

## **GUIDANCE ON PROFILING INTERNALLY DISPLACED PERSONS**

Edited by the Norwegian Refugee Council's  
Internal Displacement Monitoring Centre and the  
United Nations Office for the Coordination of  
Humanitarian Affairs

## Note

The Inter-Agency Standing Committee (IASC) Working Group in June 2004 agreed on the need to develop an inter-agency framework of system-wide collection and analysis of IDP-related information. Following up on this decision, the IDP Profiling Guidance was developed in an inter-agency process led by the editors, the Norwegian Refugee Councils' Internal Displacement Monitoring Centre (NRC-IDMC) and the UNOCHA' Displacement and Protection Support Section (DPSS). A Steering Group comprising representatives of relevant agencies was formed to advise the editors. Members of the IASC Working Group were also consulted in the process. The Guidance was finalized in the framework of the Protection Cluster Working Group and the Camp Coordination and Management Cluster, which welcome the document.

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## Abbreviations and Acronyms

|          |   |
|----------|---|
| CAP      | Common Appeals Process  |
| DRC      | Democratic Republic of the Congo  |
| FAO      | Food and Agriculture Organisation                                       |
| GIS      | Geographic Information System   |
| GPS      | Global Positioning System   |
| HC       | UN Humanitarian Coordinator   |
| IASC     | Inter-Agency Standing Committee   |
| IDMC     | Internal Displacement Monitoring Centre                                 |
| IDP      | Internally Displaced Person   |
| IFRC     | International Federation of the<br>Red Cross and Red Crescent Societies |
| NAF      | Needs Analysis Framework  |
| NGO      | Non-Governmental Organisation   |
| NRC      | Norwegian Refugee Council   |
| OCHA     | Office for the Coordination of Humanitarian Affairs                     |
| RC       | UN Resident Coordinator   |
| RSG-IDPs | Representative of the Secretary-General for IDPs                        |
| SGBV     | Sexual and Gender-Based Violence  |
| UNHCR    | United Nations High Commissioner for Refugees                           |
| UNICEF   | United Nations Children's Fund  |
| WFP      | World Food Programme  |

# EXECUTIVE SUMMARY

This Guidance is designed to help Humanitarian Partnership Country Teams gather better data on IDPs by proposing different methodologies and providing advice on choosing the optimum method for a given country context. The Guidance also examines a series of related issues: how to obtain a better picture of who and where IDPs are, the difficulties of distinguishing them from surrounding communities and how to compile workable estimates for protection, programming and advocacy purposes.

## What is IDP profiling?

IDP profiling is the collaborative process of identifying internally displaced groups or individuals through data collection, including counting, and analysis, in order to take action to advocate on their behalf, to protect and assist them and, eventually, to help bring about a solution to their displacement.

## What is an IDP profile?

An IDP profile is an overview of an IDP population that shows, at a minimum:

1. Number of displaced persons, disaggregated by age and sex (even if only estimates)
2. Location/s

This is understood to be 'core data'. Wherever possible, additional information could include, but not be limited to:

3. Cause(s) of displacement
4. Patterns of displacement
5. Protection concerns
6. Humanitarian needs
7. Potential solutions for the group / individual, if available

Although an IDP profiling exercise is not the same as a needs assessment, the two are complementary: they can be conducted simultaneously to optimise resources, or one exercise can incorporate the methodologies necessary to obtain data for the other.

## Why profile IDPs?

Profiling IDPs is an important means of improving the availability and quality of information on IDPs to obtain a figure through a collaborative process that can be used both for country operations and global statistics. Timely and reliable data can lead to a better understanding of an IDP situation in a particular country or area within a country. This should improve the quality of advocacy and programming on their behalf, in turn leading to better resourced and more targeted means to protect and assist them.

## When to profile IDPs?

Whenever statistics on IDPs are unclear, unreliable or out of date, a profiling exercise would be advisable to establish a new figure through a collaborative process. Insufficient or outdated information can limit effective advocacy to protect or assist IDPs whose circumstances may have changed over time. When numbers are suspected to be inflated, or conversely, too low, verification may be necessary in order to adjust aid delivery accordingly.

## Who should do the profiling?

National authorities have the primary responsibility to provide protection and assistance to IDPs within their jurisdiction. As such, wherever appropriate, the **national authorities** should lead a profiling exercise, with international agencies playing a supporting role, if necessary.

Where the national government is unable or unwilling to assume this responsibility, it is the role of the **United Nations Resident and/or Humanitarian Coordinator (RC and/or HC)** to initiate a profiling exercise, in consultation with the Country Team. It is not expected that the HC and/or RC will actually lead the process but that a member of the Country Team will do so on his or her behalf.

Alternatively, the initiative may be taken, in consultation with the RC and/or HC where relevant, by field-based managers or local committees in a specific region of the country who need better information on new or evolving IDP populations in their area.

The main point is that, at all times and in all locations, profiling should be a commonly-agreed process among the various involved actors, although this does not rule out the conduct of separate needs assessments by different agencies for their particular purposes.

In many contexts it may be necessary to engage professional demographers to carry out a profiling exercise given the complexities that require their special skills and techniques.

## How to profile IDPs?

The dilemmas faced by practitioners include how to get a commonly-agreed population count when people are on the move and/or inaccessible, as well as how to distinguish IDPs from other people living in the community. The methodologies proposed in Chapter Three of this Guidance represent some of the most practical and widely used, their applicability subject to circumstances and resources.

# INTRODUCTION

## 1. Background and rationale

Obtaining reliable data on internally displaced persons (IDPs) is challenging. In most countries affected by internal displacement, existing data on IDPs and the conditions of their displacement is incomplete, unreliable, out of date or inaccurate. This presents a key obstacle to effective advocacy, the improvement of IDP protection and the design of targeted assistance programmes.

Recognizing the problem, in June 2004 the Inter-Agency Standing Committee (IASC) Working Group agreed on the need to develop an inter-agency framework of system-wide collection and analysis of IDP-related information<sup>1</sup>. It since became clear that guidance in data collection methodologies was required in order to systematise data collection by various governmental and non-governmental actors.

## 2. Purpose of the Guidance

This Guidance is designed to help humanitarian actors reach, to the extent possible, a commonly agreed number of IDPs in a given location/situation by proposing a variety of profiling methodologies that will in turn help the development of better-targeted and funded programmes to protect and assist IDPs and support their future plans. In many cases it will need to be acknowledged that this figure may not, for a variety of reasons, accurately reflect the real scale of displacement.

Arriving at a commonly agreed number of IDPs implies knowing who and where IDPs are and being aware of the multiple difficulties in identifying them. This Guidance therefore examines the IDP definition according to the Guiding Principles on Internal Displacement<sup>2</sup>, the situations in which they can be found, their particular concerns as IDPs, when profiling is appropriate, common pitfalls encountered during profiling, and how to profile them.

**Important to note** is what these Guidelines do *not* aim to do, namely, to suggest privileging the particular needs of IDPs over those of other vulnerable population groups. Yet it is necessary to point out why IDPs are a specific category of concern to the international community along with, but distinct to, other population groups who may also have specific needs.

It is also important to point out that obtaining demographic data on IDPs and finding out what their needs are, are two different exercises. However, as explained further down, there are obvious links between profiling and needs assessments.

This Guidance may not be necessary for every IDP context, where good data is already available and there are no constraints to refining and updating it. This Guidance does not aspire to be comprehensive but to examine the most common issues that practitioners need to be aware of and the dilemmas that they face.

## 3. Who is this Guidance designed for?

This Guidance is designed specifically for senior technical-level UN and NGO decision-makers at the country and sub-regional levels. It is also designed to help those tasked to conduct a profiling exercise who may be experts in conducting demographic surveys but may not necessarily know much about IDPs or their salient characteristics. They will need to understand who it is they are profiling, ie. who is an IDP, and be aware of the pitfalls involved in profiling.

In addition, this Guidance will be useful for:

- government officials leading or involved in a profiling exercise;
- headquarters of the above organizations and agencies;
- universities and research bodies;
- local associations – professional, cultural, religious, etc;
- the media;
- donors;
- other entities that work to advocate, raise awareness and mobilise resources on behalf of IDPs. This includes the Norwegian Refugee Council's Internal Displacement Monitoring Centre (NRC-IDMC), which is mandated by the IASC to maintain a global database on IDPs and provide credible statistical estimates of them<sup>3</sup>.

<sup>1</sup> Inter-Agency Standing Committee Working Group, 57<sup>th</sup> Session, 16-17 June 2004 <http://www.humanitarianinfo.org/iasc/content/documents/working/2004/>

<sup>2</sup> *Guiding Principles of Internal Displacement*, United Nations Publication, E/CN.4/1998/53/Add.2, 2001

<sup>3</sup> See Annex C for more details on the IDMC's global IDP database



## 4. Links to other data collection tools and exercises

This Guidance complements other inter-agency tools, either existing or under development under the auspices of the Global Protection Cluster Working Group (PCWG), including in particular the Inter-Agency Handbook on IDP Protection, which will provide operational guidance on how to deliver protection at the field level as well as the IDP Protection Framework, also under preparation, which is an assessment framework intended to assist humanitarian actors to analyze protection gaps experienced by IDPs and affected population and to develop appropriate strategies to remedy gaps and facilitate solutions.

Moreover, this Guidance can be used in conjunction with other data collection tools and exercises, such as:

- agency-specific and inter-agency needs assessment tools, in particular the IASC Needs Analysis Framework (NAF)<sup>4</sup> and the forthcoming inter-agency Protection Analysis Framework;
- needs assessments with built-in methodologies to undertake IDP profiling at the same time. Such two-in-one approaches could make use of scarce resources, especially if gaining access the affected population is likely to be difficult and/or expensive;
- socio-economic surveys on livelihoods.

The NAF and IDP Profiling Guidance are especially complementary tools: IDP profiling is likely to yield useful data and impressions on the general state of the local population, which could form the basis for preparing a full needs assessment, or a partial one in a specific sector where certain infrastructure, materials or services are lacking and vital to improving the welfare of the population.

## 5. Layout

**Chapter I** explores the **what** of IDP profiling: what it is for, why it is necessary and why IDPs need to be considered as a special category of concern to the international community, what kind of information is needed and when, who should take the lead on profiling and who else is involved, and what are the most likely timeframes available to profile in different circumstances.

**Chapter II** describes the **who** aspect of profiling: who IDPs are and common pitfalls in distinguishing them from other population groups. It also briefly examines the question of when to stop counting IDPs (expanded on in Annex B).

**Chapter III** looks at the **how** of IDP profiling, describing the different methodologies that can be used in different contexts and suggesting some of the advantages and disadvantages of each, what kind of information is needed and when it is appropriate to profile. It also gives useful tips on the approximate costs and time needed for each methodology to help managers decide which best fits the situation they are facing. A section on data management provides commonly used standards and methods on what to do with collected data and confidentiality issues.

