3

Emergency Management

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Introduction

1. There is no single blueprint for refugee emergency management; each refugee emergency is unique, however, it can be defined as:

The organization of capacities and resources to meet threats to the lives and well-being of refugees.

2. There are a number of distinguishing features in emergency management:

i. The lives and well-being of people are at stake.
ii. Reaction time is limited.
iii. Risk factors are high and consequences of mistakes or delays can be disastrous;
iv. There is great uncertainty.
v. Investment in contingency planning and other preparedness activities is crucial.
vi. Staff and managers may be under particularly high stress because of, for example, security problems and harsh living conditions.
vii. There is no single obvious right answer.

Organization of this section

3. This section of the handbook (chapters 3 to 9) is structured to reflect the phases of emergency preparedness and response. Firstly, the preparedness activities of contingency planning and early warning are dealt with (chapter 4), followed by initial needs, resource and participatory assessment and immediate response (chapter 5). Operations planning, coordination and site-level organization are dealt with in chapters 6 and 7. Next, implementing arrangements are discussed, including procedures for operations implementation and control (chapter 8). Finally, chapter 9 on external relations, covers relations with the host government (including establishing a formal presence in the country of operations), relations with the donor and diplomatic community and handling media interest. Note that certain activities cut across the phases of emergency preparedness and response, such as, external relations, coordination, and planning and age, gender and diversity mainstreaming using a rights-based approach.

4. Figure 1 shows some of the considerations discussed in this section in diagrammatic form, in particular in relation to emergency response. The response activities of problems and needs assessments, operations planning, implementing arrangements and programme formulation are all very closely related. Some aspects treated separately may be indivisible in practice, and there is no single correct order or way in which an emergency operation should be formulated (but it must conform to established UNHCR procedures governing project submission and control).

Capacity and resources

5. Preparing for and responding to refugee emergencies are tasks which require the availability of the right resources at the right time as well as the capacity to use these resources effectively.

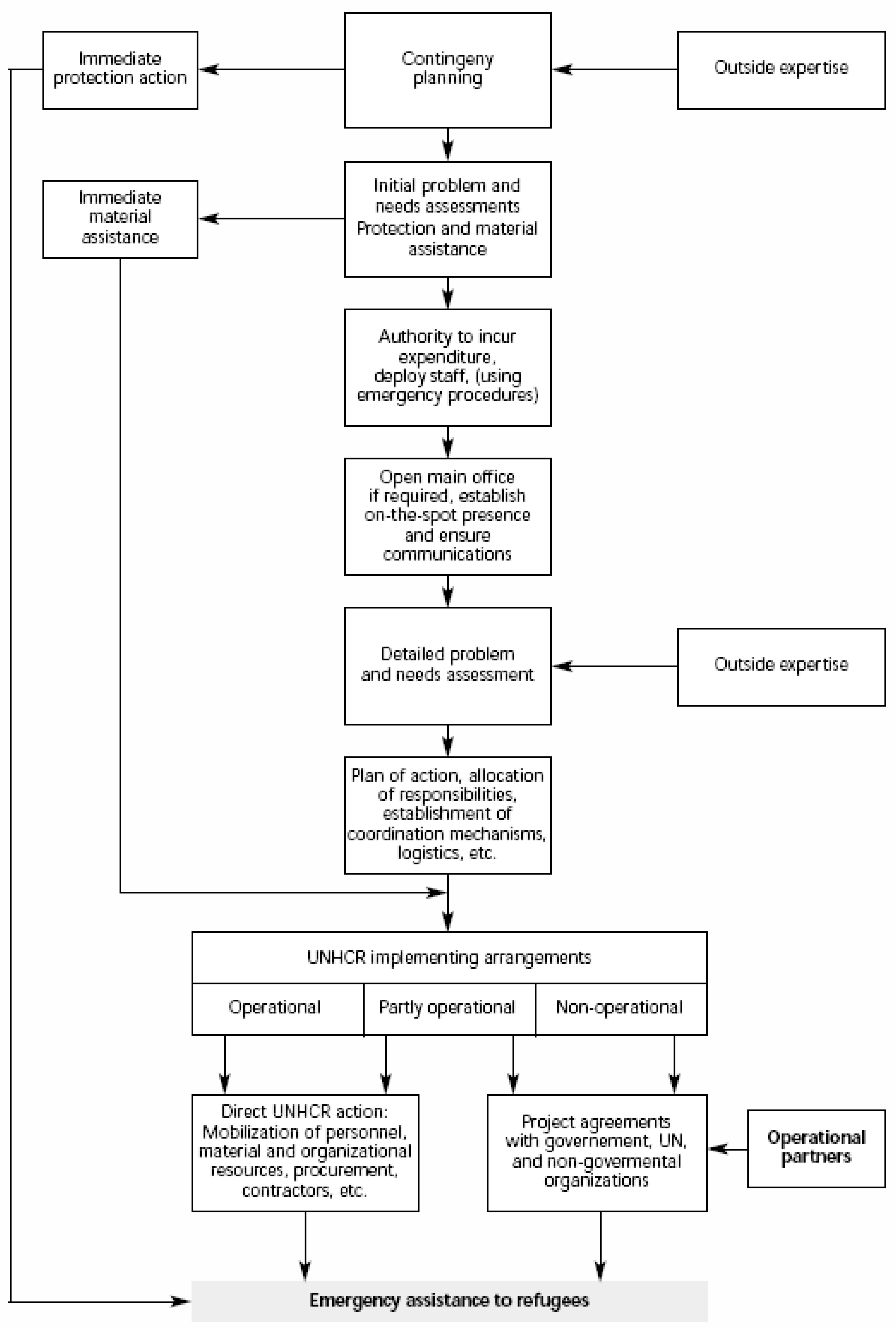
6. Planning for capacity building from an early stage of emergency is very important. As soon as possible, efforts should be made to map out the community structures (representing both women and men), means of communication within the population and identifying the potential areas of community participation as well as their capacity and skills. These are crucial in successful management of the emergency.

This should be followed by planning community-based activities and involving the communities in implementation by awareness raising through existing communication channels if they are representative.

7. Capacity is the internal organizational capability which includes planning, staffing, structure, systems, procedures, guidelines, information flow, communication, decision-making and administrative support. Resources are the financial and human resources, relief materials, support equipment, tools and facilities.

Strong capacity can sometimes alleviate resource shortfalls by making more effective use of limited resources.

Figure 1 – Considerations in Emergency Management



8. Capacity, an aspect of emergency management, is sometimes not given adequate priority. Resources are often given more emphasis during both the planning and operational stages since they are a more tangible element. But it is capacity that determines the quality of an emergency response.

9.

Effective emergency management requires that the development and use of capacity be accorded appropriate priority throughout the different phases of an operation.

While much of the required capacity must be pre-existing, capacity can also be developed during an operation.

The key emergency management functions

Introduction

10. Certain management functions are essential throughout a refugee emergency.

These are:

- Leading
- Planning
- Organizing and coordinating
- Controlling

11. These will be required of UNHCR as an organization and also from individuals, at all levels, within UNHCR.

If these functions are not being performed then it is likely that there will be serious deficiencies in the management of the emergency operation.

They always remain the responsibility of the person in overall charge of the operation, though they may be delegated to other staff.

Leading

12. This can be defined as:

The process of creating and communicating a vision for the emergency operation and providing a clear strategic direction for actions even in situations of great uncertainty and risk.

13. Successful management requires leadership; subject to the role of the government, leadership may be the most important single contribution of UNHCR to the emergency situation. Leadership requires that once decisions are reached, they are properly implemented. This discipline is essential in emergencies when there is often no time to explain the considerations involved. As far as possible, those directly concerned should contribute to decisions that affect them, but final responsibility rests with the UNHCR officer in charge.

Planning

14. This can be defined as:

Setting in place the process of assessing the situation, defining immediate objectives and longer term goals and the activities to accomplish them.

15. Planning is vital both before and during an emergency, and operations planning must be based on detailed needs, resource, and participatory assessments with women, girls, boys and men of concern. An essential element of good planning is to include all relevant actors (UN agencies, NGOs, Governments, Local Authorities and Civil Society).

Organizing and coordinating

16. This can be defined as:

Establishing systems and mechanisms to achieve a given objective by coordinating people and organizations so that they work together, in a logical way, towards the common objective.

17. It involves selecting, training and supervising staff, creating a multi-functional team approach to ensure a holistic re-

sponse, assigning and clarifying roles and responsibilities of all those involved and structuring communication and information flow. In an emergency, coordinating within UNHCR and external actors, is a crucial aspect of organizing.

Delegation of Authority and Responsibility

18. Emergency management should be organized so that responsibility and authority are delegated to the lowest appropriate level, and should be exercised as close to the operation or beneficiaries as is practical. Clear and unambiguous lines of authority and reporting should be established and communicated to all staff.

19. The management structure should be organized so that accountability for actions, including management decisions, is clear. Those who make a decision should be those with the appropriate level of knowledge to enable them to make that decision and should be responsible for ensuring its implementation and follow up (including monitoring). The involvement of unnecessary layers of management, and unnecessary numbers of people, in decisions and responsibility for implementation, confuses and diffuses accountability. Ambiguity and lack of simplicity in the definition of responsibilities also slows action.

Controlling

20. This can be defined as:

Monitoring and evaluating performance in comparison with plans and initiating changes where necessary.

21. Note that the key management functions are important not only during emergency response, but also in the preparedness phase. Organization and coordination mechanisms, for example, should be developed during contingency planning.

Stages in refugee emergency operations

22. The table below depicts one model of activities as they may occur in refugee emergencies. It is important to understand that the stages and activities of a refugee emergency operation could overlap, or occur simultaneously.

23. A final phase of an emergency operation is the transition from emergency response to longer-term support, building a community-based approach and durable solutions (voluntary repatriation, local integration and resettlement). The time spent providing emergency relief should be kept to a minimum, and planning and implementation should always take account the longer term. The importance of the balance between short term and long term is seen in a number of vital sectors.

Stage	Typical Activities
Emergency prepared-ness	• Prevention • Early warning • Contingency planning • Development of emergency response systems • Generation of support among potential host and donor governments • Provision of stand-by resources • Pre-positioning of supplies • Training
Emergency response	• Problem, needs, resources and participatory assessments • Community mobilization • Resource mobilization • Handling donor relations and media interest; • Operations planning • Implementation and coordination • Monitoring and evaluation • Transition to the post emergency operation

24. Assisting governments in seeking durable solutions for the problem of refugees is a mandated function of UNHCR. Durable solutions must always be kept in mind, starting at the contingency planning stage. It is in this period that choices are made concerning how, how much,

and for how long, aid will be delivered. How aid is delivered and the role of the different members of the community can strengthen or undermine their capacities for self-reliance. These choices often have repercussions on the prospects for durable solutions that last long after the emergency has ended.

Emergency preparedness

25. The best way to ensure an effective emergency response is by being prepared. Emergency preparedness can be defined as:

Planning and taking action to ensure that the necessary resources will be available, in time, to meet the foreseen emergency needs and that the capacity to use the resources will be in place.

26. The scope of emergency preparedness is broad and the activities at that stage can be undertaken at the global, regional and country levels.

The preparedness measures should enable an organization to respond rapidly and effectively to an emergency.

27. At the global level, UNHCR maintains centrally a range of stand-by emergency response resources. These resources have been developed on the basis of past experience in emergencies. They include staff support, human and financial resources, operational support items and services, and centrally managed emergency stockpiles. The resources are available for deployment at short notice to any area where the need arises. They ensure a minimum and predictable level of global preparedness for emergencies. Moreover, there are also training activities available which can be used for capacity building.

28. For details of these resources, see the Catalogue of Emergency Response Resources (UNHCR, 2006), which is available from Headquarters.

29. The process of contingency planning reduces the lead time necessary to mount an effective response and is a crucial tool to enhance the capacity to respond. Depending on the likelihood of an emergency, the contingency plan should be updated at regular intervals.

At the country and regional levels, early warning and contingency planning are the key preparedness measures. As a rule, these should be developed together with our main partners.

30. The contingency planning (see chapter 4) will allow the identification, in advance, of gaps in resources. A realistic plan may encourage donors and others to provide the missing resources.

31. Contingency planning helps predict the characteristics of the impending emergency – it increases the institutional analytical capacity which can be drawn upon should an emergency occur. It also helps identify the additional preparedness activities which may be required. These may include development or restructuring of the UNHCR organization in the country, emergency staffing, stockpiling, prepositioning supplies and training. Priority should be given to activities requiring longer lead times.

Emergency Indicators

32. An emergency may start with a sudden large influx of refugees, with several thousand persons crossing a border, causing a highly visible life threatening situation. More often however, the onset of an emergency is not so dramatic or obvious, and a situation requiring an extraordinary response and exceptional measures may develop over a period of time. It is therefore essential to be able to recognize if a situation exists (or is imminent) which requires an emergency response, and what are the likely key characteristics (see table 1).

33. The following indicators are measurable and are therefore commonly used as thresholds above (or below) which an emergency situation clearly exists, or to signal whether a situation is under control and whether there is a need for urgent remedial action. The most important of these indicators is the mortality (or death) rate (see chapter 17 on Health for information on how to calculate the mortality rate. More details of the other indicators are given in the respective chapters and in Appendix 2 Toolbox).

Table 1 – Emergency Indicators

Indicator	Emergency Levels
MORTALITY RATE	**> 2 per 10,000 per day**
Nutritional status of children	> 10% with less than 80% weight for height
Food	< 2,100 calories/person/day
Water quantity	< 10 litres per person per day
Water quality	> 25% of people with diarrhea
SitesSpace	< 30 sq. meters per person (this figure does not include any garden space)
Shelter space	< 3.5 sq. meters per person

34. Other indicators may not be so easily quantifiable but may be just as critical, for example, the presence of a physical threat to the refugees or to the standards of human rights which they enjoy. In particular, threats of refoulement should be considered as an indicator of a need for an emergency response.

Emergency Response

35. Emergency response can be defined as:

Immediate and appropriate actions to save lives, ensure protection, and restore the well-being of refugees.

36. Once safe asylum is assured, the priority of emergency management will be life saving activities. Timely and rapid problems, needs and resources assessments will help confirm or identify areas where gaps still exist from the contingency plan which will then be transformed to an operations plan (see chapter 6: Operations Planning).

37. Identification of problems requiring specialist expertise is essential. Most refugee emergencies will require, in addition to protection staff, community services staff and one or more technical experts to coordinate the crucial technical sectors, such as health, food, nutrition, sanitation, water, shelter and infrastructure.

Key References

The UNHCR Tool for Participatory Assessment in Operations, UNHCR, Geneva, 2006

A Framework for People-Oriented Planning in Refugee Situations Taking Account of Women, Men and Children, UNHCR, Geneva, 1992.

- *Contingency Planning – A Practical Guide for Field Staff,* UNHCR, Geneva, 2006.
- Coordination among International Organizations in Complex Emergencies, Disaster Management Training Programme, UN, 1997.
- UNHCR Manual, Chapter 4, UNHCR, Geneva, 1995 (and updates).
- Partnership: A Programme Management Handbook for UNHCR's Partners, UNHCR, Geneva, 1996.

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Contingency planning

CONTENTS

Introduction

1. Contingency planning can be defined as:

A forward planning process, in a state of uncertainty, in which scenarios and objectives are agreed, managerial and technical actions defined, preparedness measures undertaken to mitigate the effects and response systems put in place in order to prevent, or better respond to, an emergency.

The contingency planning process builds organizational capacity and is thus a foundation for operations planning and all aspects of emergency response.

2. It involves a group of people representing UNHCR and partner organizations (a Planning Group) working together to identify and validate the objectives, possible scenarios and to define respective responsibilities and actions and then to follow-up to ensure implementation. It is not a one time planning exercise to produce a single documented plan but rather an ongoing process led by a Planning Group and based around a documented plan. Systematic reviews of the assumptions and scenarios built into the plan and proper implementation of the recommendations of the plan, particularly where preparedness measures are concerned, are essential if the response to a real emergency is to be effective.

3. Contingency planning is a prerequisite for rapid and effective emergency response. Without prior contingency planning much time will be lost in the first days of an emergency.

Contingency planning objective

4. The objective is to identify the additional resources needed to respond to an emergency ie, over and above the resources already allocated to the country or regional programme in the Annual Budgeting Round and to organize existing resources. Once identified it may be necessary to request some funds ahead of the emergency in order to implement any emergency measures recommended in the Plan.

The inter-agency context

5. Since 2005, in the context of an inter-agency approach, UNHCR became responsible for coordinating the protection, camp management and coordination and emergency shelter clusters within a collaborative humanitarian response for new major emergencies, including man-made situations with Internally Displaced Persons (IDPs). Contingency planning and funding for IDP emergencies will be dealt within the Inter-Agency Plan. In which case, the Inter-Agency Contingency Planning Guidelines should be consulted. The guidance in this chapter, therefore, applies to UNHCR Contingency Planning for refugee emergencies only.

Early warning

6. Early warning is the starting point for all planning in anticipation of an emergency. UNHCR Headquarters, (HQ) Geneva, maintains an Early Warning Action Alerts system which classifies countries into four colour-coded categories to signify the immediacy of a potential emergency. These are:

i. Red for potential emergencies considered likely to erupt within the next three months.

ii. Orange for potential emergencies considered likely to erupt within the next six months.

iii. Yellow for potential emergencies considered likely to erupt within the next twelve months.

iv. Blue for countries in which no crisis is foreseen within the next twelve months.

7. Signs of a potential emergency likely to generate refugees are monitored by field offices and HQ desks. This is carried out by monitoring a wide range of sources, such as internal politics of governments, local population, political leaders, media, academia, refugees and international and national organizations. Based on the analysis, from the field and at HQ, the classification of countries is changed accordingly in the Action Alerts system. As soon as a country is classified as yellow or higher then contingency planning, or a review of the existing plan, should begin.

8. In order to maintain a close review of developing situations, it is important that the collection and analysis of early warning information is integrated systematically into the routine work of UNHCR offices. Regular monitoring and reporting, in a consistent format, is an important means of ensuring that trends and patterns are recorded and that any changes indicating population displacements are spotted early and appropriate action taken to plan for possible events.

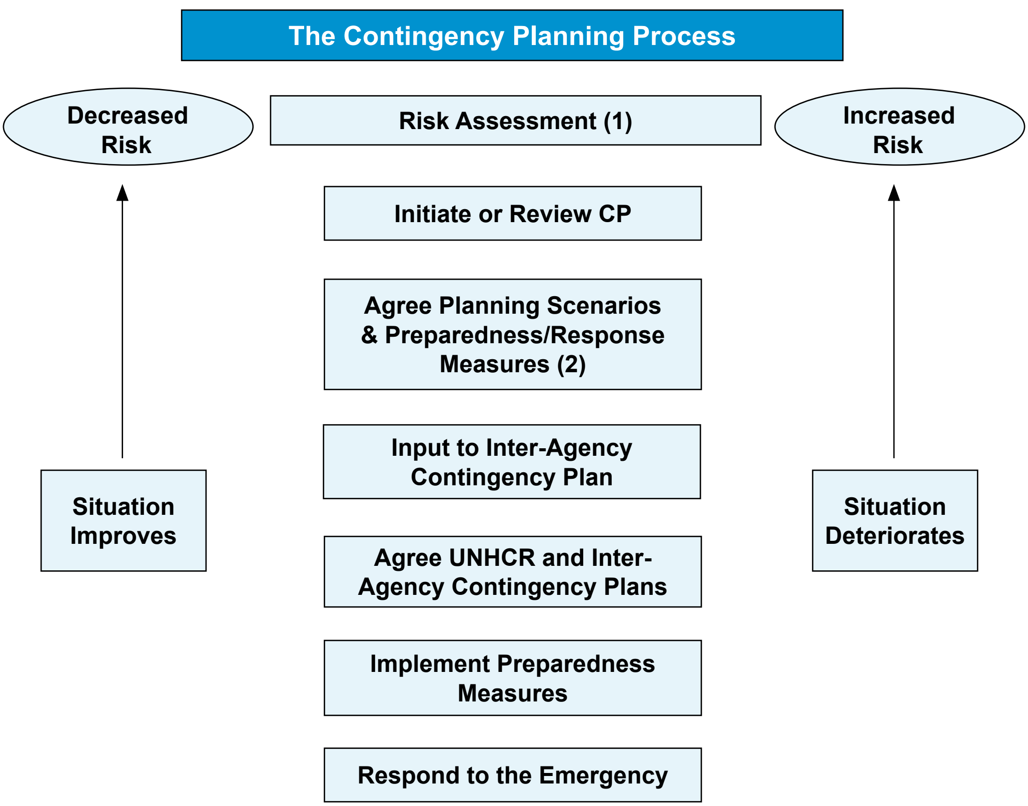
9. As stated above, contingency planning is an ongoing process which should also take place during an existing operation to prepare for a deteriorating situation, such as a new influx or a natural disaster affecting a camp.

