

Targeting humanitarian aid using administrative data: model design and validation

Onur Altındağ, Stephen D. O’Connell,
Aytuğ Şaşmaz, Zeynep Balcıoğlu,
Paola Cadoni, Matilda Jerneck, and Aimee Kunze Foong

February 12, 2020

Abstract

We develop and assess the performance of an econometric prediction model that relies on administrative data held by international agencies to target over \$380 million annually in unconditional cash transfers to Syrian refugees in Lebanon. Standard metrics of prediction accuracy suggest targeting using administrative data is comparable to a short-form Proxy Means Test, which requires a survey of the entire target population. We show that small differences in accuracy across approaches are largely attributable to a few data fields. These results are robust to a blind validation test performed on a random sample collected after the model derivation, as well as the type of estimator used for prediction. We discuss relative costs, which are likely to feature prominently when alternative approaches are considered in practice.

JEL Classification: I39, I32, O12

Keywords: poverty targeting, proxy means test, cash transfers, refugees, forced displacement, Lebanon.

Acknowledgements

Altındağ and O’Connell are lead authors and contributed equally to the manuscript. Altındağ acknowledges financial support from Bentley University to conduct the research. Several colleagues also provided useful input and feedback on this work, including Cinzia Papavero, Simon Renk, Catherine Saiid, and Pablo Vizcaino. We would like to thank Quy-Toan Do, Thomas Ginn, Linden McBride, Paolo Verme, Philip Verwimp, and participants at the 2020 Research Conference on Forced Displacement for valuable comments. The views and conclusions found herein pertain to the context studied, and are those of the authors and not any organization with which they are or may be associated.

Contact Information

Onur Altındağ: Bentley University Department of Economics and Economic Research Forum, oaltindag@bentley.edu.

Zeynep Balcıoğlu: Northeastern University Department of Political Science, balcioglu.z@husky.neu.edu.

Paoloa Cadoni: UNHCR Lebanon, cadoni@unhcr.org.

Matilda Jerneck: UNHCR Lebanon, jerneck@unhcr.org.

Aimee Kunze Foong: UNHCR Lebanon, kunzefoa@unhcr.org

Stephen O’Connell: Emory University Department of Economics and IZA Institute of Labor Economics, soconnell@emory.edu.

Aytuğ Şaşmaz: Harvard University Department of Government, sasmaz@g.harvard.edu.

I Introduction

“A refugee used to be a person driven to seek refuge because of some act committed or some political opinion held ... With us the meaning of the term ‘refugee’ has changed. Now ‘refugees’ are those of us who have been so unfortunate as to arrive in a new country without means and have to be helped by Refugee Committees.” - Hannah Arendt, *We Refugees*, 1943.

Governments and aid organizations face persistent challenges in targeting social welfare programs to accurately identify and reach intended beneficiaries. In the case of unconditional cash transfers, which are popular in many low- and middle-income countries, accurate targeting is often complicated by limited institutional capacity and reliable data. Available aid is thus allocated by any number of proxy mechanisms, including simple approaches such as geographic or demographic targeting, as well as more sophisticated allocation mechanisms such as self- or community targeting, or proxy means tests (PMTs). The performance of these methods exhibits substantial variation across implementations and contexts, with one review showing that, in practice, “*a quarter of programs’ ... [targeting] performed worse than a random allocation of resources*” (Coady et al., 2004).

Among such alternatives, PMTs are the most common to target the poor. They rely on existing survey data to choose a small set of predictors to collect in a short survey that is administered, in principle, to the entire potentially eligible population (Basurto et al., 2017; Kshirsagar et al., 2017; Schreiner, 2010).¹ The popularity of PMTs is likely to increase in the future thanks to the recent developments in econo-

¹Recent work has shown some benefit to self- and community targeting over proxy means tests: self-targeting mechanisms can increase targeting efficiency (Alatas et al., 2016), while community targeting does not perform better than PMTs, although it may increase beneficiary satisfaction with aid programs (Alatas et al., 2012; Schüring, 2014).

metric targeting approaches that prioritize out-of-sample prediction performance (McBride and Nichols, 2018; Kshirsagar et al., 2017).² This econometric approach typically uses consumption or expenditure data from a representative household survey as a proxy for poverty, and derives a model that assigns weights to factors used to predict poverty in the broader population of the potentially eligible. The predictors in a standard PMT model comprise a set of household assets and demographics that are easily verifiable, which eschews measurement error and misreporting and diminishes the cost of assessing households' assistance eligibility. The methodology to choose measures that predict consumption thus becomes the key step in targeting the eligible population (Brown et al., 2018).

In this study, we present the design and validation of an econometric targeting model that uses routinely collected administrative data to target over \$380 million per year of unconditional cash and in-kind assistance to Syrian refugees in Lebanon. Our study is motivated by three contemporaneous phenomena influencing the practice of modern poverty targeting. The first is an increasing degree of administrative data availability, integration, and interoperability, which can allow governments, international organizations, and other entities the ability to securely access, use, and analyze data to provide better programs, policies, and services (Fantuzzo and Culhane, 2015). The second concerns perennial limitations in financial and administrative capacity to implement a successful PMT, which requires hiring and training a substantial workforce and coordinating logistics for carrying out household visits of the entire potentially eligible population to gather a census of verifiable assets in

²See Devereux et al. (2015) for a cross-country review of recent PMT-based programs; see Sharp (2015) for a detailed review of cash and food assistance for refugees in Lebanon, Jordan, and Egypt.

order to target the program to the poorest. The accuracy of any PMT thus heavily depends on the capacity of the implementing agency, and this can exhibit substantial variation from one program to another (Coady et al., 2004). This is particularly salient in the context of humanitarian assistance, which is relatively new to unconditional cash-based interventions. Furthermore, chronic underfunding – as is the case with the vast majority of humanitarian programs – thus becomes a major factor determining the effectiveness of a PMT. Finally, if trends in recent decades continue, the future is likely to see increases in the frequency, intensity, and duration of forced international migration – whether driven by conflict or climate change (CARE, 2019); providing alternative and cost-effective tools to improve program targeting is thus crucial for the effective deployment of aid resources to vulnerable populations.

We combine a nationally representative expenditure survey with routinely collected administrative data and cross-validated regularized linear estimators to generate a prediction model for household per capita expenditure. We then compare the prediction accuracy of a set of models relying on administrative data to a simulation of the short-form survey PMT approach,³ which would rely on data on household characteristics and verifiable assets collected by survey. While there is no specific expectation that existing administrative data would be well-suited for the targeting of humanitarian aid, we show that the use of basic demographic information from typical administrative records held by aid organizations and governments is approximately as accurate in targeting the poor compared to a short-form PMT

³Short-form PMT surveys are also often referred to as “scorecards” (Kshirsagar et al., 2017; Schreiner, 2010).

that requires a household survey of the entire population. While the survey-based approach yields decreases in inclusion and exclusion error of about two percentage points, these differences are not statistically significant. Furthermore, we are able to isolate a small number of fields in the survey data that provide additional predictive power. All models we present also perform around the median of the 85 targeted interventions in various developing countries reviewed by [Coady et al. \(2004\)](#), suggesting that (a) targeting accuracy among refugee populations is not meaningfully different from those of other populations around the world, and (b) differences in accuracy rates across methods are relatively minor.

Finally, we exploit a unique opportunity to conduct a contemporaneous out-of-sample validation using data from households that were not included in the model derivation sample and were surveyed after the model development process. The out-of-sample validation survey was carried out under the same survey protocol by the same organizations and enumerators involved in collecting the survey data that provided household expenditures for the training data — an important feature for independent data sets to yield meaningful comparisons ([Heckman and Smith, 1995](#)). The fact that the validation survey was available only after the model development stage ensures zero degree of discretion regarding the components in the prediction model, and lends additional insight into intertemporal reliability as the validation sample was collected closer to the date of program implementation than the training (survey) data used to develop the model. This out-of-sample test yields targeting accuracy comparable to cross-validated error rates from the data used to develop the model.

Our primary contribution is the development and validation of an administrative-

data-based econometric targeting model for a large-scale, ongoing, unconditional cash transfer program. We show that such an approach can be used to generate targeting models whose performance compares equivalently to a traditional survey-based approach that is often too costly, too cumbersome, or limited by logistical constraints for antipoverty programs of even moderate scale. Given that there is not a strong conceptual reason to expect existing administrative data to be apt for this purpose, this finding adds a new approach to the toolbox of aid targeting. The main advantages of the proposed tool compared to a typical PMT approach are to avoid (i) non-response/reachability issues related to a population level short-form survey (ii) well-documented problems with the misreporting of assets or household structure during short-form survey verification ([Banerjee et al., 2018](#); [Camacho and Conover, 2011](#)).

The structure of the study is as follows. In Section [II](#), we briefly review the existing literature on targeting of anti-poverty programs, then describe the background and context of humanitarian assistance in Lebanon. In Section [III](#), we discuss the data we used to develop the targeting model, the methodology applied, and the resulting model and its prediction properties. We then discuss the sampling and survey methodology for the out-of-sample validation exercise, and present the results from the analysis of those data within the same section. Section [IV](#) concludes with a brief discussion on the future of scalable econometric targeting methods in similar contexts.

II Background and Literature Review

II.1 Proxy targeting of anti-poverty programs

The PMT approach is a popular tool for targeting anti-poverty programs (Coady et al., 2004; Brown et al., 2018). Typically, a representative household expenditure survey provides data to determine the relative importance of predictors of household consumption. The model building process then results in assigning weights to demographic variables that are observed for the population to generate a metric for program eligibility. The two main advantages of PMT are: (i) ease of implementation due to the short surveys that collect information on verifiable assets, and (ii) the ability to account for informal economic activity (Basurto et al., 2017; Kshirsagar et al., 2017; Schreiner, 2010).

There is, however, well-documented substantial variation in exclusion and inclusion error rates across implementations of PMTs.⁴ The existing evidence suggests that better targeting is associated with stronger administrative capacity, larger variation in poverty, reliable up-to-date survey and administrative data, and the availability of proxies that are strongly correlated with poverty (Coady et al., 2004; Devereux et al., 2015; Kidd et al., 2017).⁵ Even in ideal circumstances, however, a PMT is usually only partially successful in accurately targeting the poor, and the more homogeneous in observables is the target population, the larger the proportion

⁴Type I and exclusion errors are interchangeable terms, both indicating a poor family that is wrongly excluded from the program. Type II/inclusion error accordingly reflects a non-poor family that is wrongly included within the program eligible population due to prediction error.

⁵See Coady et al. (2004); Devereux et al. (2015); Kidd et al. (2017) for reviews of targeting effectiveness in various welfare transfer programs around the world.

that will be incorrectly excluded (Brown et al., 2018).

While the main goal of targeting is to accurately predict welfare in a population for which the data on the outcome of interest is not available, assessments of the program's targeting accuracy often rely on in-sample prediction performance. Only more recently have there been meaningful strides in analyzing the out-of-sample prediction performance of various econometric targeting tools. McBride and Nichols (2018) show that overfitting the prediction sample yields poor out-of-sample performance, and prediction tools that are designed to minimize out-of-sample error can likely increase targeting accuracy.

Our study contributes to the literature assessing the performance of various approaches for econometric targeting of social or aid programs. This includes, but is not limited to, Andini et al. (2018) for Italy's national tax rebate program, Sohnesen and Stender (2017) for predicting poverty in several African countries, Baird et al. (2013) for poverty in Tanzania, and Kilic et al. (2014) for farm input subsidies in Malawi. Perhaps the most pertinent studies are McBride and Nichols (2018) and Brown et al. (2018), who evaluate the impact of different methodological tools on targeting effectiveness. Using the United States Agency for International Development (USAID) poverty assessment tool from several countries, McBride and Nichols (2018) show that approaches that prioritize out-of-sample accuracy perform substantially better in accurately identifying the poor population compared to a standard PMT approach relying only on in-sample fitting. Brown et al. (2018) show that simple demographic surveys do as well, or nearly as well, as econometric PMT methods across nine African countries. Our study adds to this literature by showing that routinely collected administrative data can offer a potentially equally

reliable, and less costly, alternative to existing PMT strategies.

II.2 Basic needs assistance to refugees in Lebanon

Worldwide, more than 61 percent of 25.9 million refugees live in non-camp settings in developing countries under the mandate of the United Nations High Commissioner for Refugees (UNHCR, 2018).⁶ The primary destinations for displaced populations are neighboring countries, which often have constrained economic and operational resources to host these populations.⁷ As a result, international organizations, in partnership with governmental and non-governmental organizations (NGOs), have been a primary source of cash and in-kind assistance to displaced individuals in conflict regions.⁸

Since 2011, the Syrian Civil War forcibly displaced more than 5.5 million people internationally. Lebanon hosts over 1.5 million refugees, resulting in the highest per capita population share of refugees in the world. Following the beginning of the refugee outflows from Syria in 2012, several separate cash transfer and voucher programs have been implemented in Lebanon by organizations including UNHCR,

⁶As of 2016, 19.9 million refugees globally were living under the mandate of the UNHCR (UNHCR, 2018).

