UNHCR
The UN Refugee Agency

Field Information and Coordination Support Section,
Division of Programme Support and Management,
UNHCR Headquarters, Geneva

EMERGENCY INFORMATION MANAGEMENT TOOLKIT

For response within the first two to four months of a refugee emergency

Acknowledgments: The development of the Toolkit was led by the Field Information and Coordination Support Section, Division of Programme Support and Management, UNHCR Geneva, with contributions by many colleagues in the field. The project manager was Jessica E.V. Schnabel.

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The Toolkit will be revised on an ongoing basis to reflect advancements in the field. Any related comments should be addressed to:

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The website for the Emergency Information Management Toolkit can be found at: http://data.unhcr.org/imtoolkit

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ACRONYMS

AIDS: Acquired Immune Deficiency Syndrome
ARC: Action for the Rights of Children
COD: Common Operational Dataset
CRI: Core Relief Item
FBM: Food Basket Monitoring
FOD: Fundamental Operational Dataset
FRAME: Framework for Assessing, Monitoring and Evaluating the Environment in Refugee-Related Operations Toolkit
GAM: Global Acute Malnutrition
GBVIMS: Gender-Based Violence Information Management System
GIS: Geographic Information System
GPS: Global Positioning System
HHs: Households
HIS: Health Information System
HTML: Hyper-Text Mark-up Language
IASC: Inter-Agency Standing Committee
ICRC: International Committee of the Red Cross
IM: Information Management
IMO: Information Management Officer
INGOs: International Non-Governmental Organization
IOM: International Organization for Migration
IRC: International Rescue Committee
Kcal: Kilocalories to calories
MAM: Moderate Acute Malnutrition
MFT: Multi-Functional Team
MUAC: Mid-Upper Arm Circumference
NGO: Non-Governmental Organization
OCHA: United Nations Office for the Coordination of Humanitarian Affairs
PCode: Place Code
PSN: Person with Specific Needs
REA: Rapid Environmental Assessment
RIM WG: Refugee Information Working Group
RPAT: The Rapid Protection Assessment Tool
SAM: Severe Acute Malnutrition
SGBV: Sexual and Gender-Based Violence
SOP: Standard Operating Procedure
UNFPA: United Nations Population Fund
UNHCR: United Nations High Commissioner for Refugees
UNICEF: United Nations Children's Fund
UNSECOORD: United Nations Security Coordinator
UNWFP: United Nations World Food Programme
WASH: Water, Sanitation and Hygiene
WHO: World Health Organization
3W: Who's Doing What, Where

1 INTRODUCTION

OVERVIEW AND FUNCTION

Information Management (IM) has been identified as a ***core responsibility*** of UNHCR by the United Nations High Commissioner for Refugees, and is also endorsed as a special project for the organization throughout 2012–2014.

The Emergency Information Management Guidance Notes and Toolkit (hereafter "Toolkit") is one of many steps towards operationalizing information management within UNHCR. This Toolkit presents UNHCR information and data management advice and tools meant to inform a coordinated humanitarian response during the first two to four months of a refugee emergency.

The Toolkit is not intended to be an exhaustive resource on information and data management. Instead, the Toolkit offers information and data management guidance for emergency situations, and also provides a set of practical tools for use by anyone responding to the first phase of a refugee emergency. Where available, examples from the field of specific tools have been provided; in some cases, references for additional information on core UNHCR sectors are also cited.

This Toolkit should be treated as an information management addendum to UNHCR emergency response guidance already in existence. The overall objectives of the Toolkit are to enable evidence-based decision-making to support UNHCR's coordination role in refugee emergencies, and to enhance the targeting of emergency assistance and resources for persons of concern.

SCOPE OF INFORMATION/DATA MANAGEMENT

Information/data management is the capture, handling, storage, analysis and dissemination of data pertaining specifically to operations and to populations of concern, including demographic and statistical information. It involves information on needs and conditions as well as geo-referenced information. It also involves information on protection and sector-specific concerns related to needs, delivery and impact in a spectrum of issues, including health, nutrition, water/sanitation, core relief items, shelter, community-based response, registration, tracking and responding to sexual and gender-based violence (SGBV), as well as concerns relating to protection site management.

INFORMATION AND DATA MANAGEMENT RESPONSIBILITIES OUTLINED

Information and data management is inherent in the roles and responsibilities of every UNHCR staff member, and improvements in this area have a direct impact on the quality and efficiency of our operations. While UNHCR is working hard to enhance IM support in operations, with dedicated positions in this area, it is clear that UNHCR staff will collectively need to institutionalize best practices in IM to improve their operations. Thus, an Information Management Officer (IMO), or a person designated by the Representative as the information management focal point (hereafter "Information Manager"), will be able to support and provide leadership within an office to improve IM practices with members of the UNHCR team.

UNHCR managers should ensure that information management is coordinated within the work of the office and that staff are aware of and deliver upon information management functions within their specific positions. As a service to our partners, UNHCR managers are also responsible for ensuring that information and information products outlined in the Toolkit are delivered to partners in a timely and predictable manner.

The Toolkit establishes UNHCR's internal information and data management roles and responsibilities for UNHCR managers; protection officers; programme, registration, community services and external relations officers; and the IMO throughout the first phase of a refugee emergency. But information and data management does not stop there. Managers should continuously engage with their staffs and partners to assess how additional information and data management activities could enhance coordination and the delivery of support to the people we serve.

The Toolkit emphasizes the function of the IMO – a new role within UNHCR – in bringing together and analyzing information content, sources and systems within and outside UNHCR. It will also assist managers at all levels in identifying gaps, priorities and target resources based on the analysis of needs in a refugee emergency. The IMO's role is not to attempt to undertake IM for every position within UNHCR, but rather to empower colleagues throughout the office to undertake IM within their organizational roles.

In refugee situations, information management is not only a function UNHCR requires for its internal needs, but is also a service we provide to fulfil the needs of partners. In mixed situations, the Toolkit

In line with the Refugee Coordination Model, some of the information management tools in this Toolkit specifically support inter-agency cooperation and coordination in refugee and mixed situations, such as Who's Doing What Where (3W) information, emergency needs assessments, needs assessment coordination and data standards for reporting population figures. The Toolkit also explains how to operationalize a coordination body for inter-agency refugee information management.

DISSEMINATING A STANDARD SET OF INFORMATION PRODUCTS AND OPERATIONAL ANALYSIS

The Toolkit defines standards for information products that UNHCR will deliver as a regular service to its partners, in the form of the following: camp profiles, maps illustrating security phases and population movements, situational and Who's Doing What, Where (3W) information, population statistics broken down by standard UNHCR age and sex demographics that comply with the Inter-Agency Standing Committee (IASC) standards, info-graphics, and a variety of operational and analytical inputs for UNHCR web portals.

Information and data management requires the coordination and dissemination of reports and operational information throughout UNHCR and with our partners. By doing so in a regular and predictable manner, it is hoped that the guidance and information management products contained throughout this Toolkit will improve coordination among a great number of first-phase refugee emergency responders.

ORGANIZATION OF THE TOOLKIT

The Toolkit is divided into sections covering core information management functions and activities in the first phase of a refugee emergency. The sections are inter-connected, and it is intended that Toolkit users will move back and forth throughout the document depending on their specific needs and knowledge of information management. Each section of the Toolkit may also be referenced alone and located by using the index at the beginning.

A brief overview of core IM objectives and activities is provided in each section, followed by a "how-to" guide for undertaking IM functions. Practical IM tools to be used in emergency IM response have been included for each section. Where possible, examples of IM tools that have been used by UNHCR operations throughout the world have also been included in each section. For additional information, the Toolkit provides reference documents and links for supporting information in greater detail.

INFORMATION MANAGEMENT RESPONSIBILITIES

Not only is information management a core responsibility of everyone in every office, but UNHCR managers and Representatives are recognised as having a critical role in ensuring the quality and the delivery of IM information and products in their operations.

UPDATING AND MAINTAINING THE TOOLKIT

The Emergency Information Management Toolkit will remain a fluid collection of documents and tools, to be updated as required based on the evolution of information management practices, innovations in UNHCR field operations and new global-level standards.

2 INFORMATION/DATA MANAGEMENT STRATEGY

OVERVIEW AND FUNCTION

The information management strategy should be drafted and maintained by the Information Management Officer (IMO), preferably, or the Information Manager. The IMO is a specialised technical position within UNHCR. Staff filling IMO positions will need to be those with both the requisite training and the experience required to undertake information management activities, particularly the coordination, design and management of an information management strategy to support operational objectives, interagency coordination, the host Government and our partners. Information management focal points may be other staff designated to cover specific information management needs within an operation.

An information/data management strategy is a plan that defines the purposes, outputs, time frames and responsibilities for all operational information systems in an emergency. An Information Management Strategy Template is included as Annex 4 in this section. The information/data management strategy will provide a broad overview of how information systems relate to one another and which organizations are stakeholders in which systems, allowing the Information Manager to better coordinate information. The strategy will also help identify whether there are information gaps or redundancies between systems.

As per the Refugee Coordination Model, in a mixed situation, the Representative will need to ensure that refugees are included in existing coordination structures. If refugees are not included, then the Representative will need to establish refugee coordination more formally, either within the existing coordination forum or separately through the UNHCR led Refugee Coordination Working Group (covered under 2.4.1 of this chapter).

From a consensus-building perspective, the strategy provides an opportunity for managers and operational staff to agree on reporting frequencies and data ownership. On a practical level, the strategy details how information systems will operate, making information management product delivery and the overall emergency response more predictable, efficient and reliable; both for UNHCR, our partners and the people we serve.

Explicitly defining and implementing an information management strategy will help make information management product delivery more predictable and more reliable. Doing so will also support the introduction of standard operating procedures (SOPs) for information/data management. The following guidance details the steps for defining and implementing an information and data management strategy during the first six weeks of a refugee emergency.

HOW-TO GUIDE: STEPS FOR UNDERTAKING/COORDINATING INFORMATION AND DATA MANAGEMENT STRATEGY

In order to develop an information/data management strategy, an Information Manager needs to answer the following questions:

- What are the information gaps?
- What types of analysis products are needed?

- Who are the focal points responsible for implementing each system?
- What methods should be used to obtain the data?
- What human resources are required to run the systems?
- What is the frequency of reporting from each system?
- When should each system be implemented?
- How the system may eventually be integrated into Global FOCUS.

2.1.1 Considerations for the Information Manager during planning

During planning, the Information Manager will need to consider some of the following factors, which will affect the design of the information management systems:

- What are the information gaps and what types of analysis/reporting products are needed?
- What is the most likely scenario for how the emergency will evolve? Which information systems need to be reassessed in three or six months?
- What is the displacement pattern?
- What is the “IM” environment (challenges, risks, capacity of staff, operational environment, budget available, field presence…)?
- Is remote monitoring required? How will the logistics of data collection affect the types of information systems deployed and the frequency of availability of information products?
- Who are the focal points responsible for implementing each activity, tool or process? What resources (staffing, budget etc.) are required to run the activity?
- What methods should be used to obtain data? And what are the data protection requirements for each activity?
- How will the most vulnerable in the population be identified and reached? What steps may be taken to ensure their participation, receive their feedback and provide them with information?
- Which data management activities should be undertaken by UNHCR (either as cluster lead or as operational agency) or by our implementing partners?
- How do refugee information management needs in an emergency align? Have they been included in an OCHA led inter-agency strategy? How can they be brought into alignment with other information management activities that are taking place, for example in a mixed situation with OCHA?
- In a mixed situation, if there is a small refugee population and the cluster situation is already running, how can refugees be brought into the larger coordination mechanism? For example, if there is an annex that looks only at refugee issues in the first phases of the emergency, this is acceptable as well.
- Or if there is an equal population of refugees vs IDP’s, or if IDP’s are a smaller population in an emergency, then perhaps the refugee information management tools need to lead or be expanded to be sure that some of the IDP issues are also addressed (as per the Refugee Coordination Model).
- How can the strategy be developed and implemented to better serve the needs of our partners?
- How can the continuation of information/data management systems and products be ensured with staff deployments throughout the emergency?

REFUGEE EMERGENCY: WEEKS ONE–TWO

2.1.2 Set IM objectives and reporting lines: Set up and produce initial IM products

Before drafting the information management strategy, the Information Manager in a refugee emergency will need to discuss IM objectives and products with the Representative and senior managers, and with programme, protection and sector leads. In addition, in an IDP emergency, discussions with OCHA, cluster members and the Information Management Working Group are essential. Discuss what type of information decision-makers in the operation/cluster need to know, at what level of detail, and why the information is needed. It will also be important to set up a regular and clearly communicated weekly dissemination/reporting schedule, so colleagues and partners know what type of information products to expect and when to expect them.

The Information Manager, Representative and senior managers will establish a plan for preparing the following standard IM products, which may be produced during the first four weeks of a refugee emergency:

- IM strategy (which presents the overall framework for IM response, in addition to the below activities and products);
- Including IM in coordination meetings or establishing IM coordination meetings;
- Establish a contact list of operational/cluster partners;
- Secondary data review of information already available from other sources and situational analysis; for an IDP context this will include cluster relevant information/information gaps from the national and sub-national level as well as all existing sub-clusters (child protection, SGBV, etc.);
- Assessment Inventory;
- Initial rapid population estimates or start of the emergency registration in a refugee setting;
- An initial needs assessment report;
- Maps, including security, situation and 3W maps;
- Web portal deployment/ongoing update of cluster related information on the Humanitarian Response Info website and an information kiosk.

The Representative and other senior managers, emergency team leader (if deployed), sector leads and the Information Manager will need to agree on clearance procedures and a dissemination schedule for the aforementioned IM products (in an IDP setting, discussions will include cluster members). The Information Manager should also assist as needed with the development of an IM strategy for the production of sector-specific/cluster reports, a process that includes the dissemination of sector-specific/cluster information products.

In order to do the above, the Information Manager should undertake each of the following upon arrival in the emergency:

- Ask to see the operation's/countries (inter-agency) contingency plans, or, if one does not exist, assess with partners (cluster and/or others) what the most likely scenarios are for the evolution of the emergency.
- Ask colleagues if any information management preparedness activities have been undertaken, such as planning a needs assessment.
- Find the standard geographic data being used by the humanitarian community and learn the process for updating this (Common Operational Data Sets (CODs). (If no process is defined, the Information Manager will need to do this.)
- By discussing with the protection officer, become familiar with the operational context's protection risks and constraints, in order to gain an understanding of which types of information are the most sensitive.
- Try to find pre-emergency baseline data, including data from the country's annual statistical report, UNHCR Global Focus Insight GFI – gfi.unhcr.org), the Government statistical office, development actors, etc.
- Identify UNHCR and partner staff who are capable of assisting with data collection and analysis, as the skill levels of colleagues will influence the complexity of information systems implemented. Design an information management strategy that is realistic and sustainable in terms of operational capacity.
- Determine SOPs for clearances and issuance of IM products.

2.1.3 Include IM in coordination meetings

- With the agreement of the Representative, ensure that IM is included as an agenda point in all inter-agency coordination meetings at the field and capital levels.
- Establish partner contact lists (to be circulated in meetings and posted on the UNHCR web portal).
- Share information products, population figures, maps and contact lists with partners.

2.1.4 Establish a contact list and weekly meeting schedule

- Create and track a contact list of all operational partners for circulation.
- Maintain a copy of the contact list on a shared drive, to allow access to all UNHCR staff. Always keep a backup copy of the master contact list, saved each day on a personal drive.
- Specific contact lists may also be extracted from the master contact list and presented to partners. For example, a useful tool is a contact list of technical experts in WASH, health and shelter etc.
- A sample template of a contact list is included in this section as Annex 4: IM Strategy Template; tab 2: E-mail Dissemination List (a contact list by sector may be produced by filtering the master contact list by activity).

2.1.5 Secondary data and situational analysis

- Within the first two days of arrival in a refugee emergency, the Information Manager should meet with the protection officer and begin both to jointly analyze secondary data and to collaboratively produce a situational analysis and desk review of existing information.
- The UNHCR Protection Gaps Framework of Analysis Tool available online at: http://www.unhcr.org/pages/4a1673d46.html, while a tool for IDP situations is available also available online at: http://www.unhcr.org/48849ac12.html. Both of these tools may be adapted or used in emergency situations and provide a format outlining key considerations when conducting a situation analysis.

2.1.6 Compile an assessment inventory

An important step in coordinating information management is to compile an inventory of assessments that have already been carried out by UNHCR and partners. UNHCR management, programme and protection colleagues will be able to readily identify partners and contacts for the Information Manager to begin contacting for the compilation of the assessment inventory. Required for completing the assessment inventory template (included as annex in this section) will be information on the organization involved in the assessment, assessment type and name, location of assessment, fieldwork collection start and end dates, and type of population assessed.

Official UNHCR population types are as follows: refugee, persons in refugee-like situations, returned refugees, asylum-seekers, internally displaced persons, persons in IDP-like situations, returned IDPs, stateless persons and others of concern. Official UNHCR population types are as follows: refugee, persons in refugee-like situations, returned refugees, asylum-seekers, internally displaced persons, persons in IDP-like situations, returned IDPs, stateless persons and others of concern. For a complete definition of these population types, see the *UNHCR 2013 Global Trends* (pg. 44), available online at: http://www.unhcr.org/5399a14f9.html. In a cluster context, these population types might be different; you may want to consult the Humanitarian Profile to define the categories.

As soon as all major partners have been contacted and an inventory of surveys and assessments has been compiled, the Information Manager will need to begin an initial analysis to identify information/knowledge gaps. These may concern population groups not assessed, locations with difficult access or sectors not covered in some locations. In addition to identifying information gaps, the Information Manager will also need to report whether particular geographical or sectoral areas are being over-assessed by multiple organizations. This process is done in coordination with partners (NGOs, UN agencies, Government offices and so on) so that the resulting outcome is shared and owned by all partners.

Should an emergency needs assessment be recommended by the Information Manager based on analysis of the survey of surveys, this topic should be discussed in plenary at the next coordination meeting with partners. For refugee situations, UNHCR is mandated to lead emergency needs assessments. Where there are refugees and IDP's together, UNHCR's responsibility is to participate in coordinated needs assessments and ensure that protection and needs of refugees are adequately reflected in a multi sector multi agency needs assessment. For guidance on undertaking and leading an emergency needs assessment, reference the Emergency Needs Assessment section (Section 8) of this Toolkit.

2.1.7 Analyze emergency registration and population statistics

Another key step for the Information Manager in setting up an information and data management strategy is to begin working with the registration officer to compile and triangulate population figures. A Population Reporting Template should be completed and maintained for the triangulation/analysis of population figures, and is included in the Population Statistics section of this Toolkit.

- If the emergency registration has been conducted, the Information Manager will need to begin compiling cross-sectoral analysis based on population figures, including what is known in terms of operational coverage for specific locations based on information compiled in the 3W and Assessment Inventory.
- If the emergency registration has not been conducted, reference the Registration in Emergencies section (Section 4) of the Emergency Information Management Toolkit on the next steps for emergency registration and IM considerations.
- If emergency registration is not possible for all areas or if it is an IDP emergency, use rapid population estimation techniques (refer to Section 5 of the Emergency Information Management Toolkit).

The Information Manager must also work with other information specialists within the operation, both those employed by UNHCR and those employed by other organizations, to ensure that all data collected, analyzed and released is as per UNHCR standard age and sex demographics.

Age and sex breakdowns should be incorporated into all standard IM products, and demographic profiles of the refugee population should be shared with partners by the Information Manager on a daily or weekly basis (depending on the situation), via the UNHCR web portal and through other dissemination avenues.

For an IDP situation, rapid population estimation techniques may need to be used, in addition to inter-agency validation governance bodies in order to identify, and agree upon population figures.

2.1.8 Who's Doing What, Where (3W)

The Information Manager will need to continuously engage sector leads and new organizations and partners on the ground. Throughout their assignment, the Information Manager should also establish and track evolving 3W information, using the 3W tool, in order to maintain an understanding of operational coverage and emergency needs. For the early stages of an emergency, begin with the simplified 3W template for coordination purposes, while gradually moving towards the more complex 3W activity monitoring template as required (both the simplified 3W template for coordination purposes and the 3W activity monitoring template are included as annexes to this section).

2.1.9 Compile an initial assessment report

As soon as all major partners have been contacted and an inventory of surveys and assessments has been compiled, the Information Manager will need to begin an initial analysis to identify information/knowledge gaps. These may concern population groups not assessed in particular those most vulnerable (e.g. elderly persons, persons living with HIV/Aids, LGBTI, persons with disabilities, socially marginalized persons etc.), locations with difficult access or sectors not covered in some locations. In addition to identifying information gaps, the Information Manager will also need to report whether particular geographical or sectoral areas are being over-assessed by multiple organizations. This process is done in coordination with partners (NGOs, UN agencies, Government offices and so on) so that the resulting outcome is shared and owned by all partners.

Should an emergency needs assessment be recommended by the Information Manager based on analysis of the inventory of assessments, this topic should be discussed in plenary at the next coordination meeting with partners. For guidance on undertaking and leading an emergency needs assessment, reference the emergency needs assessment section (Section 8) of the Emergency Information Management Toolkit or the MIRA guidance in an IDP setting. Additional guidance on participating in the MIRA is provided in the 'IASC Guidance on Coordinating Needs Assessments in an inter-agency context', available online at: http://www.humanitarianinfo.org/iasc/pageloader.aspx?page=content-subsidi-common-default&sb=75.

REFUGEE EMERGENCY: WEEKS THREE–FOUR

2.1.10 Refugee Information Management Working Group (RIM WG)

The RIM WG is one element of IM services that UNHCR provides its partners in refugee operations. With the participation of IM focal points outside of UNHCR, the Information Manager will set up and lead the RIM WG. Although many partner organizations will not have a staff member responsible specifically for information management, each partner organization should be asked to provide at least one focal point to participate in the RIM WG. The RIM WG terms of reference (TORs) are included as an annex in this section.

2.1.11 Set up web portal and information kiosk

The Information Manager will need to do the following:

- If necessary, following approval from the Representative/senior managers, initiate an emergency web portal by contacting web portal administrators. Working with senior managers, define the frequency of IM products to be updated on the web portal (SOP's for updating and maintaining web portal content have been included as an annex to this section). Reference the Web Portal section (Section 18) for instructions on how to initiate a web portal.
- Begin populating the web portal with information management products. Meet with the Representative and the external relations officer and discuss web portal needs, such as news highlights, uploading requirements and dissemination schedules.
- Set up and maintain an information kiosk in the UNHCR office, and ensure that hardcopies of information products are available as developed and cleared.
- Use various dissemination channels to share information products and analysis (e-mail lists, SMS, meetings), both within the office, with partners as well as with the affected population/persons of concerns with a specific emphasis on vulnerable persons.

REFUGEE EMERGENCY: WEEKS FIVE–SIX

2.1.12 Gather data from sector specialists and understand sector information needs

By the beginning of the fifth or sixth week (or sooner), the Information Manager should meet with programme and all sector specialists to understand what sector-specific information systems are in place and what sector-specific information needs exist. The Information Manager will need to assist all sector specialists with cross-analysis and building or adjusting sectoral data management or tracking tools. For protection and sector-specific IM considerations and tools (where available), refer to the Minimum Sectoral Data sections (Sections 10-15) of this Toolkit. For a mixed refugee and IDP emergency where the cluster situation may be operating, the minimum sectoral data sections of this Toolkit present the UNHCR standards for refugees, in this situation the actual implementation of specific sectors may be undertaken by a partner agency with UNHCR's monitoring and support (as per the Refugee Coordination Model).

In this capacity, the Information Manager will need to do the following:

- Hold discussions with the programme officer to understand whether a shelter and core relief item (CRI) distribution monitoring system is functional, and what current needs have been identified. If there is no monitoring and distribution tracking system in place, the Information Manager may establish one. For advice on how to set up a monitoring and distribution tracking system, refer to the Minimum Sectoral Data: C. Core Relief Items section (Section 12) included in this Toolkit.

- The Information Manager should work with the protection officer to gather protection monitoring or needs assessment reports (on security, coping strategies, population movement patterns, etc.), which may impact on the protection situations of persons of concern.
- The Information Manager should gather health, food security, WASH and mortality reports/analyses from respective sector specialists.
- If a vulnerable person case tracking system has been established, the Information Manager should factor this information, as available, into the cross-sectoral analysis. For additional information on registration-related considerations, refer to the Registration in Emergencies section (Section 4) of this Toolkit.

During the cross-sectoral analysis, if the Information Manager finds conflicting or inconsistent information between sectors, the sectoral leads involved will need to be notified in order to resolve the discrepancies.