When to plan

10. Planning should begin or the process reinvigorated when the country is classified as Yellow within the Action Alerts system, i.e. an emergency situation is considered likely within the next twelve months.

It is better to plan when it is not needed than not to have planned when it is necessary.

Figure 1: The Contingency Planning Process



(1) Reflected in the Action Alerts system maintained in HQ
(2) Where appropriate In consultation with Sister Agencies, Implementing Partners and Government
(3) In reality feedback should occur throughout the process

Responsibility for planning

11. Contingency planning is the responsibility of the field office and is generally undertaken by staff from within a country operation, supported by the Desk as necessary, and requires a core planning group to progress the matter – no one individual can be expected to shoulder the burden. In fast developing situations it may be necessary to request the assistance of an Emergency Preparedness and Response Officer (EPRO), as explained in the Emergency Response Resources Catalogue available from the Emergency, Preparedness and Response Section (EPRS) or on the HCR-Net.

12. The planning group, which should normally be chaired by the Representative or the Deputy, should consist of key decision-making staff from within the UNHCR office, including specialist expertise to provide advice, and results from field visits. Colleagues from sister UN agencies likely to be implicated in a refugee emergency, such as UNICEF, WFP and UNDP and key partners, should also be invited to join the group. Consideration should also be given to inviting government representatives depending on the situation. Whether or not the government wishes to join the Contingency Planning Group it should be kept informed of progress.

The capacity of the actors to respond in an emergency will be enhanced by their previous involvement in the contingency planning process.

13. A UNHCR focal point should be identified with responsibility for calling meetings of the group and maintaining the momentum and to progress recommendations and actions arising from the plan. Additionally, a facilitator and rapporteur for planning group meetings may be required.

14. As Figure 1 shows planning is an ongoing activity. The planning group should frequently review the indicators and expected scenarios before adjusting objectives and courses of action in accordance with developments. A contingency plan represented by a static document creates a false sense of security as it will quickly become out-of-date.

Contingency planning is best achieved through a cooperative and coordinated effort wherein all concerned work together with shared objectives over a period of time.

Contingency planning and operations planning

15. Contingency planning is not the same as operations planning. Both set strategic and sectoral objectives and develop action plans to achieve the objectives. However, contingency planning involves making assumptions and developing scenarios from an unknown point in the future upon which the response to an emergency is based. In operations planning the starting point is known and the planning builds on known needs and resources based on actual field assessment.

Meetings

16. As shown in Figure 1, contingency planning requires that potential scenarios are identified and assumptions made about the possible evolution of the situation towards an emergency. Clearly this requires a high degree of interaction which is best achieved in an initial meeting of the planning group. The agenda of the first meeting should be agreed and include a short (30 minutes) briefing on the UNHCR Early Warning system and the contingency planning process. The objectives of at the first meeting should emphasize the need to brainstorm the agreed possible, as well as most likely, scenarios, and to use this ”planning scenario” to thrash out the sectorial responses to that scenario and the resource requirements. This in essence will be the first step of the contingency planning process.

17. The contingency planning process requires regular meetings to follow-up on the initial draft plan and to ensure that the preparedness measures recommended in the plan are being implemented. Additionally, these meetings should review the assumptions, indicators and scenarios envisaged in the plan and adjust as necessary to reflect the actual evolution of the situation.

18. The views of one agency may differ from others, but this will often benefit the planning process since its diversity of views will provide a useful forum for all assumptions to be questioned and refined. The end product is thus more realistic. While UNHCR may facilitate the meeting, the role and function of each participant must be respected.

19. The output of a contingency planning meeting should be a plan containing the following:

i. identification of scenarios

ii. assumptions and indicators

iii. strategic objectives

iii. sector objectives and activities

iv. resources required for a response

v. recommendations for preparedness measures

Subsequent meetings should review early warning indicators, making changes to the scenarios as necessary, report on actions taken since the previous meeting, and update the existing plan.

Scenario Identification

20. Based on early warning indicators the planning group should develop likely scenarios. This activity is essentially intuitive and based on the experience of the participants but is highly important since it lays the basis for all further planning. In establishing scenarios, assumptions must be made based on best available information. However, removing the element of unpredictability cannot be discounted.

21. The scenario is a kind of benchmark. If the influx is smaller than envisaged, the safety margin will be welcome. If it is larger, the importance of taking urgent corrective action is highlighted.

22. For scenario development:

i. consider all possibilities (be imaginative);

ii. settle for a limited number of options only (2 or 3 options is the norm); and

iii. classify the scenarios into: "worst", "best" and "most likely". The "most likely" will then become the planning scenario.

Policy and strategic objectives

23. The planning group needs to maintain a shared vision of the probable response despite the fact that various partners may hold different policy approaches. Such differences should be identified and understood by all parties, if not reconciled. Whatever the differences, it is essential that the group agrees on the main principles by establishing overall objectives. All activities undertaken in the plan will need to be consistent with these overall objectives.

Sector objectives and activities

24. As this part of the plan is the most detailed it will be helpful to split the planning group into smaller working groups to cover each of these sectors. For each sector the following should be agreed:

i. sector objectives, including standards

ii. main tasks

iii. responsibility for implementing tasks

iv. time frame for implementation and

v. the resource requirements for each sector.

Environmental considerations in contingency plans

25. It is useful to identify, in advance, local environmental issues or concerns which might be relevant to the planned or ongoing operation, so that these can be incorporated into a contingency plan.

Developing such a site-specific plan can help prevent, or at least minimize, irreversible environmental impacts as well as identify environmental hazards which might have an impact on refugee health.

Characteristics of a good plan

26. A good plan should be comprehensive yet not too detailed, finding the proper balance between covering all the important issues yet not flooding the plan with details. It should be well structured, easy to read and, importantly, easy to update and action oriented. It should be laid out clearly showing what needs to be done, by whom and by when.

A short document with a clear structure will facilitate updating.

27. A contingency plan should also achieve a balance between flexibility, so as to remain relevant in spite of changes to the scenarios and specificity for key practical inputs – e.g. pre-positioned stockpiles. The plan must not be overly directive and yet must provide adequate guidance. It should not be expected to act as a blueprint.

28. See Annex 1 for the structure of a typical contingency plan.

Key References

Contingency Planning – A Practical Guide for Field Staff, UNHCR, Geneva, 2006

Inter-Agency Contingency Planning Guidelines

Annex 1: A model structure for a contingency plan

The following is a proposed structure, divided into six parts, of a Contingency Plan for a refugee emergency (adaptation will be required for different scenarios):

Part 1: General situation and alternative scenario forecasts:

- Overview of the situation, current country operations and existing Inter-Agency contingency plans.
- Specify the planning assumptions.
- Elaborate possible scenarios including worst case and best case and the scenario retained as the planning scenario and why?
- Reasons for changing or updating plans and the consequences (eg influxes, returns, impact on local population, staff and refugee security).
- Current host population and refugee population perceptions of UNHCR, UN staff and international workers.
- Expected refugee profile (including estimates by sex and age groups).
- Total planning figure.
- Entry/exit points.
- Potential arrival/dispersal rate.
- Reception and anticipated in-country movement.
- Settlement arrangements.
- Possible triggering events?

Part 2: Scenario indicators

- Likely early warning indicators that will determine if scenarios are becoming more or less likely.
- The focal point for liaison with HQ over the Action Alerts system.
- Frequency of review of the indicators.

Part 3: Policies and overall operation objectives

- Overall policy (strategic) objectives of the program.
- Comments on policy stance of various partners.
- Planning assumptions.

Part 4: Objectives and activities by sector

- Management and overall coordination.
- Staff safety and security.
- Protection and physical security of refugees and populations of interest.
- Identification of groups with specific needs.
- Reception and registration.
- Food.
- Logistics and transport (persons and goods).
- Infrastructure and site planning.
- Shelter.
- Domestic needs and household support.
- Water.
- Environmental sanitation.

- Health and nutrition.
- Community-based activities.
- Camp management and coordination.
- Education.
- Economic activities.
- UNHCR administrative support available (including staffing, vehicles, telecom etc).

Note: Each section should include consideration of sector objectives, needs, resources, activities, existing and proposed preparedness measures, implementation responsibilities, and timing. Activity tables should be used. In addition, all objectives and activities detailed above need to reflect age, gender and diversity analysis and the High Commissioner's policy priorities concerning women, children and the environment.

Part 5: Feedback, maintenance and future action

- Describe how the plan will be updated and revised.
- Who will be responsible for ensuring this will be done and how will the information be disseminated?

Part 6: Recommendations for preparedness measures

- Describe the preparedness measures envisaged and the timescale for having these in place.

Annexes to a contingency plan may include (but not limited to):

i. List of Members of the Planning Group

ii. Maps

iii. Security plan

iv. Registration forms

v. Agency Profiles (details of staff, resources, future intentions)

vi. Gap identification charts

vii. Commodity matrix and specifications

viii. Budgets

ix. Other useful information

Note: As a general rule UNHCR integrates its contingency plans for refugee emergencies into Inter-Agency contingency plans as an Annex. A UNHCR contingency plan must be a component of other partner organizations' plans and as such should be seen as 'the refugee component' of an Inter-Agency plan, not limited to refugee situations alone.

Key References

Contingency Planning in UNHCR – A Practical Guide for Field Staff dated June 2006

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Initial Participatory Assessment: immediate response

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Introduction

1. Emergency assistance must be based on a sound, thorough initial participatory assessment of the refugees' most immediate protection problems and needs and the resources available to meet those needs.

2. The objective of the initial participatory assessment, which includes protection risk analysis and needs, is to provide UNHCR with a clear and concise picture of the emergency situation, in both quantitative and qualitative terms. It should provide enough information to predict the evolution of the emergency, be aware of protection risks, and begin building partnerships with refugees from the start. It is the basis for decisions which affect the future of the operation.

3. More detailed assessments will follow as the emergency develops and needs evolve: assessment never stops.

The initial, and subsequent, participatory assessments are intricately linked with, and will form the basis for, operations planning. The initial participatory assessment will also build on the contingency planning process.

4. The initial participatory assessment should:

- Answer the questions "What is the main problem?" and "Is there an emergency or not?"
- Provide sufficient information to decide whether UNHCR should be involved in the emergency response and what the scope of that involvement should be.
- Be an inter-agency initiative, but with one body providing the overall coordination. The inter-agency multifunctional team should include staff from UNHCR (preferably with solid experience in facilitating participatory assessment), the government and other potential partners (for example other UN agencies, NGOs). The inter-agency multifunctional team will carry out contingency planning and conduct the initial participatory assessment, and analyze protection risks. Often the people carrying out the initial participatory assessment will simultaneously be providing the initial response. Whenever possible, the multifunctional team should include those who will implement the emergency operation in the field.
- Be carried out quickly.
- Provide a full picture of the scope of the emergency, rather than focus on a limited area or sector (it is better to get the whole picture half right).
- Describe the people affected by the emergency (a simple demographic profile).
- Identify the coping abilities of the refugees themselves.
- Identify locally available resources.
- Identify what are the most immediate priorities and who is most at risk.
- Use agreed and appropriate standards against which needs can be measured.
- Involve the refugees, women, girls, boys and men, from the outset by using participatory assessment. Get to know them and understand their protection and immediate needs as they are a key source of information.
- Record the sources of information collected.
- Cross-check information, not relying on only one tool (e.g. aerial surveys cross-checked by on the ground observations and interviews).

- Involve appropriate technical input.
- Use samples and surveys rather than collect too much detailed information which is difficult to analyze.
- Produce recommendations for immediate action indicating the resources needed to implement them.
- Be able to trigger an immediate and effective response.
- Have the results shared promptly and widely.

5. The assessment should, as a minimum, answer the questions in the checklist in Annex 1. This includes essential minimum information required for planning an emergency operation.

6. The initial participatory assessment should focus on priority life threatening problems and protection risks which are usually in the sectors of protection (including SGBV), water, food, sanitation, shelter, health, and the environment. The assessment should measure the actual condition of the refugees against what is needed for their survival and immediate well-being (expressed as "standards"). In addition, it should clearly identify if there are specific groups with heightened risks and needs who require specific support. The resources at their disposal, such as natural resources, should also be assessed.

7. With respect to the environment, the initial emergency phase is the most critical period of an operational response. Decisions made at this time will have a major bearing on both the type and scale of environmental impacts in subsequent operational phases.

8. Some environmental damage is unavoidable during the initial emergency phase. However, where preliminary information indicates the potential for serious environmental impact(s), an environmental specialist should be included in the emergency team. The specialist should conduct a rapid assessment, the findings of which should then be reflected in the basic set-up of the refugee camp.

9. In cases where a specialist has not been assigned to the team, one of the team members should be designated as the "Environmental Focal Point". S/he would then be responsible for ensuring that environmental issues are considered during the development of activities.

10. Setting standards appropriate for the situation is an important prerequisite for needs assessment.

Standards provide a benchmark against which the condition of the refugees can be measured (for some of the minimum survival standards see Appendix 2, Table 1: Key Emergency Indicators). The standards established for emergency assistance must be consistent with the aim of ensuring the survival and basic well-being of the refugees, be fairly applied for all refugees and be respected by all involved.

11. The publication The UNHCR Tool for Participatory Assessment in Operations includes more detailed checklists for assessments and contains practical information on principles, planning, techniques, methods, and forms. Also see chapter 6 on operations planning for an example of a Gap Identification Chart, a useful tool for comparing needs and resources.

Organizing and planning the assessment

12. The initial participatory assessment must be carried out on the spot as soon as it is clear that a refugee emergency may exist. The assessment must involve (when possible) the government and other key actors as a part of a multifunctional team to conduct the assessment. Emergency team members should organize a multi-functional team on the ground to ensure interactive information-gathering with refugee women, girls, boys and men and

to ensure that the information is systematically shared, stored, and used for planning.

13. Immediate access to the area where the refugees are located is, of course, a prerequisite. Getting the assessment underway as soon as possible requires quick, practical steps: establish a presence at, or near, the refugee site for first hand information, discuss and engage with refugee women, girls, boys, and men, and use other available sources of information, mobilize local expertise and resources.

14. While an organized approach is necessary, and if UNHCR is already present, initial action must not be delayed pending the arrival of staff with more expertise.

A quick response to obviously urgent needs must never be delayed because a comprehensive assessment has not yet been completed.

Planning the Initial Participatory Assessment

15. Planning the initial participatory assessment involves setting the objectives, establishing the terms of reference and selecting multifunctional team members. The assessment plan should indicate which information should be collected and the report should make clear if it was not possible to collect that information.

If UNHCR is not already present in the country, the assessment mission will normally be organized by Headquarters.

16. Participatory assessment should start with a review of the existing background information (mission reports, media articles, situation reports, local maps). Ideally, a contingency plan would have been prepared and kept updated and would provide input for the assessment and the immediate response. UNHCR Headquarters – Field Information and Coordination Support Section (FICSS) - can provide maps and geographical information from a computerized database. The maps and information can be tailored to the specific requirements of the assessment.

17. The participatory assessment should aim to begin building partnerships with refugees by holding separate discussions with women, girls, men and boys, in order to gather accurate information on the specific protection risks they face and the underlying causes in order to understand their resources and capacities and to hear their proposed solutions.

Implementing the Initial Participatory Assessment

18. The assessment should involve:

i. mapping diversity
ii. methods of inquiry
iii. selecting themes
iv. facilitating discussion
v. systematizing information
vi. follow-up actions

Mapping diversity

19. To map diversity, inter-agency multifunctional teams should identify the various social groups according to age, sex, ethnicity, power structures, power relations, and specific needs.

Methods of enquiry

20. Teams should decide when to use the appropriate methods for engaging with people concerned: observation and spot checks, semi-structured discussions and focus group discussions. Through observation visits teams can spontaneously ask questions to women, girls, men and boys about their difficulties to get topical understanding of protection problems and about how services and assistance should be designed. Teams should also organize a few discussions with people of concern through semi-structured/household discussions and focus-group discussions. These discussions need not take much time and they will reveal deep-seated protection risks.

Selecting themes

21. Considering the information gathered beforehand and the protection issues identified, teams can determine what kinds of themes should be discussed in separate meetings with refugee women, girls, men and boys of all backgrounds in order to understand their situation from their perspective: health, water, sanitation, food and security may be some of the most urgent topics to discuss.

Facilitating discussions

22. Engage in conversation with refugees on the selected theme by forming separate groups (no more than 10 persons per group) and discuss with them how they see and analyze their situation, protection risks, their capacities to cope, and the solutions they identify to their protection problems.

Systematizing information

23. Using the information gathered, review and discuss in a multifunctional team the data gathered during the discussions and fill out a systemization form (Annex 4 of this chapter) to use for planning the emergency and formulating emergency COP.

Follow-up actions

24. The multifunctional team should take immediate action, thinking preventively and follow-up on commitments and agreements made.

Initial Participatory Assessment tools

25. Tools commonly used in assessments are:

i. questionnaires
ii. checklists
iii. visual inspection

26. A combination of tools is normally used in order to cross-check the conclusions. Questionnaires and checklists (see Annex 1 for a basic checklist and Annex 2 for participatory assessment checklist/steps) are particularly useful because they standardize the approach and force the assessors to plan ahead and decide which information needs to be collected. Observation visits provide general information and can put into context data from more systematic assessments.

Immediate response

27. Gathering information about problems, needs and resources on the one hand, and the establishment of standards on the other, will allow the immediate unmet needs to be determined.

The most urgent actions must be taken with whatever local material and organizational resources are available, even if the information at hand is incomplete.

28. In order to ensure urgent survival needs are met, the most important initial actions are likely to be:

i. ensuring the capacity to act
ii. protection
iii. organizational considerations

Ensure the capacity to act

29. The first priority is to provide the organizational capacity required to meet the needs of the emergency.

Sufficient UNHCR and implementing partner staff of the right calibre and experience must be deployed.

It may be necessary to invoke emergency procedures for the allocation of funds, implementing arrangements, food supply, local purchase, and recruitment of personnel. Along with the government, the resources of other UN organizations, particularly UNICEF and WFP, and of the NGO sector must be mobilized within the framework of a plan for immediate action.

Protection

30. Unless the refugees' right to asylum is assured there can be no assistance programme.

Action must be taken to assure the refugees' right to asylum and to ensure their security and fundamental human rights.

Specific measures may be needed, for example, to meet the special protection problems and needs of groups at risk (unaccompanied children, single young girls, minorities, etc.) and to protect the refugees against arbitrary actions of outsiders and against groups within their own community who may pose a threat to their safety.

31. In order to gain a better understanding of the protection problems faced by refugees, and other people of concern to UNHCR affected by displacement, they must be involved at the heart of decision-making concerning their protection and well-being. Specific measures may be needed, for example, to meet the special protection problems and needs of groups at risk (unaccompanied children, single young girls, minorities, etc.) and to protect the refugees against arbitrary actions of outsiders and against groups within their own number who may pose a threat to their safety.

Organizational considerations

32. UNHCR must establish a presence where the refugees are, with assured communications with the main office and with Headquarters. Organization of the necessary logistical capacity to deliver assistance will be of critical importance.

33. The priority, once problems and needs have been assessed, will be to provide vital assistance wherever the refugees are located. There will also, however, be key organizational or planning decisions to take, some of which may determine the future shape of the whole operation. These often include the points summarized below; decisions on them should be seen as a part of the immediate response.

If such decisions are not taken, or are wrong ,they will be very difficult to correct later.

Protection and material assistance

The location of the refugees

34. This will have a major influence on protection and indeed on all sectors of assistance. If the refugees have spontaneously settled in a scattered manner, they should not be brought together unless there are compelling reasons for breaking their present settlement pattern. If they are already in sites which are judged to be unsatisfactory, move them in coordination with the local authorities and government. The difficulty in moving refugees from an unsuitable site increases markedly with time. Even if those already there cannot be moved, divert new arrivals elsewhere (see chapter 12 on site planning).

Control at the sites

35. Determine the optimum population in advance and plan for new sites accordingly. Keep careful control of actual occupation of the site as refugees arrive, so that sections prepared in advance are filled in an orderly manner.