⁷According to World Bank (2018), in 2015, 80 percent of the internationally forcibly displaced population took shelter in a neighboring country, and those who moved to non-neighboring countries tended to be more skilled.

⁸Contextually related to our work, Verme et al. (2016) are the first to provide a detailed welfare assessment of refugees in Jordan and Lebanon. Using household survey data collected between 2013 and 2014, the authors provide a comprehensive description of poverty among the first waves of refugee populations in both countries. Combining administrative data and a large survey from Jordan, the study also investigates the observable characteristics of the registered refugee population that predict welfare (as measured by expenditure per capita). In a follow-up study, Verme and Gigliarano (2019) offer a methodology to optimize the under-coverage and leakage under a budget constraint using an index-based simulation exercise.

UNICEF, and WFP, among others. UNHCR and WFP provided four cash assistance programs for Syrian refugees in Lebanon. As of 2018, the Multi-Purpose Cash Assistance Program (MCAP), operated by UNHCR, assists around 33,000 severely vulnerable refugee families every year. Supported families receive \$175 every month for a year. Assistance is provided through an ATM card, allowing families withdraw cash from ATMs across the country. WFP also operates three other cash assistance programs targeting Syrian refugees in Lebanon. The Multi-Purpose Cash Program (MPC) started in October 2017 and assists approximately 23,000 severely vulnerable Syrian refugee families. In this program, the beneficiaries have the choice either to redeem their assistance at WFP-contracted shops or to withdraw cash from ATMs across the country. The Cash for Food program started in 2017 and provides food assistance to 170,000 Syrian refugees, either as complementary food assistance to UNHCR's MCAP or as food assistance only, and scaled up to reach 220,000 Syrian refugees by late 2018. Finally, the Food e-Card started in 2013 and currently targets 345,000 Syrian refugees; similar to the Cash for Food program, this assistance modality provides either food assistance alone or as a complement to food assistance through UNHCR's MCAP. UNHCR additionally provides winter assistance to 162,000 families (in 2018) through a lump-sum payment of \$375 per household.

Targeting welfare programs is challenging in the context of forced displacement: refugees from a conflict zone typically constitute the very poorest and most vulnerable segment of the host country population, having lost or left assets in their home country. This induces the population to become more observably homogeneous and poorer, reducing the potential predictive capacity of typical econometric

approaches that use verifiable household assets as a proxy for economic well-being. Moreover, data quickly become outdated due to displaced populations' ongoing movements both within the host country and between the host and home countries. While targeting limited assistance resources to such populations is crucial to achieve the typical goals of humanitarian organizations, little is known about the performance of PMTs, or their alternatives, in such contexts.

Importantly, eligibility for these transfer programs is based on a common, unified scoring system. Since comprehensive data on consumption and expenditure do not exist, program targeting has had to rely on the use of information available in administrative records held by the humanitarian agencies and in nationally representative surveys. Since 2016, UNHCR and WFP have used a regression-based approach to determine the predictors of per capita consumption from a nationally representative⁹ household expenditure survey called the Vulnerability Assessment of Syrian Refugees (VASyR). The model coefficients are then used to predict expenditure per capita in the population using refugee households' background and demographic information collected comprehensively by aid agencies. The model and household scores have historically been updated annually, a process that typically occurred over the months of July and August; the newly generated scores were then used to determine assistance receipt from November to the following October. For the purposes of this paper, we are concerned with the classification of a household as "severely vulnerable," defined as a household with per capita expenditure below \$87 per month,¹⁰ which reflects the subsistence level of consumption for a

⁹"Nationally representative," as used throughout this work, refers to representativity of the Syrian refugee population in Lebanon.

¹⁰See [Verme et al. \(2016\)](#) for a comprehensive discussion of concepts related to economic welfare

typical family as determined by the Lebanese government.¹¹

Two points are worth addressing with respect to the reliability of expenditure per capita as the outcome measure to target the vulnerable population. The first is whether expenditure per capita is a relevant measure of poverty for refugees when other assessment measures such as multidimensional indices, principal components, or ad-hoc categorization by aid agencies are available. For this paper, we took as given the institutional decision to target cash assistance based on expenditure per capita. This measure, however, parallels the nature of a program that provides additional cash assistance to families to top-up existing expenditure levels that fall short of subsistence levels that provide basic needs. The same agencies also run alternatively targeted programs that provide assistance to address needs for education, health services, and health services, and heating/shelter needs.

The second is whether the absolute (level) or the relative (ranking) measure of poverty is better in accuracy assessment of the prediction model given that the former could potentially underestimate the poverty. The question is empirically testable and we show that using the nominal values of expenditure per capita yields very similar predicted and actual estimates of poverty rates for the refugee population. Thus, reported inclusion and exclusion errors rely on expenditure per capita

of refugees and a detailed welfare and vulnerability assessment of refugees in Jordan and Lebanon. Verme et al. (2016) make a distinction between welfare and vulnerability, suggesting the latter refers to the ability of households to respond to future shocks and the risk of remaining in or falling into poverty in near future. In line with the operationalization of the concept by international organizations in the context in which we conducted this research, we use the terms welfare, vulnerability, and deprivation interchangeably, with all three terms conveying a concept of socio-economic welfare.

¹¹In the Lebanese government's official poverty line calculation, the typical family is assumed to be composed of two adults, one child over five years of age, and two children under five years of age. The calculation is then based on a survival-level minimum food expenditure basket; amount of rent for an informal tent settlement; and minimum water, clothes, communication and transportation costs. A full description can be found at [UNHCR, UNICEF, WFP \(2017\)](#).

expressed in absolute terms.

III Targeting Model

III.1 Data

We develop the model and validation analysis using three data sources. The first is nationally representative survey data from the Vulnerability Assessment of Syrian Refugees in Lebanon (VASyR) 2018, which collected detailed information on households and expenditure patterns. The sample includes information on 4,364 households across 26 districts in Lebanon. We construct expenditure per capita (in USD) for each household as of the survey date, which spanned three weeks of April/May 2018.¹² Unique household and individual identifiers allow us to link the survey records to the administrative databases described below.

The second data source is the UNHCR database, which is an administrative data set that contains information on the demographic background of all Syrian refugees in Lebanon known to UNHCR. As is typical in many contexts, Syrian refugees in Lebanon must make humanitarian agencies aware of their presence in order to receive humanitarian aid. Undertaking this process also provides refugees a proof of identity that can protect against forced return or arbitrary arrest, and eases family unification and resettlement efforts. Refugees thus have strong incentives to make their presence and situation known to humanitarian agencies and thus to be included

¹²VASyR survey instruments, as well as the summary report, are available at <https://data2.unhcr.org/en/documents/details/66669> and <https://data2.unhcr.org/en/documents/details/67380>, respectively.

in the administrative data.

Information in the UNHCR database is updated on a regular basis through mobile phone and in-person communication with refugee families. Individual-specific information includes the individual's arrival date, the governorate and district of origin (in Syria), a self-reported education level, age (in years), relationship to the household head, gender, and a series of other indicators reflecting specific vulnerabilities or protection concerns.¹³ For the targeting model, we construct household-level analogues of these variables (typically in terms of the share of household members with a given characteristic), along with additional measures of household structure. Our modeling and analysis uses a snapshot of the database as of June 2018. Importantly, the UNHCR database serves as the sampling frame for both the VASyR and the validation surveys, and is also the data to which the model is ultimately applied in practice.

The third data source is the Refugee Assistance Information System (RAIS), which includes up-to-date information on all refugee families who receive assistance in Lebanon from any of the major international organizations or their partners. Our data were current as of June 2018 and include the details on the type(s) of assistance (cash and/or food) currently being received. Unique family identifiers in the RAIS allow this data set to be merged with both the administrative and survey datasets described above.

Table I, Panel A shows summary statistics of the individual demographic background information from the UNHCR database, which includes Syrian refugees in

¹³Due to data sensitivity, we are unable to report some of the questions that are asked to refugees during the initial interview. These include questions about specific medical conditions, children's daily activities, and relationships among family members, among others.

Lebanon known to UNHCR. The refugee population is young, balanced by gender, and relatively uneducated. The initial interview includes a question about refugees' most recent profession prior to displacement. Responses to this question are recorded without strict categorization; we aggregated them into six categories: none, unknown, housekeeper, labor, services, and student. Occupational patterns are in line with the education distribution, and indicate a relatively low-skill labor force. Table I Panel B shows the constructed measures by household. High fertility is seen alongside a high share of dependents; working age males constitute only 23% of the individuals in the average household.¹⁴ Importantly, 33% of the households receive some form of assistance; of the available assistance programs, WFP's Cash for Food Assistance Program has the largest share of recipients.

Figure I contains a conceptual mapping of our model-building and validation process and the various data sources used therein. We first merge the UNHCR database, RAIS, and VASyR data sets to create our training sample, which includes only families for whom we have information on household expenditure. Summary statistics on expenditure are shown in Table II, which indicates a right-skewed distribution of consumption with a mean and median of \$114 and \$87 per capita, respectively.¹⁵ We then use the estimated coefficients derived from the training sample to predict expenditure per capita in the population. In the final stage of the analysis, consumption and expenditure data are collected from a random sample of 521 households that were not interviewed in the original VASyR sample to assess

¹⁴We define the dependency ratio as the total number of household members over 60 and under 15 divided by the total number of household members.

¹⁵The Lebanese pound was pegged to the US dollar during the study period with an exchange rate of approximately 1 USD = 1,500 LBP. All currency values referred to throughout the paper are in USD.

Table I: Summary statistics, UNCHR database

<i>Panel A: Individual records</i>	Mean	Std. Dev.
Age	20.41	16.42
Female	0.52	0.50
Disabled	0.03	0.18
No education	0.24	0.43
Less than primary school	0.16	0.37
Primary school	0.23	0.42
Secondary school	0.16	0.37
High school and above	0.08	0.26
Education Unknown	0.12	0.33
Housekeeper	0.15	0.36
Service	0.04	0.20
Student	0.01	0.12
Laborer/Other	0.11	0.32
None	0.07	0.25
Profession Unknown	0.07	0.26
<i>Panel B: Constructed household records</i>	Mean	Std. Dev.
Size	4.20	2.25
Head's age	36.99	12.46
Head female	0.31	0.46
% members aged 0-5	0.19	0.21
% members aged 6-10	0.12	0.17
% members aged 11-17	0.12	0.19
% male members aged 18-50	0.23	0.27
% female members aged 18-50	0.24	0.21
% members aged 60+	0.04	0.16
Dependency ratio	0.48	0.28
% members with no education	0.14	0.30
% members with less than primary school education (%)	0.04	0.16
% members with primary school education (%)	0.33	0.39
% members with secondary school education (%)	0.29	0.37
% members with high school education and above (%)	0.17	0.32
% members who worked in service (%)	0.10	0.24
% members who worked as a housekeeper (%)	0.34	0.33
% members who were students (%)	0.03	0.13
% members who worked as a laborer/other profession (%)	0.25	0.30
% members who were not working (%)	0.14	0.29

Note: This table shows the mean and the standard deviation of the demographic characteristics of the Syrian refugee population in Lebanon based on the UNHCR database. Panel A reports the individual level data whereas Panel B shows the household level characteristics. Summary statistics represent the cross-section of active cases as of June 2018. Due to data sensitivity, we are unable to report sample sizes and the details of some of the questions that are asked to refugees during intake. These include questions about specific medical conditions, children's daily activities, and relationships among family members, among others. For approximate sample size of the individual- and household-level records, we refer the reader to publicly available sources such as [Office \(2018\)](#), which report more than 976,000 Syrian refugees registered in Lebanon as of 31 July 2018.

the out-of-sample overlap between actual and predicted expenditure (see Figure I).

Table II: Summary statistics, VASyR 2018 – household expenditure per capita

Statistic	Mean	Std. Dev.	Median	N
Expenditure per capita (USD)	113.862	113.115	86.667	4,364
ln(Expenditure per capita)	4.524	2.161	4	4,364
Household size	0.502	0.500	1	4,364

Note: This table shows summary statistics of household consumption per capita based on VASyR 2018.

For the prediction model, the observational unit is a “case,” which is typically a nuclear family or a household that registered together with the UNHCR. The survey information is based on household visits, and only in rare cases does a household include multiple cases who live together. We assigned the same outcome for multiple families who live in the same household given that expenditure can only be observed by household.