Once these steps have been completed, the Information Manager should incorporate sector-specific cross-analysis into existing information products, as agreed with the Representative.

For camp situations, camp profiles should be produced in order to coordinate humanitarian activities across camps and to disseminate multi-sectoral information about particular camps. Refer to Section 9 of this Toolkit for more information on camp profiling.

2.1.13 Identification of IM needs, production of information products and contingency planning

Continue to monitor minimum sector data reports from the sector leads and identify other emergency IM needs as they arise, and include this information and analysis in ongoing standard emergency IM products. The Information Manager may present the most compelling pieces of sectoral information visually, as an info-graphic; see the Info-graphics section of this Toolkit for additional Information.

It may be necessary to transition some of the emergency initial information systems to other systems that can either be sustained over a longer period of time or go into more detail. For example, rapid population estimations could be replaced by an emergency registration.

2. A TEMPLATES

- Annex 1: Refugee Information Working Group Terms of Reference (RIM WG)

- Annex 2: IM Strategy Template and E-mail Dissemination List
- Annex 3: Survey of Surveys
- Annex 4: Weekly Meeting Schedule Template
- Annex 5: Information Management Officer Terms of Reference
- Annex 6: P4 Senior Regional Information Management Officer Terms of Reference
- Annex 7: P4 Senior Information Management Officer Terms of Reference
- Annex 8: P3 Regional Information Management Officer Terms of Reference
- Annex 9: P3 / NOC Information Management Officer Terms of Reference
- Annex 10: P2 / NOB Associate Information Management Officer Terms of Reference
- Annex 11: P1 / NOA Assistant Information Management Officer Terms of Reference
- Annex 12: G7 Senior Information Management Associate Terms of Reference
- Annex 13: G6 Information Management Associate Terms of Reference
- Annex 14: G6 IM Associate GIS Terms of Reference
- Annex 15: G5 Senior Data Management Assistant (to be used for G5 Senior Information Management Assistant Posts) Terms of Reference
- Annex 16: G4 Data Management Assistant (to be used for G4 Information Management Assistant Posts) Terms of Reference

2. B EXAMPLES

- Annex 17: Data Management Strategy Côte d'Ivoire
- Annex 18: UNHCR External Distribution Contact List
- Annex 19: RIM WG Meeting Agenda
- Annex 20: RIM WG Meeting Minutes
- Annex 21: Dollo Ado Survey of Surveys

2. C REFERENCE DOCUMENTS AND LINKS

- *UNHCR Handbook for Emergencies*, Third Edition, Feb 2007. Available online at: http://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=3&ved=0CDEQFjAC&url=http%3A%2F%2Fwww.unhcr.org%2F471daf132.pdf&ei=tf9XU8PNPLPjsASKoYGIAg&usg=AFQjCNGk_m6gQOhiRikBYtfUwKcB8XpWRg&sig2=L9rsdpjvv3OiIVxhd6y22g&bvm=bv.65177938,d.cWc
- More information on the Refugee Coordination Model is available on the UNHCR intranet at: https://intranet.unhcr.org/intranet/unhcr/en/home/protection_and_operational/refugee-coordination.html (requires UNHCR intranet log-in to access, copy and paste link in your browser)
- *A Community Based Approach in UNHCR,* First Edition, UNHCR Geneva, February 2007. Available online at: www.unhcr.org/47ed0e212.html
- *UNHCR 2012 Annual Statistical Reporting Guidelines,* UNHCR Geneva, June 2012. Available online at: https://intranet.unhcr.org/intranet/unhcr/en/home/executive_direction/official_policies/iom-foms/2011_iom-foms/iom07411.html (requires UNHCR intranet log-in to access, copy and paste link in your browser)
- UNHCR's Global FOCUS. Available online at: https://intranet.unhcr.org/intranet/unhcr/en/home/support_services/operations_management0/focus/focus_phase_2/working_groups/global_focus.html (requires UNHCR intranet log-in to access, copy and paste link in your browser)

- *Humanitarian Response, Common and Fundamental Operational Datasets Registry,* UNOCHA, 2011. Available online at: http://www.humanitarianresponse.info/applications/data/datasets
- *UNHCR Emergency Policies and Procedures: A Summary of the Guidance Notes*, UNHCR Geneva, October 2012. Available online at: https://intranet.unhcr.org/intranet/unhcr/en/home/executive_direction/official_policies/iom-foms/2012_iom_foms/iom03412.html (requires UNHCR intranet log-in to access);
- OCHA's Information Management Toolbox is an online space for OCHA's Information Management staff to access current and curated information tools, services, and systems to support humanitarian response and preparedness coordination; is available online at: http://www.humanitarianresponse.info/applications/tools (accessed 31 October 2014).

3 POPULATION STATISTICS

OVERVIEW AND FUNCTION

Population statistics provide the basis for efficient and accurate emergency response, and are one of the most important data elements in an emergency. Reporting these figures in a systematic and standardized manner throughout an emergency is a priority.

From the onset of an emergency, the process of harmonizing population figures will be a continuous effort requiring a collaborative approach among all stakeholders. It is essential for the integrity and credibility of an emergency response that partners use the same figures, to the extent possible.

HOW-TO GUIDE

3.1.1 Conduct a desk review, consolidating baseline population data

When a recent (less than two years) and reliable census data is available, consult the national bureau of statistics of the concerned country for baseline population data. Census data provides a detailed disaggregation of the population by administrative area/locality and according to specific categories – for example, the average number of children per woman or the average household size in a specific administrative area.

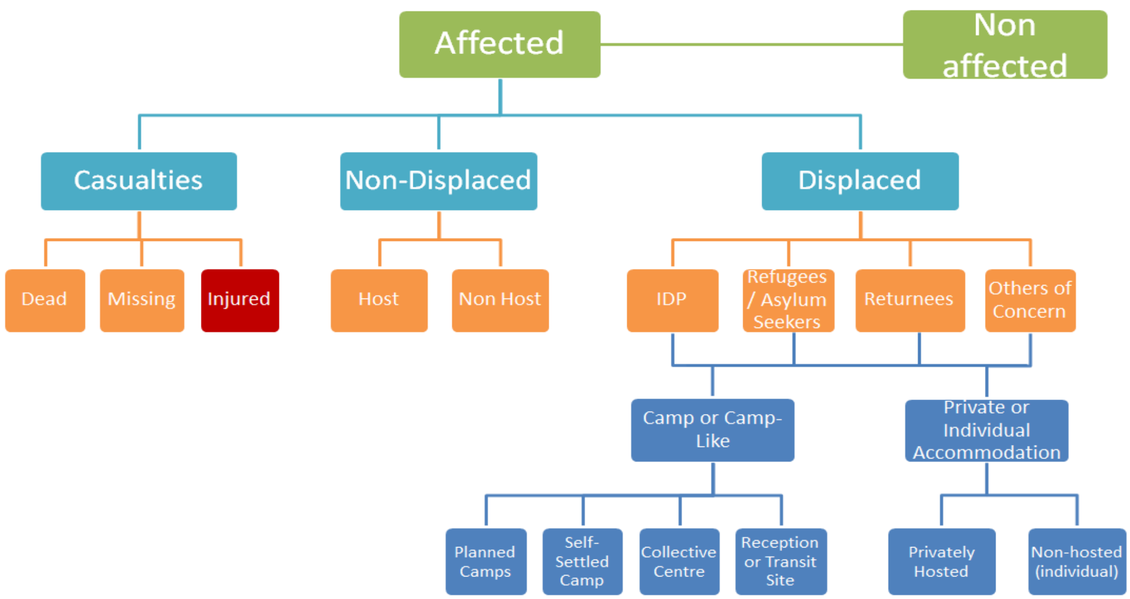
Such data may be used to estimate populations in affected areas when only an estimate of the number of families or households is available. Thus, this provides valuable baseline data both for the sampling process in household surveys and for the design and planning of registration activities.

When recent census data is lacking, data on the number of households or average household size and related statistics in a given region can be gathered through the following:

- Government administrative records from the country of origin, which may be indicative of the overall size of the population to be assisted (for example, land parcel data used for taxation and land tenure purposes; utility data collected for billing purposes; and information on community health, water and food consumption, education, electricity and phone statistics).
- Household- or community-level surveys: These include the emergency needs assessment conducted by UNHCR, the Emergency Food Security Assessment conducted jointly by UNHCR and the WFP or surveys conducted by more specialized agencies or partners such as the Demographic and Health Surveys (DHS), Multiple Indicator Cluster Surveys (MICS), the International Household Survey Network (IHSN), the Living Standards Measurement Surveys (LSMS) or assessments and surveys conducted after an emergency.
- Projection or forecasting methods and tools that update census data and estimate current populations: Redatam, online population calculators, official United Nations demographic estimates and projections, the United Nations Statistics Division, the International Data Base of the United States Census Bureau (IDB), and the World Gazetteer.
- Online global spatial databases: the common operational datasets (CODs), the Population Estimation Service, and the Fews Net Population Explorer.

- The humanitarian profile: This is the numbers and categories of the populations assessed to be affected by a disaster or crisis; the humanitarian profile should eventually contain basic information on demographics (i.e. sex, age, location). Define the humanitarian profile to classify groups of interest and to disaggregate data per affected group: how many refugees in camps, how many in host populations, how many affected residents, etc. The structure, population and maintenance of this humanitarian profile will be of crucial importance. One affected person should not be counted twice, and therefore may not fall into several of the identified categories (e.g. an affected resident may also be hosting displaced persons). Therefore, it is necessary to create levels of hierarchy where all categories on the same level add up to their "parent" in the next higher level in the structure, and where each category in a specific level is mutually exclusive of all others (see Figure 1 for an example of such a "hierarchy tree"). In this way, the sum of categories in a specific level equals the total number of people affected.

Figure 1: Example of Hierarchy Tree



Provide metadata: This should include date of the collected data, current location of the population being reported (use codes if available), sex and age categories, place of origin, nationality, number of persons, method and source.

Note: Additional information on the above tools has been included in this section of the Toolkit, under 3.C Reference Documents and Links.

3.1.2 Harmonization of figures

The Information Manager will need to set and adhere to a known statistical format and frequency of reporting. Define roles and responsibilities for reporting population figures at the onset of an emergency. Work in a collaborative and respectful manner with NGOs, the Government and other sources of population figures. Ensure the proper clearance of figures with the relevant host Government authorities, and share such figures predictably and responsibly with the inter-agency community, through the RIM WG. Refer to the Information/Data Management Strategy (Section 2) of this Toolkit for additional information on the RIM WG.

The Information Manager should set up the RIM WG with partners who have population data, if possible, and with the participation of a concerned Government counterpart. The RIM WG, which should at minimum consist of UNHCR and the Government, needs to ensure coordinated reporting on affected population figures throughout the emergency.

The Information Manager will present population figures to the RIM WG, which should agree on the affected population figures to be reported, the sources of information to be used, and reporting frequency and units (such as demographic and location information, and types of categories to be used for reporting figures), use the UNHCR Population Reporting Template, included in the annexes of this section. The Information Manager will need to invest the required effort to obtain agreement on the sources for figures and the methodologies for updating the figures as early as possible.

3.1.3 Reporting figures: Level of disaggregation

Depending on the context (type of emergency, information available prior to crisis, number of actors on the ground, etc.), the level of disaggregation of figures may change from the highest level (information for only the overall affected population) to the lowest (information at the individual level). The Information Manager will need to report on the lowest level of disaggregation available and triangulate population figures for each location.

3.1.4 Methodology

Initial population figures may come from a variety of sources, including estimates from Government sources, NGOs etc., that have undertaken rapid needs assessments. The sources of and methodologies used for gathering population figures are relevant to understanding the quality of the population statistics, and should be included along with the statistical reports.

The most common population data collection methodologies used for reporting on population figures are the following:

- Rough estimates;
- Estimates based on Government census data (of country of origin);
- Estimates based on aerial photographs;
- Estimates based on dwelling counts;
- Population movement tracking reports;
- Name lists (from communal leaders, partners working with the population, etc.); and
- Individual or household registration.

If a combination of several methodologies is used, these figures should be reported separately using the population reporting template, whenever possible. When a figure is a combination of a registration result and an estimate, the overall figure is considered an estimate, regardless of the degree to which the registration may have been completed (i.e. 90 per cent registered + 10 per cent estimated = estimated population figure).

The reliability of population data sources will remain dependent on who collected the information, how it was collected, and when and where it was collected. For instance, does the population data stand in contrast to other known data or facts about the population? Can the data be verified? Is it clear where the data came from and is it properly referenced and cited (who, when, how collected)? It is also important to consider why the data may have been cited, inflated or otherwise incorrectly (or incompletely) presented.

3.1.5 Source and date

Population data is often collected from a number of overlapping sources at various points in time. In many cases, the strength and validity of population statistics depend on when and from where the data was collected, both of which should be clearly cited in the population reporting template.

3.1.6 Reporting time frame

Population figures must track new arrivals, departures, births and deaths in order to ensure the population statistics remain accurate and also reflect the continuous registration as required in an emergency. Population statistics must be shared regularly and in a predictable manner with other humanitarian actors.

The population reporting template should be updated each time validated data is received. The most up-to-date population figures should appear in all reports, internal or external. If updated population statistics were not available to be issued with a report, this should be noted in the report, along with the date for which the figures were valid. Whenever possible, the completed UNHCR Population Reporting Template (see Annex 1) should be shared along with reports.

3.1.7 Reporting and dissemination

The Information Manager or the registration officer (if available) and an alternate should be designated by the Representative to report on population statistics.

The official population statistics should go through a number of steps before being officially reported. Such data must be gathered, verified, validated, cleared (an overview of the steps for which are referenced earlier) by the UNHCR Representative and disseminated using the UNHCR population template (see Annex 1: UNHCR Population Reporting Tool).

Population statistics updates should be coordinated and shared with the RIM WG, and population figures must be regularly updated on the UNHCR web portal. Population statistics may also be updated and disseminated via hardcopies of the population reporting template and related charts and analysis, CDs, e-mail lists, or other mechanisms when Internet access is not available or not common.

3. A TEMPLATE

- Annex 1: UNHCR Population Reporting Tool

3. B EXAMPLES

- Annex 2: Niger Population Statistical Report
- Annex 3: Mauritania Registration Profiling Report
- Annex 4: UNHCR Djibouti Population Statistical Report
- Annex 5: Dollo Ado Refugee New Arrival Statistics Narrative for Weekly or Monthly Reporting

3. C REFERENCE DOCUMENTS AND LINKS

- DHS surveys are administered by ICF International, through USAID Funding, and seek to collect and disseminate population and health data on developing countries. The DHS website and survey database may be accessed at: http://www.measuredhs.com/data/available-datasets.cfm (accessed 31 Oct 2014).
- MICS surveys provide data on women and children and are conducted by UNICEF. The MICS survey database may be accessed at: http://www.childinfo.org/mics_available.html (accessed 31 Oct 2014).

- Developed by the World Bank, the IHSN catalogues census, survey or other micro-data, which is stored online and made available for research and other purposes. The IHSN archive may be installed and assessed at: http://www.ihsn.org/nada/ (accessed 31 Oct 2014).
- Also developed by the World Bank, the LSMS works to collect household living standards data, which is needed to inform policy decisions. The LSMS livings standards and studies may be assessed online at: http://iresearch.worldbank.org/lsms/lsmssurveyFinder.htm (accessed 31 Oct 2014).
- Redatam: A database management tool developed by Cipol for the processing and analysis of population micro data, available at: http://www.cepal.org/redatam/default.asp?idioma=IN (accessed 31 Oct 2014).
- Online population calculators: For very basic calculations based on growth rate, the following web page allows for quick processing: http://www.metamorphosisalpha.com/ias/population.php (accessed 31 Oct 2014).
- Official United Nations demographic estimates and projections: The official United Nations demographic estimates and projections may be found at the United Nations Population Division: http://www.un.org/esa/population/unpop.htm (accessed 31 Oct 2014).
- A great resource for demographic and social topics, standards and methods, statistical products and databases, in addition to listing demographic, social statistics, world population and housing census information: http://unstats.un.org/unsd/demographic/ (accessed 31 Oct 2014).
- Offers a variety of demographic indicators and the ability to search by country and key indicator: http://www.census.gov/population/international/data/idb/informationGateway.php (accessed 31 Oct 2014).
- Also referenced in the Mapping section of this Toolkit, the World Gazetteer provides population statistics and related data, searchable by country or region: http://world-gazetteer.com (accessed 31 Oct 2014).
- Additional resources that require GIS skills include: Gridded Population of the World and the Global Rural-Urban Mapping Project, LandSmay, the Night Time Lights dataset, the AfriPop / Asia Pop project.
- The Common Operational Datasets are those that have been agreed upon and are in use throughout the humanitarian community. The CODs may be accessed online at the following: http://cod.humanitarianresponse.info/country-region/ (accessed 31 Oct 2014).
- The Population Estimation Service, developed by the CIESIN section of NASA, is a user-defined web-based tool for estimating populations, which may be accessed online at: http://sedac.ciesin.columbia.edu/gpw/wps.jsp. A tutorial on how to use the Population Estimation Service has been produced by Columbia University, and is available online at: http://www.ciesin.columbia.edu/documents/pop-est-svc_classroom.pdf (pdf accessed 31 Oct 2014).

4 REGISTRATION IN EMERGENCIES

OVERVIEW AND FUNCTION

Registration of persons of concern is one of UNHCR's primary activities at the onset of an emergency, in addition to identifying and assisting persons with specific needs (PSNs) who require targeted interventions, including protection support. Emergency registration should be conducted as soon as possible, as this forms the population baseline for the delivery of protection, targeted assistance, programming and planning, and provides for the efficient use of resources.

These guidance notes provide an overview on camp, rural and urban emergency registration procedures, including instructions on information and population data management. The steps for all refugee emergency registration scenarios are the same unless otherwise specified under specific sub-headings of these guidance notes.

This chapter should be referenced in tandem with the Registration Checklist in Refugee Emergencies (included as Annex 1 of this section).

HOW-TO GUIDE: EMERGENCY REGISTRATION STEPS

4.1.1 Objectives of registration in an emergency

"Registration of refugees and asylum-seekers is, first and foremost, a key protection tool. It can help to protect refugees from *refoulement* and forcible recruitment. It can ensure access to basic rights and family reunification, help to identify persons in need of special assistance, and provide information crucial to finding appropriate durable solutions," according to the *UNHCR Handbook for Registration* (UNHCR Geneva, Provisional Release, September 2003, pg. 5).

It is important to note that the standard registration approach in refugee emergencies has changed.

Depending on time and context, the recommended approach will now be to implement Individual Emergency Registration, a process used to collect a minimum set of data for all individuals in a household, along with a limited set of data at the household level.

Individual Emergency Registration is used to establish basic distribution lists, identify and record PSNs, and issue documentation or ration cards at the household level to facilitate the delivery of life-saving aid and services.

In the case of an organized movement to a registration site, a limited set of pre-defined Household registration data may be collected to plan and facilitate organized movement to a registration site. After which, an **Individual Emergency Registration** would be conducted at the registration site itself.

See Annex 1: Registration Checklist in Refugee Emergencies; subheading 'Registration Methodology', pgs. 6-7, for detailed instructions and data to collect, in addition to Predefined **household data** required **to facilitate organized movement to a registration site**, covered under, 'Organized Movement', pgs. 3-4.

4.1.2 Time frame for emergency registration

As capacity permits, **individual emergency registration** must be conducted within the first month of a population influx. However, as a target to aim for, emergency registration should be conducted within three to seven days of an initial influx. Since populations increase over the course of days, weeks and months, registration procedures and infrastructure should continuously support **individual emergency registration** (as defined in the Registration Checklist in Refugee Emergencies; included as Annex 1 with this section) throughout an emergency.

4.1.3 Shared roles and responsibilities

UNHCR: To ensure that individuals are registered, to facilitate individual protection and the delivery of emergency assistance. UNHCR may assist the host Government's planning, conduct registration on behalf of the host Government as required, or conduct the registration itself. The UNHCR Representative will need to hold a meeting with the host Government and key partners such as WFP, the International Organization for Migration (IOM) and the International Committee of the Red Cross (ICRC) to ensure their support and as necessary, their involvement and cooperation in registration activities. If a Government is not capable or willing to engage in an emergency registration, UNHCR may assist the Government by either planning or carrying out the registration in collaboration with the Government or on behalf of the Government. The appropriate coordination fora should be developed, depending on the context this may be (amongst others) the Protection Working Group (See the Protection Section, Section 13, of this Toolkit for additional information) the RIM WG (refer to the Information/Data Management Strategy section (Section 2) for the RIM WG terms of reference). The working group should consist of representatives of the host Government; the UNHCR Registration focal point, protection, programme and sector leads (where deployed); and key partners working with UNHCR on the overall emergency response.

Within the protection working group or the RIM WG, the registration officer and the Information Manager should work together as appropriate, to ensure the regular dissemination of information on registration activities, along with population statistics and demographics.

Host Government: Registration of asylum-seekers and refugees is a Government responsibility. If not conducting the registration directly, Government counterparts should participate in registration planning and activities, including camp managers (were available) and government security forces.

Partners: Key partners (WFP, UNICEF, ICRC, IOM etc.) may participate in the emergency registration and the Protection Working Group or the RIM WG. UNHCR's capacity on the ground to conduct an emergency registration will vary. Therefore, a partner capable of sharing the responsibility under the guidance of UNHCR may be identified to conduct or support the emergency registration.

Population of concern: Must be informed and consulted about registration plans and objectives.

Resources and budget: Estimates and needs based on scope of planned registration and context of the registration to be conducted. A sample registration supply list and budget has been included in the Annexes of this section.

4.1.4 Pre-registration process

The registration officer is responsible for the design and delivery of an emergency registration plan of action, which must take into account any emergency contingency planning and will need to include the following elements.

Planning documents prepared by the registration, field coordinators and protection officers (noted below) should be endorsed by the UNHCR Representative. After endorsement but prior to the start of the emergency registration, the UNHCR Representative, with the support of the registration officer, will need to present the plan of action to the host government agreement and support.

After partners have been briefed in the Protection Working Group or the RIM WG and the emergency registration strategy is drafted, the registration, protection, community services and external relations officers will need to meet with representatives from the population of concern. During these meetings, they will need to inform them about and consult on registration activities.

After the start of emergency registration, the registration officer may use the Protection Working Group or the RIM WG meetings to discuss activities and issues surrounding registration, for which the support of partners may be required. The Protection Working Group or RIM WG, will also be useful for the regular presentation and discussion of initial baseline population and updated registration figures.

The registration officer will need to present the outcomes of registration activities and population figures to the UNHCR Representative, who in turn will present this information for final endorsement by the Government, with the support of the registration officer.

Note: Keep in mind that baseline population figures must always be triangulated with other sources of population data, the sources of which will need to be recorded and presented during the Protection Working Group or the RIM WG. For the tracking of population statistics, including recording baseline population registration data, use the Population Reporting Template included in the Population Statistics section (Section 3) of this Toolkit.

EMERGENCY REGISTRATION STRATEGY

The emergency registration strategy should include the following elements, in parallel:

- Emergency registration objectives (as pre-defined above, while taking the situational context into account);
- Background analysis and situational overview (define the population to be registered and situational considerations in the host country, identify possible constraints and gather existing population statistics, including information on who collected data and when);
- Define staffing requirements;
- Create a standardized list of place names and codes that all parties involved in the registration agree on (including standardized registration names/labels, place names, country of origin location names) before the start of registration. Once standardized, this list will need to be referenced on site during registration;
- Map current registration system (if any);
- Include a time frame and budget for required resources based on the scope of planned registration activities; and
- Refer to the 'Registration Checklist in Refugee Emergencies', included as Annex 1 of this section for additional guidance.

Note: A sample emergency registration strategy is included as Annex 4, in this section.

4.1.5 Border monitoring

Border monitoring activities should capture and assess information related to registration, such as lists of formal and informal entry points, estimation of the number of arrivals per day at each entry point, means of arrival (i.e. number of cars, buses or persons on foot crossing the border or other means of estimation), patterns of arrival, intended destination, profile of the persons of concern including potential vulnerabilities (sex/age breakdown, civilian vs. armed forces, persons of concern vs. third county nationals, or other criteria relevant to the operational context). **No personal data should be gathered at this stage.**

4.1.6 Security and site selection

Emergency registration must be conducted only if it is safe to do so for staff and persons of concern, conforming to the following procedure:

- The Representative will need to request security officers from UN/UNSECOORD, UNHCR or Government authorities to access the proposed registration sites and develop a security plan as required.
- The Representative, with the support of the Registration Officer, will then need to discuss the nature and aim of the emergency registration with central and local authorities and with security forces, and ensure their understanding, support and, if necessary, presence at the registration site to provide security.
- The registration officer will need to select the registration site, based on considerations for location, space, waiting areas, security and crowd control, electricity, water and toilets. Consider selecting a site that, given its location and ease of access for refugees, may also be used after the emergency registration for aid distribution. When selecting the site, be sure to include any site upgrade requirements that may be needed in the registration budget.