**Annexe A** gives examples of some field practices in selected profiling methodologies, describing when and where they were used, the objective of the exercise, who was involved, costs and time taken and samples of the forms used.

**Annexe B** reproduces the *Framework for Durable Solutions for Internally Displaced Persons*.

<sup>4</sup> *The Needs Analysis Framework*, IASC CAP Sub-Working Group document, April 2005

## THE RATIONALE OF IDP PROFILING

### Key messages

- ◆ **What is IDP profiling?** The collaborative process of identifying internally displaced groups or individuals through data collection, including counting, and analysis, in order to take action to advocate on their behalf, to protect and assist them and, eventually, to help bring about a solution to their displacement.
- ◆ **Why profile?** To obtain better data on IDPs in order to respond better to their specific protection concerns in a given context. Reliable data is necessary for country strategies and operations, fund raising and advocacy. Better data is therefore a means to improve the humanitarian response.
- ◆ **Why treat IDPs as a special category of concern?** Displacement renders people more vulnerable to specific risks. Special measures are necessary to reduce these additional risks during displacement and to promote durable solutions, without prejudice to other populations of humanitarian concern.
- ◆ **Who leads the profiling?** The lead authority is preferably the national authorities but where this is not possible or appropriate it should usually be determined by the HC/RC in consultation with the Country Team.

### 1. What is IDP profiling?

IDP profiling is the collaborative process of identifying internally displaced groups or individuals through data collection, including counting, and analysis in order to take action to advocate on behalf of IDPs, to protect and assist them and, eventually, to help bring about a solution to their displacement.

IDP profiles consist of the following core data:

1. Number of IDPs, disaggregated by age<sup>5</sup> and sex<sup>6</sup>
2. Location/s

Wherever possible, additional information could include, but not be limited to:

3. Cause(s) of displacement
4. Patterns of displacement
5. Protection concerns
6. Humanitarian needs
7. Potential solution for the group / individual, if available

### 2. Why profile IDPs?

Profiling IDPs is an important means of improving the availability and quality of information on IDPs and to obtain a figure through a collaborative process that can be used both for country operations and global statistics. Timely and reliable data can lead to a better understanding of an IDP situation in a particular country or area within a country. This should improve the quality of advocacy and programming on their behalf, in turn leading to better resourced and more targeted means to protect and assist them.

A subsidiary benefit of profiling IDPs is that it may lead to a deeper understanding of specific vulnerable groups within the displaced population. This should help humanitarian actors assess where protection and assistance gaps lie, and to design appropriate programmes to support the coping mechanisms and livelihoods of *all* groups of humanitarian concern.

### 3. What kind of information is needed?

How to determine what data should be collected will depend to a large extent on the purpose and scope of the exercise, what is already known about the population group and what the gaps are.

<sup>5</sup> UNHCR standard age breakdown are: 0-4, 5-11, 12-17, 18-59, 60 and over. UNICEF standards are: 0-4 (under 5), 5-11 (under 12), 12-17 (under 18). For some programmes, the relevant breakdown could be Youth (15 - 24 years old). It is essential that partners in the profiling exercise agree on the age disaggregation category.

<sup>6</sup> It is acknowledged that these may only be best estimates in many cases, especially in sudden-onset emergencies or where IDPs are located in areas difficult to access. Estimates may be from primary or secondary sources and will need to be verified later on with more systematic methodologies.

### How do IDP profiling and needs assessments differ?

Needs assessments take a population group and determine what their humanitarian needs are without making a distinction between the different groups in need. The primary objective of IDP profiling is to identify IDPs, in particular their number and location, among other population groups. Often, IDP profiling has to be based on rapid observation rather than a detailed questionnaire, this latter being the main tool for gathering data in a needs assessment. Needs assessments pre-suppose access on the ground to affected populations – at least for a short time – whereas the challenges to IDP profiling include obtaining ‘core data’ about IDPs even when access is impossible. More elaborate IDP profiling exercises may seek information in addition to numbers and locations, in which case such exercises may provide a good basis for more targeted needs assessments. Although there may be overlapping purposes between needs assessments and IDP profiling, they remain complementary to each other and can be carried out in tandem if appropriate and desired.

#### 3.1 At the headquarters level

Here the main needs are summary analytical data for the purposes of agency advocacy and fund-raising initiatives in global capitals, including the annual Common Appeals Process (CAP). Figures are compiled by the Norwegian Refugee Council’s Internal Displacement Monitoring Centre whose global IDP database<sup>7</sup> tracks country statistics and updates the global IDP figure. Minimum ‘core data’ is often the only information available, but is nevertheless crucial for statistical updating.

#### 3.2 At the country level

The information required is much more detailed, depending on the circumstances within the country that permit or constrain detailed profiling. Managers should know at least some context-specific data on IDPs in order to design or modify their protection, support and assistance programmes, conduct advocacy and fundraising initiatives locally. However, adverse circumstances within the country may affect the ability to acquire or update this data. In such cases a commonly-agreed estimate provided by secondary sources may be the only possibility.

### 4. Who takes the lead in IDP profiling?

National authorities have the primary responsibility to provide protection and assistance to IDPs within their jurisdiction. As such, wherever appropriate, the **national authorities** should lead a profiling exercise with international agencies playing a supporting role if necessary.

Where the national government is unable or unwilling to assume this responsibility, the **United Nations Resident and/or Humanitarian Coordinator (RC and/or HC)** should initiate a profiling exercise, in consultation with the Country Team. It is not expected that the RC and/or HC will actually lead the process but that a member of the Country Team will do so.

Alternatively, the initiative may be taken, in consultation with the RC and/or HC, by field-based managers or local committees in a specific region of the country who need better information on new or evolving IDP populations in their area.

Whichever entity or agency takes the lead, the process must be a collaborative and transparent one, involving all relevant partners in deciding when to do it, by whom, which methodology/ies to use, resource-sharing arrangements, the pooling of information – and arbitration, through consultation, on differing estimates and statistics.

### 5. Time factors in choosing methodology

Timing may influence decision-makers in the choice of methodology and the amount of time available to collect valid data may depend on the phases of displacement or other circumstances. The following is a rough guide for the time most likely to be available for planning and implementing a profiling exercise. For instance, in a sudden onset emergency, information about those fleeing will be needed not in two weeks but in a matter of hours, or at most, days. In more stable circumstances the choice of profiling tools will be much wider, and the expected level of detail and quality of data much higher, because the time available to do the profiling will be longer – although other factors may limit the choice.

| Circumstances          | Time available        |
|------------------------|-----------------------|
| Sudden onset emergency | 24 – 72 hours         |
| Slow onset emergency   | One week – two months |
| Protracted emergency   | One – three months    |

<sup>7</sup> See <http://www.internal-displacement.org>

## 6. When to conduct periodic updates

In many countries in which profiling exercises are undertaken, the question of when to update the profile will be driven by the CAP. As such, information should be updated twice a year: once during the CAP preparation for the coming year and again for preparation of the Mid-Year Review. This might prove difficult in some cases, especially in situations of acute conflict where forced displacement is a recurring feature. In more stable or protracted situations, the displaced population may not be changing so frequently and there may be no CAP process in place, but there still may be a need for occasional updates.

Some factors to bear in mind and raise for discussion in any specific context might include:

- What would be the added value to the IDPs in obtaining updated information?
- Access: security, time of year (eg. difficult during rainy season), isolation?
- Timing – is some event occurring in the country, such as an election or a renewed outbreak of fighting, that might jeopardise an update exercise?
- Interview fatigue;
- Risk of data being skewed or inaccurate, thus little point in attempting to update previous records;
- Resources – human, financial and time;
- Is this a priority activity or merely a routine exercise?

The answers to some of these issues may help managers decide the appropriate course of action.

If population movements are occurring on a regular basis, it can be helpful to form a dedicated ‘population movement committee’, as is the current practice in Eastern DRC and Somalia. These committees, including a broad participation of local authorities, NGOs and community leaders, try to obtain regular data on fresh IDP movements in both directions, ie. persons fleeing and those returning home.

## 7. Profiling challenges

Profiling is a complex undertaking and there are a number of challenges that must be taken into account in designing and implementing a profiling exercise:

- **IDP Participation:** A common tendency is to omit, or not take sufficiently into account, the views and perspectives of IDPs, or ensure their active participation in implementing a profiling exercise, whereas it has been proved that IDP self-profiling can yield the most accurate data<sup>8</sup>.
- **Lack of Access:** Certain areas may be inaccessible due to security or the type of terrain, making it difficult to obtain accurate data about the displaced population. In such cases, estimates based on secondary data will need to be used as the authoritative ‘humanitarian figure’ until it may be possible to conduct a more detailed profiling exercise.
- **‘Visible’ and ‘invisible’ IDPs:** When people are forced to flee, some may congregate in public places such as public buildings or schools, and be clearly visible as IDPs. Others may be less visible, for example, those who stay with friends or family. It is this latter group that is difficult to locate and document. Profilers need to bear in mind that different methodologies are usually required to gather data on visible and invisible IDPs. To obtain greater accuracy in these circumstances, especially in the early stages of a displacement crisis, a better estimate of the total displaced population might be obtained by using census data covering the area from which people have fled (if available), rather than making a head count of only those IDPs who are visible and easy to access. More detailed profiling can take place at a later stage, if appropriate, to obtain a more accurate picture.
- **Willingness to be profiled:** IDPs may not wish to be identified due to fear of persecution or danger to them and their families. This should be carefully assessed during the planning phase, which should be participatory so that such concerns are taken into account from the outset. If such concerns cannot be overcome, information-gathering may be limited to secondary data. This also highlights the importance of assessing the impact of the various methodologies in order to choose the most appropriate for the circumstances.

<sup>8</sup> *Counting and Identification of Beneficiary Populations in Emergency Operations: Registration and its Alternatives*, London: Overseas Development Institute, Relief and Rehabilitation Network, Good Practice Review, September 1997

- **IDPs on the move:** Often IDP situations are so volatile that it is hard to distinguish between those who are still on the move, those who have moved part-way to where they ultimately want to be (either in flight, or return or resettlement areas) and those who are moving back and forth between their homes and hiding places or camps, and it is impossible to keep track of them due to their transitory characteristics.
- **Choice of profiling team members:** Choosing the 'right' profilers can be a challenge, achieving a mix of people with knowledge and background of ethnic or clan particularities to counteract bias.
- **Risk of omitting some IDPs:** Sometimes a sub-group of IDPs may be inadvertently omitted during profiling because of flaws in the design of the survey questionnaire. All methodologies should allow for the inclusion of all possible sub-groups, including those that have not previously been anticipated.
- **Pressures related to numbers:** In many country situations, there may be pressure from different quarters to limit or inflate IDP figures. Profiling, when done through a collaborative and transparent process, is an important and objective means of arriving at an agreed figure that can less easily be disputed.