III.2 Prediction model

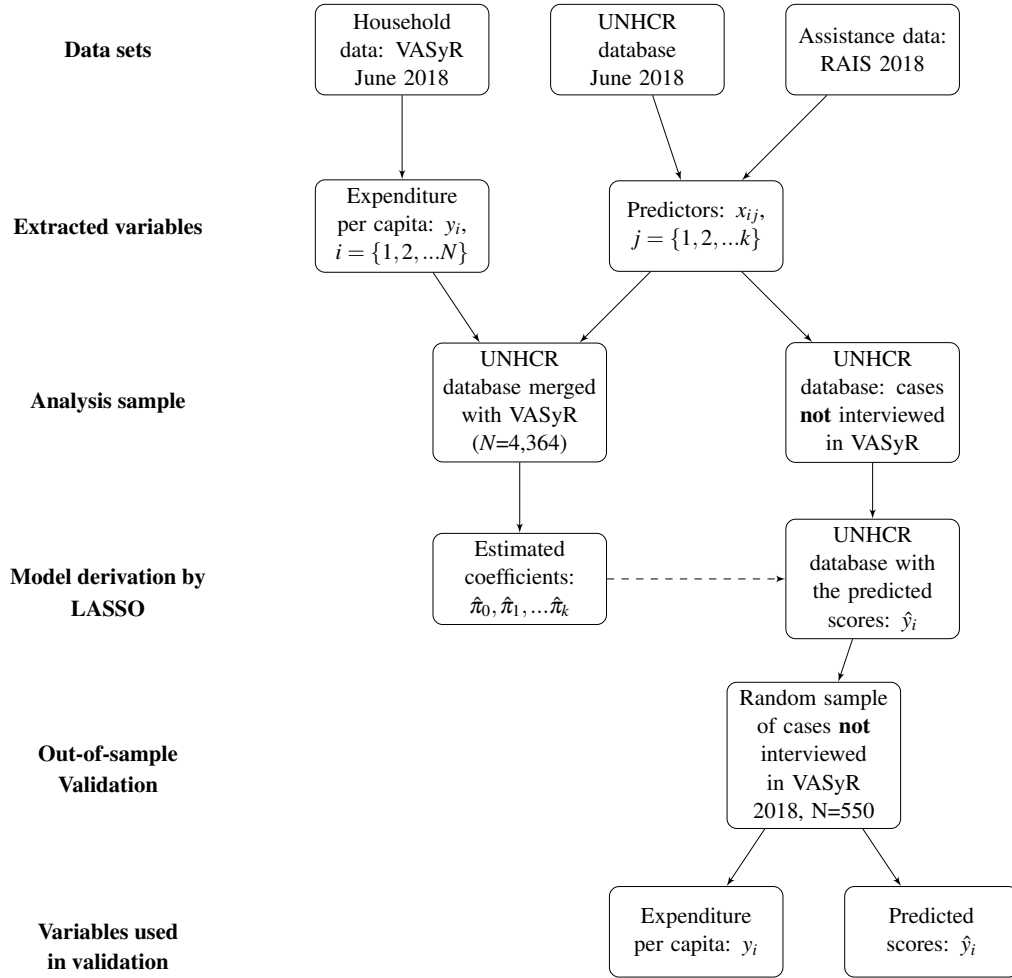
III.2.1 Regression framework

We use the following linear specification:

$$\log(y_i) = \pi_0 + \sum_{j=1}^k x_{ij}\pi_j + \varepsilon_i \quad (1)$$

where y_i is the log per capita expenditure for case i , which is predicted by k independent variables, ε is the unknown error term and π_0 denotes a common intercept.

Figure I: Conceptual mapping of datasets used



Note: This figure shows the merging process of different data sets that are used for the targeting exercise. The validation sample was randomly drawn from the population that was not interviewed in VASyR 2018 and was performed after the targeting model was estimated.

As recently shown by [McBride and Nichols \(2018\)](#), approaches using in-sample validation — such as the standard implementation of Ordinary Least Squares — are likely to overfit in a prediction exercise. Instead, tools and methods designed for out-of-sample prediction, such as cross-validated penalized linear regression, should be used for the out-of-sample prediction exercise that PMTs comprise.

To estimate the coefficients $\pi_0, \pi_1, \dots, \pi_k$, our primary approach relies on a least absolute shrinkage and selection operator (lasso) regression, which, when combined with cross-validation to choose hyperparameters, has been shown to consistently perform well across various out-of-sample prediction settings ([Abadie and Kasy, 2019](#)). Cross-validated lasso is now commonly used to predict outcomes for which acquiring direct information on the outcome is costly or impossible.¹⁶ It solves the following optimization problem:

$$\arg \min_{\pi_0, \pi_1, \dots, \pi_k} \sum_{i=1}^N (y_i - \pi_0 - \sum_{j=1}^k x_{ij} \pi_j)^2 \text{ such that } \sum_{j=1}^k |\pi_j| \leq \lambda \quad (2)$$

where the constraint denotes the $L1$ norm of the regression coefficients and λ is a hyperparameter for coefficient regularization. We calculated the latter through a K -fold cross-validation process with $K = 10$, and chose a regularization parameter that yields the model with the fewest number of predictors that is within one standard error of the estimated minimum error rate ([Hastie et al., 2009](#)). Alternative

¹⁶Some examples of machine-learning tools that have recently been applied include the prediction of economic activity, productivity, or growth with nighttime lights ([Jean et al., 2016](#); [Donaldson and Storeygard, 2016](#); [Henderson et al., 2012](#); [Chen and Nordhaus, 2011](#)), wealth and poverty using mobile phone logs ([Blumenstock et al., 2015](#); [Blumenstock, 2016](#)), food security and resilience ([Knippenberg et al., 2018](#)), and community poverty ([Abelson et al., 2014](#); [Sohnesen and Stender, 2017](#), among others).

models adjust the penalty parameter to estimate ridge and elastic net regressions, as well as perform random forest regression. For benchmarking, all models are compared to a forward selection algorithm. All of our results from these models use only administrative data in the vector of predictors; they are then compared to the results of an approach using an expansive vector of household characteristics and verifiable assets that would be available to develop a survey-based PMT, as described below.

III.2.2 Outcome and prediction variables

We model and predict a continuous measure of the natural log of expenditure per capita so that the targeting score can be used flexibly by humanitarian agencies in the form of a categorical classification, a ranking, or directly as predicted expenditure per capita. As described above, we construct the training sample by combining household expenditure per capita from the 2018 VASyR (survey) data and the household-level demographic variables from the June 2018 UNHCR (administrative) database. Only the dependent variable of the prediction model (log per capita expenditure) is taken from the 2018 VASyR survey, and candidate predictors come from the administrative data. This ensures consistency in the information used to model and predict per capita expenditure by reducing the discrepancies in the data sources across the two uses. We show below that this conceptual change has implications for targeting accuracy.¹⁷

¹⁷For example, for a family who was surveyed in VASyR 2018, the education information was available in both administrative and survey data. We used the education information from the administrative data, which is more likely to be missing. While this can be expected to reduce in-sample prediction power, it ensures that the differential measurement error will have no impact when predicting the majority of the population for whom the same information is only available in the ad-

The independent variables in the prediction model are based on the administrative records of household characteristics stored in the UNHCR database. We include the basic demographic variables in addition to measures of adults' previous occupations (in Syria) and education levels, the governorate of origin of the household head, the district of residence, and other specific medical issues or vulnerability measures. We also explicitly create a category for the share of records with missing data in any categorical variable so that all households can receive a predicted score. Appendix Table I contains a listing of the candidate variables used in the model-building process.

A potentially important issue is that existing transfers might contaminate the outcome of interest (expenditure per capita) through their effect on household expenditures. Because we are able to observe accurately which sample households are receiving assistance as of the survey date – another advantage of the administrative data – we train the model using an unadjusted measure of expenditure and include indicators for assistance receipt in the vector of candidate predictors. Put another way, we avoid making any assumptions about the marginal propensity to consume (or expend) cash transfers and do not adjust our outcome measure *ex ante*. Instead, we allow the model selection algorithm to provide a non-zero weight for the prediction step should assistance be sufficiently strongly linked to changes in expenditure. Therefore, both predicted and actual expenditure per capita account for the existing transfers that the families are receiving.¹⁸

ministrative data set.

¹⁸For program implementation, we manually set to zero any weights on indicators for current assistance, in order to predict a form of counterfactual expenditure per capita in the absence of any cash transfer. This allows us to avoid penalizing, in the new round of targeting, households who exhibit higher expenditure due to current receipt of transfers. However, for the purpose of

III.2.3 Population characteristics at percentiles of predicted expenditure

We present characteristics of households in different percentiles of predicted expenditure per capita in Table III. Overall, families who are predicted to be poor tend to be larger, have a higher share of disabled members, are substantially more likely to be female-headed, are less likely to have a working-age male, and have a higher share of dependents. Education and former occupation also follow an expected pattern, in which the model is more likely to target households with lower education and with a larger share of members who had no previous occupation before their arrival to Lebanon.

Table III: Characteristics of households at quantiles of predicted expenditure

Quantile	Household size	Female Head HH	Disabled Dependent	HH Head Disabled	Share working age males
10	5.54	0.46	0.09	0.07	0.10
30	4.84	0.35	0.08	0.07	0.14
50	4.46	0.31	0.06	0.05	0.16
70	3.54	0.26	0.05	0.05	0.19
90	2.15	0.16	0.01	0.03	0.46
	Dependency ratio	Share no occ.	Share service sector occ.	Share below primary ed.	Share post-secondary ed.
10	0.65	0.22	0.04	0.24	0.05
30	0.58	0.18	0.06	0.19	0.10
50	0.55	0.13	0.09	0.12	0.12
70	0.50	0.07	0.13	0.08	0.20
90	0.15	0.06	0.19	0.05	0.35

Note: This table reports the demographic characteristics of households by quantiles of predicted expenditure based on lasso regression.

calculating accuracy metrics for this paper, we make no such adjustment as it is not necessary for accurate representations of prediction performance.

III.3 Model assessment

III.3.1 Prediction performance: administrative vs. short-form proxy-means

Table IV contains the definition of our various measures of prediction performance. We first present a standard confusion matrix in Panel A, which classifies the four types of possible prediction outcomes based on true and predicted expenditure relative to our targeting eligibility cutoff. Panel B then defines inclusion and exclusion error, which are standard in the literature. We additionally use the Coady-Grosh-Hoddinott (CGH) Ratio, from Coady et al. (2004), which is the ratio of total benefits distributed to the targeted population to the ratio of total benefits that the same population would receive in the case of random or universal allocation at a given percentile of the distribution. For example, the CGH-40 ratio for Mexico’s famous and successful conditional cash transfer program, PROGRESA, is 1.56 — meaning that the households in the bottom 40 percent of the expenditure per capita distribution receive 62.4 percent of the resources in the PROGRESA program ($62.4/40 = 1.56$). Because of its flexibility in assessing targeting accuracy across different segments of the distribution, the CGH metric gives a more robust characterization of prediction performance across the distribution of targeted households and allows us to compare our findings to those documented across the 122 interventions reviewed and analyzed in Coady et al. (2004).¹⁹

Figure II contains these metrics of prediction performance across modeling approaches, along with 95% empirical confidence intervals based on 1,000 boot-

¹⁹See Coady et al. (2004) for the details of the ranking methodology and the list of countries and programs that are included in the ranking list.

Table IV: Confusion Matrix and Targeting Performance Measures

<i>Panel A: Confusion Matrix</i>		
	$1\{y_i < \$87\} = 1$	$1\{y_i > \$87\} = 1$
$1\{\hat{y}_i < \$87\} = 1$	True Positive (TP)	False Positive (FP)
$1\{\hat{y}_i > \$87\} = 1$	False Negative (FN)	True Negative (TN)
<i>Panel B: Performance measure definitions</i>		
Inclusion error (Leakage)	$\frac{FP}{TP + FP}$	
Exclusion error (Undercoverage)	$\frac{FN}{TP + FN}$	
Coady-Grosh-Hoddinott (CGH) Ratio	$\frac{\text{share of benefits reaching the poorest } x \text{ percentile}}{x}$	

Note: Definitions of inclusion and exclusion error are presented as standard in the literature. The Coady-Grosh-Hoddinott (CGH) ratio is described in (Coady et al., 2004) and relates the ratio of the share of aid potentially disbursed under a given targeting scheme at a given percentile of the poverty distribution to the share of aid disbursed under a neutral (random) allocation scheme. For example, if the bottom 20 percent of the poverty distribution receive 50 percent of the aid disbursed, this ratio is 2.5. A higher value is associated with better targeting performance. Assuming homogeneous benefits and that total aid would reach all of the truly eligible, the CGH ratio can formally be expressed as $\frac{TP_x}{TP+FN} \cdot \frac{TP_x+FP_x+FN_x+TN_x}{TP+FP+FN+TN}$, where the latter fraction represents a universal, neutral, random assignment of aid — which by construction evaluates to x , the fractional percentile for which the CGH ratio is being calculated. Subscripted terms represent the cumulative sum of types at the x th percentile of the true poverty distribution, and unsubscripted terms represent the total sum of types in the population.

strap replications. We begin with the benchmarked forward selection model using administrative data, which exhibits inclusion and exclusion errors of 35.7% and 26.1%, respectively, in Panel A. The lasso model provides substantial improvements, with inclusion error of 30.9% and exclusion error of 26.7%. We then show that the choice of the form of the penalty function makes little difference to prediction performance, with inclusion/exclusion errors from an elastic net regression (31.0%/26.7%) or ridge regression (30.5%/26.8%) being highly similar to those of lasso. Random forest regression yields slightly lower exclusion error (23.1%) at substantial cost of inclusion error (39.1%) – and with a substantially higher degree of variability than the regularized regressions.