4.1.7 Procuring supplies and registration infrastructure

Once the registration strategy, budget and supply list have been agreed upon internally by the UNHCR Representative, registration supplies and infrastructure will need to be procured and set up, respectively. To save on time and costs, basic supplies, equipment and infrastructure should be procured in the local market, to the extent possible.

A registration stockpile of specialized registration supplies for over 500,000 individuals is maintained at UNHCR HQ in Geneva, which can be used for emergency registration needs. Refer to the Registration Stockpile Supply List, included in the annexes of this section. Normally, the material can be released and shipped from the stockpile within a day, but the shipment may take more time depending on the destination, customs procedures, etc. See Annexes 16-17 for UNHCR registration stockpile procedures and order forms.

4.1.8 Preparation of data sets and forms

If not already in place, an electronic registration database will need to be set up and functioning at the UNHCR office. The use of standardized UNHCR registration categories and codes must be ensured throughout the registration and beyond, a list of the UNHCR standard registration codes has been included in the annexes. Standard registration forms are recommended for use and included with these guidance notes.

Note: UNHCR data-entry formats, such as dates of birth and specific needs categories, should not be amended.

4.1.9 Hiring staff and training

As much as possible, try to use partner staff who have worked with UNHCR in various capacities and who should be familiar with UNHCR protection principles, including working with vulnerable persons. A session on the UNHCR Code of Conduct will need to be conducted by the registration and protection officers prior to the start of registration (*UNHCR Handbook for Registration*, pgs. 121-122). Training will also need to be provided by the registration officer, to cover the various roles and responsibilities within the registration process (*UNHCR Handbook for Registration*, pgs. 68, 120).

Note: Annex 10, Staff Training: Household Level Process Flow Illustration may be useful for staff training in order to illustrate the physical movement of refugees through the registration process. See also, Annex 11, Staff Training: Interviewer Introductory Registration Statement, which may be read by staff to a refugee household before commencing the registration process (and also annexed to the operations Registration SOP's). The 'Attendance and Payment' form included as Annex 12, may be used to track staff attendance and calculate payroll.

4.1.10 Information campaign

Prior to the start of registration, a thorough information campaign, undertaken collaboratively by the registration, protection and external relations officers, will need to be conducted. This process should explain the reasons for registration, the locations of the registration and the desired outcomes of the registration activities. The Government, operational and partner staff will also need to be briefed on key registration messages.

The information campaign should include detailed information on the following:

- Purpose of the registration;
- Location of registration;
- Confidentiality and sharing of data gathered;
- Basic steps for registration;
- Specific procedures for PSNs;
- Registration opening hours and interview scheduling;
- Pre-conditions for being registered;
- Procedures for requesting a registration appointment and information on scheduling;
- Procedures for newborns, absentees and others;
- Procedures for reporting misconduct by staff and other difficulties in assessing the UNHCR office or registration premises;
- Include and explain the link between registration and protection to address fears and concerns. For example: "Explain to the community how the registration system is intended to ensure that each individual and each household will have an accurate and lasting record, a means of identifying themselves, and a full and equitable share of benefits" (From UNHCR Handbook for Registration, pg. 87); and
- Ensure a mechanism exists to respond to questions from persons of concern- including before, during and after the registration process.

Note: For additional details on each of the above steps, refer to the, UNHCR Handbook for Registration, pgs. 131-135.
There are many types of information campaign techniques to consider – SMS messaging, the use of local radio stations, poster campaigns, information leaflets, using the Internet, etc. However, keep in mind that in the context of an emergency, verbally informing community leaders of key registration-related messages will likely be the most effective approach. Ensure messages are adapted or relayed in a manner that persons with specific needs have access to them. See, 'Sample Information Campaign Fliers', Annex 7 for an example.

The below chart illustrates possible information campaign approaches depending on the operational context.

Urban context	Informal settlement	Grouped settlement
- in person - through community leaders - hotline - internet - SMS	Map the locations/villages where refugees are settled. Allocate each to a mobile registration team, who will then conduct scheduling: - in person - through community leaders - hotline - Internet - SMS	- by registration number if any - by section (block, zone, etc.) - by place of origin/community - by family size

Additionally, in an urban emergency registration context, conducting an information campaign over local radio stations will be particularly important for mass communication. Consider setting up a telephone hotline where registration information is pre-recorded for playback, and where individuals can be assigned registration slots. Also, meet with community leaders and inform them of the registration, and leave posters and leaflets in key locations where persons of concern have congregated.

4.1.11 Fixing and scheduling interviews

"Fixing" a population is when only persons of concern are provided with a UNHCR token or wristband (one to each individual to be registered at the household level in an emergency) or by marking individuals' fingertips with invisible ink. Fixing a population works to ensure that only persons of concern are registered.

However, it will not always be possible to fix the population before beginning the registration. In camps, fixing can be conducted through the use of wristbands, fixing tokens or invisible/indelible ink (examples of fixing tokens have been included in the annexes of this section). The wristbands are then removed or fixing tokens collected during the registration, and/or hands marked with ink once registration is completed (double check whether individuals have been previously marked with invisible ink, in order to prevent double registration) (see annexes 21- 24 for related templates and tracking tools).

Tracking fixing tokens will help to ensure the integrity of the eventual registration process, and will assist UNHCR in maintaining current statistics on the population of concern, see Annexes 21 and 23 for templates for tracking and printing tokens. When scheduling interviews, divide the populations into smaller groups based on residential locations/addresses, token numbers, etc. (see Annexes 21 and 22 for related templates).

Although for a number of reasons biometrics (fingerprinting, iris scanning, etc.) are not yet systematically used for emergency registration, UNHCR is increasingly looking towards using this approach as a standard component of emergency registration. The UNHCR registration section in HQ may be contacted at: hqdpsmru@unhcr.org for additional information regarding the use of biometrics in emergency registration.

In an urban emergency registration, fixing may not be required or may not always be possible. When considering a scheduling system, first take into account the projected time frame for emergency registration as noted in the registration plan of action. Break down the city by district or by GIS-gridded location while leaving more time for areas believed to have higher densities of persons of concern. Using GIS to grid a location is covered in the Mapping section of this Toolkit under Annex 5: UNHCR Addressing Guidance. Also, develop a schedule list in a spreadsheet, which can be populated by collecting names by call-in, etc.

4.1.12 Organized movement(s)

In certain urban, camp or informal settlement contexts, the Office may provide transportation to assist new arrivals to reach their destination for registration. Movement support mitigates security risks (i.e. check point delays) and facilitates access to registration. In a grouped settlement context, transportation is usually organized from the border to transit centres and/or to the settlements themselves. The following actions should be considered:

- Information campaign: define and communicate how and when families can access organized movements (including schedules). Use leaflets, public announcements, meetings with community leaders, health and social workers and partners, and mass gatherings to widely disseminate information. Ensure that meetings are organised to address fears and concerns, allowing adequate time to answer questions. Coordinate the movement schedule with the established registration schedule at the registration location (see Reception and Registration Facilities below). Always identify and give priority boarding to persons with apparent Specific Needs.
- Crowd control: if necessary, erect simple fencing and/or controlled barriers to reduce crowd pressure and facilitate boarding procedures. Arrange support from security personnel if required. Liaise and seek advice from security focal points.
- Coordination and logistics: Ensure all stakeholders are involved and informed about movement activities (Government authorities, partners, and reception facility etc.). Liaise with supply or logistical focal points to ensure transport arrangements are in place (hiring of buses, trucks, etc.).
- Data set: if transport manifests are required to facilitate movement, determine the minimum data set (and/or token numbers?) of the household level registration for proper movement planning, including boarding process (see the 'Relocation Pre-Manifest' included as Annex 26 of this section).
- Data Management and information sharing: upon departure of the vehicles or convoys, and prior to their arrival at the reception/transit/arrival point, inform colleagues at the destination point of the number of households, sex/age breakdown and those households identified as having members with specific needs, if possible by e-mailing a copy of the control sheet / manifest. A copy of the manifest should also travel with the staff member accompanying the convoy.

4.1.13 Access and verification

If it is unclear whether a person presenting him- or herself for emergency registration should be registered, grant that individual access to registration procedures and refer them to protection colleagues.

Depending on the context, any of the following screening techniques may be used by UNHCR protection staff to establish whether a person presenting him- or herself should be registered:

- Establish a set of targeted questions about the country of origin: History, geography, customs and other features that only a native would know (update regularly depending on the length of the registration exercise).
- Visual clues: Clothes and body language may provide initial indications, but should not be the sole determinant.
- Language differences: To the extent possible, registration and verification teams should include people who may identify country or area of origin through differences in language.
- Knowledge of locations and conditions in country of origin: Interviews should include questions to verify knowledge of the stated area of origin. Resource persons with knowledge of those areas should be consulted, and maps and lists of events should be gathered by the team to facilitate cross-checking.

- Assistance from the refugee population: The population of concern will normally cooperate in identifying verification techniques, such as knowing specific geographic and linguistic details, and should be consulted.

4.1.14 Referral mechanisms
As protection objective of registration, the recording and tracking of persons with specific needs will also need to be built into the emergency registration process.

Individuals with special needs are “prioritized” for registration, meaning they are physically moved to the front of the registration list or line. Additional identifying information/details that will result in the further targeting of assistance are also collected for prioritized individuals.

Examples of persons to be prioritized for emergency registration include:
- Unaccompanied and separated children (a Standard Referral and Registration Form for Unaccompanied or Separated Children, has been included in the annex of this section);
- Child-headed households;
- Single parents with small children;
- Elderly persons, particularly unaccompanied ones;
- Persons with disabilities and their families;
- Persons with specific protection concerns and their families;
- Single women in certain circumstances; and
- Persons with specific medical needs.

A full list of persons to be prioritized for registration, including standard UNHCR codes has been included as an annex in this section. Given time or staffing constraints, the collection of data surrounding only certain specific needs may be prioritized during an emergency registration, based on agreement reached internally in the office (see Annex 30 and 31 for sample templates which may be used for this purpose during registration).

The protection officer will need to provide training to all registration staff on identifying and working with persons with specific needs, prior to the start of registration.

4.1.15 Data elements to collect and data entry
Data elements to collect will be as specified in the standard UNHCR registration forms included as annexes within these guidance notes (Sample Control Sheet: Automated and Manual, Sample Counting Form, Sample Registration Site Layout Form). Data will be handwritten on the standard registration form and may be entered electronically at the registration site, with data later uploaded into the registration database at the UNHCR office. The physical registration record will also need to be filled out and maintained at the UNHCR office.

Adding extra questions or fields to the UNHCR registration form is generally discouraged, unless extra questions or fields serve to collect information that may be linked to lifesaving emergency response, such as, “Who within your family is trained as a community health worker” (if Yes, give name) or “Has everyone in your family received a measles vaccination?” (Yes or No).

For both an urban and rural population, ensure that at least one or more telephone numbers is collected for each family, and possibly an e-mail address, so that UNHCR has the ability to locate the family in the future.

4.1.16 Issuing documents and producing distribution lists

During the registration, each household will be issued a ration card, which will allow the household to receive assistance. The ration card number will be recorded in the registration database and/or on the registration form. For guidance on the standard use of the Ration Card refer to the Registration Checklist in Refugee Emergencies and the stockpile guidelines.

4.1.17 Population data agreement and management

With the support of the registration officer, the Representative should present the results of the registration to the host Government for official endorsement. Registration figures will also be shared with the management of partner organizations that have participated in the emergency registration.

In the Protection Working Group or RIM WG, agreement will need to be reached on the type and frequency of distribution lists as well as population demographic breakdowns to be produced by the registration unit as required. (Do not include individually identifiable information in these lists, unless the partner has signed a confidentiality agreement and as directed by the protection officer.) If a partner collects the data, individuals will not be officially registered until UNHCR and the host Government accepts the data, according to the *UNHCR Handbook for Registration* (pg. 36).

Once this process is completed and agreed at all levels, the registration officer and the Information Manager should work together to ensure that population baseline figures and, later, updates to population figures (as a result of ongoing registration, i.e. new arrivals, departures, births and deaths) are disseminated to partners through standard information management and coordination structures outlined throughout these guidance notes.

The registration officer should regularly provide a prioritized list based on vulnerability broken down by age, sex and camp/settlement. As discussed and agreed with the protection officer, this type of list will need to be produced on a regular basis for targeted protection interventions and ongoing protection and programme analysis, and should be provided to partners and concerned colleagues. Deciding on what type and level of registration information to share outside of UNHCR must be carefully considered by senior managers and agreed to by the Representative.

4.1.18 Continuous updating of records

After the completion of the initial registration, UNHCR Registration and Information Management staff will need to ensure that procedures are in place to continuously update registration records, and to share them systematically with partners. Recommended approaches to continuously updating registration records include the following:

- Flag households that have missed distribution(s), and ascertain whether households should remain active or not after 2 or 3 consecutive distribution(s).
- Put in place continuous registration mechanisms in order to register newly arrived refugees and newborns. For newborns registration, it is advised to liaise with medical partners and put in place procedures for issuance of birth notifications: this may have the double objective of increasing the number of children born in the medical facilities and prevent possible multiple registration (mark the birth notification once the new born has been registered).
- As a possible verification technique, UNHCR and partners may conduct spot checks in camps/homes, etc. to confirm the presence of registered refugees. In this regard the existence of a functioning camp address system will be important.
- Revised population figures, with necessary demographic breakdowns, are distributed regularly, and updated at minimum on a weekly basis.

4. A TEMPLATES

- Annex 1: Registration Checklist in Refugee Emergencies
- Annex 2: IOM/030-FOM/077/2013: Standard Format Bipartite Project Partnership Agreement (UNHCR with non- governmental and other not-for-profit partners)
- Annex 3: Standard Format Bipartite Project Partnership Agreement (UNHCR with non- governmental and other not-for-profit partners)
- Annex 4: Model Agreement Document on the Sharing of Personal Data with Governments in the Context of Registration

- Annex 5: UNHCR Control Sheet Automated
- Annex 6: UNHCR Control Sheet Manual
- Annex 7: Sample Emergency Registration Strategy
- Annex 8: Registration Site Layout
- Annex 9: Sample Registration Budget Template
- Annex 10: Sample Information Campaign Fliers

- Annex 11: IOM/FOM/068/2001-Confidentiality Guidelines
- Annex 12: Confidentiality Undertaking
- Annex 13: Staff Training: HH Level Process Flow Illustration
- Annex 14: Staff Training: Registration Staff Introductory Statement
- Annex 15: Staffing: Attendance and Payment Tracking Form

- Annex 16: Registration Stockpile Procedures 2015
- Annex 17: Registration Material Order Form

- Annex 18: Standard UNHCR Categories and Codes
- Annex 19: Level 2 Registration Form English
- Annex 20: Level 2: Registration Form French
- Annex 21: Printing Multi-Purpose Tokens Template
- Annex 22: Printing Token Numbers Template

- Annex 23: Wristband Issuance Control Template
- Annex 24: Control Mechanism / Fraud Prevention for issuance of Assistance or Identity documents
- Annex 25: Appointment Slip Template (English, French and Arabic)
- Annex 26: Relocation Pre-Manifest
- Annex 27: Refugee Consent Form

- Annex 28: IOM/030-FOM/030/2009 Guidance on the Use of Standardized Specific Needs Codes English
- Annex 29: IOM/030-FOM/030/2009 Specific Needs Codes English
- Annex 30: Selecting Specific Needs Code Sheet Instructions
- Annex 31: Selecting Specific Needs Codes Sample
- Annex 32: Basic Referral Slip

- Annex 33: Standard Entitlement Documents
- Annex 34: Refugee Attestation English

- Annex 35: Refugee Attestation French
- Annex 36: Birth Notification Sample (for continuous, or ongoing registration) in English and French

- Annex 37: ProGres Data Warehouse Instructions
- Annex 38: ProGres Data Warehouse Tool
- Annex 39: SQL Server Database Back-up Instructions

4. B REFERENCE DOCUMENTS AND LINKS

- UNHCR Handbook for Registration, Procedures and Standards for Registration, Population Data Management and Documentation, Provisional Release, September 2003, Annexes 1–15. Accessed online at: http://www.unhcr.org/refworld/pdfid/3f967dc14.pdf (31 October 2014).

Note: An updated version of the Handbook for Registration is anticipated in 2015.

5 RAPID POPULATION ESTIMATION METHODS

OVERVIEW AND FUNCTION

Timely, accurate and reliable information on the numbers and locations of people affected by a crisis is crucial for an effective and efficient humanitarian response. Population numbers or estimates, including a reflection of global numbers and an ethnic, gender and age breakdown, are clearly important for a range of humanitarian assistance activities including programme planning, protection, fundraising and advocacy.

HOW-TO GUIDE: PREPARATION

5.1.1 Conduct interviews (face-to-face or by phone, Internet, radio, SMS, etc.) with key informants

Estimates from district or village authorities and community leaders in the area, service providers, Red Cross/Red Crescent workers, NGOs, religious leaders, and education or health staff may be important sources of information on population figures, family composition, household size, settlement patterns, and arrival and departure rates. Any other credible first-hand information (e.g. aerial views or any sort of observation) may also be used.

5.1.2 Reconcile estimates: Secondary data and key field informants

In many cases, there will be little data available or time will be limited. Statistical methods may be inappropriate (they may be too costly, time consuming, require considerable expertise, or results may be difficult to interpret). In addition, differing perspectives, terminologies, frames of reference and working approaches exist, which may hinder effective comparison.

In such scenarios, a **Delphi exercise** may be considered. The Delphi method brings together a group of experts to reach a consensual opinion about a situation, such as the numbers and locations of people affected by a crisis. It is recommended to have about 15 to 20 experts on a Delphi panel with combined knowledge and expertise. Panellists should be well informed on the topic at hand, and should have experience with predicting population movement patterns and numbers. The panel may include decision-makers, demographers, behavioural scientists, emergency responders, nutritionists or people with knowledge of the affected area. It may also include researchers and key informants at the regional, national or provincial level who know the culture and behaviour of the affected people.

A prerequisite for a Delphi exercise is that an appropriate number of experts are available and that they all come with their data, which is to be discussed and finally agreed. The discussion focuses on agreeing on location specific figures for each site, after which such figures can be added up to arrive at a total.

5.1.3 Identify information gaps and next level of details, methods, techniques and resources required

Once the review has been completed and the data stored in a database, decisions may be taken on where, when and how to conduct a more comprehensive population estimation, focusing mainly on information gap

areas. This will narrow the scope of further data collection and save time as well as financial and human resources.
New or more specific data collection exercises are generally conducted to gain access either to data that does not yet exist or to more detailed, accurate or updated figures. In a refugee emergency, this could mean moving towards an emergency registration. As a registration exercise may be impeded by factors such as access, time and resources available, the next section will elaborate on alternative methods to obtain population figures in an emergency situation.

POPULATION ESTIMATION METHODS

Every emergency situation is different, with varying factors that will influence the choice of a population estimation method. This could include, for example, the time frame available to conduct the estimation (hours, days or weeks), the location size (site or large area) or the characteristics of the population (stable of continuing to move). Combining several techniques will produce more reliable results, depending on the context, resources (number of staff, expertise, finances) or which population groups are being numerically estimated.

The population estimation methods described in the next section are recommended both for scenarios that do and do not require field and/or affected population access.

5.1.4 Methods and techniques requiring field and/or affected population access

Field access and few hours available

- For sites with available resources: flow monitoring, mobile crowd estimations;
- For sites with limited resources: visual habitation count, static crowd estimation method, drive through or walk through, transect walk, community estimates;
- For large areas with available resources: flow monitoring; and
- For large areas with limited resources: authorities estimates.

Field access and few days available

- For sites with available resources: flow monitoring, mobile crowd estimations, enumeration, stratified or random sampling, cluster sampling, two-stage cluster method, quadrat method, T-square method, spatial interpolation method, focus group discussion, counting the number of under fives;
- For camp setting with available resources: habitation count method, quadrat method, registration exercise;
- For sites with limited resources: community estimates, participatory mapping, drive through or walk through, transect walk and transect sampling, visual habitation count method; and
- For large areas with available resources: flow monitoring, key informants, initial reports/D-forms, Delphi method.

Field access and few weeks available

- For sites with available resources: flow monitoring, enumeration, registration, head counts, capture-recapture, network scale-up, household surveys, results of an immunization coverage survey, focus group discussions; and

- For large area with available resources: flow monitoring, stratified or random sample or a (modified) cluster sampling, two-stage cluster method, quadrat method, T-square method, spatial interpolation method, sample surveys, census, registration, enumeration.

5.1.5 Methods and techniques not requiring field and/or affected population access

No field access and few hours available

- For sites with available resources: l-level aerial photography and survey, mobile phone network data;
- For sites with limited resources: key informants, aerial survey, initial reports / D-forms;
- For large area with available resources: satellite imagery, low-level aerial survey, night-time lights, mobile phone network data; and
- For large area with limited resources: initial reports / D-forms, key informant interviews, Delphi exercise.

No field access and few days available

- For sites with available resources: low-level aerial surveys, mobile phone network data, satellite imagery;
- For sites with limited resources: key informants, first-hand information from aerial survey, initial reports / D-forms;
- For large area with available resources: satellite imagery, low-level aerial photography and mobile phone network data; satellite imagery, night-time lights or low-level aerial survey; aerial survey, initial reports / D-forms, satellite imagery); and
- For large area with limited resources: initial reports / D-forms, Delphi exercise.

No field access and few weeks available

- For sites and large areas with limited resources: Delphi method.

5. A REFERENCE DOCUMENTS AND LINKS

- For large area with limited resources: initial reports / D-forms, Delphi exercise
- See the *IASC Guidelines on the Humanitarian Profile Common Operational Dataset*, 2011, which may be assessed online at: http://www.humanitarianresponse.info/applications/data/datasets (accessed 31 October 2014).
- The technical brief, *Rapid Estimation of Affected Population Figures* provides solution trees to support the choice of an appropriate method, providing practitioners a preliminary overview in choosing a suitable option depending on different operational parameters. This technical brief may be found at: http://acaps.org/en/resources (accessed 31 October 2014).
- A detailed explanation of each method is given in the *ACAPS Rapid Estimation of Affected Population Figures*, Desk Review, May 2012; available online at: http://www.parkdatabase.org/files/documents/2012_acaps_rapid_estimation_of_affected_population_figures.pdf; copy and paste this link into your browser (accessed 31 October 2014).

6 WHO'S DOING WHAT, WHERE

OVERVIEW AND FUNCTION

The Who's Doing What, Where (3W) tool is a practical component of information management for coordination purposes and activity gap analysis. In many cases, other Ws are added such as When, Why and for Whom which expands the tool to 6Ws. At the emergency stage the 3W should be kept simple and potentially expanded as the situation evolves. The raw data from a 3W can also contribute to emergency programme monitoring and is a key component in overall gap analysis representing capacity, which is then compared to needs

Creating, maintaining and sharing a 3W with external partners highlights the coordination and communication role of UNHCR in information management throughout an emergency.

HOW-TO GUIDE

6.1.1 Responsibility and reporting

The Information Manager will need to create the format for and maintain a continuously updated 3W format, as well as oversee the dissemination of related information both internally and externally to partners.

Setting up a regular and predictable clearance and dissemination plan for the 3W is important, as partners need to know what to expect and when to expect it. The Representative should be regularly briefed on the 3W, and should agree to a frequent 3W dissemination schedule, externally and internally, of at least two to three times a month.

Once cleared by the UNHCR Representative, and as illustrated in the Mapping section of this Toolkit, the 3W may also be mapped and uploaded on the web portal. Where possible, incorporate creative dissemination techniques – using mass SMS and e-mail lists – and ensure that hardcopies are available at information kiosks, included in briefing kits, etc.

6.1.2 Key Information, sources and maintenance

A 3W is populated through networking at meetings, humanitarian briefings, sectoral working groups, monitoring done by field staff and though informal contacts. The 3W will track information on sector and sub-sector actors, location of activities, funding and whether the information is public.

Whenever there are new attendees at coordination or sectoral meetings, establish communication and gather necessary information for inclusion on the 3W, a copy of which should be shared with new colleagues. If a UNHCR Portal is established information should be consolidated and updated on this platform as soon as possible. You may need to support this with offline 3W matrixes, which are included with this Section of the Toolkit as Annexes 1 and 2.

