by displacement, where they are located, what their specific needs are, and to define how to develop responses to the specific situation at hand.

Collaborative profiling exercises and joint assessments of IDP situations provide decision-makers with invaluable information disaggregated by sex, age and location to use for advocacy, programming, protection and assistance. By putting the facts and figures on the table, we are better able to confront particular myths about displaced populations, build consensus in order to overcome stalemates and demonstrate the significance of targeted responses to the needs of IDPs. Equally important, the profile of an internal displacement situation can be used as a solid platform to help bridge the gap between humanitarian assistance and development.



In this context, I welcome this latest and important effort in sharing experiences on data collection methodologies between operations, agencies and actors. The Profiling and Assessment Resource Kit (PARK) is a direct response to a real need: by systematically collecting and presenting in a user-friendly manner existing methodologies, this resource kit provides essential tools and guidance on when and how to successfully embark on profiling exercises and assessments of situations of internal displacement.

I am very pleased to introduce the PARK and strongly encourage all actors operating in IDP contexts to actively use it, as well as contribute to its continued online development. Collaborative efforts in profiling and assessing IDP situations undertaken to date in a number of countries have already proven central to strengthening the response to internal displacement — it is imperative that we continue to build on these achievements.



Chaloka Beyani
Special Rapporteur
on the Human Rights of Internally Displaced Persons

# FOREWORD Jakob Hallgren

Joint assessments are at the core of the humanitarian agenda and strengthening the humanitarian sector's capacity to improve assessments is essential to push for better quality humanitarian aid and an increased accountability towards disaster affected populations.

Whether faced with slow onset, sudden or protracted crises, in a rural or urban environment, in low, middle or high income countries, we must base our interventions on a solid understanding of the needs, capacities and priorities of the affected population.

All seems to indicate that we will be faced in the coming years with more frequent and larger disasters. The increasing diversity and complexity of humanitarian scenarios challenges decision-makers and practitioners. Only a solid evidence base approach can ensure improved response to the new and changing disaster environment.

In order for us to meet the assessment challenge, we must work together. Recent progress within the IASC with respect to defining a common methodology and outlining roles and responsibilities for partners can serve as a standard for the humanitarian sector.

However, having a normative framework for working together is not enough. Joint assessments must become reality on the ground and we must provide practitioners with practical and adaptable tools, which will help them carry out joint assessments. The Profiling and Assessment Resource Kit (PARK) is an important step forward in this respect. By integrating into one database a large collection of reference material and practical guides, it will promote coordinated use of methodologies within a joint assessment framework.



The PARK companion and the online database is a very practical demonstration of the shared commitment by a growing number of organisations to joint assessment and profiling methodologies in an attempt to enhance the quality of humanitarian response.

ACAPS is very pleased to have contributed to the development of the PARK together with JIPS as this represents a shared vision of the added value of collaboration with the ultimate goal of delivering effective humanitarian assistance to affected populations.

Jakob Hallgren
Deputy Director
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# INTRODUCTION

In humanitarian emergencies or protracted crisis situations, securing reliable and effective information about the populations of concern is paramount. It is crucial to know who we are trying to assist in order to assist them, and we need evidence upon which to base our programming decisions. However, whilst data collection along these lines is not new, collecting, managing, sharing and actually using information about the affected populations remains a challenge for national and international actors, especially in situations of internal displacement where they must coordinate their assistance efforts.

This companion outlines the processes of profiling IDP situations and conducting joint assessments — two complementary practices that aim to address this challenge and facilitate evidence-based decision making in both humanitarian situations and those transitioning between humanitarian and development responses. Written to accompany the Profiling and Assessment Resource Kit (PARK) — an online database created to make it easy to **access** and **share** documents, tools and guidelines for profiling and joint assessment activities — this companion is hopefully also of independent use for practitioners planning or implementing such activities.

The online database and this companion jointly comprise the **PARK** project.

PARK's online users can now find a collection of practical resources that highlight the challenges and successes experienced by profiling and assessment practitioners around the world. The chapters in this companion help to guide users through the database providing introductory guidance, useful tips and suggestions for each stage of the process — from assessing the need for such an exercise, through methodology design, to final reporting and dissemination.



The PARK database aims to be a useful resource for a range of different users, including:

- Government bodies
- National institutions
- National and international non-governmental organizations (NGOs)
- Humanitarian clusters
- Development organisations
- United Nations Country Teams (UNCTs)

### Background and collaboration

Initiated by the Joint IDP Profiling Service (JIPS) and managed jointly with the Assessment Capacities Project (ACAPS), the PARK project was born out of the two teams' combined experiences assisting field operations in profiling IDP situations and conducting joint assessments. Their work highlighted the need for easily accessible tools to assist organizations and individuals embarking on these processes.

By collaborating on this project JIPS and ACAPS hope to reach a wider range of actors through their different areas of expertise, organisational structures and professional networks. It is hoped that the PARK product itself is also strengthened by expanding beyond the thematic distinction of 'profiling' and 'assessment' and used for the practical worth of its contents to facilitate data collection, analysis and reporting in the field.

## What’s in the companion?

The companion comprises nine chapters that correspond to the contents of the online chapters. The chapters were largely (but not prescriptively) identified to distinguish between different stages of the profiling or assessment process, except for the final chapter which collects the complete documentation from individual exercises. The chapters appear as follows: **1.** What are ‘IDP Profiling’ and ‘Joint Assessment’? **2.** Advocacy and Lobbying; **3.** Process Management; **4.** Methodologies; **5.** Questionnaires and Analysis Plans; **6.** Data Collection and Field Organization; **7.** Data Processing and Reporting; **8.** Workshops; **9.** Complete Processes: ‘Profiling IDP Situations’ and ‘Joint Assessments’.

As you will see reading through this text, each chapter contains a general introduction (variably including definitions, tips and recommendations of good practice), an outline of what is contained in the related online chapter of the PARK, and a brief list of key facts to remember. The intention is to provide an overview of the process in a succinct and helpful manner.

We hope you find the companion useful.



# CHAPTERS

# WHAT ARE 'IDP PROFILING' AND 'JOINT ASSESSMENT'?

## GENERAL

Profiling IDP situations and joint assessment processes are not new. They have been used by governments and organizations to inform humanitarian and development operations for many years. However, since the implementation of the cluster approach in 2006, there has been an increased effort to improve the way operations collect and share information, including through the process of profiling IDP situations and conducting joint assessments. By way of introduction, this chapter will look separately at the definitions of each process, whilst the following chapters will address their different phases simultaneously.

## PROFILING IDP SITUATIONS

A widely endorsed definition of the process of profiling IDP situations can be found in the 2008 *Guidance on Profiling Internally Displaced Persons*[1]:

*"IDP Profiling is the collaborative process of identifying internally displaced groups or individuals through data collection, including counting, and analysis, in order to take action to advocate on their behalf, to protect and assist them and, eventually, to help bring about a solution to their displacement.*

*An IDP profile is an overview of an IDP population that shows, at a minimum:*

*1. Number of displaced persons, disaggregated by age and sex (even if only estimates)*

*2. Location / s*

*This is understood to be 'core data'. Wherever possible, additional information could include, but should not be limited to:*

*3. Cause(s) of displacement*

*4. Patterns of displacement*

*5. Protection concerns*

*6. Humanitarian needs*

*7. Potential solutions for the group / individual, if available"*

1 IDMC / NRC and OCHA (2008) Guidance on Profiling Internally Displaced Persons. Geneva.





The definition highlights four important elements:

**Profiling IDP situations is a process:** Profiling is not limited to a few discrete activities, such as developing a questionnaire and collecting data. Instead, it is as a series of distinct but interlinked steps.

**Profiling IDP situations is collaborative:** Reflecting a central feature of the cluster approach, this collaborative process goes beyond the active members of the cluster system to involve observer members as well as the Government of the affected country. Collaboration is essential for the success of profiling for a number of reasons:

- Profiling IDP situations requires diverse and substantial resources, skills and expertise;
- Findings from profiling exercises are of interest to multiple organizations / clusters, extending to the entire United Nations Country Team (UNCT);
- Profiling IDP situations provides a platform for common understanding of the nature and volume of the challenges and resources in a humanitarian / development operation;
- Collaboration in profiling IDP situations reduces the need for multiple surveys / assessments conducted by various organizations, thereby reducing the effect of 'survey fatigue' among the affected population;
- A well-timed profiling exercise provides the required and agreed upon evidence to guide the allocation of joint funds for the UNCT;
- Profiling of IDP situations serves as a tool for joint planning and action with the Government of the affected country.

**Profiling IDP situations aims to bring about a solution to displacement:** It does not aim to collect information for information's sake. Instead, it is carried out in order to advocate on behalf of the IDPs, to protect and assist them and to help bring about a solution to their displacement.

**Numbers disaggregated by sex, age and location are core:** In order for data to be most useful it should be disaggregated by sex, age and location. To be defined as profiling, an exercise must provide this core data (even if it is only estimated). In addition, information on a wide range of thematic areas can also be collected.

Whilst this clear definition is useful, a challenge remains in setting out the actual types of methodologies for data collection and analysis that can be used. These include both quantitative and qualitative methodologies such as rapid population estimation, focus group discussions, household surveys and key informant interviews as well as methodologies that go beyond (but still satisfy) the objectives of profiling, such as IDP registration and population census. ➡ See Chapter 4 – Methodologies

## JOINT ASSESSMENTS

Joint assessments are defined in the 2011 *Operational Guidance on Coordinated Assessment* [2], as:

*"Assessments which are planned and carried out in partnership by humanitarian actors (…) with the results shared with the broader humanitarian community."*

**2** IASC (2011) *Operational Guidance on Coordinated Assessment in Humanitarian Crises*. Geneva.





An assessment is 'joint' when data collection, processing and analysis form a single process among agencies within and between clusters / sectors and leads to a single report. This may also be referred to as a 'common assessment'.