Finally, the short-form survey approach (using lasso regression) considers a large vector of candidate features from measures of household characteristics and verifiable assets in survey data, which are listed in Appendix Table II. In the short-form model derivation, both inclusion exclusion errors are slightly lower than those of lasso model, although as the overlapping 95% confidence intervals indicate, these differences are not statistically meaningful. The short-form survey yields an inclusion error of 28.6% (CI: [27.2%, 30.2%]) and an exclusion error of 24.3% (CI: [22.8%, 25.8%]), while the corresponding metrics for the lasso model are 30.9% (CI: [29.2, 32.4]) and 26.7% (CI: [25.2, 28.3]), respectively.

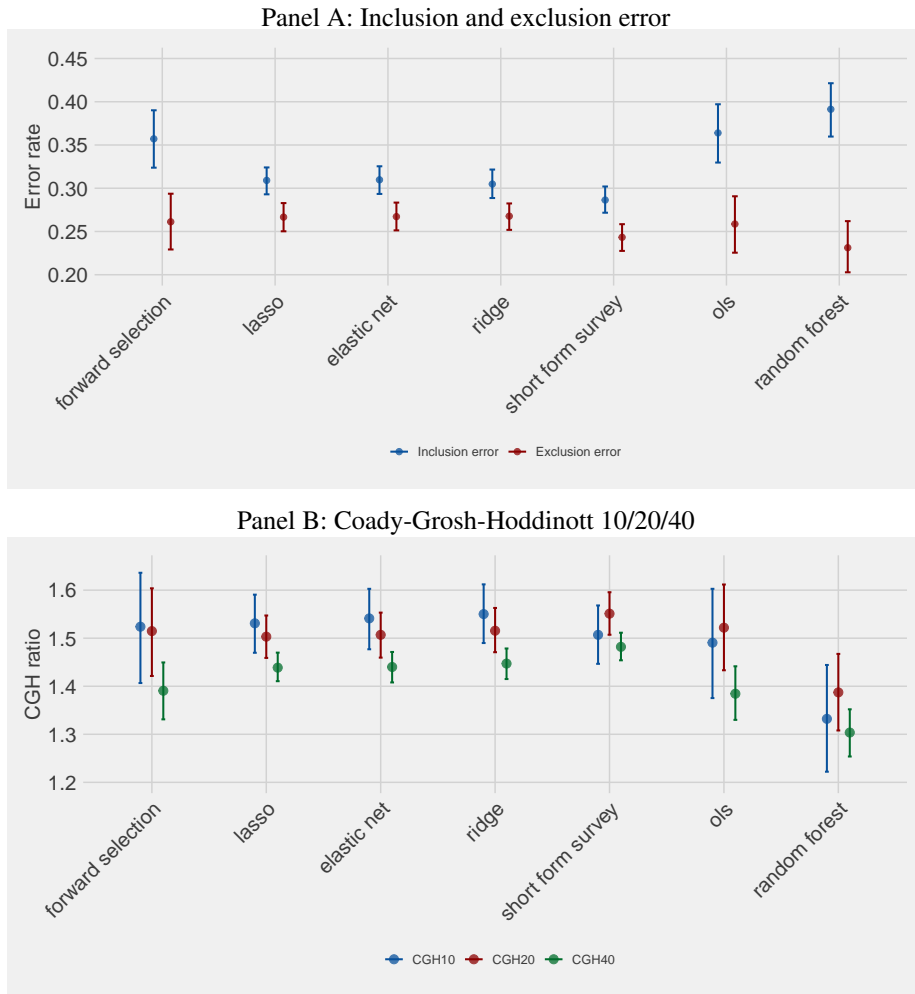
Panel B of Figure II reports CGH metrics at the 10th, 20th, and 40th percentiles of the expenditure per capita distribution along with 95% confidence intervals from 1,000 bootstrap replications. In terms of targeting accuracy across the distribution of households, the lasso model allocates households below the 10th, 20th, and 40th percentile of the (true) expenditure per capita distribution to receive 15.3, 30.0, and

57.6 percent of available assistance. (In a program in which 50% of the population will receive assistance, the theoretical maxima of these percentages is 20, 40, and 80.) Dividing by the share of the population at which that statistic is evaluated yields CGH ratios of 1.53, 1.50, and 1.44, respectively, with a theoretical maximum of two at any percentile. As with the error rates in Panel A, the performance of any of the regularized linear models is roughly comparable; forward selection and OLS models yield a higher variance, and there are performance losses to the use of random forest models. The survey-based approach yields no gain at the 10th percentile (1.51), and only modest improvements over lasso at the 20th and 40th percentiles (1.55 and 1.48, respectively).

Taking these results together, we draw two major conclusions: first, there is no substantive difference in the capacity of administrative data – which includes no information on assets – to predict poverty, in this context, relative to traditional survey-based methods. Second, the short-form survey approach yields only small reductions in inclusion and exclusion error - in our context, only up to two percentage points. These improvements are not particularly surprising, as information on assets (or lack thereof) is likely to provide useful additional explanatory power in predicting the capacity of households to fulfill basic needs. The magnitude of performance gain, however, is important to quantify – especially in consideration of the relative costs of each approach. Our results suggest that the primary consideration when considering these alternative methods (survey vs. administrative data) should be one which weighs the higher cost of the survey-based approach with an expectation of only slightly higher errors when using administrative data, with the strong assumption that targeting institutions are capable of reaching the full population for

assessment. In Section III.7 below, we discuss cost considerations.

Figure II: Inclusion and exclusion error, by prediction methodology



Note: Figure presents prediction performance metrics across methods and data sources. Statistics presented are the mean error rate and a 95% empirical confidence interval from 1,000 bootstrap replications.

Table V: Prediction performance metrics, by prediction and adjustment methodology

	Inclusion error	Exclusion error	Share of transfers to bottom:		
			10%	20%	40%
<i>Panel A: Models using administrative data</i>					
forward selection	0.357 [0.324, 0.39]	0.261 [0.229, 0.294]	0.152 [0.141, 0.164]	0.303 [0.284, 0.321]	0.556 [0.532, 0.58]
lasso	0.309 [0.293, 0.325]	0.267 [0.252, 0.283]	0.153 [0.147, 0.16]	0.301 [0.292, 0.31]	0.576 [0.564, 0.587]
elastic net	0.31 [0.293, 0.325]	0.267 [0.251, 0.283]	0.154 [0.148, 0.16]	0.301 [0.292, 0.311]	0.576 [0.563, 0.589]
ridge	0.305 [0.289, 0.322]	0.268 [0.252, 0.282]	0.155 [0.149, 0.161]	0.303 [0.294, 0.313]	0.579 [0.566, 0.591]
OLS	0.364 [0.33, 0.397]	0.259 [0.225, 0.291]	0.149 [0.138, 0.16]	0.304 [0.287, 0.322]	0.554 [0.532, 0.577]
random forest	0.391 [0.36, 0.421]	0.231 [0.203, 0.262]	0.133 [0.122, 0.144]	0.277 [0.262, 0.293]	0.521 [0.502, 0.541]
<i>Panel B: Short form verifiable assets survey</i>					
lasso	0.286 [0.272, 0.302]	0.243 [0.228, 0.258]	0.151 [0.145, 0.157]	0.31 [0.301, 0.319]	0.593 [0.582, 0.605]

Note: Figure presents prediction performance metrics across methods and data sources. Statistics presented are mean error rate and a 95% empirical confidence interval from 1,000 bootstrap replications.

III.4 Tracing the source of prediction accuracy differences

We next undertake an analysis in which we explore the specific factors that generate differences in error rates between the survey-based and administrative data approaches. That is, are there a small number of features that could be selectively added to the administrative data to achieve survey-level error rates, and if so, what would these be? To do this, we augment our administrative data-based lasso models iteratively with the features from a single survey question to estimate the feature-wise contribution to targeting accuracy. Figure III contains the result of this analysis, plotting the marginal change to net inclusion and exclusion error rates by feature added to the model; Appendix Figure I plots effects on inclusion and exclusion error separately.

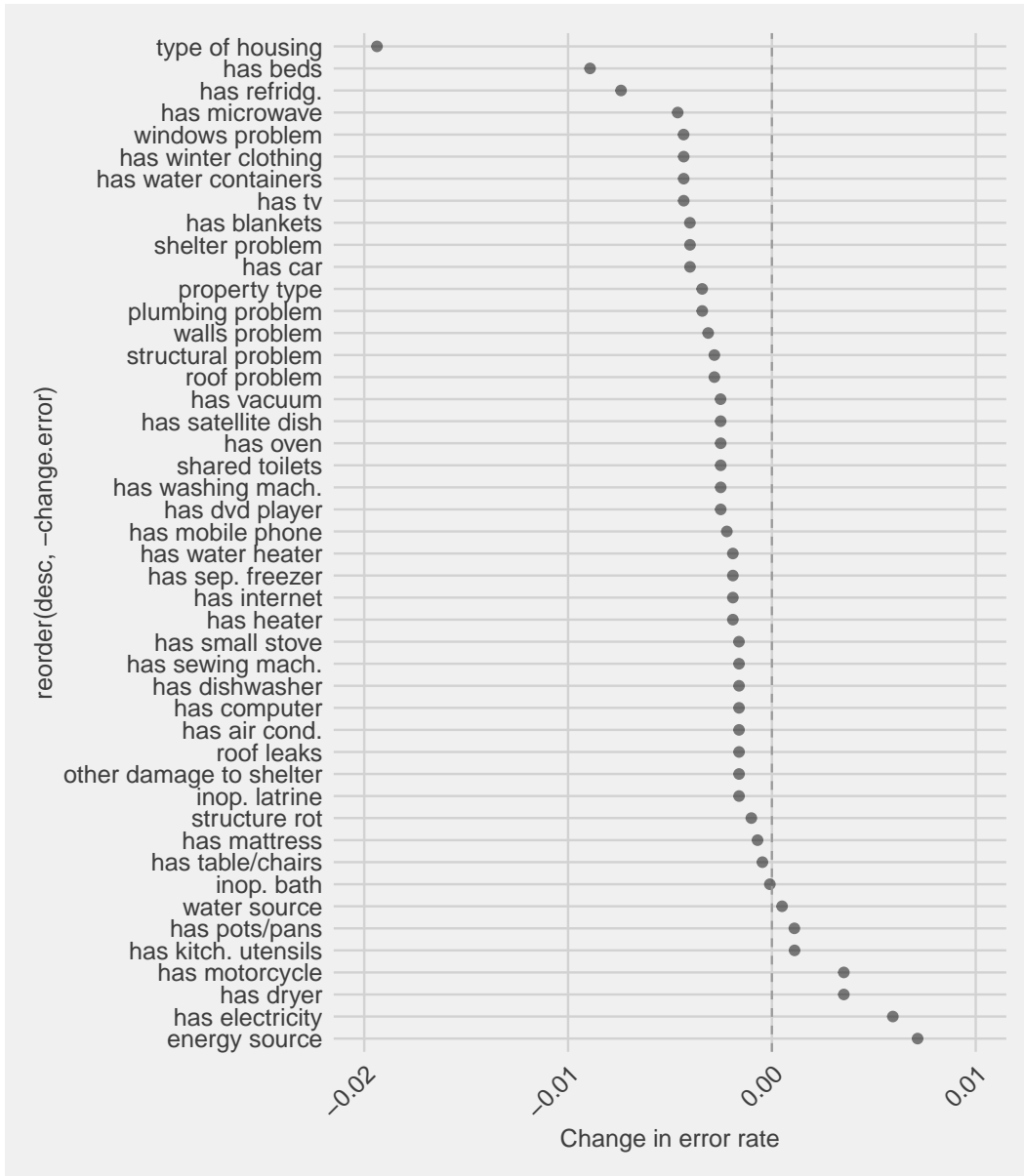
In Figure III, we see a clear pattern of prediction performance gains attributable to additional knowledge about the type of housing inhabited by the household,²⁰ providing improvement jointly in inclusion and exclusion error. A small number of basic household furniture questions (beds, refrigerator) provide modest improvements in overall error; the vast majority of the other features provide trivial improvements in error rates, with some features increasing model error.²¹ Adding a single type of housing question to the administrative data base would improve the targeting accuracy around 2 percentage points, which would fully compensate for

²⁰This variable can take 14 values, including: Active construction site, Agricultural/engine/pump room, Apartment/house, Concierge's room in residential building, Factory, Farm, Garage, Hotel room, Prefab unit, School, Shop, Tent, Warehouse, or Workshop. Additional analyses suggest the most predictive individual values of this question are whether the household resides in an apartment, or a tent.