Under the guidance of senior management, criteria for inclusion and exclusion from the 3W should be decided at the national level. For example, should donors or only implementers appear on a 3W? Should activities that have been planned but not started be included on a 3W, or only those that have begun? Should only those activities that have been authorized by the Government appear on a 3W?

All of these questions should be explicitly considered when deciding who and what to track in the 3W matrix. It is possible to add columns and filters to the spreadsheet template to sort through different types of humanitarian activities – planned vs. started, donor vs. implementer, Government authorized vs. not – and then to produce different 3W matrices for different purposes. If this is done, senior management should make it clear which 3W matrices should appear on very public domains, such as the web portal.

Early in a refugee emergency, it may be difficult to obtain detailed data on activities and locations, as this information remains quite fluid during the first phases of an emergency. However, if more detailed information on activities and location is required for reporting or coordination purposes, use Annex 1, the Simplified 3W Reporting and Coordination Template, referenced below, to track and follow-up accordingly with the activity focal point.

For later phases of a refugee emergency, or once the information is available, it may be possible to move towards using the 3W as an activity tracking tool by location, at which point please use the automated template referenced in Annex 2, below the 3W Excel Reporting Template.

When possible, consider bringing a 3W map, updated statistics, contact lists or related information management analysis or products to share at RIM WG coordination and working meetings.

6. A TEMPLATES

- Annex 1: 3W Excel Reporting Template
- Annex 2: Simplified 3W Reporting Tool for Coordination Purposes

6. B EXAMPLES

- Annex 3: El Andalus 3W Report

7 EXTERNAL UPDATES AND FACT SHEETS

OVERVIEW AND FUNCTION

UNHCR has established standard templates for external update documents, produced by field operations and Regional Bureau, which provide operational information on UNHCR's achievements in an operation or a region.

Consistent reporting and information sharing with donors, partner agencies, plays a critical role in external coordination between UNHCR and our partners, and remains a key activity during the first phase of a refugee emergency. External reporting documents also play a key role in identifying pressing and urgent needs, which may require emergency support or resources.

External Updates and Fact Sheets are not intended to replace internal reports such as SitRep's. Colleagues in the field, Regional Bureau or HQ may decide if External Updates and/or Fact Sheet's should be produced and the frequency of dissemination of such documents.

HOW-TO GUIDE

Depending on resources available during the first phase of a refugee emergency, the Representative may designate the External Relations or Public Information Officer or any other colleague as appropriate, to lead and oversee the process of gathering information for Operational Updates, as well as for the Inter-Agency Update and Fact Sheets.

Reporting and dissemination frequency will be according to needs on the ground as identified by the Representative, with contributions provided by UNHCR protection, registration, information management and sectoral colleagues for UNHCR updates. For inter-agency updates, primary information from operational partners may also be obtained from inter-agency coordination forums such as the UNHCR lead RIM WG (for details on how to set-up a RIM WG please see the Information Management Strategy section of this Toolkit), amongst others.

Clearance procedures for the below templates are covered in detail at: https://intranet.unhcr.org/intranet/unhcr/en/home/policy-and-guidance/der.html (please note, this link requires UNHCR intranet access).

7.1.1 Choosing a Template: UNHCR Operational Update and Fact Sheets

The UNHCR Operational Update templates may be used by colleagues who want to report on achievements and challenges for one or more UNHCR operations. Fact sheets are two page documents providing an overview of a UNHCR operation.

- **UNHCR Operational Update Template:** should be used for reporting on UNHCR's activities in a specific operation (e.g. UNHCR's operation in Burkina Faso).
- **UNHCR Regional Update Template:** should be used for reporting on UNHCR activities in several operations affected by the same crisis (e.g. UNHCR's response to the Mali situation in Burkina Faso, Mali, Mauritania and Niger) or on several operations that fall under the same region (e.g. UNHCR's operations in West Africa).
- **UNHCR Factsheets:** are produced by field operations to provide a quick overview of the operation for external readers such as donors, partners and the general public.

7.1.2 Choosing a Template: Inter-Agency Update

Inter- Agency Updates refer to UNHCR external inter-agency updates, produced by field operations and Regional Bureau, which provide operational information, such as achievements or challenges faced by UNHCR and partners' in an operation or a region. External Updates and Fact Sheets are produced by UNHCR and are intended for external coordination and information sharing.

Inter-Agency Update Template should be used for reporting on inter-agency activities for a given refugee operation (e.g. inter-agency activities in Lebanon). These updates should contain all relevant developments related to UN agencies, international organizations, NGOs and governmental agencies.

Inter-Agency Regional Update Template should be used for reporting on inter-agency activities for a given situation (e.g. inter-agency response to the Syria situation in the MENA region and in Turkey).

These updates should contain all relevant developments related to UN agencies, international organizations, NGOs and governmental agencies for a given situation.

DISSIMINATION

Once cleared, the UNHCR Operational Update, Inter-Agency Update or Fact Sheet should be disseminated to the humanitarian community, donors through weekly coordination meetings. These documents may also be uploaded on the UNHCR web portal by the Information Manager, made available inside the UNHCR office or shared regularly through e-mail distribution lists. They are also shared with Permanent Missions in Geneva via email.

13. A REFERENCE DOCUMENTS AND LINKS

- For additional guidance on templates please see: https://intranet.unhcr.org/intranet/unhcr/en/home/policy-and-guidance/der.html; click on the document titled: 'UNHCR/AI/2014/10-Administrative Instructions for the Standardization of External Update Documents' (note: this link requires UNHCR intranet access).
- All templates are available online at: https://intranet.unhcr.org/intranet/unhcr/en/home/policy-and-guidance/der.html; (note: this link requires UNHCR intranet access).

8 EMERGENCY NEEDS ASSESSMENTS

OVERVIEW AND FUNCTION

Needs assessments are required to understand the impact of an event or crisis on affected populations: which populations are most affected, what their coping strategies are and which humanitarian interventions would most aid the population. An emergency needs assessment may be carried out during the first phase of a new emergency or when there has been a significant change to an ongoing emergency such as a sudden population influx.

The key objectives of an emergency needs assessment are to work towards ensuring that:

- Humanitarian aid is needs based;
- Humanitarian aid promotes rather than undermines safe local coping mechanisms;
- The unique and respective needs of different populations have been identified and understood;
- Decisions regarding humanitarian aid are based on verifiable information.

According to its mandate, which is based on its statute and resolutions passed by the UN General Assembly, UNHCR will coordinate and lead all aspects of humanitarian response in refugee emergencies, including coordinated needs assessments.

HOW TO GUIDE

For the initial needs assessment in a new refugee emergency, UNHCR should lead a "joint" multi-sectoral needs assessment, covering multiple sectors and including the participation of multiple humanitarian actors. In non-refugee emergencies, UNHCR may participate in similar multi-agency needs assessment exercises to which many of the principles described here will also apply. For these exercises, UNHCR IM staff should familiarize themselves with the *Multi-Cluster/Sector Initial Rapid Assessment* (MIRA) methodology.

Joint assessments are useful to establish a common understanding of the situation among actors and to maximize the use of available resources. As the emergency progresses, harmonized and/or sector-specific assessments may be undertaken.

Type of Coordinated Needs Assessments	Definition	What Must Be Done	Output
Joint multi-sectoral needs assessment	Data collection, processing and analysis form one single process among agencies within and between sectors and leads to the production of a single report. Joint needs assessments are sometimes also referred to as "common assessments".	Establish a multi-organizational coalition to pool assessment resources for the design and undertaking of a joint needs assessment. Design and lead data collection and analysis. Agree on the interpretation of the results among all stakeholders.	A single report that represents the agreed interpretation of needs by several agencies or organizations.

Harmonized needs assessment	Data is collected, processed and analyzed separately, but is sufficiently comparable (through the use of common operational data sets, key indicators, and geographical and temporal synchronization), to be compiled into a single database and used in a shared analysis.	Agree with partners on which geographic data, population classifications and indicators will be used across multiple needs assessments. Use the IASC Common Operational Datasets and UNHCR data standards in needs assessments. Share needs assessments to cross-analyze results.	Multiple needs assessments reports or databases that can be cross-analyzed and aggregated.

Note: Definitions used in the above chart are derived from the IASC Operational Guidance for Coordinated Assessment in Humanitarian Emergencies (March 2012).

EMERGENCY NEEDS ASSESSMENT PROCESS

Needs assessments are often situation dependent, and the design of the assessment will be affected by numerous factors. These include the level of humanitarian access, whether population movements are stable or dynamic, the amount of time and resources available for the assessment, and the types of interventions that might be made as a result of the assessment, to name a few.

Here are the basic steps for designing and conducting an emergency needs assessment (note that while listed in the general order of events many of these steps will need to run in parallel):

- Establish basic situational awareness;
- Identify purpose and types of decisions that require needs assessment information;
- Identify inter-agency stakeholders;
- Identify time and resources required for the needs assessment, including equipment, translators, data collectors and data entry personnel;
- Conduct a secondary data review, compile a 3W and identify remaining information gaps through a situational analysis;
- Decide how communities will be sampled;
- Design and test the data collection forms;
- Train the data collection team;
- Undertake primary data collection;
- Collate, clean and analyze resulting data;
- Disseminate data and information products; and
- Begin monitoring.

The general principles described in this chapter apply to any type of emergency needs assessment. However, carrying out a needs assessment in urban areas can present unique challenges, particularly in the identification of geographic areas and populations to be surveyed. Special considerations for urban assessments are included throughout this chapter.

8.1.1 UNHCR roles and responsibilities

The UNHCR Representative in the country of the emergency is responsible for leading and coordinating the overall refugee needs assessment by establishing the required sectoral coordination. In an appropriate inter-agency forum, the Representative should request operational partners to nominate staff to participate in the Assessment Team (see below) for the needs assessment. A Needs Assessment Coordinator will need to be identified within UNHCR to follow-up and make contact with sector and/or organizational focal points. Sectoral leads and emergency coordinators will need to decide on the information required from a needs assessment in order to inform the operational strategy, while the Information Management Officer will provide support with assessment methodology, design, data collection, analysis and coordination.

8.1.2 The Assessment Team and Refugee Information Management Working Group (RIM WG)

An Assessment Team is a temporary working group of stakeholders who will manage a needs assessment. Members of this team include operational leads who will decide what information is required for decision-making, interpret the results of the assessment and design interventions according to those results, as well as an Information Manager, who will design the assessment, select the sites to be assessed, compile the data and produce information products based on it.

Among the duties of the Assessment Team are:

- Agreement on time frame, data collection methods, cleaning and analysis of data and sharing and dissemination of results;
- Identification of an emergency referral system for urgent interventions needed that are uncovered during the needs assessment process;
- Agreement on minimum life-saving sectoral data;
- Finalization of assessment method and design;
- Site selection; and
- Coordination of resources, training and logistics.

The Assessment Team will need to identify the required resources to undertake the exercise in the field, based on the scale of the assessment to be conducted. Limitations on resources may affect the design of the assessment. The amount of resources spent on the needs assessment should never exceed 10 per cent of the value of the interventions that will be made on the basis of the assessment, and ideally the cost of an assessment will be much less than that.

The Information Manager may be called upon to compile an assessment registry and 3W (see below), coordinate needs assessment methodologies, ensure data compatibility and facilitate data sharing in the context of the RIM WG. The RIM WG is a forum for coordinating multiple assessments, sharing and tracking available data and keeping the assessment registry up-to-date. Needs assessment coordination functions should be included in the RIM WG TORs, included in the Information/Data Management section (Section 2) of this Toolkit.

8.1.3 Who to involve

In the first phase of a refugee emergency, a range of humanitarian agencies, NGOs, government counterparts and possibly donors may be involved in the initial assessment planning process, depending on the specific situation. However, partners involved in actually carrying out the assessment should only be those key actors responsible for overseeing and providing assistance in the first phase of a response. It is critical to involve WFP and other relevant partners in conducting emergency needs assessments when the population to be assessed is over 5,000 persons.

Identifying key stakeholders in an urban assessment context will likely require additional efforts to reach out to refugee focal points within the community. Urban refugees are often mobile and tend to cluster in the poorest areas of the city, and/or be dispersed over many locations throughout a city, making them difficult to identify. Refugee focal points will be crucial in identifying refugee locations, population and demographic estimates, new points of influx, vulnerable groups, infrastructure and security issues, coping mechanisms as well as needs which may change rapidly within an urban context. It is advisable to gather refugee focal point contact information with the support of the Protection or Community Services officer and to confirm or update information as appropriate.

8.1.4 Establishing expected outcomes of the assessment

At the start of a needs assessment process, begin by asking these questions: What are the underlying causes of risk and vulnerability? Have these causes changed and, if so, how? How widespread is the problem – throughout the country (or countries) or in specific areas? How are the host communities coping with the situation? Which geographical area is the most impacted by the problems, and which affected group are the most at risk? A crucial first step in the assessment process is to determine, and agree on, the operational data and information needed from the assessment to support intervention planning.

Do not start a needs assessment process with the design of a data-collection form – that step comes in the middle of the process. Many needs assessment designers make the mistake of starting with the design of the primary data collection form. However, doing so diminishes the likelihood that the needs assessment will be successful and yield actionable information. Simply put, begin by identifying the questions that need to be answered, not the ones that will be asked.

8.1.5 Needs assessment logistics and equipment

When planning an assessment, it is vital that the logistical requirements of the field teams undertaking data collection are fully covered. Core equipment is essential, such as appropriate vehicles, first aid kits, computers, radio and/or satellite phones, GPS devices, cell phones and chargers with appropriate SIM cards and credit, along with flashlights, spare batteries for all equipment and physical maps. Ensure adequate food and water is provided for the teams particularly if supplies may be difficult to obtain in the areas to be visited. Also important are enough notebooks, pens, pencils and pencil sharpeners, as well as adequate copies of community interview guides with recording sheets, key informant guides and any materials required for participatory data collection techniques (flip chart sheets, felt-tipped pens, seasonal calendars, etc.).

SECONDARY DATA REVIEW AND SITUATIONAL ANALYSIS

According to the *IASC Operational Guidance for Coordinated Assessments in Humanitarian Crises*, a secondary data review provides valuable pre-crisis baseline information. The review, conducted by Protection Officer and Information Manager, should be derived from a spectrum of sources and including the following:

- Pre-existing conditions, which may have aggravated the impact of the crisis;
- Underlying vulnerabilities and pre-existing vulnerable groups;
- Existing threats (epidemics, climate, etc.); and
- Lessons learned from past crises in the same area.

Secondary data is any data that originates from outside of the needs assessment, such as data from the Government, monitoring data, etc. This includes data that is owned by UNHCR, such as registration or ProGres data. Primary data is any type of time-bound data that is collected through completion of the assessment form during the emergency needs assessment. In addition to information from humanitarian partners already *in situ*, secondary data may be collected from or found through Relief Web, Alertnet, OCHA, *HumanitarianResponse.info*, media, blogs, crowd-sourcing, coordination meeting minutes, census data, etc. For additional references on conducting secondary data reviews, refer to the Information/Data Management Strategy section (Section 2) of this Toolkit.

8.1.6 Compiling an Assessment Registry

As part of understanding the overall situational context, the Information Manager should ensure that an "Assessment Registry" has been compiled. The aim here is to identify what has already been assessed and areas of existing coverage that may not need to be included in the first stage of priority needs assessment. A template for an assessment registry is included in the Information/Data Management Strategy section of this Toolkit. For country operations that have the UNHCR web portal, it may be possible to register needs assessments in an online "Needs Assessment Registry" rather than using the Excel template.

8.1.7 Compiling a 3W

Next, in order to inform an overview of needs, it will be important to understand and map existing services and capacities of the Government and operational partners, by type and location, in a detailed 3W. As part of the secondary data review, a Protection and Programme Officer should work with the Information Manager to compile or expand an existing 3W for the operation. This can be done through a traditional 3W spreadsheet or, if time permits, through a 3W map, both of which will establish a profile for each administrative unit, highlighting service coverage, or lack thereof, and areas for prioritization and inclusion in the needs assessment.

For an urban needs assessment the urban area will need to be broken into smaller geographic units that are agreed with local or national authorities and other partners, and discussed within the RIM WG and other coordination forums. To avoid confusion, these units should be based on existing formal or informal boundaries (i.e. municipal administrative units or locally-known neighbourhoods) to the extent possible but where no sub-divisions exist a new system will need to be created.

The demarcation of the city into these smaller units should be completed by the Information Manager working with the Protection and Programme Officer and cross-checked through focal points within the community. Once the city has been broken down into smaller segments -- districts, neighbourhoods etc. -- this information should be shared widely with the government and operational partners, and referenced when reporting and coordinating services.

For additional information on compiling a 3W, refer to the Information/Data Management Strategy section (Section 2). To compile a 3W map of a city, please refer to the Mapping section of the Toolkit, (Section 16, Annex 5, 'UNHCR Addressing Guidance',) for practical advice on how to set-up a geo-referenced database.

8.1.8 Situational Analysis

The output of a secondary data review, including the compilation of an assessment registry and 3W, should be a short situational analysis listing secondary data sources and major findings. Analysis of the gap between the findings of the secondary data review and the information required for decision-making should inform the design of a potential primary data collection exercise.

PRIMARY DATA COLLECTION

8.1.9 When not to collect primary data

Although a needs assessment should always be done in a refugee emergency, there are some situations in which primary data collection should not be conducted:

- When collecting data will put collectors or interviewees in harm's way;
- When the results of the needs assessment will be incorrect or extremely biased, such as when interviewees do not feel secure enough to tell the truth or if external pressures are limiting the effectiveness of the needs assessment;
- When a population feels over-assessed and possibly hostile to additional needs assessments.

For the above situations, conducting a needs assessment through a secondary data review only -- without any new primary data collection -- might be the appropriate assessment approach.

8.1.10 Emergency referral system

Prior to conducting primary data collection, Protection Staff should establish for the Assessment Team a system for emergency referrals by sector with focal points identified. (See the Minimum Sectoral Data: Protection section (Section 13) for additional information on how to set this system up.) For example, referrals may identify a location, such as a collective centre, in need of a WASH intervention or may refer an individual for a life-saving intervention. The emergency referral process should be separate from, and made functional by the start of, the assessment exercise being undertaken in the field. Field data collection teams should be trained on how to escalate life-saving issues and urgent interventions uncovered during the assessment to appropriate service providers.

Field data collection teams should carry with them the *UNHCR Referral for Assistance* (included as an annex in the Registration in Emergencies section of this Toolkit) for any cases encountered in need of emergency referral and support. Doing so will avoid having the required urgent action reports mixed in with needs assessment results to be submitted for data entry.

8.1.11 Assessment method and survey design

The unit of measurement for an emergency needs assessment should be at the community level rather than the household or individual level, saving time and reducing the volume of data gathered during primary data collection. Data collection techniques for community level needs assessments include direct observation, key informant interviews and focus group discussions.

The recommended unit of measurement for an urban needs assessment is a neighbourhood or district as discussed earlier. An urban needs assessment may also benefit from the use of crowd-sourcing technology and/or the establishment of refugee call-in lines to solicit information, either in the emergency phase or later monitoring of the situation.

8.1.12 Participatory and AGD approaches in emergency needs assessments

Assessments must also be designed and conducted using participatory approaches which allow populations of concern to voice their opinions about their own needs rather than humanitarian personnel simply deciding for them. It is also important that needs assessments reflect an age, gender and diversity (AGD) approach, as the emergency will affect different portions of the population differently. Field data collection teams need to be gender balanced and trained on survey questions and participatory approaches prior to going to field locations to collect data.

Practical ways to include AGD and participatory approaches in needs assessments:

- Have separate focus group discussions for men, women, boys, girls, of different social strata. It can be advantageous to conduct these focus group discussions simultaneously so, for example, men do not also infiltrate the women’s discussion;
- For closed questionnaires or structured interviews, use key informants from different sections of society;
- When selecting villages or camps to be assessed, stratify the locations to reflect the diversity of their resident populations;
- Assess questions and themes that might be relevant to marginalized or less vocal segments of communities;
- Partner with specialized NGOs who work with hard-to-reach groups (i.e. elderly persons, disabled persons, children) to obtain information specific to their needs
- Engage with self-governance structures (i.e. youth committees, women’s committees) as sources for needs assessment information;
- Conduct a participatory ranking of problems and solutions, during which community members carry out the prioritization;
- Triangulate data from multiple social classes to illustrate how various populations experience during a humanitarian situation differently.

Ensuring community participation helps to minimize the potential of needs assessments and the resulting humanitarian interventions causing harm by undermining local coping mechanisms, neglecting marginalized social groups’ needs, and/or wasting resources on aid that is not required.

Data collection teams will have to specifically ask interviewees for their consent to use the information they provide for the needs assessment. Personal information can never be disclosed or transferred for purposes other than those for which it was originally collected and for which consent was explicitly given.

8.1.13 Site selection

Although desirable, statistically representative site selection may not be possible when choosing which sites to assess in the first weeks of an emergency. For emergency needs assessments, diversity-driven **purposive sampling** is the preferred sampling method. Purposive sampling is aimed at sampling as many types of sites as possible. It involves first defining which selection criteria are important to consider according to the assessment objectives and second, visiting sites that represent a cross-section of these. Purposive sampling is recommended for rapid assessments because this process ensures that the assessment captures different types and levels of impact. An alternative to purposive sampling is representative sampling in which the population is divided into subpopulations (strata) and random samples are taken of each stratum. Representative sampling is a more time-consuming process than purposive sampling.

Site selection for an emergency needs assessment should focus on sites based on gaps in existing knowledge, severity of impact, geography and characteristics of the refugee community etc. While considering geography and protection issues, attempt to select sites that represent the diversity of the situation, such as a mixture of urban and rural camps or sites, sites in the mountains and valleys, sites dominated by different ethnic or social groups, etc. For urban assessments, focal points within the refugee community may be able to help identify the locations of other refugees within the city, including hidden or vulnerable groups. Locations should be stratified by criteria that highlight potential differences in the impact of the emergency or the community's ability to cope with that impact so that the assessment will provide as comprehensive a picture as possible.

8.1.14 Reducing bias in needs assessment

A key consideration in the process of collecting primary data is the presence of bias. Bias refers to a systematic skewing of data collected. A biased *sample* refers to a sample in which all members of the population are not equally likely to be represented. A biased *estimator* is one that systematically over- or under-estimates what is being measured. Bias may occur because of under-coverage of some groups, large non-response rates among particular groups, or lack of access.

Bias can arise from many sources including the community, Government sources, data collectors, interpreters (if used), key informants, ethnic groups and both sexes. The greatest limitation of any key informant interview is that it provides a subjective perspective on the crisis. Individual responses provide important information, but this will have both an individual and a cultural bias that needs to be considered when analyzing the information. Throughout the assessment process, consider whether the biases of the interviewer or informant may be influencing results, and adjust training or assessment methodologies accordingly.

To reduce the bias of any assessment, there are a number of things to remember. Communities are not homogeneous, and information should be gathered from sources that represent different interest groups, including marginalized persons. It's important to define the different characteristics of people who are being consulted (e.g. those most affected by the crisis, internally displaced persons, minority ethnic groups, etc.) and record this when collecting data, including those groups that may not be represented. Ensure that the affected population is consulted directly and that all demographics within this population (women, children, the elderly, the disabled, and ethnic or religious minorities) are consulted. Particular attention needs to be paid to the poorest and most socially excluded people, as they are likely to be most affected by a crisis.

8.1.15 Agreement on minimum life-saving sectoral data

Needs assessment questions should focus on gathering minimum emergency life-saving data required to inform the first phase of an emergency response. All questions should relate directly to the priority operational information needs identified by the Assessment Team.

When leading an Assessment Team in the prioritization of assessment questions, consider facilitating a group discussion using the Prioritization Graph, from Annex 2 of this section, which can assist with obtaining Team agreement on questions to include in the assessment. Data elements that have life-saving importance and that are easy to collect should be the priority for an initial needs assessment.

Minimum and sectoral data sets presented in the protection, HIS, WASH, nutrition, mortality, shelter, CRI, environment and livelihood sections of this Toolkit also provide examples of the type and level of life-saving sectoral data that may be included in the an emergency needs assessment.

8.1.16 Needs Assessment for Refugee Emergencies (NARE) checklist

Where possible, existing assessment forms should be used and amended as necessary. Some country operations will have developed an emergency needs assessment form during the contingency planning process that may be adapted and used.

The NARE checklist is a highly customizable multi-sectoral needs assessment format designed to provide a basis from which to develop a country-specific assessment form according to the local situation. The Assessment Team can decide which data collection methodologies should be used and which topics should be the focus. NARE users are not obligated to do the entire assessment specified but can pick and choose from among the methods and themes depending on the time and resources available, the purpose of the assessment and the types of interventions that will be made. Data collection questions in the columns/rows selected from the NARE may be further customized, suggested questions changed or omitted or new questions added. In addition to sector-specific contents, the contents of the "All Sectors" column and the callouts on population data management, security and logistics should also be considered. (See the NARE Checklist in Annex 7 for additional information on the types of data to collect as well as examples of questions to ask.)