## DEFINING THE POPULATION TO BE PROFILED

### Key Messages

- ◆ **Who is an IDP?** People who have been forced from their homes involuntarily but have not crossed an international border. The full definition and examples of some of the situations in which IDPs find themselves are given.
- ◆ **Challenges:** Multiple difficulties exist in profiling and identifying IDPs in different situations. We explore examples of the common challenges profilers may need to take into consideration in the planning stages.
- ◆ **How do we know if people are no longer displaced?** ‘Benchmarks’ and indicators of when circumstances are right for IDPs to no longer be considered as displaced are suggested as a guide.

### 1. Who is an IDP?

The **Guiding Principles on Internal Displacement** describes internally displaced persons as: “Persons 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 generalised violence, violations of human rights or natural or human-made disasters, and who have not crossed an internationally recognised state border”<sup>9</sup>.

This commonly-accepted description highlights two particular elements:

The forced or **involuntary** character of movement in order to avoid the effects of:

- Armed conflict, generalised violence, human rights violations – or anticipation of such, including looting, burning or destruction of property and assets, sexual or gender-based violence (SGBV), torture, harassment, fear of being killed, kidnapping of family members, forced recruitment of family member to armed forces, militia or rebel group, ethnic cleansing, political persecution.
- Natural<sup>10</sup> or human-made disasters – or anticipation of such. Such disasters may cause people to flee involuntarily, and, as a consequence of their displacement they might become victims of discrimination and other human rights violations.
- Development activities: Construction or other development projects may cause people to lose or leave their homes. Development projects that are not justified by

“compelling and overriding public interests” or that are carried out with inadequate or no compensation, can be considered as arbitrary, contrary to Guiding Principle 6<sup>11</sup>. This might specifically affect nomads, Roma, urban poor, or other marginalised groups.

The fact that such **movement takes place within national borders**. IDPs remain entitled to the same rights and freedoms as the rest of the population. Unlike refugees, IDPs are not the subject of a specific international convention, because the national authorities of their country of habitual residence have obligations towards them under various bodies of law, including, most notably, national law as well as international human rights law the state has ratified, and, if they are in a territory of armed conflict, international humanitarian law.

### 2. Identifying IDPs

IDPs are found in a wide range of locations and situations, including, but not limited to:

- with host families, friends and relatives (urban or rural);
- in camps and similar settlements, collective centres, tents or makeshift shelter;
- in urban settings – often in slum areas – in and around major towns and cities where they intermingle with local communities;
- occupying public or private buildings;
- in transit between locations, with their livestock in search of grazing, or as ‘night commuters’ seeking safety from armed attack;
- hiding in forests or other rural camouflage where they have fled before or following an attack, or in fear of an attack;

<sup>9</sup> Guiding Principles on Internal Displacement, Introduction, para. 2. The *Annotations* refer to this paragraph as ‘a descriptive identification of the category of persons whose needs are the concern of the Guiding Principles’, in seeking to ‘highlight the descriptive and non-legal nature of the term “internally displaced persons”’. The term ‘definition’ is not used.

<sup>10</sup> Some disasters may not be totally ‘natural’, their occurrence often being due to direct or indirect human causality.

<sup>11</sup> Principle 6 refers to protection against a person’s being arbitrarily displaced from his or her home or place of habitual residence, including by apartheid or ethnic cleansing, situations of armed conflict, large-scale development projects which are not justified by compelling and overriding public interests, disasters - unless the safety and health of those affected requires their evacuation - and collective punishment. These are not exclusive.

- in diverse socio-economic situations and occupations; the description of IDPs does not distinguish between economic status and occupations;
- in any of the above areas where they would prefer to remain anonymous and discreet, not wishing to draw attention to themselves as IDPs for fear of arrest, eviction or other perceived threat.

IDPs often shift between these various situations or divide their families or become separated so that different family members may fall in different situations simultaneously. They can also be displaced for a combination of reasons due to disaster, development or complex emergency.

### 3. Identification challenges

Of course, it may be that not all IDPs will necessarily be in the sort of *relatively* clear-cut situations described above. There may be cases where it is difficult to ascertain the degree of involuntariness or coercion involved in the decision to leave their homes and where it is difficult to decide whether individuals or groups have special needs due to their forced displacement. Indeed, the Guiding Principles set the generic boundaries for describing IDPs by outlining the broad situations in which people can be considered as displaced. Using this description to fit the context should facilitate the task of profiling. However, in many cases there may be doubts as to whether some population groups fit the IDP description. Considerations to be taken into account include:

- acknowledging that people may become internally displaced either after suffering the effects of coercive factors or *in anticipation* of such effects;
- the nature of coercion or involuntariness experienced;
- the fact that people can become 'displaced in place' even though the original reason for their movement may have been voluntary (eg. migration for economic reasons, nomads cut off from their migratory routes, squatters evicted, etc);
- the possibility that there may have been several reasons for displacement, ie. a combination of conflict and disaster related factors, for example, as well as multiple displacement movements.

It is important to note that identification challenges are a common occurrence in profiling exercises, as clear policy guidance on a number of grey areas is currently not available. Where such difficulties arise, it is crucial that a consistent and commonly-agreed approach be sought at the country level, wherever possible. If there is need for additional expertise, or if differing views exist on how to address identification challenges, the RC and/ or HC or the specific actors leading the profiling exercise

could form a group of experts to advise the process. The group's recommendations should be shared with other interested parties and serve as a 'good practice' guide for similar circumstances. It would be helpful to qualify and quantify the examples where no decision can be taken, pending future policy guidance. Sharing lessons learned and profiling experiences can also enhance consistency of approach within the region, notwithstanding different contexts.

There are numerous examples of identification challenges, a number of which are illustrated below:

**Example 1:** IDPs may be unable to identify themselves as displaced or to cite any displacement-related rights violations. It is important to take into account the possibility that, if claims are not being voiced, this might be due to fear of retribution. Continuing violations of human rights may still be occurring but the individual(s) affected are at risk of being persecuted or killed if they denounce the perpetrator(s).

**Example 2:** People may appear to have moved for voluntary, or economic reasons. It may be assumed they are not IDPs – but their seemingly voluntary movement may have had roots in some form of coercion, danger or anticipation thereof, or, having left home voluntarily, that movement may have turned into an involuntary one if they subsequently became unable to return.

The guiding factor will be whether or to what extent involuntariness, or coercion, or anticipation of coercion or danger, were the main reasons for leaving. For instance, seasonal workers and other migrants might appear to move freely and without coercion, but they may have been displaced due to coercive factors that may take more time and effort to uncover. This includes nomads, a category of migrant<sup>12</sup>, who may have been forced to abandon their nomadic lifestyle for a variety of reasons beyond their control, involving conflict, disaster, development factors or a combination. Consideration of the reasons for an unusual movement of nomadic populations should carefully focus on the same elements that apply to non-nomadic populations to determine if their movement has been forced, ie. due to coercion, danger or anticipation thereof. Questioning, where possible, may often, but not always, enable one to determine the level of coercion.

**Example 3:** The Guiding Principles indicate that both nationals of a country and also those who have taken up habitual residence in the country can be considered IDPs if subjected to forced displacement. Thus, aliens who are legally present in a state's territory can also be IDPs. Displaced illegal aliens are usually not considered as IDPs, but do have a right to have their basic human rights respected and protected.

<sup>12</sup> Both groups are defined as people who move from place to place (in search of work or pasture respectively)

**Example 4:** Returning refugees and deported asylum-seekers who are unable to return to their place of origin or any other area of choice. This may be because the original violations that led to the displacement have not been addressed or because there are new and ongoing violations of their rights, such as illegal occupation of property left behind. Usually they are still considered as returning refugees by UNHCR, but may also be considered as IDPs. On the other hand, if they returned voluntarily to a place of choice and subsequently decided voluntarily to move somewhere else, there would be grounds to consider them as no longer displaced, especially if circumstances in their places of former residence have changed for the better. Failed asylum-seekers and other deportees cannot *automatically* be assumed to have suffered forced displacement in the first place, but neither can it be assumed that forcible return to their home country represents for them a durable solution.

**Example 5:** Individuals or families who claim that they received little or no compensation for their loss of land or property, or acknowledge receiving compensation but maintain it is of inferior quality, size or location to what they lost. These IDPs may not be experiencing any particular vulnerability or material need, but while they are unable to reclaim full enjoyment of their rights, they should still be considered IDPs (see *Framework for Durable Solutions for Internally Displaced Persons*, Annexe B). Alternatively, they may find themselves in a state of ‘protracted displacement’, and unable to improve their livelihoods.

**Example 6:** Combatants and those associated with them: porters, sex slaves, family members, etc. In situations of armed conflict, relief actions must be exclusively humanitarian in character and may only be intended for the civilian population. Combatants and those associated with them may indeed be internally displaced. However, while bearing arms or otherwise involved in the fighting, combatants shall not be recipients of humanitarian assistance or be profiled, whereas those accompanying them are often among the most vulnerable groups of IDPs and may need to be identified accordingly so that they can be included in protection strategies and programming.

**Example 7:** Disarmed and demobilised soldiers not in their place of origin, or those who cannot return to live safely or integrate there for various reasons, and have moved to another location;

**Example 8:** Displacement may be caused over a period of time. For example, farmers who have been forced by armed actors into growing certain crops that, after some years, have resulted in diminishing returns and the impossibility of earning a living. Their decision to leave could be mistaken as a voluntary decision for personal economic reasons rather than as a result of long-term coercion.

**Example 9:** The ‘displaced in place’: this might be a group of people who are in their original place of residence and have been arbitrarily evicted from their homes but, finding nowhere else to go, have returned to what might now be empty plots of land where their dwellings once stood. They continue to live in fear of further displacement and have no redress to their violated right to adequate shelter or compensation for having lost it.

## 4. When to stop counting

A critical issue in IDP profiling is that of when one actually stops counting IDPs. That is to say, when is an IDP no longer an IDP? The Guiding Principles outline three types of durable solutions to internal displacement: return to place of origin, local integration in the areas in which IDPs initially take refuge, or settlement in another part of the country, the latter two being termed “resettlement”.

In order to assist national authorities and other actors in determining when a durable solution has been reached in a specific case, the Representative of the Secretary-General on the Human Rights of IDPs has developed the *Framework for Durable Solutions for Internally Displaced Persons*. The Framework was welcomed by the IASC Working Group in March 2007 which also recommended its incorporation into humanitarian work. It is reproduced in Annexe B.