Like profiling IDP situations, joint assessments are collaborative processes, involving different actors such as UN agencies, NGOs, governments, civil protection, etc. Coordination of such a broad range of stakeholders (each one with different agendas, resources and expectations) is therefore a central consideration when undertaking such a process.

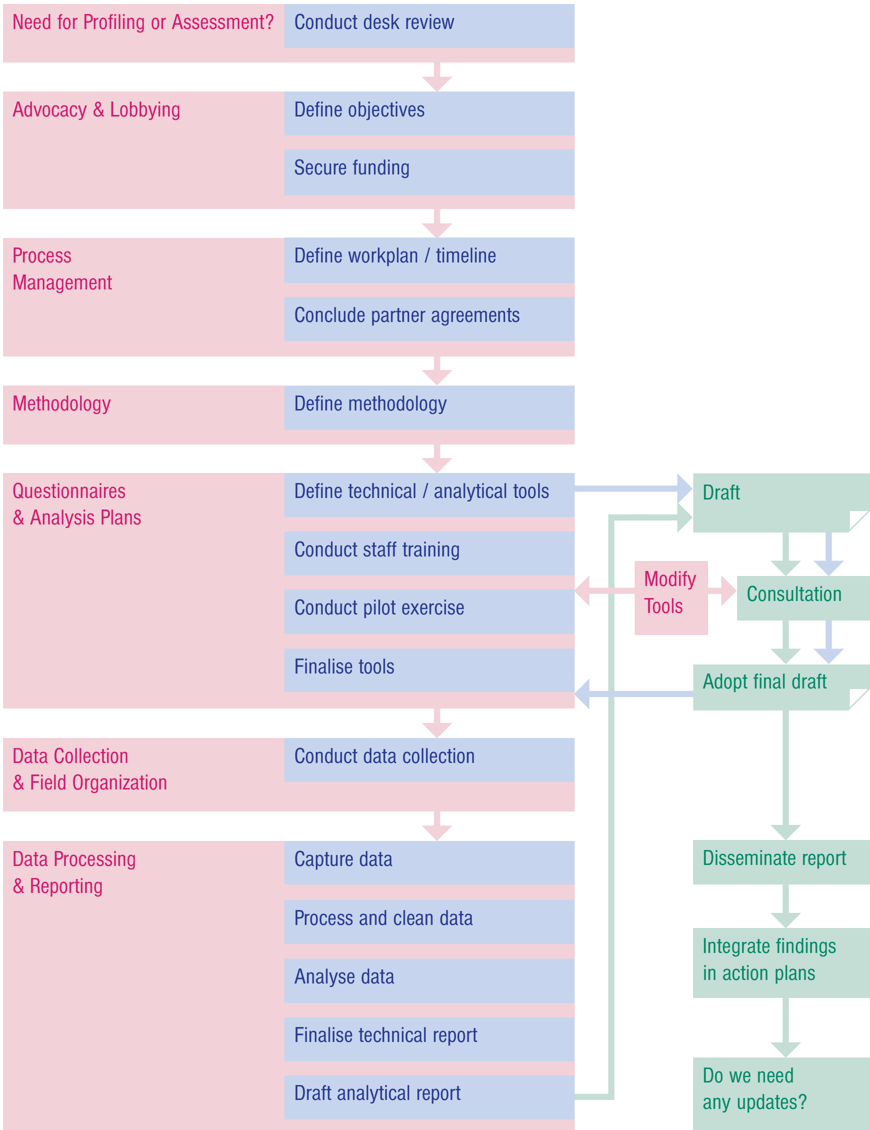
Joint assessments are recommended for the initial phases of an emergency but can also be conducted during later stages of a humanitarian response (during the recovery period) or even as a regular exercise (such as annual assessments, etc). Joint assessments will also vary according to the context and specific objectives of each process: they can be initial, rapid or in depth; they can be damage, needs, impact or recovery oriented; and they can focus on an identified affected area or on a specific affected group (returnees, refugees, IDPs, etc).

## STEP BY STEP:
## IDP PROFILING AND JOINT ASSESSMENTS

Whilst these definitions are important, the PARK is primarily concerned with the distinct but overlapping steps which together complete the processes of joint assessment and profiling IDP situations. Following the above definitions and this brief overview, the remainder of the companion looks at these steps in detail.

Every profiling or joint assessment methodology differs, but the following diagram (figure 1) outlines the generic steps of the process.

Figure 1: **Step by step guide to profiling and assessment**








# IS THERE A NEED FOR PROFILING AN IDP SITUATION OR CONDUCTING A JOINT ASSESSMENT?

Having established the definitions and provided a rough outline of the process of both profiling IDP situations and joint assessments, it is important to ask whether there is a need for such activities. Here are a number of key points to highlight:

- **Various members** of the humanitarian / development community may raise this question, including NGOs, agencies, cluster and inter-cluster forums, humanitarian / resident coordinators, governments and donors etc.

- The decision should be **consultative**. Exercises are often foreseen when planning for or conducting joint fund applications through the CERF[3], Flash Appeals and the CAP[4].

- Profiling of IDP situations or joint assessments can be relevant **during all phases** of a humanitarian / development response.

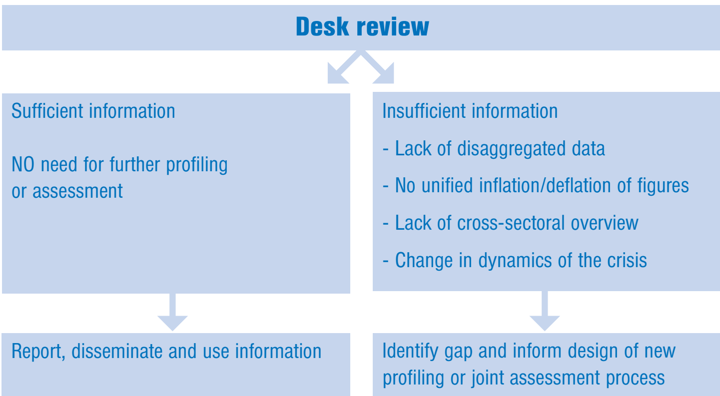
- Although challenging, it is useful to **plan ahead** for a profiling or joint assessment exercise; decision-makers must foresee tomorrow's information requirements and put the system in place today.

**3** As defined by OCHA on the CERF website: The Central Emergency Response Fund (CERF) is a humanitarian fund established by the United Nations to enable more timely and reliable humanitarian assistance to those affected by natural disasters and armed conflicts.

**4** As defined by OCHA on the Humanitarian Appeal website: The Consolidated Appeals Process (CAP) is much more than an appeal for money. It is a tool used by aid organizations to plan, implement and monitor their activities together. Working together in the world's crisis regions, they produce appeals, which they present to the international community and donors.

• **Secondary data analysis** or desk review can indicate where the information gaps lie. This methodology involves the analysis of data or information collected by others (e.g., researchers, institutions, NGOs, governments etc.), for a different purpose, or a combination of the two.[5] Sometimes a desk review alone can meet the information need; if not, it informs the decision to undertake a profiling of an IDP situation or a joint assessment, and creates a baseline or informs the design of the new exercise (figure 2). It is therefore always advisable to begin with a review of secondary data.[6]

Figure 2: **From desk review to profiling or assessment**




**5** Novak, Thomas (1996) *Secondary Data Analysis Lecture Notes,* Vanderbilt University, www2000.ogsm.vanderbilt.edu/marketing.research.spring.1996

**6** Cnossen, Christine, (1997) *Secondary Research: Learning Paper 7,* School of Public Administration and Law, Robert Gordon University

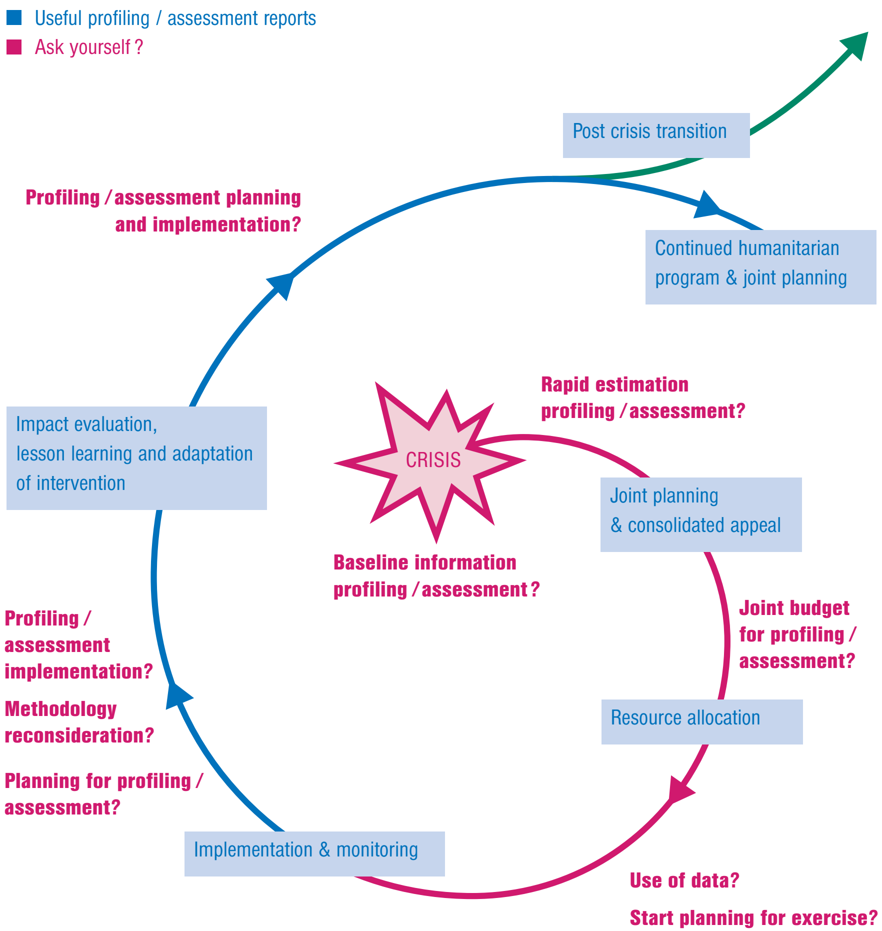




When undertaking a desk review, a number of observations could suggest the need to profile an IDP situation or conduct a joint assessment:

- Lack of figures, disaggregated by sex and age
- Lack of agreement on population figures (many actors with different data)
- Inflation or deflation of figures, and lack of agreement on an update mechanism
- Need for cross-sectoral overview of the situation
- Need to create shared situation awareness / common understanding of the situation
- Need for accurate and updated information for planning, assistance and advocacy
- Lack of baseline information
- Change in dynamic of the crisis such as the start of return or a new wave of displacement, etc. (figure 3)

Figure 3: **When to conduct profiling or assessment**








# PARK CONTENT

In this chapter of the PARK online you will find the following parts:

### General guide to IDP profiling and joint assessment

Here you will find a collection of documents that explain different aspects of IDP profiling and joint assessment. Some of the documents are profiling-specific (such as *the Guidance on Profiling IDPs* or *the IDP Profiling Toolbox*), whilst others touch on a number of methodologies that can be used (such as surveys, demographic methods, estimations and data issues).

### Data collection related guides

Here you will find a wide range of data collection methodologies to inform your decisions depending on the needs of your operation. There are many documents on assessments, monitoring, social methods, vulnerability and secondary data collection. Some are sector-specific but also provide a solid base for population information. Many of these documents are written from an implementation perspective, which is valuable given the more 'mature', tried-and-tested sector-specific tools / methodologies.

### Desk review methodologies

Here you will find examples and general guidance on the desk review process. Desk reviews are the best place to find documentation of the process for evaluating the need for profiling and assessment exercises.

### Brief notes and presentations

Here you will find documents to help formulate your arguments for and against profiling and joint assessment during the consultative process. Some focus on the process itself and the work required, whilst others tackle the wider issue of the influence of data on decision making in the humanitarian / development context and the behavior of donors in this regard.





## TO REMEMBER

✔ Profiling and joint assessments are collaborative processes that are skills and resource-demanding.

✔ Profiling and joint assessments are processes that works towards objectives, thus define your objectives first!

✔ Don’t be stuck in wordings; collect / analyze the information that is needed for your objective whether you call it profiling, assessment or something else.

✔ Core to the definition of profiling an IDP situation is the collection of population numbers disaggregated by sex, age and location.

✔ A review of available information (desk review) is always advisable before embarking on a profiling or assessment exercise. It can inform the decision to go ahead with such a process and help shape the exercise itself.

✔ Profiling IDP situations and joint assessments can be relevant at all stages of a crisis. Depending on the context there will be implications for the methodology you choose to use.

✔ There are many distinct but overlapping steps in conducting a profiling or joint assessment exercise. Be aware of the whole process required before you start!

CHAPTER **2**

# ADVOCACY AND LOBBYING

## GENERAL

Advocacy and lobbying for joint assessments or profiling of IDP situations is one of the most important and often highly time-consuming parts of the process. They aim at:

- Ensuring active buy-in to the process from all relevant actors
- Securing collaborative agreement on the objectives, method, tools, implementation, analysis, use of data and reporting
- Maximizing use of local resources, skills and expertise

Advocacy and lobbying is not a 'one-off' activity. Instead, it is a cycle that involves different actors and targets at different stages. It is crucial to understand the dynamics of advocacy for profiling and joint assessments, because not all actors are necessarily involved in every step of the process. Care should be given to ensure that all key actors are updated on the process and its progress throughout. The following diagram (figure 4) aims to show the key advocacy messages at different stages of the process.

Figure 4: **Key advocacy messages**

| Exercise Phase | Keywords for Advocacy Messages |
|---|---|
| Advocacy & Lobbying | - Sex and age disaggregation<br>- Common data set for planning and advocacy<br>- Operation credibility<br>- Way forward for operation<br>- Reduce assessment / survey fatigue |
| Process Management | - Promotion of collaboration<br>- Use of existing specialisation and expertise<br>- Use of local actors who have field access |
| Methodology | - Joint objectives and synergy<br>- Feasibility and timeliness vs. accuracy |
| Questionnaire & Analysis Plans | - Synergy<br>- Common use vs. Agency specific |
| Data Collection & Field Organization | - Negotiation of access<br>- Purpose of exercise explained to affected population<br>- Potential late changes in tools and methodology |
| Data Processing & Reporting | - Reflection of reality<br>- Timeliness, dissemination and buy-in<br>- Tranformation to action plan<br>- Evidence based assistance, planning and advocacy |

**Target Actors**

- Governments and local authorities
- Non-state actors
- UN Humanitarian Coordinator
- Agencies and NGOs (internal and external)
- Internally displaced persons
- Donors
- Cluster leads
- Cluster coordinators
- Civil society
- Data collectors

Whilst many profiling and joint assessment exercises to date have not produced a written advocacy strategy, it is recommended to create such a document when operating in contexts where a lack of communication between actors and / or inherent relationship challenges exist.





**ADVOCACY AND LOBBYING TOOLS**

- Presentation / discussion with local authorities
- Meetings with IDPs and IDP committees
- Meetings with local community
- Presentation / discussion in cluster meetings
- Presentation in inter-cluster meetings discussion
- Presentation to the UN Country Team (UNCT) and / or Humanitarian Country Team (HCT)
- Letter of introduction for the project
- Bilateral meetings
- Meetings facilitated by external profiling / assessment specialists
- IDP profiling / assessment workshop for relevant actors
- Informal meetings
- Email updates on the process
- Updates posted on operation's website

# PARK CONTENT

In this chapter of the PARK online you will find three parts:

### Official advocacy and coordination communications

Here you will find templates from past examples used by specific field operations. These include: letters of introduction adressed to governments, requests for support from technical experts, memos to introduce new exercises and sample agendas from advocacy meetings.

### General references

Here you will find documents to aid an active and efficient advocacy campaign by outlining some issues at stake during the advocacy and lobbying process. These include participation and partnership, influencing decisions, coordination, donor behavior and consolidated appeals. Some general reference documents are also made available, including the JIPS step-by-step guide to profiling IDP situations.

### Brief notes and presentations

Here you will find helpful advocacy and lobbying documents, such as short documents, checklists and presentations of profiling / assessment requirements. The aim is to equip you with useful tools to prepare credible presentations and to sell the concept of profiling. There are also some general documents covering the skills and techniques required for advocacy, such as chairing a meeting, coordination and collaboration in data collection and designing activities in general.





# TO REMEMBER

✔ Advocacy / lobbying is not a one-off activity, but a process that starts with the decision to undertake a profiling or joint assessment exercise and ends with the actual use of the data collected.

✔ Advocacy aims initially at securing buy-in from the relevant actors and ensuring the involvement of different stakeholders according to their skills, expertise and resources.

✔ Do not forget to advocate and lobby with the affected population.

✔ Advocacy and lobbying is time and energy consuming. Plan for it and allocate resources appropriately to avoid it becoming stressful and burdensome, impacting on other activities.

# PROCESS MANAGEMENT

## GENERAL

Planning is essential to reach intended project objectives. This diagram (figure 5) outlines some key questions concerning process management that will guide the rest of the chapter.

Figure 5: **Process management overview**

| | |
|---|---|
| When? | - Start when objectives are set<br>- Revise when methodology is defined |
| Why? | - Avoid managerial surprises<br>- Ensure appropriate preparation<br>- Achieve goals<br>- Make process clear to all actors |
| Who? | - Empowered and responsible manager<br>- In collaboration with partners |
| How? | - Clear terms of references<br>- Schedule and gantt chart<br>- Action plan<br>- Budget<br>- Written partner commitments |

When planning a profiling exercise or joint assessment, the following challenges / issues should be considered:

**Unclear leadership** can be common. This could result from (i) the absence of a single person dedicated to leading / managing the exercise (often managers have additional agency-related responsibilities) or (ii) high levels of collaboration involving too many individuals (backed by respective agencies) diluting the leadership of the manager.

**Resource allocation** can be challenging as resources are sourced from different participating organizations. It therefore requires careful planning and timely management with substantial communications and follow-up.

**Team building** is important, especially in preparation for field-work. It can however be challenging as data collection staff are often dedicated to the task for only a short period of time.

**Open communication lines** with all involved parties is crucial as often plans need to be revisited to reach objectives within the existing timeframe and resources.