Numbers and registration

36. An accurate estimate of numbers is a prerequisite for effective protection and assistance. Family registration is a minimum requirement in order to deliver help efficiently to all in need and should be organized as soon as possible. Nevertheless the initial provision of assistance may have to be based on a population estimation rather than full registration (see chapters 11 and 13 on registration and commodity distribution).

Urgent survival needs

37. Meet the most urgent survival needs: food, water, emergency shelter, health care and sanitation, ensuring fair distribution:

i. Involve the refugee women and men and promote their self-reliance from the start. If this is not done, the effectiveness of the emergency assistance will be severely reduced and an early opportunity to help the refugees to start to recover from the psychological effects of their ordeal may be missed.

ii. Food: ensure that at least the minimum need for energy is met, a full ration can follow. Set up special feeding programmes if there are clear indications of malnutrition. Establish storage facilities.

iii. Water: protect existing water sources from pollution and establish maximum storage capacity with the simplest available means. Transport water to the site if the need cannot otherwise be met. Check how groups with specific needs transport their water.

iv. Emergency shelter: meet the need for roofing and other materials from local sources if possible. Request outside supplies (e.g. plastic sheeting) if necessary.

v. Health care: provide the necessary organizational assistance, health personnel and basic drugs and equipment, including for reproductive healthcare, in close consultation with the national health authorities. Although the immediate need and demand may be for curative care, do not neglect preventive and particularly environmental health measures. Ensure female to female health services.

vi. Sanitation: isolate human excreta from sources of water and accommodation.

38. Take steps to meet social needs and reunite families if necessary. Surveys may be necessary to identify people in need but who often do not voluntarily come forward. Tracing may be required particularly for unaccompanied and separated children. If groups of refugees have been separated, they should be reunited. Special measures to ensure the care of any unaccompanied children will be a priority.

39. Once these and other priority measures are underway, begin the wider planning process.

Key References

UNHCR Tool for Participatory Assessment in Operations (2006)

Annex 1 – Checklist for Initial Participatory Assessment

This checklist is based on a refugee influx, it should be modified in the light of the actual nature of the emergency.

Who are the refugees, their numbers, and pattern of arrival

- ◻ Approximately how many refugees are there?
- ◻ Where have the refugees come from? Why?
- ◻ What is the rate of arrival? Is it likely to increase or decrease?
- ◻ What is the total number likely to arrive?
- ◻ What is the location of the arrival points and of the sites where people are settling (latitude and longitude)?
- ◻ Are the refugees arriving as individuals or in groups? Are these family groups, clans, tribal, ethnic or village groups?
- ◻ Are families, village groups and communities intact?
- ◻ How are the refugees organized? Are there group or community female/male leaders?
- ◻ How are the refugees traveling – on foot, in vehicles?
- ◻ What is the sex ratio of the population?
- ◻ What is the age profile of the population? Can a breakdown by age and sex be given – under five's, age 5 to 17 years, 18 years and over?
- ◻ How many unaccompanied and separated children (by age and sex) are there? What is their condition?
- ◻ What was the social and economic situation of the refugee women and men prior to their flight?
- ◻ What are their skills and languages? What is their ethnic and cultural background?
- ◻ Are there individuals or groups with specific needs? Are there particular groups at more risk by the situation? (e.g. persons with disabilities, unaccompanied and separated children or older people in need of support).
- ◻ What are the diet, shelter, and sanitation practices of the refugees?
- ◻ What is the security situation within the population – is there a need for separation between different groups, are there armed groups within the population?
- ◻ Are single women protected or is there a need for special consideration in camp design or shelter provision?
- ◻ What is the formal legal status of the refugees?

Characteristics of the location

- ◻ What are the physical characteristics of the area where the refugees are located?
- ◻ What is the soil, topography and drainage?
- ◻ Is there enough space for those there and those likely to arrive?
- ◻ Is there all season accessibility?
- ◻ Can the refugees access relief assistance from where they are located?
- ◻ What is the vegetation cover?
- ◻ Will the refugees need to use wood for fuel and shelter? Will this cause tension with the locals?

- Approximately how many people already live in the local area?
- Who owns (or has usage rights on) the land?
- Is there grazing land and are there potential areas for cultivation?
- What is the actual or likely impact on the local population and what is their attitude and that of the local authorities towards the refugees?
- Are there security problems? If so, are they different for men and women?
- What environmental factors must be taken into account (e.g. fragility of the local environment and extent to which local community relies on it; how rapidly might it be degraded by the refugees, proximity to protected areas)?
- What is the condition of the local population? If assistance is provided to the refugees, should the local population also be assisted?
- How will fuel be accessed? If it is firewood collection, who collects it and what protection risks are they facing?
- Who collects water and does this present protection risks?

Health status and basic problems (please also see chapter 14 on Health)

- Are there significant numbers of sick or injured persons, is there excess mortality?
- Are there signs of malnutrition? If so, is it different by age and sex?
- Do the refugees have access to sufficient quantities of safe water?
- Do the refugees have food stocks, for how long will they last?
- Do the refugees have adequate shelter? Is there a need to give consideration to child-headed households, older persons etc.?
- What sanitary materials do women and girls use and how can they be best provided?
- Do the refugees have basic domestic items?
- Is there sufficient fuel for cooking and heating?

Resources, spontaneous arrangements and assistance being delivered

- What type and quantity of possessions have the refugees brought with them?

- What arrangements have the refugees already made to meet their most immediate needs? And is it damaging to the immediate environment?
- What assistance is already being provided by the local population, the government, UN organizations and other organizations, is the assistance adequate, sustainable?
- Is the present assistance likely to increase, continue, decrease?
- What is the government's policy on assistance to the refugees?
- Are there any major constraints likely to affect an assistance operation?
- Has contingency planning for this type of emergency been undertaken?
- What coordination and implementation arrangements are required?
- How will the community participate and what, if any, specific measures are required to support women?

Means to deliver protection and assistance

- ◻ Can effective implementing arrangements be made quickly and locally? If not, what are the alternatives?
- ◻ Is there already an identified refugee leadership with whom it will be possible to coordinate the delivery of protection and assistance? Is the leadership representative and fair to men and women?
- ◻ What are the logistical needs and how can they be met?
- ◻ Where will the necessary supplies come from?
- ◻ How will they reach the refugees?
- ◻ How will distribution be monitored?
- ◻ What storage is needed, where and how?
- ◻ Are there essential items which can only be obtained outside the region and whose early supply will be of critical importance (e.g. food, trucks, shelter materials?)
- ◻ What are the needs for UNHCR and implementing partner staff and staff support?

Annex 2: Potential protection risks: a non-exhaustive list

General profiles

- gender (where there is gender discrimination);
- age group;
- stage in the refugee cycle (new arrivals, earlier arrivals);
- socio-economic group (poorest, middle-income, highest-income);
- ethnicity (in relation to other more dominant groups or in relation to host communities);
- religion (where different from other groups or the host population);
- type of household (extended family, single-headed, grandparent-headed, etc.);
- location in camp/area (proximity to police posts, proximity to the periphery, danger points);
- health status (malnutrition, poor health, chronic illness, disabilities, etc.);
- educational level (literacy, skills, including language skills);
- livelihood activities, access to and control over resources.

Physical risks:

- refoulement;
- arbitrary arrest/detention;
- torture, abduction;
- inadequate shelter, inadequate heat, clothing;
- inadequate food and/or means of its preparation;
- inadequate quantity and quality of water per person;
- inadequate availability of firewood;
- severe health risks and epidemics, inadequate access to medical services;
- political violence;
- physical violence, sexual and gender-based exploitation and violence;
- forced military recruitment;

- rape (in camp/prison, during flight, or in host country);
- domestic violence, abuse, neglect;
- early pregnancies;
- natural disasters (fire, flood, earthquake, landslides, etc.)
- trafficking.

Social risks:

- lack of recognition as a person, absence of documentation (identity, birth, marriage papers, etc.);
- lack of access to refugee registration process;
- social discrimination/exclusion;
- sexual exploitation, risk of forced prostitution;
- discriminatory practices on the basis of gender, age, religion, tribe, clan, political affiliation, etc.
- exposure to abuse and exploitation, particularly of children, youth, unaccompanied and separated children;
- separation of children (female and male) from their families;
- lack of access to basic education;
- disability;
- forced interruption of education, exclusion, marginalization;
- forced military recruitment.

Economic risks:

- no access to a means of livelihood (e.g. employment, piecework, agriculture);
- single parents looking after young children unable to leave the home to find work outside;
- lack of labour power – those who are incapable of work and not living with relatives are likely to suffer more than the rest of the population of concern;
- exploitation of refugee labour by local or refugee employers;
- exploitation of refugee labour by local officials, etc.

Potential risks associated with cultural practices:

- female genital mutilation, early marriage, bride price, etc.;
- traditional justice systems.

Annex 3 – Themes and sample questions on protection risks

Livelihoods

- What skills do women and men have that will enable them to earn an income?
- How much time do women and men have to engage in income-generating activities?
- Who does what in the community and how much time does it take?
- Do women face problems of lack of access to markets, supplies, technology, credit, skills training, and information, and lack of decision-making powers? Do men face similar problems?
- Who has access to various resources (e.g. who has jobs, access to markets, access to materials such as firewood)?
- Who decides how resources are used? Who decides to integrate locally and who decides to return?
- What is the impact of these problems on girls, boys, adolescents, women, men?

Education

- What do girls and boys do with their time?
- Who goes to school? Who does not get to go to school?
- What do girls who do not go to school do with their time? And boys?
- What do girls who do go to school do outside school? And boys?
- Are you afraid (are your children afraid) of going to school or of anything at school?
- Who stays at home? Who is in charge? What is the impact on the family?
- How are girls and boys looked after if they remain behind to attend school when the parents return home?

Community participation

- Do women participate in committees? Why not or how often? Do children participate in committees?
- Can women make decisions? What do women think about that? And men? What is the impact in the community?
- What would women and men like to do differently? How would you go about change?
- How do women and men participate in reconstruction of their home country or in decision-making when settling locally?

Health/food/nutrition/water/shelter

- What types of health problems are most widespread in the community?
- Who takes care of people when they get sick?
- Who do people go to see when they are not well? What happens if they get sick at night or over the weekend? What types of health problems are covered? Which are not covered?
- Are there children in the community who do not get appropriate food? Other persons without proper/enough food? Are there malnourished children in the community? How are they treated? Can we visit them?
- Do pregnant and lactating women eat differently from other household members?

- How do you use water? How do you maintain personal/community hygiene?
- How could houses and neighborhoods be kept clean so as to avoid health risks? What is the lay-out/design of living arrangements? Town/camp?

Security and safety

- What are the dangers that you experience in this environment?
- Do you feel that your physical safety and security are at risk? At what time? Why?
- What is the source of the danger? Who is involved?
- What do you worry about when you leave your home?
- What do you worry about for your children/husband/wife?
- Are you aware of any incidents/problems that have threatened your friends or neighbours?
- How can you put a stop to domestic violence?
- Does violence occur? What types of violence?
- What do men think about it? And women? Girls and boys? What do you think about it?
- What can be done about it?
- Where does the violence occur? (See below.)

Coping with risks and developing solutions

- How do you think the situation could be improved? How do you and your neighbours cope with these risks?
- What do you do to protect your children?
- What services or activities are available to you to help address these risks? How can they help?
- How in your culture/traditions were such problems dealt with/avoided before your displacement? How can that can be applied now?
- Would you be willing to help in improving the situation? How do you think you could help?

Prioritizing risks:

- Of all the issues just discussed, which do you consider the most important/urgent?
- Who should be involved?
- What might the community do to address this concern?

Annex 4: Systematization form for each sub-group discussion (Source: UNHCR CDGECS Section)

Group: ___________________ Subgroup: (Sex:__________ Age group:_____)

No. of people:_____ Facilitators:______________________

Date: ___________________________ Location:___________________________

Country: _______________________

Protection risks/incidents	Causes	Capacities within the community	Solutions proposed by subgroups	Most important issues to address as expressed by people of concern	Urgent Follow-up action

6

Operations Planning

CONTENTS

Introduction

1. An emergency response requires good planning. An important aspect of planning, particularly in an emergency situation, is the development of an operations plan. The "Operations Plan" is a vital management tool which should be based on a problems, needs and resources assessment.

The plan should determine programme priorities, set objectives, and specify actions that need to be taken by the actors responsible for the various sectors of an operation.

Specific tasks in an emergency and the parties responsible for the implementation of these tasks need to be clearly identified and a plan formulated in a clear and concrete way.

At the start of an emergency there is a tendency to postpone planning, both because information is not available and because there are obvious urgent needs which can be met piecemeal, without a plan. This tendency should be resisted.

2. The more critical the situation, the more important it is for the operations manager to find the time to take stock, determine priorities and develop a plan for what needs to be done, when, by whom and how.

3. Ideally, the operations plan should make use of the contingency planning process, partners identified, and resources prepared, as well as the plan itself. As the same principles of planning apply, the structure of the operations plan can be based on the contingency plan (also attached here as Annex 1). There are a range of additional considerations beyond what is included in the Contingency planning format, many of which will be addressed over time. However, the main differences between contingency planning and operations planning and the characteristics of a good plan are discussed in chapter 4 on contingency planning. The tasks and approach will be different primarily because of assessments – in operations planning, the starting point is known and assessments of the situation replace the contingency planning scenarios and many of the assumptions.

4. The participatory assessment with refugees should form the basis for the operations plan. They are the single most important resource in meeting their own needs, and will have definite ideas on how this may best be done. The plan must strengthen the refugees' own resources and self-reliance and avoid creating dependency. The plan should also reflect the aim of a durable solution.

5. The operations plan must be comprehensive, identifying all problems, needs and resources whether these are met through UNHCR or by other organizations and sources of funds. Drawing up the operations plan should be a multi-functional team effort. Clear direction must, however, come from the government and/or UNHCR.

The most effective operations plans are those developed by or with the people who will implement them.

6. Although the plan should be comprehensive, this should be balanced by the need to produce the plan quickly, so that in rapidly evolving emergencies the plan will not become outdated before it is finished. In addition, lengthy plans can be difficult to update. Characteristics of a good plan are discussed in paragraphs 23 to 25 of chapter 4 on contingency planning.

7. It should be stressed that, as with contingency planning, operations planning is a process.

A plan, as a document, represents the outcome of the process. It should be kept updated in light of the evolving situation: implementation of the plan should be monitored and corrective action taken, and the plan should then be adjusted and revised. The operations plan must be made available to all who need it.

8. This chapter focuses on operation plans developed with partners. However, planning within the office should not be neglected. Simple plans of action at each administrative or office level within UNHCR should also be drawn up, from site to Headquarters, tying in with the overall operations plan and involving the same principles. These are: clarifying objectives, allocating responsibilities, defining activities to achieve objectives, and defining coordination mechanisms such as staff meetings (discussed in chapter 20 on administration and staffing).

Operations planning tasks

9. Operations planning involves the tasks set out below:

i. Review existing plans and information in the contingency plan;

ii. Assess problems, protection risks needs and resources: identify critical unmet needs using age, gender and diversity analysis.

The problems, protection risks, needs and resource participatory assessments determine what must be done, and where the priorities are; this is part of planning. Plans must be updated to take account of new assessments and progress in implementation. Identify critical unmet needs using the results of the participatory assessments and compare these with established standards – the determination of the standards to which assistance should be delivered is of fundamental importance. The resources which are available and those that are required must also be identified. Resources includes human resources, and personnel, local and international implementing and operational partners including material resources.

At the early stages of a major emergency, it is unlikely that resources will be sufficient to meet all needs, thus prioritization with the refugees will be an important part of operations planning.

iii. Set overall goals

The overall operation and strategic goals must be protection based and defined and clarified. All other objectives and activities should be consistent with these overall objectives. In formulating objectives, the single most important question to ask is, "What is the intended result?" Objectives should be specific, measurable, achievable and realistic, and the time frame within which they should be reached should be specified.

iv. Clarify planning assumptions

It will also be necessary to clarify the main constraints, planning assumptions and principles behind the emergency operation. These should be set out explicitly, including an explanation of the role, responsibilities and policies of the government, UNHCR, other UN organizations and operational partners. In addition, standard or established procedures, such as monitoring and coordination mechanisms, MOUs etc. should also be set out. Similarly, standards in various sectors and any specific guidelines necessary should be specified (where the plan includes objectives, outputs and activities on a sector by sector basis). Although these issues should have been in the contingency plan, they will need to be revisited in the light of the problem and needs assessments, and restated as necessary to new partners, so everyone is working with the same assumptions and to the same standards.

v. Determine the courses of action to reach overall objectives (implementing arrangements)

Consider various options to reach objectives, their advantages and disadvantages; which are flexible, which are the most efficient and effective? Choosing an option for implementing arrangements which retains flexibility is important in a rapidly changing situation. Chapter 8 on implementing arrangements discusses this in more detail.

vi. Determine objectives and courses of action to reach objectives at sector level

Decide on the objectives, activities and outputs for each sector. As with contingency planning, this is the most detailed part of the plan. The organization with operational responsibility for a particular sector or site should draw up the plan of action for that sector or site. Ensure that each sector clearly outlines how the different needs of women, girls, boys and men will be met and highlight targeted action to empower women and other discriminated groups.

vii. Allocate responsibilities

Responsibilities, both within UNHCR and between different actors in the operation, need to be clearly stated.

viii.Determine coordination mechanisms

Coordination mechanisms should be established between the different actors in the operation. Coordination at different geographical levels (e.g. at the site and in the capital or regional city) needs also to be assured. In a large operation, it may be necessary to have separate coordination mechanisms for sectors.

ix. Determine monitoring mechanisms

From the start, the management of a refugee emergency must include continuous monitoring (by measuring the indicators of performance) together with the community, reporting and evaluation in order to ensure that the objectives remain appropriate as circumstances change, and the activities to fulfill the objectives are being carried out effectively.

x. Record and disseminate the plan, monitor progress, take corrective action, and adjust and revise the plan

Effective Planning Guidelines for UNHCR Teams (updated in June 1999) provides the most effective and efficient way on managing the planning process at all levels of an operation. The assumption is that better planning processes lead to better quality results delivered on time, in a cost effective manner.

Allocation of responsibilities

Gap identification chart

10. A gap identification chart is a simple but very important and useful tool to allocate responsibilities effectively and identify the critical unmet needs of the refugees site by site and sector by sector. It illustrates who is responsible for what in an operation (by site and sector) and points out gaps where a sector or site needs attention. Figure 1 shows an example where the blanks indicate “gaps” i.e. sites or sectors for which nobody has responsibility. These would need to be given priority attention. Annex 2 shows a blank chart that can be used.

Roles and tasks

11. The roles and tasks of all involved must be clearly stated. Delay in defining responsibility usually leads to each party defining goals independently and setting their own limits of responsibility. This in turn can lead quickly to confusion, gaps and duplication. Responsibilities should be defined for each administrative level, and for both organizations and individuals. How responsibilities are allocated to individuals is discussed in chapter 20 on administration and staffing.

12. Responsibilities are allocated to different organizations in a refugee emergency primarily through organizations’ mandates, international instruments and pre-existing MOUs between organizations.

13. The responsibilities and roles, in response to the specific needs of the emergency situation and capacities of the dif-

ferent parties, are defined in more detail on the ground. These are set out in implementing agreements with implementing partners, MOUs and exchange of letters with other UN agencies, and agreements with the government.

If formal agreements have not yet been drawn up and the basis of cooperation remains a Letter of Intent, the definition of responsibilities contained in the operations plan is to be considered the primary reference.

See Annex 1 of the chapter 8 implementing arrangements for a format of a Letter of Intent.

14. The responsibilities of organizations delivering assistance but which are not implementing partners of UNHCR must also be defined. This may create problems, particularly where individual NGOs wish to have responsibility for a specific sector. Final authority rests with the government, and the Representative or the operations manager should consult closely with the authorities. To the extent possible, however, any conflict of interest should be resolved within the framework of a coordinating mechanism.

Figure 1 – An example of a Gap Identification Chart

	Site 1	Site 2	Site 3
Overall site management	Agency M	Agency M	Agency R
Protection	UNHCR	UNHCR	UNHCR
Food distribution	Agency B		Agency K
Shelter	Agency B	Agency Y	
Water	Agency W		Agency W
Health		Agency H	Agency H
Etc.			
Prevention and response to SGBV			
Unaccompanied and separated children			

Annex 1 – A model structure for an operations plan

Based on the problem, needs and resources assessments

The following is a proposed structure for an operations plan. It is based on a refugee influx. Adaptation will naturally be required for different situations.

