Assessment Planning

Gaziantep, 18 January 2015
Critical steps in an Assessment

- Assessment and IM working group
- Secondary Data Analysis
- Assessment methodology and tool agreed as a group
- Assessment teams/partners
- Site selection
- Team Composition
- Logistics and administration
- Training on data collection tool
- Data collection
- Data Entry
- Data Analysis
- Reporting findings and recommendations
Assessment Life Cycle

1. Planning and Design
   - Activation & Terms of Reference
   - Secondary Data Review
   - Methodology Design and Planning

2. Field Assessment
   - Primary data collection & entry
   - Preliminary data analysis

3. Analysis and reporting of Findings
   - Presenting initial analysis
   - Final analysis & reporting
   - Development of products
   - Peer review
   - Dissemination

4. Evaluation
   - Impact Assessment
   - Research Appraisal
Assessment Terms of Reference > Plan

Terms of reference (ToRs) outline assessment:

- Design
- Implementation
- Verification

A documented basis for:

- making future decisions and for
- confirming or developing a common understanding of the research among all stakeholders.

What we specify in the ToRs is what we get!
Assessment Terms of Reference > Plan

Time

Resources  Quality
Typical mistakes to avoid when writing Terms of Reference

- Cutting and pasting from similar ToRs without thorough needs analysis.
- Loss of focus on the objective.
- Over-stipulation of the requirement.
- Under-stipulation of the requirement.
- No defined outputs.
- Over-prescriptive leaving little or no room for innovation and professional judgment.
- No defined quality standard.
Assessment Plan Structure

DESIGN & PREPARATION
1. Background and rationale for information need
2. Institutional framework (use of findings)
3. Objectives
5. Methodology
6. Data Analysis framework
7. Team composition (roles and responsibilities)
8. Administration & logistics
9. Primary data collection training

IMPLEMENTATION
9. Data collection
10. Data management
11. Data analysis
12. Reporting
13. Documentation plan (Archiving) of assessment process
Assessment Work Plan

AWG/TWG – Info needs
Analysis plan - SDR – PD needs
Methodology – Sampling – Tools
PD plan - Training/testing – Adm & Logs
SDR - PD collection – Data mgmt
Analysis – Initial - Joint
Visualise – Map - Report
Disseminate

Time
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12. **Reporting**
13. **Documentation plan (Archiving) of research process**
What is the overall objective of our assessments?

- Pre-Crisis Info
- In-Crisis Info
- Lessons Learned
- Primary Data

DATA COLLATION
Reservoir/Docking Station

ANALYSIS

DISSEMINATION

DECISION MAKING
Who are the decision makers?

- HC/RC, HCT
- OCHA Office
- OCHA HQ
- UN Agencies
- Sector/Cluster leads
- National Government(s)
- National Response Structures, etc.
- NGOs
- Bilateral response
- Diaspora
- Affected communities
- Regional organisations (EU, ASEAN...)
- Private sector
- Media
Objectives > research questions > indicators

Research Question

Area of Investigation

Indicator 1
  - Question 1.1
  - Question 1.2

Area of Investigation

Indicator 2
  - Question 2.1

Area of Investigation

Indicator 3
  - Question 3.1
  - Question 3.2
  - Question 3.3
## Indicator list

<table>
<thead>
<tr>
<th>TYPE</th>
<th>INDICATORS</th>
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<tbody>
<tr>
<td>General</td>
<td>% of individuals by current residence in governorate/district/sub-district</td>
</tr>
<tr>
<td>General</td>
<td>% of HH by time of arrival of first HH member</td>
</tr>
<tr>
<td>General</td>
<td>% of HH by time of arrival of last HH member</td>
</tr>
<tr>
<td>General</td>
<td>% of HH by time of arrival of first HH member in district</td>
</tr>
<tr>
<td>General</td>
<td>% of HH by original district of origin in Syria</td>
</tr>
<tr>
<td>General</td>
<td>% of HH residing in other districts since arriving - by most recent other district</td>
</tr>
<tr>
<td>General</td>
<td>% of HH that are registered/unregistered</td>
</tr>
<tr>
<td>General</td>
<td>% of HH where at least one member holds an identity card</td>
</tr>
<tr>
<td>General</td>
<td>% of HH where at least one member holds a residency card</td>
</tr>
<tr>
<td>General</td>
<td>% of individuals by age group and gender</td>
</tr>
<tr>
<td>General</td>
<td>% of individuals with a permanent disability by type (physical, mental, visual) and gender</td>
</tr>
<tr>
<td>General</td>
<td>% of HH by head of household specifics (female-headed HH, child-headed HH, elder-headed HH)</td>
</tr>
<tr>
<td>General</td>
<td>% of HH caring for unaccompanied minors (aged 0-17)</td>
</tr>
<tr>
<td>General</td>
<td>Average number of unaccompanied minors (aged 0-17) per HH</td>
</tr>
<tr>
<td>General</td>
<td>% of HH that have immediate family members remaining in area of origin</td>
</tr>
<tr>
<td>Intentions</td>
<td>% of HH intending to move within district/to other district/other governorate</td>
</tr>
<tr>
<td>Intentions</td>
<td>% of HH intending to move within KRI - by reason(s) why</td>
</tr>
<tr>
<td>Intentions</td>
<td>% of HH intending to move within KRI - by time of planned move</td>
</tr>
<tr>
<td>Intentions</td>
<td>% of HH intending to leave for district of origin/not of origin/other country</td>
</tr>
<tr>
<td>Intentions</td>
<td>% of HH intending to leave - by reason(s) why</td>
</tr>
<tr>
<td>Intentions</td>
<td>% of HH intending to leave - by time of planned move</td>
</tr>
</tbody>
</table>
Data collection methods