### Further reading

Guiding Principles on Internal Displacement:

[www.reliefweb.int/ocha\\_ol/pub/idp\\_gp/idp.html](http://www.reliefweb.int/ocha_ol/pub/idp_gp/idp.html)

Guiding Principles on Internal Displacement, Annotations: The American Society of International Law Studies in Transnational Legal Policy No. 2, 2000

Handbook for Applying the Guiding Principles on Internal Displacement, The Brookings Institution Project on Internal Displacement, 1999

Protecting Persons affected by Natural Disasters, IASC Operational Guidelines on Human Rights and Natural Disasters, 2006

Internal Displacement Monitoring Centre (IDMC), IDP database: [www.internal-displacement.org](http://www.internal-displacement.org)

Pro-Poor Livestock Policy Initiative, FAO:

[www.fao.org/AG/againfo/projects/en/pplpi/home.html](http://www.fao.org/AG/againfo/projects/en/pplpi/home.html)

Universal Declaration of Human Rights, United Nations:

[www.un.org/Overview/rights.html](http://www.un.org/Overview/rights.html)



## METHODOLOGIES

### Key Messages

- ◆ **New data collection exercise or review of existing data?** Conduct a desk review to identify information gaps. There may be sufficient information already existing. If an additional data collection exercise is necessary, set out clear objectives of the exercise, always with a view to it ultimately improving IDP protection. Gather as much background information as possible using a combination of secondary data.
- ◆ **Choose the best methodology** according to: objective of the exercise, level of detail required, accessibility, time and resources available, geographic spread, sensitivities of IDP population – ensuring that activities do no harm. A mix of methodologies helps to verify and fine tune data. Enlist specialists where necessary, to develop and adapt the methodology to the specific context.
- ◆ **Common data elements:** Ensure that the common data elements, including metadata, core data and country specific data, are reflected and collected in the profiling methods being used.
- ◆ **Profiling steps:** IDP profiling involves multiple steps: preparing and conducting the exercise, analysis and use of results. Plan carefully taking all factors into consideration.
- ◆ **Data confidentiality!** When collecting information that could be used to identify individuals, it is essential to give explicit guidance on whether, why, with whom and how it should be shared. This needs to be explained to the individual IDPs as well and their consent sought.

Any IDP profiling process should begin by asking: “**What is the purpose? And what is the scope?**” Is it to get new or revised estimates of the affected population and geographical location? To follow up reports that new displacement has taken place? To locate ‘hidden’ IDPs in urban areas? Initial profiling may lead to a more detailed needs assessment or humanitarian intervention, or be limited to passive monitoring. A revised profile of the population may require a change of strategy or confirm that the current one is correct. It is also essential to determine whether the scope of the exercise is national or local.

How to determine what data needs to be collected will depend to a large extent on what the purpose of the profiling exercise is, what is already known about the population group and what the data gaps are. For example:

- If the object of the exercise is to understand the number of IDPs in a given location, profiling can be limited to basic demographics.
- If it is for an existing group, certain data might be already available or updated data may be necessary to track population movements and trends.

- If it is to assess IDPs’ intentions and wishes, quite specific questions will need to be formulated.

A common feature affecting IDP data is the range of differing statistics and the fact that statistics tend to circulate from report to report without verification. A key concern is therefore to promote a harmonised approach to gathering data, even though the methodologies used might be different, in order to obtain consistent and comparable data sets.

### 1. New data collection exercise or review of existing data?

Having established the objectives of a profiling exercise, a decision is needed on which overall strategy would be best to achieve it. Is a **desk review** sufficient or should there be an additional data collection required?

The two approaches can be considered complementary or stand-alone. For instance it might be useful to conduct a full desk review of existing data in order to take stock of information already on hand, and then review the gaps that need particular attention. The desk review will assist

in assessing whether additional data collection would add value to different stakeholders, including IDPs and other population groups with specific needs. Once the review has been conducted, decisions can be taken on where, when and how to conduct a more comprehensive data collection exercise, focusing only on gap areas. This will narrow the scope of the profiling exercise and save resources. If resources are scarce or if other factors mitigate against a full profiling exercise, the desk review can be considered as a 'snap-shot' of the situation as it currently stands according to available data.

## 1.1. Consultation and cooperation

Whichever type of exercise is chosen – whether it is only a desk review or more detailed profiling – those leading the exercise should:

- inform and involve other interested stakeholders, including the government if possible, of what is being planned;
- consider establishing an inter-agency technical expert committee on data collection, to provide guidance on technical issues such as questionnaire design, sampling design and data analysis;
- base plans and decisions on obtaining the maximum advantages for the maximum number of stakeholders (ie. not just to satisfy an individual organisation's needs);
- maximise resources by encouraging other interested stakeholders, and where feasible, the relevant government departments, to collaborate in the exercise and share costs; and
- ensure results are shared with all interested parties.

## 2. Preparing an IDP profiling exercise

Regardless of the methodology, any profiling exercise will require a minimum of information about the geographical, demographic, social, political and economic context of the area(s) in question – the **baseline data**. 'Know before you go' should be a golden rule in displacement profiling. Baseline data can be obtained through a desk review or through consultation with the information source.

### 2.1. Desk review through secondary data

In any profiling exercise, the first step is to conduct a desk review using available secondary data. The objective of the desk review is to review and consolidate the baseline data regarding the IDP population as there may already be significant existing data concerning IDPs and their situation that could be collected and reviewed.

**Secondary data** is existing data that can be relevant and useful to the study but that was not collected for it<sup>13</sup>. In-country sources that can provide secondary data on IDPs include: local and national government officials, civil society groups, religious groups and tribal/clan elders, universities, human rights groups, local and international NGOs and UN and international organisations. As many sources as possible should be consulted, as well as humanitarian and human rights websites such as ReliefWeb, the IDMC IDP database, Human Rights Watch, Amnesty International, country profile sites and IGO/NGO sites<sup>14</sup>. An excellent source for baseline data is the census database of the national statistical office.

When using secondary data and sources it is important to:

- note the metadata, including the methods of data collection and criteria used by various sources to come up with the data;
- assess the quality of data by factoring in the local context in which various data providers operate;
- assess the reliability of the secondary data considering that it would have been edited, and take into consideration how it was edited.

The desk review could be a stand-alone exercise or the precursor to a more detailed and comprehensive profiling exercise. The desk review should aim to assess existing information and analyse the quality of the data taking into account the scope and the content of the secondary data. The various data should be triangulated to weigh the quality and relevance to the purpose of the IDP profiling exercise. This would allow for a better decision on what the additional data collection needs are.

For example, a desk review can be appropriate in situations where data on IDPs in various parts of the country already exists but has not been analysed in such a way as to give an overall picture of the national IDP situation. The review would therefore aim to obtain an updated estimate of the national IDP situation based on collecting, collating and analysing existing data and information, to present the picture at a specific moment in time for a specific purpose, such as the Common Appeals Process.

The advantage of a desk review is that it is a one-time effort and costs are relatively modest. On the other hand, its limitations include paucity of data and difficulty of reconciling conflicting data provided in previous reports. However, the resulting output would constitute an immediate new 'working estimate' and provide the baseline data for further detailed profiling exercises, surveys and updates.

<sup>13</sup> Primary data is collected specifically for the purpose of the study. For example, all data collected using the methods listed in Section 3 are primary data for the IDP profiling exercise.

<sup>14</sup> Websites include: [www.reliefweb.int](http://www.reliefweb.int), [www.internal-displacement.org](http://www.internal-displacement.org), [www.crisisweb.org](http://www.crisisweb.org), [www.amnesty.org](http://www.amnesty.org), [www.hrw.org](http://www.hrw.org)

## 2.2. Choosing the methodology

When a decision is taken to conduct additional data collection, there are various methods available to collect them. While all methodologies indicated in Section 3 below can be used in multiple situations, choosing the right method will be influenced by various other factors. If a certain methodology requires a questionnaire with which

to conduct interviews (primary data sources), its design is crucial for obtaining not only the information sought, but also to providing other information that cannot be pre-supposed to exist. It is important to ensure that as much information as possible is captured through interviews. The following table lists considerations which may contribute to the decision.

|  |  |
|--|--|
| <b>Level of detail</b>                   | <p>What is the objective of the profiling exercise? This would indicate the level and the type of detail to be collected and subsequently the method best suited to collect the information.</p> <p>If IDPs need to be individually identified then the available methods are more resource and time intensive than those that would provide a more generalised population profile consisting of numbers, locations and country specific additional data.</p> <p>When determining the objective, consider also what would be the added protection/other value to the IDPs in obtaining or updating information. Has it been clarified that this a profiling study, not a needs assessment, or are the two taking place together?</p> |
| <b>Accessibility</b>                     | <p>Feasible or difficult due to location:</p> <ul style="list-style-type: none"> <li>• security – including presence of mines or areas controlled by armed groups;</li> <li>• official restriction;</li> <li>• lack of agreement (eg. by armed groups);</li> <li>• time of year (eg. difficult during rainy season);</li> <li>• isolation;</li> <li>• terrain.</li> </ul> <p>Feasible or difficult due to context:</p> <ul style="list-style-type: none"> <li>• in host families;</li> <li>• in domestic employment or exploitative labour;</li> <li>• in urban areas;</li> <li>• other situations where IDPs do not stand out and can easily be overlooked.</li> </ul>  |
| <b>Time availability</b>                 | <p>What is the time available? In situations where the maximum amount of time for gathering IDP profile information is limited by operational or political concerns, estimation methods or key informant interviews may be the only feasible option for obtaining a picture of the IDP population.</p> <p>Timing is also important – is some event occurring in the country, such as an election or a renewed outbreak of fighting, which might jeopardise the profiling exercise?</p>   |
| <b>Geographical spread</b>               | <p>How far are the IDPs spread out:</p> <ul style="list-style-type: none"> <li>• in clearly defined locations such as camps, collective centres or informal settlements?</li> <li>• not clearly defined and/or mixed with local population in villages, towns or cities?</li> <li>• scattered in forests or bush or urban areas?</li> <li>• in hiding or preferring to remain anonymous?</li> <li>• in transit – ie. mobile?</li> <li>• in areas of return or resettlement?</li> </ul> <p>This again impacts on the timeframe available and on the sources that will have to be used.</p>  |
| <b>IDP perceptions and sensitivities</b> | <p>‘Interview fatigue’ is a noted problem in obtaining data from people who are not sure if any positive outcome for them will ensue from their responses, especially if these have been proven in the past to yield little or no protection or assistance. Also, some IDPs may have good reasons to wish to remain anonymous and may be averse to any attempt to profile them.</p>  |

|                             |   |
|-----------------------------|---|
| <b>Resources</b>            | Availability of resources to conduct profiling affects the selection of methodologies, as some are more labour and cost intensive than others. However, even having rough estimates can in itself be considered a protection tool by the mere fact of recognizing the IDPs' existence. It may also act as an advocacy tool for future intervention should the situation so warrant. Therefore scarcity of resources should not mean inability to obtain estimates or situation profiles.  |
| <b>Updating requirement</b> | The decision as to when and how regularly to update IDP information should be taken before starting with the actual profiling activities. For example, in a stable situation where there is no IDP movement, an initially more resource intensive methodology might be less costly in the long term because the updating will only require a fraction of the initial costs. On the other hand, a less resource intensive methodology that will have to be repeated as a whole within the same timeframe might end up being costly over the long term because of these repetitions. It is also useful to ask whether this is a priority activity or merely a routine exercise. |

In addition to the above, the process of choosing the profiling methods will usually involve the following considerations:

- whether the government is requesting assistance or has given its consent;
- positive and negative implications of any planned profiling intervention (the 'Do No Harm' principle); and
- possible aggravating factors and threats to population if the profiling does not result in anything tangible for them.

