Inter-Agency Coordination Turkey

Profiling of caseload in need of cash-based interventions

Results

Report drafted on behalf of the Cash Based Interventions Working Group and endorsed by members on 25th of May 2017. Actual drafting led by Giuseppe Simeon, UNHCR Cash Based Intervention Unit, and data elaborated by Vincent Ricouart, Operations Data Management Unit, and Megan Walden, Information Management Unit, Turkey CO.

Inter-Agency Coordination Turkey

Contents

1. Introduction and background 3

2. Executive summary 3

3. Objectives of the analysis 5

3.1 Verification of proportion of HHs falling within the ESSN criteria 5

3.2 Profile of HHs falling outside the ESSN 7

4. Disclaimer and data privacy 7

5. Methodology 8

5.1 Data sets, totals received and quality considerations 8

5.2 Standardization of data sets 9

6. Results, Verification of proportion of households eligible to receive basic needs assistance under the ESSN according to the demographic targeting criteria 10

6.1 Proportions of assessed households eligible against the ESSN criteria vs. not eligible under one or more criteria 10

6.2 Considerations over updated selection criteria 14

6.3 General HH profile 14

6.4 Proportion qualifying for the ESSN, under each criterion 16

6.5 Proportion of households who are registered and not registered (in general for whole dataset and disaggregated for ESSN eligible/ineligible) 18

6.6 Analysis of the shelter types as this links to the ability to register in the MERNIS database (ESSN eligible/ineligible), estimate of HHs with inadequate shelter conditions. 21

6.7 Proportion of households who are pre-registered 23

6.8 Analysis of the likelihood of eligibility against each criterion changing over time and proportion of HHs that are registered but in a province other than their current residence one 24

7. Profile of HHs falling outside the ESSN 24

7.1 Analysis of proportion of households resorting to negative coping mechanisms - including debt/borrowing, food coping strategies, etc 24

7.2 Application of the revised ESSN targeting criteria 27

7.3 Comparison of the monthly expenditure and/or income with the MEB and other poverty indicators 28

7.4 Application of new selection criteria 34

7.5 Analysis of households who are not eligible to receive assistance under the ESSN but have no family member able to work due to physical/intellectual/cultural barriers; number and proportion of households with no adult males that are not able to access basic needs assistance through the ESSN. 35

8. Recommendations 35

1. Introduction and background

At the request of the Inter Sector Working Group in Gaziantep, the Case Management Task Force and the Protection Working Group, the Cash-Based Interventions Technical Working Group (CBI TWG) produced this "Cash Gap Analysis". The analysis aimed to profile the refugee population in Turkey who require cash assistance to meet their basic needs and, in the absence of such assistance, may face heightened vulnerability to certain protection issues (e.g. child labour, early marriage, etc.).

The findings are intended to inform programming and ways forward to ensure that all Syrian and non-Syrian refugees in Turkey are able to meet their basic needs and are not forced to resort to negative coping mechanisms which heighten protection risks. While definitions might vary, the term "Basic needs" can be summarized as including access to basic services and assistance in health, nutrition, WASH, food, shelter, energy, education, as well as domestic items. In some cases, it might also encompass specialized services for people with specific needs.

A central aspect of the analysis was consideration of available data on the refugee population against the current demographic targeting criteria of the Emergency Social Safety Net Programme for Turkey (ESSN). Some likely adjustments to the targeting criteria were communicated by the World Food Programme (WFP) and the Turkish Red Crescent (TRC) in April 2017 and, with the modified criteria in the final stages of approval, a limited number of the tables / graphs set out in this report have been updated to reflect the anticipated changes.

In total, 11 organizations shared anonymized household (HH) data sets for this exercise, providing unprecedented access to a database of over 137,000 refugee households (although as not all of the datasets "spoke" to one another, some aspects of analysis had to rely on a smaller sample). On behalf of the CBI-TWG, UNHCR's Data Management Unit and UNHCR's Information Management Unit undertook the analysis and the UNHCR Cash Based Interventions Unit coordinated inputs and prepared the draft narrative; however, all CBI-TWG members reviewed and endorsed the final report.

2. Executive summary

The ESSN programme, which aims to reach over one million people,[1] is the largest programme providing Syrian and non-Syrian refugee households with basic needs assistance in Turkey.[2] Through the ESSN, eligible households receive 100 TL/person/month of unrestricted cash

[1] It is expected that the revised ESSN target, to be officially adopted in May/June, will be 1.3 million people. The programme commenced in November 2016 and, notably, at the time that the data underpinning this analysis was collected, few families would have been receiving ESSN assistance (although some would likely have been receiving other types of assistance, such as e-vouchers).

[2] Basic needs assistance, in this context, includes food assistance, given that, in Turkey, food insecurity is primarily addressed through a basic needs lens (i.e. multipurpose cash programming).

assistance to meet their basic needs (this amount is expected to increase to 120 TL/person/month in June 2017).

With Turkey now hosting up to three million refugees however, and given that the ESSN has had to rely on demographic rather than socioeconomic targeting criteria,[3] it is recognized that there may be some refugee households who are not eligible to the ESSN but nonetheless require assistance to meet their basic needs. In broad terms therefore, this analysis sought out to i) estimate and profile refugee households which are not eligible to the ESSN, but may nonetheless require assistance from basic needs actors; and ii) analyze barriers which may impede and delay eligible households' access to the ESSN, such as compliance with the pre-requisite related to civil registration in the MERNIS database, etc.

The following are among the key findings:

a) Under the current demographic targeting criteria, 40 per cent of refugee households represented in the datasets analyzed are eligible for the ESSN. The revised demographic targeting criteria will raise this to 56 per cent;[4],

b) While the ESSN will therefore benefit a large number of vulnerable households, there are households represented in the datasets which do not appear able to meet their basic needs and are not eligible to the ESSN (under either the current and revised criteria). This underscores the importance of exploring ways to identify and extend basic needs assistance to such households;

c) Currently, according to the data available, up to 1.7 per cent of households are eligible to the ESSN under the criteria of having two household members with verified disabilities. With the revised targeting criteria, which will deem households with only one disabled member eligible to the ESSN, this figure will increase to up to 6.8 per cent. This underscores the need to support ESSN applicants to access disability health reports in a dignified, safe, and timely manner;

d) Between 1 per cent and 2.8 per cent of households considered in the analysis were eligible for the ESSN but had not completed their registration with PDMM and would therefore have to finalize their registration before applying to the ESSN. This will cause variable and at times significant delays in their access to the ESSN. Due to limitations to possible analysis, and in view of what CBI-TWG members have observed in the field, this figure is likely a significant underestimate. It also fails to take into account the significant numbers that have registered in a province other than their area of current residence and are therefore unable to apply for the ESSN until registering locally, and households which have some registered members and some unregistered members, and are thus unable to include their complete household composition on their ESSN application.

[3] The socioeconomic data collected in the ESSN application form was determined to be incomplete and/or unverifiable, with data collection varying significantly across districts, meaning this data could not be considered for use criteria.
[3] This analysis does not take the proposed ESSN SASF discretionary allowance into account.

e) The data available shows that households qualifying under the ESSN have lower income and lower expenditure levels per family member than those not qualifying for the ESSN; nevertheless, on average, *both* eligible and ineligible households' reported average monthly spending per person falls below the southeast Turkey minimum expenditure basket and the absolute poverty line;

f) When analyzing other potential indicators of socioeconomic vulnerability, such as shelter conditions, coping strategies, school attendance, and levels of debt, there appear to be a considerable number of households which are not eligible to receive ESSN assistance (under both the current and revised criteria) in need;

g) The data suggests that 23 per cent of households eligible under the ESSN under the current criteria appear to live in substandard and inadequate shelters without a recognized address. This will create significant challenges to registering on the Population Directorate's database (MERNIS), a prerequisite to accessing the ESSN. This underscores the need to support ESSN applicants with civil registration and/or to explore alternative ways to ensure basic needs assistance reaches vulnerable families which are unable to register and/or face significant delays in registration.

h) Under both the current and revised targeting criteria which have been proposed, there appear to be a considerable number of households which are not eligible to receive ESSN assistance who are employing negative coping mechanisms. This supports the assertion that a considerable number of households who are not eligible to the ESSN require basic needs (and/or protection) assistance.

3. Objectives of the analysis

3.1 Verification of proportion of HHs falling within the ESSN criteria

At the time of issue of this report, to be eligible for assistance under the ESSN, applicant households needed to meet at least **one** of the following criteria:

a) Dependency ratio >1.5: ((0-17 yrs + 60+ yrs) / (18-59 yrs)) > 1.5

b) Four+ children: any household with four or more children (<18 yrs)

c) Two disabled members in the household: any two members of the household with a disability health report verifying at least 40 percent disability (this level of disability is consistent with the national system)

d) Single parent household: not accompanied by other adults (18-59yrs) and with at least 1 child (<18 yrs)

e) Elderly headed household (>60 yrs): not accompanied by any other adult (18-59 yrs)

f) Single female: not accompanied by other household members (1 person HH)

In April 2017,[5] WFP and TRC noted some targeting revisions had been agreed at the technical level and were in the final stages of approval. It is anticipated that these revisions will be rolled out at the operational level in June 2017. The revisions include the lowering of thresholds related to the dependency ratio and disabled individuals in the household, as follows:

- Dependency ratio **equal to or** >1.5: ((0-17 yrs + 60+ yrs) / (18-59 yrs)) **equal to or** >1.5
- **One disabled** member in the household: **any one** member of the household with a disability health report verifying at least 40 percent disability (this level of disability is consistent with the national system)

To gauge the possible implications of the revised targeting criteria, a limited number of graphs were updated accordingly.

Notably, the abovementioned revisions refer to the demographic targeting criteria, for which data is collected during the ESSN application process and processed systematically, generating automated decisions on eligibility. In an effort to bring families in need who are not eligible under the demographic targeting criteria under the ESSN umbrella however, WFP, TRC, the Ministry of Family and Social Policies (MoFSP), European Civil Protection and Humanitarian Aid Operations (ECHO) and other relevant ESSN stakeholders are discussing the possible introduction of discretionary allowances, with a set quota (number of households) to be provided to each SASF. Households will be selected according to standard SASF practice; this may require a household visit. It is expected that discretionary allowances will be piloted in a number of SASFs over the coming months.

This analysis was expected to determine the following:

1. Proportion of assessed households eligible against the ESSN criteria vs. those who are not eligible;
2. Proportion of assessed households eligible for ESSN under each criterion, with specific focus on those eligible for ESSN assistance under one criterion only. The disability criterion was considered particularly interesting, given challenges to obtaining the disability health reports which must be presented during the ESSN application process.
3. Proportion of assessed households who are registered, pre-registered, and/or not registered with PDMM/DGMM.

Additional analysis to be performed as per data availability was expected to include:

1. Analysis of shelter types, as this links to ease and possibility of registration on the MERNIS database;
2. Analysis of the likelihood of eligibility against each criterion changing over time;
3. Analysis of both ESSN eligible and ineligible households with inadequate shelter types and conditions;
4. Proportion of assessed households that are registered in a province other than their current province of residence (and will therefore need to register locally before applying to the ESSN);

[5] At the ESSN Task Force meetings in Ankara, Gaziantep, Istanbul, and Izmir.

3.2 Profile of HHs falling outside the ESSN

Expected outputs of the above were as follows:

1. Analysis of the proportion of assessed households not eligible to receive the ESSN who are resorting to negative coping mechanisms (including debt/borrowing, child labor, food coping strategies, begging). This, in turn, was expected to provide a measure of protection concerns which may be arising due, *inter alia*, to a lack of income or assistance to meet their basic needs;
2. Analysis of assessed households not eligible to receive basic needs assistance under the ESSN which have no family member able to work due to physical/intellectual/cultural barriers.
3. Comparison of the average monthly income of households not eligible for the ESSN with the MEB or other poverty indicators;
4. Proportion of households not eligible to receive basic needs assistance under the ESSN which report school-aged children who are not attending or enrolled in school;
5. Proportion of households not eligible to receive basic needs assistance under ESSN with no adult males;

   Data permitting, it was requested that analysis of both 3.1 and 3.2 be disaggregated by province and by district: following data reception and to retain statistical significance however, only analysis at provincial level was deemed possible. Aggregation at regional; and national level was also performed as needed.

4. Disclaimer and data privacy

UNHCR was tasked to lead on the analysis presented in this report using sound statistical criteria and methodologies, which was done accordingly. However, it is important to note the following:

- With the exception of UNHCR's own data sets, all data was collected and supplied by CBI TWG partners. Upon reception of the data sets and prior to performing the analysis, UNHCR reviewed all data sets extensively to identify and exclude data with obvious quality issues. However, UNHCR is not in a position to further ascertain the quality of the data collection process, neither in terms of field work accuracy nor in terms of data entry accuracy.

- This exercise relied on data collected for purposes other than this specific analysis. No additional data was collected for the purpose of this exercise.