Primary data-collection forms must be tested prior to undertaking the needs assessment widely in the field. This may be as simple as sitting with local colleagues to ensure that the interpretation of assessment questions is clear and that the resulting answers will be analysable.

8.1.17 Field team training

Needs assessment field team members should be trained on the following:

- Completing the needs assessment data-collection forms;
- Reporting problems with the needs assessments;
- Key informant selection;
- Observation techniques;
- Facilitating focus group discussions (if needed);
- Managing community expectations;
- Data confidentiality principles; and
- Basic principles of the UNHCR Code of Conduct.

8.1.18 Data cleaned, jointly analyzed and agreed

It is important for members of the Assessment Team to agree on the process for cleaning, analysing and interpreting the assessment data prior to undertaking the data collection in the field. Data should be cleaned and entered into a spreadsheet at the end of each day by the needs assessment field team members. Where possible, data should be broken down by UNHCR standard sex and age groups.

A shared communication strategy for the results will need to be discussed and agreed upon within the Assessment Team. In some situations, two versions of the assessment report – one for internal audiences and one for external audiences – may need to be produced.

The results of an emergency needs assessment will need to be considered against any pre-existing contingency plans. Information gathered needs to be evaluated for its validity and relevance, the reliability of its source(s), and whether it corroborates other information. Any evidence or suspicion of fraud, including falsely reported needs to either attract or deny aid to a particular location or segment of the population, must be reported to senior management.

Assessment results should be shared by the unit of analysis (for example, community level findings) unless there are protection concerns. The assessment results should be shared in a format that can be easily re-used by others and adheres to disaggregated data standards whenever possible. Emergency priorities, protection concerns and analysis produced by the needs assessment will provide the foundation for the emergency operations plan and will influence registration planning.

The Information Manager will want to ensure that any links between the assessment and ongoing monitoring needs are taken into consideration by the RIM WG and operational leads. For example, needs assessment information that shows severe problems with a particular sector or in a particular type of community can be used as a trigger to establish an ongoing monitoring system for those problems in those types of communities. The accuracy of an assessment report should also be verified by the Assessment Team, with assessment limitations openly acknowledged in the final results.

In addition to the assessment report, the initial rapid assessment will contribute to camp profiles, SitReps and funding appeals, as well as other information products. A "refugee dashboard" – a one- or two-page visualization of key needs assessment information – may be produced to show the results.

POST-EMERGENCY NEEDS ASSESSMENT: MONITORING AND DETAILED ASSESSMENT

Monitoring and more detailed sectoral assessments will continue following initial emergency needs assessments. Emergency needs assessments will set a baseline against which the situation may be compared in the coming weeks and months.

8. A TEMPLATES

- Annex 1: Minimum Sectoral Data Tracking Tool
- Annex 2: Prioritization Graph
- Annex 3: Draft UNHCR NARE Full Version
- Annex 4: Draft UNHCR NARE Pocket Version
- Annex 5: Draft UNHCR Focus Group Discussion Quick Instructions

8. B EXAMPLES

- Annex 6: South Sudan Indicators Monitoring Sheet
- Annex 7: Sector Lead Indicator Reporting Form
- Annex 8: Example Dollo Ado Assessment Inventory
- Annex 9: Example Upper Nile Unity Basic Indicators and Standards
- Annex 10: Sectors Indicators Matrix: Gambella Emergency Response - as of 01 November 2014

8. C REFERENCE DOCUMENTS AND LINKS

- For more information on conducting an emergency needs assessment, see *IASC, Operational Guidance for Coordinated Assessments in Humanitarian Crises*, Oct 2011, available at: http://www.humanitarianinfo.org/iasc/pageloader.aspx?page=content-subsidi-common-default&sb=75

and *IASC, Multi-Cluster Initial Rapid Needs Assessment*, available at: www.humanitarianinfo.org/iasc/downloaddoc.aspx?docID=6245&type=pdf (accessed 31 October 2014)

- Detailed guidance on the cluster approach is provided in the, *IASC Guidance Note on Using the Cluster Approach to Strengthen Humanitarian Response*, November 2006, available at: http://www.humanitarianresponse.info/clusters/space/document/iasc-guidance-note-using-cluster-approach-strengthen-humanitarian-response (accessed 31 October 2014)
- The Global Protection Cluster's, *Rapid Protection Assessment Toolkit,* is available at: http://www.globalprotectioncluster.org/en/tools-and-guidance/information-and-data-management.html (accessed 31 October 2014)
- The *UNHCR Code of Conduct and Explanatory Notes,* are available at: http://www.unhcr.org/422dbc89a.html (accessed 31 October 2014)
- The *UNHCR Tool for Participatory Assessment in Operations,* is available at: http://www.unhcr.org/450e963f2.html (accessed 31 October 2014)
- *UNHCR Confidentiality Guidelines*, IOM/71/2001 – FOM/68/2001, of 24 August 2001 are available online at www.unhcr.org/refworld/pdfid/4ae9ac8f0.pdf (accessed 31 October 2014)
- The *UNHCR Handbook for Emergencies*, is available at: http://www.unhcr.org/472af2972.pdf (accessed 31 October 2014)
- *UNHCR/WFP Joint Assessment Missions (JAM): Practical Guide,* and *UNHCR/WF Rapid JAM Guidance* is available at: http://www.unhcr.org/521612d09.html (accessed 27 April 2015)
  The Assessment Capacities Project's (ACAPS) *Technical brief on Secondary Data Review (SDR),* is available at: http://acaps.org/img/documents/secondary-data-review---summary-secondary-data-review---summary.pdf and *Key Informant and Direct Observation "Pocket Version" Guidance,* is available at http://acaps.org/img/documents/direct-observation-and-key-informant-interview-techniques-direct-observation-and-key-informant-interview-techniques.pdf (accessed 31 October 2014).

9 CAMP PROFILES

OVERVIEW AND FUNCTION

Camp profiles provide a consolidated overview of population statistical data, geographic data, the life-saving sectors, cross-cutting sectoral analysis, and information on activities and gaps in 3W data throughout the initial phase of an emergency.

A camp profile is an information product that assembles information about a camp from multiple data systems in order to give a comprehensive picture of the situation. It is a useful tool for donor briefing kits, new staff arrivals and delegations that visit a camp. It is also useful for coordination and planning purposes. Camp profiles can be in both hardcopy and electronic (e.g. generated by a website) formats. Camp profiles also aid camp management by detailing the cultural background of camp residents, camp resident-organized committees and host community administrative structures, thereby helping responding humanitarians to work within local governance structures.

The camp profile must be disseminated regularly to ensure that parallel information structures are not created and that emergency responders are aware of where to find information.

HOW-TO GUIDE

Working with the protection, programme and field officers, the Information Manager may begin to compile the standard camp profile within the first week of arriving in an emergency. A camp profile template is included in the annexes of this section of the Toolkit.

During the first few weeks following the onset of a refugee emergency, it is important to populate the camp profile with all information known about the situation. This includes initial population estimates, demographic and geographic data, as well as information known about the population of concern and partners on the ground responding to the emergency.

The camp profile may also be compiled based on information gathered during an initial emergency needs assessment. Ideally, deciding which information to include or exclude on a camp profile should be done in collaboration with partners, who should be encouraged to provide information for the profile.

When sourcing the information for the camp profile, the Information Manager should leverage the camp management structure. If information needed for the camp profile is unavailable from existing data systems, a data collection form build around the gaps in information can be designed and submitted to the camp manager for populating via the camp coordination partner or NGO. The camp coordinator can then analyze and compile the information, sending it back to the Information Manager for inclusion in the camp profile.

The UNHCR Representative or, as delegated by the Representative, the emergency team leader must clear the camp profile. Once cleared, the camp profile should be cross-analyzed and disseminated to the humanitarian community during the first phase of an emergency through weekly coordination meetings. It can then be uploaded on the UNHCR web portal by the Information Manager. Camp profiles can also be made available inside the camps for when visitors arrive, at hardcopy “Information Stations” in UNHCR offices or through e-mail distribution lists.

Thereafter, the camp profile should be updated with additional registration or demographic information, with developments in the life-saving sectors or with any other information that may be useful in responding to the emergency.

For the first four months of an emergency, the camp profile should detail the following:

- Camp information: Name of camp, date it opened, geographic information for the camp (including GPS coordinates), camp phase, as well as emergency and, if possible, site planning information, such as the area of the site, the number of plots, the maximum capacity of the camp, etc.
- Population statistics: Either at the individual or household level, as well as the date the statistics were collected, population demographic information and cultural background of residents. The profile should also mention whether the residents have identity documentation, ration cards, nutrition records or other documentation that will help to facilitate individual or household case management.
- Life-saving sectoral information: Mortality rates, morbidity data, WASH indicators, shelter and CRI, food, protection and vulnerability assessment.
- Once in place, include information on camp coordination structures.
- Include a running list of 3W information, including areas where there are gaps in ownership of needed activities. This latter part will inform donors and newly arrived partners of ways in which they can get involved.

Tip: The camp profile is a fluid document during the beginning of an emergency, especially as the situation may be changing rapidly and information may be difficult to obtain. Therefore, it is better to include whatever information is known (albeit changing) on the camp profile template, rather than leave it blank.

9. A TEMPLATE

- Annex 1: Camp Profile Template

9. B EXAMPLES

- Annex 2: Hilaweyn Camp Profile
- Annex 3: Kobe Camp Profile

9. C REFERENCE DOCUMENTS AND LINKS

- UNHCR Handbook for Emergencies, Second Edition, UNHCR Geneva, June 2000.
- Initial Assessment in Emergency Situations: A Practical Guide for Field Staff, UNHCR, Geneva, 1998.

10 MINIMUM SECTORAL DATA: A. PUBLIC HEALTH, WATER, SANITATION, HYGIENE AND NUTRITION

OVERVIEW AND FUNCTION

The minimum sectoral data presented in these guidance notes are based on the standards and units of *measurement set by the SPHERE Project's Humanitarian* Charter and Minimum Standards in Humanitarian Response in 2011, as well as through internal UNHCR standards. These guidance notes work to establish what all staff members, including an Information Manager, needs to know in order to inform operational planning and an information management strategy.

HOW-TO GUIDE

The UNHCR sector specialists generally cover public health, nutrition and Water, Sanitation and Hygiene (WASH), informing the initial emergency response based on the following key indicators.

10.1.1 Key minimum emergency indicators for public health, nutrition and WASH for refugee camp populations

This data in the below chart is collected in transit centres, refugee sites and refugee camps. Where refugees are integrated into national programmes for health, nutrition and WASH this data is not collected. In these programmes the available health data from the Ministry of Health will provide an indication of the overall health and nutritional status of the population.

In general the source for the below indicators should be the, 'UNHCR Basic Indicator Report', or if a health coordinator is not yet on the ground, this information may be obtained from health and wash partners in refugee camp/settlement situations.

Indicator
Crude mortality rate
Under-5 mortality rate
Measles vaccination coverage
Proportion of births attended by a skilled health worker **Note:** Defined as doctors and/or persons with midwifery skills who can diagnose and manage obstetrical emergencies as well as normal deliveries. Traditional birth attendants (trained or untrained) are not included
Global acute malnutrition (GAM) prevalence
Severe acute malnutrition (SAM) prevalence
Liters of potable water / person / day **Note:** 15 liters/person/day at the onset of the emergency moving towards minimum 20 liters/persons/day as soon as possible.
Number of persons per latrine **Note:** The standards increase in the first weeks of an emergency: 50 persons per latrine moving towards 20 persons/latrine as soon as resources allow.

Wherever, possible family latrines (1 latrine per household) should be encouraged from the onset of the emergency.

Population denominators for the calculation of rates are referenced from registration statistics shared by the UNHCR registration officer or Information Manager, or from other estimation sources.

10.1.2 Public health, WASH and nutrition information products to expect

The sector specialist will be working with a web-based application that combines streams of information to inform decision-making in the humanitarian sector, (the application, called *TWINE* may be found online at: http://twine.unhcr.org/app/) which integrates minimum sectoral data and presents the information in summary reports (note: *Twine* requires a log-in, and permissions will be provided based on the type of user). Data is derived from surveillance systems at the service provider level and aggregated to foster epidemiologic needs. Data is entered directly into the Twine database or uploaded online either by partners or by the UNHCR sectoral expert. Indicator guidance is integrated directly into the application and may also be downloaded as individual indicator guidance sheets.

At the onset of an emergency when Twine (the web-based Health Information System (HIS)) or other data collection systems have not yet been established, data for 9 basic indicators are collected on a weekly basis. This data is compiled into the Basic Indicator Report and shared internally and externally with partners. The reports should also be integrated into wider reporting platforms, such as Situation Updates and the operational web portals.

The Twine comprehensive indicator reports and summary reports facilitate inter-sector analysis through online reporting formats within the health, WASH, and nutrition sectors (food assistance forthcoming). For example, HIS data on water borne diseases is integrated with WASH data to create the WASH Report Card, allowing for trends to be observed and be interpreted. These reports are available in PDF format, and should be integrated into the information dissemination strategy. Raw indicator data may also be downloaded from the web application directly into spreadsheet formats for additional analysis. For food security, a “Rapid JAM” assessment in collaboration with WFP is expected in the weeks following the outset of the emergency (link to guidance below).

For WASH, a rapid WASH households surveying is expected in the first weeks from the onset of the emergency to flag critical WASH gaps and to prioritize geographical areas of interventions.

When analyzing the information contained in the reports, it will be important to consider links that may arise from parallel assessments taking place at the onset of the emergency, such as between the emergency needs assessment and the ongoing monitoring and analysis of emerging trends within the refugee population, that may impact the public health, WASH, nutritional or food security situation.

10.1.3 Considerations when cross-analyzing data

When cross-analyzing secondary data, it is imperative to take into consideration possible protection, shelter or CRI implications or compounding factors. This can be done for all members of the population or specifically for vulnerable groups.

The sector specialist may share data in order to facilitate analysis with non-health sectors. The sector specialist may also share the outputs of Health/WASH/nutrition/food security information products by posting on the UNHCR country web portal or by including this information in the camp profile and other standard information products. Most data is available online through Twine and accessible to partners after an initial sign-in, and may be downloaded via .csv or .pdf reports.

The sector specialist will also need to provide contextual data such as rapid assessment methodologies that will allow readers to determine the quality of the data or to whom it applies (e.g. all new arrivals or just certain sectors in a camp or urban setting).

10.1.4 What the Information Manager should provide the sector specialist

The Information Manager will need to provide the sector specialist with the latest population statistics, broken down at least by total population and disaggregated according to standard UNHCR age demographics. In addition, the Information Manager will need to provide any relevant cross-sectoral analysis with regards to non-health sectors, which may feed into larger-scale funding requests made by programme colleagues after the first six weeks of an emergency.

Cross-sectoral analysis should be cleared with the sector lead, senior managers and the Representative.

10.1.5 What to do if there is no sector specialist

In all major health, nutrition, food security or WASH emergencies, a sectoral expert will be deployed as part of the initial emergency response. In the event that no one is available in this position, consult internally within the operation to gather available information or contact the Public Health Section at HQ in Geneva (HQPHN@unhcr.org), which is the technical umbrella for public health, food security and nutrition, HIV and WASH. The technical experts can assist remotely or possibly be deployed.

10. A REFERENCE DOCUMENTS AND LINKS

- Annex 1: WASH Monitoring System, Monthly Indicators Reporting Guidance Note
- Please refer to the UNHCR Health Information System (HIS), available online at: http://www.unhcr.org/pages/4a30c06f6.html for guidance/reports on the following:
  a. Health Information System Guidance Notes, for refugee settings
  b. Maternal Death Review Guidance Notes
  c. Nutrition Survey Database Guidance Notes
  d. Disease Outbreak Report Guidance Notes

- Rapid JAM Guidance, is available at: http://www.unhcr.org/pages/4a30c06f6.html (accessed 27 April 2015).
- “The Sphere Project is a voluntary initiative that brings a wide range of humanitarian agencies together around a common aim – to improve the quality of humanitarian assistance and the accountability of humanitarian actors to their constituents, donors and affected populations. The Sphere Handbook, Humanitarian Charter and Minimum Standards in Humanitarian Response, is one of the most widely known and internationally recognized sets of common principles and universal minimum standards in life-saving areas of humanitarian response.” From the SPHERE Project, accessed online at: http://www.sphereproject.org/about/ (accessed 31 October 2014).
- Twine Project, UNHCR Geneva, online at: http://twine.unhcr.org/app/ (accessed 31 October 2014).

11 MINIMUM SECTORAL DATA: B. SHELTER AND SETTLEMENT

OVERVIEW AND FUNCTION

These guidance notes present key information that should be collected for the distribution and monitoring of shelter and settlement throughout the first phase of a refugee emergency. The minimum sectoral data presented in these guidance notes are based on the standards and units of measurement set by the *UNHCR Handbook for Emergencies*, Third Edition, and the *Sphere Project Humanitarian Charter and Minimum Standards in Humanitarian Response*, 2011 Edition. These guidance notes work to establish what all staff members, including an Information Manager, needs to know in order to inform operational planning and an information management strategy.

HOW-TO GUIDE

The UNHCR sector specialist generally covers shelter and settlement needs assessment and analysis during the first phase of an initial emergency response. If there is no sector specialist on the ground, the information gathering and tracking of shelter and settlement needs will fall to the Information Manager, with the support of the programme officer and protection officer, under the overall direction of the UNHCR Representative.

The Information Manager may assist these efforts by setting up information and data management tracking systems, supporting the inclusion of shelter and settlement in the overall emergency needs assessment, and including these sectors in the overall information management strategy.

11.1.1 Minimum sectoral data

When considering the minimum sectoral data for emergency shelter and settlement, it is important to note that focal points should take into account the local environment and context-specific cultural practices when analyzing needs and planning and establishing an emergency response.

11.1.2 Common shelter items

Standard and Indicator
Standard UNHCR family tent (for five people): Double fly, double-fold centre-pole tent; a family sized-tent, 4.4 m x 4.4 m for a floor area of 16 m^2; centre height, 2.75 m; side wall height, 1.8 m
Reinforced plastic tarpaulins in sheets for shelter: 4 m x 5 m each; number will vary depending on climate and cultural practice

***Source:** *UNHCR Handbook for Emergencies* (Third Edition, Feb 2007, pgs. 211, 221); available online at: http://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=3&ved=0CDEQFjAC&url=http%3A%2F%2Fwww.unhcr.org%2F471daf132.pdf&ei=tf9XU8PNPLPjsASKoYGIAg&usg=AFQjCNGk_m6gQOhiRikBYtfUwKcB8XpWRg&sig2=L9rsdpjvv3OiIVxhd6y22g&bvm=bv.65177938,d.cWc

11.1.3 Settlement size

Standard and Indicator
Settlement (size of camp): Large camps of over 20,000 people should generally be avoided. The size of a site for 20,000 people should be calculated as follows, assuming space for vegetable gardens is included: ***20,000 people x 45 m2 = 900,000 m2 = 90 hectares (for example, a site measuring 900 m x 1000 m).***
Shelter (minimum covered floor area): 3.5 m^2 per person in tropical, warm climates, excluding cooking facilities or kitchen (it is assumed cooking will take place outside)
Shelter (minimum covered floor area): 4.5 or 5.5 m^2 per person in cold climates or urban situations, including kitchen and bathing facilities

***Source:** *UNHCR Handbook for Emergencies* (Third Edition, Feb 2007, pgs. 211, 221); available online at: http://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=3&ved=0CDEQFjAC&url=http%3A%2F%2Fwww.unhcr.org%2F471daf132.pdf&ei=tf9XU8PNPLPjsASKoYGIAg&usg=AFQjCNGk_m6gQOhiRikBYtfUwKcB8XpWRg&sig2=L9rsdpjvv3OiIVxhd6y22g&bvm=bv.65177938,d.cWc

STEPS AND INFORMATION REQUIREMENTS TO TRACK SHELTER AND SETTLEMENT

It is essential that the following basic information is gathered in order to establish adequate shelter and settlement options specific to the context, and to develop a strategy that will guide the provision of emergency shelter and settlement assistance during the first three to six months.

In order to understand the context and inform contingency planning, the shelter and settlement focal point(s) should work with the Information Manager, registration and protection colleagues to compile a short written analysis that includes findings on the following:

- Baseline population figures and specific needs by location;
- Secondary data review;
- Who's Doing What, Where information;
- Developing shelter options;
- Establishment of an information/database tracking system; and
- Emergency needs assessment (include shelter and settlement priorities in the overall assessment for the emergency).

11.1.4 Establish a baseline population figure and identify specific needs

In order to establish shelter and settlement strategies and tracking systems, the baseline population must first be established. Standard UNHCR age and sex demographics and details on persons with specific needs by location should also be gathered from the registration officer. The registration officer will also need to define the rate of population influx and, when possible, provide population projection figures for arrivals. Additional information by location may be available after setting up a camp addressing system, if not already established. Reference the UNHCR Addressing Guidance, included as an annex in the Mapping section (Section 16) on how to set-up a camp addressing system.

11.1.5 Conduct a secondary data review

A secondary data review and a short written analysis will need to outline the following:

- Condition of arrivals and their ability to participate in construction of shelter by location;
- Local Government and NGO response capacity for shelter and settlement;
- Settlement and shelter type in place of origin (i.e. grouped communities, extended families living on the same plot, etc.);

- Settlement and shelter type in place of displacement, in accordance with the following settlement types: (a) Planned camps, (b) Unplanned camps, (c) Collective centres, (d) Host families, (e) Informal self-settlement, or (f) Land, house or apartment tenants;
- Shelter types constructed by refugees in their place of origin and by the host community in the place of displacement;
- Settlement type in the place of displacement;
- At the earliest possible stage, a market survey should be undertaken in coordination with supply and logistics colleagues to determine the availability and unit cost of local construction materials for the development of alternative shelter solutions to tents. Market survey information should be presented in a Bill of Quantities format (included as an annex in this section), which will enable a sector specialist to design and calculate the cost of a locally procured shelter kit;
- Situation-specific issues that may affect shelter and settlement planning or distribution; and
- Establishment of an information/database tracking system.

11.1.6 Developing shelter options

Adequate shelter and settlement options will vary from context to context depending on climate, local building practices, available construction materials and cultural considerations. Adequate shelter options may include one or more of the following:

- Shelter kits (typically plastic sheeting, poles and tools);
- Family tents;
- Pre-fabricated shelter units;
- Local shelter design (e.g. using stone, mud-brick, thatch, etc.);
- Rehabilitation of existing building as collective centres; or
- Cash assistance (either for materials or to subsidize rental costs).

Locally procured shelter solutions should be developed as soon as possible to reduce dependency on expensive international procured options.

11.1.7 Emergency needs assessment

In the initial stage of an emergency, an emergency needs assessment should be undertaken to understand the dynamics of the crisis and the contextual implications for shelter and settlement. A few key considerations for shelter and settlement, to be included in the overall emergency needs assessment and to be adapted to the specific emergency situation, are as follows:

- Identification of the immediate life-saving shelter and settlement activities and priorities;
- Identification of potential future problems related to shelter and settlement, including projections and contingency planning; and Identification of self-supported refugees, those with adequate shelter provided from their own resources.

In situations where new arrivals are staying between camp and out of camp, self-settled or in host families, or when an influx of new arrivals may be placing pressure on local communities, the emergency needs assessment should also:

- Identify and mitigate potential shelter and settlement-related tension(s) between new arrivals and the host community; and identify the type and level of support required for families in a host community.

The outcome of an emergency needs assessment conducted with partners will highlight shelter and settlement priority response areas, and will need to be included in the Information Management strategy.

11.1.8 Who's Doing What, Where (3W)

The Information Manager will track only activities in the 3W that have been defined as priorities in the information management strategy as an outcome of the emergency needs assessment. In order to begin mapping 3W information, the Information Manager may reach out to major partners in IM meetings to begin gathering 3W information on shelter and settlement assistance and activities.

11.1.9 Establish an information tracking system on distributions

The distribution of shelter items should be mapped in a spreadsheet (see Annex 1 in Section 12: Minimum Sectoral Data: Core Relief Items), indicating existing coverage and planned distribution by UNHCR and partners. Please note that only adequate shelter options should be tracked (i.e. in terms of item quality, standard size and material, all of which should correspond with the above stated minimum sectoral data for shelter).