Chapter 1: General situation

i. Background, country information and results of participatory assessments by age and sex
ii. Entry points
iii. Agreed planning figures
iv. Arrival rate
v. Reception and in-country movement
vi. Settlement arrangements
vii. Demographic profile of the refugees, including data disaggregates by age and sex

Chapter 2: Policies and overall operation objectives

i. Overall policy (strategic) objectives of the programme
ii. Comments on policy stance of various partners

Chapter 3: Objectives and activities by sector

i. Management and overall coordination; allocation of responsibilities
ii. Protection, reception, registration, security
iii. Identification of groups with specific
iv. Food
v. Logistics and transport
vi. Infrastructure and site planning
vii. Shelter
viii. Domestic needs, sanitary materials and household support
ix. Water
x. Environmental sanitation
xi. Health and nutrition
xii. Community-based activities
xiii. Prevention and response to SGBV
xiv. Education
xv. Economic activities
xvi. Support to the operation, administration, communications, staff support and safety

Each section should include overall sector objectives, and site by site objectives and outputs, problems, needs, resources, financial requirements, activities, implementation responsibilities and timing.

Chapter 4: Procedures for updating the operations plan

Describe how the plan will be updated, who will be responsible for ensuring this and how the information will be disseminated.

Possible annexes

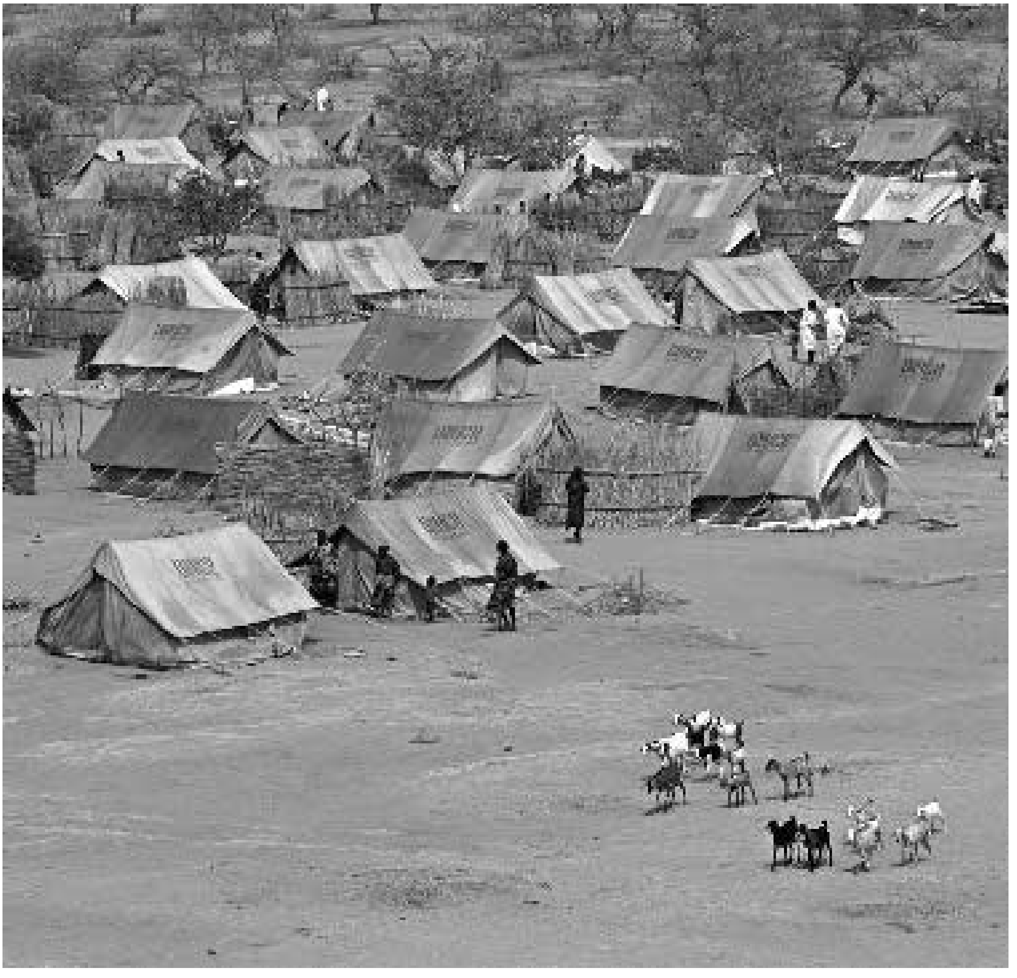
i. Maps
ii. Registration forms
iii. List of organizations or individuals participating in the operation
iv. Agency profiles (details of staff and resources involved in the operation)
v. Gap identification charts
vi. Commodity specifications
vii. Budgets

Annex 2 – Gap Identification Chart (blank)

	Site 1	Site 2	Site 3
Overall site management			
Protection			
Registration			
Shelter			
Water			
Health			
Nutrition			
Sanitation			
Distribution			
Other			

7

Coordination and Site Level Organization



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Coordination

Introduction

1. Coordination can be defined as the harmonious and effective interaction of people and organizations towards a common goal.

2. Good coordination should result in:

i. maximum impact for a given level of resources;
ii. elimination of gaps and overlaps in services;
iii. appropriate division of responsibilities; and
iv. uniform treatment and standards of protection and services for all the beneficiaries.

3. For effective coordination appropriate approaches and structures will need to be put in place at the various levels. Coordination requires good management and clearly defined objectives, responsibilities and authority.

Coordination is not free: it has costs in terms of time and other resources needed to make it work.

Coordination of the UN response to refugee emergencies

4. Within the UN system the responsibility for refugees lies with UNHCR. Therefore, in refugee emergencies UNHCR should take the lead to ensure effective coordination and is responsible for coordinating the response of the UN system to the emergency.

Mechanisms for coordination in refugee emergencies

5. Effective coordination is the result of sound management. Coordination mechanisms set up without the establishment of clear objectives and assignment of responsibility and authority will be ineffective. Coordination must be based on good information exchange, particularly with the site level, otherwise it may even be counter-productive.

6. Mechanisms for coordination include:

i. international and regional instruments and agreements which define responsibilities and roles at the global (and sometimes regional or country) level;
ii. Memoranda of Understanding and exchange of letters with other agencies, and agreements with implementing partners and host governments, defining responsibilities and roles at the situational level;
iii. a coordinating body;
iv. sectoral committees as necessary;
v. regular meetings;
vi. reporting and information sharing;
vii. joint services and facilities, for example, vehicle repair services, communications, and a joint staff security group; and
viii. codes of conduct for organizations working in humanitarian emergencies.

7. Whatever the implementing arrangements, a single coordinating body should be established for the operation – for example, a task force, commission, or operations centre.

8. The coordinating body will provide a framework within which the implementation of the programme can be coordinated and management decisions taken. The coordinating body should have clearly defined and well promulgated responsibility and authority.

9. The elements of a coordinating body, including membership and functions, are described in Annex 1. Tips for running meetings, including coordinating meetings are given in Annex 2.

10. Where a coordinating structure does not already exist, UNHCR should, in cooperation with the government, take the lead in setting up the coordinating body

and mechanism. This is a crucial component of UNHCR's leadership role. The coordinating body may be set up and chaired by the government with strong support from UNHCR, or be co-chaired by the government and UNHCR, or be chaired by UNHCR alone.

11. The membership of the coordinating body should include government ministries and departments, as well as other UN agencies, NGOs and other concerned organizations. It is important to coordinate the activity of all NGOs – whether they have entered into an implementing agreement with UNHCR or not. In a large scale emergency with a number of actors, the coordinating body could become unwieldy. However, it should still be possible to ensure some degree of representation or participation on the coordinating body by all actors either directly, or on sectoral committees, or through close working partners who are represented on the coordinating body.

12. The coordinating body should hold regular, formal meetings during which overall progress is reviewed and plans adjusted. These meetings should be complemented by informal contacts with members of the coordinating body.

13. When required, the coordinating body should create sectoral committees, for example for health and nutrition. Such committees will be responsible for coordinating implementation in that sector and reporting back to the coordinating body. They could also play an important part in the development of specific standards for the delivery of assistance. When the operation is sufficiently large, a sectoral committee could be coordinated by a UNHCR sector coordinator.

14. A coordinating body can also be of considerable value when new agencies arrive, both in integrating their assistance in the overall programme and with practical administrative arrangements and briefing.

15. Coordination must be based on good information exchange, particularly with the site level. The framework for the organization and coordinating mechanisms at the site level is likely to broadly reflect that established centrally. To get information passed vertically between central level and site level can be as hard as getting information passed between organizations. Each organization should be responsible for ensuring that there is good communication between its staff at site level and centrally, and that important information is then passed on to the coordination body.

The collaborative response to Internally Displaced Persons (IDPs) and other complex emergencies

16. Other than refugee emergencies, UNHCR might be called upon to operate in situations of internal dispalcement caused by conflict and so-called "complex emergencies". The "Guiding Principles[1] on Internal Displacement" define internally displaced persons as individuals or groups of persons who have been forced or obliged to flee or to leave their homes or places of habitual residence, in particular as a result of or in order to avoid the effects of armed conflict, situations of generalized violence, violations of human rights or natural or human-made disasters, and who have not crossed an internationally recognized State border. A complex emergency can be defined as: **a multi-faceted humanitarian crisis in a country, region or society where there is a total or considerable breakdown of authority resulting from internal or external conflict, sometimes compounded by natural calamities and which requires**

[1] Unlike in the case of refugees there are no specific conventions relating to the status, rights and duties of IDPs as well as the roles, responsibilities, and mandates of governments and international organizations towards IDPs. The full text of the "Guiding Principles on Internal Displacement" can be found on RefWorld (CD-ROM and on www.unhcr.org/refworld).

an international response that goes beyond the mandate or capacity of any single agency and/or the ongoing UN country programme.

17. Likely characteristics of both Internally Displaced Persons and complex emergencies include:

i. a large number of civilian victims, populations who are besieged or displaced;
ii. human suffering on a major scale;
iii. substantial international assistance is needed and the response goes beyond the mandate or capacity of any one agency;
iv. delivery of humanitarian assistance is impeded or prevented by parties to the conflict;
v. high security risks for relief workers providing humanitarian assistance; and
vi. relief workers targeted by parties to the conflict.

18. In complex emergencies involving refugees and mixed IDP-refugee caseloads, UNHCR will remain solely responsible for protection and assistance activities on behalf of the refugees. As the cluster lead, UNHCR might either directly assume or delegate to another agency the responsibility for a) protection, b) emergency shelter, and c) camp coordination and camp management for conflict generated IDPs.

However, it remains accountable to the ERC that effective protection and assistance is being delivered.

The cluster approach

Introduction

19. In 2005, in the context of UN reform, a review was undertaken which found that the humanitarian response to crisis situations is sometimes slow, inadequate and unpredictable. The review confirmed capacity gaps in key sectors and recognized need for improved cooperation and partnerships between the agencies of the UN system, the Red Cross/Red Crescent movement and Non-Government Organizations (NGOs). In order to build a stronger and more predictable standing humanitarian response system the "Cluster" approach was introduced for new major emergencies. Under this framework the following clusters and "cluster leads" were designated:

Cluster Field	Cluster Lead
Nutrition	UNICEF
Water and sanitation	UNICEF
Health	WHO
Camp coordination and management	UNHCR (For conflict-generated IDPs) IOM (For natural-disaster generated IDPs)
Emergency shelter	UNHCR (For conflict-generated IDPs) IFRC(For natural-disaster generated IDPs)
Protection subgroups	UNHCR (For conflict-generated IDPs) IFRC(For natural-disaster generated IDPs)
Logistics	WFP
Telecoms	OCHA for overall Process Owner UNICEF for Common Data Services WFP for Common Security Telecommunications Service
Early Recovery	UNDP

Responsibilities of the cluster lead

20. The general responsibility and accountability of cluster leads entails:

i. preparedness for response to new crisis and certain current crisis;
ii. capacity assessment and developing capacity within the cluster; and
iii. commitments to contribute to these functions and mechanisms for delivering on commitments.

21. As the "port of first call and the provider of last resort" the cluster lead is

responsible for providing an adequate response to the needs of the beneficiaries in a given cluster.

However, the cluster lead might delegate its lead and coordination role at the Field level to another agency which is better placed to perform its duties.

The cluster lead also needs to engage and mobilize all members of the cluster in a collegial and collaborative manner in order to provide effective protection and assistance to IDPs.

Accountability

22. At the global level, cluster leads are accountable to the Emergency Relief Coordinator. At the country level, however, cluster leads are accountable to the Humanitarian Coordinator for ensuring adequate preparedness and effective responses in the sectors or areas of activity concerned.

23. The Emergency Relief Coordinator (ERC), appoints a "Humanitarian Coordinator" for countries facing an IDP situation or a complex emergency, and is supported by the Office for the Coordination of Humanitarian Affairs (OCHA). At the country level, the Humanitarian Coordinator retains overall responsibility for ensuring the effectiveness of the humanitarian response and is accountable to the Emergency Relief Coordinator (ERC).

24. Other partners of the collaborative approach are the government and local authorities, the IASC Country Team, i.e. the UN agencies, international organisations, Red Cross/Crescent Movement, and international and local NGOs, donors and bilateral agencies.

25. The UNHCR Representative remains directly responsible to the High Commissioner on all issues related to the UNHCR country programme, as well as policy matters and issues related to UNHCR's mandate.

The protection of refugees must remain the sole prerogative of the High Commissioner. However, in his/her capacity as "cluster lead" the UNHCR Representative supports the Humanitarian Coordinator and the Inter-Agency Standing Committee Country Team.

26. In whatever function and situation, it is important to understand that UNHCR, as part of the UN system, has to be an effective team player that delivers on the commitments made by the High Commissioner in the UN and Humanitarian Reform process. As a member in all relevant clusters it has to support their respective leads. As a cluster lead itself, UNHCR has to discharge its functions effectively and with full respect to the mandates, capacities, and cultures of the other partner organizations. It has to show due respect to the national authorities and should not attempt, willing or unwillingly, to assume roles and responsibilities which rest with the authorities.

Organization at the site level

Introduction

27. The framework for the organization and coordinating mechanisms at the site level are likely to reflect broadly those established centrally. However, there is one fundamental difference between the site and central levels: at the site level the refugees themselves should play a major role.

The organization of the humanitarian response should support the refugee community to enhance their own abilities to provide for themselves.

28. A clear understanding of the aims and objectives of the emergency operation and proper coordination are even more important at the site level than centrally, for it is here that failures and misunderstandings will directly affect the refugees.

Of particular importance will be the adoption of common standards when a number of organizations are providing similar assistance.

Regular meetings of those concerned are essential. There should be an overall coordinating mechanism chaired by the government authority, UNHCR and/or an operational partner, and this mechanism may be complemented by sectoral/cluster committees.

29. Certain activities are interdependent or have a common component and will need particularly close coordination at site level. For example, environmental sanitation measures must be closely coordinated with health services, and the home visiting component of health care with feeding programmes and community services.

30. A rapid changeover of outside personnel can create major problems for site level coordination, though some specialists may obviously be required for short periods. The importance of continuity is proportional to the closeness of contact with the refugees. Operational partners at the site should have a standard orientation and briefing procedure to ensure continuity of action and policy despite changes in personnel.

Community organization

31. The importance of preserving and promoting a sense of community is stressed in chapters 11 and 12 on community based approach and community services and site selection/planning. The approach to thinking about and understanding site and community organization should be from the smallest unit – the family – upwards, rather than imposed from the largest unit downwards, which would be unlikely to reflect natural or existing community structures and concerns.

32. The basic planning unit for site organization and management is likely therefore to be the family, subject to traditional social patterns, and changes caused by displacement (e.g. numbers of unaccompanied and separated child and grandparent headed households, single women, especially women). Larger units for organizational and representational purposes will again follow the community structure. For example, the next level up is likely to be community units of about 80 to 100 people, grouped according to living arrangements, followed by groups of communities of about 1,000 people. It is important to respect the needs of minority groups and be sensitive to any tension in the city. Different settlement services are decentralized to these different levels – e.g. water and latrines at household level, and education and health facilities at community and larger levels. The physical layout of the site will have a major influence on social organization.

Generally, the smaller the settlement the better – the overriding aim should be to avoid high density, large camps

Community participation

33. Refugee women, girls, men and boys must be involved in designing and planning measures to meet their needs and in implementing those measures. The way the community is organized can help ensure that the refugees' specific skills are made use of and that the personnel for services at the site will come from the refugees.

34. There are three levels of refugee involvement. The first is in the overall planning and organization, for example the determination of what is the best, and culturally most appropriate, solution to a problem, given the constraints of the situation. This level requires that the refugees have a social organization within their community that is properly representative of women and men of all age groups and backgrounds. As the previous social structures may have been severely disrupted, this may take time to re-build but will be

important to the success of the emergency operation and for the future of the refugees. Meanwhile, urgent action to meet evident needs must of, course, be taken.

35. The second level of involvement is in the practical engagement of refugees' skills and resources wherever possible in the implementation of the operation. The refugees themselves should run their own community as far as possible but special attention is required to ensure respect for individual rights and gender equality. Where suitably qualified or experienced refugees exist, such as nurses, teachers and traditional health workers, they must obviously be involved. Where they do not, outside assistance should ensure that refugees are trained to take over from those who are temporarily filling the gap. Other services include feeding programmes, sanitation, (maintenance and cleaning of latrines, drainage, garbage disposal, vector control, etc.) construction (shelters and communal buildings) education, tracing and general administration. Note that an outreach programme to identify women and adolescents, who often have the necessary skills, might be necessary.

36. At the same time, other traditional skills – for example in construction or well-digging – should be harnessed. It is important to study roles and responsibilities to see what women and men do to ensure implementation builds on these skills and supports gender equality. While specific measures to develop self-reliance will vary with each situation, their aim should always be to avoid or reduce the refugees' dependence on outside assistance. The more successful measures are generally those based on methods and practices familiar to the refugees.

37. The third level is in providing information to the community on life in their new situation, which may be markedly different from their previous experience. Public health education in such matters as the importance of hygiene in crowded conditions, mother and child care and the use of unfamiliar latrines is an example. As another example, if unfamiliar foods or preparation methods have to be used, then immediate practical instruction is essential. Information and guidance of this sort are best given by the refugees themselves (including women and youth), with outside assistance. Information and increased awareness regarding their rights and obligations and the roles of the different actors protecting and assisting them is essential.

Refugee representation

38. Refugee settlements are not, typically, simple replicas of former community life, and large numbers of refugees may be living temporarily outside their traditional community leadership structures. However, in nearly every emergency, some refugee leaders, spokespersons, or respected elders will be present. It will be necessary to define with the community the method of choosing leaders to ensure fair representation with gender parity and meaningful participation in both the planning and implementation of the emergency programme. The more the settlement differs from former community life, the more important this action is likely to be to the success of the programme.

However, be aware that some new power structures might emerge, for example through force, and may exercise de facto control over the population, but may not be representative.

39. The system of refugee representation should:

i. Be truly representative of the different interests and sectors of the community, and of both men and women.

ii. Include various levels of representatives and leaders to ensure adequate representation and access for individual refugees particularly minority groups and those with specific needs.

iii. Avoid unconscious bias, for example on the basis of language. Bear in mind that there is no reason why a refugee should be representative of the community simply because he or she has a common language with those providing outside assistance.

iv. Be based on traditional leadership systems as much as possible but provided these allow proper representation (for example, if the traditional leadership system excludes women, there should nevertheless be women representatives) and the system respects the rights of individual members of the city.

v. Be consistent with the physical divisions in the layout of the site.

vi. Represent the interests for children and include adolescent girls and boys.

Camp coordination and camp management in IDP situations

Introduction

40. Although UNHCR is the designated cluster lead for Camp Coordination and Camp Management (CCCM), in reality, there are at least three main actors with specific roles and responsibilities:

Actor	Responsibility
Governments and national authorities	Camp administration (supervision)
UN Agencies/ International Organizations designated as IASC 'cluster' leads	Camp coordination
Camp Managing Agency, normally national or international NGOs	Camp management

Camp coordination

41. Camp coordination takes place at two levels: at the inter-camp (or national) level and at the level of an individual camp. Camp coordination is used to describe all responsibilities linked to the lead development of national or regional plans, including exit strategies and solutions. It must ensure that international standards are applied and maintained (including training all personnel on the Secretary General's Bulletin on SEA and Code of Conduct); and that service providers (Implementing Partners/Operational Partners) are identified, designated and mainstreamed on age, gender and diversity perspective. The monitoring and evaluation of service provision should be carried out in coordination with the women, girls, men and boys of the community. Advocacy and interface with national authorities at all levels, in order to create the humanitarian space necessary for an effective delivery of protection and assistance, is an integral part of the camp coordination function. It also includes the responsibility to set-up and maintain information management systems that allow all partners and service providers to access and share operational data at camp and inter-camp levels.