All datasets submitted to UNHCR were anonymized (i.e. all names, ID numbers, phone numbers and addresses were removed prior to submission of the datasets to UNHCR). The confidentiality of organizations providing datasets is maintained and their names are not specified in this report. When useful for the narrative of this report, different partners are distinguished as Org. No 1, Org. No. 2, etc. All data sets were received in encrypted and password protected Excel sheets or other file formats.

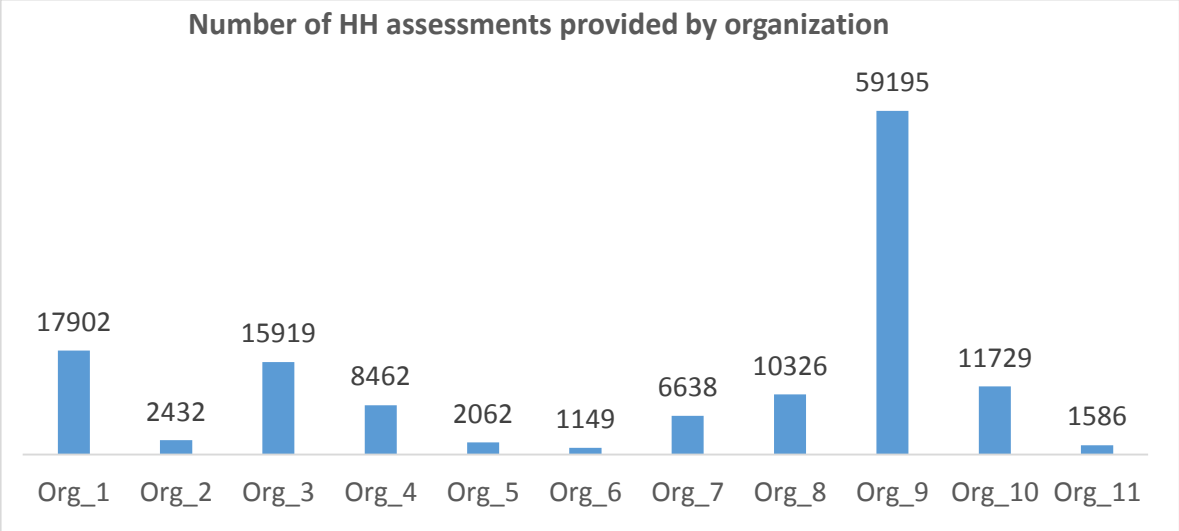
5. Methodology

5.1 Data sets, totals received and quality considerations

A total of 11 organizations agreed to share 27 distinct, anonymized data sets with UNHCR for the purpose of this analysis. Prior to their inclusion in the analysis, all the HHs data thus received were reviewed to ensure basic quality. As part of this process, all data sets that contained unresolvable inconsistencies in the demographic criteria were eliminated, as this implied possible data quality issues. Through this process, the data of a total of 137,400 households were deemed viable for the analysis. Notably, beyond the current analysis, and with UNHCR's support, this sizeable dataset may represent a valuable resource to explore other issues based on expressed sector and inter-sector priorities. The data sets were collected for a range of different purposes, including (but not limited to) to inform cash based interventions focused on both seasonal and regular support.

For the analysis, UNHCR used SPSS, as well as Excel cross-tabulation tools. The data provided by each of the 11 organizations is reported under Figure 1, below.

Figure 1: Number of HHs assessed, by Organization. Total = 137,400 HHs



The majority of the 27 data sets utilized for the data analysis were collected in the second half of 2016 -- relatively recently with respect to the date of analysis. The dates of collection of these data sets are reported below under Table 1: "Start and end date of data collection, data sets used for the data analysis".

Table 1: Start and end date of data collection, data sets used for the data analysis

Organization No.	Start date	End date
1	Nov-16	Jan-17
2	Oct-15	Nov-16
3	Aug-15	Nov-16
4	Sep-15	Aug-16
5	Oct-16	Nov-16
6	Oct-16	Dec-16
7	Feb-16	Aug-16
8	Sep-16	Sep-16
9	Sep-16	Oct-16
10	Jan-16	Dec-16
11	Sep-16	Oct-16

UNHCR expressly requested that all datasets relate to all households assessed **prior** to any selection for inclusion into assistance programmes, thus ensuring the use of unbiased datasets. UNHCR followed up with contributing partners to ensure compliance with this important instruction.

5.2 Standardization of data sets

The data sets provided by the contributing organizations presented understandable diversities in the types and categories of criteria collected. While all data sets contained the basic demographic data required for their comparison with ESSN targeting criteria, there was significant variability in the number, types and classifications of proxy indicators of socio-economic conditions, such as coping strategies, shelter conditions, school attendance, etc.

UNHCR data specialists initially worked on the demographic data, to generate demographic information against the ESSN criteria. They also proceeded to aggregate the available and comparable socio-economic data to the extent possible.

Example 1: to determine the financial status of the individual and compare it with the SE MEB[6] and poverty line as per available statistics, data on overall household wealth was required. This is usually determined through measure of income and/or expenditures. Out of the available data sets, those from six organizations and for a total of 27,000 households contained information on income, while data for five organizations and 25,000 households contained, instead, information on expenditures. While both income and expenditure data are important components of socio-

[6] The analysis refers here to the levels of MEB and SMEB defined in September 2016 by the CBI TWG, which were specifically tailored to the SE region, where the majority of the members of the CBI TWG operate.

economic vulnerability, they are affected by different degrees of accuracy and were therefore treated and analyzed separately.

Example 2: for shelter conditions, the requirement was to use the available information to verify how many households which meet the ESSN criteria reside in shelters that are not likely to currently be registered within the MERNIS database – a prerequisite to accessing the ESSN. Data from eight organizations and 50,000 households contained detailed information on shelter type, (i.e. temporary shelter, single apartment, shared accommodation, etc.), while those from six organizations and 31,000 households contained information on shelter conditions (poor, very poor, etc.). As the correlation between 'shelter conditions' and the likelihood of registration on MERNIS database is not sufficiently clear, 'shelter type' data was instead be used: it was posited that shelters falling under the categories of "tent or makeshift shelter", "substandard building", "single room", "commercial building" and "unfinished building" were unlikely to be registered within MERNIS, creating barriers or delays for eligible households seeking to apply to the ESSN.

Due to the quantity and nature of the data available – in particular, given that the datasets did not always speak to one another – several proposed aspects of analysis were not feasible:

- Analysis of the likelihood of eligibility against each ESSN criterion changing over time;
- Analysis of the proportion of assessed households that are registered but in a province other than their current province of current residence;
- Analysis of households who are not eligible to receive assistance under the ESSN but have no family member able to work due to physical/intellectual/cultural barriers or are acting as a carer, preventing work;
- Number and proportion of households with no adult males that are not able to access basic needs assistance through the ESSN.

When considering the analysis which was undertaken, it is also important to note that the largest proportion data was collected in southeastern Turkey. In addition, it is important to note that certain aspects of the circumstances of refugees in Turkey may have changed somewhat since the data was collected – for example, when it comes to registration with DGMM.

6. Results, Verification of proportion of households eligible to receive basic needs assistance under the ESSN according to the demographic targeting criteria

6.1 Proportions of assessed households eligible against the ESSN criteria vs. not eligible under one or more criteria

Datasets from 10 organizations, for a total of 122,000 households, had sufficient demographic data for the verification of their inclusion in or exclusion from the ESSN. The analysis shows that 40 per cent of households would be eligible to receive ESSN assistance under the current targeting criteria, while 60 per cent would not.

Note: for the criterion "Two disabled members in the household: Any two members of household are disabled", the degree of disability was NOT available within the datasets. The analysis therefore assumed that ALL of the reported cases meet the 40 per cent threshold of the ESSN. The consequence is that the analysis likely overestimates the actual percentage of households eligible according to this criterion.

The ESSN inclusion rate was disaggregated by region, province, and province with a focus on southeastern Turkey, as well as by organization and by nationality. All the graphs show some geographical variation in eligibility rates. Variations of inclusion rates among provinces and regions reflects variations in eligibility criteria relating to family size and number of disable people.

Data under Figure 2: "ESSN HHs inclusion rates by Region" appears to show lower eligibility rates among households residing in provinces with a higher cost of living, such as Central Anatolia (Ankara) and Istanbul. This might reflect the choice of larger households, which in turn have higher dependency ratios (and, on this basis, are eligible for the ESSN), to settle in or move internally to areas with a lower cost of living.

Figure 2: ESSN household inclusion rates by Region

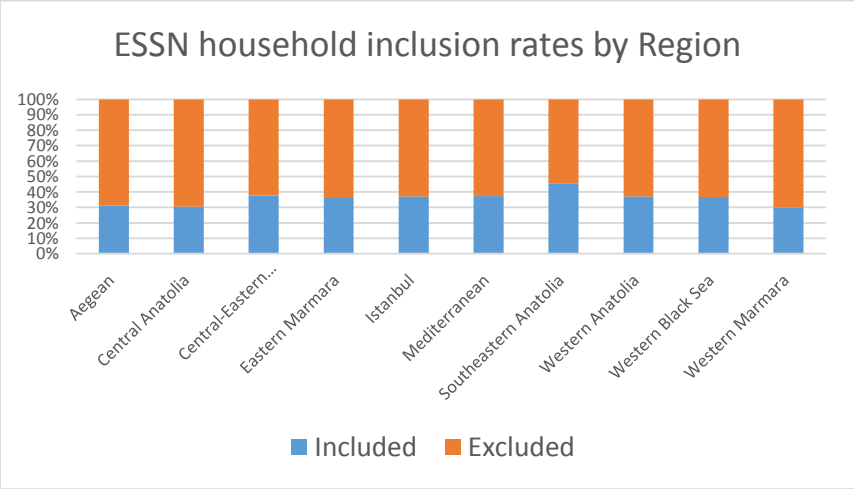


Figure 3: "ESSN household inclusion rates by Province" shows the same figures, disaggregated by province, for all provinces with at least 500 respondents / households in the data sets.

Figure 4 'ESSN HHs inclusion rates by Province, South East region" sets out the same data for all provinces in the SE Anatolia region, which is where a large number of humanitarian actors are focusing the majority of their operations.

Figure 3: ESSN HHs inclusion rates by Province (all provinces with 500+ respondents)