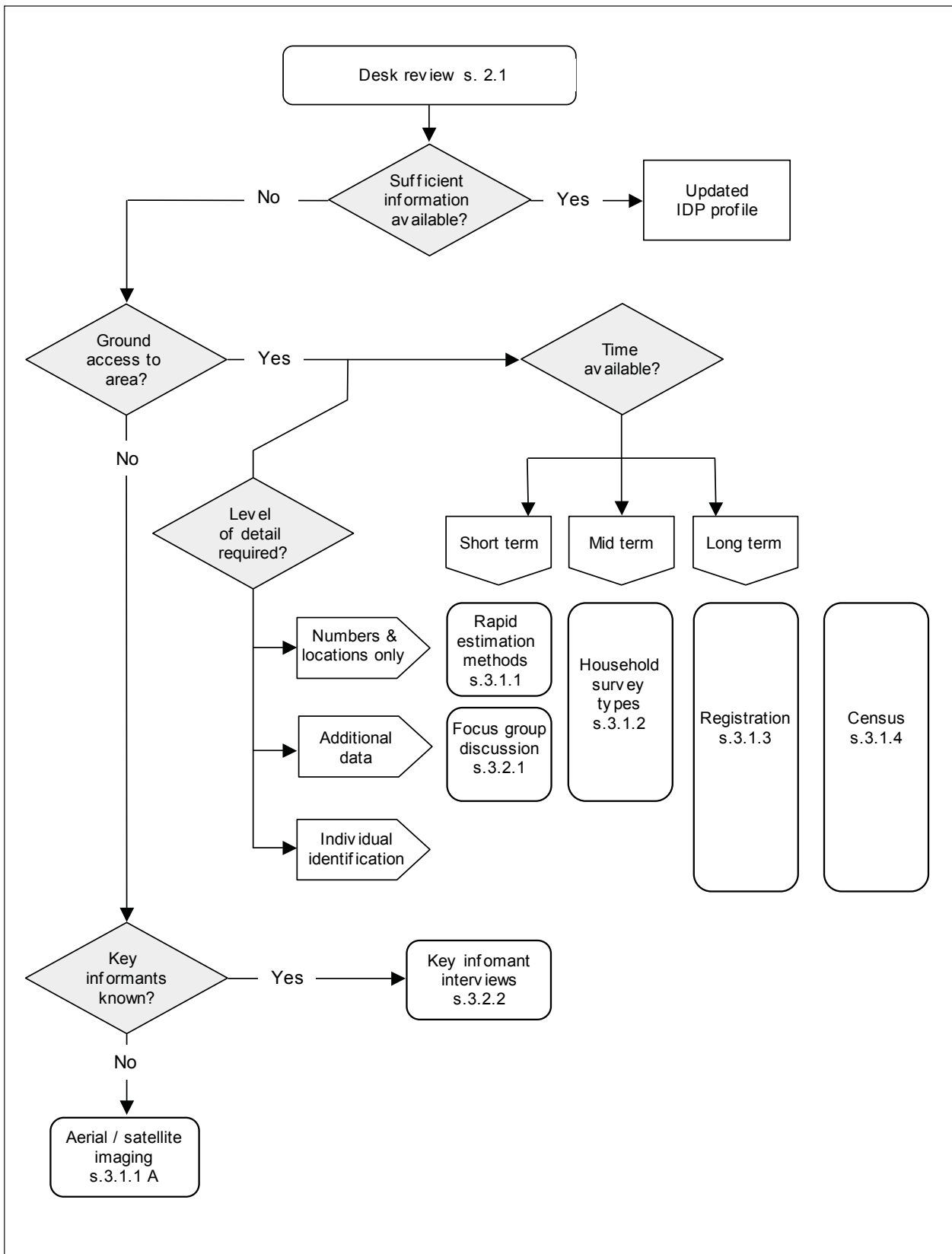
Depending on the objectives that have been determined for the profiling exercise, it may be conducted either in a specific area of a country or several areas concurrently, by any number of actors and using any of the methodologies described below.

A country-wide exercise would require a significant outlay in terms of time and staff resources, training and dissemination of materials, but would have the advantage of consistency of approach and capacity-building. Resource requirements would depend greatly on the geographical area under review, the methodology chosen, the quality and availability of personnel, and the complexity of the country situation.

The following 'decision tree' illustrates how appropriate profiling methodology can be chosen if the determining factors are accessibility, level of detail and time available.

**NB.** Most of the methodologies proposed in this chart can be used in different circumstances or phases of displacement.

Which methodology is most suitable?



Once the methodology has been chosen, it is essential to consider the expertise required to implement it. **As indicated below, most methodologies need specialists (persons with socio-demographic data collection experience) to develop the methodologies and adapt questionnaires to the country context.** For example, depending on the methodology and the analysis required, it may be necessary to have expertise on survey/research design, sampling, cartography and demography.

## 2.3 Common data elements

Common data elements are:

- Metadata;
- Core data;
- Additional information (specific to the country or situation).

All profiling methods should incorporate **metadata elements**, which produce information that helps to understand the data and allows for comparison to other IDP profile data – whether it is in the same context, from an earlier or later stage, or from IDP profiles that originate from entirely different locations, countries and continents. Metadata also allows for easy incorporation of key aggregate data into GIS and mapping tools. The minimum metadata to be included into all final profiling reports are:

- Scope of the exercise;
- Date and time of the profiling exercise;
- Location name: ie. where the profiling exercise took place;
- GPS location, reading or other geographical coordinates for the area of interest;
- Location type: eg. city, town, village, community, camp, collective centre, host family, in hiding (forest, bush), in transit, other;
- Name of organisation or government department conducting the exercise;
- Period of data collection (including the season).

This metadata should also be reflected in the questionnaires used to collect profiling information, if questionnaires are being used. At the questionnaire level, the following additional minimum metadata is required:

- Name of the person who collected the data, as well as of the interpreter if one was used, and signature/initials of both.
- Note field where the supervisor may include some relevant comments on the conditions in which the survey was conducted (special problem met, etc). This allows

the inclusion of special comments that will help to understand the information within the questionnaire or the inconsistencies within the data.

The IDP profile data are categorised into **core data** and **additional information**. These data elements should be common to any profiling methodologies.

Essential **core data** that should be routinely collected are:

- Number of displaced persons, disaggregated by age<sup>15</sup> and sex (even if only estimations)<sup>16</sup>. In cases where only population estimates are available and there is no possibility of obtaining a clearer breakdown of a population group, general population demographics of the country can be consulted to obtain further country-specific sex breakdown<sup>17</sup> and children's ages<sup>18</sup>.
- Current location/s. The location name should be standardised among agencies involved in the profiling exercise and GPS reading should be collected when feasible.

Additional information that should be collected to the extent possible and required includes:

- **Cause(s) of displacement:** The reasons for moving will be quite obvious to the observer in some contexts, while in others the actual causes for displacement of smaller groups of people might only be found after a series of interviews with community leaders or a sample of interviews with selected heads of household.
- **Patterns of displacement:** Displacement patterns can be recorded in a simple list of locations, times of departure and arrival. It is preferable to include causes for each and every such step, if possible, since the reasons for leaving a certain place at a certain date will most likely not be the same throughout the whole list but depend on changes of circumstance, threats, or even incentives to move.
- **Protection concerns:** These may apply to individuals and groups. It may be possible to identify protection concerns from only brief contacts with the population. Key groups of concern to look out for in the initial phase of displacement include: those most vulnerable to physical safety risks and/or violations of individual/group safety; unaccompanied children, missing or separated family members, older persons, persons with disabilities, pregnant or lactating women, survivors of SGBV in need of immediate assistance, etc.
- **Key humanitarian needs:** The identification of key humanitarian needs and the types of assistance required will in many cases only be possible through direct contact

<sup>15</sup> UNHCR standard age breakdown are: 0-4, 5-11, 12-17, 18-59, 60 and over. UNICEF standards are: 0-4 (under 5), 5-11 (under 12), 12-17 (under 18). For some programmes, the relevant breakdown could be Youth (15 - 24 years old). It is essential that partners in the profiling exercise agree on the age disaggregation category.

<sup>16</sup> Ages and sex profiles for the whole population and, if possible, for individual households are the most valuable information sets for assistance and intervention planning.

<sup>17</sup> Percentage of country population estimated to be women: [www.un.org/esa/population/unpop.htm](http://www.un.org/esa/population/unpop.htm), and [www.un.org/esa/population/publications/wpp2006/wpp2006\\_tables.xls#VII.1](http://www.un.org/esa/population/publications/wpp2006/wpp2006_tables.xls#VII.1) (list of statistics by sex and ratio)

<sup>18</sup> [www.unicef.org/statistics/index\\_step1.php](http://www.unicef.org/statistics/index_step1.php) (statistics customisable table)

with the population. If possible, the availability of basic social services in the area should be indicated though this might also be obtained from secondary data.

- **Potential solutions:** When direct individual and group contacts are possible, it would be important to begin, at an early stage, discussing possible durable solutions to their situation. Consideration should be given to the intentions of the displaced individual or group, ie. return, local integration, or resettlement elsewhere, and should take note of the current constraints in reaching a solution. Otherwise, people should be asked how they feel about their current situation and what they might want to change.

It should be noted that in most cases it will be necessary to conduct a comprehensive needs assessment to really understand the protection and assistance concerns of the affected populations.

Both the essential core data and any additional information that is collected should be represented in the final report of the profiling exercise, as well as any other elements such as:

- Data sharing agreements;
- Any constraints that impeded the collection of data or compromised its accuracy;
- Willingness of respondents to be interviewed;
- Difficulties in identifying IDPs and those where it was not possible to make such a clear identification, giving the reason;
- Any adjacent area that was not covered, but where there are IDP concerns that are apparently going unaddressed. Any other NGO or organization working in the area that could have also have IDP estimates (to avoid double counting). It is incumbent on all organizations working in the same area to communicate to each other which parts of the 'shared' population groups they are working with, gathering information on, or specialising in;
- Sources of secondary information, if used.