Camp administration

42. All responsibilities, such as overall camp supervision and security; maintaining law and order as well as the civilian and non-militarized character of the camp; and the issuance of documentation, permits and licenses (birth certificates, ID cards, travel permits, etc.) all fall under the prerogative of governments, national and local (civilian) authorities, and are called camp administration.

43. It is an obligation of the camp administration to secure the land and occupancy rights for a temporary settlement, as well as to compensate the legal owners. The administration must also prevent owners and proprietors from enforcing claims against individual camp residents and /or agencies working in the camp that would be tantamount to payments (rent, sale, compensation, etc.) or which would result in an eviction, dislocation or any other further displacement of those living in the camp before they can regain their original homes, in safety and dignity, or be provided with shelter that conforms to minimum standards.

Camp management

44. Camp management focuses on:

i. establishing camp governance and community participation (with 50% female participation) / mobilization mechanisms;
ii. maintenance of camp infra-structure;
iii. data collection and sharing;
iv. providing defined services;
v. monitoring the service delivery with the participation of the community and of other providers in accordance with agreed standards, in order to avoid the duplication of activities and emergence of protection and assistance gaps; and
vi. ensuring community complaints mechanisms are established and known to all.

Camp management agencies should apply a community-based approach and have a proven track record in practical application of gender equality policies and child protection as well as in the protection of the rights of women and girls.

45. Camp Coordination and Camp Management (CCCM) agencies do not have the responsibility to provide services within a camp environment that fall under the responsibility of another cluster (nutrition, water and sanitation for example). It is the responsibility of CCCM agencies to identify such gaps and bring them to the attention of the respective cluster lead.

Key references

A Framework for People-Oriented Planning in Refugee Situations: taking account of Women, Men and Children, UNHCR, Geneva, 1992.

Partnership: A Programme Management Handbook for UNHCR's Partners, UNHCR, Geneva 1996.

UNHCR Handbook; People-Oriented Planning at Work: Using POP to Improve UNHCR Programming, UNHCR, Geneva, 1994.

Norwegian Refugee Council: Camp Management Toolkit, 2004

IASC gender mainstreaming handbook (Draft) 2006

UNHCR Handbook on Protection of Displaced Women and Girls (Provisional release) 2006

UNHCR Tool for Participatory Assessment, 2006

Annex 1

Elements of a coordinating body

Each of the factors listed below would need to be evaluated against the particular context and policy of the host government. At the beginning of the operation UNHCR should secure a suitable meeting room for coordination meetings.

Membership

The nature of the coordinating body and its usefulness will be determined partly by its membership.

1. Criteria for participation:
i. Provision of direct services
ii. Regular attendance at coordination meetings
iii. Compliance with service guidelines and standards
iv. Regular financial contributions to coordination mechanism

2. Other organizations may wish to attend coordination meetings without full participation in the coordination mechanism:
i. Organizations which may choose not to fully participate, e.g. ICRC
ii. Funding organizations and donor representatives
iii. Public interest groups
iv. Military forces

Functions of the coordination body

1. Meetings.
These may be needed at the central and the site level, and include:
i. overall coordination meetings, which may be needed daily at the start of an emergency;
ii. sectoral committee meetings (e.g. health, registration, water); and
iii. conferences.

2. Identification of needed services and soliciting voluntary agencies to assume responsibilities for the provision of these services.
3. Monitor respect for International Protection standards.
4. Allocation of donated commodities and financial contributions.
5. Guidelines and standards for the provision of services.
6. Orientation of newly arrived agencies.
7. Orientation of incoming staff.
8. Research and documentation.
9. Support for settlement coordination committees.
10. Coordination with agencies outside the country.
11. Information sharing.
12. Fund raising.
13. Gender balance in staffing.
14. Ensure training of all humanitarian and government personnel on the Secretary General's Bulletin and Code of Conduct.

Annex 2 – Tips on running a meeting

1. Set clear objectives for the meeting

- Why is the meeting needed and what is the expected outcome? (Communication? Problem-solving? Planning? Decision-making?)
- Who should attend the meeting?
- Should the meeting be formal or informal?

2. Prepare an agenda

- Make a written agenda with clear objectives and approximate timing for each item.
- Ensure that the agenda states why the meeting is needed.
- Make sure the agenda is realistic (not too many items) and sequence the items appropriately.
- Put the difficult, important issues near the beginning (perhaps dealing first with something quick and simple).
- Plan breaks if the meeting is more than 1 hour in length.
- Avoid mixing information sharing and decision-making in the same meeting – hold separate meetings for these functions.

3. Documentation

- Circulate a detailed agenda, list of participants and any background documentation (such as minutes of previous meetings) in advance (but not too far ahead),

2 to 3 days before the meeting is best.

- Indicate the time, place and duration of the meeting.
- Prepare audio-visual materials in advance.

4. Seating arrangements

- Choose a circular or rectangular table.
- Avoid a long, narrow table if possible as this makes communication more difficult.
- In an informal setting, a semicircle of chairs facing a flip chart is the best.
- Everyone should be able to see each other.
- Participants should not be too crowded or too far apart.

5. During the meeting

- Start on time.
- Have the participants introduce themselves if they do not know each other.
- Clarify the objective(s) of the meeting and review the agenda and time limits.
- Outline how the meeting will be conducted (methodology).
- Identify the rapporteur or secretary for the meeting.
- Ask the participants if they agree to the agenda and be flexible on minor changes if there is consensus.
- If applicable, review action items of previous meeting(s).
- Make sure you have everyone's attention before opening the meeting.

6. During the meeting the chairman or facilitator should:

- Avoid getting personally involved in the discussions.
- Keep an overall view of the objective(s).
- Do not lose the thread of the argument.
- Stick to the agenda (but be flexible within agenda items).
- Ask for information and opinions.
- Summarize and reformulate key points (have the rapporteur or secretary use the flip chart to record the points as they occur).
- Clarify and elaborate where needed.
- Concentrate on key issues and stop digressions.
- Test for consensus.
- Ensure everyone gets a chance to speak.
- Assign responsibilities and deadlines for agreed tasks (action, responsibility, and date by agenda item).
- Set date, time and place for next meeting.
- Close the meeting on time, on a decided and positive note.

7. After the meeting

- Keep a record of the meeting. It should include the following basic items:

i. a list of the participants noting those who were invited but did not attend, ”apologies” list;

ii. the conclusions, decisions, recommendations and the follow up action required, by agenda item, with the name of the person responsible for action and time frame; and

iii. the time, date and place of the next meeting.

Note: working in small groups

Dividing the participants into small groups can be useful in large meetings (more than 12 participants), when discussions are lengthy.

Depending on the subject, it can allow in-depth discussion on specific questions and possibly help to solve problems.

8

Implementing arrangements

CONTENTS

Introduction

1. Appropriate arrangements to implement an emergency operation will be fundamental to its success. UNHCR has a unique statutory responsibility for the provision of international protection. However, there is no such unique statutory responsibility for the provision and distribution of material assistance to refugees, which might be carried out by other organizations – governmental, UN agencies, NGOs, as well as directly by UNHCR. There are a number of factors which will influence the implementing arrangements for assistance operations. This chapter outlines implementing arrangements and procedures in emergencies including monitoring, reporting and evaluation. UNHCR guidelines for standard procedures must be referred to for more detail.

Implementing arrangements

2. Depending on the scale and needs of the emergency, a number of different implementing arrangements may be needed in the various sectors. One organization might have operational responsibility for health care, and another for logistics. Even within a sector, operational responsibility may have to be split up. Different operational partners might have responsibility for health care in different refugee sites or communities. In UNHCR terminology, an operating partner is an organization or agency that works in partnership with UNHCR to protect and assist refugees, and an implementing partner is an operational partner that signs an implementing agreement with UNHCR and is partially or fully funded by UNHCR.

Whenever possible, UNHCR seeks to implement assistance indirectly through an implementing partner rather than directly.

3. The origin of this policy is found in the Statute of UNHCR. Article 1 requires the High Commissioner to seek "permanent solutions for the problem of refugees by assisting Governments and, subject to the approval of the Governments concerned, private organizations...". In accordance with Article 10, the High Commissioner "shall administer any funds, public or private, which he/she receives for assistance to refugees, and shall distribute them among the private and, as appropriate, public agencies which he/she deems best qualified to administer such assistance".

Degree of operational responsibility of UNHCR

4. Although UNHCR normally seeks to implement indirectly through an implementing partner, there are circumstances in which it may be necessary, especially in the interests of refugees, for UNHCR to assume greater operational responsibility. UNHCR's degree of direct operational responsibility will vary for each emergency situation, and also with time as the operation evolves.

5. Factors influencing the degree of operational responsibility undertaken by UNHCR, other organizations and the government include the following:

i. The government's capacity to manage the refugee emergency, because of the scale, nature, location of the emergency, and ability of existing government structures to respond.
ii. The existence and capacity of other organizations in the country, and in the sectors where assistance is most needed.
iii. The stage of the emergency. At the start of an emergency, the government itself frequently has full operational responsibility. For example, a new influx is often first assisted by the local district and provincial au-

thorities. On the other hand, in other circumstances, it is often at the start of an emergency where UNHCR has the greatest operational responsibility because there may be no suitable operational/implementing partner immediately available within the country.

6. Where UNHCR does assume a high degree of operational responsibility, swift action is needed to ensure that the necessary personnel and expertise are available, by obtaining the rapid deployment of sufficient UNHCR staff (see chapter 23 on administration and emergency staffing). At the same time, other organizations should be identified and mobilized to assume responsibilities in the various sectors as soon as possible.

The operational role of the government

7. Whatever the implementing arrangements, overall responsibility remains with the host government, assisted by UNHCR. The government's concurrence must, in accordance with Article 1 of the Statute, be sought on the proposed implementing arrangements.

8. The government may not have the capacity to be the primary operational organization, but may play a major role in the implementation of various activities of UNHCR and donors. In this case, it is preferable to ensure that the policy arm of the government (e.g. the Ministry of the Interior) is separate from the "operational" entities, since, as recipients of UNHCR funds, the relationship with the latter is substantially different.

It is preferable that the implementation of programmes be carried out by existing line ministries, e.g. the Ministry of Health for health programmes, Ministry of Education, Ministry for Gender etc. As a rule, new government departments should not be specifically created to respond to the refugee emergency.

Every effort should be made to resist the creation of such specialized departments.

The operational role of UN agencies

9. UNHCR always retains responsibility for the protection needs of refugees, but the refugees' material needs are likely to fall within sectors for which other organizations in the UN system have special competence through their mandate, experience and capacity, e.g. WFP and UNICEF (see chapter 16 on WFP roles and responsibilities on food assistance). The roles and responsibilities of UN agencies are defined through their mandates and MOUs, and situation-specific responsibilities are set out in exchanges of letters and agreements – this should avoid duplication, minimize gaps, and clarify roles on the basis of recognition of comparative advantages.

Non-governmental organizations

10. Where the government is not the implementing partner in a particular sector, there may be advantages to selecting a national organization or an NGO with the required capacity as a partner. National or locally-based organizations may already be delivering emergency assistance, would already have staff on the ground, and would already be familiar with the country.

11. Many international NGOs have great experience of refugee emergencies and some can deploy teams and resources at short notice, both for specific sectors and for general management. In addition to their own staff, they will also know of a wide circle of individuals with the appropriate skills and experience. International NGOs already working in the country may be strengthened by their headquarters. For instance, under the overall responsibility of the national Red Cross or Red Crescent Society, IFRC/ICRC may be able to strengthen quickly the capacity of the national society to implement the emergency operation.

12. Criteria for the selection of implementing partners may be found in chapter 4 of the UNHCR Manual. Nonetheless, it is important to select partners with a sound track record in community-based approach in child protection and promoting women's rights and gender equality.

Implementing procedures

Implementing procedures are subject to change. The forms, terms, documentation, procedures and references (e.g. chapter 4 of the UNHCR Manual) referred to in this section from paragraphs 13 to 31 may change from time to time. However, the basic principles should remain the same.

13. Authority to implement activities envisaged in an operations plan must be given formally through an implementing instrument which defines the conditions which govern project implementation and authorizes the expenditure of funds. Such authorization is usually given through a Letter of Instruction (LOI) which authorizes the UNHCR Representative to implement projects directly or to enter into implementing agreements with implementing partners.

Any party disbursing UNHCR funds must have a formal signed agreement with UNHCR.

14. However, in order to allow for implementation to commence prior to the establishment of a formal LOI, particularly if it is not possible to reallocate funds under an existing LOI, Headquarters can give the Representative in a country where an emergency is rapidly evolving the immediate authority to incur expenditures, and to enter into agreements for project implementation with implementing partners. Such authority will take the form of a transfer of appropriations and the issuance of the related spending authority. The latter is not intended to cover the entire emergency operation, but to permit a rapid response to immediate needs, pending the formulation of an assistance project based on a detailed needs and resources assessment. Thus, in order to ensure continued assistance once these funds are exhausted or the initial project is terminated, the manager of the operation should, as soon as possible, send to Headquarters a detailed project proposal for the issuance of an LOI, in accordance with the procedures set out in Chapter 4 of the UNHCR Manual.

15. The minimum information which the Field Office must send to Headquarters in order for the initial spending authority to be issued is a budget proposal in US dollars at the sector level. No project description or work plan is required.

16. Actual expenditures must be charged to the appropriate project under which implementation is taking place and must be recorded at a more detailed level (i.e. cost center, programme, sector activity, situation and account code (former FMIS subitem), as well as other MSRP chartfields such as "Theme" or "Donor Restriction", as required. Procedures concerning disbursements and payment vouchers must adhere to the existing Financial Rules.

Implementing agreements

17. Implementation of all or part of a project may be sub-contracted to one or more implementing partners. A party disbursing UNHCR funds must have a formal signed agreement with UNHCR. The agreement must be based on the internal delegation of authority, and must comply with the terms of the authority (i.e. initial spending authority or an LOI) and the Financial Rules. The standard clauses which must figure in any implementing agreement are described in Chapter 4 of the UNHCR Manual.

18. If the government or an international organization advances relief supplies from their own resources, UNHCR may agree in writing to reimburse them in cash or kind, provided the maximum US dollar

commitment is specified and does not exceed uncommitted funds available under the existing authority. Any such commitments should immediately be reported to Headquarters.

19. An agreement with the government covering the provision of assistance is quite separate from the administrative agreement that governs the status of the High Commissioner's representation in the country. Where this administrative agreement (often referred to as the "UNHCR Country Agreement") needs to be concluded, special instructions will be given by Headquarters. See also annexes to the Checklist for the Emergency Administrator for examples of such agreements.

Letter of Intent

20. If the implementing partner must start providing assistance before there is time to conclude an agreement, a signed "Mutual Letter of Intent to Conclude an Agreement" can authorize the first installment of funds. This is a temporary arrangement until there has been time to develop the detail of the project agreement. The letter must include certain basic clauses. Annex 1 contains a sample format for such a letter and the basic clauses.

Agreements

21. The form of the agreement will depend on the circumstances and on the identity of the implementing partner. The agreements exist in two different formats. **Bipartite agreements** are for projects implemented by a governmental or a non-governmental organization. **Tripartite agreements** are for projects implemented by a non-governmental organization and where the host government is a third signatory to the agreement. The individual signing on behalf of UNHCR should be the addressee of the LOI. The agreement sets out the responsibilities of each party, for example the government's contributions to the programme (land, services etc.) and its undertakings on facilitating the import and transport of relief supplies (traffic and landing rights, tax and customs exemptions, etc.).

Administrative expenditure by implementing partners

22. UNHCR looks to implementing partners to contribute their own resources to the refugee programme, and to develop the capacity to meet their own support costs, in particular their headquarters support costs. However, for international NGOs, headquarters support costs can be covered up to a maximum of 5 %, but only at the request of the partner. UNHCR recognizes, however, that certain types of support costs could be a legitimate charge on UNHCR voluntary funds. Support costs (as opposed to operational costs) are defined in chapter 4 of the UNHCR Manual, as are the guidelines applicable to the coverage of such costs.

Direct UNHCR expenditure

23. In many cases, there may be a need for direct UNHCR project expenditure in addition to programme delivery, and administrative support. This might include international procurement by UNHCR, clearing, storage and internal transport expenses for contributions in-kind, and initial direct operational expenditure by UNHCR Field Officers at the refugee site.

Procurement

24. The Representative may enter into a contract for the procurement of goods and services up to a certain limit (US$20,000 in 2006), based on the results of a competitive bidding procedure.

25. Where the Representative needs to enter into a contract (or series of related contracts[1]) in excess of US$20,000 and

[1] *Related purchases are a series of contracts with one single vendor within the previous period of 12 months excluding contracts that have been approved by the Headquarters Committee on Contracts (CoC). CoC approval is required for related purchases of US$200,000 or more; LCC approval is required from US$20,000 up to US$200,000.*

below US$150,000, approval must be obtained either from the Local Contracts Committee, if such has been established, or from the Regional Committee on Contracts (see below) or if there is no Local or Regional Committee from the Headquarters Committee on Contracts (CoC). A Local Contracts Committee (LCC) can be established when circumstances demand, for example at the beginning of an emergency where required goods and services are available locally. It can only be established with the approval of Headquarters (according to the procedures in Annex 2).

26. For contracts in excess of US$150,000, approval is required from the Headquarters Committee on Contracts. In some cases, Regional Contracts Committees (RCCs) exist or may be established with authority above US$150,000. Representatives may resort to an RCC if there is one for their region and the contract is within its threshold.

27. In all cases, the Representative must ensure that there is always due assessment of the available alternatives, including competitive bidding, before procuring any goods or services.

28. Procurement procedures are described in chapter 8 of the UNHCR Manual, and are set out in Annex 2.

Contributions in-kind

29. Contributions in-kind may be made towards needs foreseen under the emergency programme. Whether these are made bilaterally or through UNHCR, their value (generally assessed on the same basis as foreseen in the budget costing) will normally be credited against the appropriate budget item, and the cash requirements through UNHCR for that item reduced accordingly. This mechanism may need to be carefully explained to the government and implementing partners. For all contributions in-kind made through UNHCR, a separate project or an "in-kind LOI" will be established by Headquarters for the value of the contribution. The addressee of the relevant LOI is required to provide reports from the field to Headquarters on the arrival and distribution of the contribution. Paragraph 53 of chapter 9 on external relations discusses contributions in-kind received by the Field.

Careful negotiation is necessary when accepting in-kind contributions. Most of the time these donations do not cover costs for transportation, storage and distribution which could be very high at the time of emergency. If theses costs are not covered then funds must be allocated through the existing LOI and directly implemented.

Monitoring, reporting and evaluation

30. Monitoring is the ongoing review of an operation or project during its implementation to ensure that inputs, activities, and outputs are proceeding according to plans (including budget and work schedules). Monitoring tracks progress towards objectives, and that progress should be analysed and evaluated by management, who can make improvements and take corrective measures to better achieve those objectives. Monitoring can be summed up in the question: "Are we doing the thing right?"

31. Careful and close monitoring of the activities and outputs is essential. An agreed work plan, which is mandatory in a sub-project agreement with partner, allows project managers to identify target dates for the completion of essential deliverables and as such is a monitoring tool (see Annex 3). Whatever the implementing arrangements, a UNHCR presence at, or at least frequent visits by the same person to, the site of the refugees will be required.

32. Control of UNHCR funds by the UNHCR field office and operational partners, and monitoring and evaluation, should be in accordance with established UNHCR procedures and the relevant clauses of the LOI. Proper project control, includ-

ing the close monitoring of obligation and expenditure levels, is particularly important in an emergency because of the risk of over-expenditure and the need to reallocate under-used resources without delay.

33. Projects should also be evaluated with the community so that the goals of the project, and their relevance and achievability, can be analysed by the community itself. This can be summed up in the question "Are we doing and have we done the right thing?".

Sufficient information must be available to decision-makers so that the operation can be adjusted to meet changing needs or to correct shortcomings.

34. Participatory monitoring and evaluation should not be considered as time consuming detractions from protecting and assisting refugees, but as important tools in an emergency to ensure that activities being carried out retain their relevance in rapidly changing situations, and continue to address the most urgent problems. The different circumstances of women, children, and adolescent boys and girls; and groups with specific needs such as older persons and minority groups should be identified and monitored closely. Their circumstances could and should be used as benchmarks for monitoring the effectiveness of the overall operation.