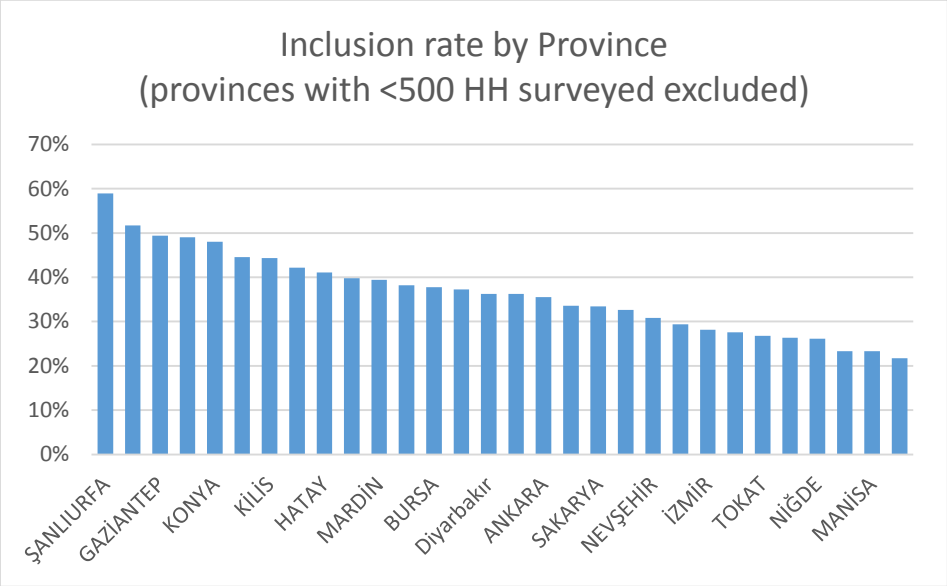


Figure 4: ESSN HHs inclusion rates by Province, South East Anatolia Region

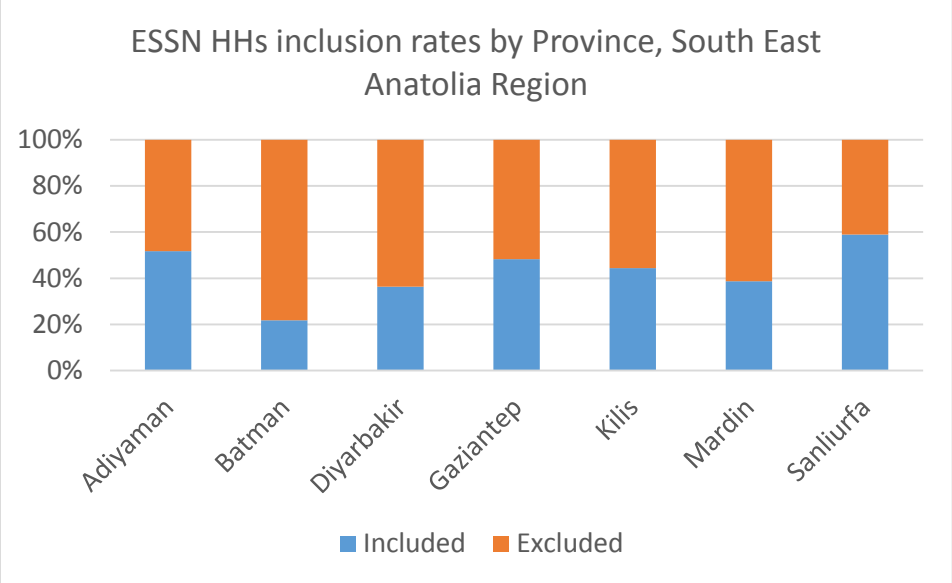
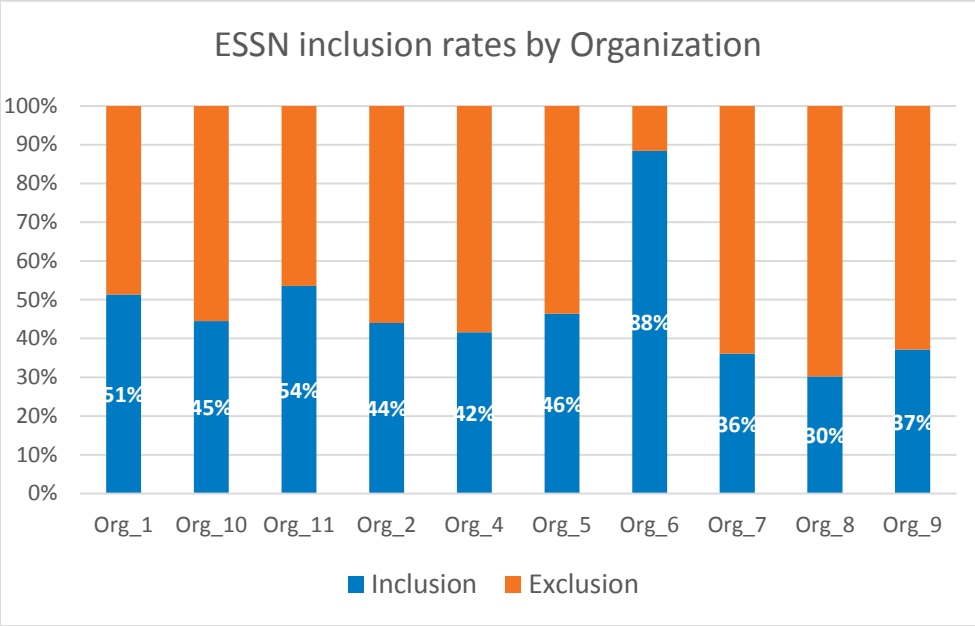


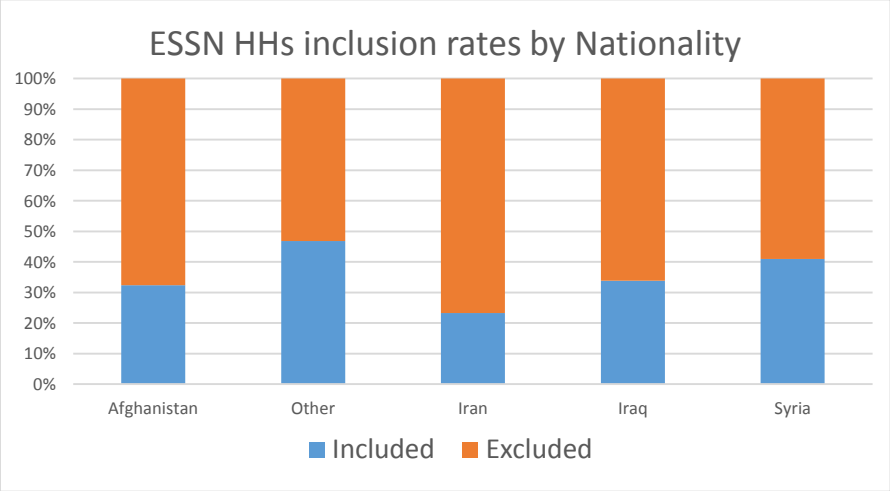
Table 5: "ESSN HHs inclusion rates by Organization" shows the variation in eligibility rates among the different partners' datasets. It should be noted that Organization No. 5 corresponds to a very small dataset (1149 households).

Figure 5: ESSN household inclusion rates by Organization



Further disaggregation is available under Figure 6 “ESSN household inclusion rates by Nationality”. As per variations in geographical distribution, variations in eligibility rates by nationality should be considered given that this analysis later illustrates unmet basic needs among households which are not eligible to receive ESSN assistance.

Figure 6: ESSN HHs inclusion rates by Nationality

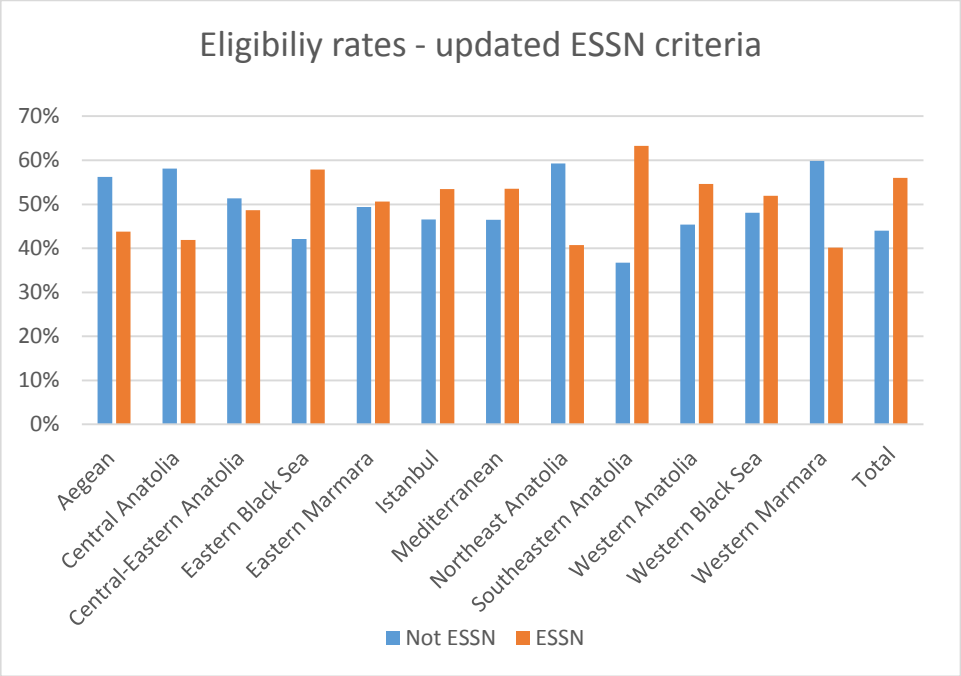


Under the "Other" category included in Figure 6, above, the data sets included data from the following nationalities: Myanmar, Pakistan, Sudan, Syria, Uganda, Yemen, Afghanistan, Somalia, Kuwait, Congo, Iraq, Morocco, Palestine, Iran, Lebanon, Egypt and Tunisia.

6.2 Considerations over updated selection criteria

According to the data available, the application of the expanded selection criteria would lead to a substantial increase in the proportion of households which are eligible for the ESSN, leading to an overall eligibility rate of 56 per cent, against an earlier eligibility rate of 40 per cent. This increase is mostly due to increased eligibility of households with two adults and three children to the ESSN under the revised criteria, which include households with dependency ratio equal to (rather than greater than) 1.5. Specifically, following the planned revision, over 12,500 additional households represented in the dataset will be eligible for the ESSN under this criterion alone. The updated inclusion and exclusion rates by region are reported under Figure 7: "Application of revised ESSN targeting criteria per region". There appears, in particular, to be a major increase in eligibility rates in southeastern Turkey.

Figure 7: Application of revised ESSN targeting criteria per region



6.3 General HH profile

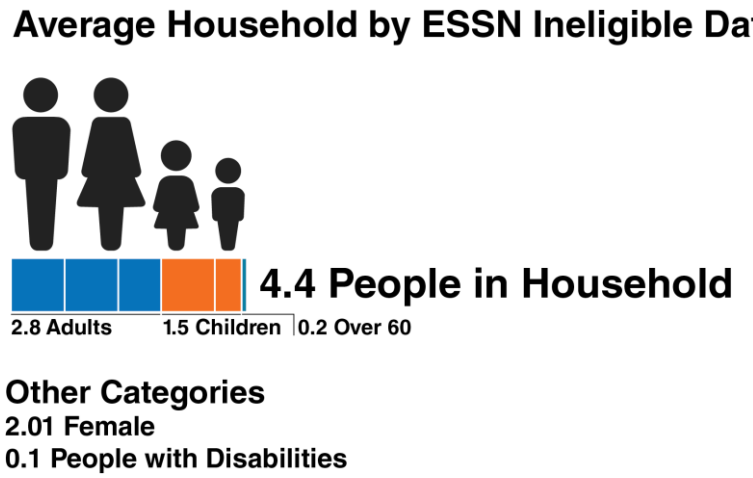
An analysis was then performed on profiles of households, divided into those who are eligible to receive assistance under the ESSN and those who are not eligible to receive assistance under the ESSN. The ESSN uses demographic targeting criteria which preference households which have a

higher dependency ratio, including households with an elderly member(s). The analysis indeed illustrated that households eligible to the ESSN comprise 6.3 people on average: 2.2 adults and 3.9 children, with 0.2 people over 60, 0.3 people with disabilities and 3.22 females. Meanwhile, households represented in the dataset which are not eligible to the ESSN comprise 4.3 people on average: 2.8 adults and 1.5 children, with 0.1 people over 60, 0.1 people with disabilities, and 2.01 females. This is illustrated under Figure 8: "Household profile, all data" and Figure 9: "Household profile, ESSN eligible vs. ESSN illegible households".

The same analysis was not performed against the revised ESSN targeting criteria, but it is anticipated that the new criteria will reduce the average size of ESSN eligible households.

Figure 8: Household profile, all data

Figure 9: Household profile, ESSN eligible vs. ESSN ineligible HHs



Average Household by ESSN Eligible Data

6.3 People in Household

2.5 Adults 3.9 Children 0.2 Over 60

Other Categories
3.22 Female
0.3 People with Disabilities

6.4 Proportion qualifying for the ESSN, under each criterion

In accordance with its ToRs, this analysis sought to consider how many households which are eligible to receive basic needs assistance under the ESSN are eligible under one criterion only. The disability criterion was considered of primary interest, given the prevailing practical challenges to obtaining disability health reports from State hospitals, a requirement under the ESSN. As stated earlier, the ESSN targeting criterion related to disabilities is currently: "Two disabled members in the household: any two members of the household with a disability health report verifying at least 40 per cent disability (this level of disability is consistent with the national system)". Under the revised criteria which have been proposed, households with one disabled member with a degree of disability of 40 per cent or more will be eligible to the ESSN.

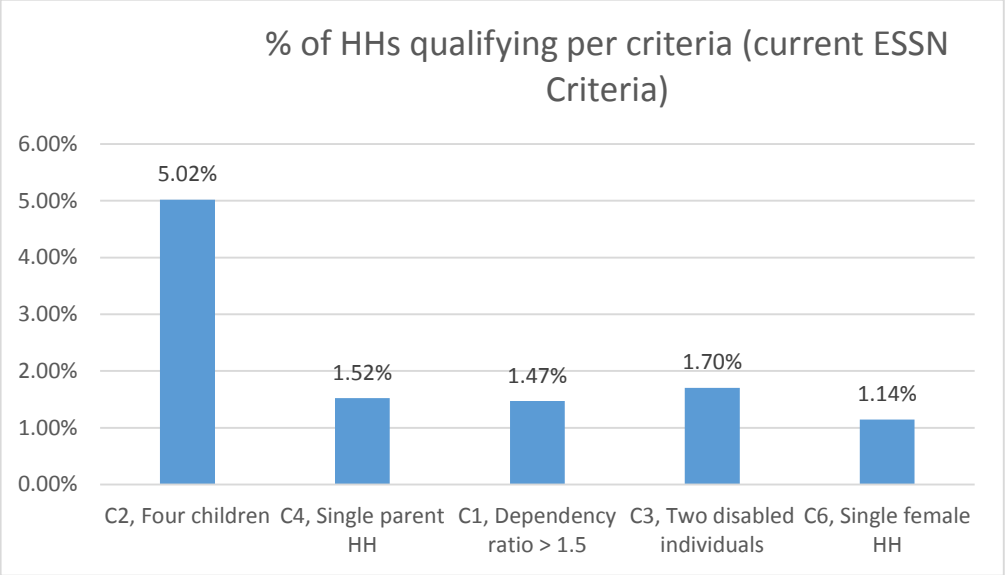
In total, 1.70 per cent of households presented at least two members with a disability. The results are set out under Figure 10 a.: "HHs inclusion rates – HHs qualifying for one criteria only".