## 2.4 Planning the overall exercise

Depending on the methodology chosen, IDP profiling will require significant preparation and resources.

### Resources

The availability of resources may be a deciding factor as to the methodology chosen. Resource needs that should be taken into account include:

#### Training costs:

- Training enumerators: international and local NGOs, civil society groups, local government officials etc. (times number of participants, board and lodging, transportation, incentives, training materials);
- Training data entry personnel (times number of staff, computer materials).

#### Implementation costs, such as:

- Preparation costs which could include obtaining aerial/satellite images, desk review or collection/analysis of baseline data, etc;
- Materials to conduct the study (pens, questionnaires, clipboards, mechanical counter devices, laptop/desktop/handheld computers etc);
- Enumerators – salaries or incentives;
- Workshop to train enumerators on individual TORs, methodology, operational procedures etc. (times number of participants, materials, per diem or incentives, transportation, food);
- Transportation of enumerators to sites, which could include use of cars, light aircraft, boats, bicycles, pack animals, etc. (times amount of fuel, fodder, per trip);
- Communications: mobile phones and scratch cards, satellite phones or radios (one per person, or one per team);
- Data entry clerks – salaries or incentives; or fees of data entry firm;
- Purchase or hire of electronic material for data entry: laptops, CDs, flash drives etc;
- Consultancy fees, transportation and ancillary costs of a locally or internationally-hired consultant (optional) to prepare and manage the profiling exercise, train trainers, collate and analyse the data and draft the report (times number of weeks and months).

#### Reporting and publication costs:

- Publication costs;
- GIS and population data mapping.

### Preparation and implementation

As concerns the preparation and implementation of the profiling project itself, it will be necessary to factor in the following activities:

- Stakeholders' discussions on objective, method, resources required (including logistical), area covered, desired output, desired outcome;
- Preparation of the IDP profiling exercise, including desk review/collection of baseline data, sampling methodology, questionnaire framework, training guidelines and analysis plan;
- Negotiations with/authorization from authorities at the national/local level;
- Sensitise military and/or other armed groups operating in the area;
- Sensitise population on various aspects of the exercise;
- Prepare and execute training exercise;
- Data collection phase;
- Data entry phase;
- Data analysis phase;
- Reporting phase;
- Publication/dissemination of report;
- Information mapping.

## 2.5 Data sharing and confidentiality

Most profiling methods will result in data which may identify a person or groups of persons. Population data management entails handling sensitive and confidential data both during and after its collection. Key concerns in any profiling exercise include:

- What to do with the data collected during the collection period?
- How to safeguard it at all stages and against whom or what?
- Who to share it with?
- When to update it?
- How to explain to those profiled what will be done with the information?

Preparations for IDP profiling exercises should, where possible, be made through a consultative process with all stakeholders, including IDPs. The above concerns should be agreed upon during the preparation phase.

Specifically with the IDP population, it is essential to obtain their consent prior to the start of the data collection exercise. Below is an example of a text to ensure that the IDPs are fully informed of the objective of the exercise.

Any individual data which can identify a person should not be included in reports unless sufficient safeguards have been put in place<sup>19</sup> or the IDP consents to being identified.

- Assess: why data should be shared with others, or why it should not be, and document the decision along with the reasons for reaching it.
- What data can be shared and with whom?
- What data must not be shared outside a defined group?
- What are individuals' rights to privacy and refusal to share data?
- Has consent to share been obtained from the IDP concerned?
- What might be the consequences of refusing to share data and how to explain the reasons for not sharing?

Circulation of confidential reports should be restricted but non-confidential reports should be shared with all intended users using locally defined population data sharing procedures. Organisations involved in profiling are advised to have systems in place to safeguard data that has been collected. Ideally, the raw data consisting of interview sheets, physical or electronic, should not be shared beyond the organisation in charge of data consolidation and analysis.

### To be read to respondent before beginning interview:

"Good day/etc. My name is \_\_\_\_\_. I am working on a research project with \_\_\_\_\_ University that seeks to understand the experiences of people living in \_\_\_\_\_. If you agree, I would like to ask you a series of questions about your experience. My questions do not have 'right' or 'wrong' answers. I only want to know about your life and what you honestly think and remember. You are free to not answer questions or to stop the interview at any time."

"This survey is not related to any program. Your responses will eventually help us to develop a better understanding of the experiences of people living in \_\_\_\_\_. What you say will be kept confidential and will not be given to the government or any other group. Your name will never appear in our research. I cannot promise you anything for your participation except my appreciation. Altogether this survey should take 30-45 minutes to complete. Are you willing to go ahead?"

*Urban IDPs Profiling Survey, Tufts University, Feb 2007*

<sup>19</sup> For example, when quoting an IDP, ensure that by the content of the quote s/he is not identifiable.



### 3. Demographic profiling methodologies

The following is a summary of the methodologies described in this section, for easy reference and for 'profilers in a hurry':

|   |   |
|---|---|
| <b>Desk review</b>  | A useful first step. Aims to obtain a view on what information is available, sufficient, outdated or simply non-existent. It also shows where the main information gaps lie and priorities for further data gathering. It should review both locally and internationally available information to the extent possible. The Internal Displacement Monitoring Centre's web database on IDPs in over 50 countries can be a particularly useful guide as it compiles estimates of populations displaced by conflict and generalised violence.   |
| <p><b>Quantitative methods</b></p> <p>These methods collect data on the whole population or part of the population in a way that the results can be extrapolated to generalise the whole population, in most cases.</p> |   |
| <b>Rapid population estimations</b>   | <p>Suitable for estimating the numbers and basic characteristics of the population in a short period of time, for example, when the situation is still not stable and there are IDP movements. Some methods can be used where ground access is not possible. However, in principle, ground access is needed to obtain a more accurate population estimation. Best used in a well defined geographic area, and additional information to capture the characteristics of the IDP population can be obtained during the estimation exercise.</p> <p><b>A. Area survey using aerial/satellite imaging</b><br/>Used for a broad picture of an ongoing movement, to estimate numbers or see what it is that people are fleeing from – and where they are moving to. Particularly useful when speed is of the essence and access is difficult or impossible.</p> <p><b>B. Flow monitoring</b><br/>People are counted while passing a given point (crossroads, bridge, ford, mountain pass, etc.) either throughout the movement (comprehensive) or with enumerators returning to the same spot at certain times of day or week (spot). Useful for estimating numbers during a mass movement of people, such as during an exodus from a given area or a return movement.</p> <p><b>C. Dwelling count</b><br/>Counts the entire number of huts or dwellings in a given area to obtain an estimated overall number of the people in that area. Can be combined with a survey to obtain additional information on the residents.</p> <p><b>D. Headcount</b><br/>Counts the entire number of people living in an area. More labour intensive than dwelling count.</p> <p><b>E. Headcount/dwelling count using sampling methods</b><br/>Using sampling methods, counts a subset of the population or dwellings and extrapolates the results to estimate the overall population figure.</p> |

|                          |   |
|--------------------------|---|
| <b>Household Survey</b>  | Consists of selecting a sample of part of the general population and generalising the results. Suitable for data collection at the household and at the individual level. The method is applicable when the population and ground condition are stable and it allows for a wider collection of additional information. Surveys can be used to identify IDPs within a larger population group. In this case, a cross-section of the population would be interviewed to be able to compare socio-economic or vulnerability differences between IDPs and local population. In IDP camps or settlements, another application of a household survey would be to ascertain and/or collect additional data.  |
| <b>Registration</b>      | <p>The primary goal of registration is to establish the identities of IDPs through detailed data collection at the individual or household level. The level of detail and scope of use of 'registration' data will differ among humanitarian organizations due to the purpose of registration. For example, gathering data for human rights monitoring or protection activities typically requires more detailed information on the individual and situation. On the other hand, registration for the purpose of assistance delivery programmes requires data in lesser detail and for a more limited purpose. Registration may take place in a phased approach, first at the family/household level and then at the individual level. Planning should also include provision for 'continuous registration' which aims to keep up to date all registration information obtained on a continuing basis.</p> <p><b>Caution!</b> <i>Data protection is extremely important in registration. Care should be taken to ensure that IDP data which allows for identification of an individual or household does not hinder the protection of the individual or household. Consent must be sought for data collection and use of data. Registration interviews are not IDP 'status determination' interviews. IDPs are citizens or residents of the country and need not 'apply' for any special status to be entitled to fundamental rights and protections. As such, the reasons why there needs to be a registration must be clearly defined before any registration exercise.</i></p> |
| <b>Population Census</b> | Usually conducted by national governments in intervals of 10 years. It covers the entire population of a country and besides individual data, a set of relevant socio-economic information is gathered for every household. Humanitarian actors may support governments and advocate that specific data on IDPs be obtained during the census exercise.   |

### Qualitative Methods

Qualitative methods are different from quantitative methods in that their final outcome may not necessarily be expressed in numbers only and that their way of data gathering does not need to adhere to statistical concepts. They complement the quantitative methods and are useful for the triangulation and interpretation of results.

|                   |  |
|-------------------|--|
| <b>Interviews</b> | <p><b>1. Focus group discussions</b></p> <p>Focus group discussion is a group discussion with the aim to better understand the IDP population. It is necessary to discuss the same sets of questions with different segments within the IDP population, to ensure that different views existing within the population are captured as accurately as possible. For example, with male and female groups; with adolescents, adult and elderly groups.</p> <p><b>2. Key informant interviews</b></p> <p>Key informant interviews are conducted for a very small number of pre-selected people who may hold relevant information. As with the focus group discussions, diversity is essential to obtain a representative overview.</p> |
|-------------------|--|

These are some of the most common methodologies used to generate estimates of population size and population profiles in different phases of displacement, in both disasters and complex emergencies. In most cases, primary data is gathered by direct observation of, or interaction with, the population being surveyed, using secondary data to triangulate findings.

The methodologies can be broadly divided into **Quantitative Methods** and **Qualitative Methods**. Quantitative methods obtain numbers. It is possible in some cases to extrapolate<sup>20</sup> numbers (quantities) to obtain a bigger picture, for example, overall population figures or number of persons in a specific grouping. Qualitative methods enable the capture of information about IDP populations that is less easy to measure, such as perceptions, opinions, preferences, motivations, etc. Information is collected through targeted interviews or group discussions to obtain an in-depth understanding of some issues within the group. The results of qualitative methods cannot be generalised as characteristics of the overall population, but greatly help in understanding the characteristics of the particular group.