Undertaking an analysis of all phases of the ordering, storage and distribution cycle will be the only way to analyze existing needs and gaps in terms of coverage. Data will need to be analyzed and broken down as per the chart below.

Self-supported*	Distributed	In Warehouse	In Pipeline
Type(s) & # of shelters	Type(s) & # of shelters	Type(s) & # of shelters	Type(s) & # of shelters
# of households	# of households	# of households	# of households
# of individuals	# of individuals	# of individuals	# of individuals
Location	Location	Warehouse location	Expected delivery date
	Procured by whom	Procured by whom	Procured by whom
	Distributed by whom	Agency to distribute	
Reporting date	Reporting date	Reporting date	Reporting date

***Self-supported**: Refugees with adequate shelter provided from their own resources.

For additional considerations in setting up a shelter data tracking and monitoring system, in addition to tracking shelter distribution events, see Sections 12.4.3 and 12.4.4 in the CRI section.

11.1.10 Vulnerability considerations

If the emergency needs assessment has been conducted and vulnerability lists compiled by community leaders, gather this information and analyze specific needs by location, which may affect shelter and settlement considerations. For example, calculate the percentage of households who would be unable to construct their own shelter and would require labour assistance in addition to materials.

If the emergency registration has been conducted, work with the registration officer to pull vulnerability lists by location. In turn, these should be broken down by the standard UNHCR age and sex demographics as well as specific needs, based off of which shelter and settlement needs may be more precisely calculated. Throughout the emergency, ensure the inclusion of vulnerability findings, analysis and any necessary contingency planning to support vulnerable individuals or groups.

11.1.11 Shelter and settlement strategy

The sector specialist should develop an emergency shelter and settlement strategy, which will then need to be shared with and cleared by the UNHCR Representative or the emergency team leader as delegated by the Representative.

INFORMATION MANAGEMENT PRODUCTS

Analysis and summaries of needs by location, vulnerabilities and gaps should be included in the camp profiles, SitReps, mapping and on the UNHCR web portal.

ONGOING MONITORING

The following information and key indicator data will be required for ongoing monitoring:

- Updated registration information broken down by family size and location;
- Distribution of shelter items to beneficiaries broken down by shelter types and location;
- Percentage of households living in adequate dwellings;
- Average dwelling floor size per person (m2); and
- Average camp area per person (m2).

TECHNICAL SUPPORT

In the event that no shelter and settlement expert has been deployed as part of the initial emergency response, consult internally within the operation to gather available information and decide how the Information Manager can assist senior mangers with required steps.

11. A TEMPLATES

- Annex 1: Shelter, Settlement and CRI Tracking Tool
- Annex 2: Example Bill of Quantities
- Annex 3: Shelter Strategy Standard Format
- Annex 4: Emergency Shelter and Settlement Preparedness and Response Checklist

12 MINIMUM SECTORAL DATA: C. CORE RELIEF ITEMS

OVERVIEW AND FUNCTION

These guidance notes present key information that should be collected for the distribution and monitoring of core relief items (CRI) throughout the first phase of a refugee emergency. The minimum sectoral data presented in these guidance notes are based on the standards and units of measurement set by the *UNHCR Core Relief Items Catalogue* (Third Edition). These guidance notes work to establish what all staff members, including an Information Manager, needs to know in order to inform operational planning and an information management strategy.

HOW-TO GUIDE

The UNHCR supply officer should lead the overall CRI response with support from the programme officer, protection officer, registration officer, and the Information Manager during the needs assessment and the first phase of an initial emergency response, under the overall direction of the UNHCR Representative.

The Information Manager may assist these efforts by setting up information and data management tracking systems, supporting the inclusion of CRI in the overall emergency needs assessment, and including these sectors in the overall information management strategy.

12.1.1 Minimum sectoral data

The *UNHCR Core Relief Items Catalogue*, included as annex 3, of this section of the Toolkit, specifies the quality requirements for 13 standard life-sustaining items mentioned below. UNHCR has established international Frame Agreements with a number of manufacturers around the world to secure an effective supply of these core items for an emergency response. UNHCR also maintains these CRI materials in its central emergency stockpiles in several locations throughout the world, in order to ensure their immediate supply in emergency situations.

When considering the minimum sectoral data for emergency CRI, it is important to note that focal points should take into account the local environment and context-specific cultural practices when analyzing needs and establishing an emergency response. Each emergency operation will need to draw up a specific assessment for the quantity of items to be distributed and the frequency of distribution per person or per family, depending on the environment, cultural considerations and actual needs.

12.1.2 Common core relief items

Standard and Indicator*
UNHCR Family Tent, (Item No 05353); 16 m2 main floor area, plus two 3.5m2 vestibules, for a total area of 23 m2, double-fold with ground sheet; suitable for a family of 5 persons, following the recommended minimum living area in hot and temperate climates (3.5 m2 per person), and providing additional space for cold climates. One tent per family of five.
Reinforced Plastic Tarpaulins in Sheets 4 x 5 m (Item No 02617); 4 x 5 meters +/- 1 %.

Reinforced Plastic Tarpaulins 4 x 50 m (Item No 03153); (in sheets) 4 x 5 meters. One per family of five.
Mosquito Nets - LLIN (Item No 01998); Rectangular mosquito net (180 cm length x 160 cm width x 150 cm height) +/- 5 %. Two per family of five.
Blanket, Synthetic - Medium Thermal (Item No 05787); **Medium thermal blanket:** a blanket with 2.5 TOG is the minimum for **outdoor** use. Blankets with 2.5 TOG are also appropriate for **indoor** use without a heater. Medium thermal blankets are recommended for refugee camp situations in hot or mild cold climates / temperatures. It should be noted that even in hot countries, nights could be cold. Higher TOG values would be required for colder climates **Low thermal blanket:** a blanket with 1.5 TOG is considered a low thermal blanket, which is only appropriate for **indoor** use, on a bed, in a house with heating facilities. As a practical reference, a person resting **indoor** at 20 °C requires a total insulation of TOG 1.5. Low Thermal blankets are not included in UNHCR Frame Agreements, as they are not suitable for outdoor use. One per person.
Blanket, Synthetic - High Thermal (Item No 05786); **High thermal blanket:** a blanket with 4.0 TOG is the minimum for indoor use in cold climates. **Outdoor use of blankets:** when considering outdoor use of blankets, where there is no wind, in a 10°C temperature, the TOG requirement for blanket is 4.0. At 0°C temperature, the TOG requirement is 6.0. At -10°C temperature, the TOG requirement is 8.0 and at -20°C temperature, the TOG requirement is 9.5. Taking into consideration that part of the insulation would come from the clothing; the rest should come from the blanket. One per person
Synthetic Sleeping Mats (Item No 02020); 1.8 x 0.9 meters. One per person.
Heavy Duty Plastic Bucket w/Lid - 10 liter capacity (Item No 00100); The 10 liter capacity, heavy duty, non-collapsible plastic bucket with lid is a family or individual drinking water container for general household use. Stackable, made of food grade High Density Polyethylene, HDPE or Polypropylene. Strong and durable quality for a long-life span in tough conditions. One per family of five.
Heavy Duty Plastic Bucket w/Lid - 15 liter capacity (Item No 04165); family or individual drinking water container for general household use. Stackable, made of food grade High Density Polyethylene, HDPE or Polypropylene. Strong and durable quality for a long-life span in tough conditions. One per family of five.
Semi-Collapsible Jerry can - 10 liter capacity (Item No 00096); the 10 liters capacity Semi-Collapsible Jerry Can made of food grade LDPE is a container for general household use for carrying and storing drinking water. Two per family of five.
Kitchen Set - Type B (Item No 02040); Cooking and serving utensils suitable for a family of 5 people. One per family of five, All items should be made of stainless steel in line with minimum quality standards included in the Material Specifications. Alternatively, only cooking pots and frying pan can be made of aluminum as per Material specifications. <u>Each set includes the following items:</u> x 7 liters, stainless steel or aluminum cooking pot 01 x 2.5 litres, stainless steel frying pan (used as lid for 7L cooking pot) 01 x 5 litres, stainless steel or aluminum cooking pot with lid 05 x 1 litres, stainless steel bowl 05 x Stainless steel plates 05 x Stainless steel cups 05 x Stainless steel table-spoons 05 x Stainless steel table-forks 05 x Stainless steel table-knives 01 x Kitchen knife with stainless steel blade 01 x Wooden serving spoon 02 x Serving spoon 01 x Stainless steel scouring pad
Cloth for Sanitary Material (Item No 01515); Sanitary material for use by females (Cloth). 100 % cotton flannel highly absorbent from bleached or unbleached material.

***Source:** *UNHCR Core Relief Items Catalogue (*3rd Edition, Feb 2012), included as an annex to this section. For each of the Core Relief items mentioned above, the catalogue defines the functional specifications, performance requirements technical and physical characteristics of the products. Please refer to the catalogue directly for more details.

STEPS AND INFORMATION REQUIREMENTS TO TRACK CRIS

In order to understand context and inform contingency planning, the CRI focal point(s) should work with the Information Manager, registration and protection colleagues to compile a short written analysis that includes findings on the following:

- Baseline population figures and specific needs by location;
- Secondary data review;
- Who's Doing What, Where information;
- Establishment of an information/database tracking system;
- Emergency needs assessment (include CRI priorities in the overall assessment for the emergency); and
- Tracking of CRI's in MSRP (receipt, issuance by warehouse location) and FOCUS.

12.1.3 Establish a baseline population figure and identify specific needs

In the absence of emergency registration data, rapid population estimation figures may be used to establish a baseline population figure. Refer to the Rapid Population Estimation Methods section (Section 5) of this Toolkit for additional information.

If the emergency registration has been conducted, the registration officer should provide the following baseline information, required for shelter, settlement and CRI analysis and planning:

- Rate of population influx and projection figures, based on population movement trends; and
- Population data by location, broken down by UNHCR age, sex and specific needs cohorts, which have been included in the annexes of the Registration in Emergencies section (Section 4).

An analysis of specific needs by location should be undertaken to ensure that CRI needs of vulnerable persons are identified and addressed. If the emergency registration has not been conducted, data sources for specific needs information may include information gathered during the emergency needs assessment, lists of vulnerable persons identified by community leaders, in addition to lists compiled by specialized NGOs working within the refugee community. The Information Manager may assist with the design of a spreadsheet to track the distribution of CRI to vulnerable families, which can be uploaded into the ProGres database when established.

Population displacements should be monitored on a regular basis through the triangulation of registration, estimation, government data and field reports, to ensure that emerging needs are identified and addressed. Naturally, the prioritization and projection of locations or persons in need of additional support will need to adapt to changing population flows over time, and this updated information should be included in the IM strategy.

Due to logistics considerations, it will be important to agree among partners on a monthly projection figure over the course of at least three months (depending on the situation), in order to ensure the prepositioning of items throughout the procurement, supply and distribution chains.

12.1.4 Conduct a secondary data review

A secondary data review and a short written analysis will need to outline the following:

- The local Government and NGO response capacity for CRI;

- Cultural practices in relation to women addressing hygiene and sanitary needs;
- Practices for cooking and fuel sources;
- Specific clothing or CRI items traditionally used by the population or that will be required due to impending seasonal weather changes;
- Existing CRI coping mechanisms within the refugee community;
- Market survey of locally available CRI materials (in coordination with supply and logistics colleagues to determine the availability of local materials for the development of alternative CRI solutions); and
- Situation-specific issues that may affect CRI planning or distribution.

A secondary data review will highlight gaps in coverage and situational knowledge, both in terms of materials by location and needs.

12.1.5 Emergency needs assessment

In the initial stage of an emergency, an emergency needs assessment should be undertaken to understand the dynamics of the crisis and the contextual implications for CRI. A few key considerations for CRI to be included in the overall emergency needs assessment, to be adapted to the specific emergency situation, include the following:

- Identification of immediate life-saving CRI activities and priorities;
- Identification of potential future problems related to CRI, including projections and contingency planning; and
- Identification of self-supported refugees, those with adequate CRIs provided from their own resources.

The outcome of an emergency needs assessment conducted with partners will highlight CRI priority response areas, and will need to be included in the Information Management strategy. Refer to the Emergency Needs Assessment section (Section 8) for additional information.

12.1.6 Who's Doing What, Where (3W)

The Information Manager will mainly track activities in the 3W that have been defined as priorities in the information management strategy as an outcome of the emergency needs assessment. In order to begin mapping Who's Doing What, Where information, the Information Manager may reach out to major partners in IM meetings to begin gathering 3W information for CRI assistance and activities.

12.1.7 Establish an information tracking system on distributions

One of the most important Information Management functions that will need to be conducted in a refugee emergency is the establishment of a database for the tracking and regular updating of UNHCR and partner CRI information. The community level CRI tracking tool, included in the annexes of this section, has been provided for this function. This information will need to cover distribution, warehouse and pipeline, and will need to extend to the lowest geographic level – ideally, down to the settlement level.

The spreadsheet will need to be updated to correspond with UNHCR and partner distribution and planning events, and should highlight possible CRI gaps in terms of distribution coverage, the pipeline, and materials in the warehouse. Stockpile and pipeline information should be recorded in the spreadsheet as an inventory of items that have been provided by a certain cut-off date, by partner and by location.

Given the global overview of CRI needs that may be identified in the database, it will be important for the Information Manager to share and receive updates on a weekly basis with partners, while also regularly highlighting strategic operational needs in IM coordination meetings with partners.

12.1.8 Tracking distribution events

All distributions should take place with reference to a distribution list. If an emergency registration has been conducted, then the registration officer can provide distribution lists by location with specific needs indicated. If an emergency registration has not been conducted, an informal distribution list at the family level may be compiled by community leaders and merged with lists provided by specialized NGOs, which may also be working within the community.

It will also be important to collaborate with WFP and other organizations conducting distributions within the refugee community, and possibly undertake joint food, shelter and CRI distributions which should be negotiated and coordinated with the host government.

A distribution event should be created each time a distribution occurs. Distribution events should be tracked in ProGres by date, item distributed, distributing organization, and family that received the assistance and that family's location.

If an emergency registration has not been conducted, then distribution events should be tracked in a spreadsheet after an initial distribution list has been established. The physical presence of individuals at distributions should be indicated on the master distribution list when relief items are supplied to families, and distribution cards marked (if supplied at the time of registration).

Sign-in sheets may also be used during the first emergency distribution in order to establish and further verify an initial distribution list. New arrivals may be indicated by community leaders or registration colleagues and included in the distribution list.

After assistance has been distributed to families, it will be important to cross-check distribution lists to identify individuals who are no longer present in the camps. If an individual or family does not appear for three consecutive distributions, they should be removed from the distribution list (or deregistered in the ProGres database). Keeping an up-to-date distribution list will be necessary to correctly calculate emergency food and CRI needs.

Distribution events may also be calculated over time in order to evaluate distribution capacity, which will help the supply officer make decisions regarding the supply chain, and monitor the life-span of items distributed.
The supply, programme and logistics officers/focal points should be able to calculate anticipated delays in ordering and transport that will need to be factored into the overall planning and distribution activities.

12.1.9 Tracking of CRI's in MSRP and FOCUS

If there is no supply and logistics colleague on the ground than programme colleagues should ensure that CRI information is tracked from the onset of the emergency in the MSRP update warehouse. For additional information please see the SOPs on Inventory or Warehouse Management (chapter 8), included with this section as annex 5, in addition to supporting Warehouse Management forms, included as annex 4.

The programme officer should be responsible for updating the core set of emergency indicators for Supply, if the Supply and logistics officer has not yet been deployed.

MONITORING

The continued updating, monitoring and analysis of the shelter, settlement and CRI database will inform the overall shelter, settlement and CRI emergency response, and will highlight ongoing and emerging gaps in

UNHCR and partner emergency response. Continuous monitoring and evaluation of the situation is needed to ensure up-to-date information on factors such as the following:

- Capacity of the stakeholders involved in CRI distribution;
- Emerging CRI needs;
- Protection issues, which should be closely monitored through colleagues, partners and field reports;
- Updated registration information, broken down by family size and location; and
- Distribution of CRI items to beneficiaries, broken down by types and location.

INFORMATION MANAGEMENT PRODUCTS

Analysis and summaries of needs by location, vulnerabilities and gaps should be included in the camp profiles, SitReps and mapping at the beginning of a refugee emergency to coincide with any major changes in the population.

The UNHCR emergency web portal also has a feature to illustrate distributions undertaken to date in an operation. However, this application may be turned on or off depending on the information requirements of the UNHCR office responding to the emergency.

TECHNICAL SUPPORT

In the event that no CRI expert has been deployed as part of the initial emergency response, consult internally within the operation to gather available information and decide how the Information Manager can assist senior managers with required steps. The UNHCR Supply Management Logistics Service may be contacted for additional advice.

12. A TEMPLATES

- Annex 1: Community Level CRI Tracking Tool
- Annex 2: Example Bill of Quantities
- Annex 3: UNHCR Core Relief Items Catalogue
- Annex 4: UNHCR Tracking Sheet for Warehouse and Inventory Management
- Annex 5: UNHCR SOPs for Warehouse and Inventory Management

12. B EXAMPLES

- Annex 6: CRI Tracking Tool Mauritania
- Annex 7: UNHCR Bangui CRI, Shelter, Activity and Organizational Tracking Sheet

13 MINIMUM SECTORAL DATA: D. PROTECTION

OVERVIEW AND FUNCTION

These guidance notes work to establish what a Representative, protection, programme community services officer and Information Manager need to know and do to support a multi-sectoral emergency needs assessment to ensure that protection standards are taken into account and specific protection information are included. Information and data management guidance is also provided on how to establish a protection case management and monitoring system during the first phase of a refugee emergency.

HOW-TO GUIDE

13.1.1 Secondary data review

A secondary data review will be crucial in providing context for any emergency refugee response, and should be a priority activity once an emergency team has been deployed.

The secondary data review should point out protection problems and gaps on which further investigations should be focused for the emergency needs assessment. The protection, programme and Information Manager should take the lead in compiling and ensuring that protection information are included in the overall secondary data review, conducted by the emergency response team.

For detailed guidance on protection-related considerations, which may need to be factored into the secondary data analysis, see the Needs Assessments in Refugee Emergencies (NARE), included in this section as annex 5.

13.1.2 Who's doing what, where update

The Information Manager in close cooperation with the protection officer should at minimum, ensure that protection related information is included in the operational 3W, by location and partner. To allow for a meaningful gap analysis, available details on the sub-type of the protection activity, such as, "provision of psychosocial support" should also be included.

13.1.3 Situational analysis

The protection and programme officer and Information Manager should jointly analyze the findings of the secondary data review alongside the 3W, for protection gaps and draft a short summary of the protection situation at the start of the emergency. The situational analysis should highlight coverage, gaps as well as emergency life saving protection interventions, which may require additional information. The findings of the situational analysis will provide the knowledge base from which to begin preparing protection related questions for the multi-sectoral emergency needs assessment.

EMERGENCY NEEDS ASSESSMENT: SUPPORT OF THE REFUGEE PROTECTION WORKING GROUP

The overarching objective of the Refugee Protection Working Group (RPWG) is to ensure that a timely, effective and coordinated refugee protection response forms the basis of the broader Refugee Response Plan. The RPWG is chaired by UNHCR or co-chaired by UNHCR and the appropriate host government authority.

Where thematic protection sub-groups and/or field-based protection working groups are required, they will act as constituent entities of the National protection working group and fall under its overall lead. UNHCR will chair or co-chair with government all field-based protection working groups, and will chair or co-chair all thematic protection sub-groups. Participation is open to host government entities, UN agencies, international NGOs, national NGOs and other civil society actors.

The RPWG will be a valuable platform from which to gather additional protection related 3W information, and to establish overall coordination of services and support within UNHCR and amongst partners. As a matter of priority, the RPWG will need to analyze and expand upon the results of the situational analysis, agreeing upon emergency life-saving information crucial for decision-making and design protection-related questions to be included in the Emergency Needs Assessment.

The chair of the RPWG, is also responsible for ensuring that information is shared in a timely manner with all relevant partners including the government, and that issues related to protection data, i.e. harmonization and sharing of data sets, etc. is discussed and agreed upon in the RPWG with regards to the multi-sectoral emergency needs assessment in close coordination with the Refugee Information Management Working Group (RIM WG) if it exists.

13.1.4 RPWG: agreement on emergency life-saving minimum sectoral protection data

The RPWG's design of protection specific questions for the multi-sectoral emergency needs assessment questionnaire should focus on emergency life-saving protection needs of vulnerable groups, in addition to identifying other key life-saving protection concerns, for example:

- Identifying extremely vulnerable sub-sets of populations who may need life-saving assistance or immediate support;
- Recognizing whether individual households are moving en masse and related protection concerns/risks;
- Understanding the population's coping mechanisms;
- Prioritizing and coordinating life-saving protection support within UNHCR and amongst partners, by location, type and need.

The NARE, see annex 5 of this section, provides additional examples of the type of protection information that should be included in an Emergency Needs Assessment.

The Information Manager should assist with the design and analysis plan for protection related questions to be included in the multi-sectoral Emergency Needs Assessment. As it will be important that the data collected conforms to standard UNHCR age and sex demographics, ensuring that information is analyzable and interchangeable.

The RPWG focal point will share the protection multi-sectoral emergency needs assessment questions with the multi-sectoral emergency needs assessment team in the RIM WG (the RPWG focal point will likely be a key member of the multi-sectoral emergency needs assessment team). See the Emergency Needs Assessment section, or section 8 of the Toolkit for more guidance on the role of the RIM WG and for information on conducting a multi-sectoral emergency needs assessment.

Note: For advice on how to conduct focus group discussions or on ensuring that an age, gender and diversity approach is factored into multi-sectoral emergency needs assessments, refer to the multi-sectoral Emergency Needs Assessment Section, of this Toolkit for additional information.

13.1.5 RPWG: emergency referral system established

The development of a basic protection referral system by the protection officer with the support of the Information Manager/registration officer will be crucial in the first phase of the emergency. The establishment of the emergency referral system should be discussed and agreed upon by the RPWG, with UNHCR and partners. The minimum information captured should include: basic bio-data, short description of incident, referral made and action taken including indication when and by whom follow-up is required. The information might be captured in paper or electronic format, but should be updated in proGres once established or in another case management system developed for the operation if proGres is not yet established.

The RPWG focal point should share with the multi-sectoral emergency needs assessment team the procedures for recording an emergency referral as has been agreed within the RPWG. The RPWG focal point may also need to conduct a brief training for the multi-sectoral emergency needs assessment team, including data collectors, on the Code of Conduct, ensuring that the assessment team members are confident to react appropriately when coming across protection cases requiring follow-up during their fieldwork.

The protection officer may wish to work with the Information Manager, registration officer or data management officer to develop a simple (ProGres compatible) referral form, which the assessment team may take with them for recording emergency referrals, this will help to ensure the consistency of recorded information and referrals. The RPAT’s, Urgent Action Report for Individuals or Communities, included in this section as Annex 2, may also be adapted for this purpose.

If ProGres has not yet been established, it is the responsibility of UNHCR protection staff to ensure referral information of persons of concern collected during the needs assessment is captured systematically (paper or electronic version) which may be uploaded into ProGres once established. This is a primary protection responsibility for all Protection and Community Services staff throughout an emergency response, and will serve as the foundation for an ongoing protection case management system.

If relevant for an overall protection analysis within UNHCR and the RPWG, statistical information may be generated from ProGres by the registration officer by specific need.

AFTER THE MULTI-SECTORAL EMERGENCY NEEDS ASSESSMENT: ON-GOING EMERGENCY PROTECTION RESPONSE

13.1.6 Multi-sectoral emergency needs assessment: protection related outcome

A key protection-related output of the multi-sectoral emergency needs assessment should be an indication of the protection concerns to be prioritized in the first wave of emergency response.

The RPWG should reach agreement on the ways in which prioritized protection concerns will be addressed in a timely, coordinated and strategic manner taking into account to the extent possible in an emergency setting, the participation of communities in this planning process. In addition, increased advocacy towards the Government around protection concerns might be necessary. Advocacy efforts in this regard should be built into the initial strategic protection response plan. The Representative, in close coordination with the RPWG, should lead such efforts.

13.1.7 Need for specialized protection assessments identified and conducted

Protection findings arising from the multi-sectoral emergency needs assessment may indicate a need for more in-depth assessments on specific aspects or in specific geographical areas.

All assessments done by UNHCR and its partners should be based on an AGD approach (with data disaggregated by standard UNHCR age and sex demographics where possible). The NARE, annex 5 of this Section, includes examples of specific questions or methodologies, which the RPWG may find helpful.