Anecdotal indications from members of the Cash-Based Interventions Technical Working Group show that a limited number of these households has obtained a disability health report.

Note: As above however, the degree of disability was NOT available within the datasets. In the analysis, it was therefore assumed that all reported cases would meet the 40 per cent threshold, which inevitably leads to an overestimation of the actual percentage who are eligible to the ESSN under this criterion.

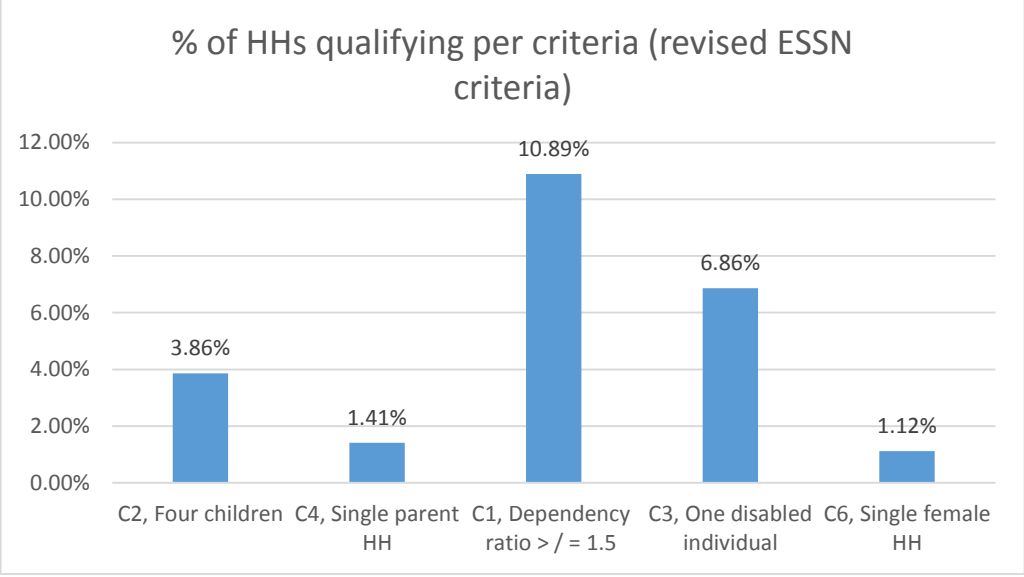
Notwithstanding this important caveat, the findings do underscore the importance of providing adequate information and support to refugees seeking to obtain disability health reports -- a prerequisite to accessing the ESSN under the disability criterion. Even though, in principle, disability health reports should be provided free of charge at designated State hospitals, anecdotal evidence points toward challenges to obtaining them in a timely manner and to accessory costs (transport, accommodation, language barriers, etc.). For further information on these barriers and associated recommendations to facilitate access to disability health reports, please see the PRT WG survey and analysis specifically on this topic.

Figure 10.a: Household inclusion rates – Households eligible to the ESSN under one criteria only



Upon application of the revised selection criteria, the data under graph under Figure 10.a would change to the values reported under Figure 10.b. Notably, the number of households qualifying for the ESSN under the disability criterion would increase from 1.7 per cent to 6.8 per cent of the total households represented in the data sets, further underscoring the importance of providing adequate information and support to refugees seeking to obtain disability health reports

Figure 10.b: Household inclusion rates – Households eligible to the ESSN under one criteria only



6.5 Proportion of households who are registered and not registered (in general for whole dataset and disaggregated for ESSN eligible/ineligible)

In order to apply for the ESSN, households need to present their ID ("Kimlik") cards, which are issued following their registration with the Directorate General of Migration Management (DGMM). Registered individuals will typically hold either a 98 or a 99 Kimlik number; although a 99 number is needed to apply for the ESSN, converting a 98 to a 99 number online should be rather straightforward when the registration process has been completed.[7] Meanwhile however, pre-registered and unregistered individuals and households will not have an ID number or card, and must therefore register with DGMM before applying to the ESSN -- resulting in variable but significant delays.

The data from six organizations, for a total of 76,000 households, contained sufficient information on the percentage of non-registered households as opposed to registered households with a 98 or 99 "Kimlik" number and/or card. The data sets of these six organizations were collected in the second half of the year 2016.

Overall, at least 2.8 per cent of households which are eligible for the ESSN did not appear to be registered or pre-registered at the time of the collection of the data, as opposed to at least 1.6 per cent of households which are not eligible for the ESSN. The results of the analysis are summarized under Figure 11: 'Eligible for ESSN: Registration status' and Figure 12: 'Non Eligible for ESSN: Registration.

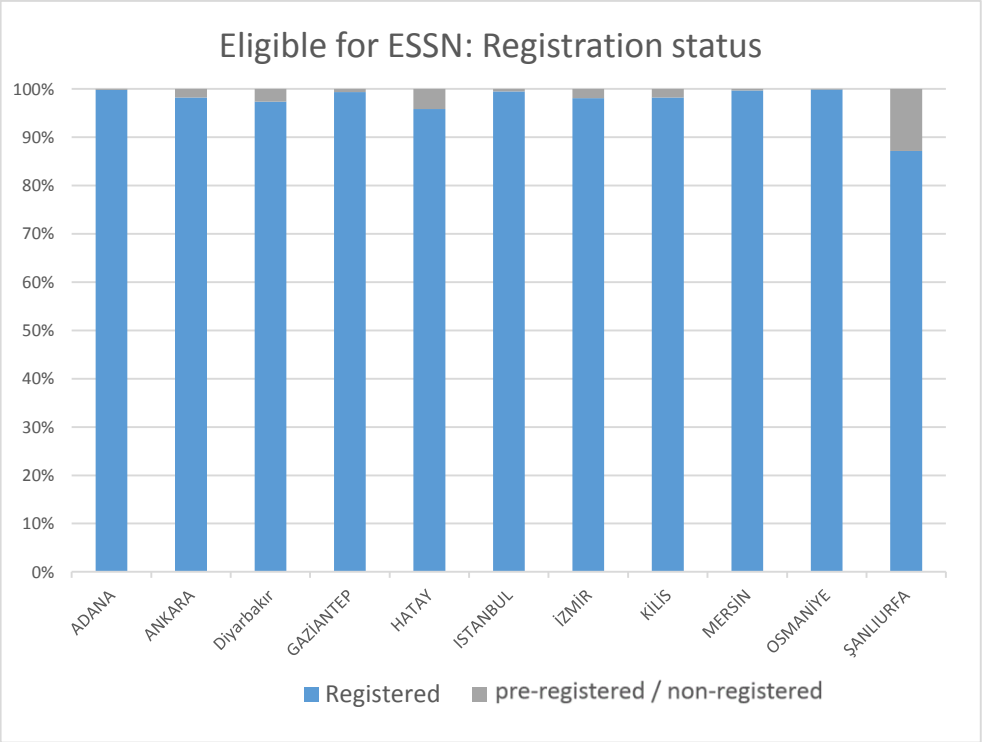
Notably however, it is recognized that the actual percentage who have not completed their registration with DGMM is likely *considerably* higher than this analysis indicates. This is firstly because it was not possible to determine what proportion of households reflected in the dataset holding a 98 "Kimlik" are pre-registered (i.e. have not completed the registration process) and what proportion have completed the process. In Figures 11 and 12, refugees with a 98 ID number are grouped together with those holding 99 ID numbers, but this paints a misleading picture, as not all of those with 98 IDs will have completed their registration. Indeed, members of the CBI-TWG suggested that, at least in SE Turkey, the number of households who are unregistered and pre-registered are considerably higher that what indicated in the data sets.

CBI-TWG members highlighted other reasons that this data may not fully represent the total number of unregistered refugees in Turkey. For example, it has been noted that it might be linked to difficulties in extending assistance to unregistered beneficiaries in the first place (and thus unregistered households are underrepresented in the original dataset). In addition, due to limitations in the data available, the analysis was unable to: i) estimate the significant numbers that have registered in a province other than their area of current residence and are therefore unable to apply for the ESSN until registering locally; and ii) estimate households which have some registered members and some unregistered members, and may therefore have been unable to

[7] CBI-TWG members reported that, in practice, refugees seeking to convert their 98 to 99 ID numbers online may face some obstacles and delays.

include their complete household composition on their ESSN application – in some cases, impacting upon the assessment of eligibility.

Figure 11. Eligible for ESSN: Registration status[8]



[8] Registration status for the ten provinces with the highest number of households in the data sets available - 20,700 HHs, of which an average of 97.23 per cent were registered. Data: 6 organization, 76,000 HHs

Figure 12. Non Eligible for ESSN: Registration status[9]

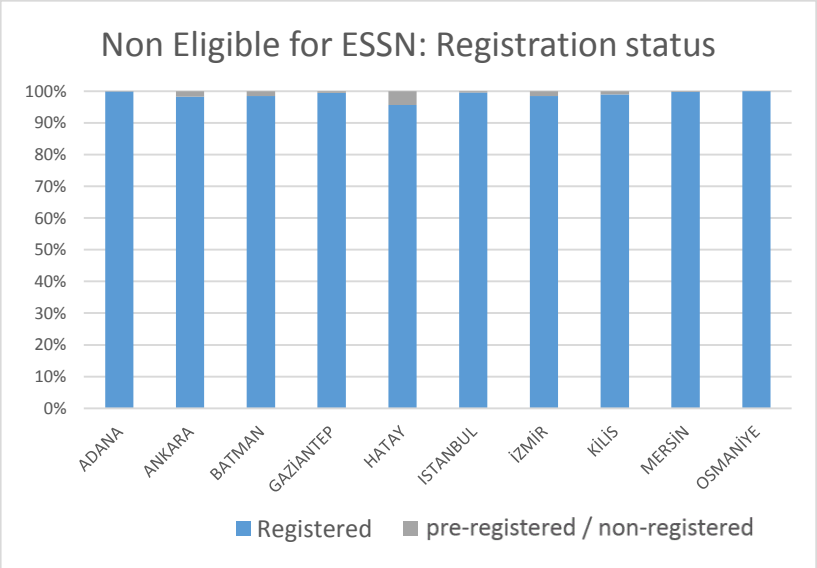
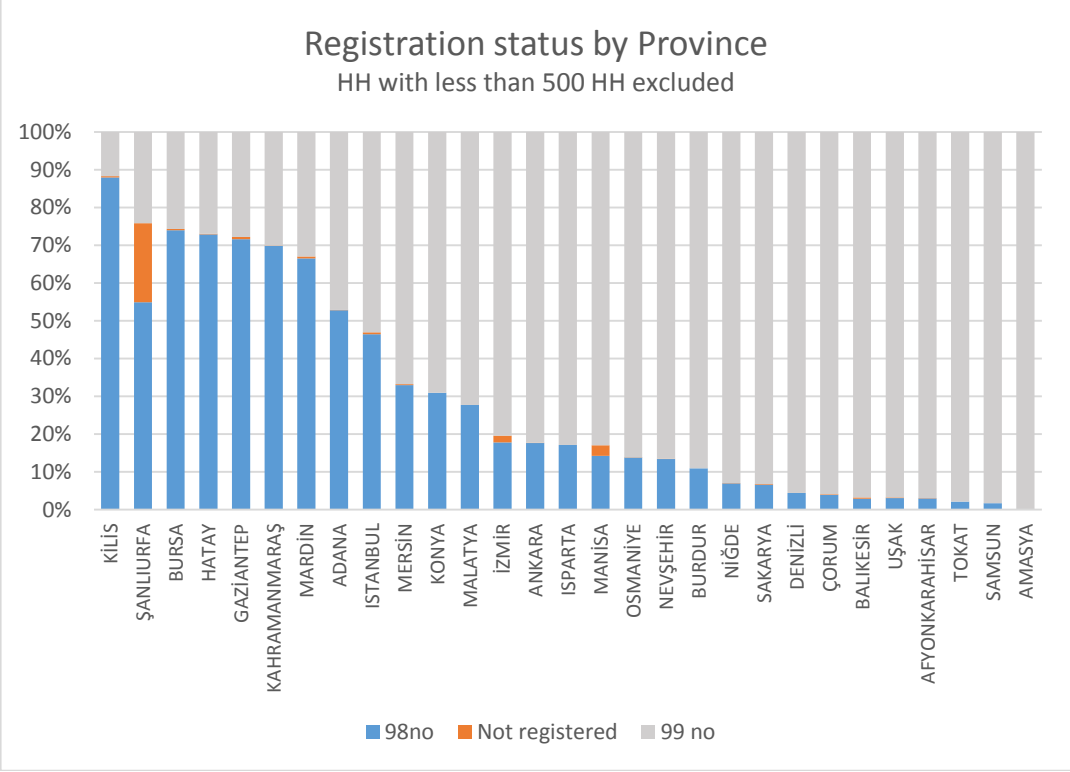