Now you know your:

• Objectives,
• Research questions and
• Indicators

— it is time to select your method of data collection

NB: never select your method before you know what you want to measure!
Assessment Plan Structure

DESIGN & PREPARATION

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Assessment Plan

Methodology

- Population of interest
  - Geographical scope – area assessed
  - Unit of measurement – village, sub-district
  - Population groups
- Secondary data review
- Primary Data Collection
  - Method – e.g. Key informant interviews, direct observations, other method
  - Sampling – how you select your respondents and what area/population they represent
  - Tools – e.g. questionnaires, questioning routes, checklists
When developing your methodology, first always ask:
Does data already exist that enables us to measure our indicators/fill our information gap?

DATA COLLATION
Reservoir/Docking Station

ANALYSIS

DISSEMINATION

DECISION MAKING
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### Research Question

#### Area of Investigation

<table>
<thead>
<tr>
<th>Question 1.1</th>
<th>Question 1.2</th>
</tr>
</thead>
</table>

#### Indicators

<table>
<thead>
<tr>
<th>Question 2.1</th>
<th>Question 3.1</th>
<th>Question 3.2</th>
<th>Question 3.3</th>
</tr>
</thead>
</table>

### Data analysis framework

#### Quantitative analysis framework

- **Two-sample t-test**
  - Mean vs mean
- **Chi-squared test**
  - Nominal/ordinal vs nominal/ordinal
- **Linear regression**
  - $y=$ interval/ratio, $x=$ interval/ratio or $y=$ nominal/ordinal, $x=$ interval/ratio or nominal/ordinal
- **Logistic regression**
  - $y=$ nominal/ordinal, $x=$ interval/ratio or nominal/ordinal

#### Measurement level

<table>
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<tr>
<th>Nominal / binary</th>
<th>Nominal</th>
<th>Ordinal</th>
<th>Interval/Ratio</th>
</tr>
</thead>
</table>

#### Sector

- **WASH**

#### Research question

- What external factors affect incidence of disease particularly amongst children?

#### Hypothesis

- Access to latrine associated with lower incidence of symptoms of disease, particularly amongst children

#### Level of analysis

- Individual

#### Dependent (y) variable

- Access to functional latrine

#### Q. No.

- 5.1

#### Measurement level

- Nominal / binary

#### Independent (x) variable(s) - (of interest in bold)

- Gender
  - 1.2
  - Nominal/binary
- Age
  - 1.3
  - Interval/Ratio

#### Analysis

- Linear regression
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Roles and responsibilities

Team composition > Roles and responsibilities > will be covered in detail in the next session >

Key considerations:

1. Who is responsible for what
2. Reporting lines
3. Numbers of teams/team members needed to cover selected sites within given time-frame
4. Technical and functional skills required
5. Language skills
6. Gender composition
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Administration & Logistics

- Transport
- Communications and equipment
- Accommodation & venues
- Cash and admin
- Visa and travel permissions
- Interpreters
- Team and personal equipment
- Security and safety information for the team before their arrival
- Government approval
Assessment Plan Structure

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Training & testing

Should cover:

✓ Terms of reference for the assessment
  ✓ Methodology
  ✓ Tool(s)

✓ Terms of reference for each team member

✓ Logistical arrangements for the assessment
  - transport, accommodation, etc

✓ Security - existing situation and procedures during the assessment
Assessment Plan Structure

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   9. **Data collection**
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Data collection

Should factor in the following:

✓ Data collection management arrangement - communication with data collection teams
✓ Allocation of assessment teams to specific locations;
✓ Proposed itinerary of visits to specific locations;
✓ If mobile data collection, arrangements for uploading of finalised forms
✓ Time to allow for fieldwork at each location;
✓ How teams will travel;
✓ Time to allow for travel; and
✓ Where teams will eat and sleep.
✓ Security rules and regulations
✓ Debriefing arrangements
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Data management & analysis

- Database design
- Data entry > > or monitoring
- Data cleaning
- Data analysis
  - Secondary data
  - Primary data
Assessment Plan Structure

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Products
Assessment Plan Structure

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Documentation (archiving) of research process

Example:
- ToRs
- Analysis Framework
- Data collection tool(s)
- Meeting Minutes
- Raw Database (soft copy)
- Clean Database (soft copy)
- Data Cleaning Logbook
- Presentation(s)
- Report
- Maps
- Official endorsement/communication (e.g. key emails)
## Assessment Work Plan

### Assessment Planning

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<th></th>
<th>Actions</th>
<th>Outputs</th>
<th>Responsible</th>
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<td>1</td>
<td>Assessment Design</td>
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<td>1.1</td>
<td>Objectives, information needs and scope</td>
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<table>
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</tr>
</tbody>
</table>

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### Assessment Design

1.1 Objectives, information needs and scope

1.2 Analysis Plan

1.3 Site selection

1.4 Tool design

1.5 Team Composition

1.6 Admin & logistics