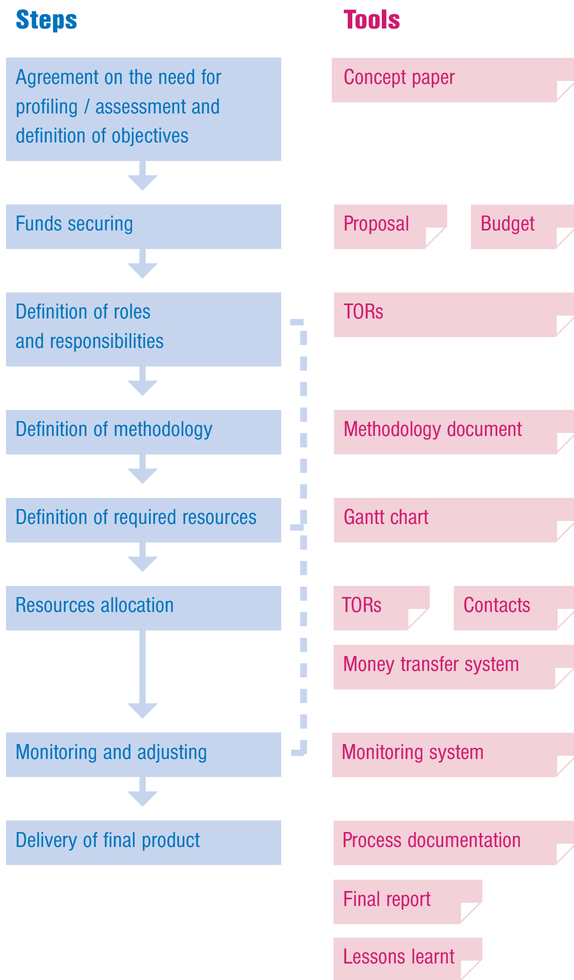
**Time planning** is a reoccurring challenge especially due to political pressure to produce results. Many profiling and assessment activities are often underestimated or entirely overlooked in the planning phase. For example, the time for funds or resources to become actually available, for preparing a coordination platform, for coordination and collaboration in general, to design, pilote and adjust the tools, for actual data collection, processing, cleaning and analysis, and to reach consensus on the final report.





This diagram (figure 6) details the main documents and managerial tools used in each step of the process.

Figure 6: **Process management steps and tools**



## ROLES AND RESPONSIBILITIES

To facilitate process management in general, it should not come as a surprise that proper documentation and agreements on the precise roles and responsibilities of all participating actors comes highly recommended. This remains challenging for a number of reasons:

→ Agencies usually have **established ways of working** that could be different from the planned model of implementation.

→ Agreements amongst partners often risk getting caught in **heavy administrative machinery**.

→ The distribution of responsibilities is usually reflected in the final report; the lack of an agreed upon distribution of responsibilities challenges the **credibility of the findings**.

→ Some tasks are conducted by staff who are only **working part-time** on the exercise, with the activities they are responsible for rarely included in their terms of references. Thus clearly outlining their roles, input and time required is crucial to agree upon and document.

### EXAMPLES OF AGREEMENTS

**Agreement at the cluster level / country team level,** or among the group of partners working together on the profiling or assessment exercise. This could be a working group terms of reference, or a general letter of support and understanding from the humanitarian / emergency coordinator or relevant government ministry.

**Agreement between the main donor / funding party and the lead partner** actually conducting the exercise.

**Agreement between the lead partner and other partners** participating in the exercise's implementation.





Table 1: **Types of standard operating procedures (SOPs)**

| SOPs | Issues to include |
|---|---|
| Logistics, field work and office equipment | Office supplies, vehicles, security, accommodation, monetary advances, routes, communication, letter of introduction, teams, field reporting, emergencies. |
| Data collection and information management | Forms and tools, data collection kits, mobilization, locating interviewees, maps availability and use, forms administration, flow of filled forms, progress reports, monitoring and quality control, confidentiality, data capture system set up and use, data processing, data analysis. |
| Reporting, dissemination and results usage | Report standards and structure, dissemination plan, reference and credits, access to raw data, interpretation of results. |
| Process manager, team leader and enumerator guides | Overall project objectives, definitions, roles, communication and feedback, tools administration including questionnaires and other forms. |

In addition to the usual topics to be covered by agreements (memoranda of understanding (MoUs), SOPs or other formats), a number of issues often tend to fall in the cracks or remain unclear in profiling and joint assessment exercises. These gaps often create problems during implementation and can be avoided by answering the following questions in advance:

- **Who is the leading body?** Is it a government led exercise? Is it aspecific cluster or inter-cluster exercise? Is it a single-organization exercise in collaboration with a cluster? Etc.

- **What is the implementation modality?** Is it the responsibility of one implementer (subcontracting other implementers), or is it the equal responsibility of all partners?

• **What technical support is required?** And who are the supporting parties?

• **What is the advocacy / mobilization strategy?** This often involves agency heads advocating with the Government, military or armed groups and should be clearly defined so it does not become a last minute push or favor.

• **Who will own the data produced?** What will be the access policy for other partners? Where will it be stored? And who is responsible for updating it?

• **What are the data confidentiality requirements?**

• **What are the final report requirements and dissemination plan?**

• **How will the results be used and by who?** Is it intended to inform national policy / strategy / action plans? For advocacy, fundraising, programming?





# PARK CONTENT

In this chapter of the PARK online you will find the following:

**Concept papers and project proposals**

**Consolidated Appeal Process (CAP)**

**Common Emergency Relief Fund (CERF)**

**Emergency Recovery and Relief Fund (ERRF)**

**GANTT charts and planning**

**Budgets and timelines**

**Terms of references (TORs)**

*In the above sections you will find samples of documents used for specific purposes, such as project proposals and grant-oriented tools.*

**Donor formats**
Here you will find a brief introduction package to different donor approaches, including situations where fundraising is separate from the joint pool funds of an emergency.

**Standard Operating Procedures (SOPs)**
Here you can find detailed guides on how to write SOPs as well as an overview of how profiling and joint assessment exercises can ideally be conducted. This is complemented by documents specifically focusing on logistics and techniques required, as well as strategies and reports from past operations to help SOP drafting.

### Memoranda of Understanding (MoUs)

Here you can find examples of MoUs between different agencies, NGOs and host country goverments. They include specific examples on how confidentiality is achieved and may provide guidance for MoU-drafting in crisis situations.

### General references

Here you will find documents on costing, schedules, checklists, survey plans and survey design that could be useful to have a look at while developing your own.





## TO REMEMBER

✔ Assign one person, with 100 % time dedication, to manage the exercise.

✔ Documentation throughout the decision-making process is crucial for accountability and to keep the ball rolling as coordination and political agendas can often heavily impact upon the managerial process. Documentation is also useful to clearly define roles and responsibilities.

✔ Plan ahead for all stages of the process.

✔ Writing an SOP does not mean it will be implemented. Training, on-the-job coaching and monitoring should follow.

✔ Include team leaders and enumerators in drafting the operational SOPs.

✔ Make sure to have a pre-MoU written agreement in a simple document or e-mail exchange, as work will often start before formal MoUs are signed due to heavy bureaucracy.

✔ Include financial transactions procedures in your SOPs. Cash circulation and salary payment are often overlooked and can slow the process down.

✔ Include a system for updating SOPs.

4



# METHODOLOGIES

## GENERAL

An IDP profiling or joint assessment methodology is a documented process which contains the steps, procedures, definitions and explanations of techniques used to collect, store, analyze and present information. Discussions about 'methodologies' are often mistakenly reduced to the method of data collection, yet a comprehensive profiling or joint assessment methodology would include a whole range of different aspects as each phase of the process is interlinked.

The following table (table 2) outlines the various parts of a methodology:

Table 2: **Methodology structure**

| | |
|---|---|
| Context and background | Context, existing information, rationale for the exercise etc. |
| Objectives | General and specific. |
| Data collection and information management | Definition of roles and responsibilities, data ownership etc. |
| Reporting, dissemination and results usage | Advocacy and mobilization messages, targets and tools etc. |
| Process manager, team leader, enumerator guides | Method of data collection including: target population, geographic coverage, access, unit of data collection, method of selection and sampling, sample size, logistical procedures etc. |
| Data capture method and tools | Questionnaire topics and tools (smartphones, paper and pen etc.), tabulation requirements, other tools such as tokens etc. |
| Data processing and analysis | Software, procedures, responsibilities etc. |
| Training | Target audience, topics, procedure, timing, responsibility etc. |
| Data confidentiality | Principles, tools, responsibilities, storage, access etc. |
| Staff security | Principles, procedures, emergency procedures, responsibilities etc. |
| Risks and mitigations | List of risks and mitigations, coping mechanisms etc. |
| Reporting and dissemination | Standards, roles and responsibilities, procedure, templates, timing etc. |
| Update and follow up | Methodology, procedures and responsibilities etc. |
| Budget and timeframe | Initial budget and sequential timeframe etc. |





Drafting and securing agreement on the methodology are key activities that will impact on the entire process. Careful planning, taking into consideration the following issues, is crucial:

- Objectives of the exercise
- Resource availability including materials, funds, human resources, skills, etc.
- Political consensus on the methodology and agencies' individual agendas
- Time requirements, accessibility and security
- Geographic distribution and types of location of the target population
- Emergency phase and relative stability or fluidity of displacement
- Population sensitivity and survey fatigue

Many guidance documents, including the *Guidance on IDP Profiling*, categorize data collection methodologies into three different types: desk review, quantitative and qualitative. Indeed one of the first decisions to make is to decide on primary or secondary data collection. ➡ For secondary data collection see Chapter 1. For primary data collection, the following table (table 3) gives a brief summary comparing quantitative and qualitative methodologies:

Table 3: **Quantitative and qualitative methods**

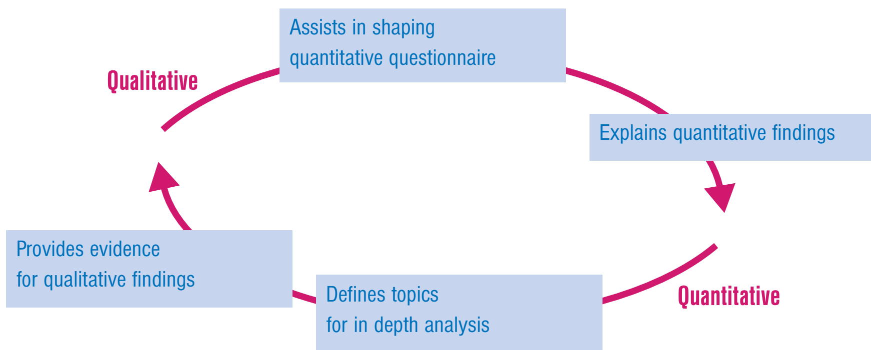
| | Quantitative | Qualitative |
|---|---|---|
| Some methods used | - Quick counting estimates<br>- Sampling surveys<br>- Population movement tracking<br>- Registration | - Individual interviews<br>- Key informant interviews<br>- Focus group discussions<br>- Semi-structured discussions<br>- Observation |
| Main features | - General overview<br>- Demographic characteristics<br>- Reliable and objectively verifiable<br>- Apt for generalization | - In depth understanding of specific issues<br>- Rich and detailed information<br>- Perspectives, opinions and behavior of population assessed |
| Types of questionnaire tools | - Predetermined questionnaire with sequence and structure<br>- Paper and pen<br>- Smart phones, tablets or laptops | - Topics checklist with guide<br>- No predetermined questions or sequence<br>- Paper and pen<br>- Recorders |
| Types of questions | - Controlled sequenced questions<br>- Predetermined possible answers | - Open ended questions<br>- Questions arising from discussion |
| When to use it? | - To answer 'Who / what? How much? How many?'<br>- To get a comprehensive understanding of the situation<br>- To collect socio-demographic characteristics<br>- To compare relations / correlations between different issues<br>- To collect accurate and precise data<br>- To produce evidence about the type, scale and size of problems | - To answer 'How? Why?'<br>- To collect in-depth information on a specific issue<br>- To understand the population's behavior, perception and priorities<br>- To help explain information provided through quantitative data |
| Interview skills requirements | - Staff well trained on the questionnaire (high reliance on a well constructed questionnaire) | - Expert researchers and interviewers (high reliance on interviewer skills)<br>- Very good knowledge of the society, culture and situation |
| Strengths | - Precise estimates<br>- Relatively easy analysis using relevant analytical software<br>- Based on statistical theories<br>- Verifiable<br>- Replicable in a complementary / comparable way by different teams in different areas and periods | - Rich and detailed information<br>- Context taken into consideration<br>- High influence of the population on the information provided<br>- Limited number of respondents<br>- In depth analysis<br>- Requires limited amount of resources |
| Weaknesses | - What is not in the questionnaire, will not be in the analysis<br>- Labor intensive data collection<br>- Limited participation of the affected population in the direction / content of the questions | - Not objectively verifiable<br>- Labor intensive analysis<br>- Requires same interviewers or similar level of skills and knowledge |





To fully understand the situation, it is advisable to combine quantitative and qualitative approaches, either simultaneously or successively. Combining methodologies however highlights the need for a dedicated manager with good knowledge of both approaches. ➡ See Chapter 3

Figure 7: **Combining quantitative and qualitative methods**



## PARK CONTENT

In this part of the PARK online you will find:

**Quantitative methodologies**
Here you will find examples of surveys (both country and sector-specific) and guidelines for sampling techniques (both probability and non-probability), assessment and survey implementation, rapid estimation method, spatial sampling and population movement tracking (PMT). Methodologies used in camps, host family and urban settings are included.

**Qualitative methodologies**
Here you will find examples of qualitative methodologies and some guidance on conducting focus group discussions, observation techniques, interviews and participatory assessments (PA).

**Combined quantitative and qualitative methodologies**
Here you will find examples of processes that have combined both quantitative and qualitative methods.

**General references**
Here you can find information, including academic work, on data collection methodologies.





## TO REMEMBER

✔ Defining and agreeing on the methodology is a crucial step in joint assessments and profiling IDP situations. It requires a political consensus on technical issues, demanding as such both time and skills.

✔ A methodology should include a comprehensive overview of all the steps and procedures of the process. It should determine **who** is responsible for **what** and **when**.

✔ Do not hesitate to contact specialists for some of the technical aspects of the methodology. You will then benefit from an expert backup once the results are out, in order to analyze and present them.

✔ Involve local experts in defining the methodology; their knowledge is invaluable for creating a realistic process and understanding of the findings.

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CHAPTER **5**

# QUESTIONNAIRES AND ANALYSIS PLANS

## GENERAL

Questionnaire development is the most well-known step of the profiling or joint assessment process, yet it is a mistake to reduce the whole preparatory phase to this single step.

As questionnaire development is an established field of work, a significant amount of research and social science expertise is available for consultation. However, when undertaking a profiling of an IDP situation or a joint assessment process, some specific issues or potential challenges should be carefully considered:

- Questionnaires are often developed by **sector specialists**; those with expertise on the content, but not necessarily on the formulation of questions or the structure of questionnaires.

- Questionnaires cover a **broad range of topics** to cater for the interests of a variety of stakeholders. It can be challenging to agree upon a common set of questions and to structure the questionnaire well.

• **Sensitive questions** are often necessarily included. With limited time to build trust between interviewer and interviewee, this can become challenging.

• Questionnaires are often administered by a **large team of enumerators with varying skill-levels**, making it difficult to decide on a 'one size fits all' form in terms of formulations, training requirements, etc.

• Often questionnaires are developed in a **language** different from the one they are used in; the translation process is not always straightforward.

• Questionnaires are often **ambitious**, including more data than what will actually be used in the analysis.

**A QUESTIONNAIRE SHOULD BE**

• Brief • Objective • Simple • Specific
• Address common interests of participating agencies
• Pre-tested!

## WHAT ARE QUESTIONNAIRES AND ANALYSIS PLANS?

An IDP profiling or joint assessment questionnaire is essentially a list of questions asked to IDPs, host community members, key informants, etc. It is designed to extract specific information and usually contains a title, different topics, a well-designed form and logical skips. It serves three basic purposes, to:





→ Collect appropriate data

→ Make data comparable and apt for analysis

→ Reduce bias through the formulation of questions and restricted answer options.

Agreement, testing and revision are crucial to questionnaire development (figure 8). With multiple stakeholders involved, this process can become complex. In order to minimize this, remember to:

• **Agree** upon the specific objectives of the exercise

• **Agree** upon the final report structure

• Prepare an analysis plan that links each objective to its information requirement — this discussion with partners is far easier than discussing the actual questionnaire!

• Formulate the questions so that they correspond to the agreed upon analysis plan

• Ask specialist advice for question formulation and verify this with local experts to ensure cultural appropriateness

• **Agree** with partners on the first draft

• Review the draft questionnaire during the enumerators' training, resulting in the second draft

• Pre-test the questionnaire and modify as required to finalize the draft to be circulated among partners (explaining changes from the first draft)

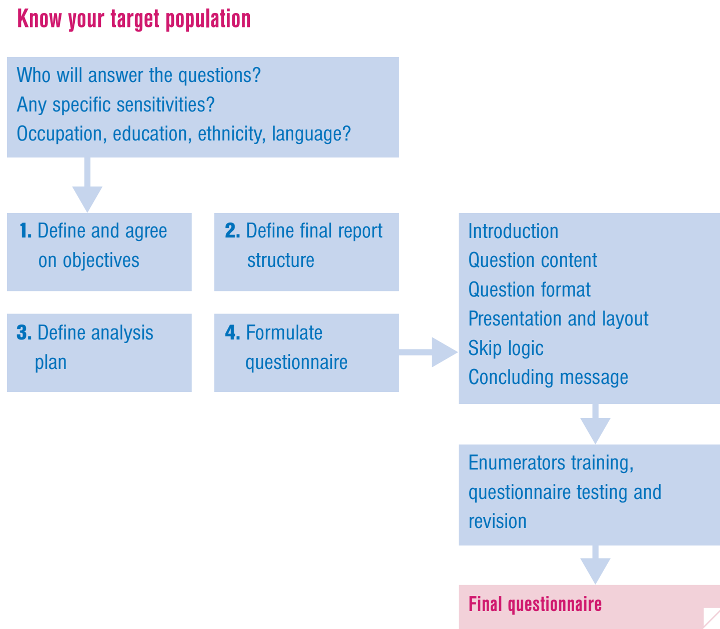
### QUESTIONNAIRE PRE-TESTING CHECKLIST

- ✔ Are respondents willing to answer the questions in the form you propose to use?
- ✔ Are the categories of answers realistic and understandable?
- ✔ Are any of the questions particularly difficult or sensitive?
- ✔ Do interviewers understand the questions?
- ✔ Do the respondents misinterpret the questions?
- ✔ Are any of the words ambiguous or difficult to understand?
- ✔ Does the questionnaire flow smoothly?
- ✔ Are there mistakes and inconsistencies in the logical skips?
- ✔ Can the interviewers follow the instructions easily?
- ✔ Is there adequate space on the form and are the answers clearly coded?
- ✔ Is it necessary to create new codes for common answers that were not included in the original questionnaires?





Figure 8: **Questionnaire development steps**




### TIPS FOR QUESTIONNAIRE LAYOUT

- Title and logo
- Metadata
- Simple, clear, predictable layout
- Space to note clear answers
- Page breaks (especially with Excel)
- Clear instructions on how to answer the questions

## PARK CONTENT

In this chapter of the PARK online you will find:

**Questionnaire design and data collection**
Here you will find documents of both general and specific interest to questionnaire design and primary data collection.

**Questionnaire samples**
Here the PARK has collected a series of concrete examples of quantitative, qualitative and mixed questionnaires used for specific surveys / assessements to use as a reference point in terms of content and layout. Some also come as a whole package (including the questionnaire guide and analysis / tabulation plan, etc.), providing good examples of well-planned questionnaires.

**Mobile data collection**
As an alternative to paper and pen, here the PARK has collected information about mobile data collection (MDC), the use of smartphones (or personal digital assistants (PDAs)) and how this impacts on quality control and assurance in data collection activities. Mobile data collection is of growing interest in the humanitarian field as technologies develop.

**Analysis plans**
Finally, some specific examples of analysis plans are provided to serve as models or inspiration for your own exercise. Tabulation plans used for quantitative questionnaires are also included.





## TO REMEMBER

✔ Know your IDPs / affected population, cultures, sensitivities etc.; know who will be answering the questions.