35. Reports should be in standard formats or cover standard issues, in order to ensure important information is covered but avoiding unnecessary detail. Always bear in mind the purpose of the report, and who will be reading it, keeping it concise and to the point. Energy should not be wasted on exchanging information that is not acted upon – a report that is not read and acted upon is a waste of paper and time.

36. See Annex 4 for a suggested format for a standard emergency situation report.

Situation reports should be sent as a matter of routine.

In addition to regular sitrep reporting on all aspects of the operation, specific reports will be required for various sectors like protection/SGBV, health etc.

37. Regular reports should be made by the implementing partner to UNHCR at field level. The reporting obligations of implementing partners must be set out in the relevant agreements signed with them. The Field must also send regular reports to Headquarters - implementing partners' reports that are forwarded to Headquarters must always be accompanied by an analysis and comments from the Representative.

Special considerations

38. In an emergency, staff may be faced with a number of questions on which the following guidance may be helpful.

Payment for the purchase or rent of land occupied by persons concerning UNHCR

39. As a matter of policy, UNHCR does not buy or rent land, which the government of the country of asylum is expected to provide. Headquarters approval is required for exceptions to this policy. Construction on the land may, however, be financed by UNHCR.

Payment to refugees

40. The issue of paying refugees in cash or kind for certain assistance activities (e.g. health work, teaching, establishing basic infrastructure and shelters) will inevitably arise. How this issue is resolved can have a crucial effect on a settlement's character.

Payment can destroy the sense of responsibility refugees feel for their welfare.

However, the absence of payment may mean that tasks essential to the settlement's well-being are either not done or have to be done by paid outside labour.

41. **In the first days** of a settlement's existence payment to refugees would not normally be appropriate. In this start-up phase refugees should assume their responsibility towards themselves and their fellows to participate in the establishment of their settlement. Even payment-in-kind is probably inappropriate at this stage. In addition to the unfortunate impression of creating a right to payment, it may also involve commitments which cannot continue to be met, or have to be met at the expense of other assistance intended for the entire settlement. Problems with the supply system are almost inevitable at the beginning of a settlement's life and no group should in such circumstances get extra commodities to the direct detriment of others.

42. **In the longer-term**, certain types of community work frequently start to emerge as areas where standards will drop if some form of payment is not given. This is often the case with key public health services whose importance is not always correctly understood by the refugees. Before starting any payment scheme, calculate its full potential cost and ensure that the required extra funds or food are available. The continuing financial implications for a large refugee population may be considerable.

It should be borne in mind that, after payment is introduced for one type of job or for one group of workers, others will see this as a precedent and common criteria must be agreed upon by agencies.

It will be necessary to have some very clear but restrictive criteria for paid community work. The wage system introduced should not inhibit progress towards a self-reliant settlement. Those agencies responsible for different sectoral services should meet the wage costs of refugees working in that sector.

43. As the refugees are already supported, remuneration levels should be well below national rates. It is important that this remuneration be fairly applied to all refugees doing broadly the same work. A major cause of discord at many refugee sites has been the payment by different organizations of markedly different rates to refugees for the same work, particularly in the area of education.

A standard payment rate is essential.

If there are different levels of skill this should be recognized and discussed in consultation with the refugees.

Provision of services to the local population

44. The local population should not see the refugees as a burden, because of their effect on existing local services and environment, nor should the refugees be a cause of resentment, because of benefits which may seem to accrue only to them. So activities to benefit the refugees, such as maintaining or improving the local infrastructure (roads, hospitals and schools) or to look after the local environment, could help avoid or diminish resentment on the part of the local population.

45. Bilateral aid programmes and other organizations, both within and outside the UN system, should be encouraged to help affected nationals. Assistance available to refugees should take account of the conditions of nationals in the area and a flexible approach should be adopted – the principle is that provision of services to refugees should not be higher than that available to the local population.

Corruption

46. UNHCR should ensure that all concerned with the provision of assistance know clearly what UNHCR policy is regarding corruption. UNHCR is obliged by donors and by its mandate to ensure that all funds distributed by it are properly used for the benefit of refugees and all transactions must be in accordance with the Financial Rules. UNHCR should clearly specify which practices are acceptable and

proper and which are not. It should also be clear that breaches of the policy will not be tolerated, and this message will be reinforced if rigorous monitoring and control are apparent to all parties.

Political and religious activity

47. Everyone has a right to political and religious expression: however, refugees are also obliged to conform to the laws and regulations of the host country as well as to the measures taken for the maintenance of public order. UNHCR itself is obliged to be non-political.[2] Responsibility for security and public order at the refugee site always rests with the government. To help maintain order, site planning should take into account any need there may be to physically separate any previously hostile groups among the refugees.

48. Other organizations active in the delivery of assistance may have a religious aspect in their normal work. Some are traditional partners of UNHCR, and the separation of religious and other activities is long established and well understood, but for others it may be useful to recall the basic principles. Religious activities by those outside the refugee community, where permitted by the authorities, must be clearly dissociated from the delivery of assistance and services to refugees.

No proselytizing should take place in association with the provision of services such as education, health and community services.

Key references

Partnership: An Operations Management Handbook for UNHCR's Partners, UNHCR, Geneva, 2003.

UNHCR Manual, Chapter 4, Operations Management 1995 (with revisions up to date).

UNHCR Manual, Chapter 8, Supply Management, 2006.

[2] *Para. 2 of the Statute of the United Nations High Commissioner for Refugees states: "the work of the High Commissioner shall be of an entirely non-political character; it shall be humanitarian and social..."*

Annex 1: Sample Letter of Mutual Intent to Conclude an Agreement

STANDARD FORMAT FOR
A LETTER OF MUTUAL INTENT TO CONCLUDE AN AGREEMENT

Notre/Our code:

Date:

Dear

I should like to refer to our exchanges *(add details and dates as appropriate, e.g., letters, meetings, draft plans/budgets, etc.)* concerning the implementation by . . . . *(implementing partner)*, hereinafter referred to as . . . , on behalf of the Office of the United Nations High Commissioner for Refugees, hereinafter referred to as UNHCR, of a programme of emergency assistance to . . . . . *(origin and number of beneficiaries)* in . . . . *(location)*.

The programme of emergency assistance (reference . . . . *[sub-project symbol]*) will cover activities for an initial period of *(number)* months from *(date)* to *(date)*.

It is my understanding that it is our mutual intention to conclude as soon as possible an UNHCR Standard Sub-Project Agreement (hereinafter referred to as “the Agreement”) governing our cooperation in the above-mentioned programme. The conclusion of such an Agreement is mandatory under the Financial Rules of UNHCR whenever funds are made available by UNHCR.

The Agreement will incorporate, inter alia, the attached key provisions (Annex A) and will require . . . . *(name of implementing partner)* to report in narrative and financial form on the use of all contributions received from UNHCR.

In order to permit UNHCR to exceptionally begin with the implementation of the above-mentioned programme and to transfer moneys, I should be grateful if you would confirm in writing below your consent that the use of the sum of . . . . *(currency and amount)* for the activities and budget outlined in Annex B, will be considered as subject to the terms of the Agreement to be concluded with between UNHCR and ….. (*name of implementing partner*).

Thank you for your cooperation.

(name, signature and title of the addressee of the Emergency Letter of Instruction)

I confirm that I am duly authorized to represent and engage …. (*name of implementing partner*) and I agree on behalf of the latter that the use of the sum of . . . . *(currency and amount)* will be considered as subject to the terms of the Agreement to be concluded with UNHCR.

(name, signature and title of the addressee of the letter above, and date)

Key provisions of the UNHCR Sub-Project Agreement (Bipartite [Agency])

Obligations of the Agency

6.03 Inspection and Audit

The implementing Agency shall facilitate inspection and audit of Sub-Projects under its implementation by a specialized audit firm contracted through UNHCR Representations in the country of operations. However, sub-projects directly implemnete by UNHCR will be subject to audit and inspection by UNHCR Audit Service of the United Nations Office of the Internal Oversight Services, the UNHCR Inspector General's Office, or any other person duly authorized by UNHCR. Should they at any time wish to do so, the United Nations Board of Auditors may also carry out an audit of the Sub-Project.

6.06 Rate of Exchange

The Agency shall apply the most favorable official rate of exchange for all transactions relating to the implementation of the Sub-Project.

6.07 Taxation and Customs

In situations, where equipment bought by the Agency may be subject to customs duty or taxation, the Agency shall consult with UNHCR on whether and how these payments may be exempted under the applicable international legal instruments.

6.08 Importation Documentation

The Agency shall ensure that all customs and registration documents, licenses and operating permits which may be required for the importation of Sub-Project supplies and the operation of equipment will be applied for in ample time prior to the forecasted importation date in order to avoid delays at the port of entry. The Agency shall indicate to the competent authorities that the Sub-Project supplies are bought with UNHCR funds.

6.14 Compliance with Law

The Agency shall, at its own expense, comply with all laws and regulations of its country of residence or operation, if different, and assume all liabilities and obligations imposed by any law or regulation with respect to its performance under this Agreement.

General Conditions

8.01 Copyright, Patents and other Proprietary Rights

UNHCR shall be entitled to all intellectual property and other proprietary rights including but not limited to patents, copyrights, and trademarks, with regard to products or documents and other materials which bear a direct relation to or are produced or prepared or collected in consequence of or in the course of the execution of this Agreement. At UNHCR request, the Agency shall take all necessary steps, execute all pertinent documents and generally assist in securing such proprietary rights and transferring them to UNHCR in compliance with the requirements of the applicable law.

8.02 Confidentiality

8.02.1 The confidentiality of any information pertaining to any beneficiary or group of beneficiaries of the Sub-Project shall be respected. The contents of any files, including computerized databases, can only be released to persons duly authorized by UNHCR to receive such information, and then only when in the interests of the beneficiary or group of beneficiaries.

8.02.2 All maps, drawings, photographs, mosaics, plans, reports, recommendations, estimates, documents and all other data compiled by or received by the Agency under this Agreement shall be the property of UNHCR, shall be treated as confidential and shall be delivered only to UNHCR Personnel on completion of work under this Agreement.

8.02.3 The Agency may not communicate at any time to any other person, Government or authority external to UNHCR information known to it by reason of its association with UNHCR which has not been made public, except with the authorization of UNHCR; nor shall the Agency at any time use such information to private advantage. These obligations do not lapse upon termination of this Agreement.

8.03 Privileges and immunities

Nothing in this Agreement, and its Annexes and Appendices shall be deemed a waiver, expressed or implied, of any privileges or immunities enjoyed by UNHCR.

8.04 *Force majeure* and other changes in condition

8.04.1 If during the period covered by this Agreement, the Agency is prevented from carrying out its obligations referred to in the Agreement, this fact shall be reported to UNHCR whereupon the Parties shall decide what arrangements, if any, shall be made to further implement or terminate the Agreement.

8.04.2 Should the number of beneficiaries, for whom assistance was foreseen under the Sub-Project, significantly change from the number originally envisaged, or if for any reason, changed circumstances reduce or increase the need for assistance in the amounts as originally foreseen, UNHCR shall be immediately informed so that, after mutual consultation, UNHCR can adapt its participation in the Sub-Project to the new situation or discontinue it as the circumstances may warrant.

8.04.3 In the event of, and as soon as possible after the occurrence of, any cause constituting *force majeure*, the Agency shall give notice and full particulars in writing to UNHCR, of such occurrence or change if the Agency is thereby rendered unable, wholly or in part, to perform its obligations and meet its responsibilities under this Agreement. The Parties shall consult on the appropriate action to be taken, which may include termination of the Agreement, with either Party giving to the other at least seven days written notice of such termination.

8.07 Early Termination

8.07.1 If the Agency refuses or fails to prosecute any work, or separable part thereof, or violates any term, condition or requirement of this Agreement, UNHCR may terminate this Agreement in writing with immediate effect. Such termination shall relieve UNHCR from any further obligations under this Agreement or liability for compensation. The Agency shall return all unspent funds provided under this Agreement and UNHCR property in its possession, if any.

8.07.2 UNHCR may terminate forthwith this Agreement at any time should the mandate or the funding of UNHCR be curtailed or terminated, in which case the Agency shall be reimbursed by UNHCR for all reasonable costs incurred by the Agency prior to receipt of the notice of termination; this does not extend to expenditure incurred in excess of the funds made available under this Agreement.

8.07.3 In the event of any termination by UNHCR under this Article, no payment shall be due from UNHCR to the Agency except for work and services satisfactorily performed in conformity with the express terms of this Agreement. UNHCR shall not be liable for any expenditure or obligations made in advance or in excess of remittances actually made, unless these were expressly authorized by UNHCR.

8.07.4 Should the Agency be adjudged bankrupt, or be liquidated or become insolvent, or should the Agency make an assignment for the benefit of its creditors, or should a Receiver be appointed on account of the insolvency of the Agency, UNHCR may, without prejudice to any other right or remedy it may have under the terms of these conditions, terminate this Agreement forthwith. The Agency shall immediately inform UNHCR of the occurrence of any of the above events.

Key provisions of Appendix 1 to the Sub-Project Agreement

6. Separate Interest-Bearing Bank Account

The Government or Agency shall deposit all remittances received from UNHCR into a separate bank account unless the deposit into a general or pool account has been authorized in this Agreement. The use of a general or pool account may be authorized if the deposit and the use of UNHCR funds remain traceable. The account into which the UNHCR remittances are deposited should be interest bearing. In the case of a general or pool account, any interest earnings shall be apportioned according to the source of funds and a fair share shall be credited to the UNHCR Sub-Project.

8. Maintenance of Financial and Sub-Project Records

8.1 The Government or Agency shall maintain separate Sub-Project records and accounts containing current information and documentation which, *inter alia*, shall comprise:

(a) copies of the Agreement(s) and all revisions thereto;

(b) payment vouchers, clearly showing the Sub-Project symbol, the name of the payee, the amount, the purpose and date of disbursement, evidencing all payments made and with all pertinent supporting documentation attached;

(c) vouchers evidencing the receipt of all remittances, cash or any other form of credit to the Sub-Project account;

(d) periodic analyses of actual expenditure against the Sub-Project budget;

(e) records of all financial commitments entered into during the duration of the Sub-Project;

(f) reports by auditors on the accounts and activities of the Sub-Project;

10. Audit Certificates

10.1 Audit Certificate for Government Implementing Partners

The Government shall, when UNHCR Agreements have an aggregate budget value of US $ 100,000 and above, submit to UNHCR, within three months of the final date for liquidation of commitments, an audit certificate. Governmental implementing partners should be audited by the government's highest audit institution (Auditor General or Court of Audit). For all UNHCR Agreements having a value of less than US$ 100,000, UNHCR reserves the right to request an audit.

10.2 Audit Certificate for International NGO Implementing Partners

For all UNHCR Agreements with an aggregate budget value of US $ 300,000 and above, UNHCR, in consultation with the Agency, will engage an audit firm to conduct an independent audit of the Sub-Project(s). The audit report and certificate shall be submitted to UNHCR within three months of the final date for liquidation of commitments. They shall state whether the final Financial Sub-Project Monitoring Report submitted by the Agency to UNHCR gives a true and fair view of the state of affairs of the Sub-Project over the period of operation. The report should include such comments as the auditor may deem appropriate in respect of Sub-Project operations generally. For all UNHCR Agreements having a value of less than US$ 300,000, UNHCR reserves the right to request an audit.

10.3 Audit Certificate for National NGO Implementing Partners

For all UNHCR Agreements with an aggregate budget of US $ 100,000 and above, UNHCR, in consultation with the Agency, will engage an audit firm to conduct an independent audit of the Sub-Project. The audit report and certificate shall be submitted to UNHCR, within three months of the final date for liquidation of commitments. They shall state whether the final Financial Sub-Project Monitoring Report submitted by the Agency to UNHCR gives a true and fair view of the state of affairs of the Sub-Project over the period of operation. The report should include such comments as the auditor may deem appropriate in respect of Sub-Project operations generally. For all UNHCR Agreements having a budget of less than US$ 100,000, UNHCR reserves the right to engage an audit firm.

United Nations agencies (including IOM)

Audit certificates are not required from these agencies, as the financial statements are audited by the same or comparable authority that audits UNHCR accounts.

Annex B

Activities and Budget*

Sector-Activity Code	Sector-Activity Description/Details	Budget Amount (currency)
	GRAND TOTAL	

Annex 2: Procurement by a UNHCR Branch Offices (Field location).

1. Introduction

1.1. The procedures applicable to the procurement of goods and/or services by UNHCR Headquarters or UNHCR offices in the field (other than contractual arrangements for the employment of staff) vary according to the US dollar value (at the prevailing United Nations rate of exchange) of the goods or services, and are described below.

1.2 For all purchases of substantial quantities of relief or other supplies by UNHCR offices in the field, Representatives should nominate a purchasing/logistics focal point with a clear line of responsibility. Local purchases will be initiated by, or at least cleared with, the purchasing/logistics focal point. In all circumstances, including the evaluation of contracts for the supply of goods and services or consultancies, the procedures described below will apply. The term "Purchase Order" is to be read as also applying to other forms of authorization used in relation to contracts for services or corporate or institutional consultancies.

1.3 In all cases of procurement of goods and/or services, the procedures and controls applied should be in accordance with Chapter 8 of the UNHCR Manual and must provide an open, competitive, qualitative and accountable process to obtain such goods or services which meet project requirements at the lowest available cost. It is the responsibility of the addressee of the Letter of Instruction to ensure that the relevant procedures are adhered to.

1.4 All contracts entered into for the procurement of goods and/or services should ensure exemption from, or reimbursement of, all customs duties, levies and direct taxes on services and goods, supplies or any other articles imported or domestically purchased.

* *Please provide a succinct description of the activities to be carried out under this Letter of Intent. If available, you also may also attach a Budget Printout.*

1.5 It is the responsibility of the Representative to ensure that each UNHCR office in the field maintains a register of all commercial contracts entered into and that a sequential number is assigned to every such contract.

1.7 For a value of less than US$ 1000:
A Purchase Order may be issued without recourse to formal tender, provided that funds are available under the Letter of Instruction and that at least three informal offers or prices have been considered and the best offer has been selected.

1.8 For a value of over US$ 1,000 and up to US$ 5,000:
A Purchase Order should be issued provided that funds are available under the Letter of Instruction and that at least three formal quotations have been compared and the best offer has been selected. A written record of the quotations and the reasons for the selection must be kept.

1.9 For a value of over US$ 5,000:
A Purchase Order should be issued provided that funds are available under the Letter of Instruction and that selection has been made on the basis of competitive bidding, obtained in response to a formal Quotation Request sent to selected suppliers inviting them to submit sealed quotations within a specified time frame. Section 6 of UNHCR Supply Manual – (Chapter 8) provide guidelines and an example for a Quotation, Tender and Request for proposal (RFP). The Quotation, Tender or Proposal Request must stipulate that all offers must be received at the UNHCR office in signed and sealed envelopes and marked with the Quotation Request number. All sealed offers received must remain sealed and must be kept under lock and key until the expiration of the bid deadline. All bids must be opened before a witness by the Administrative

Officer or the Officer in charge of administration in the office, and must be initiated by both the person opening the bids and the witness. The witness shall be selected by the Representative and drawn from the professional or national officer categories. All formal offers will be compared on a Tabulation of Bids form. The recommended supplier and the reasons for selecting that supplier will be stated thereon.

1.10 For a value of over US$ 20,000 and up to US$ 150,000 Representatives will establish a Local Contracts Committee to consider bids and to make the appropriate recommendations. Rules and procedures concerning Contract Committees and their composition are set out below. In a country with more than one Field/Sub Office, the Representative may wish to establish Contract Committees at different duty stations. Depending on local costs and current exchange rates, Representatives may also lower the financial limit of procurement to be considered by the Local Contract Committee. The Committee will consider quotations subject to the same conditions as set out in paragraph 1.9 above. If appropriate, the Representative and/or the Committee may wish to request specialist advice from the Programme and Technical Support Section or the Supply Management Section at Headquarters.

