

Annex 1: Matrix of Personal Data, Non-Personal Data and Information

This Annex identifies the specific Personal Data, Non-Personal Data and Information that will be shared between the Agencies in accordance with the Addendum.

Data items indicated as Non-Personal Data or Information in column E will be shared in accordance with Section 4 and through the request form in Annex 2. Data items identified as Personal Data in column E will be shared in accordance with Section 5 of the Addendum and through the request form in Annex 3.

For the purpose of the Addendum and this Annex, Persons of Concern include refugees, asylum-seekers, returned refugees (returnees), stateless persons, internally displaced persons and host populations.

Table I. Assessment & Analysis

	A	B	C	D	E
			Data		
Ref	Process Step	Purpose	To be Shared	Type and Granularity	Classification
I.A	Situation Analysis	To understand the operational environment and the context in which the PoCs live (political, socio-economical, protection, security).	The data and information to be shared is to support the necessary understanding to ensure quality programmes and response, by making the maximum use of existing information and data. Examples of this type of information include (but are not limited to): (1) Primary/secondary data on the context; (2) Analytical products containing the primary/secondary data on the context; (3) Social media analyses (requests for the in-between anonymized data, most disaggregated as possible and in the existing format); (4) Community analysis at the household level; (5) Primary or secondary data on PoCs. Examples include: sex and age breakdown, highest level of educational attainment, occupation/skills, households or individuals with special needs, nutrition status of children < 5, case/household size, dependency ratio, crowding, access to assistance planned/received, access to employment, food security status, coping strategies; and (6) Proxy indicators of population figures from distribution data, especially where other population data sources do not exist or where other population figures need to be triangulated.	<ul style="list-style-type: none"> - Aggregate household or individual data - Qualitative and quantitative data and analysis - Reports and other dissemination products such as charts and maps. 	Non-Personal Data and Information
I.B	Assessment	To conduct a statistically representative assessment	(1) Anonymized, non-identifiable sample frame from which to draw the statistically representative sample. (2) Contact details of sampled households to be assessed (including information on location; mobile numbers when available).	Household	(1) Non-Personal Data (2) Personal Data
I.C	Thematic and Protection Analysis	To conduct trend analysis, risk analysis, protection analysis for the purpose of informing programming,	Analytical products and data sets from assessments and monitoring.	Household or community	Non-Personal Data

		advocacy or other humanitarian action.			
I.D	Market and Feasibility Assessment for Cash	To understand the capacity of potential financial service providers, national social protection systems, IT environment and the market	<u>(1)</u> Mapping data of financial service providers, capacity and regulations of financial service provider. <u>(2)</u> Assessment of the IT environment, how infrastructure can support cash <u>(3)</u> Market assessment and monitoring. <u>(4)</u> Mapping of existing social protection systems, including social safety nets. <u>(5)</u> Feasibility assessment for cash (which includes the above but also other elements).	Full data set from mapping or assessments	Non-Personal Data and Information

Table II. Targeting

	A	B	C	D	E
			Data		
Ref	Process Step	Purpose	To be Shared	Type and Granularity	Classification
II.A	Targeting and prioritization	To analyze and develop criteria for targeting based on common characteristics of households	List of anonymized, unidentifiable household-level data including variables such as household size, age, sex, arrival year, households with members with disability.	<ul style="list-style-type: none"> - Full list of the population for possible assistance in a given geographical area - Anonymized data for all PoC in the assessed population (at the case/household level) 	Non-Personal Data
II.B	Validation of criteria selected for targeting/prioritizing households for assistance	To understand and confirm the accuracy of the criteria proposed (process above) to identify households targeted/prioritized for assistance	A sample of households identified for assistance (with proposed criteria) and a sample of households not selected for assistance (not meeting proposed criteria).	<ul style="list-style-type: none"> - Statistically representative sample of PoCs - Household level 	Personal Data