Figure 13: "Registration status for all provinces" shows the data on registration status by province. Data sets with less than 500 HHs per province are excluded from this graph

Fig. 13: Registration status for all provinces (all provinces with at least 500 HHs respondents)



[9] Registration status for the ten provinces with the highest number of households in the data sets available - 29,800 HHs in total, of which an average of 98.39 per cent registered. Data: 6 organization, 76,000 HHs

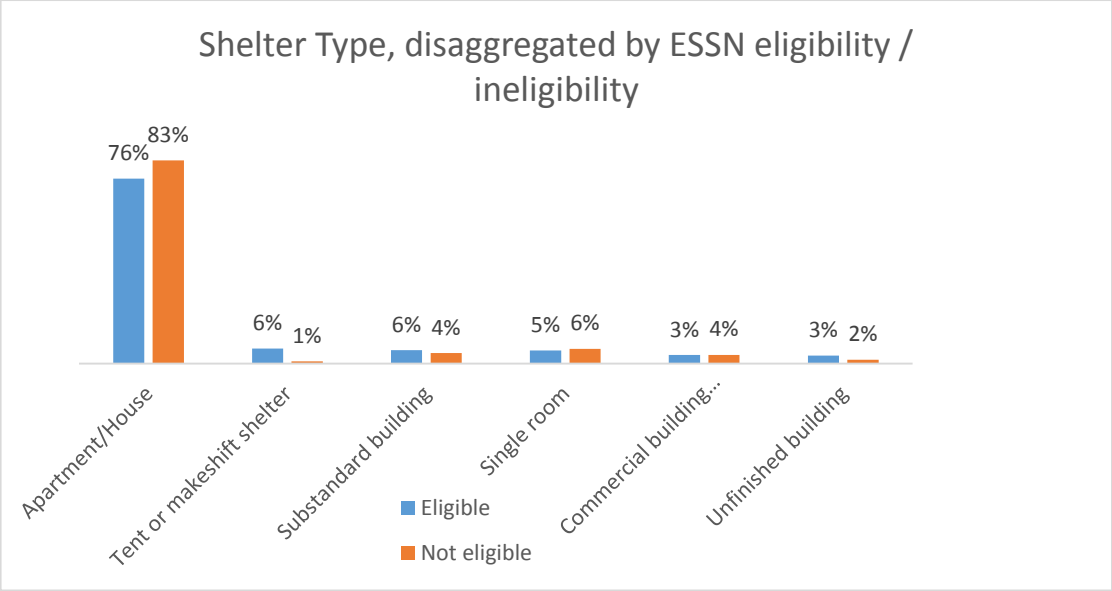
6.6 Analysis of the shelter types as this links to the ability to register in the MERNIS database (ESSN eligible/ineligible), estimate of HHs with inadequate shelter conditions.

Data sets for eight organizations, for a total of 50,000 households, contained information on the type of shelter occupied (Figure 14: "Shelter type: Disaggregated according to ESSN eligibility/ineligibility), while data sets for five organizations, for a total of 31,000 households, contained information over the quality of the shelter (Figure 15: "Shelter conditions: Disaggregated according to ESSN eligibility/ineligibility"); some data sets contained both types of data. It is important to acknowledge here that currently, in Turkey, assessments of shelter quality are highly subjective, while reports of shelter type also carry an element of subjectivity, with different understandings of and overlaps between categories (e.g. "apartment", "single room", and "substandard building"). Nonetheless, this data is considered worth including as it illustrates potential vulnerability among households which may not be eligible to receive basic needs assistance under the ESSN.

The analysis of the data relative to the type of shelter indicates that 23 per cent of households eligible for the ESSN under current criteria reside in shelters that often cannot be registered within the MERNIS data base in a straightforward manner (i.e. are within the categories: "tent or makeshift shelter", "substandard building", "single room", "commercial building" or "unfinished building"). Given the impact that this will have on the ease and possibility of registration on the MERNIS database, a pre-requisite to lodging an ESSN application, this underscores the need for advocacy and the provision of support to refugees to enable civil registration and/or to explore alternative ways to ensure basic needs assistance reaches vulnerable families which are unable to register and/or face significant delays in registration.

The correlation between shelter quality and ease and potential of registration on the MERNIS database in not clear. The data are presented under Figure 15: "ESSN eligible and ineligible households, shelter conditions".

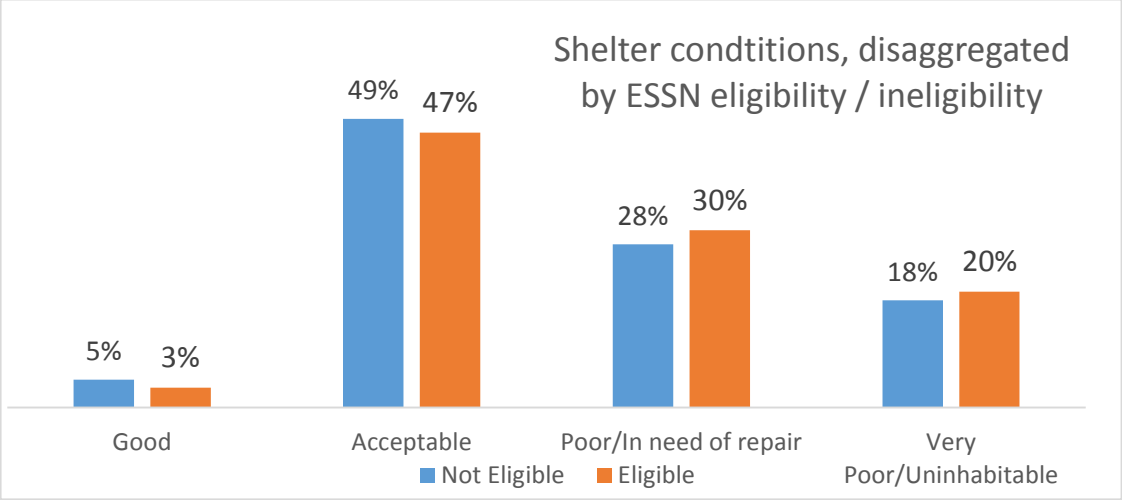
Figure 14: Shelter type: Disaggregated according to ESSN eligibility/ineligibility (Data: 8 organizations, 50,000 households)



Notably, this analysis also points to the widespread prevalence of inadequate shelter conditions among the refugee population – an issue which demands the dedicated attention and support of basic needs actors and donors. With IOM as lead, the basic needs sector is now planning to roll out a dedicated Shelter/WASH survey, to include recommendations on needs and programming priorities. It is expected that the initial findings will be available in September.

Importantly, assuming that shelter type and shelter conditions are proxy indicators for socio-economic circumstances, the data indicates that a significant number of households which are not eligible for the ESSN may still require assistance to meet their basic needs (in turn, helping to mitigate their exposure to protection issues).

Figure 15: **Shelter conditions:** Disaggregated according to ESSN eligibility/ineligibility (Data: 6 organizations, 31,000 households)



6.7 Proportion of households who are pre-registered

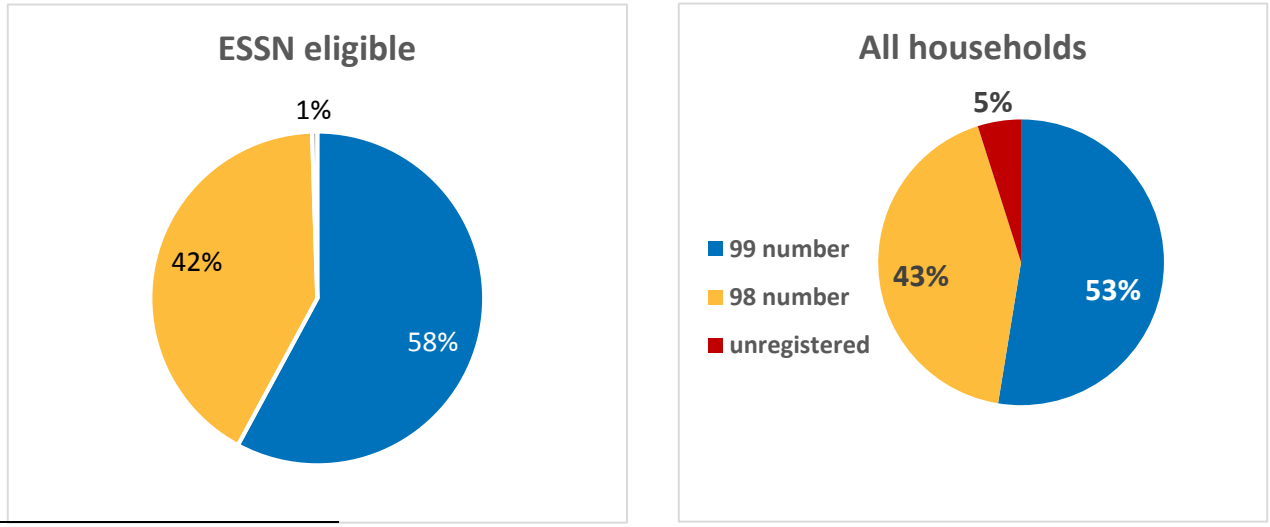
According to the latest ESSN FAQs available to all partners, access to the ESSN "requires that all family members included on the ESSN application must have a valid Directorate General of Migration Management (DGMM) ID card with an ID number starting 99".

Two datasets, holding data for over 75,000 households, contain information on registration ("Kimlik") numbers. These two datasets were compiled in November 2016 and February 2017.

The data show that 42 per cent of households which are eligible for the ESSN (almost 42 per cent) hold a 98 ID number and 58 per cent hold a 99 ID number. Around one per cent are not registered. Unfortunately however, and as touched upon above, this data may not provide significant insight into barriers to accessing the ESSN because it is not possible to determine which of those who have a 98 ID number have completed their registration, but do not have a 99 number on the ID card, and which of those who have a 98 ID number do so because they have not completed their registration with DGMM. All of those who have completed their registration can access a 99 number online[10] through what is a relatively quick and straightforward process, whereas those who have not completed their registration may face more lengthy delays.

It is also worth noting that since the data for this analysis was collected, new regulations have been introduced: in particular, as of January 2017, DGMM automatically completes full registration of pre-registered applicants whose security clearance is not granted within a 30 day waiting period. Despite some delays and backlog, the new guidelines should in principle help to mitigate this barrier to assistance (including, but not limited to, the ESSN).

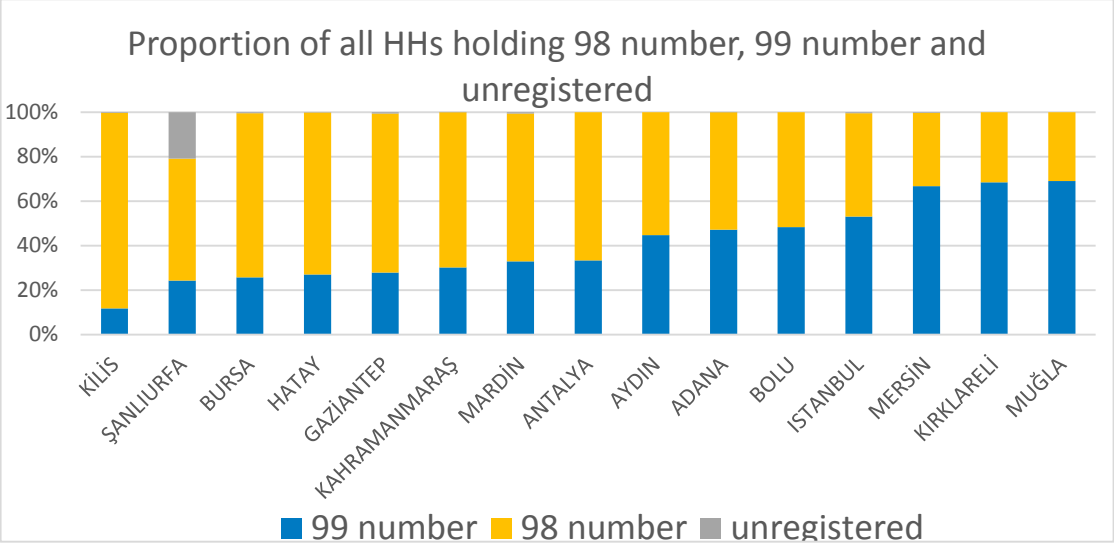
Figure 16: Proportion of all HHs holding 98 number, 99 number and unregistered: All HH vs. HHs Eligible under the ESSN (Data: 2 organizations, 75,000 households).