What follows is not an exhaustive description of all possible methodologies but a range of tools from which to choose for use as appropriate to the context. While it is possible to view these methods as forming a kind of sequence, many of them can and should be used in conjunction with one another. Some methods may be useful only in producing population estimates; others may yield more data but could cost more time and resources. It is also important to realise that, in many contexts, no single method will provide all the information needed. Triangulation, cross-checking of data sources and systematic updating of information is necessary to form and maintain a reasonably clear and comprehensive picture of the affected population.

Each methodology listed below covers the following topics:

- Description of the methodology;
- Minimum data elements that should be collected when using the methodology;
- How it is conducted;
- Time and resources needed;
- Updating requirements;
- Pros and Cons of the methodology.

Further reference materials are quoted at the end of each grouping of methods.

### 3.1 Quantitative methods

The advantage of quantitative methods is that they can be compared because they use sound statistical designs to gather information. While the output of quantitative methods can be complemented by qualitative methods, written comments, maps and other narrative or graphical elements, they are essentially numerical and therefore easier to incorporate into existing data processing systems than the results of qualitative methods. Below are four broadly grouped methodologies under quantitative methods (not exclusive): 1) rapid estimation, 2) household survey, 3) registration and 4) population census.

#### 3.1.1 Rapid estimation methods

Below are descriptions of four rapid estimation methods commonly used in humanitarian emergencies (in some cases referred to as 'surveys'): 1) Area survey using aerial/satellite imagery, 2) Flow monitoring, 3) Dwelling count, and 4) Headcount. They can be conducted when speed is of the essence (ie. to obtain core data), or as a first preparatory step in the baseline data collection to conduct for example household survey or registration. In addition, two sampling methods are listed (quadrat and T-square) which can be used in conjunction with dwelling/headcounts and household surveys. Additional information on sampling is available under the section 3.1.2. Household Survey.

Population estimation methods are likely to be used for many IDP situations, for example, during early phases of displacement when people are still on the move; the influx is rapid and security is of general concern; and/or when access to the area is restricted. Ultimately though, due to the circumstances of many IDP situations, most of the methodologies are 'population estimation methods' that will yield 'population estimates' at best.

<sup>20</sup> See Section 3.1 for more details on extrapolating figures derived from the various quantitative methods.

## A) AREA SURVEY USING AERIAL OR SATELLITE IMAGERY

*Can only be implemented by experts. The project manager should set parameters for the area to survey, nature of data required, etc.*

### Description:

- This is a methodology to obtain population estimates at the community level.
- It is suitable for areas where ground access is either too difficult or where the area of interest is too large for a quick ground based profiling.
- It can be used for gathering information on location and approximate size of populations, their direction of movement and modes of transport as well as their proximity to natural or man-made hazards.

### Minimum data elements to be collected:

- approximate number of people observed from the air to be moving or gathered in group(s);
- direction of people on the move ie. between which likely starting point and where they are moving to, or where they are gathered;
- what, if anything, they have with them: eg. assets and livestock;
- mode of transportation: boats, cars, trucks, bicycles, pack animals (donkeys/mules, camels etc.), on foot;
- proximity of hazard/conflict: fire, flood, lava flows, mined areas etc;
- geographical aspect of land: arid and waterless, dried up rivers and/or water expanses, desiccated vegetation and crops, locust devastation, hurricane damage, forested, flooded, burnt, likely chemical devastation, nothing immediately observable that would give cause for flight;
- likely access points for assistance: roads, airstrips, ports, navigable rivers or canals, towns and villages, etc. and noting any particular access constraints;
- extent of informal settlement or camp that has been established by IDPs.

### Updating requirements:

Since the information collected can become outdated quickly depending on the mobility of the targeted IDP population, the images need to be retaken if other ground-based methods have not become feasible in the meantime. If the movement is very fluid, for example, updates may be needed daily or according to the judgment of the involved stakeholders.

### Reference:

www.unosat.org  
<http://miravi.eo.esa.int/en/>  
<http://earth.google.com>  
[www.digitalglobe.com](http://www.digitalglobe.com)

The IFRC found this useful in El Salvador, in the immediate aftermath of the 2001 earthquake, ie. when an area is cut off or otherwise impossible to gain access to by other transportation methods. After 3-4 hours overflying the area one has a complete overview of the geographical extent of the disaster ... "you can see which airfields are working, which bridges down, the logistics involved, the population centres – also where not to send people. Then you must get on the ground to get the quality".

*Quoted in IFRC's World Disasters Report, 2005*

### Time & Resources needed:

|                                       |  |
|---------------------------------------|--|
| <b>Minimum time required</b>          | 0-1 week   |
| <b>Staff</b>                          | Minimal  |
| <b>Transport &amp; Logistics</b>      | No surface transport necessary                                   |
| <b>Special Equipment or Expertise</b> | Aeroplane or satellite image provider, image analysis specialist |

| Method           | How it is conducted / Steps  | Strengths  | Limitations   |
|------------------|--|--|---|
| <b>Aerial</b>    | <p>Flying over the area of interest.</p> <p>1) Precisely specify the area with GPS coordinates.</p> <p>2) The images obtained should specify date and time of flight, what kind of plane and if possible photographic equipment.</p> <p>3) Once the pictures have been obtained, evaluate the pictures and narrative protocols recorded during the flight.</p>   | <p>Relatively quick if an aeroplane is available.</p> <p>Provides a 'snapshot' of the situation on the ground.</p> <p>Useful methodology when access on the ground is difficult/impossible.</p> <p>Identification of movement of all sizes of population groups, or to register coordinates of a stationary group.</p> <p>Information about immediate dangers, shelter situation, proximity of surface water, etc; Rapid information about suitability of settlements/camp location etc.</p> | <p>Expensive to hire plane.</p> <p>Risky if conducted in a conflict area (not advisable).</p> <p>Difficult to rapidly source all elements necessary (plane, pilot(s), fuel, mapping equipment, etc).</p> <p>Provides limited information about risks/capacities of people.</p> <p>No physical presence, minimal protection to IDPs.</p> |
| <b>Satellite</b> | <p>Acquiring satellite images from commercial, governmental or academic imagery providers.</p> <p>1) Precisely specify the area of interest with GPS coordinates and calculate its size for cost estimation purposes (see Annex A).</p> <p>2) Specify the image resolution needed.</p> <p>3) Specify a date/time frame within which the imagery needs to be acquired.</p> <p>4) Contact satellite imagery providers (eg. UNOSAT) for image acquisition and interpretation.</p> | <p>Satellite imagery allows for pictures without the risk of flying a small plane over a conflict area.</p> <p>Provides a 'snapshot' of the situation on the ground.</p> <p>Useful methodology when access on the ground is difficult/impossible.</p> <p>Information about immediate dangers, shelter situation, proximity of surface water, etc.</p> <p>Rapid information about suitability of settlements/camp location etc.</p> <p>Useful for future GIS mapping.</p>                     | <p>Expense of satellite imagery and of analyst costs.</p> <p>Provides limited information about risks/capacities of people.</p> <p>No physical presence, minimal protection to IDPs.</p>  |

## B) FLOW MONITORING

*Can be carried out by non-expert profiling teams*

### Description

- Flow monitoring is suitable for data collection at the group/community level.
- They are appropriate for situations that are – or may become – unstable, resulting in sudden population movements to an area or from an area of which the population profile is known.
- They are useful for estimating the changes in population size of a known IDP population within a well defined geographic area.
- In flow monitoring, enumerators can, if the situation allows, supplement their counting by stopping for example every 10th individual or household, and asking questions to obtain ‘additional information’. This will provide good information on what people are fleeing from, where from and to, whether they are all together or split families and why, what they are taking with them, etc. Questions need to be kept to a minimum in order to avoid people being held up and potential bottlenecks emerging. Much can be learned just by observing the flow – condition of the people fleeing, average number per household, ratio of men to women and children, range of children’s approximate ages, any particular vulnerabilities, means of transport being used, etc.

### Time & Resources needed:

Flow monitors have to be kept in place for as long as the in-/outflows from the area of relevance is continuing. The number of flow monitors is at least equal to the number of possible routes and important traffic points.

### Minimum data elements to be collected:

- Number of adults/children, males/females moving;
- Direction of movement;
- General comments/observations, eg. on general condition of those moving.

### Updating requirements:

While monitoring, it is advisable to provide daily updates on the size and the composition of the flow.

|                                       |  |
|---------------------------------------|--|
| <b>Minimum time required</b>          | Varies   |
| <b>Staff</b>                          | At least equal to number of locations that need monitoring         |
| <b>Transport &amp; Logistics</b>      | Minimal if staff is already placed at strategic in-/outflow points |
| <b>Special Equipment or Expertise</b> | Manual handheld counter  |

| Method                                 | How it is conducted / Steps  | Strengths   | Limitations   |
|--|--|---|---|
| <b>General flow monitoring methods</b> | <p>1) Place the people doing the counting (enumerators) at all significant entry and/or exit points such as:</p> <ul style="list-style-type: none"> <li>- Internal checkpoints;</li> <li>- Major road junctions;</li> <li>- River or sea ports;</li> <li>- Bridges;</li> <li>- Entry points to towns, camps, settlements, etc.</li> </ul> <p>2) Estimate arrival and/or departure rates, which, in turn, can be used to adjust population estimates.</p> | <p>Provides information on vulnerabilities and risks.</p> <p>Provides a snapshot of situation on the ground.</p> <p>Good methodology to use for IDPs on the move.</p> <p>Opportunity for information about the situation from which people are fleeing (if they can stopped to be interviewed).</p> <p>Presence: allows you to see and react (potential to interview, if there's time).</p> <p>Possible to provide assistance to population en route.</p> | <p>Resource intensive (eg. finding sufficient enumerators, training, time, expense).</p> <p>May not be possible to organise in time to collect accurate estimates of people fleeing.</p> <p>Needs prior organization so all resources can be rapidly deployed (necessary to foresee in contingency plan).</p> <p>Risk for enumerators if IDPs are fleeing from a very close conflict.</p> |
| <b>Comprehensive monitoring</b>        | Maintains presence of enumerators round the clock until the flows have stabilised. By counting most arrivals/ departures it is possible to use those numbers to make direct overall population estimates.  | Captures the characteristics of the population consistently.  | Labour intensive in comparison to spot monitoring.  |
| <b>Spot monitoring</b>                 | Places enumerators at selected points at selected intervals (several hours per day, for example, or on alternate days) to monitor movements. Estimations of arrival and/or departure rates can, in turn, be used to adjust population estimates.   | Slightly less resource intensive than flow monitoring.  | As with all sampling methods, some degree of randomization in place and time is necessary to avoid biased estimates.  |

## C) DWELLING COUNT

*Can be conducted by non-expert profiling teams*

### **Description:**

- This method is suitable for data collection at the household level.
- It is preferred for situations where the population is located in a geographically well defined area such as a camp or a settlement.
- A dwelling count is useful for obtaining a total count of houses/dwellings and an estimate for the number of individuals in the area and can be combined with establishing address systems or simple house numbering schemes. The key difference to the head count is that population figures are estimated based on the number of dwellings counted. As such the accuracy may be less in comparison to the headcount, but the dwelling count is less labour intensive.