Specific protection assessments may also follow aspects of the Rapid Protection Assessment Tool (RPAT). This is a protection-specific needs assessment tool developed for IDP situations that uses closed questionnaires, focus group discussions and observation checklists to assess the protection situation, which are included as Annexes in this section of the Toolkit. Full RPAT guidance and tools are available online at: http://www.globalprotectioncluster.org/en/tools-and-guidance/information-and-data-management.html.
Data collected or arising from in-depth protection assessments should be analyzed by protection staff and within the RPWG to further inform the refugee protection strategy.

13.1.8 Protection referral and case management system established
The Protection Officer and Information Manager need to ensure that minimum protection standards, in particular with regards to confidentiality, referrals and security are fully implemented when establishing a protection case management and referral system. Individually identifiable information may only be shared if consent is obtained from the concerned individual, and is covered by written data sharing agreements or protocols.

1. If an individual requires a protection referral, there are several scenarios, which may be encountered in the field, depending on if ProGres has been established:

- Registration conducted: Individual is already registered in ProGres
- If no immediate action is needed, i.e. medical attention, record the ProGres number, the name and date of birth of the individual.
- Write down a brief summary of the protection issue(s).
- Obtain informed consent from the individual, to share his/her information for the purpose of referral or follow-up; if a referral can be done immediately, provide the individual with the necessary information on how to access the required services and/or assistance
- If additional follow-up is required, the protection officer is responsible for passing information in a confidential manner to the operational partner or service provider as agreed within the RPWG, or bilaterally.
- It is the responsibility of UNHCR protection staff to ensure this information is tracked accordingly for follow-up if necessary and included in ProGres (if established) under the "Special Protection and Assistance Needs" fields.

2. Registration underway or not yet conducted: Individual not yet registered
Follow the first five steps noted above under scenario 1.

- Also be sure to record the individuals' identity documents numbers, and contact information, and inform the individual of the registration procedure.
- The Protection Officer may also flag this individual to the Registration Officer for expedited registration as appropriate.

Note: A referral form for unaccompanied or separated children has been included as annex 10 in the Registration section of this Toolkit.

As required, the Information Manager may work with the Protection Officer to draw-up a referral form (or the Urgent Action Report for Individuals or Communities, included in this section as Annex 2, may also be adapted for this purpose) for any of the above scenarios.

13.1.9 Considerations for responding to protection concerns in an urban emergency environment

For monitoring the protection situation in out of camps or urban areas, the Information Manager should identify in cooperation with the respective sectoral working group (CCCM or protection) relevant protection data. The expertise of the Information Manager will be particularly valuable to identify data sources and levels of disaggregation and ensure that methodologies chosen include an AGD approach where possible.

For additional information on responding to specific protection issues in emergency urban situations, please see UNHCR's: http://www.urbangoodpractices.org/, which is an interactive website where you may find good practice case studies, tools, guidelines, research, media, surveys, urban strategies and other information relevant for urban refugee protection response.

13.1.10 Other sources of protection data

Regular identification of vulnerabilities and monitoring of associated needs is a primary protection responsibility. Depending on the situation, if time or resources are limited, protection information may be gleaned from the analysis of registration data, i.e. specific needs codes and other data elements. If proGres is established but specific needs codes have not been recorded, protection issues may still be identified through the analysis of basic family composition, age and sex demographics by location. For example, unaccompanied children, older person-headed households and single parent-headed households are identifiable solely from family composition data.

Where protection information is limited or too sensitive to collect or a registration has not yet been conducted, analysis may be drawn from proxy or so-called "indirect" indicators. Proxy indicators are indicators specific to one sector, i.e. site planning, which may allow one to deduct conclusions for protection.

Here are a few examples of proxy indicators from site planning/CCCM which provide information for GBV related analysis:

- Distance of settlement or camp from a water point;
- Distance of settlement or camp from nearest firewood source;
- Distance of settlement or camp from latrines;
- Proximity of camps/sites/settlements to military or paramilitary bases;
- Distance of settlement or camp farming areas from women's work areas;
- Distance of settlement or camp from nearest school;

Proxy indicator data may be shared in coordination meetings with protection, programme or sector leads, or during coordination meetings within the humanitarian community, and should be taken into account along with available qualitative information. Often, proxy indicators relevant for protection are indicators of risk or potential risk, and may be used to identify emerging protection issues or high-risk locations for persons of concern. Mapping this information against incident reports can lead to increased understanding of complex protection issues, resulting in changes in the delivery of protection, programme and overall humanitarian assistance in an emergency.

13.1.11 Interagency protection systems

Depending on the context, other partners may have established protection management systems.

The protection officer should liaise with the child protection partners to see if the Child Protection Information Management Systems (i.e. CPIMS) has been established. The CPIMS is an inter-agency case management system for vulnerable children used by UNICEF, Save the Children and IRC. Although the proGres identification number can be entered into the CPIMS to identify a vulnerable child, the CPIMS is currently not compatible with proGres.

It is the responsibility of the Protection Officer to ensure that appropriate data sharing SOPs are in place when sharing information on vulnerable children within the context of the CPIMS.

The GBVIMS (the Gender Based Violence Information Management System) is optimized for sharing anonymized statistical reports on (GBV) protection cases. It was created to harmonize data collection on GBV in humanitarian settings, to provide a simple system for GBV project managers to collect, store and analyze their data, and to enable the safe and ethical sharing of reported GBV incident data. The intention of the GBVIMS is both to assist service providers to better understand the GBV cases being reported as well as to enable actors to share data internally across project sites and externally with agencies for broader trends analysis and improved GBV coordination.

For assistance delivery, other protection partners may require information from proGres data or will provide information on persons of concern, which protection staff should update in proGres. The system for sharing such sensitive protection information is regulated by data protection considerations and UNHCR's policies and will be the responsibility of protection staff to negotiate and agree with partners as appropriate. The Information Manager may assist with technical support as required.

13.1.12 Protection reporting requirements

Protection reporting requirements in the beginning of the emergency will be manifold and range from SitReps, FactSheets, mission reports etc. Prior to inclusion or dissemination, all protection-related information must be cleared by the UNHCR Representative or the protection focal point.

MONITORING AND EVALUATION OBLIGATIONS

The Protection Officer, Programme Officer and Information Manager should work closely together to ensure that protection activities as covered by FOCUS indicators may be reported on later (generally after an initial emergency three month timeframe for an emergency special budget). It is therefore imperative that a data collection plan alongside FOCUS is in place, so that FOCUS indicator data is collected in a systematic manner.

13. A TEMPLATES

- Annex 1: Protection in Emergencies Toolbox; Protection Checklists, September 2013
- Annex 2: Protection Urgent Action Report for Individuals or a Community
- Annex 3: Global Protection Cluster, Rapid Protection Assessment Toolkit Guidance Note
- Annex 3: Global Protection Cluster: Rapid Protection Assessment Toolkit; Auxiliary Tool 1: Checklist for Primary Data Collection; Auxiliary Tool 2: Checklist for Secondary Data Review; Auxiliary Tool 3: Protection Problems, Indicators and Data Collection Methods
- Annex 3: Rapid Protection Assessment; Tool A: Community Leaders Questionnaire; Tool B: Affected Population Questionnaire; Tool C: Observation Checklist; Tool D: Focus Group Discussion Sample Questions and Note-taking Matrix; Rapid Protection Assessment; Tool E: Urgent Action Report
- Annex 4: Data Protection in Insecure Environments
- Annex 5: Draft Needs Assessments in Refugee Emergencies (NARE) Checklist
- Annex 6: Including AGD & Participatory Approaches

13. B REFERENCE DOCUMENTS AND LINKS

- Additional sources of information on working with children include the *Inter-Agency Guiding Principles on Unaccompanied and Separated Children*, ICRC, UNHCR, UNICEF, IRC, Save the Children UK, World Vision International (2003), available online at: www.unicef.org/violencestudy/pdf/IAG_UASCs.pdf;
- *Refugee Children: Guidelines on Protection and Care, UNHCR* (1994), available online at: www.unhcr.org/3b84c6c67.html (copy and paste this link into your browser) (accessed 31 October 2014);
- *Separated Children: ARC Training Module, Action for the Rights of the Child (ARC),* UNHCR and Save the Children (2001), available online at: www.unhcr.org/refworld/publisher/ARC.html. (accessed 31 October 2014).
- For specific information on protecting women and girls during security problems, problems assessing assistance and services, exposure to or risk of SGBV or other forms of violence, in addition to guidance on immediate intervention and response, see *UNHCR Handbook for Emergencies* (2007), available online at: http://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=3&ved=0CDEQFjAC&url=http%3A%2F%2Fwww.unhcr.org%2F471daf132.pdf&ei=tf9XU8PNPLPjsASKoYGIAg&usg=AFQjCNGk_m6gQOhiRikBYtfUwKcB8XpWRg&sig2=L9rsdpjvv3OiIVxhd6y22g&bvm=bv.65177938,d.cWc; as well as the *UNHCR Handbook on the Protection of Women and Girls* (2006) available at: http://www.refworld.org/cgi-bin/texis/vtx/rwmain?docid=47cfc2962 (accessed 31 October 2014).
- *The Gender-Based Violence Information Management System* (GBVIMS) is an inter-agency initiative consisting of UNHCR, UNFPA, IRC, UNICEF and WHO. The GBVIMS was established in 2007 in response to the humanitarian community's need to collect GBV data and to have a standardized information management system. Available online at: http://www.gbvims.org/ (accessed 31 October 2014).

14 MINIMUM SECTORAL DATA: E. LIVELIHOODS

OVERVIEW AND FUNCTION

Self-reliance is the social and economic ability of an individual, household or community to meet basic needs (including protection, food, water, shelter, personal safety, health and education) in a sustainable manner and with dignity. Self-reliance, as a programme goal, refers to developing and strengthening livelihoods of persons of concern, and reducing their vulnerability and long-term reliance on humanitarian or external assistance. By becoming self-reliant, displaced people lead active and productive lives and are able to weave strong social, economic and cultural ties with their host communities.

UNHCR's livelihood interventions aim to protect the skills and productive assets that displaced people carry with them, to build the capacities they might need in a new environment and to broaden opportunities, even at the onset of an emergency. The guidance provided below derives from *Livelihood Programming in UNHCR: Operational Guidelines* (UNHCR 2012, see references).

HOW-TO GUIDE

14.1.1 Key considerations for the livelihoods sector during an emergency

Assist refugees in becoming self-reliant even during the emergency phase. For example, all goods and services provided by organizations to the displaced population should be assessed to see whether and how it could be produced or provided by members of the displaced or host community. Similarly, as many in-camp staff positions as possible should be filled by refugee workers, while ensuring opportunities for apprenticeships or on-the-job training are provided.

Cash, food and rental assistance provided by UNHCR and partners should gradually lead to self-reliance activities as part of longer-term development. Such activities should aim to assist refugees in moving from grant-based and in-kind contributions to more sustainable forms of support.

Use quality data to guide programme strategies obtained through a rapid livelihood assessment. Such data should identify immediate market needs, as well as the policy environment and social or political processes that enable or inhibit access to work and other livelihood opportunities, and possible ways in which this environment can be made more conducive to refugee livelihoods.

Conduct a livelihoods assessment as soon as possible, and convene internal and external stakeholders around its results to jointly identify livelihood support opportunities. Choose a multi-functional team (MFT) approach and include all relevant UNHCR sector units (i.e. senior management, programme, protection, registration, durable solutions and community services), as well as a broad range of stakeholders, including development partners, UN and bilateral agencies, the donor community, private sector institutions, and refugee and local community representatives.

Target livelihood support on the basis of socio-economic profiling as early as possible. Match programme interventions with corresponding levels of socio-economic status, livelihood capacity (existing livelihood assets such as skills, as well as past work experience), needs identified in the refugee population, and the demands of the market.

WHAT THE INFORMATION MANAGER SHOULD PROVIDE TO THE SECTOR SPECIALIST

The Information Manager should work with the sector specialist to obtain this minimum set of suggested information:

- How were people making a living before the emergency? What skills do they have?
- Which assets have people brought with them?
- What coping mechanisms and livelihood strategies have different people/households developed after displacement and how effective are these?
- Are refugees able to work or set up their own business?
- Do they have access to land? Is it legal to keep livestock?

If there is no livelihoods specialist in the area, consult internally within the operation to gather available information and decide how the Information Manager may assist senior managers or focal points with required steps.

14. A REFERENCE DOCUMENTS AND LINKS

- *Global Strategy for Livelihoods: A UNHCR Strategy 2014-2018,* UNHCR 2014 http://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=1&ved=0CDUQFjAA&url=http%3A%2F%2Fwww.unhcr.org%2F530f107b6.pdf&ei=ZDVZU7PdA4vMsQSywIDQCA&usg=AFQjCNFxE2IVHRClER9reTnEdpQ7B9itSA&sig2=ONiQZP6ZRdUNSBzjoy1nZA&bvm=bv.65397613,d.cWc (accessed 31 October 2014).
- *Livelihood Programming in UNHCR: Operational Guidelines,* UNHCR 2012 https://intranet.unhcr.org/content/intranet/unhcr/en/home/protection_and_operational/livelihoods/resources/guidelines/_jcr_content/mainpar/multidownload/multidownloadItems/multidownloadfile/file/file.res/UNHCR%20LIVELIHOODS%20GUIDELINES%20high%20res.pdf (copy and paste this link in your browser) (requires UNHCR intranet log-in to access; accessed 31 October 2014).
- *Urban Livelihoods: Operational Guidelines,* UNHCR 2011 https://intranet.unhcr.org/intranet/unhcr/en/home/protection_and_operational/livelihoods/livelihoods_programming/urban_refugees.html (requires UNHCR intranet log-in to access) (accessed 31 October 2014).
- *Investing in Solutions: A Practical Guide for the Use of Microfinance in UNHCR Operations*, UNHCR 2011 https://intranet.unhcr.org/intranet/unhcr/en/home/protection_and_operational/livelihoods/livelihoods_programming/microfinance.html (requires UNHCR intranet log-in to access) (accessed 31 October 2014).
- *Livelihoods Assessments and Strategies: Template, Checklist and Guiding Principles,* UNHCR https://intranet.unhcr.org/intranet/unhcr/en/home/protection_and_operational/livelihoods/livelihoods_programming/what-are-the-necessary-steps-of-strategic-planning-.html (requires UNHCR intranet log-in to access) (accessed 31 October 2014).
- *Small Enterprise Education and Promotion (SEEP) Network: Minimum Economic Recovery Standards,* Second Edition, 2010 https://intranet.unhcr.org/content/intranet/unhcr/en/home/protection_and_operational/livelihoods/resources/building_sustainable/general_resources/_jcr_content/mainpar/10216/multidownloadItems/926

85/file/file.res/MinimumEconRecoveryStandards2_web.pdf (requires UNHCR intranet log-in to access) (accessed 31 October 2014).

- *Building Livelihoods: A Field Manual for Practitioners in Humanitarian Settings, Women's Refugee Commission* http://womensrefugeecommission.org/programs/livelihoods (accessed 31 October 2014).
- *EMMA: Emergency Market Mapping & Analysis*, Introduction and Overview of the EMMA Toolkit http://emma-toolkit.org/get/download/ (accessed 31 October 2014).

15 MINIMUM SECTORAL DATA: F. ENVIRONMENT

OVERVIEW AND FUNCTION

The minimum sectoral data presented in these guidance notes is based on the standards and units of measurement set by the *UNHCR Handbook for Emergencies* (Third Edition), *The SPHERE Project: Humanitarian Charter and Minimum Standards in Humanitarian Response* (2011 Edition), and the Framework for Assessing, Monitoring and Evaluating the Environment in Refugee-Related Operations (FRAME). The FRAME Toolkit is available online at: http://www.unhcr.org/4a97d1039.html, which is designed for managers and field staff to address issues of environmental assessment, monitoring and evaluation.

These guidance notes present key information on what Information Managers needs to know about environmental management from the first phase of an emergency response. The Information Manager should also assist as needed with the provision of information to support sector-specific reports and facilitate the dissemination of sector-specific information products.

HOW-TO GUIDE

The UNHCR sector specialist generally covers environmental aspects of the camp area and surroundings, including overseeing and participating in the Rapid Environmental Assessment (REA) in order to design appropriate environmental interventions during emergency response.

15.1.1 Information requirements

Environmental considerations must be taken into account at the very onset of an emergency, as it is during this phase that major negative environmental impacts typically occur. There is no comprehensive environmental management strategy that can be applied to all emergency situations. Site-specific information can be gathered by undertaking a REA, if possible, within a period of 48-72 hours, followed by a more comprehensive Environmental Assessment (EA). The more in-depth EA requires more time and resources in order to develop an appropriate strategy based on the specific environmental indicators observed, which may be found under the FRAME Toolkit, available here: http://www.unhcr.org/4a97d1039.html.

15.1.2 Situation analysis

Full details of the REA process can be found in the FRAME toolkit. Normally, a team of three should carry out the REA, including a local environmental expert (e.g. from an NGO), a member of the local community and a member of the international humanitarian community.

During this period, the following points and processes should be considered:

- Define the “affected area” in terms of boundaries, and document on a map;
- Predominant ecosystem/environmental situation (savannah, rainforest, agricultural land, etc.);
- Issues of land use and land rights;

- Basic characteristics of the site, such as vegetation and other environmental conditions, species and percentage of vegetation cover, nearby floodplains or protected areas, soil condition, geology, topography, elevation, water bodies and sanitation possibilities;
- Possibility for expansion of the area;
- Ratio of refugees to local inhabitants (needed to measure increased stress on surrounding natural resources);
- Type(s) of fuel likely to be used for domestic energy needs (e.g. fuel used by refugees in place of origin, in contrast to what is available for fuel where they are now living);
- Type(s) of construction material likely to be used for shelters, fences, etc.; and
- National/local governance, and whether any of the surrounding areas are governed by local laws (e.g. considered sacred).

From the REA, the initial environmental management strategy should be developed as quickly as possible, along with local Government actors such as forestry departments. This strategy should consider issues of natural resource management, particularly in terms of domestic energy (i.e. managing the harvest / distribution of fuel-wood and/or other fuels) and shelter (materials for construction).

15.1.3 Domestic energy options

Adequate response to domestic energy needs will depend on the situation analysis, particularly the availability of fuel and accessibility of the site. When considering domestic energy options, the firewood/timber situation needs to be classified under one of the following:

- Firewood is abundant;
- Firewood is still an option but needs to be adequately managed; or
- Firewood is no longer an option due to depleted resources or Government restrictions.

With this knowledge, adequate steps can be taken to address the domestic energy situation at the site. If firewood is no longer an option at the selected site, it is suggested that, as minimum assistance, other sources of fuel such as ethanol, pellets, briquettes, gas etc. be provided as a core relief item during the emergency phase of the crisis until sustainable alternative energy sources are identified. However, it must be noted that free supply of fuel is only appropriate in certain cases, as prolonged distribution of fuel without cost may increase consumption, particularly of firewood.

According to the SPHERE Project, the following should be provided to refugees as a minimum standard during humanitarian response:

Item	Distribution
1 fuel-efficient stove	1 per family of 5, to reduce fuel consumption and smoke inhalation
1 heat-retention box	1 per family of 5, to reduce fuel consumption
1 solar lantern	1 per family of 5, to provide safe and sustainable artificial lighting

Solar streetlights should also be considered as much as possible in order to improve safety of refugees at night, as darkness provides cover for crime and vandalism.

GAP ANALYSIS

An Inter-agency needs assessment should be conducted. The assessment should consider energy needs for cooking and lighting as well as environmental impact factors such as fuel sources, water quality and quantity, solid waste management etc.

This data, coupled with the initial environmental survey, can inform managers on how to adequately address energy needs for cooking and lighting, including identifying the most cost-effective, fuel-efficient stove. This is a particularly useful exercise while the *Access to Fuel and Energy Guidelines and Strategy* is being developed. The full document is available online at: http://www.unhcr.org/530f11ee6.pdf.

COMPREHENSIVE ENVIRONMENTAL MANAGEMENT STRATEGY

A comprehensive environmental management strategy should be developed for the site and immediate surroundings as soon as possible. Referencing the FRAME Toolkit a more comprehensive Environmental Assessment (EA), should be developed following a highly participatory community environmental action plan. The FRAME Toolkit also highlights opportunities for using the latest technology with geographical information systems for environment assessments. The Environmental Management Strategy should include components on the management of the harvest of wood for fuel and shelter material, the promotion of fuel-efficient stoves and cooking techniques, awareness-raising programmes, reforestation and improved natural resource management.

TECHNICAL SUPPORT

If no environmental specialist is available, consult internally within the operation to gather available information and decide how the Information Manager may assist senior mangers with required steps.

16 MAPPING

OVERVIEW AND FUNCTION

Emergency humanitarian maps enable the geographic visualization of life-saving objectives and act as a conduit for the communication complex information for a coordinated humanitarian response. Not all mapping requires complex skills or technical programming expertise. A basic understanding of PowerPoint and Excel is all that is required to produce the first set of standard emergency humanitarian maps.

These guidelines focus on the “drawing” of maps using a UNHCR stylized PowerPoint Map Pack, identifying and including GPS coordinates on a PowerPoint Map Pack, and designing a UNHCR info-graphics map using Excel. Guidance is also included on using ArcGIS and Google Earth to indicate GPS points of interest while creating a slightly more sophisticated map.

HOW-TO GUIDE

A mapping focal point and reporting requirements should be clearly defined by the UNHCR Representative, and should be delegated by the senior managers to the Information Manager if present in an emergency. It is recommended that map templates are kept current and coincide with updates to SitReps, camp profiles or population statistics (be sure to reference the source and collection date for all stats, displayed at the bottom of the map).

In accordance with this guidance and in consultation with the UNHCR Representative, the mapping focal point will need to define the information to be covered, the type of map to be produced and the area of delineation (country, district, camp or settlement level), based on available data.

All maps must be cleared with the UNHCR Representative or the designated senior managers prior to release or uploading on the UNHCR web portal. It is recommended that maps are updated or produced at least one to two times a week, as information changes or the situation develops during the first phase of the emergency.

16.1.1 Identifying and managing locations of interest

Collecting and recording locations of interest is a first step to creating maps. Locations of interest may either be an area of interest (a known administrative unit or a specific area) or a point of interest (a city, village or landmark). Therefore, a first responsibility is to understand the type of location of interest being referred to – often a critical step, as the same name can be used for a province, a district or a city.

Coordinates for points of interest should be stored in a location-related master spreadsheet, clearly indicating place name and using the “decimal degree” format, to a minimum of four decimal places (http://en.wikipedia.org/wiki/Decimal_degrees). The same spreadsheet can be easily imported into Google Earth to generate a KML document that can then be shared with partners for planning or outreach purposes. KML files store geographic modeling information (polygons, points, lines, images etc.) and add HTML context, the language in which web pages are written. Note that KML is a good format for geographic data visualization but not for data management, so always keep a location master list separate in a spreadsheet (https://developers.google.com/kml/documentation/).

Using location names, geographic coordinates can be found in the Populated Places section in the COD registry, in online gazetteers (such as http://geonames.org or http://www.getlatlon.com) or on a country-specific national online registry (national mapping agency). Included in the annexes for this section is also a short note on locating GPS coordinates using Google Earth and indicating GPS-identified points on a map, in addition to guidance on geo-tagging photos.

Examples of points of interest include the following:

Community Information and Services
- Health centres/clinics
- Schools
- Food-distribution points
- Nutrition centres (therapeutic & supplementary)
- Community centres
- Water-access points
- Toilets
- Burial sites

Location of People of Concern:
- Planned camps
- Unplanned camps (spontaneous camps)
- Border-crossing points
- Reception centre(s)
- Transit centre(s)
- Location (hosting families)
- Location of persons of concern during outbreak of illness

Note: It's good practice to cross-check mapped coordinates, names and placement of locations with national colleagues for accuracy.

16.1.2 Key sources of information

Key sources of information can be found in secondary data. Alternately, such sources should be provided by the registration officer or Information Manager, or from operational partners, the local Government or national colleagues.

16.1.3 Standard maps: First phase of an emergency

Situation, security, 3W and info-graphics maps do not necessarily require GIS expertise to create. Examples of more complex maps that do require GIS skills include flood analysis from satellite imagery classification and multiple spatial criteria overlay, heat map plan through network analysis to support contingency planning, among others.