Table III. Implementation

	A	B	C	D	E
			Data		
Ref	Process Step	Purpose	To be Shared	Type and Granularity	Classification
III.A	Identification for the Distribution List	Identify persons or households eligible for assistance	<p>List of PoCs (persons or households) eligible for assistance with relevant, appropriate and legitimate data fields proportionate to the purpose which could include:</p> <ul style="list-style-type: none"> - case/household ID number - size of household - case/household location/address - full name of head of household and alternative assistance collector - individual ID number of head of household (and alternative assistance collector) - sex of head of household and alternative assistance collector - date of birth of head of household and alternative assistance collector - indication if head of household and/or alternative assistance collector is disabled (in order to facilitate necessary support for them to access assistance) - sex and date of birth (year of birth or age cohort where date of birth is not available) of each individual within the assisted household - access to biometric data of head of household and alternative assistance collector, and in exceptional cases, transfer of biometrics - photo images of head of household and alternative assistance collector (when another form of biometric data is not being provided) - number of disabled in the household - mobile number of head of household or alternative assistance collector 	- Full list of persons or households eligible	Personal Data
III.B	Comprehensive assistance management after distribution	To update records of those receiving assistance in systems to ensure up-to-date data, all eligible are accessing assistance, financial/accountability reconciliation, and programmatic reconciliation.	<p>List of PoCs identified for assistance with relevant, appropriate and legitimate data fields proportionate to the purpose which could include:</p> <ul style="list-style-type: none"> - case/household ID number - case/household size - case/household location/address - individual ID number of head of household and alternative assistance collector - full name of head of household and alternative assistance collector - sex and date of birth (year of birth or age cohort where date of birth is not available) of each individual within the assisted household - disability indicator/status of each assisted individual within the household - collected/did not collect assistance (show/no show) and reason for no show - biometric verification status of collector (if biometrics are used during the distribution for identity authentication): <ul style="list-style-type: none"> - biometrically verified, - not biometrically verified but manually admitted, 	Full list of persons or households who received assistance	Personal Data

	A	B	C	D	E
			Data		
Ref	Process Step	Purpose	To be Shared	Type and Granularity	Classification
			<ul style="list-style-type: none"> - not biometrically verified but authenticated via alternative automated method (i.e., pin), - not verified biometrically and rejected - description of assistance provided (indicated at individual or household level) <ul style="list-style-type: none"> - Assistance sector/type - Modality of assistance - Transfer mechanism - Ration allocated/planned ration (commodity and quantity) - Ration delivered/actual (commodity and quantity) - Unit measurement of assistance - location of assistance delivery - date and time of assistance delivery - financial transaction data, including third party financial transaction data - date and time transaction set collected via the delivery mechanisms, if recorded or received from 3rd party (commercial service providers) - any reported inconsistencies claimed by the individual on the above mentioned data elements 		
III.D	Appeals and Complaints	To adjust programme design, targeting practices and delivery mechanisms.	Appeal and complaint data	- Statistics based on full list of complaints/appeals	Non-Personal Data and Information
III.E	Assistance Pipeline and Contingency Planning	For the purpose of understanding pipeline and constraints to inform joint activities related to contingency planning	Relevant information readily available in a country office. This could include: planned assistance, changes in commodities, planned distribution dates, changes in distribution dates, projected cuts to assistance.		Information

Table IV. Monitoring

	A	B	C	D	E
			Data		
Ref	Process Step	Purpose	To be Shared	Type and Granularity	Classification
IV. A	Outcome monitoring	To monitor PoC households or individuals receiving and not receiving assistance to facilitate review of the programme	(1) For sampling- a representative sample of PoC receiving assistance and those not receiving assistance (if applicable). (2) Anonymized data from outcome monitoring (data fields to be determined based on purpose/use). (3) Monitoring reports.	(1) Sample of PoCs (household or individual) assisted & non-assisted (2) Anonymized, non-personal household or individual data	(1) Personal Data (2) Non-personal (3) Information

Table V. Referrals

	A	B	C	D	E
			Data		
Ref	Process Step	Purpose	To be Shared	Type and Granularity	Classification
V.A	Referrals	To ensure PoCs are aware of and referred for appropriate follow-up	List of individuals with specific assistance and protection needs (according to agreed referral pathways), Personal Data to be shared to include: <ul style="list-style-type: none"> - Full name - Individual/head of household ID number - Date identified 	- Individual	Personal Data

Table VI. Metadata

The following metadata may be appropriate for Personal and/or Non-Personal Data and may be shared where relevant based on the nature of the data and request.

Field Display Name	Short description	Data Type
Date range data collected	Date range on which the data was gathered	dd.mmm.yyyy to dd.mmm.yyyy
Date file created	Date when this dataset record was created	dd.mmm.yyyy
Date modified	Date on which the dataset was last modified	dd.mmm.yyyy
File Type	Indicates what is contained in the file	Free text
Description	User-generated description of what the dataset is including the population, geographical coverage, and content covered by the data set.	Free text
Identifiability	Indicates if personally identifiable data is contained in the dataset	Picklist
Unit of measurement	E.g. individual, household, community, etc.	Free text
Operational Purpose of Data	The reason why the dataset is being shared including date/reference to the Request Record if pertaining to Personal Data.	Free text
Data collection methodology	Method of collecting data (including sampling method, questionnaire, analysis report, code books, data collection tools and analysis methods, and other information needed to understand the data and use it effectively and in accordance with data protection principles including purpose-specificity and proportionality.) Where Personal Data is involved, the nature of the informed consent (how gathered and what for).	Free text, additional documents
Version	User-generated version number; purpose is to indicate most recent version in case multiple attempts are made to satisfy a data sharing request	Decimal and/or date

Annex 2: Request Form for Non-Personal Data and Information¹

Dear [**INSERT NAME**],

Reference is made to the Data Sharing Addendum between UNHCR and WFP dated []. This request is subject to the provisions of the Data Sharing Addendum, in particular Section 4. All terms with capitalized letters herein refer to the defined terms in the Data Sharing Addendum.