[10] http://www.goc.gov.tr/gecicikoruma/Pages/YabanciKimlikSorgulama.aspx

Data summarized under Figure 17, "Proportion of all households holding a 98 ID number, 99 ID number, and unregistered", shows the proportion of households holding a 98 ID number, 99 ID number, and unregistered; unfortunately, it is not possible to extrapolate from the data the total percentage who are registered, pre-registered, and unregistered. The data is organized by province: as per other data in this report, this analysis shows the existence of a strong geographical differentiation – possibly linked to the number of refugees present in a given province vs. the availability of services to support their registration.

Fig 17. Proportion of all HHs holding 98 number, 99 number and unregistered, by province (top 15 provinces in terms of HHs numbers present in the data set)



6.8 Analysis of the likelihood of eligibility against each criterion changing over time and proportion of HHs that are registered but in a province other than their current residence one

This analysis was not feasible given the nature and type of data sets available for analysis.

7. Profile of HHs falling outside the ESSN

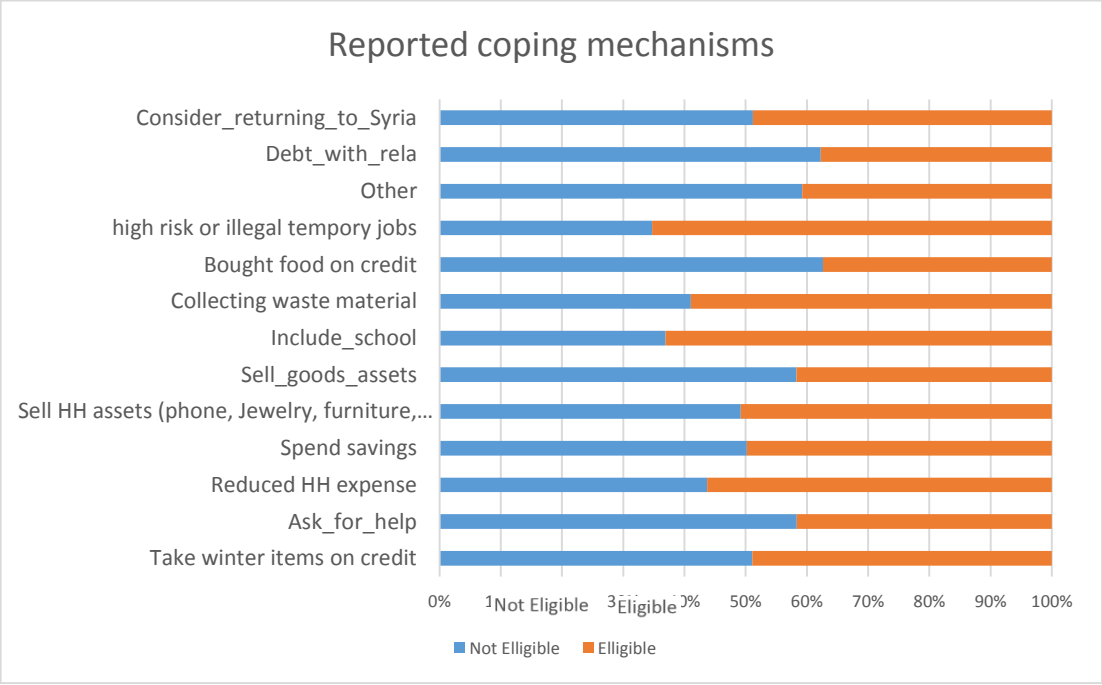
7.1 Analysis of proportion of households resorting to negative coping mechanisms - including debt/borrowing, food coping strategies, etc.

Data from three Organizations, for a total of 21,000 households, contained sufficient information to analyze coping mechanisms. Considering the different terminology used by the three

organizations in question however, the data could not be aggregated - the table therefore provides all of the entries for coping mechanisms presented in the respective data sets, with no grouping. Data set out in Figure 18: "Reported coping mechanisms" illustrates the prevalence of coping mechanisms among households which are eligible to receive basic needs assistance under the ESSN compared to households which are not eligible to receive basic needs assistance under the ESSN. Figure 19: "Reported coping mechanisms, child labor and out of school children" provides data on other potential coping mechanisms (i.e. child labor and keeping children home from school). The analysis of data shows that quite some variability exists in the prevalence of different coping mechanisms. However, the way the individual copying mechanisms are linked to the actual ESSN targeting criteria is complex and cannot be analyzed in this report.

At the same time, some qualitative estimates can be done. A close analysis of the data reported in Figure 18 shows that there are similar proportions or a greater proportion of ESSN ineligible households reporting at least four types of coping mechanisms ("Debt with relatives", "Bought food for credit", "Sell goods or assets" and "Ask for help"), indicating that there are families who require support to meet their basic needs but are not eligible to receive assistance under the ESSN. A large number of households represented in the dataset who are eligible to the ESSN employed negative coping mechanisms, with percentages ranging from around 49 per cent ("Consider returning to Syria") to over 62 per cent (taking over "High risk or illegal temporary jobs"). However, the analysis also indicated that large number of households which are not eligible to the ESSN are employing negative coping mechanisms, with over 60 per cent reporting to have bought food on credit or borrowed money from relatives.

Fig. 18: Reported coping mechanisms. (Data: 3 organizations, 21,000 HHs. The entry 'Include school' stands for 'Include school aged children in income generation activities')

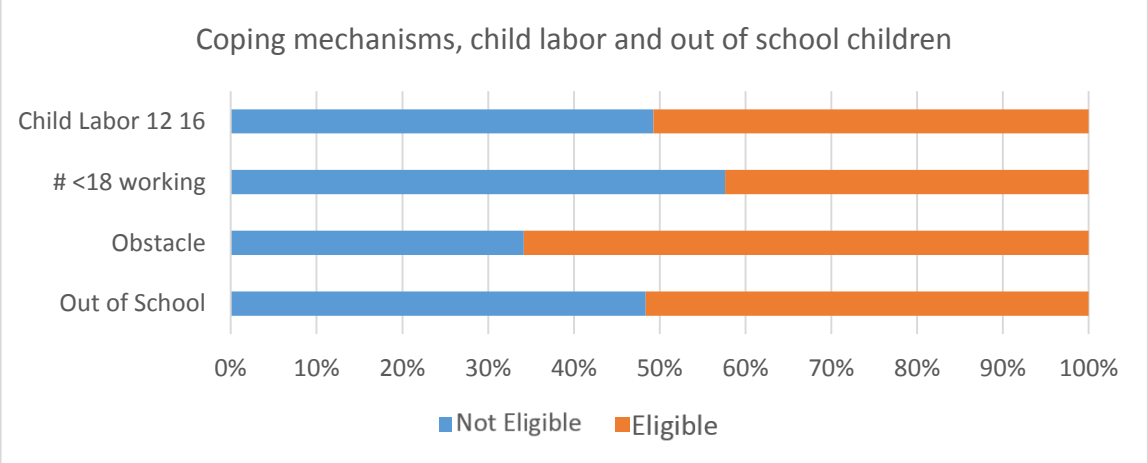


The key take away is that both ESSN eligible and ESSN ineligible households included in the analysis employed negative coping mechanisms; no doubt, after multiple years of displacement, a large number of families have exhausted their initial resources and vulnerability is widespread. In this context, and given that demographic criteria does not always predict socio-economic vulnerability, there is a need for basic needs actors to consider ways to assist vulnerable refugee households who may not be eligible for the ESSN, but are employing negative coping mechanisms in an effort to meet their basic needs.

An analysis of the data of coping mechanisms related to school attendance and child labor are reported under Fig. 19: "Reported coping mechanisms, child labor and out of school children". Here, the data indicates that over half of households which are not eligible to receive basic needs assistance under the ESSN have a child or children < 18 working, but, assuming that child labor is a proxy indicator of vulnerability, these households may indeed require basic needs assistance. The other three indicators available show a positive relationship with the ESSN targeting criteria.

Importantly, both Figure 18 and 19 indicate that there are a significant number of households which are not eligible to receive basic needs assistance under the ESSN's targeting criteria but may still require support to meet their basic needs.

Fig. 19: Reported coping mechanisms, child labor and out of school children. (7 Organizations, 7,000 HHs. Some data sets indicated child labor as the one of children between the age of 12 and 16. Other organizations as the one of children below 18 years. The entry 'Obstacle' stands for HHs stating significant obstacles to school attendance, resulting in out-of-school children.)



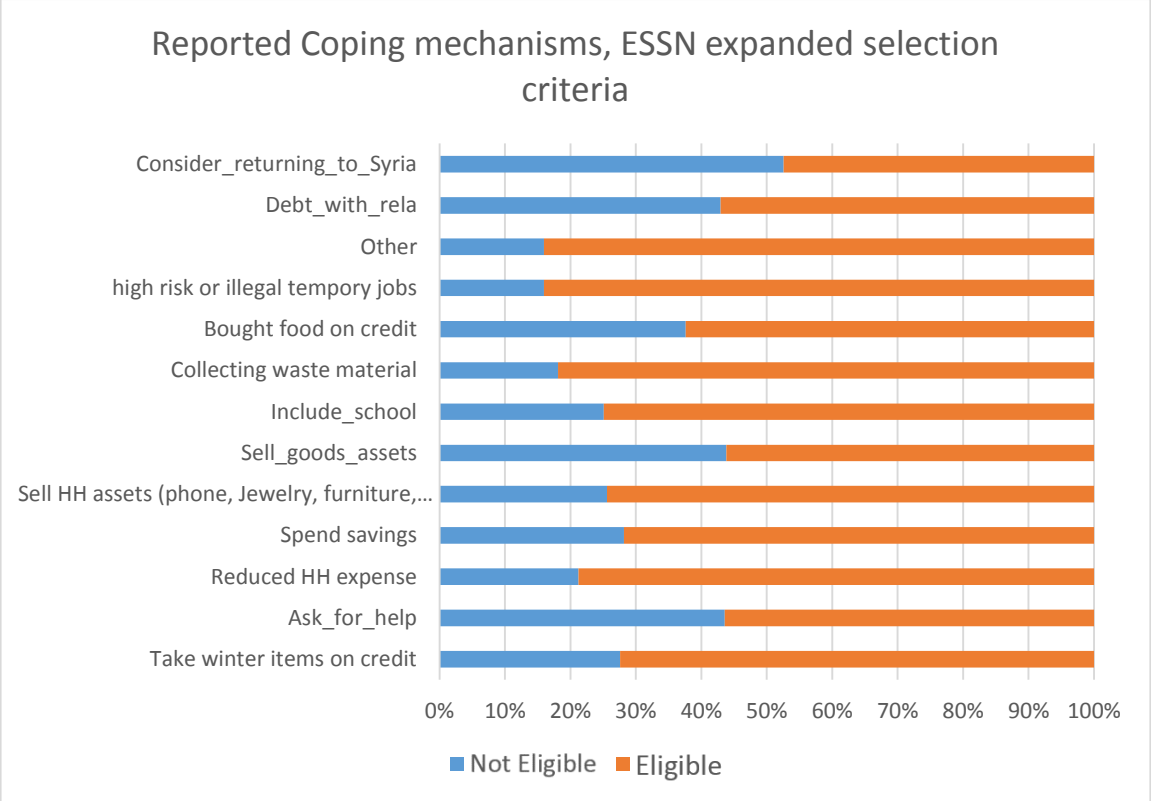
7.2 Application of the revised ESSN targeting criteria

The application of the revised targeting criteria would influence the reported coping mechanisms as reported under Figure 20. While a wide variability persists across the various type of coping mechanisms, the following can be observed:

The coping mechanisms of "Debt with relatives", "bought food on credit", "sell goods or assets" and "ask for help" roughly fall within a 56/58% inclusion rate, as per inclusion rate of revised ESSN targeting criteria. These indicators behaved similarly under the current ESSN selection criteria – see Figure 18. The class "consider returning to Syria" seems to now be negatively correlated with the ESSN selection criteria, while the rest of the negative coping mechanisms appear to be positively correlated to the ESSN selection criteria, as under the earlier analysis for the current selection criteria.

Also here, the data show that HHs falling outside the ESSN selection criteria will retain a considerable incidence of negative coping mechanisms.

Fig. 20: reported coping mechanisms, child labor and out of school children, under ESSN expanded selection criteria. 7 Organizations, 7,000 HHs. Some data sets indicated child labor as the one of children between the age of 12 and 16. Other organizations as the one of children below 18 years. The entry 'Obstacle' stands for HHs stating significant obstacles to school attendance, resulting in out-of-school children.



7.3 Comparison of the monthly expenditure and/or income with the MEB and other poverty indicators

To determine the financial status of refugee households and compare it with MEB and/or Poverty line, data on overall household wealth was required. This was determined through a measure of income and/or expenditures.