²¹Whether such features could be accurately captured through intake interviews that take place on UNHCR premises and not the dwelling of the refugee is an open question; this analysis is used to illustrate the principle behind one way to identify additional accuracy-enhancing features.

the targeting differences across models reported in Figure II.

Figure III: Reduction in targeting error from single survey question added to administrative-data-based lasso model



Note: Figure plots the change in combined error from the lasso model per single feature added to the candidate vector.

III.5 Prediction performance: out-of-sample validation

For out-of-sample validation, we use data collected by UNHCR and WFP in July 2018 from 521 randomly selected households that were not part of the 2018 VASyR sample.²² While such validation is commonly (and more easily) done by splitting the initial sample into training, testing, and (blinded) validation subsets, the choice to collect an additional sample was made to assess both validity and reliability, as the data would be collected several months later than the training sample. Given the volatility of refugee households' situations as well as high levels of mobility, this approach lends additional insight into whether the model is intertemporally accurate – specifically whether accuracy changes substantially between the time the survey data were collected and the implementation of the program (using more recent data) several months later.

In the validation survey, the expenditure module was the same as that used in the 2018 VASyR survey, allowing us to recover a measure of expenditure per capita equivalent to that used in the modeling process. Furthermore, the same enumerators who collected the VASyR data also collected the validation survey. The sample was constructed to exclude households in the training sample and was collected after, but blind to the outcome of, the targeting model's prediction(s). To gauge and reduce measurement error, each household was visited and assessed by two enumerators.²³

²²Due to logistical constraints, the sample was drawn from 11 of 26 districts in Lebanon, of which 9 were randomly selected. See Section A2 for more details of the sampling design.

²³Appendix Table III contains summary statistics of the variables collected in the validation sample, and compares them to comparable measures from the VASyR both for the same district sample and the whole sample. As expected, the households in the validation sample are highly similar in basic measures of welfare and demographics to the comparable VASyR sample: across Panel A and B, we see that the median household expenditure per capita was about \$81.79 in the validation sample, compared to \$79.24 in the VASyR. Household size is similar (approximately five in both

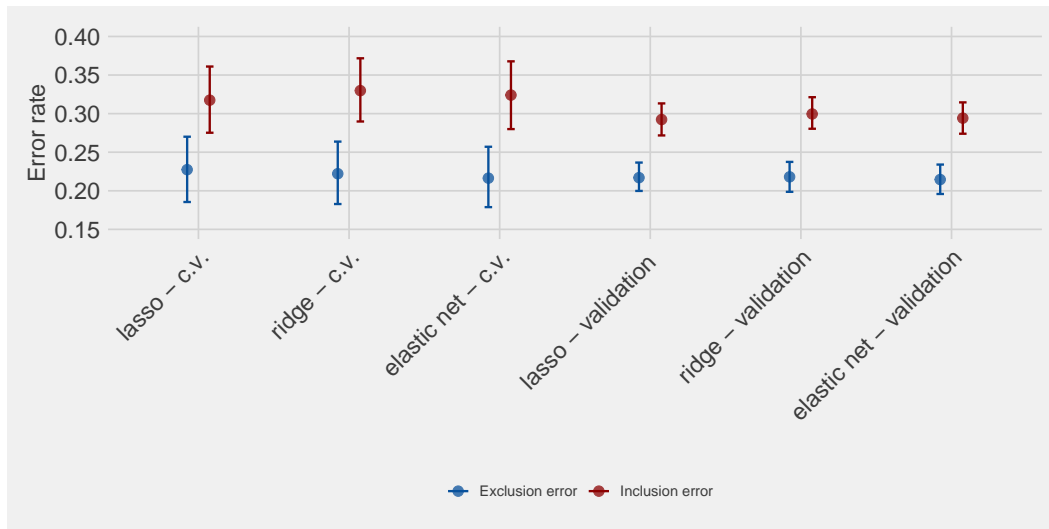
Figure IV contains inclusion and exclusion error rates based on model cross-validation as well as the blinded out-of-sample validation sample for households in the set of districts that surveyed in the validation sample. Overall, this test yields highly comparable prediction performance relative to the cross-validated error rates: in this sample, lasso, ridge, and elastic net models all generate cross-validated inclusion and exclusion error rates between 31 and 32 percent; in the blinded validation data, these same models yield error rates slightly lower (between 29 and 30 percent). This analysis not only confirms the cross validated error rates, as expected, but provides evidence of intertemporal reliability of the model, at least to the degree to which there is a gap in the data used for model derivation and program implementation using more recent administrative records.²⁴

III.6 Accuracy of targeting a refugee population

A crucial remaining question is whether any poverty targeting can be accurate among refugees. Given the unique characteristics of refugee populations relative to the poor in the host community, it is not obvious as to whether policymakers should hold similar expectations over the ability to accurately target poverty in humanitarian crises independent of the targeting method. To provide some insights, Figure V overlays the performance of the survey-based approach (in blue) and our samples), as is the share of severely vulnerable households (53 percent, compared to 56 percent).

²⁴For practical purposes, the choice to collect an additional sample for validation also preserved a larger sample size for training the data, and was useful in building consensus as to the value of using a method that otherwise eliminates face-to-face contact between field workers and refugee households for targeting. The process we follow made predictions about families that field staff have never visited before, and then they had the opportunity to verify the predictions via household visits – somewhat easing the skepticisms of field staff on the capacity of this type of approach to accurately predict vulnerability.

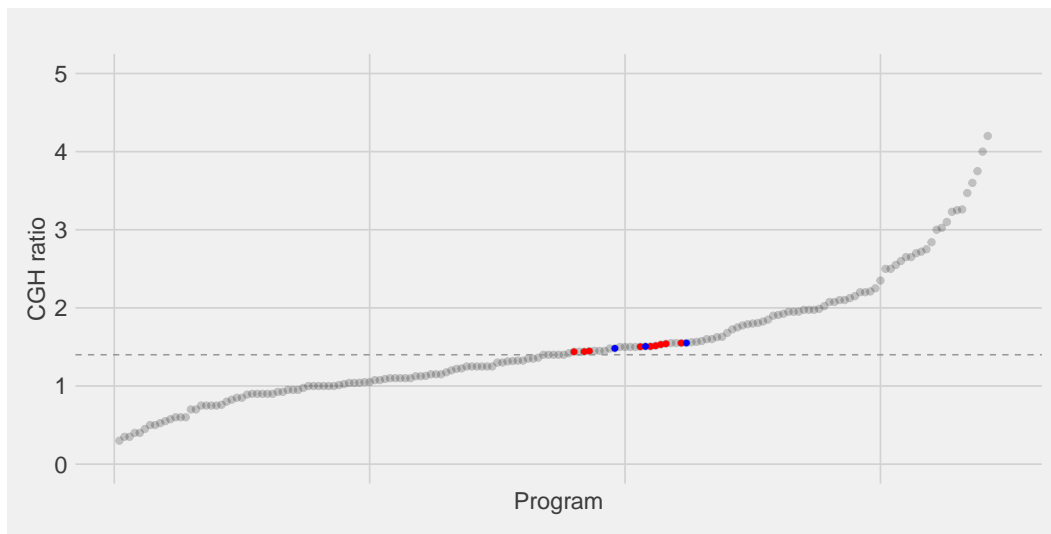
Figure IV: Model cross-validation error rates versus blind out-of-sample validation



Note: Figure plots cross-validated error rates and out-of-sample error rates from the additional validation data collected after model development.

regularized regression models (in red) in the distribution of accuracy rates of the 85 targeted social welfare programs implemented in developing countries and are reviewed by [Coady et al. \(2004\)](#). First, the targeting of poverty among refugees, even in the survey-based approach, performed slightly above the median of other known programs – implying that targeting poverty among refugees is neither substantially more difficult nor substantially easier compared to other antipoverty programs and their respective beneficiaries. Second, the use of survey or administrative data does not meaningfully change the relative performance of the program in view of the distribution of accuracy across programs worldwide.

Figure V: Prediction performance metrics, Lebanon cash targeting compared to programs analyzed in Coady et al. (2004)



Note: Figure presents prediction performance metrics across programs reviewed by [Coady et al. \(2004\)](#). Each position on the x-axis is one program CGH ratio; some programs report multiple. The red series shows the CGH ratios for the lasso, elastic net, and ridge regression models described above; each model reports three ratios (CGH10, 20 and 40). The blue series plots analogous CGH ratios for the simulated survey-based approach.

III.7 Cost of targeting

As discussed above, the main consideration between alternative approaches is one of relative cost: targeting based on survey data incurs a substantial cost per household visit, even for short-form surveys. Assuming an all-inclusive cost of \$25 per household visit²⁵ and a program scale (using the figures reported in Table I of nearly one million people of an average size of five, yielding 200,000 households), the survey-based approach would cost around \$5 million. This amount would allow the program to include more than 2,300 additional families in the cash program – approximately equal to the implied number of wrongly excluded families by the lasso model using administrative data relative to the short-form survey PMT ($110,000 \times [.266 - .243]$). This calculation, of course, assumes that logistical capacity would be available for a program of this size, that costs would not grow with the scale of the operation, and that all households could be found, reached, and scored for targeting; in practice, these factors may or may not be present in any given context.

III.8 Further considerations

We now discuss additional considerations related to the application of the above approach to poverty targeting. The first is whether accuracy is maintained when targeting smaller shares of the population. Up to this point, the analysis presents error rates when targeting approximately 55% of the refugee population; Figure VI

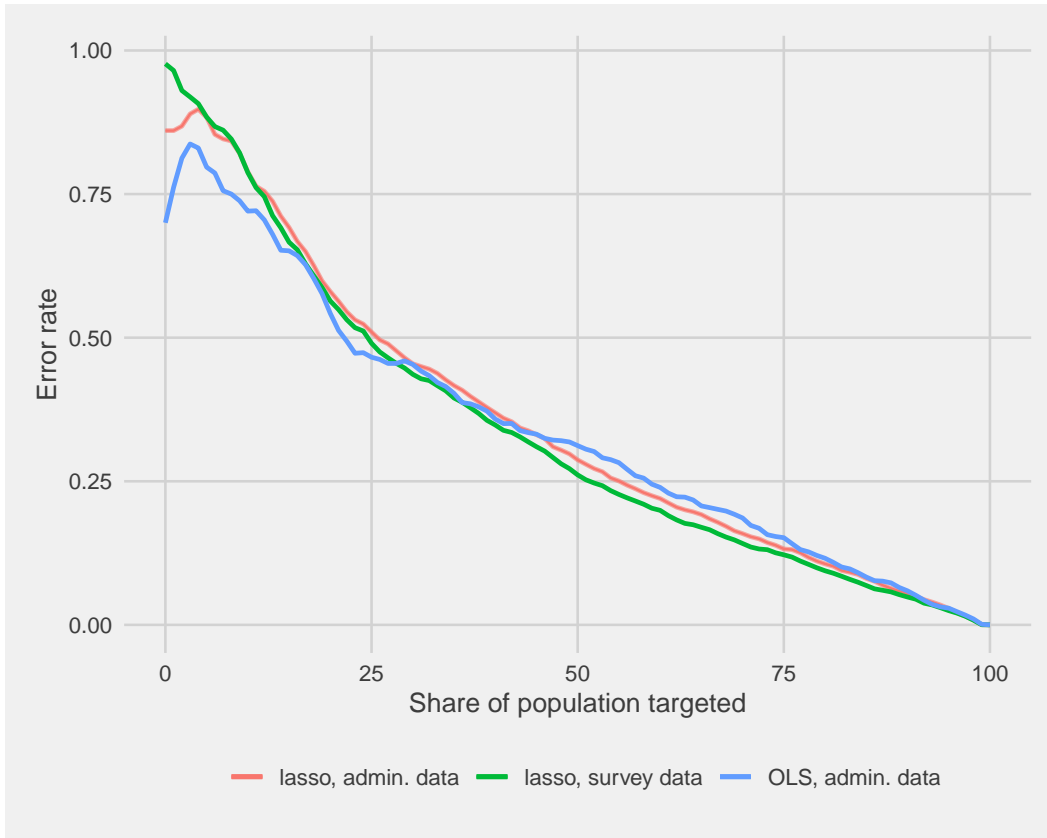
²⁵\$25 per household visit is an average cost for a medium-sized survey in the region. Experts we consulted suggest that the unit price would increase substantially if a very large number of households were to be surveyed in a relatively short period (under four weeks), and preparations for such an operation would require additional time and fiscal resources, with the potential for costs to reach up to \$40 per household visit; the estimates we present are thus conservative.

contains inclusion/exclusion error rates when targeting from one to 99 percent of the population.²⁶ By construction, error rates approach 100% as the targeted share of the population approaches zero. Using non-regularized linear regression appears to improve accuracy when the objective is to predict a small number of households into the lower tail of the distribution, although programs of such small scale are often more conducive to categorical targeting or a case management approach in which individual cases are assessed through interviews and household visits.