In UNHCR, the most common types of maps are:

1. Reference/Presence Maps either cover the global or regional level and display one or a combination of the following data sets:
    - UNHCR offices
    - Presence of Population of Concern
    - Country names recognized by the UN
    - International and Administrative boundaries recognized by the UN
    - Road network
    - States that are party to refugee or statelessness conventions

2. Operation/Situation Maps cover either the country or regional level and highlight the context of a UNHCR operation. The maps provide HQ and field offices with a timely visual of the latest context of an ongoing UNHCR operation. The maps will display one or a combination of the following data sets:
    - Location(s) of the event(s)
    - Cause/nature of event
    - UNHCR offices
    - Humanitarian impact such as number of refugees, IDPs etc.
    - Country names recognized by the UN
    - International and Administrative boundaries recognized by the UN
    - Road network

3. Custom Maps encompass UNHCR products such as statistical maps, infographics or any other type of customized map.

Statistical maps cover either the regional or global level and provide a visual display of UNHCR population data such as the number of Refugees, IDPs, Returnees or Asylum Seekers at a given point in time.

An Infographic is a full page map focusing on one theme and combining geo-referenced information, graphics and summaries of the situation. The infographic provides timely visual insight to a situation, developed from data provided by UN agencies, clusters and other humanitarian actors.

16.1.4 Base-layer, common and fundamental operational datasets

Once the level of delineation and the type of map have been selected, write to the GIS officer in charge in the region (or in HQ at *mapping@unhcr.org*) and request a Map Pack. The base-layer map will illustrate national boundaries and shade relief, which will act as reference points within the map. The GIS officer is responsible for ensuring that official UN representation of disputed areas, countries and territory names is used in the base map.

When no GIS officer is available, consider using the UNHCR geo-portal (http://www.cartong.org/project/unhcr-geoportal-learning-corner) which contains UN-recognized boundaries, UNHCR presence and other valuable layers overlaid on selectable background maps (Open Street Map, Google satellite backgrounds, etc.). Once the background map is selected, press the Print Screen button on the upper-right side of the keyboard, which will capture an image of the entire screen. This captured image can then be pasted into an editing programme such as PowerPoint.

Based on available secondary data, select the appropriate template from the PowerPoint Map Pack and begin populating it with key sets of information, such as location of country capital, location of UNHCR offices and refugee locations (indicating the type of settlement camps and population statistics). All of this information together represents a visual estimation of the situation based on known facts and data.

To the extent possible, rely on existing symbols detailed in the UNHCR Style Book, included as Annex 4 of this section, for use on any map. Ensure that all data presented on a map are accepted common and fundamental operational datasets (CODs and FODs, available online at: http://cod.humanitarianresponse.info/country-region/) agreed upon within the humanitarian community.

16.1.5 Creating maps in ArcGIS and indicating points of interest

More sophisticated maps can be created only with desktop GIS software, including ESRI ArcGIS, MapInfo, QuantumGIS or Mapwindow (open-source software). The following steps can be taken to create a map using ArcMap, to export a shapefile/map in EMF (enhanced metafile) format:

- Import the image in Excel and "ungroup" the image.
- Accept the conversion of the image into a Microsoft Office object.
- The map is now an editable vector with scalable shapes, which can be coloured independently in Excel or PowerPoint.

16.1.6 Devices for collecting data using GPS

The collection of points of interest from field data should be organized only when locations cannot be found within existing secondary data. Devices that may be used for collecting points of interest include specific GPS handheld devices, all satellite phones (Thuraya) and smart phones. Applications available for using GPS on a smart phone can be found at:

http://www.androidpit.de/de/android/market/apps/app/me.guillaumin.android.osmtracker/OSMTracker-fuer-Android

16.1.7 Information necessary for inclusion

All maps must include the following information:

- Title, issue date and time of map's creation, and standard UNHCR logo, with a note referencing the UNHCR office from which map was issued (e.g. UNHCR Pakistan–Branch Office Islamabad);
- Legend explaining all symbols and/or colours used;
- North symbol and compass to indicate the map's orientation;
- Explanation of the map's scale (in kilometres);
- Date when any graphed information was gathered;
- Reference/credit information, should be displayed in footnotes;
- For additional information, include the name, title and e-mail of the UNHCR mapping focal point or PI officer at the bottom of the map; and
- Disclaimer text: *"The boundaries and names used on this map do not imply official endorsement or acceptance by the United Nations."*

16.1.8 General tips

- As a map is being developed, ensure that its purpose remains clear.
- Do not overload the map with information, and keep a good balance between the message to be delivered and the amount of data being presented.
- Do not use flashy colours. Instead, select just two or three simple colours and set colour templates to act as visual references for the same types of information displayed across related maps.
- Be aware that location names, and definitions of what constitutes a city or a village, may vary or change over time, and that there may be multiple locations with the same name, etc. Be sure to gather local expertise and advice.

16. A ADDITIONAL GUIDANCE AND TEMPLATES

- Annex 1: UNHCR Guidelines on Map Production and Dissemination
- Annex 2: UNHCR Map Style Guide for Advanced GIS Users
- Annex 3: UNHCR Map Colour Style Guide for Advanced GIS Users
- Annex 4: Creating Maps in PowerPoint (Map Pack)
- Annex 5: UNHCR Dashboard Tool
- Annex 6: UNHCR Addressing Guidance
- Annex 7: Google One-Pager: How to Delineate the Area of Operation using Google Earth
- Annex 8: Guidance on Geo-Tagging Photos

16. B EXAMPLES

- Annex 9: Dollo Ado, Ethiopia, Who's Doing What, Where Map
- Annex 10: UNHCR Lebanon, Registration Trends for Syrians
- Annex 11: UN Security Map for Afghanistan

16. C REFERENCE DOCUMENTS AND LINKS

- *Humanitarian Response, Common and Fundamental Operational Datasets Registry:* http://cod.humanitarianresponse.info/ (accessed 31 October 2014)
- OCHA Map Guidelines: Field Map Production and Guidelines, 29 June 2009: http://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=1&ved=0CCcQFjAA&url=http%3A%2F%2Fwww.colombiassh.org%2Fgtmi%2FIMG%2Fpdf%2FGuidelines_Field_Map_Production_and_Dissemination.pdf&ei=DJ1aU-q7A-bNsQTu8YHwDA&usg=AFQjCNGp9syJtXHt_cwCElDrx1N5AKhmHw&sig2=4ZiSRcZtkyuhSqnSknoW8Q&bvm=bv.65397613,d.cWc (accessed 31 October 2014)
- *Map Action: Field Guide to Humanitarian Mapping,* First Edition, March 2009: http://redhum.org/archivos/pdf/ID_5047_YB_Redhum-GL-Guia-Guia_de_campo_para_Mapeo_Humanitario-MapAction-(Ingles)-20090331.pdf (accessed 31 October 2014)
- A standard symbol set from UNGIWG can be found at: http://www.ungiwg.org/content/guidelines-styles-templates-symbology (accessed 31 October 2014)
- Photo-editing tips for PowerPoint can be found at: http://www.youtube.com/watch?v=-Z-ss3AgnmY (copy and paste this link into your browser) (accessed 31 October 2014)
- *Using GPS in the Field: Manual and Reference*, UNHCR Geographic and Information Mapping Unit, September 2004
- UNHCR Field Office Memorandum No. 020/2006 on Guidance Note on Address Systems for Refugee/IDP Camps

17 INFO-GRAPHICS

OVERVIEW AND FUNCTION

An info-graphic is a product containing graphics and text, including data and statistics about a certain subject. The product can be a collection of charts, maps and brief narrative text. It should be designed in such a way that the end user can easily understand a subject and its accompanying data through a one-page visual representation.

Info-graphics can be used, for instance, to draw attention to or explain complex issues, to clearly present the mission or activities of an organization or programme, or to visualize or display data in a beautiful or striking way.

Info-graphics are often based around a map and geographic representation of data. This is not a prerequisite, however; info-graphics may have no map at all, consisting only of graphics and chart representations of information. Nor are advanced GIS skills necessarily required to make a map-based info-graphic. Typically, info-graphics will provide a general overview at the country level; as the accompanying map will not include high-resolution details, the precise placement of points using GPS coordinates will not always be necessary.

It is the Information Manager's responsibility to decide whether the level of information and data warrants the creation of an info-graphic or if a standard map will suffice. In general, if there is a significant amount of information to be presented, using a combination of media (charts, graphics, text-based narratives) could be considered an info-graphic.

HOW-TO GUIDE

17.1.1 Responsibility, focus and reporting

As designated by the Representative, the Information Manager will act as the mapping focal point and will also be in charge of the production of info-graphics. Info-graphics reporting requirements and clearance should be clearly defined by the UNHCR Representative.

In accordance with this guidance and in consultation with the UNHCR Representative or the emergency team leader, the mapping focal point will need to define the information to be covered, the type of info-graphic to be produced and the area of delineation (country, district, camp or settlement level), based on available data.

All maps must be cleared with the UNHCR Representative or the emergency team leader prior to release or uploading on the UNHCR web portal. It is recommended that info-graphics are updated or produced at least one to two times a week, as information changes or the situation develops during the first phase of an emergency.

17.1.2 Steps for creating an info-graphic

- The key to any design product is to understand its purpose. Question whether an info-graphic is needed and why. What is it that needs to be communicated and to whom, and what is the best medium to do so? Identify the audience and the message before starting on the design. In general, the more complex the data, the more thought and planning needs to go into the design to present the information in a clear and simple manner.
- If an info-graphic is deemed an appropriate product, begin collecting data surrounding the message, issue or trend that is to be illustrated in the info-graphic. Ensure that the data is accurate and that sources and dates of collection are referenced on the actual info-graphic, in footnotes. Data can be gathered from a number of sources – publicly available sources, other UN agencies, NGOs, UNHCR registration data and so on. The UNHCR registration officer or the database manager may pull data from the ProGres database on age and sex demographics, specific needs, etc., on a regular basis as per reporting needs.
- By focusing on the message, issue or trend to be illustrated in the info-graphic, decide which data is most relevant and which should be presented on the info-graphic. Strip away unimportant data and make sure to highlight important information. In general, during the first phase of an emergency, such information could include population figures (registered/estimated), new arrival figures or population figures over time, refugee locations, major border-crossing areas, transit sites, refugee camps, ethnicity (or other issues relevant to the refugee populations' interactions with the host population, such as percentage of refugees versus host villagers) and data on response (including distribution of CRIs, programme activities, etc.).
- Decide how to present data and include raw data in spreadsheets, in order to produce graphs, etc. Standard Excel formulas for the production of graphs or charts illustrating age, sex demographics and population trends have been included in as examples in the Population Statistics section (Section 3) of this Toolkit.
- Assess each data component and decide on the best way to present it. For example, consider presenting the full refugee population as a bar chart, as proportional circles on a map, etc.
- Sketch a layout, combining the different components into a presentable format. A suggested format for an info-graphic is included as Annex 4 of this section. Build the info-graphic. Before it is shared, management must approve the product.

17.1.3 Points to consider when creating an info-graphic

- Use consistent fonts, styles and colours.
- Ensure horizontal and vertical alignment in the layout of different components.
- Does the info-graphic answer questions about the emergency or refugee population being asked by someone, somewhere?
- Keep it simple – ask whether the content is straightforward and easy to understand.
- Don't add too much data, to avoid making the graphic confusing.
- Make sure the info-graphic is designed in such a way that it is easy to update, as it may need to be updated on a weekly basis. Most versions of Excel will include a "Data" tab where figures can be entered; the cells can then be linked to a tab that has the main graphic, where it can automatically update.
- Ensure all data sources and dates are explicitly referenced on the info-graphic.

17.1.4 Map requirements

If a map has been included in the info-graphic, ensure that all the required elements from the Mapping section have been included in the graphic. These need to include the following:

- Title, issue date and time of map's creation, and standard UNHCR logo, with a note referencing the UNHCR office from which the map was issued (e.g. UNHCR Pakistan–Branch Office Islamabad);
- Legend explaining all symbols and/or colours used;
- North symbol and compass, to indicate orientation of the map;
- Explanation of the scale of the map (in kilometres);
- For graphs, include the date when the graphed information was gathered;
- Reference/credit information, displayed in footnotes;
- For additional information, include the name, title and e-mail of the UNHCR mapping focal point or PI officer at the bottom of the map; and
- Disclaimer text: *"The boundaries and names used on this map do not imply official endorsement or acceptance by the United Nations."*

17.1.5 Software

Microsoft Excel 2007 (as well as later versions) is very powerful graphically and can be used to create info-graphics and save in PDF format. Take care when publishing these documents, as there is a bug in Microsoft products that distorts graphics slightly – circles may appear slightly squashed. The graphic may need to be adjusted (re-sized) to offset this bug, ensuring that the published end result is in the proper dimensions.

Other good software for creating an info-graphic includes Microsoft Publisher, Microsoft PowerPoint, Adobe Illustrator, Adobe Fireworks and Adobe Photoshop.

17. A REFERENCE DOCUMENTS AND LINKS

When making an info-graphic, it is worthwhile to look for inspiration and design ideas through examples on the Internet. The following websites have some good examples:

- Dribbble (search for info https://dribbble.com/ (accessed 31 October 2014)
- Visually http://visual.ly/ (accessed 31 October 2014)
- Information is Beautiful http://www.informationisbeautiful.net/ (accessed 31 October 2014)
- Graphic River http://graphicriver.net/search?utf8=%E2%9C%93&term=infographic (accessed 31 October 2014)
- Info Activism Organization Tactical Tech https://www.tacticaltech.org/ and https://www.tacticaltech.org/search/node/design%20guide (a design guide) (copy and paste link into your browser; accessed 31 October 2014)
- Drawing by Numbers: https://drawingbynumbers.org/data-design-how-tos (copy and paste link into your browser; accessed 31 October 2014)

18 WEB PORTAL

OVERVIEW AND FUNCTION

The UNHCR web portal provides a unified platform for emergency information coordination and dissemination. The portal features the latest display of emergency data, maps, population statistics, demographic graphs, UNHCR and partner reports and factsheets, operational highlights and situation reports, in addition to quick links to a variety of partner web sites. It centralizes all operational data and information products about an emergency that should be broadly disseminated to partners, donors and governments, which comprise its intended audience.

A coordinated and well-maintained web portal is a key tool in information management. It is also an excellent example of the ways in which technology is being used to sharpen emergency response, coordination and service delivery.

HOW-TO GUIDE: PORTAL DEPLOYMENT

Here are a few key matters to consider before requesting a portal:

- Is/will appropriate staffing be available to sustain a web portal?
- What will be the scope of the portal – is it for an emergency or to provide a snapshot of the entire refugee situation?
- Are there any existing regional portals already in place?
- Are the administrative unit structures and names clear and in accordance with ProGres?
- If regions are to be used, how to define what qualifies as a "region", as an arbitrary area of operation or as a geographic district or region?
- What is the frequency of the new figures and how will those figures be consolidated at the country and regional levels?
- What population figures do you want to display and how do you want to aggregate them into totals?

To initiate the deployment of a new web portal, the country Information Manager should first seek approval from his or her Country Representative. For a regional web portal, the Country Representative should then complete the Portal Deployment Request Form (included as an annex in this section) and submit the proposal to the Regional Representative, who, in consultation with relevant Country Representatives and Information Managers in the region, submits the proposal to the Bureau and FICSS chief of section.

For a country-level portal, consultations with the Regional Representative are not required, and the Country Representative may submit the Portal Pre-deployment form directly to the Bureau and FICSS. During a Level 3 emergency, the initiation request for a web portal might originate quickly from the HQ Emergency Task Force.

Responsibility for the management of web portal content ultimately falls to the UNHCR Representative, with the support of the emergency team leader and the Information Manager, who will be creating many of the products displayed on the portal. The Information Manager will also be responsible for gathering, managing and coordinating the content on the portal with partners and other stakeholders on the ground.

It is important to reiterate that each country or region needs to have a full Content Management Strategy in place that clearly defines focal points that are responsible for updating content on the Portal. The Information Manager per country or region is responsible for keeping the site up-to-date. In cases where there is limited resources or band-width issues exist regional Information Managers can be asked to support content management for a limited period of time. Headquarter support is limited to configuration, maintenance and enhancement to the functionality of the Portal and does not include content management.

The tasks that an Information Manager will need to do to initiate and configure a new web portal are detailed on the web portal Wiki site:
http://data.unhcr.org/manual/Wiki.html#0-First-steps-to-set-up-a-new-instance-short-guide

Web portal related information, such as the API interface is available as a wiki that may be found here: http://data.unhcr.org/wiki/index.php/Main_Page

18.1.1 Structure, content and information management responsibility
The responsibility and level of web portal content has been set as per the following areas of delineation:

Regional level (e.g. Horn of Africa)

- Total refugee population per country (Information Manager working with the registration officer);
- Appeal and financial information (Information Manager working with the Representative, sectoral leads and public information officer).

Country level (e.g. Kenya)

- Overall aggregate population profile, arrival trends (Information Manager working with the registration officer);
- Highlights, news (Information Manager working with the Representative, sectoral leads and public information officer);
- Documents: Statistics spreadsheets, maps, updates, reports, meeting notes (Information Manager working with, collecting and analyzing information from the sectoral leads); and
- Calendar and events (Information Manager);
- Working groups: a dedicated page for coordination purposes: Contact information, highlights, calendar and documents to facilitate the work of the working groups (Information Manager with sectoral leads) Sub-office level (e.g. Dadaab);
- Population profile, arrival trends (Information Manager working with the registration officer);
- Highlights, news (Information Manager working with the Representative, sectoral leads and public information officer);
- Documents: Statistics, maps, updates, reports (Information Manager working with, collecting and analyzing information from sectoral leads); and
- Calendar and events (Information Manager).

Settlement or camp level (e.g. Ifo)

- Population profile (Information Manager working with, collecting and analyzing information from the sectoral leads);
- Basic indicators (Information Manager working with, collecting and analyzing information from the sectoral leads);
- Who's Doing What, Where (Information Manager working with, collecting and analyzing information from the sectoral leads); and
- CRI distribution report (Information Manager working with, collecting and analyzing information from the sectoral leads).

Note: Population figures and 3W information are added at the settlement level and aggregated upwards to formulate data and total figures at the country and regional level.

18.1.2 Web portal clearance standard operating procedures

Information on the web portal is publicly available because maintaining logins for thousands of partner and donor staff members is impractical. This means that the information posted on the portal is available to everyone on the Internet, not just its intended target of humanitarian actors. The broad availability of this information makes it especially important to ensure that the data is of sufficient quality and that it has been cleared through a formal process.

To facilitate the formal process of clearing information for posting on the portal, the Information Manager should customize the standard operating procedures (SOPs) for clearing web portal data, endorsed by the Representative. Some information products and data will have different clearance procedures than others. Some information may be given blanket clearance by the Representative or emergency coordinator, meaning that as soon as a sectoral lead or sectoral working group approves it, that information can be posted. Meanwhile, other types of information might need personal clearance by the Representative or Deputy Representative. Clearance procedures will vary according to local circumstances, as well as the reliability and sensitivity of the information.

Types of information that should ***not*** be posted on the web portal include the following:

- Personally identifiable information about persons of concern;
- Information that could compromise the security of either populations of concern or humanitarian actors;
- Information that is in draft format;
- Information for which the original source of the information has not agreed to its publication;
- Information that hasn't been cleared according to the process defined in the clearance SOPs;
- Information that the Representative does not want posted; and
- Other types of information that will be locally defined.

18.1.3 Importance of metadata

When posting data on the web portal, the following metadata should be included:

- The date of the data's validity;
- The source organization(s) for the data; and
- Information on the method of data collection or other notes or comments.

18.1.4 Sector-specific portal clearance

Recommendations for posting sector-specific assessments will originate with sectoral groups, both at the branch office and field levels, based on group consensus gained by the Information Manager in the RIM WG.

18.1.5 Highlights

Highlights are “bite-sized” newsflash-type pieces. In order to remain relevant, a highlight should not be confused with “news”. Highlights uploaded on the web portal are limited to 160 characters, without exception.

Highlights may be suggested directly by sectoral working groups. The chairperson of the sectoral working group may e-mail text for a highlight to the Information Manager, to be cleared according to the process defined in the clearance SOPs.

18.1.6 News clearance

The senior public information officer or the Information Manager may suggest news items to be considered by the Representative for publication. As delegated by the Representative, news items on the UNHCR public website may be directly uploaded to the website by the Information Manager upon request by the senior public information officer. For news items from non-UNHCR websites, the senior public information officer must first clear the request with the Representative before the Information Manager uploads the news item to the website.

18.1.7 Interactive map

An interactive map displayed on the emergency web portal is designed to show population figures by country, region and settlement. In addition, infrastructure such as schools, border-crossing points, warehouses, etc. can be added and linked to specific partners. Linking infrastructure by partner is optional, but if applied it is important to ensure that points are correctly attributed to all partners associated with a particular piece or type of infrastructure. The Information Manager can decide which points he or she wants to make visible and to display on the map, using a checkbox within the admin interface.

18.1.8 Documents

Documents can be tagged with unlimited options (sector, partners, document type and category, language, location) for ease of finding information in the document repository. As such, it is recommended that as many tags as possible are added.

18.1.9 Who’s Doing What, Where (3W)

The 3W information is created and maintained by the Information Manager. This information needs to be manually updated in the portal, based on the reports from a 3W information system. On the web portal, each partner will have a page that can be updated with logo and organization information. The Information Manager can use the RIM WG as a forum in which to provide up-to-date information for their partner pages.

18.1.10 Assessment Registry

The Assessment Registry information is created and maintained by the Information Manager. This information needs to be manually updated in the portal, based on the assessment reports provided by partners, governments or UNHCR. Core metadata or information describing the assessment needs to be added per assessment. If the assessment document is available for circulation this can be added to the registry.

18.1.11 Reporting web portal bugs

When reporting a bug, be sure to be as detailed as possible, clearly indicating the circumstances of the bug and the problem's occurrence. Describe what happened, step by step, so the development team can reproduce the bug, including information on the following:

- What is the result of the above steps? (e.g. "I edited the title of a news article and it did not change or save.")
- What is the expected result? (e.g. "The new title I added to this news article should have been saved.")

At all times, be detailed. For instance, with the above example of a news article, clearly indicate the steps taken, which news article was being edited, and what should be the new title of the file to be saved. Providing screenshots will also help the development team to identify the problem. In addition, please indicate which browser you are using and its version number.

Bugs can be reported either using the generic email address webportal@unhcr.org or using the online feedback form that can be found in the administration section.

18.1.12 Portal features

Sectoral working group pages: Offer the ability to display information by 'Working Groups', which allows information to be grouped by a combination of sectors, themes and geographic areas. Sectors may centralise their working documents, contact information, events calendar, highlights or even pictures on this feature of the webportal.

Key Response Figures: highlight specific figures relevant in an operation. The numbers help tell the story of the response in a succinct, easily comprehensible way.

Raw data export: raw data is available for download from the different location levels (regional, country, etc…) and from selected modules like the timelines, 'Who's doing what where?' or the funding chart.

Funding module: visualizes the financial requirements of the response, including the gap, disaggregated by country.

Image gallery: upload photos to settlement country or regional, pages, as well as working group pages.

Links: offers direct links to related operational websites and partner information surrounding a refugee emergency.

RSS Feeds: features news stories related to the refugee emergency.

Storyline page (optional): the Storyline module is administered by UNHCR and works to illustrate the refugee stories behind an emergency both from the perspective of UNHCR, our partners and the refugees themselves. The Storyline module may also feature news stories, videos and photos highlighting the human-side of a refugee emergency. Note that the Portal's target is to facilitate operations and is not a public relations site. Before adding this page to your site you should clear it with PI/PR focal points locally and have a clear strategy to keep it updated with content that should not be on UNHCR.org or related sites. Please see the Syria Storyline, available here: http://data.unhcr.org/syrianrefugees/syria.php as an example.

Needs Assessment Registry:

An example of the assessment registry module available on the UNHCR web portal, may be found at: http://data.unhcr.org/syrianrefugees/assessments.php?page=1&view=list&Language%5B%5D=1&Country%5B%5D=107 as an example.

18. A TEMPLATES

- Annex 1: UNHCR Emergency Web Portal (Deployment Request Form)
- Annex 2: UNHCR Emergency Web Portal Content Management Process Template

18. B EXAMPLES

- Annex 3: Syria Regional Refugee Response, Web Portal Approval Process
- Annex 4: Press Release for Emergency Web Portal Deployment
- Annex 5: Web Portal Administrative User Guide

18. C REFERENCE DOCUMENTS AND LINKS

- UNHCR Emergency Web Portal for the Syrian refugee crisis: http://www.data.unhcr.org/syrianrefugees/regional.php (accessed 31 October 2014)
- UNHCR Mali Operation Web Portal: http://data.unhcr.org/SahelSituation/regional.php (accessed 31 October 2014)
- OCHA's Humanitarian Response: http://www.humanitarianresponse.info/home (accessed 31 October 2014)
- Relief Web portal displaying the evolving situation in Sahel: Food Insecurity, Situation in Mali and other locations: http://reliefweb.int/ (accessed 31 October 2014)