Out of the available datasets, those from six organizations and for a total of 27,000 households contained information on income, while data for five organizations and 25,000 households contained, instead, information of expenditure. While both income and expenditure data are indicators of the overall socio-economic vulnerability of a household, they are affected by different degrees of accuracy and were therefore treated and analyzed separately. As a general consideration, income levels gathered through household interviews suffer from underestimates, while expenditures tend to be more accurate and thus provide a better estimate of financial status. It is not the place here to discuss the relationships between these two indicators, but this general rule will help in understanding the figures reported in this section.

Fig. 21: "Average Monthly Household Spending per HH (In TL)", illustrates the reported monthly household expenditures. The differences in total household spending between households which are eligible to receive basic needs assistance under the ESSN and households which are not eligible to receive basic needs assistance under the ESSN is relatively limited – though eligible households, on average, report higher household expenditure than non-eligible HHs. This is likely due to the larger size, on average, of households eligible for the ESSN.

Fig. 22: "Average Monthly Household Spending per person, in TL" illustrates the average Monthly Household Spending per person. The graph shows that individuals in households eligible for the ESSN have a lower expenditure per person than those in households which are not eligible for the ESSN. When analyzing the income per adult, it appears that this differential in expenditure per family member is due to the different family sizes: as ESSN families tend to be larger (due to the dependency ratio criterion), available household income is divided among a higher number of individuals.

This said, comparing average monthly spending per person against the southeast Turkey Minimum Expenditure Basket (MEB) and Survival Minimum Expenditure Basket (SMEB) (Fig. 22: Average Monthly Spending per person) shows that while the expenditures of both eligible and non-eligible households are above the SMEB, both groups are close to falling below the SMEB and fall below the MEB.

Extrapolating from the available data, and given that the ESSN transfer amounts to 100 TL/person/month, the ESSN programme will, on average, push eligible households who are successful in accessing assistance above the MEB threshold while, at the same time, on average, households which are not eligible for the ESSN will remain below the MEB and the absolute

poverty line. For ease of comparison, Fig. 22 also illustrates the national poverty line and the absolute poverty line, based on 2016 TurksStat data.[11]

Fig. 21: Average Monthly Spending per HH (In TL) (Data: 8 organizations, 61,000 households).

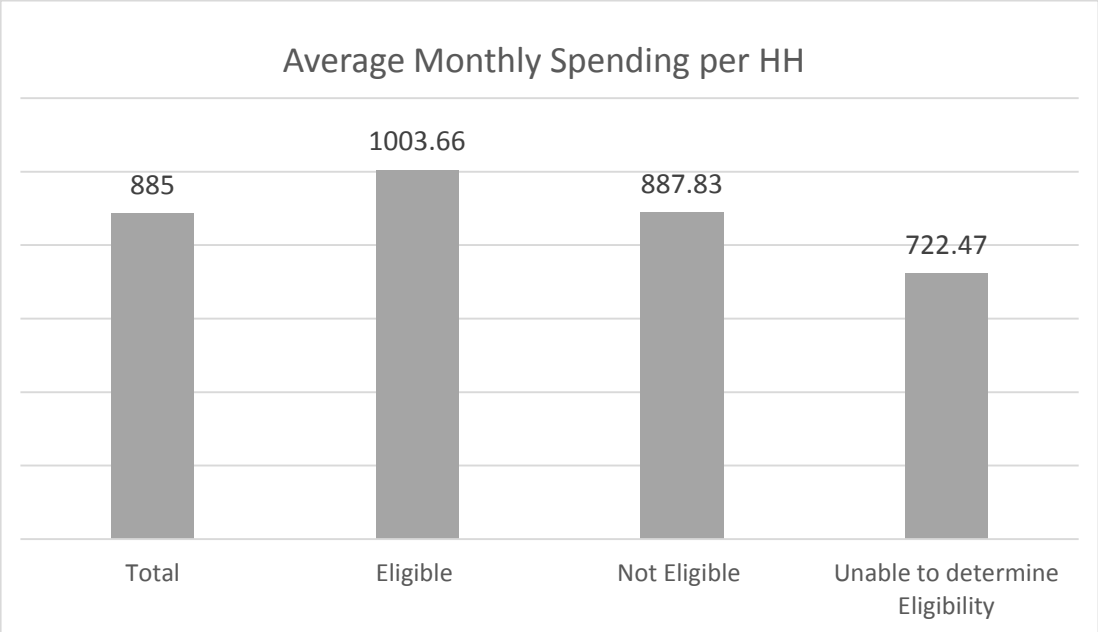
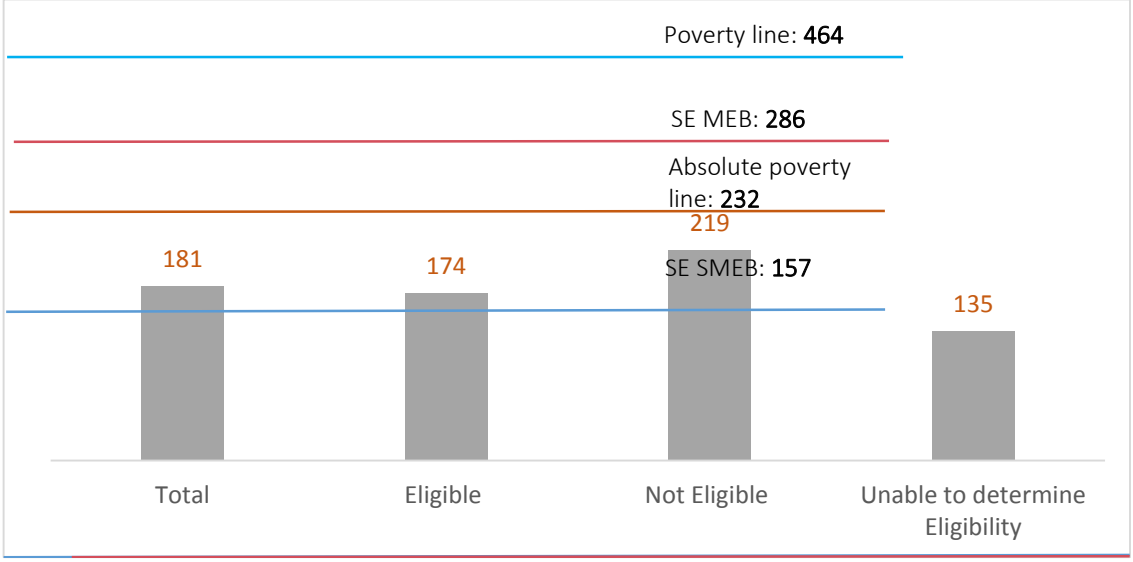


Fig. 22: Average Monthly Spending per person (In TL). (Data: 8 organizations, 61,000 households.)



[11] The CBI-TWG defined the MEB and SMEB referred to in this report in September 2016. Both tools were specifically tailored to the SE region, where the majority of the members of the CBI TWG operate. Turkstat reported the data related to the national poverty line and the absolute poverty line in 2016 in USD; in order to report their values in TL, we have used the current exchange rate USD/TL for the month of April 2017 (3.6).

For a comparison of spending data by region per person, please refer to Fig. 23: "Average Monthly Household Spending per person by Region".

Fig 23: Average Monthly Spending per person by Region (TL). (Data: 8 organizations, 61,000 households.)

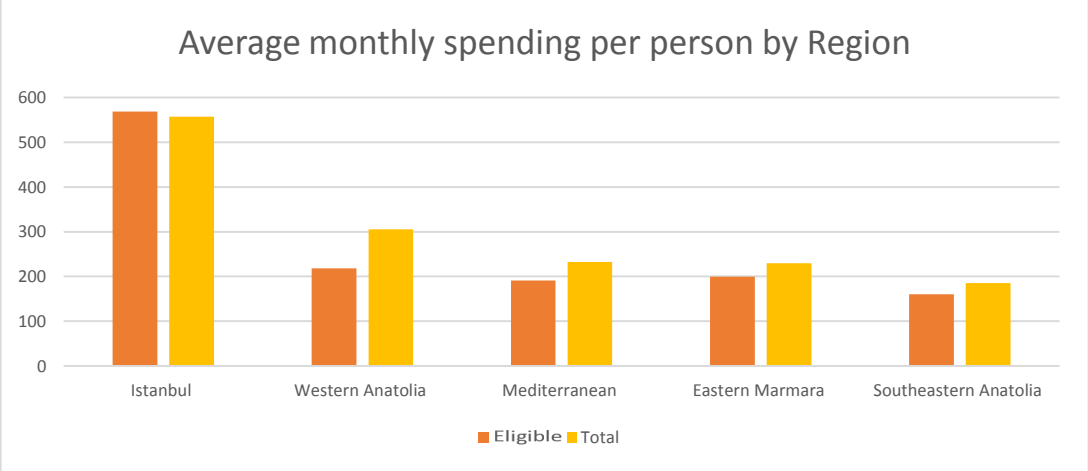
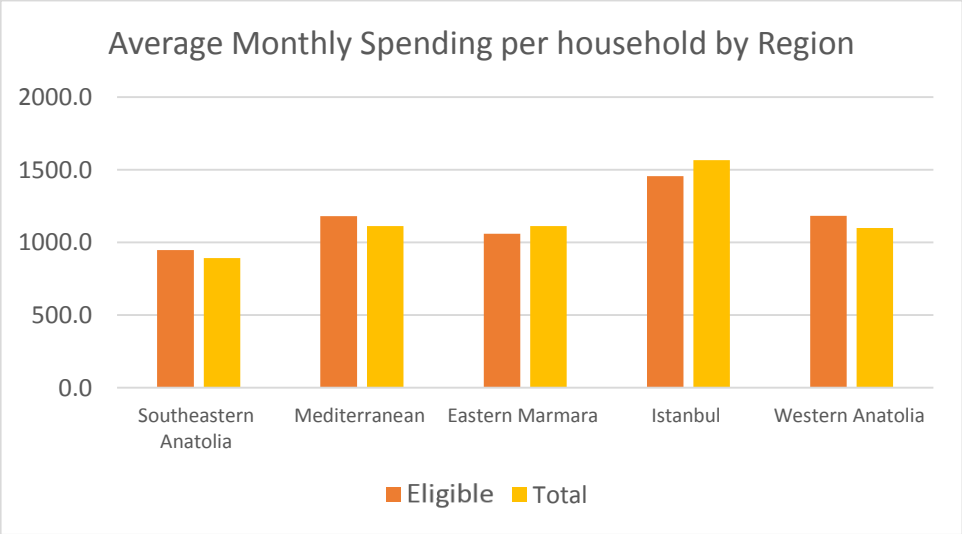


Fig. 24 illustrates the level of spending by region per household. As with Fig. 23, it shows substantial variations in expenditure levels, with higher expenditure levels concentrated in Istanbul region, as expected given the substantially higher living costs in this part of the country. The substantially lower expenditure in the SE region of Anatolia also appears to be in line with what was expected, given the lower living costs.

Fig. 24: Average Monthly Household Spending (TL) by region. (Data: 8 organizations, 61,000 households.)



Finally, Fig. 25: "Average Monthly Spending per household by Province" reports the average monthly HH spending by province.

Fig. 25. Average Monthly Spending per household by Province (TL). (Data: 8 organizations, 61,000 households.)