The second regards the frequency with which targeting models should be updated. In an environment with large population in- or out-flows or a rapidly changing policy environment, frequent re-assessment is likely to be beneficial to targeting accuracy. In more stable, protracted situations, collecting a new sample survey and reestimating the model annually might only yield minimal benefit to targeting accuracy. As to the frequency of updates to administrative data, while up-to-date administrative records are ideal, the strongest predictors of economic vulnerability are often structural and persistent – such as education and the ability to supply labor. Therefore, fields that hold promise for improving targeting but are often not found in administrative data include accurate measurements of human capital and labor supply capacity. Future work should test the value to targeting of various measures of human capital and labor supply capacity, among others, with a view towards their potential incorporation into administrative records at the registration stage.

²⁶Because this calculation is based on targeting shares of the population, inclusion and exclusion errors are equivalent conditional on share targeted and method due to the fact that there is a one-for-one replacement of false positives for false negatives. Inclusion and exclusion error rates will diverge when the error is calculated based on an absolute value, as in all other analysis presented in the paper.

Figure VI: Inclusion/exclusion error by share of population targeted



Note: Figure presents prediction performance metrics across methodology and differing shares of population targeted.

IV Conclusion

An econometric targeting model for unconditional cash transfers based on limited information captured in typical administrative records held by humanitarian agencies performs approximately as well as a traditional PMT requiring a short-form survey of the entire potentially eligible population. These findings have implications for the understanding of the prerequisites for successful targeting of large scale cash and food assistance programs, especially in the context of humanitar-

ian aid. The use of administrative data, which captures structural predictors of poverty, reduces the concern over misreporting of household composition or assets in annually-repeated targeting surveys ([Banerjee et al., 2018](#); [Camacho and Conover, 2011](#)). A small reduction in targeting error comes at substantial costs, and could be alternatively achieved through the addition of a small number of fields to the administrative records. Our findings suggest that policymakers should consider targeting methods that maximize the use of existing data, and should additionally provide scope to include new features into administrative data should they be identified as beneficial for program targeting.

References

- Abadie, A. and Kasy, M. (2019). Choosing among regularized estimators in empirical economics: The risk of machine learning. *The Review of Economics and Statistics*, (forthcoming).
- Abelson, B., Varshney, K. R., and Sun, J. (2014). Targeting direct cash transfers to the extremely poor. *Proceedings of the 20th ACM SIGKDD international conference on Knowledge discovery and data mining*, pages 1563–1572.
- Alatas, V., Banerjee, A., Hanna, R., Olken, B. A., Purnamasari, R., and Wai-Poi, M. (2016). Self-targeting: Evidence from a field experiment in Indonesia. *Journal of Political Economy*, 124(2):371–427.
- Alatas, V., Banerjee, A., Hanna, R., Olken, B. A., and Tobias, J. (2012). Targeting the poor: Evidence from a field experiment in Indonesia. *American Economic Review*, 102(4):1206–40.
- Andini, M., Ciani, E., de Blasio, G., D’Ignazio, A., and Salvestrini, V. (2018). Targeting with machine learning: An application to a tax rebate program in Italy. *Journal of Economic Behavior & Organization*, 156:86 – 102.
- Arendt, H. (1943). We refugees. *The Menorah Journal*, 31:69.
- Baird, S., McIntosh, C., and Özler, B. (2013). The regressive demands of demand-driven development. *Journal of Public Economics*, 106:27 – 41.
- Banerjee, A., Hanna, R., Olken, B. A., and Sumarto, S. (2018). The (lack of)

- distortionary effects of proxy-means tests: Results from a nationwide experiment in Indonesia. Working Paper 25362, National Bureau of Economic Research.
- Basurto, P., Dupas, P., and Robinson, J. (2017). Decentralization and efficiency of subsidy targeting: Evidence from chiefs in rural Malawi. *NBER Working Paper No. 23383*.
- Blumenstock, J., Cadamuro, G., and On, R. (2015). Predicting poverty and wealth from mobile phone metadata. *Science*, 350:1073–1076.
- Blumenstock, J. E. (2016). Fighting poverty with data. *Science*, 353(6301):753–754.
- Brown, C., Ravallion, M., and van de Walle, D. (2018). A poor means test? Econometric targeting in Africa. *Journal of Development Economics*, 134:109 – 124.
- Camacho, A. and Conover, E. (2011). Manipulation of social program eligibility. *American Economic Journal: Economic Policy*, 3(2):41–65.
- CARE (2019). Suffering in silence iii: The 10 most under-reported humanitarian crises of 2018. *CARE.org*.
- Chen, X. and Nordhaus, W. D. (2011). Using luminosity data as a proxy for economic statistics. *Proceedings of the National Academy of Sciences*, 108(21):8589–8594.
- Coady, D., Grosh, M., and Hoddinott, J. (2004). *Targeting of transfers in developing countries: Review of lessons and experience*. The World Bank.

- Devereux, S., Masset, E., Sabates-Wheeler, R., Samson, M., te Lintelo, D., and Rivas, A.-M. (2015). Evaluating the targeting effectiveness of social transfers: a literature review.
- Donaldson, D. and Storeygard, A. (2016). The view from above: Applications of satellite data in economics. *Journal of Economic Perspectives*, 30(4):171–98.
- Fantuzzo, J. and Culhane, D. P., editors (2015). *Actionable Intelligence: Using Integrated Data Systems to Achieve a More Effective, Efficient, and Ethical Government*. Palgrave Macmillan.
- Hastie, T., Tibshirani, R., and Friedman, J. (2009). *The Elements of Statistical Learning: Data Mining, Inference, and Prediction, Second Edition (Springer Series in Statistics)*. Springer.
- Heckman, J. J. and Smith, J. A. (1995). Assessing the case for social experiments. *Journal of Economic Perspectives*, 9(2):85–110.
- Henderson, J. V., Storeygard, A., and Weil, D. N. (2012). Measuring economic growth from outer space. *American Economic Review*, 102(2):994–1028.
- Jean, N., Burke, M., Xie, M., Davis, W. M., Lobell, D. B., and Ermon, S. (2016). Combining satellite imagery and machine learning to predict poverty. *Science*, 353(6301):790–794.
- Kidd, S., Gelders, B., and Bailey-Athias, D. (2017). Exclusion by design : an assessment of the effectiveness of the proxy means test poverty targeting mechanism. ILO working papers, International Labour Organization.

- Kilic, T., Whitney, E., and Winters, P. (2014). Decentralised Beneficiary Targeting in Large-Scale Development Programmes: Insights from the Malawi Farm Input Subsidy Programme. *Journal of African Economies*, 24(1):26–56.
- Knippenberg, E., Jensen, N., and Constan, M. (2018). Resilience, shocks, and the dynamics of food insecurity: Evidence from Malawi. *Working paper*.
- Kshirsagar, V., Wieczorek, J., Ramanathan, S., and Wells, R. (2017). Household poverty classification in data-scarce environments: a machine learning approach. *arXiv preprint arXiv:1711.06813*.
- McBride, L. and Nichols, A. (2018). Retooling poverty targeting using out-of-sample validation and machine learning. *World Bank Economic Review*, 32(3):531–550.
- Office, U. L. B. C. (2018). Unhcr - registration - lebanon - map of registered syrian refugees by district in lebanon - 31/07/2018. Technical report, UNHCR.
- Schreiner, M. (2010). Seven extremely simple poverty scorecards. *Enterprise Development and Microfinance*, 21(2):118–136.
- Schüring, E. (2014). Preferences for community-based targeting - field experimental evidence from Zambia. *World Development*, 54:360 – 373.
- Sharp, K. (2015). Review of targeting of cash and food assistance for syrian refugees in Lebanon, Jordan and Egypt. Report, United Nations High Commissioner for Refugees and the World Food Programme.

- Sohnesen, T. P. and Stender, N. (2017). Is random forest a superior methodology for predicting poverty? An empirical assessment. *Poverty & Public Policy*, 9(1):118–133.
- UNHCR, UNICEF, WFP (2017). The vulnerability assessment for Syrian refugees in Lebanon. Report, United Nations High Commissioner for Refugees, United Nations Children’s Fund, The World Food Programme.
- World Bank (2018). *Moving for Prosperity: Global Migration and Labor Markets*. The World Bank.
- UNHCR (2018). The 2016 Statistical Yearbook. Report, United Nations High Commissioner for Refugees.
- Verme, P. and Gigliarano, C. (2019). Optimal targeting under budget constraints in a humanitarian context. *World Development*, 119:224 – 233.
- Verme, P., Gigliarano, C., Wieser, C., Hedlund, K., Petzoldt, M., and Santacrose, M. (2016). *The Welfare of Syrian Refugees: Evidence from Jordan and Lebanon*. The World Bank, Washington, DC.

A1 Appendix Tables and Figures

Appendix Table I: Candidate variables list

<u>Demographic Variables</u>	<u>Type</u>	<u>Year of Arrival</u>	<u>Type</u>
Household Size	Positive integer	2011 and before	Indicator [0/1]
Household Size Squared	Positive integer	2012	Indicator [0/1]
Dependency ratio	Continuous [0,1]	2013	Indicator [0/1]
Age of the HoH	Continuous [0,100]	2014	Indicator [0/1]
Female HoH	Indicator [0/1]	2015	Indicator [0/1]
Frac. of HH members aged 0-5	Continuous [0,1]	2016	Indicator [0/1]
Frac. of HH members aged 6-10	Continuous [0,1]	2017 and after	Indicator [0/1]
Frac. of HH members aged 11-17	Continuous [0,1]		
Frac. of male members aged 18-50	Continuous [0,1]		
Frac. of female members aged 18-50	Continuous [0,1]		
Frac. of members older than 60	Continuous [0,1]		
<u>Education</u>			
Frac. of HH members education Unknown	Continuous [0,1]		Continuous [0,1]
Frac. of HH members no education	Continuous [0,1]		Continuous [0,1]
Frac. of HH members some education below primary	Continuous [0,1]		Indicator [0/1]
Frac. of HH members with primary education	Continuous [0,1]		Indicator [0/1]
Frac. of HH members secondary education	Continuous [0,1]		Indicator [0/1]
Frac. of HH members above secondary education	Continuous [0,1]		Indicator [0/1]
<u>Occupation</u>			
Frac. of HH members with Unknown occupation	Continuous [0,1]		
Frac. of HH members Housekeepers	Continuous [0,1]		
Frac. of HH members with No Occupation	Continuous [0,1]		
Frac. of HH members in Service jobs	Continuous [0,1]		
Frac. of HH members Laborer	Continuous [0,1]		
Frac. of HH members Students	Continuous [0,1]		
<u>Assistance received</u>			
7 types of assistance received			Vector of indicators
<u>Location of Arrival</u>			
26 Districts of Lebanon			Vector of indicators
<u>Location of Origin</u>			
10 Main Governorates in Syria			Vector of indicators

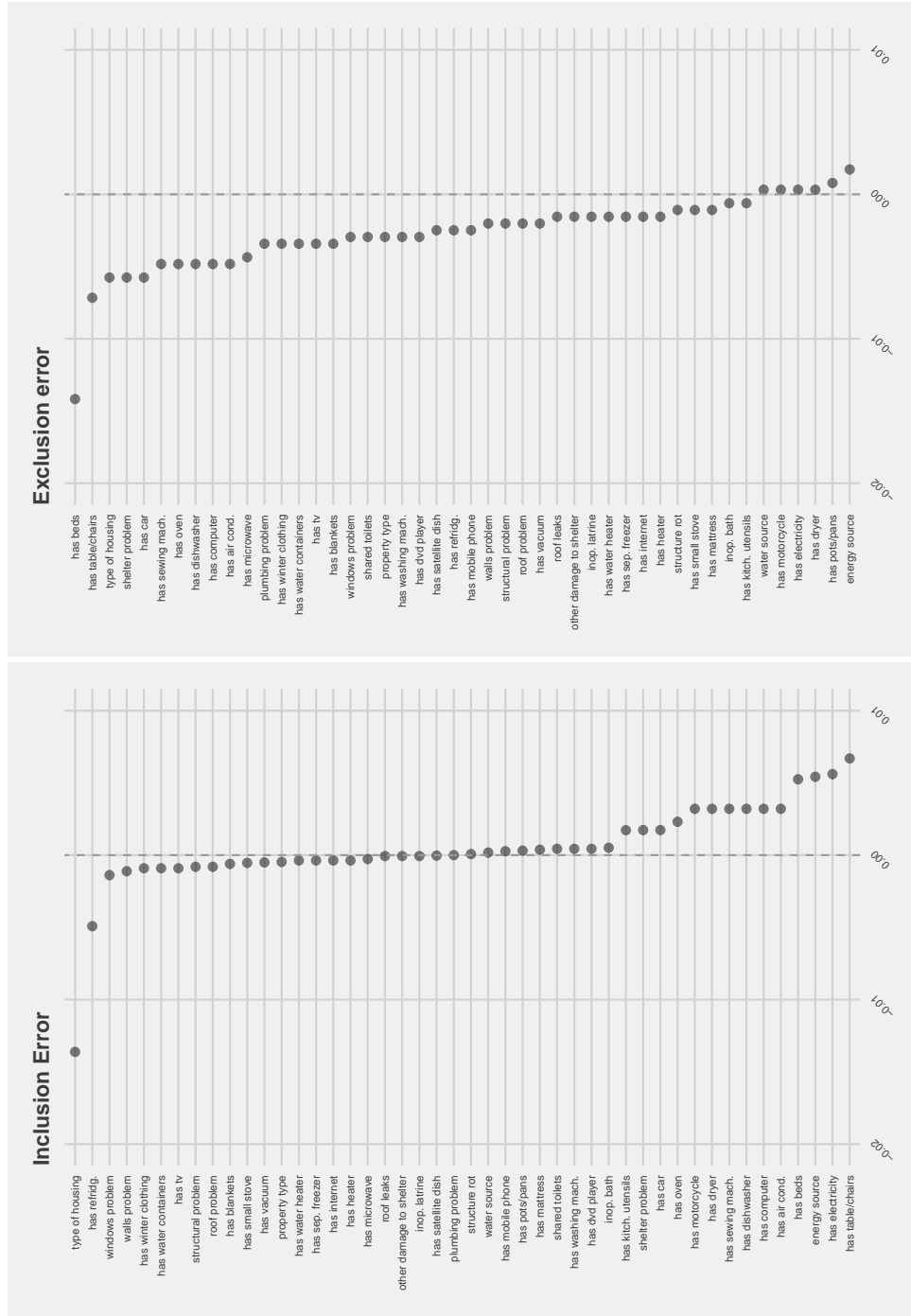
Note: There are three types of variables we use: integer, continuous, and indicator. Integer variables take positive integer values only. Continuous variables can (but do not necessarily) take any value on the closed interval indicator. Indicator variables capture whether the household exhibits the characteristic indicated.