1.11 For a value of US$ 150,000 or more:
A submission must be made to the Committee on Contracts at Headquarters except in cases where Headquarters has authorized the establishment of a Regional Committee on Contracts as described in 3 below. For submissions to the Headquarters Committee on Contracts, a minimum number of quotations must be requested and considered by the Local Contract Committee which will make a proposal as to the most suitable supplier to the HQ Committee on Contracts through the relevant Desk at Headquarters. Please refer to Section 6, page 2.6.6 in Supply Manual on recommended number of quotations to be requested for a specific purchase value. In cases where Headquarters has authorized the establishment of a Regional Commit-

tee on Contracts, the latter may evaluate and decide on all bids without recourse to the Local Contracts Committee. Nevertheless, in all cases, the relevant specialists in the Programme and Technical Support Section and the Supply Management

Section must be consulted before or during the tendering and evaluation stages so as to ensure compliance with technical requirements and that prices are compatible with international market rates for the goods or services under consideration. Submissions to the Committee on Contracts should include information as shown in Section 6 Chart –"Evaluating Offers & Proposals"of the Supply Manual. .After approval by the Committee on Contracts, a Purchase Order may be issued.

2. Local Committee on Contracts

2.1 Procurement of goods or services by a UNHCR office in the field for a value of over US$ 20,000 and up to US$ 150,000 must be approved by a Local Contracts Committee. This Committee will also prepare proposals to the Headquarters Committee on Contracts for procurement for a value of over US$ 150,000 in cases where Headquarters has not authorized the establishment of a Regional Committee on Contracts. The Local Contracts Committee will be established and chaired by the Representative and will consolidate the requirements, oversee the tendering process, select suitable local suppliers and record its recommendations in writing.

2.2 The Committee will be composed of Members and alternate members designated by the Representative and drawn from the professional or national officer categories. Staff members responsible for procurement should be excluded from membership. A quorum will consist of three Members.

2.3 The staff member in charge of procurement should present a written proposal to the Local Contracts Committee which will include information on the goods or services to be procured as per. Section 6 Chart –" Evaluating Offers & Proposals"of the Supply Manual. The minutes of the meeting will be taken and issued (at least in draft) within two working days after the meeting. Alternatively, particularly in an emergency, Members of the Committee may approve purchase by signature of the proposal with appropriate comments. In general, the Committee should adopt procedures similar to those of the UNHCR Committee on Contracts as set out in Annex 8.5 of Chapter 4 of the UNHCR Manual, except for the provisions concerning emergency procedures.

3. Establishment of Local and Regional Committees on Contracts:

3.1 In a UNHCR office in the field, the Representative may establish a Local or Regional Committee on Contracts, particularly in the early stages of an emergency operation and when required goods or services are known to be available locally or regionally. The authority to establish a such Committee on Contracts rests with the Representative, as regards the Local Committee on Contracts but the establishment of a Regional Committee on Contracts must be approved by Headquarters. The Representative should contact the Secretary of the HQ Contracts Committee at Headquarters for further information in this regard. The Committee will be chaired by the Representative or by a formally designated alternate, and will be composed of at least three professional staff members. If there is no quorum, the matter will be referred to the Committee on Contracts at Headquarters. The Local Committee on Contracts will consider quotations subject to the same conditions as set out in paragraph 1.9 above.

3.2 The Representative should notify Headquarters of the establishment of a Local Contracts Committee. All notifications of establishment (or the extension of the period of validity) of a Local Committee on Contracts should be sent via the

Desk to the Chairperson of the Committee on Contracts and the Head, Supply Management Service.

3.3 The Representative shall appoint a secretary to the Local Committee on Contracts to receive submissions to the Committee, to schedule meetings and secure the relevant documentation, to conduct required correspondence, to maintain the Committee's files and to prepare and distribute minutes of the Committee's proceedings. Each member shall have an alternate.

3.4 Copies of the minutes and proceedings of each meeting of the Local Committee on Contracts, together with a Tabulation of Bids form and copies of the contracts entered into or purchase orders placed (and any amendments to these) must be forwarded to the Secretary of the Committee on Contracts at Headquarters.. The minutes must contain a summary of the discussion, the reasons for decisions taken, details regarding the contractor or supplier selected and the potential costs involved.

Annex 3

WORKPLAN

Sub-Project Symbol: ______________________________

Sector: ______________________			
Outputs	**Activities**	**Responsibility**	**Completion Dates**
	• • •	•	• • •
	• • •	•	• • •
	• • •	•	• • •

Annex 4: Example of a Standard Emergency Situation Report (SITREP)

1. In emergencies, it is essential that regular situation reports reach the outside world (other UN agencies, implementing partners). The frequency of such reports will be determined by the characteristics of the situation; more frequent reports will be necessary in the initial stage of an emergency. Situation reports should give an overall view of the situation with sufficient factual content and explanation of changes since the last report to answer rather than raise substantive questions. By indicating progress achieved, problems encountered and steps being taken or planned to overcome these problems, the reports should give a cumulative picture of how the needs of the refugees are being met. It should report on actions including actual and planned activities; however, it should not dwell on intentions.

The SITREP should:

- be short;
- focus on priority areas;
- include a section on protection with information on SGBV and participatory assessment results;
- give quantitative data in a standard format (e.g. give the death rate as deaths/10,000/day NOT the number of people who have died);
- highlight trends (e.g. increasing/decreasing water supply, increase/decrease in arrival rate);
- mainstream age, gender and diversity analysis throughout; and
- clearly say who is expected to take any actions which are specified.

2. A suggested format is given below. Information contained in the SITREP should be analyzed and consolidated before being passed on to the next management level. The practice of simply copying "raw" and un-analyzed information from one level to another should be avoided. If the same format is used by all levels from site to central office to Headquarters, it will make it easier to consolidate reports from various areas. Major headings should as a rule be the same in each report, indicating "no change" if appropriate. The report can either be structured by sector of assistance with sites covered under each sector, or alternatively, by site, with sectors of assistance covered under each site heading. In either case, the information under each sector of assistance and for each location should cover as applicable:

i. current situation;
ii. particular problem areas, remedial action planned with time frame;
iii. any variation from overall implementing arrangements; and/or
iv. any action required from the addressee of the SITREP.

3. The reports should be sequentially numbered, copied to other UNHCR offices as appropriate (including the UNHCR liaison office in New York). The report may be used as the basis for wider situation reports issued from Headquarters.

SITREP (number)
COUNTRY
COVERING PERIOD (date) TO (date)
Drafted, cleared, authorized by ( ) on (date).

A. GENERAL SITUATION

B. MAJOR DEVELOPMENTS
Summary of general assessment of situation, assessment of refugee location, and field deployment of UNHCR staff. Summary of major trends including protection.

C. REFUGEE STATISTICS AND REGISTRATION (by sex and age)
By location in country of origin or by distinct groups if not self-evident. Explanation of changes since last report. Indication of sources, e.g. government, UNHCR, etc. Any additional information (as relevant) on gender breakdown, vulnerable cases, variances between UNHCR and official figures, group or individual determi-

nation, etc. A format for reporting on population in emergency situation reports is given in Annex 1 of chapter 10 on population estimation and registration.

D. PROTECTION AND DURABLE SOLUTIONS

Summary of any developments.

E. OPERATIONS

E.1. Coordination

Government departments, UN system, NGOs – both at central and field levels.

E.2. Overall Implementing Arrangements

Role of authorities. Operational role of UNHCR. Role of UNHCR's government counterparts, other UN agencies, international organizations and NGO partners. Other sources of significant assistance.

E.3. Assistance

Summary of main developments since the last report, broken down by sector and/or site, as applicable. Additional information provided could include major problems encountered in programme delivery and modifications required to implementing arrangements.

Special attention should be given to specific issues as SBGV, unaccompanied and separated children, older persons, persons with disabilities etc,

F. EXTERNAL RELATIONS

Significant events in relations with donor government representatives, with diplomatic missions in general and with the media.

G. ADMINISTRATION AND STAFFING

Establishment of UNHCR presence, office premises, vehicles and equipment, staffing arrangements, local recruitment, etc.

Annex 5 - Format for Reporting on Population in Emergency Situation Report

Period: From ________________________ to ____________________________

Type/ Status of population	Current location	Origin/ from	Pop. at start of period	New arrivlas	Decreases			Pop. at end of period		
					Vol. Return	Resettlement	Other	Total	% of total 0-4 years*	% of total who are female*

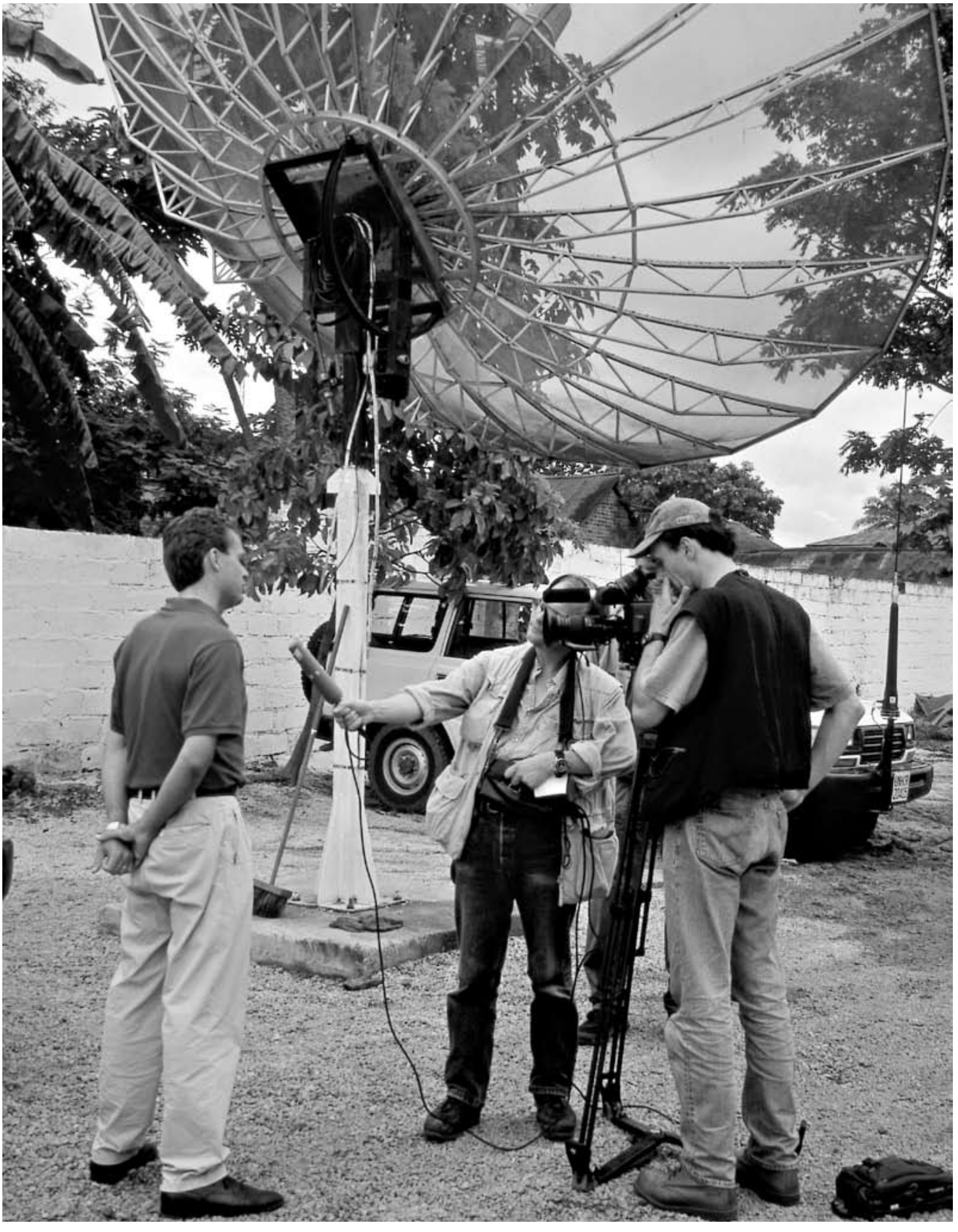
* *Estimate*

Main source of information is ☐ Government; ☐ UNHCR; ☐ NGO

Main basis of the information is ☐ Registration; ☐ Estimate

9

External Relations



CONTENTS

Relations with the government and diplomatic corps

1. All matters of protocol relating to establishing a new UNHCR presence in an emergency are likely to be handled by the Foreign Ministry in the same way as for other United Nations organizations. However, substantive matters concerning refugees may be handled by another authority, for example the President or Prime Minister's office or the Ministry of Interior. Guidance on the form of written communications with the government is given below.

2. It is important that the diplomatic corps accredited to the country is kept informed of UNHCR's activities from the start of an emergency. An informed and concerned diplomatic corps will be helpful in gaining support for the emergency operation both from the host country institutions and from donor governments for funding.

Briefing meetings

3. Briefing meetings should start in the early days of an emergency and continue on a regular basis. There may already be a contact group of the ambassadors most interested in refugee matters who could be briefed in the early days of an emergency. Where there is no such group, or to make the arrangements for meetings more formal, it may be appropriate to invite the ambassadors of member states of the Executive Committee of the High Commissioner's Programme (EXCOM) to the briefings (for a list of EXCOM members, see Annex 1).

The aim is to keep the Executive Committee and other immediately concerned Governments well informed while not devoting scarce time to a major protocol exercise.

4. A number of people may be helpful in giving advice on the organization and participants of the meetings, including: the ambassador from the country of the current Executive Committee Chairman may be helpful in advising on the organization of briefings, or the Dean of the Diplomatic Corps, or the ambassador of the country currently holding the presidency of the European Union (as a major donor group), or the Organization of African Unity or other regional groups.

5. A representative of the government would normally be present at these briefings. United Nations organizations and NGOs directly involved in the emergency operation should also be invited to attend.

6. Unless chaired by the representative of the Government, the meeting should normally be chaired by UNHCR. Other agencies should be encouraged to give account of their activities. Initially these meetings may need to be held fortnightly or even weekly, but once a month is a reasonable interval once the situation starts to come under control.

7. It may be useful to prepare for briefing meetings by prior discussions with other participating agencies to ensure that there is agreement on the issues and on information such as population figures.

8. If a question cannot be answered immediately, arrangements to follow up on an individual basis with the questioner should be made.

9. These briefing meetings will be important for fund-raising purposes. Representatives of donor governments will form part of the diplomatic corps and will therefore be involved in the meetings. Additional smaller briefing meetings may be appropriate, to deal with particular concerns of a donor, or to respond to a donor mission, or in respect of major protection issues which might require smaller, more discreet, briefings.

10. A useful complementary measure, which might eventually substitute diplomatic and other briefings, is a weekly or monthly written report prepared by

UNHCR. The standard internal emergency situation report, or sitrep, could be used as the basis for this report (the format for this is suggested in Annex 3 of chapter 8 on implementing arrangements). If the sitrep is to be used in this way the parts which must not be made public should be clearly marked. Other United

Nations bodies directly involved should contribute an account of their work. Such situation reports should be widely distributed in the operations area and to focal points at Headquarters.

11. Implementation of these briefing arrangements will require valuable time and effort. Clearly the priority is to deliver the emergency assistance needed by refugees. However, if those interested do not have a regular source of information on the progress of the operation, UNHCR staff may end up spending even more time on individual briefings.

Relations with the Media

Introduction

12. The media has traditionally been an ally of UNHCR and other humanitarian agencies working in difficult conditions. The media, especially locally based correspondents, can also be a useful source of information. There may be considerable media interest in an emergency and perceptions of how the international community in general, and UNHCR in particular, is responding will be set in the early days. This has important implications for support for UNHCR. It takes time to correct an unfavourable first impression, and media interest may have shifted elsewhere before this happens.

The best way to have positive media coverage and support is to run the most effective emergency operation possible in the circumstances. Expertise in relations with the media can never substitute good performance.

13. Television, radio and newspapers operate on tight deadlines and need factual stories on the emergency, with some background information. Magazines and some radio and television programs cover stories in depth and have more time available for research and subsequent re-checking. Television news channels (such as CNN, BBC World and Sky News), and wire services (for example AFP, AP, Reuters), produce bulletin-type news stories, have very short deadlines, and are likely to be the major source for world-wide coverage of the emergency.

14. Given the logistical difficulties of some emergencies, journalists are likely to approach humanitarian agencies with requests for help in moving around. Whenever possible, and taking into account the operational priorities and the sensitivity of some situations, journalists, both national and international, should be assisted in getting to the story.

General Guidelines for Relations with the media

15. The first decision to make concerns who should handle relations with the media. The media prefer information directly from those responsible, which can be very time-consuming. It is therefore recommended that a Public Information Officer be a member of the UNHCR field team from the start.

16. The Public Information Officer must have full and immediate access to information concerning developments in the operation and UNHCR policies and reactions. He/she needs to be updated by the most senior UNHCR Officer in the operation as often as necessary, at least once per day in a major emergency. The Public Information Officer should then be responsible for all aspects of relations with the media. Where there is no UNHCR Public Information Officer, good contacts with the press officers of other organizations

will be helpful for general advice, and for organizing joint news conferences.

17. In emergencies the media will probably go to the location of the refugees, often unannounced, and expect a briefing from UNHCR field officers on the spot. The briefing given should be limited to facts and practical intentions. See below for tips for interviews.

18. When intense press interest in a particular event can be predicted, there is much to be said for preparing a short and simple statement, distributing it to the enquirers, and avoiding further comment. Close internal coordination with field staff is essential, particularly if the interest relates to an event occurring in a location where UNHCR has field staff. Sending the statement to Headquarters is essential as questions are likely to be raised in Geneva.

19. Newspaper editors will generally print a factual correction, and will often give space in opinion or correspondence columns for UNHCR to comment on errors of interpretation of UNHCR's role and policy. It is more difficult to correct a factual error made on television or radio. However, when trying to made corrections, these should be corrections of fact not of interpretation.

UNHCR should be careful to avoid public polemical debate.

Locally-based media

20. The national media will be very important in determining local attitudes to the refugees, and may also give an early indication of sensitive issues and even government policy. The government may be as concerned by national coverage as by foreign coverage. Local foreign-language newspapers may be less important, except indirectly as a result of their effect on the diplomatic community or foreign press corps.

21. Field offices should monitor the local media, including the radio and television, which may play a much greater role in influencing public opinion than newspapers. Good relations should be developed with local correspondents covering the emergency. However, exercise considerable discretion until there is practical experience of the outcome of interviews. Language barriers are often a source of misunderstanding, particularly on the telephone and a locally recruited Public Information Assistant can be very helpful in this respect.

22. It will probably be useful to make early contact with the news editors of the main national (and any local foreign language) radio, television stations and newspapers to explain UNHCR's role. Stress that every priority is being given to the needs of the emergency and give a contact reference, should further information be required.

Information sharing with the government

23. The government may be sensitive to coverage of the refugees, and early contact should be established with the official press office or information service. General statements or press releases should be shared with government information services and the department handling refugees and UNHCR. Statements relating to joint government-UNHCR actions may have to be cleared with the government first.

Field/Headquarters information sharing

24. A regular and swift exchange of information is essential. Many questions on the operation will be asked directly in Geneva and New York. There is a UN press briefing in Geneva every Tuesday and Friday morning, in which UNHCR participates, and a weekday press briefing at noon in New York by the spokesperson of the Secretary-General. In

addition, UNHCR calls special news conferences whenever necessary.

25. The Public Information Section at Headquarters must have access to up-to-date information. The Field should therefore:

- keep media interest in mind when reporting to Headquarters (for example in sitreps);
- provide information (in sitreps or separately) on matters likely to be of specific press interest;
- send reviews of local media coverage to Headquarters.

26. In addition, if the Field has given an interview with a major foreign newspaper or network, or if a foreign correspondent has been aggressive or appeared unsatisfied with answers, the Public Information Section at Headquarters should be forewarned.

27. Similarly, the Field must be kept regularly informed by the Public Information Section at Headquarters of international media coverage. Important international media reports (including those based on briefings given in the field) may not be available in the field.

Press who contact Headquarters before going to the field should be clearly briefed that only limited attention and logistical support can be devoted to them by the field offices during the emergency phase.

Tips for interviews

28. Reporters generally respect the ground rules for an interview, provided these are clearly established in advance. The interviewer and interviewee should agree on type of attribution and how the interviewee will be quoted. For example: by name, "a UNHCR spokesman", "UN sources", "humanitarian worker", "sources in the international community", etc. An interview may need to mix full attribution for the facts, and no attribution for information on political considerations and constraints. Alternatively, an interview can be fully attributed and may often be tape recorded. An interview can also be for background information, and in this case what is said by the interviewee is not attributed directly.

29. Radio and television interviews can provide good coverage for UNHCR's aims. They are, by definition, for full attribution. If this is not advisable because of particular sensitivities, avoid such interviews. Bear in mind that interviews on radio and television can be edited.

30. In all interviews and comments to the media, when in doubt err on the side of discretion. Considerable experience and self-discipline is needed to limit remarks to what was previously planned. Having agreed to give an interview or answer questions, showing hostility or irritation will nearly always be counter-productive, no matter how unreasonable or loaded the questions are.