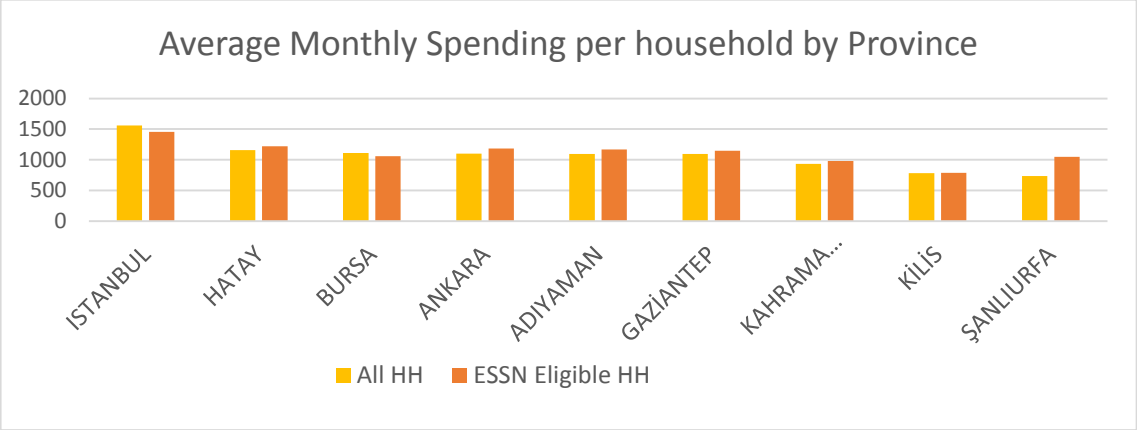
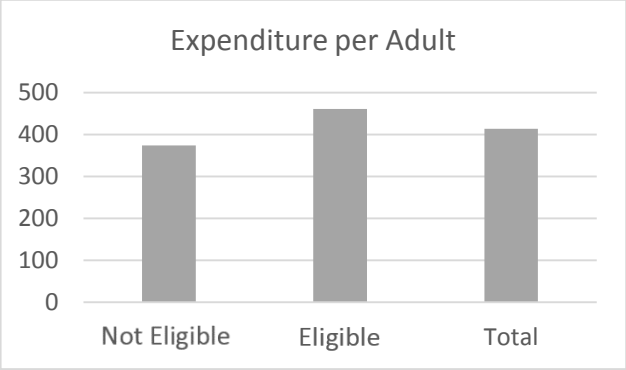


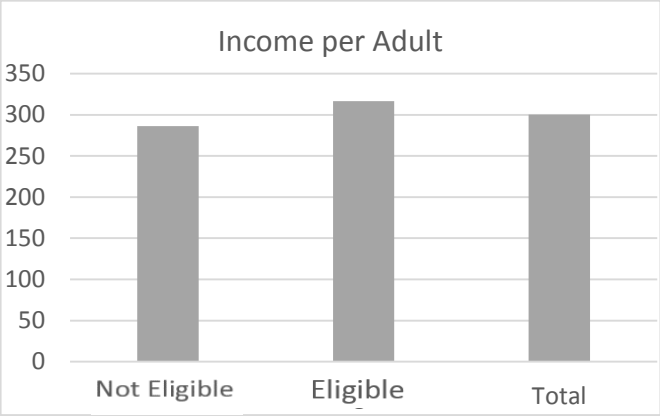
Fig. 26 "Expenditure per adult" contains the data related to Expenditure per adult for the entire data sets for which this type of data is available. Households eligible to receive basic needs assistance under the ESSN report, on average, higher expenditures per adult than households not eligible for the ESSN. Besides the specific values, the graph supports what stated earlier, i.e. the tendency of eligible HHs to have higher expenditures due to their higher number of family members. However, this does not necessarily translate into lower income generation capacity among adults in the household.

Fig. 26: Expenditure per adult. (Data: 5 organizations, 25,000 households.)



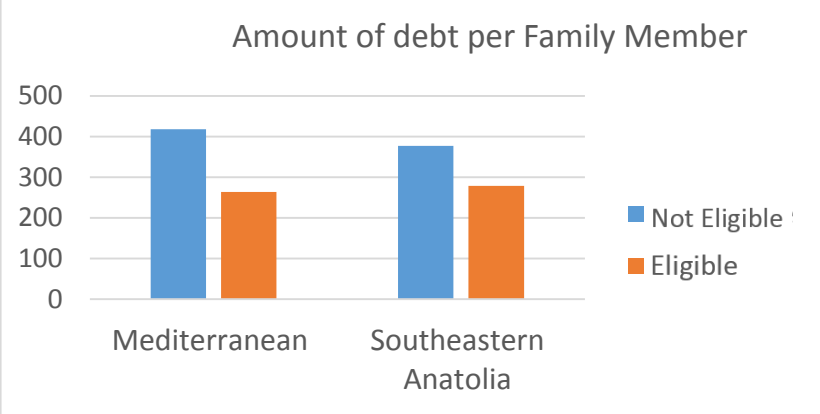
As indicated earlier, self-reporting on income tends to be less reliable/accurate than self-reporting on expenditure. Fig. 27 "Income per Adult" nonetheless illustrates income per adult as per available data sets in a summarized manner.

Fig. 27: Income per adult. (Data: 6 organizations, 27,000 households.)



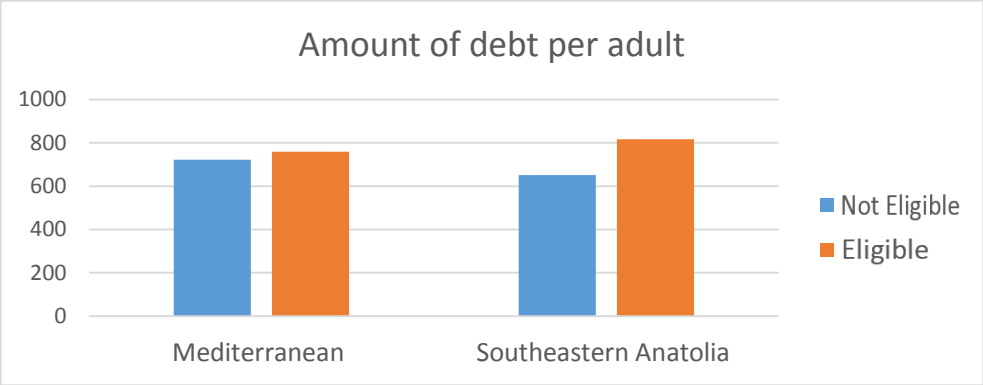
Another useful indication of prevailing coping strategies is the amount of debt. Fig. 28: "Amount of debt per family member" contains an indication of the amount of debt per family member by region (as per available data), while Fig. 29: "Amount of debt per Adult" provides the same information per adult household member.

Fig. 28: Amount of debt per family member (Data: 5 organizations, 22,000 HHs.)



As shown in Fig. 29: "Amount of debt per adult", levels of debt are significant among both households eligible to receive basic needs assistance under the ESSN criteria and among households which are not eligible to receive assistance under the ESSN criteria. When reported in terms of debt per family member, households eligible for the ESSN appear to have a lower debt – again (similarly to what noted with regard to the expenditures) this is thought to be due to the larger size of eligible households, on average.

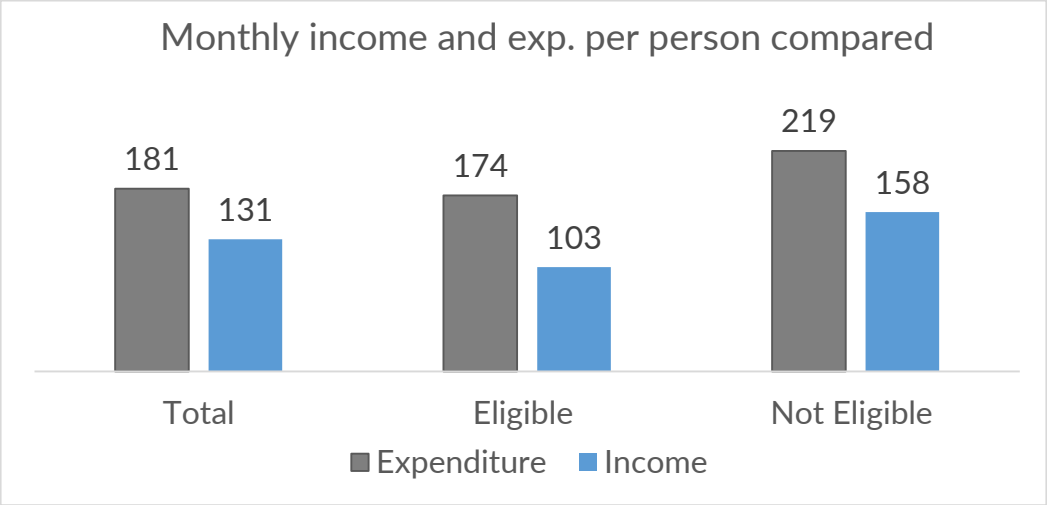
Fig. 29: Amount of debt per adult (Data: 5 organizations, 22,000 HHs).



In summary, households which are not eligible to receive basic needs assistance under the ESSN show similar levels of income, expenditure, and debt to those who are eligible to the ESSN when looking at their values per adult member. When looking at the values of income, debt and expenditure per family member however (i.e. including adults, children and elderly), income, expenditure, and debt are lower among households eligible to the ESSN.

Finally and for ease of comparison, average levels of monthly income and expenditure per person are illustrated under Fig. 30: "Monthly income and expenditure per person". As indicated earlier and in accordance with typical trends, levels of reported income are lower than the levels of reported expenditure.

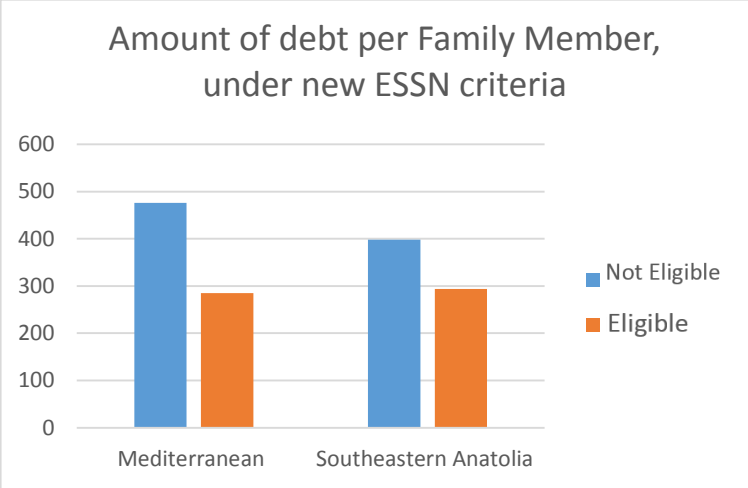
Fig. 30: Monthly income and expenditure per person compared (Entire data set.)



7.4 Application of new selection criteria

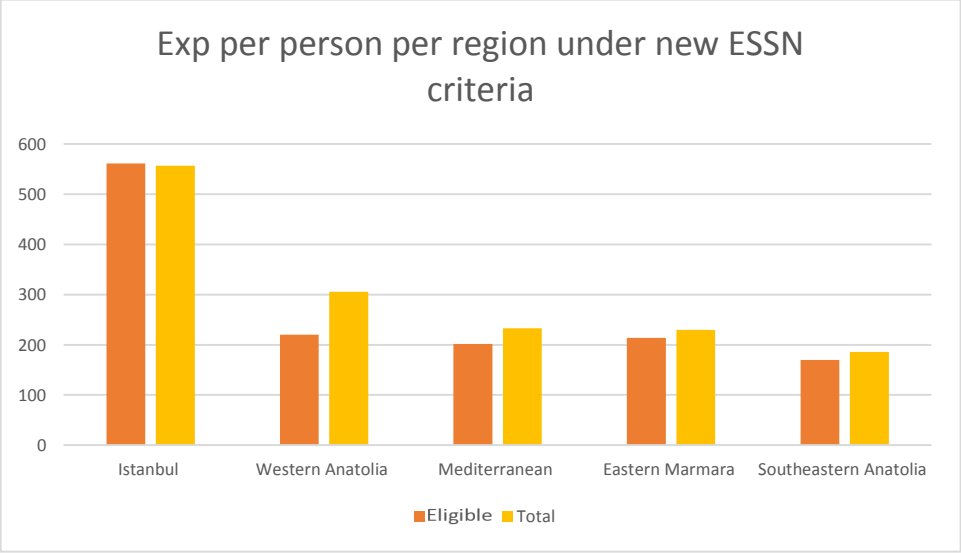
With the revised dependency ratio which has been proposed (from HHs with a ratio > 1.5 to those with a ratio = or > to 1.5), debt per family member among ESSN eligible households shows a limited increase (compared Fig. 31 and Fig. 28). This variation is due to the change in family size associated to the new selection criteria.

Fig. 31: Amount of debt per family member, with division according to the revised eligibility criteria



Finally, the revised ESSN targeting criteria were considered against expenditure per person by region. The results are illustrated in Fig. 32, below, and can be compared with the findings set out in Fig. 23.

Fig 32: Average Monthly Spending per person by region (TL), with division according to the revised ESSN targeting criteria. (Data: 8 organizations, 61,000 households.)



7.5 Analysis of households who are not eligible to receive assistance under the ESSN but have no family member able to work due to physical/intellectual/cultural barriers; number and proportion of households with no adult males that are not able to access basic needs assistance through the ESSN.

The type of data available did not allow for the completion of this analysis.

8. Recommendations

The wealth of data made available by this report shows that a considerable number of households which are not eligible to receive ESSN assistance - under both the current and revised criteria - are likely in need of basic needs support and complementary protection actions.

The report also supports the idea that among the households eligible under the ESSN criteria, many will face substantial difficulties in meeting the ESSN pre-requisites, inclusive but not limited to being registered under MERNIS data base.

Building upon this report's wealth of data and under the national Basic Needs Working Group's leadership, the CBI-TWG recommends that a workshop be organized, bringing together CBI-TWG representatives, Basic Needs and Protection actors. The workshop should outline:

- Recommended collaboration among cash and protection actors, including linkages with IPA, to address barriers to accessing the ESSN and:
- Strategic and programmatic options to address the gap in basic needs assistance to vulnerable households which are not eligible for the ESSN;

This exercise should be followed by selected consultative actions and quickly converge into a programmatic guidance note aimed at donors, basic needs, and protection actors operating in Turkey. This programmatic note should be prepared under the leadership of the Basic Needs WG.

It is also recommended that the dataset used to conduct the analysis – to which 11 different organizations contributed – be used to conduct other types of analysis, at sector request.