1. Requested Non-Personal Data and/or Information

We kindly request you to share with us the

- (i) Non-Personal Data referred to in lines [] of Annex 1 for the purposes set out in column B of that line.
- (ii) Information referred to in lines [] of Annex 1 for the purpose set out in column B of that line
- (iii) The following Non-Personal Data and/or Information which is not referred to in Annex 1.

[Please insert the proposed periodicity for data provision (e.g. every month).]

2. Use of the requested Non-Personal Data and/or Information

We will handle all such Non-Personal Data and/or Information in accordance with Section 4 of the Addendum.

[Please delete, if not applicable:] Further, we intend to share this Non-Personal Data and/or Information with *[please insert name of third party]* because *[please insert the reason for the third party data sharing]*. Kindly provide your consent to this.

Within one week from the date of this request please kindly provide us with a written response indicating whether and when the requested Non-Personal Data and/or Information will be shared. If the requested Non-Personal Data and/or Information is shared, please also notify any flaws, gaps or other challenges in accordance with Section 6.1 of the Addendum.

3. Sharing of Non-Personal Data and/or Information

If shared, this Non-Personal Data and/or Information will be subject to the provisions of Section 4 of the Addendum.

4. Escalation Process

Any issue or disagreement with sharing the requested Non-Personal Data and/or Information may be resolved in accordance with the Escalation Process described in Section 7 of the Addendum.

Yours sincerely

¹ Informal request by a responsible person in the relevant Agency. The above text can be copied into an email or otherwise sent.

Annex 3: Request Form for Personal Data contained in Annex 1 and/or Personal Data not contained in Annex 1

Dear **[INSERT NAME]**,

We make reference to the Data Sharing Addendum between UNHCR and WFP dated []. This request is subject to the provisions of the Data Sharing Addendum, in particular Section 5. All terms with capitalized letters herein refer to the defined terms in the Data Sharing Addendum.

1. Requested Personal Data *[Please select as applicable:]*

We kindly request you to share with us the following Personal Data:

- (i) The Personal Data referred to in lines [...] of Annex 1 for the purpose set out in column B of that line in *[region/country]*.
- (ii) The following Personal Data not contained in the Annex 1 for the purpose of *[please insert description of the purpose for which the Personal Data is requested]*:
 - *[Please insert a description/list of the Personal Data requested]*
 - [...]

[Please insert how the requested data will be shared, in particular with respect to Biometric Data: Data Transfer/Data Access]

[Please insert the proposed periodicity for data provision (e.g. every month).]

2. Information Regarding Our Use of the Requested Personal Data

We would like to give you the following background information for the use of the Personal Data in order to permit you to evaluate this request:

- i. *Brief description of the project for which the Personal Data is requested*
- ii. *Name of any third parties with whom data will be shared*
- iii. *Security measures in place to guarantee data security*
- iv. *Short description of risks associated with the proposed use of the requested Personal Data*

3. Use of the Personal Data

We request and will process the Personal Data for the purposes set out above in Section 1. We confirm that each requested Personal Data element is necessary and adequate for the Purpose. We will process the Personal Data in accordance with the provisions set out in Section 5 as well as in accordance with our Data Protection Framework.

4. Your Response

Within one week from the date of this request please kindly provide us with a written response by indicating:

- whether and when the requested Personal Data will be available for sharing;
- the means by which you intend to share the requested Personal Data;
- any flaws, gaps or other challenges in accordance with Section 6.1 of the Addendum.

5. Sharing of Personal Data

If shared, this Non-Personal Data and/or Information will be subject to the provisions of Section 4 of the Addendum.

6. Escalation Process

Any issue or disagreement with sharing the requested Personal Data will be resolved in accordance with the Escalation Process described in Section 7] of the Addendum.

Yours sincerely

Signature of an authorized signatory of [*Requesting Agency*]

Response

We consent to your above request and will share the requested Personal Data by _____ (indicate timeframe). The Personal Data will be subsequently shared every _____ (indicate periodicity, if applicable)

The Personal Data requested above under [*please select as applicable: 1.(i) and/or (ii)*] cannot be shared because [*please state and justify the reason for rejection*].

Yours sincerely

Signature of an authorized signatory of [*Requested Agency*]