Appendix Table II: Short-form approach verifiable demographics, conditions, and assets candidate variables list

<u>Home size and meals</u>	<u>Type</u>	<u>Structure/shelter conditions</u>	<u>Type</u>
# rooms	Positive integer	Structure in Dangerous Condition	Indicator [0/1]
M2 of dwelling	Positive integer	Structure in Substandard	Indicator [0/1]
Household size	Positive integer	Shelter may collapse	Indicator [0/1]
M2 per person	Positive integer	Shelter has damaged roof	Indicator [0/1]
Bathrooms	Positive integer	Shelter structurally weak	Indicator [0/1]
Meals per day - Adults	Positive integer	Shelter had unsealed windows	Indicator [0/1]
Meals per day - Children	Positive integer	Shelter has leaking roof	Indicator [0/1]
		Structure has rot	Indicator [0/1]
		Shelter has damaged walls	Indicator [0/1]
		Shelter has faulty plumbing	Indicator [0/1]
		Shelter has unuseable latrine	Indicator [0/1]
		Shelter has unuseable bath	Indicator [0/1]
		Shelter lacks electricity	Indicator [0/1]
		Shelter had other damage	Indicator [0/1]
		Type of housing (14 categories)	Vector of indicators
		Shelter type (Perm./Non-perm./Resid.)	Indicator [0/1]
		Household shares toilets	Indicator [0/1]
		Wastewater destination (7 categories)	Vector of indicators
		Energy source (15 categories)	Vector of indicators
		<u>Demographics</u>	<u>Type</u>
		Men	Positive integer
		Women	Positive integer
		HH members <5	Positive integer
		HH members 6-10	Positive integer
		HH members 11-17	Positive integer
		HH members 18-60	Positive integer
		HH members 61+	Positive integer
		Working-age men	Positive integer
		Working-age women	Positive integer
		Medical condition	Positive integer
		Disability	Positive integer
		60+ with medical cond.	Positive integer
		Age of HH head	Positive integer
		Female Head of Household	Indicator [0/1]
		<18 Head of Household	Indicator [0/1]
		60+ Head of Household	Indicator [0/1]
		Disabled Head of Household	Indicator [0/1]
		Head of Household has Med. Cond.	Indicator [0/1]
		Dependents	Positive integer
		Working-age adults	Positive integer
		Disabled dependents	Positive integer
		Members with serious medical cond.	Positive integer
		60+ unable to work	Positive integer
		60+ caregivers	Positive integer

Note: See Appendix Figure I

Appendix Figure I: Reduction in targeting error from single survey question added to administrative-data-based lasso model



Note: Figure plots the change in inclusion error from the lasso model per single feature added to the candidate vector.

Appendix Table III: Summary statistics, Validation sample

Statistic	Mean	St. Dev.	Median	N
<i>Panel A: Summary statistics, Validation sample (11 districts)</i>				
Expenditure per capita (USD)	107.098	100.237	81.792	1,042
Household size	5.094	2.335	5	1,042
Is vulnerable	0.534	0.499	1	1,042
PBVS (0-110; 110=most vulnerable)	58.023	17.813	58.333	1,042
<i>Panel B: Summary statistics, VASyR (11 districts)</i>				
Expenditure per capita (USD)	96.843	71.568	79.238	2,389
Household size	4.980	1.987	5	2,389
Is vulnerable	0.563	0.496	1	2,389
<i>Panel C: Summary statistics, VASyR (All districts)</i>				
Expenditure per capita (USD)	105.598	75.680	86.000	4,659
Household size	4.931	1.971	5	4,659
Is vulnerable	0.508	0.500	1	4,659

A2 Data Collection for Model Validation

A2.1 Survey Instrument

The data collection instrument aimed to (i) collect basic data about the household, (ii) open the conversation between the interviewers and the family to observe the welfare of the household, (iii) collect expenditure and food consumption data in a similar way to VASyR to undertake an out-of-sample prediction test and (iv) collect the subjective assessments of the interviewers on fulfillments of basic needs in the household. The data collection instrument included the following components:

- General information on the household composition
- Dimensions of vulnerability (food, shelter conditions, access to healthcare, income and debt, coping strategies, general subjective assessment)
- Monthly expenditure
- Weekly food consumption

The sections on household composition, expenditure and food consumption followed the VASyR data collection instrument closely so that the data can be comparable. Each section in the “dimensions of vulnerability component” was composed of background questions through which the interviewer can open the conversation with the household and receive information. Each of 12 subjective assessment questions answered by the interviewers had options that are equivalent to vulnerability categories used by UNHCR (not vulnerable, mildly vulnerable, highly vulnerable,

severely vulnerable).²⁷

A2.2 Sampling Design and Data Collection

The data collection for the validation exercise was based on a random sample of 521 households from 11 districts in Lebanon, nine of which were randomly selected from the administrative data. Two other districts were imposed on the sample to ensure that governorates with only one district (Akkar and Beirut) are represented in the sample. To ensure sample size was maintained, we prepared a list of 2750 additional households to the field offices as potential sample replacements in the case of non-response among the households sampled. Note that the validation exercise sample is not representative of the population of concern in Lebanon due to administrative constraints in conducting the survey.²⁸ However, we did not expect this to have a substantial impact on the validation exercise. The main aim of this exercise was to assess the correlation between subjective vulnerability assessment and expenditure per capita and predicted scores. The requirements of this aim was fulfilled given the high level of variation in vulnerability across and within 11 districts in which the survey was conducted. Appendix Table IV provides information on the sampling structure.

During each household visit, two interviewers collected data together but separately provided answers to the same questionnaire. This was to ensure that the subjective nature of perception-based assessment is at least partially mitigated by

²⁷The full survey instrument is available in the Web Appendix.

²⁸These included time constraints (the survey had to be fielded in one week) and additional authorizations required in some regions of the country.

A2.2 Sampling Design and Data Collection

Appendix Table IV: Sampling design for the validation exercise data collection

Region	Number of randomly selected districts	Imposed districts	Total districts	Number of randomly selected villages	Number of randomly selected households
North	2	Akkar	3	30	150
South	2		2	20	100
Bekaa	3		3	30	150
Beirut and Mount Lebanon	2	Beirut	3	30	150
Total	9		11	110	550

collecting two subjective assessment about the same household. The collected raw data included 1216 observations including both Syrian and non-Syrian populations of concern. The final sample excluded non-Syrian households, those with a missing case ID²⁹ as well as families for which we could only obtain one survey response.³⁰ The main analysis is based on a sample of 1042 observations (521 households), and Appendix Table V shows the distribution of the sample by governorate.

²⁹Households in which the data collection team were not able to collect a correct case ID.

³⁰Data from non-Syrian households were collected by the same data collection teams and with the same data collection instrument, as UNHCR wanted to conduct a similar validation exercise for the formula they use for distributing cash assistance to non-Syrian refugee families. They were excluded from the sample for these analyses because the formulae used for Syrian refugees and non-Syrian refugees are different.

Appendix Table V: Realized sample and distribution of observations across governorates

Region	Governorate	Number of observations in the realized sample
North	North	198 (99)
	Akkar	100 (50)
South	South	98 (49)
	Nabatieh	100 (50)
	Baalbek-Hermel	100 (50)
Bekaa	Bekaa	200 (100)
Beirut and Mount Lebanon	Beirut	74 (37)
Beirut	Mount Lebanon	172 (86)
Total		1042 (521)

A3 Validation Survey Instrument

DATA COLLECTION INSTRUMENT FOR THE VALIDATION EXERCISE

0. Taking the consent of the household head

We are conducting a survey on the behalf of a humanitarian organization and we would like to ask you some questions about you and/or your family. Some of these questions relate to your personal data such as your name, the names of your dependents, your address and telephone number in Lebanon. The aim of the survey is to have a better understanding of the living conditions and vulnerability of Syrian and other refugees in Lebanon. You have been randomly selected. The results of this research will be used by the humanitarian community to improve planning and humanitarian programs.

The interview usually takes about one hour to complete. This is voluntary, and you can choose not to answer any or all of the questions. We hope that you will participate since the information you will provide is essential to understand vulnerability and challenges faced by Syrian and other refugees. The answers you provide will not affect your eligibility for any type of assistance.

To ensure the coordination of the needed protection and assistance, we may need to share the collected information, including your personal data, with other humanitarian agencies.

In all cases, measures will be taken to prevent unauthorized dissemination of your personal data in line with international data protection standards.

If you don't have any questions, may we begin now?

Yes No

Date: _____

UNHCR Registration Number: _____

Name of the staff member filling out this form: _____

Name of the other team member conducting the visit together: _____

1. Household Composition

What is the composition of the household (immediate family, extended family, non-relatives)? How many children (and under 5s) are part of this household? Do children attend school? What are some details on the head of household and/or the breadwinner? Provide details on household members who have specific needs (disability, chronic illness, elderly). Please fill out the table accordingly. *(Collect this information for all people living in this household, even if it is shared by more than one family/case.)*

() Check here if this household is being shared with more than one family/case.

What is the total number of Household members? _____

Household Details								
Household member	Gender	Year of birth	Relation to the head of household	If school age child (age 3-24), was the child enrolled in school or education program in the last academic year (2017-18)?	Education (if age above 18)	Occupation in Syria	Is this person from the family/case that is being visited?	Special needs
	Male Female		HoH Wife/Husband Mother/Father Daughter/Son Brother/Sister Father-in-law/Mother-in-law Brother-in-law/Sister-in-law Grandfather/Grandmother Other (please specify)	Not enrolled Enrolled in pre-primary Enrolled in primary or secondary Enrolled in university Enrolled in vocational or technical education Enrolled in ALP (accelerated learning program)	No education Some education below primary Primary education Secondary education Above secondary education Don't know		Yes No, from a different case that shares the same household	None Has chronic illness (requires regular care and/or medication) Has disabilities In serious medical condition
1								
2								
3								
4								

5								
6								
7								
8								
9								
10								
11								
12								
13								

Has there been any recent change in the household composition? If yes, please note here.
(Examples: Birth, death, permanent return of some household members.)

Do you have further comments on the household composition?

2. Food

Background questions

(Ask the following questions to the interviewee. Based on the answers of these questions, assess the food security in this household. You do not have to ask all questions.)

- In the last week, have you ever been worried you would not have enough food to eat?
- In the last week, have you been unable to eat healthy and nutritious food?
- In the last week, did you only eat a few kinds of foods?
- In the last week, did you have to skip a meal?
- In the last week, did you eat less than you thought you should?
- In the last week, have your household ever run out of food?
- In the last week, have you ever been hungry but could not eat?
- In the last week, have you ever gone to bed hungry?
- In the last week, have you ever gone without eating for a whole day?



Interviewer assessment questions

This household is suffering from...

- Severe food insecurity Moderate food insecurity
 Mild food insecurity Does not suffer from food insecurity

Do you have further comments on the food security?