31. UNHCR's work is difficult and mistakes will inevitably be made, but do not try to hide problems and difficulties.

Though it is important to be discreet, honesty and clarity are the best policy.

Most journalists understand these problems and respect efforts in what they know are very difficult conditions. In fact, it is almost always best to talk about problems before the media find out about them on their own – and they usually do. Finally, if mistakes are made, admit them and try to learn from them.

32. When a complete answer to a question is given and a silence ensues, leave it silent. There is no law stating that one has to say more than one wants or intends to say. It is better to pause to construct a response than to ramble. Do not suggest follow-up questions, unless it is in order to disseminate important information.

33. Do not ask for a story to be killed or suppressed. Attempts at censorship will backfire and are likely to generate two immediate consequences; stepped up investigation of the matter to be suppressed and an unfavourable story on the attempts to suppress it.

34. When in a press conference, especially with the electronic media, state the most important point at the beginning. In subsequent answers and statements, refer again to the most important point. When dealing with radio and television, keep answers short. Television and radio put severe restrictions on how much information can be used and long, drawn-out explanations and answers tend not to be used and the main point not covered.

35. Give direct answers to direct questions. If the facts are not known, say so, and offer to get back to the reporter with the information.

36. Sensitive political or policy questions should be referred to the main UNHCR field office. Responses to general questions about the situation should be made with UNHCR's mandate and goals in mind.

37. Take the initiative/control. Avoid answering speculative «what if» questions.

Be prepared to take the lead and direct the interview into positive areas of information about the operation.

38. Key things to remember for all interviews are:

- BE YOURSELF. While journalists are always on the lookout for a good story, they are not out to make your life miserable. So relax and be friendly. Look at the interviewer. Avoid nervous gestures and mannerisms. Keep your answers short and simple.
- BE POSITIVE. Do not criticize colleagues or other UN organizations and NGOs. We are all in the same boat.
- BE CONVERSATIONAL. When you talk to journalists, keep it simple and clear. Do not use the type of language found in many UNHCR internal documents. In everyday conversation, ordinary people don't use terms like «modalities», «durable solutions», «inter alia», «specific international protection mandat,», «NGO» and «implementing partner». Use examples that will make the information comprehensible to your audience.
- BE CONCISE. A 10-minute interview may end up being seconds on the air, or three lines in the newspaper. It is essential to crystallize your thoughts in a few quotable sentences.
- BE IDENTIFIABLE WITH UNHCR. If you are being interviewed for television, or if a photograph will accompany the report, try to get a UNHCR logo in the background – possibly a flag or on a vehicle, wear a UNHCR T-shirt or cap.

Guidelines for appearance on television

39. Key things to remember for television interviews are:

DO's

- Do make and maintain eye contact with the questioner, not the camera. Do not let your eyes wander.
- DO wear suitable subdued-coloured clothes. Normal working clothes for field conditions are fine – ties and suits are not appropriate.
- DO check your appearance before going in front of the camera, hair, buttons, zips?
- DO make short statements, each holding up on its own.
- DO remember to make your most important points as early as possible.
- DO, before you begin, discuss with the interviewer what line the discussion will take.

- DO remember that the interviewer and audience know less about your subject than you do.
- DO remember that any programme is likely to be edited before use.

DONT's

- DON'T smoke.
- DON'T wear sunglasses or jewellery.
- DON'T forget that the smallest mannerisms show up more obviously on television.
- DON'T fidget or fiddle with pens, pencils, lighters, etc.
- DON'T say "I think" too often. it sounds as though you are uncertain of your subject. Talk about "we" or "UNHCR" instead.

Visibility of the operation

40. In addition to working with the media to ensure coverage of UNHCR operations, emergency managers must pay attention to the visibility of the operation.

41. Proper identification of staff, vehicles, buildings and relief materials contributes to improved dialogue with beneficiaries, local authorities and partners.

In conflict zones, visible markings can be an important security measure for staff and property.

42. Staff should be visible and identifiable as UNHCR personnel. Visibility items for staff, vehicles and buildings are available from Headquarters (see Catalogue of Emergency Response Resources, Appendix 1). A visible UNHCR will help to show the beneficiaries and the outside world that UNHCR is present, active and delivering services to the refugees.

Funding and donor relations

Operational reserve

43. The availability of funds is a prerequisite for any UNHCR emergency action. The initial funding in an emergency for project, operations delivery and administrative support expenditure is likely to be allocated from UNHCR's Operational Reserve. Under the terms of UNHCR's Financial Rules (A/AC.96/503/Rev.7 issued 07 October 1999, Article 6 para 6.5), the Operational Reserve is established to provide "financial assistance to refugees and displaced persons in emergency situations for which there is no provision in the programmes approved by the Executive Committee" and to meet additional administrative expenditures resulting from those emergencies. Further details are provided in Chapter 4 of the UNHCR Manual and in Appendix 1, Catalogue of Emergency Response Resources.

Central Emergency Response Fund

44. **The upgraded Central Emergency Response Fund** (CERF) has been established by the General Assembly to provide a more equitable and timely response to identified core emergency humanitarian needs, in case of a sudden onset of new emergencies or for chronically underfunded crises. Under the revised scheme, the new CERF grant component will contain funds of up to US Dollars 450 million, depending on the voluntary contributions received. UN agencies and IOM are eligible to apply. All CERF grant components must address core life-saving humanitarian needs. The application is primarily field-driven led by the Humanitarian/Resident Coordinator of a given country who, together with IASC country team, will jointly discuss the priority projects.

Disbursements for rapid response: Under this category, funds shall be disbursed to provide an initial injection of funds for a particular emergency. In principle, a maximum of USD 30 million will be applied to any disaster or emergency for a project duration of maximum three months.

Disbursements for chronically underfunded crises: Grants for under-funded emergencies have been established with a view to providing and promoting an equitable response to core humanitarian emergencies. The implementation period is usually based on a calendar year. To determine the appropriate use of grants, the Emergency Relief Coordinator (ERC) will consult with the IASC to decide the countries for allocation. Such an exercise will take place twice a year. Firstly soon after the launch and the 'Kick-Off' of the Consolidated Appeals Process (CAP) in early January, and secondly, after the CAP midyear review in July. The allocations are not exclusive to CAP countries, and non-CAP countries can also be considered.

Procedures for application: In both categories above, Field shall discuss with the IASC country team the priority projects based on demonstrable/assessed needs and prepare the proposal based on the "CERF grant application form". It is highly encouraged that the Field Offices share draft application forms with Headquarters prior to their finalization, in order to keep a minimum quality and consistency of applications. Thereafter, all applications will be sent to ERC, by the Humanitarian/Resident Coordinator, with an endorsement/cover. No application will be considered eligible without such endorsement letters. After review, ERC will send an approval letter to the High Commissioner, based on which a Letter of Understanding will be prepared by Donor Relations and Resource Mobilisation (DRRM) and signed on his behalf. Throughout the process, Field is advised to keep DRRM and the Liaison Office New York informed of any follow up required.

For both grants, financial and narrative reports on the use of grants are mandatory.

The loan component of CERF will remain unchanged with a target level of USD 50 million and is used for cash advances to operational organizations and entities within the UN system. Generally, UNHCR would access funds from CERF in installments of USD 5.0 million, which can be very useful in cases of cash shortages. These advances are to be reimbursed as a first charge against income subsequently received, usually as a result of a CAP. Only under very exceptional circumstances do the rules allow for the non-reimbursement of allocations made from this fund.

For the CERF loan component, the Director of Bureau should initiate a request for CERF funds by addressing a memorandum to the High Commissioner for approval to request an allocation from the CERF. The memorandum is routed through the Head of DRRM, the Controller and Director of DFSM and the Deputy High Commissioner.

No request to the CERF shall be undertaken without clearance from the Controller and the Chief of DRRM.

Once the High Commissioner has agreed to the request, a letter requesting an allocation from the Fund is sent from the High Commissioner to the Under-Secretary General and Coordinator for Humanitarian Affairs. This letter should:

- define the purpose and objectives of the programme;
- specify the amount of money requested; and
- indicate the initiatives that are being undertaken to raise funds for this programme to allow for the Fund's reimbursement.

If agreed, OCHA will reply confirming that an allocation can be made available, the conditions that will apply and the reporting requirements. These two letters will constitute a formal exchange between the Organizations. In exceptional circumstances involving particularly urgent emergencies, OCHA may authorize advances prior to the formal exchange of letters. This must, however, be followed with a formal exchange of letters within 30 days.

Using existing funds

45. If an emergency develops in an existing operation, immediate funds may be available from those already foreseen for that operation or, if appropriate, from the Operational Reserve. Depending on the scale of further needs, and also on the time of year when the emergency occurs, a proposal for further funding could be made to the Executive Committee as a new current year project or as a new project for the coming year, or could be the subject of a special appeal.

Communicating needs to donors

46. Operational needs, progress and constraints must be clearly communicated to donors. A donor relations strategy should be established in the first days of an emergency and maintained for its duration.

47. Donor relations should be maintained through:

i. Briefing meetings and regular contact at field level between UNHCR staff and donor representatives. Regular briefing meetings (see paragraphs 3 to 11 above) with donors should aim to keep them up to date on actions being taken, protection issues, and any constraints.
ii. Regular contact and follow-up at Headquarters level.
iii. Regular updates on field operations.
iv. Involving donor representatives in missions to see refugee sites and other points at which assistance is delivered.
v. Indirect communication of operational needs through enhancing UNHCR's visibility in the media.

48. It is important to highlight UNHCR's protection and coordinating role when communicating with donors. Coordination must be a reality on the ground with UNHCR taking, and being seen to take, an appropriate leadership role.

49. Funding appeal or donor contacts are usually preceded by the official approval and establishment of the (new) emergency programme by ORB. There are no exceptions to this. This is necessary to ensure funding is targeted where it is most needed, to provide consistency in operational priorities and objectives, and in communicating these priorities to donors. Several sections in UNHCR brief donors and it is important for the organisation's credibility that the briefings be consistent. In case of doubts regarding what should be presented to donors for funding, contact the Donor Relations and Resource Mobilization Service at Headquarters for advice.

50. Steer donors towards funding those activities or areas of the operation that are most in need of funding. When appropriate, promote regional funding. Do not forget that the emergency may have a regional dimension. Include this, and other elements of the UNHCR operation, in the briefing and be prepared to discuss funding for all aspects of the operation with donors.

51. Contributions tightly earmarked to one aspect of the operation impede flexibility. Sometimes substantial contributions are strictly earmarked and there is little scope for amending budgets once they are approved. Donors should be encouraged to make un-earmarked contributions whenever possible. However, if donors do want to earmark a contribution to a specific part of the operation, advise them to check with the DRRM at Headquarters to ensure that this portion of the operation has not been funded already, or offered for funding, to another donor.

52. Particularly in emergencies, donors may offer to supply in-kind contribution (i.e. commodities or services) rather than make cash contribution. To a large extent it will be up the Field to decide on the suitability of such contributions. The offer should be immediately reported to the DRRM and the donor requested to follow

up with Headquarters. In kind contributions need to be coordinated by Headquarters to avoid duplication of similar contributions by different donors, and to avoid confusion over the amount of cash versus total contribution.[1]

Preparation of a flash appeal

53. The primary document for communicating with donors is the Flash Appeal. It is the appeal which needs to be brought to the donors' attention at briefings, and it is the activities in the appeal against which progress should be reported. It can be done in the context of inter-agency appeals led by the humanitarian/resident coordinators with the support of OCHA; or individually by agencies.

54. Flash Appeals are prepared and issued by Headquarters with strong inputs from the Field. If a supplementary budget is established, the operational requirements will be consolidated by issuing a Supplementary Appeal. No appeal can be issued without the prior approval of ORB on the programme.

55. Whenever possible, the government should be consulted in the development of the appeal. The appeal should also take into account the results of the initial assessment, and the budget should cover all foreseen expenditures.

56. If the situation changes dramatically during the emergency, and the current appeal becomes inappropriate, then the Field should review operational objectives and agree the new direction with Headquarters before the revised operation is presented to donors.

Communication between the Field and Headquarters.

57. Headquarters and the Field need to work together closely on funding and donor relations issues. The focal point for this at Headquarters is the Donor Relations and Resource Mobilization Service. The Private Sector Fund Raising Unit at Headquarters may also issue submissions to the general public or aimed at individual or corporate donors.

58. Donor Relations and Resource Mobilization Service at Headquarters will:

- Advise how to deal with a particular donor.
- Provide latest information on funding for the operation.
- Follow up with Permanent Missions at Geneva and/or donor capitals on potential contributions discussed in the Field.
- Produce and distribute submissions (with the active participation of the Field).
- Prepare specific submissions to donor funding agencies (with the active participation of the Field).
- Finalize detailed reports to the donors.

59. The Field should:

- Produce the basic operation information and submission for the appeals.
- Inform Headquarters when a donor has indicated an interest in contributing funds, whether to the appeal, to a particular operation, to earmarked activities, or as a contributions in-kind, and should also ask the donor to follow up through the normal channels at Headquarters.
- Through Donor Relations and Resource Mobilisation Service, provide information to the donors about the current situation and UNHCR's plans. When deciding on a contribution, donors need relevant information. Some information will be in the flash appeal and given at briefings, but some donors require more detailed information. Timely and detailed responses will ensure the most rapid funding.

[1] *Further information on contributions in kind can be found in "Making Contributions In Kind to UNHCR – A Guide for Donors, DRRM October 2000".*

- Provide reports and information to Headquarters to assist it in submitting reports to donors. To ensure continuity of funding it is essential that the required information be provided from the Field without delay.

Reporting to donors and special requirements

60. A variety of reports are required by donors in order to account for their contributions and to release additional funds. Bear in mind that donor reporting cycles do not necessarily correspond to UNHCR's reporting and operation cycles.

61. Some major donors to UNHCR's emergency operation require particularly detailed reporting at both financial and narrative level in a unique format with strict deadlines. These special reports are prepared by the Donor Relations and Resource Mobilization Service at Headquarters on the basis of information from the Field. Some donors also monitor implementation directly through their local representatives.

62. A number of donors attach great importance to the visibility of their financial support, through the marking of assistance material and other means.

Formal written communications

63. When establishing a new UNHCR presence in a country, there is likely to be a need for a number of formal written communications to government or local authorities. The purpose of this section is to give brief guidance on the preparation of formal letters and "notes verbales" (formal notes written in the third person – see sample in Annex 2).

64. Formal letters are used for communications to ministers, ambassadors and senior officials (for example, the Director-General of a government department) on important matters.

65. Note the following points for written correspondence with ambassadors, ministers and other dignitaries:

i. The proper opening salutation is: "Sir" or "Madam", with "His/Her Excellency" used, if appropriate, only in the address. However, it may be local practice to begin and end with "Your Excellency". When in doubt check with UNDP or use "Sir". His/Her Excellency precedes all other titles and ranks (e.g. Her Excellency Dr. X Y; His Excellency General A B, Minister of the Interior).

ii. The expression "I have the honour ..." is usually used only in the opening sentence.

iii. "You" can normally be used in the text. However, in a long text it may be courteous from time to time to interject the more formal address (e.g. "I should be grateful if you, Sir, [or Your Excellency] would confirm that this is also the understanding of your Government").

iv. Formal letters end with "Accept, Sir/Madam/Your Excellency, the assurances of my highest consideration".

66. A note verbale is a formal note written in the third person. Notes verbales may be addressed to a Minister for Foreign Affairs or a Ministry of Foreign Affairs, an ambassador or an embassy. Notes verbales are always used in replying to an incoming note verbale. It is written from person to person (e.g. Representative to Minister) or office to office (e.g. Branch Office to Ministry). The following points should be noted:

i. Typical uses of notes verbales include the exchange of information between UNHCR and governments, embassies or permanent missions. The note verbale is not normally used to communicate with other United Nations agencies and is never used to address NGOs or the public. The note begins either, “The Special Envoy/Representative of the United Nations High Commissioner for Refugees in (country) presents his/her compliments to ... and has the honour to ...” or “the Branch Office of the United Nations High Commissioner for Refugees in (country) presents its compliments to ... and has the honour to ...”.

ii. Titles must be given in full, at least in the opening and closing paragraphs. Be sure to use the full correct designation of the country (Kingdom of ..., Republic of ..., Democratic Republic of..., etc.)2.

iii. The complimentary closing of a note verbale is always the same: “The (Representative/Special Envoy) of the United Nations High Commissioner for Refugees in (country) avails him/herself of this opportunity to express (renew) to ... the assurances of his/her highest consideration”, or, as appropriate, “The Branch Office ...” etc.

iv. The note should bear no signature. The Office stamp should be placed over the typewritten date and the officer responsible for its dispatch should sign his/her initials within the stamp. The Representative or Special Envoy and an alternate may be required to register their initials or even signatures with the protocol department of the foreign ministry.

v. The place and date should appear on the bottom right-hand side of the last page. The address does not appear on a note verbale.

vi. The text of the note verbale should be single spaced with double spacing between paragraphs.

67. Both formal letters and notes verbales may bear file references, as brief as possible, on the top left of the first page.

68. Notes verbales are always answered by notes verbales, and formal letters by formal letters. Apart from the restrictions on the use of notes verbales given above, there are no completely clear-cut rules about which to employ when UNHCR is initiating the communication. In general terms, the note verbale conveys brief information and is the normal form for routine exchanges with the protocol department, for example, when seeking customs clearance for relief supplies or advising of the arrival of international staff. References to important meetings with senior officials and major issues, particularly those already discussed, are better treated in a formal letter. A formal letter may also reach the action officer more quickly than a note.

69. If it is necessary to set out UNHCR’s position on a specific subject (policy, action taken, intentions, etc.), this may be done in the form of an aide-mémoire written in the third person. An aide-mémoire has no addressee and is simply headed Aide-Mémoire, with the title below. A similar purpose is served by a “Note by the Office of the United Nations High Commissioner for Refugees”, a minor difference being that this description goes below the title. An aide-mémoire would normally be used to convey information to a government ministry or department, an embassy or the diplomatic corps. For a less formal or wider distribution, the “Note by ...” form may be appropriate.

70. All four types of communication should be presented on UNHCR letterhead stationery.

Annex 1

MEMBER STATES OF THE EXECUTIVE COMMITTEE OF THE HIGH COMMISSIONER'S PROGRAMME

Algeria
Argentina
Australia
Austria
Bangladesh
Belgium
Brazil
Canada
Chile
China
Colombia
Côte d'Ivoire
Cyprus
Democratic Republic of the Congo
Denmark
Ecuador
Egypt
Ethiopia
Finland
France
Germany
Ghana
Greece
Guinea
Holy See
Hungary
India
Iran (Islamic Republic of)
Ireland
Israel
Italy
Japan
Jordan
Kenya
Lebanon
Lesotho
Madagascar
Mexico
Morocco
Mozambique
Namibia
Netherlands
New Zealand
Nicaragua
Nigeria
Norway
Pakistan
Philippines
Poland
Portugal
Republic of Korea
Romania
Russian Federation
Serbia
Somalia
South Africa
Spain
Sudan
Sweden
Switzerland
Thailand
Tunisia
Turkey
Uganda
United Kingdom
United Republic of Tanzania
United States of America
Venezuela (Bolivarian Republic of)
Yemen
Zambia

Annex 2 – Example of a Note Verbale

<table>
<tr><td align="center">NATIONS UNIES
HAUT COMMISSARIAT
POUR LES REFUGIES</td><td align="center">UNITED NATIONS
HIGH COMMISSIONER
FOR REFUGEES</td></tr>
</table>

Note Verbale

The United Nations High Commissioner for Refugees (UNHCR) Branch Office for *[the respective country]* presents its compliments to the Ministry of Foreign Affairs of ________________________________ and has the honour to request authorization to import *[two Toyota land-cruisers]*. It requests furthermore that the usual advice be sent to the appropriate authorities for exemption of payment of import duty, excise duty, registration and licensing fees for *[these vehicles]*. Details of (the vehicles) are as follows:

1. Bill of lading number:	TAN-P-C 16-11/25-03
2. Engine numbers of vehicles:	B-L-C 741-1334
	B-L-C 24-04-01

The Office of the United Nations High Commissioner for Refugees avails itself of this opportunity to renew to the Ministry of Foreign Affairs *[of the respective country]* the assurances of its highest consideration.

(stamp)

[name of place of UNHCR office in the respective country], [date]

Reference

Further information can be found in “Guide for UNHCR Field Offices on Donor Relations and Resource Mobilisation, July 2003”.