✔ Remember data can easily and quickly become obsolete during emergencies, so collect only what you can actually use.

✔ Negotiating a questionnaire with many partners is a challenging task. It is advisable to negotiate the analysis or tabulation plan with partners and leave the specific question formulation to persons experienced in this matter.

✔ Enumerators should participate in the questionnaire design to avoid problems of understanding and cultural inappropriateness.

✔ Data analysts must participate in the questionnaire design to avoid difficulties or missing information in the analysis.

✔ Revision and testing of the questionnaire is a time-consuming and meticulous exercise. Plan and allow appropriate time for it. Remember to document, plan and agree upon each stage of the revision process.

✔ Keep your questionnaire brief, objective, simple and specific (BOSS).

✔ Use of technology in data capture should be seen in context depending on available resources and skills. Remember that technology is a tool that should be used for a purpose, not as a goal in itself!

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CHAPTER 6

# DATA COLLECTION AND FIELD ORGANIZATION

## GENERAL

Now the actual fieldwork begins. You must prepare your most important asset — the data collectors — to ensure they collect the best data possible.

Data collectors here refers to both enumerators, who collect data through preset questionnaires and focus group discussion (FGD) facilitators, who collect the qualitative data. It is crucial that their training is both relevant and timely. In fact, it is during the training that the required materials and tools are finalized, with input from the data collectors themselves and through field-testing during the pilot exercise.

**DATA COLLECTORS TRAINING SHOULD BE**

**RELEVANT:** To provide the skills, materials, information and support to complete the work objectives correctly.

**TIMELY:** Not too soon before the methodology and materials are being finalized and not too late leaving no time for alternations.

There are four phases of preparing and conducting the training:

→ **Reach a final draft of the exercise tools:** (Action plan, questionnaire, supervisors, enumerators and FGD facilitators' guides, control forms, reporting forms, monitoring forms) through consultation with partners and team supervisors.

→ **Conduct the supervisors / team leaders training:** This training usually takes between one day for rapid assessments (one/ two days before data collection starts) and up to four/five days for profiling IDP situations (ideally one week before data collection starts). Trainings should be facilitated by an expert methodology designer / process manager. The training has four objectives: (1) the supervisors are ready to undertake all their tasks, (2) the supervisors know in detail what their teams are supposed to do and have a monitoring and evaluation system ready to be used, (3) the supervisors are ready to train their teams to be able to complete their tasks (training materials prepared) and (4) the supervisors review the exercise tools and modify them if necessary.

→ **Conduct the enumerators and FGD facilitators training:** This training is often conducted by supervisors / team leaders to their teams and takes between a few hours (rapid assessment) and up to two/three days (profiling IDP situations). This is often done because it (1) establishes authority lines, (2) reduces the class size (3) allows for team building activities and (4) provides more time for practical exercises.

→ **Conduct a pilot with the team leaders and their teams** to test the comprehension of the tasks and clarify misunderstandings, conduct a final testing of the tools and make changes to finalize them. The actual fieldwork is half or one day, but it requires preparation and time for brainstorming afterwards and to make the appropriate final changes to the tools.





The table below (table 4) gives some ideas for sessions that could be included in the trainings of both the supervisors / team leaders as well as enumerators / FGD facilitators. The actual selection of the sessions depends on the methodology and experience of the data collection staff.

Table 4: **Training session suggestions**

| Session | Main issues to be covered |
|---|---|
| Overall project | Background, rationale, objectives |
| Methodology | Rationale, link to objectives, geographic coverage, source of information, locating, contacting, selecting and obtaining participation from respondents |
| Role of data collection team | Impact of role of data collection team on overall exercise, step-by-step tasks for different methods (household interview, key informant interview, focus group discussion, direct observation), links and reporting systems, monitoring and evaluation of performance, errors to avoid, accurate recording and reporting |
| Interviewing techniques | Know your questionnaire, introduction, questions and questionnaire use, common reasons for entering wrong responses, probing, completing the questionnaire, communicating with individual / group of respondent(s) |
| Logistics | What do you need to have at the different steps of the data collection process and what do you need to give to whom? |
| Team dynamics | Role and responsibilities in the team, reporting and communication |

**TWO TYPES OF COMMON ERRORS THAT THE ENUMERATOR TRAINING AIMS TO REDUCE**

**Coverage errors:** locating, contacting, obtaining info

**Content errors:** deliberate, misunderstanding, bias

Fieldwork requires substantial preparation, concise systems of operating procedures and clear communications to implement the methodology, as well as dealing with arising challenges and unexpected events. The data collection starts after the final changes to methodology and tools have been made following the data collection training and the pilot exercise.

Logistics, staff management and coordination roles could present key challenges in organizing the field operation. It is crucial therefore to clearly outline the roles and responsibilities of all involved, especially when you have a large team with varied tasks to undertake.

Teams tend to become increasingly comfortable with their tasks as the exercise progresses. While this confidence is positive, it may become challenging as (some) team members begin to undertake additional tasks beyond their specific responsibilities.

Some tasks, despite their apparent simplicity may in fact be too sensitive and / or emit the wrong signals to the community you are working with if conducted in an inconsistent manner. These include: contacting local leaders, negotiating access, explaining the objectives of the interview to interviewees, arranging for logistics such as transportation and accommodation, and dealing with third parties, etc.

In case a change in the roles and responsibilities has proven necessary, make sure to formalize it, however trivial it may seem.

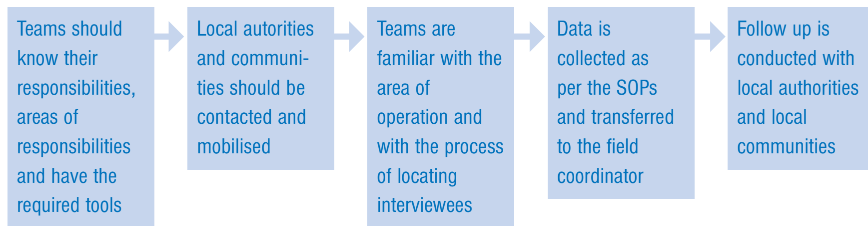




**THE ROLE OF TEAM LEADERS AND SUPERVISORS**

- Facilitate field work of the team
- Ensure contact with process manager or field coordinator
- Assign clear tasks for interviewers
- Maintain field work control sheets
- Ensure tasks are completed
- Conduct spot-checks on the household questionnaire
- Regularly send completed questionnaires and progress reports to field coordinator or process manager as per the SOP
- Keep field coordinator informed of team location
- Communicate any problems to field coordinator
- Take charge of team vehicle
- (Last, but not least) Develop a positive team spirit

Figure 9: **Field organization**



## CHECKLISTS AND WORK TOOLS

While it may sound basic to remind ourselves not to forget to take our pen or questionnaire form when travelling for hours to remote places to locate a family for interviewing… remember… it happens!

Please ensure therefore, that every team of enumerators / interviewers receives and uses their checklists. Work tools could include the following categories (adaptable to the specific methodology and situation):

- **Methodology tools:** Supervisor / enumerator manuals, focus group discussion / key informant interview manuals, area maps, household lists, letters of introduction, questionnaires, action plan and teams' assignment sheet, etc.

- **Office supplies and electronic devices:** Pen, clipboards, briefcases, paper clips, scissors, staplers, tape, envelopes to store completed questionnaires, smartphones / PDAs, laptops, printers, tablets, phones, chargers, generators, electric cables, etc.

- **Communication, transportation and accommodation arrangements:** Vehicle plans, travel arrangements and accommodation should be well planned and communicated to the teams.

- **Monetary advances:** for team leaders and field coordinators for fuel, minor vehicle repairs, communication and staff per diem if applicable.

- Do not forget to take your **first aid kit.**





# PARK CONTENT

This chapter of the PARK online is divided into the following sections:

### Trainings and enumerator guides

Here you can find specific guides for profiling and assessment teams on conducting population surveys / assessments as well as checklists of the most important steps to take during a field visit. There are also documents on planning surveys, selecting the right method, preparing a questionnaire, training and interviewing manuals, conducting a survey and processing the collected data.

### Training presentations

Here the PARK has collected some presentations on data collection techniques and presentations designed for staff training.

### Non-questionnaire tools

Here you can find alternative methods and tools of data collection such as self-administered surveys and focus group discussion techniques, as well as information on mobile data collection. In combination with documents on questionnaire-based surveys in Chapter 5, this will help to determine the appropriate methods and tools needed to achieve your specific objectives. ➡ See Chapter 5 – Questionnaires and Analyses Plans

### Geographic information tools

Here you will find documents and presentations on how satellite technology functions, and how it can facilitate humanitarian emergency assistance, particularly in natural disaster situations. You will also find software programs that work with most of the tools mentioned that allow you to integrate geographic information tools in your work.

### Quality monitoring

Here you will find practice-oriented guides on how to monitor assessments, survey and interview quality, as well as a WFP-authored overview on monitoring and evaluation of data collection methods and tools.

### Public information and mobilization

Here you will find documents outlining approaches to public information and mobilization efforts.

### Brief notes and presentations

Here you will find short documents on interview and participatory discussion techniques as well as other relevant notes.

### General references

Here the PARK has collected documents that summarize what primary data collection is, how to structure a data collection exercise and what concrete steps are required for successful collection. This is complemented by reports on data collection activities (such as from North Caucasus, Somalia and Chad), which list and evaluate the methods chosen in their respective contexts.





## TO REMEMBER

✔ Training is extremely important. It is the result of good preparation and the basis for a well-implemented exercise.

✔ Make sure to agree on the draft tools before the training and inform partners that they will be finalized during and shared after the training.

✔ Include trainers from partner agencies and organizations; this increases the level of buy-in and feeling of ownership.

✔ Allow time during the training for practical exercises and interaction with and between the trainees; it is crucial they become comfortable with the exercise and its tools.