3. Shelter conditions and functioning assets

Background questions

- *(Observe, do not ask)* What is the type of the housing? Is this building severely damaged and/or at risk of collapse?
- How much is the rent for this shelter? How much do you pay? When is the last time you paid? Is there a risk of eviction?
- *(Ask for the permission to observe the shelter and take notes while observing)* How many rooms are in this shelter? How do the members of the household share the space? How many people are there per room? *(If possible list the rooms and takes notes for each of them on how they are used.)*
- What is the main source of potable and cooking water for this household? How do you access this source?
- How many toilettes/latrines does this HH have access to? How many people use these toilettes (including those outside of the household)?
- Do you regularly use personal and cleaning hygiene items (such as soap, toothbrush/paste, laundry detergent, cleaning products, etc.)?

Which of the following urgent repair needs does this household have? *(If you observe that the following needs exist, do NOT ask to confirm. Only ask those you do not observe.)*

- Windows not sealed to natural elements
- Leaking roof
- Leakage and rotteness in the walls
- Damaged walls
- Water network not functional
- Latrine/toilet not usable
- Bathing/washing facilities not usable
- Absence of electricity (Electricity not adequately installed)

(Observe, if you cannot see ask) Does the household have access to the following assets?

- Mattress (Basic)
- Blankets (Basic)
- Winter clothes (Basic)
- Gas stove (Basic)
- Winter heater
- Bed
- Table
- Sofa
- Fridge
- Washing machine

Interviewer assessment questions

This shelter is...

- Severely overcrowded (>3 people per room)
- Mildly overcrowded (>2 people per room)
- Highly overcrowded (> 2.5 people per room)
- Cannot be considered overcrowded (Less than 2 people per room)

Please pick one of the statements about the structural conditions of the shelter.

- This shelter is severely inadequate for a family to live in: It is in the danger of collapse or have several urgent repair needs or in informal settlements.
- This shelter is highly inadequate for a family to live in: It has urgent repair needs and the family does not seem to have resources to fix them.
- This shelter might be seen generally adequate to host the family but it has some serious repair needs.
- The shelter is generally adequate for the family.

Please pick one of the statements about the household assets.

- The assets of this household are severely inadequate: They do not have even some of the basic assets.
- The assets of this household are highly inadequate: Even though they have most or all of the basic assets, they lack some of the items.
- The assets of this household are mildly inadequate: They have most of the items listed above.
- The assets of this household are adequate: They have almost all of the items listed above and beyond.

The hygienic conditions in this household should be considered as...

- Severely inadequate
- Highly inadequate
- Mildly inadequate
- Adequate

Do you have further comments on shelter conditions and assets of the household?

4. Health

Background questions

- Are there chronically ill or disabled people in this household?
 - If yes, what type of medical care do these household members require (regular controls, treatments, or physical therapy, etc.)? How are they provided with these health care services?
- Did anybody in your household get ill in the last two months? What kind of illnesses did they have?
- Did these illnesses require seeing a doctor?
 - If yes, were you able to see a doctor?
 - If yes, where did this patient see a doctor? Did you pay for this visit?
 - If no, what were the reasons for not being able to see a doctor?
 - If no, would you have had access to a doctor if these illnesses had required a doctor? Which healthcare center would you go? What do you know about this center?
- Did these illnesses require hospitalization?
 - Were you able to hospitalize this patient?
 - If yes, where was this patient hospitalized? Did you pay for this hospitalization and treatment?
 - If no, what were the reasons for not being able to hospitalize this patient?
- Did these illnesses require medication and drugs? Were you able to acquire these drugs?

Interviewer assessment questions

In this household, access to (primary, secondary or tertiary) healthcare in situations of emerging illnesses is...

Severely inadequate Highly inadequate Mildly inadequate Adequate

In this household, access to (primary, secondary or tertiary) healthcare in situations of chronic illnesses is...

Severely inadequate Highly inadequate Mildly inadequate Adequate Not applicable

In this household, access to medication and drugs if they are required is...

Severely inadequate Highly inadequate Mildly inadequate Adequate Not applicable

Do you have further comments on access to health care of the household?

5. Household income and debt

Background questions

- In the last 60 days did any of household members work?
 - If yes, in what type of work did they work? In the last week, how many days did they spend working for this job? How much money did they earn from this work? (*Acquire details for each of the household members who worked.*)
(*Note to the interviewer: Collect information about working children, as well.*)
- How did Ramadan affect working and employment of people in your household?
- In the last 60 days, did anybody from the household borrow money and/or receive credit?
 - If yes, what prompted it?
 - If yes, from whom and how much? When do you need to pay it back?
- What is the current debt situation of the household? How are you dealing with this debt?
- What type of cash and in-kind assistance did you receive in the last 30 days?

Interviewer assessment questions

Please select one of the statements about the income situation of the family. (*While answering this question, do not take into account the income generated by child labor. Take family size into consideration.*)

- This family does not have any adult members who brings income to this family.
- Some members of this household might occasionally bring income to the household, but the employment is not stable and/or the amount is small, given the family size.
- Some adult members of this family at least occasionally work and bring a considerable income, but there are legitimate concerns about the stability of this employment.
- Some adult members of this family at least occasionally work and bring a considerable income, and it is credibly expected that this employment will continue in the upcoming six months.

Please select one of the statements about the debt situation of the family.

This family is under a heavy burden of debt (a large amount and has to be paid back soon)

This family is under a considerable burden of debt (a small amount that has to be paid back soon, or a larger amount with a more flexible payment schedule)

This family is under a small a burden of debt and the payment schedule is considerably flexible.

This family is not under a burden of debt.

Do you have further comments on the income and debt situation of the family?

6. Coping strategies

Background questions

- In the last 60 days, did your family lack resources to meet the basic needs (food, rent, health expenses) of the family members
 - If yes, what did you do in this situation?
 - Did you do anything you felt uncomfortable doing?
- Based on the answers to the above question pick which livelihood coping strategies the family implemented: (*Do not ask these directly, infer based on the conversation started by the above questions.*)

<i>Stress coping mechanisms</i>	<i>Crisis coping mechanisms</i>	<i>Emergency coping mechanisms</i>
Spend savings	Sell productive assets or means of transport	Involve school children in income activities
Sell household goods (not productive)	Withdrew children from school	Beg
Buy on credit	Reduce non-food expenses	Accept high-risk jobs
Incur debt	Marriage of children under 18	Sell house or land
	Survival sex	

Interviewer assessment questions

Please select one of the statements about the coping strategies of the family:

- () This family did not adopt any livelihood coping strategy.
- () This family mostly adopted stress coping mechanisms.
- () This family mostly adopted crisis coping mechanisms.
- () This family mostly adopted emergency coping mechanisms.

Do you have further comments on the coping strategies of the family

7. General subjective assessment

Interviewer assessment questions

Based on your observations, please indicate to which category you would place this household:

- Severe vulnerability:** The HH does not appear able to cover their basic needs, has insufficient food, inadequate shelter, unsafe and/or insufficient water for drinking/domestic use, and does not appear to have safe and/or sustainable income to survive in dignified conditions
- High vulnerability:** The HH appears to be able to cover only their basic needs, living conditions are only borderline adequate, and the HH relies heavily on support from others and/or negative coping strategies for survival
- Borderline vulnerability:** The HH appears to be able to cover their basic needs, their living conditions appear adequate, and the HH has a small but unstable income
- Mild/low vulnerability:** The HH is able to cover more than their most basic needs, lives in very adequate/good conditions, and appears to have a stable/safe/sustainable source of income

8. Expenditures

- Over the past month, what was the total household expenditure? (In LBP) _____
- What is the estimated total amount spent by the household during the past month on the following items, including cash or voucher assistance received (in LBP – must put '0' if nothing spent). *(Collect the expenditure data of the whole household if this household is shared by more than one family.)*

	Last month
<input type="checkbox"/> Food	
<input type="checkbox"/> Health and medical costs	
<input type="checkbox"/> Education costs (include only monthly expenses: transportation and snacks)	
<input type="checkbox"/> Rent	
<input type="checkbox"/> Shelter materials	
<input type="checkbox"/> Water	
<input type="checkbox"/> Gas	
<input type="checkbox"/> Fuel (do not include fuel for transport)	
<input type="checkbox"/> Transport (including fuel)	
<input type="checkbox"/> Electricity	
<input type="checkbox"/> Clothing	
<input type="checkbox"/> Communications (mobile, internet, satellite)	
<input type="checkbox"/> Soap and other household hygiene items (including diapers / nappies)	
<input type="checkbox"/> Household utilities or assets (such as cooking pots/utensils, furniture, etc)	
<input type="checkbox"/> Entertainment	
<input type="checkbox"/> Alcohol / tobacco / wine	
<input type="checkbox"/> Cost of registration/legalizing stay in Lebanon	
<input type="checkbox"/> Debt repayment	
<input type="checkbox"/> All the rest of expenditures (milling, labor, ceremonies, firewood, waste collection, Desludging (emptying) of toilets / septic tanks, agricultural and livestock inputs, purchase of income generating equipment, savings, gave money to other family or relatives, shelter material etc.)	

Do you have further comments on the expenditures of the household?

- How much money did you spend (including voucher) on the following foods during last month for your family consumption? (in LBP – must put ‘0’ if nothing spent) *(If the interviewee reports 0 for all food expenditures, flag the case as “might be receiving non-cash assistance”).*

	Last month
Bread, pasta	
Cereals (sorghum, millet, maize, wheat)	
Tubers (potatoes)	
Groundnuts/beans/pulses	
Milk/yoghurt/cheese	
Oil, fat, gee	
Sugar, sweets	
Canned food (tomato paste, tuna, meat)	
Fresh Meat/Chicken/eggs/fish	
Fresh Fruits and vegetables	
Other foods (condiments, spices, salt, etc.)	
Cooked/processed food eaten at home or outside by the family	

Do you have further comments on the food expenditures of the household?

9. Food consumption

- How many days over the last 7 days, did members of your household eat the following food items, prepared and/or consumed at home?

1. Tubers (potatoes) and Cereals (bread, rice, pasta, wheat, bulgur, other cereals) <i>(if 0, skip to 4)</i>	
2. Cereals (bread, rice, pasta, wheat, bulgur, other cereals)	
3. Tubers (potatoes)	
4. Legumes / nuts: beans, cowpeas, peanuts, lentils, nut, soy, pigeon pea, chick peas, Groundnut; Ground Bean; green peas, Cow Pea; and / or other nuts	
5. Milk and other dairy products: fresh milk / sour, yogurt, lebneh, cheese, other dairy products (Exclude margarine / butter or small amounts of milk for tea / coffee)	
6. Meat, fish and eggs: goat, beef, chicken, pork, blood, fish, turkey, including canned tuna, escargot, and / or other seafood, eggs (meat and fish consumed in large quantities and not as a condiment). <i>(if 0, skip to 11)</i>	
7. Flesh meat: beef, pork, lamb, goat, rabbit, chicken, duck, turkey other birds	
8. Organ meat: liver, kidney, heart and / or other organ meats	
9. Fish/shellfish: dried, fresh and smoked fish, including canned tuna, and / or other seafood (fish in large quantities and not as a condiment)	
10. Eggs	
11. Vegetables and leaves: spinach, onion, tomatoes, carrots, peppers, lettuce, cucumber, radish, cabbage etc. <i>(If 0 skip to 15)</i>	
12. Orange vegetables (vegetables rich in Vitamin A): carrot, red pepper, pumpkin, squash, orange sweet potatoes	
13. Green leafy vegetables: spinach, broccoli, amaranth and / or other dark green leaves, cassava leaves, wild leaves, chicory, rockets, mulukhiyi	
14. Other vegetables: onion, cucumber, radish, tomatoes, eggplants, zucchini etc...	
15. Fruits: banana, apple, lemon, mango, papaya, apricot, peach, waterlemon etc. <i>(If 0 skip to 18)</i>	
16. Orange fruits (Fruits rich in Vitamin A): mango, papaya, apricot, peach	
17. Other fruits: Banana, Apple, watermelon, cherry, dates	
18. Oil / fat / butter: olive oil, other vegetable oil, gee, Butter, margarine, other fats / oil	
19. Sugar, or sweet: sugar, honey, jam, cakes, candy, cookies, pastries, cakes and other sweet (sugary drinks)	
20. Condiments / Spices: tea, coffee / cocoa, salt, garlic, spices, yeast / baking powder, lanwin, tomato / sauce, meat or fish as a condiment, ketchup/hot sauce; u.Maggy cubes, powder; other condiments including small amount of milk / tea coffee	

Do you have further comments on the food consumption of the household?

10. End of the survey

Additional comments

Do you have any further comments about this household?

The visit to this household was your ... visit on this day:

- | | |
|--|--|
| <input type="checkbox"/> 1 st | <input type="checkbox"/> 5 th |
| <input type="checkbox"/> 2 nd | <input type="checkbox"/> 6 th |
| <input type="checkbox"/> 3 rd | <input type="checkbox"/> 7 th |
| <input type="checkbox"/> 4 th | <input type="checkbox"/> 8 th |

How long did the visit to this household take?

- 0 - 15 minutes
- 15 - 30 minutes
- 30 - 45 minutes
- 45 - 60 minutes
- 60 - 75 minutes
- 75 - 90 minutes
- More than 90 minutes