✔ Allow time after the training for tool modification, especially if using technologies that require programming for changes.

✔ The training should be followed by on-the-job coaching during the first few days of the exercise.

✔ The training is the actual detailed planning and preparation for the exercise. Do not leave any open questions without answers.

✔ Checklists are easy to prepare and very effective: what should be with whom, when and who should do what when?

✔ Be reasonably generous in calculating the time required for completing data collection. ‘Plan for the worst and wish for the best’.

✔ Interviews / discussion groups should not be the first time the community hears about you; mobilization and courtesy visits are important.

7

CHAPTER **7**

# DATA PROCESSING AND REPORTING

## GENERAL

After the data is collected, it is processed — entered into a computerized form (data capture), organized and cleaned — in preparation for data analysis and reporting. Although the data processing phase comes after data collection, it is important to start planning for it whilst the methodology and questionnaire are being defined.

### DATA PROCESSING

There are three main approaches to data processing that can be used:

**→ Manual entry**
This involves creating a database that matches the structure of the questionnaire. After the questionnaires are completed by the enumerators, the material is transferred to a data entry center where data entry clerks computerize the answers into a database. Computerizing them entails some cleaning, troubleshooting and structuring so they are ready for the analysis phase. Manual entry is recommended for rapid assessments.

### → Scanning

This involves developing the questionnaire in specific software allowing the answers to be scanned rather than typed into the database. The printed forms have barcodes on each page and specific locations for the answers, so that once the forms are filled, they need only to be scanned to capture the responses.

### → Computer assisted interviewing

This approach consists of developing the questionnaire form for a smartphone, tablet, laptop, or desktop so when interviewers are in the field or on the phone, they record the answers directly into the device, which connects to a database. This collapses the distinction between data collection and data entry! Such technology may be used for assessments at the early stage of a disaster, but require adequate training and preparation in advance.

**KEY CONSIDERATIONS FOR DATA PROCESSING**

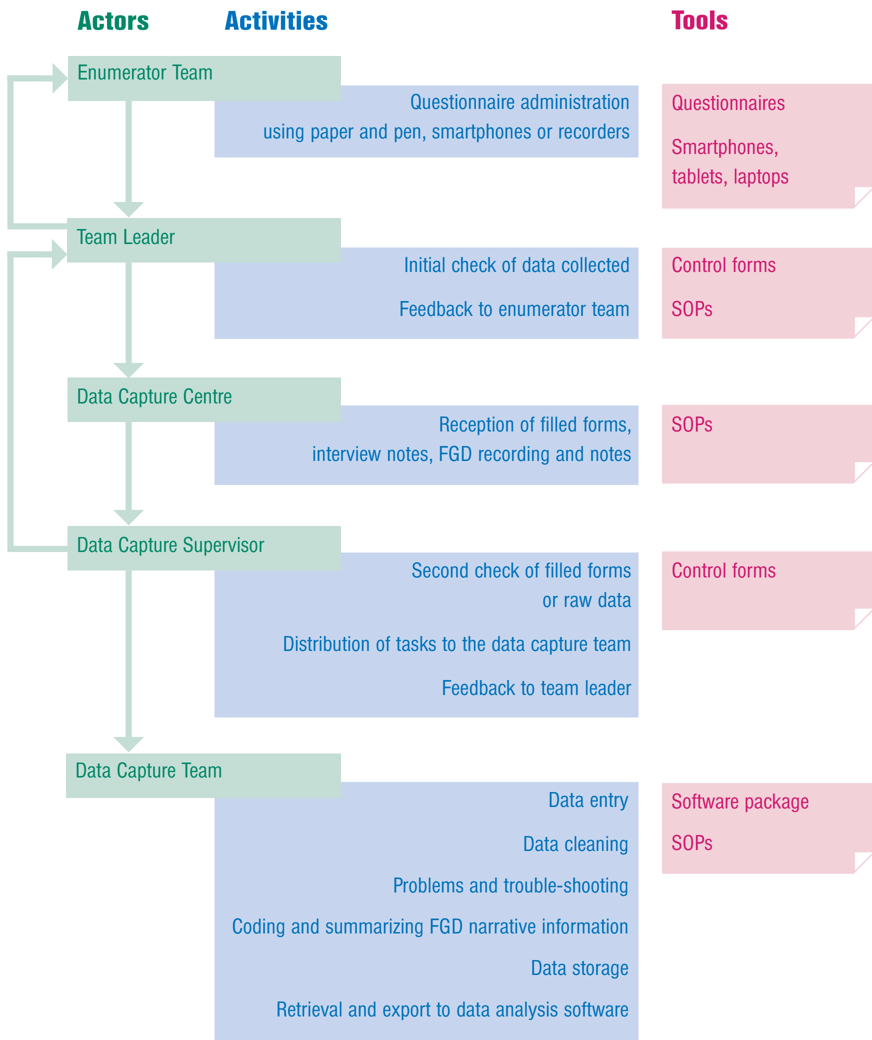
- Training requirements
- Set up time and testing
- Cost of data entry
- Cost of data quality
- Cost of data correction
- Materials cost
- Risk of data loss
- Data protection
- Time requirement
- Technical expertise requirement

Data processing consists of different steps as illustrated in the diagram opposite (figure 10). Some steps change depending upon the methodology selected, becoming either simplified or more complex.





Figure 10: **Data processing activities and tools**



## DATA ANALYSIS

The final stage of profiling an IDP situation or conducting a joint assessment consists of analyzing the data obtained in order to produce the reports.

There are a number of ways of carrying out the **data analysis** depending on the methodology and type of data / analysis to be produced. This chapter does not provide a complete guide to data analysis, however the following steps and considerations are usually necessary:

### ➔ Consultation process

Roles and responsibilities for the analysis process should be predefined, with a clear main focal point to pull together the first draft and coordinate the consultative approval process of the final draft. This will facilitate strong buy-in and actual use of the data by participating agencies.

### ➔ Basic checks of data quality

This includes detection of types of errors that are not related to statistical analysis but rather errors of recording answers, misleading questions, locating the right respondents, etc.

### ➔ Response rate

When a sampling survey is designed to produce representative results (profiling IDP situations), a certain number of respondents are targeted. However, often this target is not reached because enumerators cannot locate all the targeted respondents or some refuse to be interviewed. It is always important therefore to calculate the actual number of people interviewed. In case it is less than 90 %, the statisticians should evaluate the reliability of the findings and possibilities / limitations of extrapolation.





### ➔ Missing answers, 'I don't know' and 'other'

A large number of missing answers, 'I don't know' or 'other' responses should be analyzed with caution. A high rate of such responses could indicate mistakes in data entry, misunderstanding of questions or unreliable information that needs to be analyzed in conjunction with other pieces of information.

### ➔ Expected patterns

Some patterns should be clear from other available secondary information. It is advisable to check whether these patterns match your results, and if not, your analysis should look in detail at the reasons for this deviation.

### ➔ Basic variables

Analysis becomes more interesting if it is conducted through correlating different data fields. One approach is to decide upon some basic variables against which the analysis will be done (for example, the 'sex', 'age' and 'location' of respondents could be your basic variables, so that your analysis of other fields such as 'school attendance' or 'intentions of return' will be analyzed and presented according to sex, age groups and different locations).

### ➔ Minimum sample size

Some variables will be covered by a very limited number of respondents (for example 'situation of elderly' or 'babies below 3 months'). Extrapolation based on very small numbers risks being erroneous, thus the analyst should deal with these variables with particular caution and decide if extrapolation is feasible at all and, if so, what the minimum sample size for credible extrapolation should be. There are certain measures of validity, which can give the analyst more or less confidence in the numbers he will have to present. The PARK online contains information on some methods to calculate and describe validity.

## REPORTING

To present your findings and analysis, four types of reports can be produced:

**1. Preliminary report:** a short report (15-25 pages) that contains the main findings. It aims to interest actors in participating in the analytical report and share with government agencies, NGOs, donors, the press and the general public the main findings of the project. This report should not include any 'risky' findings that could be contradicted through further analysis.

**2. Technical report:** a report detailing the methodology, including all the statistical methods used for analysis and extrapolation. This report would also include the findings presented in tables and graphs as per the analysis plan.

**3. Analytical or final report:** a general report, disseminated widely, including an overview of the methodology, operational processes, and findings per topic as well as key recommendations. Since these reports can become long it is often a good idea to prepare an accompanying summary document.

**FINAL REPORT STRUCTURE**

- Executive summary
- Introduction and background
- Methodology and limitations
- Chapters per topic of results
- Sampling method
- Survey instruments

**4. Specialized report (upon request):** detailed reports focusing on specific topics, requested by stakeholders with that particular interest.





**REPORTING TIP:** Drafting the full report is a lengthy process and should be allowed enough time. On the other hand, the information should be released as quickly as possible to remain relevant and facilitate its use. Releasing a preliminary report can provide you with the required time to undertake a comprehensive analysis, whilst sharing the key findings with stakeholders straight away.

The results of a profiling or joint assessment exercise will be used to inform decision making by a large number of humanitarian actors working in the country. The findings will also be used to plan and modify interventions and programmes; therefore, it is very important that the analysis is carried out with careful attention to the details of calculation and interpretation. Interpretation should be agreed upon by all the partners to the exercise and compared to already existing information.

The production of a report is not the final outcome of an IDP profiling or joint assessment exercise. The ultimate aim is always the actual use of the data and the knowledge produced in order to assist or advocate on behalf of the affected population. The more decision-makers use the findings the more successful the exercise has been!

To facilitate this, please consider the following:

**→ Inclusiveness**

Remember, profiling IDP situations and joint assessments are collaborative processes. As agencies tend to use products they have assisted or supported in creating, the logic of collaboration should inform every stage of the process. This will help to ensure not only that more people participate and therefore use the findings, but also that the correct expertise is involved in different areas so the right methods and analysis are applied for a better quality exercise.

### → Dissemination

To ensure the results are reaching the right people, make sure the final report is distributed not simply by sending a group e-mail! Instead, it is advisable that a process is undertaken to ensure the right people / organizations receive the report, they are aware that they have received it and are interested in all or part in the findings. Dissemination should be done at different levels: international, national and sub-national.





# PARK CONTENT

In this chapter of the PARK online you can find:

### Data entry and analysis software

Here you will find user guides for several data entry and analysis software such as Sphynx, Martus, Limesurvey, CSPRO and X-FORMS. This section will continue to grow.

### Mobile data collection

Here, you can find presentations on how this technology has been used in practice, as well as detailed information on the MEDES Epidefender, Open Data Kit Android (two systems which UNHCR works with), and reviews of mobile data collection systems.

### Scanning

Here the PARK has collected examples of data capture through scanning, such as the 2008 Ghana census. Whilst this technique proved much faster than manual data entry, it was not unproblematic.

### Data quality

Here you can find a general analysis of what data quality means with regards to official statistics — why it is important and how it can be achieved — as well as national quality standards for statistics that can serve as a standard against which the quality of data management can be measured.

### Processes

Here you can find documents and guidelines on the entry and consolidation of data, as well as reports from profiling IDP situations and joint assessment experiences in the field, which provide valuable insights on potential challenges that can arise in practice.

### General references
Here the PARK has collected general documents on data processing, and some useful information on data management (mainly for surveys and focus groups) and its life cycle.

### Data analysis
Here you can find documents and presentations on data analysis, instructions on how to analyze datasets and detailed information to avoid common errors and guarantee a high quality standard. This section also contains useful trainings on information management and quantitative analysis, including exercises, presentations and detailed explanations.

### Reports
Here you will find comprehensive instructions on reporting in crisis situations in general, on how to draw a report from the data you obtained, and how to design a report in order to present effectively the needs to be addressed. Specific information on the creation and use of maps for presentation are also included.

### Dissemination
Here you will find detailed advice on how to process your findings and the report in order to reach your target audience. The documents here offer examples and instructions on successful illustration and distribution of information for advocacy purposes.





## TO REMEMBER

✔ Planning for data processing starts when the methodology and questionnaire are being developed.

✔ Data processing requires someone to do it; the sooner the data analyst is on board, the better.

✔ Data processing is not only entering the data on a keyboard or scanning forms but includes the meticulous work of cleaning and editing the data. Be generous in estimating the time required for this phase.

✔ Storing the raw data is important. Good storage can become crucial if there is a need to revisit the data for verification or for further analysis of relationships between questions.

✔ Consultation remains key, especially at the stage of analysis and formulating recommendations; despite the time pressure, consultation will save you time during the actual transformation of the findings into programmes and policies.

✔ Release a preliminary report if time pressure is high.

✔ Plan for dissemination of the results and remember — good dissemination is not a simple group email!

CHAPTER **8**

# WORKSHOPS

## GENERAL

The training requirements for profiling IDP situations and joint assessment processes vary from context to context. They can be broadly grouped into three categories: advocacy workshops, field and specialized trainings.

### Advocacy workshop

When profiling an IDP situation for instance, an advocacy workshop may be required if the Protection Cluster or other clusters / sectors have a limited understanding of what profiling can offer. Enhancing their awareness can promote buy-in and ownership of the process. Make use of the resources available in country, such as the National Bureau of Statistics, NGOs and UNFPA, whose involvement is crucial to give credibility to the proposed exercise.

For joint assessments, advocacy workshops can also take place during the preparedness phase to better prepare for the next emergency and define roles, responsibilities, methodology, tools and key outputs.

**KEY MESSAGES FOR ADVOCACY WORKSHOPS**

- Benefits of profiling IDP situations and joint assessments
- Partnerships and collaboration
- Challenges and opportunities
- Resources required
- Expected outputs
- Use / impact of data

### Field training

In defining who is responsible for which part of a profiling process or joint assessment, a review of the partner's training and learning needs should be done. This will determine what type of field training is required and depending on the capacity developed in the training, what type of follow-up support / supervision is required. It is important that partners have the necessary knowledge and skills to undertake their roles, so an evaluation of their capacity to meet their responsibilities should be done after the exercise is complete. ➡ See Chapter 6 for more information on field training

### Specialized training

During the process of analyzing the training and learning needs of partners, the need for a specialized training may be identified. These trainings could include the development and management of a database, use of mobile data collection technology, or the use of analytical software. The expertise to conduct such specialized trainings may be available in country, but often it will have to be sourced from elsewhere.





Some specialized trainings can be expensive and should be carefully considered following an evaluation of the appropriateness, maintenance and sustainability of new systems / technologies. These trainings are most often justified when the investment is part of a longer-term programme and the benefits go beyond a one-off profiling or joint assessment exercise. Examples include the use of smartphones / PDAs in programme monitoring or population movement tracking.

# PARK CONTENT

This chapter of the PARK online contains:

### Thematic trainings and tools

Here you find detailed presentations and training materials on methods and tools that are needed at the different steps of profiling IDP situations or joint assessments. General guidance is given, as well as thematic guidance on survey design, questionnaire design, advantages of mobile data collection, data processing, data quality, information management, decision making and dissemination. Moreover, a number of documents and presentations regarding cluster approaches to registration are included. This chapter offers you explanations in all these fields and enables self-training.

The opportunity to conduct IDP surveys or joint assessments based on the material in the PARK is particularly facilitated by documentation of different workshops that have been conducted by various actors (including UNHCR, DRC, IFORD, UNFPA, WFP, ProCap, JIPS, ACAPS, NATF, etc.) during the last decade.

In order to offer you an overview of practical challenges involved in profiling and joint assessment exercises, this chapter is completed by presentations that summarize or evaluate the experiences of different actors in recent situations (including Iraq, Somalia, Sudan, Chad, Uganda, Haiti, Central African Republic and Yemen). By studying these presentations you may encounter issues that are of interest for your current exercise — again, detailed information and explanations on all individual aspects can be found in the PARK.





# TO REMEMBER

✔ Raising awareness amongst key stakeholders is a critical investment in order to promote buy-in and ownership of the process and results.

✔ Expertise can be available in-country - use it wisely to build credibility for the exercise.

✔ Training and learning needs of partners should be assessed systematically to determine the type / level of field training required.

✔ Support / supervision should continue throughout the exercise, according to the needs of partners.

✔ Evaluate the effectiveness of field trainings AFTER the exercise is complete, as then you will know if you prepared your partners effectively and can build on lessons learnt.

✔ Specialized trainings should be assessed to be appropriate to the context and local capacity.

✔ Do not promote specialized trainings to import systems / tools / hardware that cannot be supported in the longer term.

# COMPLETE PROCESSES: PROFILING IDP SITUATIONS AND JOINT ASSESSMENTS

## GENERAL

To complement the 8 thematic chapters of the PARK, which divide profiling and assessment activities into distinct but overlapping phases, this chapter presents a collection of completed country operations.

## PARK CONTENT

In this chapter, the PARK online has collected complete examples of country operations undertaken by a variety of agencies, NGOs and governments since 2000. These include profiling exercises of IDP situations, joint assessments and other related processes. Below is a list, grouped by type, of some of the operations you can find here:

### IDP profiling processes

Including: Somalia, Uganda, Serbia, Sri Lanka, Chad, Yemen, Burundi, Central African Republic (CAR), etc.

### IDP registration

Including: Uganda, Sudan (Darfur), North Caucasus, Zimbabwe, Iraq, etc.

### Joint assessments

Including: Sudan, Iraq, Kyrgyzstan, Pakistan, Serbia, etc.

### Census and enumerations

Including: US, Haiti, etc.

### Refugee surveys

Including: Madagascar, Namibia, etc.

*NB – All the documents found in this chapter are also located elsewhere in the PARK according to the particular theme they address. For example, the questionnaires developed for the exercises stored here are also available in Chapter 5.*





## TO REMEMBER

✔ It is good to document your profiling or joint assessment exercise well, paying close attention to challenges that arise during the process in order to collect lessons learnt.

✔ The final report is not the only important document to come out of an exercise.

✔ Future exercises can benefit greatly from a desk review of previous similar exercises.

# LIST OF FIGURES AND TABLES

# JIPS

The Joint IDP Profiling Service (JIPS) is an interagency unit which supports operations undertaking profiling exercises of IDP situations. Providing both remote and on-site assistance to all stages of the profiling process, JIPS also advocates for the impact that profiling IDP situations can have on improving comprehensive and targeted responses to internal displacement, especially in situations of transition from humanitarian to development phases.

Established in 2009, JIPS is overseen by a Steering Committee comprising of DRC, IOM, NRC-IDMC, OCHA, UNFPA and UNHCR, and is currently hosted by UNHCR in Geneva.

# ACAPS

The Assessment Capacities Project (ACAPS) works to strengthen global, regional and in-country needs assessment capacities. The ultimate goal of this support is to provide a strong evidence base for emergency decision-making, leading to a better response.

ACAPS is an initiative of a consortium of three NGOs (HelpAge International, Merlin and Norwegian Refugee Council). It was established in December 2009 and is based in Geneva. ACAPS works with a number of humanitarian actors, including the Inter Agency Standing Committee's (IASC) Needs Assessment Task Force (NATF).

## PARK ONLINE

The PARK is an online, searchable database of practical guidelines and tools collected to assist practitioners around the world in planning, coordinating and implementing profiling and joint assessment activities. It is a dynamic kit that encourages users to contribute relevant materials.

## PARK COMPANION

The PARK companion is a short text written to accompany the online database. Divided into nine chapters, the companion simultaneously guides users through the PARK and through the different phases of profiling IDP situations and conducting joint assessments.

JIPS / ACAPS