### **Minimum data elements to be collected:**

- Total number of dwellings;
- Total number of inhabited/uninhabited dwellings;
- Total estimated number of people;
- Estimated age and sex breakdown;
- GPS location reading or other geographical coordinates;
- Location type: city, town, village, community, camp, collective centre;
- Comments, eg. to note constraints encountered in accessibility to the site or general condition of population;
- Comments/observations, eg. on general condition of dwellings and populations living there.

### **Updating requirements:**

In contexts of high IDP mobility the count should be updated regularly and as often as necessary. However, a good balance needs to be struck between counting and avoiding 'counting fatigue' by the IDPs.

### **Time & Resources needed:**

|                                       |  |
|---------------------------------------|--|
| <b>Minimum time required</b>          | Up to one week to prepare but only one day to conduct exercise |
| <b>Staff</b>                          | Proportional to coverage area                                  |
| <b>Transport &amp; Logistics</b>      | Proportional to coverage area                                  |
| <b>Special Equipment or Expertise</b> | Minimal  |



| Method                | How it is conducted/ Steps   | Strengths  | Limitations   |
|-----------------------|--|--|---|
| <b>Dwelling count</b> | <p>This method attempts to count each habitation in an area at a particular time, whether it is occupied or not. Should take a maximum of one day to complete (if area small or more enumerators).</p> <p>1) On a map of the camp or settlement, divide the area up for each enumerator or team of enumerators to cover. If this is a small area it may be possible to use only one team to cover it.</p> <p>2) Send enumerators through a settlement to record the number of houses – both occupied and not occupied. The enumerators need to enter the houses to confirm.</p> <p>3) Count/ask the number of residents at pre-set intervals depending on the size of the settlement (eg. every 20 houses).</p> <p>4) Calculate the average family size and multiply by the number of occupied houses.</p> | <p>Provides a rapid overview of the condition of people and their dwellings and possible immediate protection concerns.</p> <p>Provides a rapid overview of the number and occupation rate of dwellings.</p> <p>Less resource intensive than a head count since only houses need to be counted.</p> <p>Indicator of how many people are still living there or appear to have left.</p> <p>No specific expertise necessary.</p> | <p>Can be labour intensive if the coverage area is large and requires more than one team to cover in one day.</p> <p>Can give a false population estimate if not implemented correctly.</p> <p>Not appropriate when population is mobile, ie. moving from one place to another.</p> <p>It is intrusive.</p> |

## D) HEADCOUNT

*Can be conducted by non-expert profiling teams*

### **Description:**

- This method is suitable for data collection at the individual level.
- It is preferred for situations where the population is located in a geographically well-defined area such as a camp or a settlement, or at a distribution point.

### **Minimum data elements to be collected:**

- Total number of inhabitants;
- Age and sex breakdown of the inhabitants;
- GPS reading or other geographical coordinates;
- Location type: city, town, village, community, camp, collective centre;
- Comments, eg. to note constraints encountered in accessibility to the site or general condition of population, etc;
- Total number of inhabited/uninhabited dwellings, if using enumerator based headcounts;
- Comments/observations, eg. on general condition of people and, if appropriate, their dwellings.

### **Updating requirements:**

In contexts of high IDP mobility the count should be updated regularly and as often as necessary. A good balance needs to be struck between counting and 'counting fatigue' by the IDPs. Head counts are only quick to implement if enough personnel are available.

### **Time & Resources needed:**

|                                       |   |
|---------------------------------------|---|
| <b>Minimum time required</b>          | 0-1 weeks   |
| <b>Staff</b>                          | Proportional to total pre-estimated number of individuals |
| <b>Transport &amp; Logistics</b>      | Proportional to total pre-estimated number of individuals |
| <b>Special Equipment or Expertise</b> | Minimal   |

| Method                            | How it is conducted / Steps   | Strengths  | Limitations  |
|-----------------------------------|---|--|--|
| <b>General method</b>             | Systematically count everyone in a given area.  | <p>Direct access to people, allows for response and interventions.</p> <p>Provides a snapshot of population, displaced and host, as well as an appreciation of their possible immediate protection problems and general condition.</p> | <p>If the counting cannot be concluded within a timeframe of 2 - 6 hours then the result will be distorted and the resulting figure may be unusable.</p> <p>Wrong time of day chosen to implement may give false estimates of resident population.</p> <p>Not appropriate when population is mobile, ie. moving from one place to another.</p> |
| <b>Centralised headcount</b>      | Gathering the entire population to be counted in a central area.                          | <p>Less likelihood than enumerator-based headcount of missing someone.</p> <p>Less likelihood of double counting.</p>  | <p>Disadvantageous to the elderly, the disabled, single mothers and other groups with specific needs.</p> <p>Could lead to serious crowd control problems.</p>   |
| <b>Enumerator based headcount</b> | Send enumerators through a settlement to record the number of inhabitants of every house. | <p>Less stress on the groups with specific needs.</p> <p>Indicator of how many people are still living there or appear to have left.</p>   | <p>Labour intensive.</p> <p>Intrusive.</p>   |

## E) HEADCOUNT/DWELLING COUNT USING SAMPLING METHODS

### Should ideally be implemented by experts

Sampling methods can be used for dwelling counts and headcounts to extrapolate the results to obtain a population overview. This is less labour intensive as the counts are only conducted in the sample and not for the entire population. However, the selection of samples and extrapolation may need proper knowledge to reduce the margin of error in the calculation. Below are two sampling methods (quadrat and T-square). Further explanation on sampling can be found under Section 3.1.2. Household Surveys, and Annexe A (Methodology Examples).

### Description:

- Suitable for estimation at the community level.
- Best for estimating the size of a population where people are not on the move. Additional information can be obtained during the actual visit of the area.
- Methodology charts out sample areas. A dwelling counts or headcount is conducted within the sample and the results extrapolated to obtain the overview of the population.

### Minimum data elements to be collected:

- Number of occupants of shelter/house in the sample;
- Age and sex breakdown of occupants in the sample;
- GPS location reading or other coordinates;
- Location type: city, town, village, community, camp, collective centre;
- Comments, eg. noting constraints encountered in accessibility to the site or general condition of population.

### Time & Resources needed:

|                                |   |
|--------------------------------|---|
| Minimum time required          | 0-1 week  |
| Staff                          | Minimal   |
| Transport & Logistics          | Transport to survey area  |
| Special Equipment or Expertise | Expertise for proper implementation of sample selection<br>Mapping capacities |

### Updating requirements:

In contexts of high IDP mobility the estimates should be updated regularly, but this is cumbersome and potentially expensive, so these methods are not recommended to profile unstable or mobile populations.

### Reference:

“Estimating Population Number in Emergencies: Report of the Inter-Agency Technical Meeting”, prepared by Barbara Conte, Assistant Programme Officer, WFP. November 2006 © World Food Programme, Emergency Needs Assessment Branch (ODAN)

“Draft Instructions on Using Area Methods to Rapidly Estimate Population Size and Demographic Characteristics”, prepared by Alden Henderson for World Food Programme, 7 May 2007

| Method                               | How it is conducted/ Steps <sup>21</sup>  | Strengths   | Limitations   |
|--------------------------------------|---|---|---|
| <b>General Method</b>                | <p>A sample is identified and a dwelling count or head count is conducted for the sample.</p> <p>The count is extrapolated to estimate the overall population figures.</p>  | <p>Can provide basic information about vulnerable groups and possible immediate protection concerns when combined with other information gathering.</p> <p>Expedient and cost-effective.</p> <p>No knowledge required except for the location(s) of the population.</p> <p>Not costly.</p> <p>Usually fairly quick to plan and implement.</p> | <p>Dependant on the quality/reliability of sampling base.</p> <p>Depends on relevance of the unit size of sampling base.</p> <p>IDP movements affect pre-crisis data usability.</p> <p>Yields minimal information on population demographics unless combined with other data collection.</p> <p>Unreliable if implementation does not adhere to strict implementation of techniques.</p> <p>Collected additional information is often scarce and therefore not representative.</p> <p>Unsuitable for a mobile population.</p> |
| <b>Quadrat (area based sampling)</b> | <p>Quadrat demarcation uses a grid system to delineate an area within which every unit should be counted.</p> <p>1) Draw the borders of the area with GIS and GPS and overlay a grid over the map of the area; the number of grids is at least 10 times the number of grids that would be sampled.</p> <p>2) The population can be counted by counting all huts or individuals in every selected sample grid.</p> <p>3) The population of the wider review area is extrapolated from the number of huts or people within the survey area.</p> | <p>Well adapted to camp settings.</p>   | <p>Can be cumbersome to delineate the grids on the ground, and may require satellite imagery to draw the map.</p> <p>Require access to, and familiarity with GIS and GPS tools.</p>   |

<sup>21</sup> Table adapted from: *Estimating Population Number in Emergencies: Report of the Inter-Agency Technical Meeting*, Prepared by: Barbara Conte, Assistant Programme Officer, WFP. November 2006 © World Food Programme, Emergency Needs Assessment Branch (ODAN)

|  |  |  |  |
|--|--|--|--|
| <p><b>T-square (distance sampling)</b></p> | <p>T-square method is a different method of sampling using the combination of distance between dwellings and counts of the population in the identified dwelling.</p> <ol style="list-style-type: none"> <li>1) Survey teams navigate to random points and find the nearest house to that point (called primary house).</li> <li>2) The distance (d1) from the random point to the primary house is measured, and survey teams find the nearest house (T house) in the half-plane that excludes the random point.</li> <li>3) The distance from the primary house to the T house is measured (d2).</li> <li>4) Survey teams determine the household size for the primary and T houses.</li> <li>5) The distances d1 and d2 represent density and can be converted to population size.</li> <li>6) The population of the wider area under review is extrapolated from the number of people counted within the survey sample.</li> </ol> | <p>Provides more reliable results than classical transect walks.</p> <p>Does not require the size of the sample area.</p> <p>Expedient and cost-effective.</p> | <p>Distance from transit line must be measured accurately.</p> <p>The calculations to obtain the final population size estimate are complex and have to be done by an expert.</p> <p>Nearly always underestimates population density and size.</p> |
|--|--|--|--|

### 3.1.2 Household survey

While the main aim of rapid estimation methods is to quickly obtain population numbers, a household survey allows for more in-depth gathering of population characteristics and additional data. Before embarking on a household survey in an IDP setting, it is essential to clarify the objective of the survey, and the information that needs to be collected and then analysed. The objective should drive the scope of the household survey and ensure that it does not become purely an information collecting exercise.

One of the key elements in household survey is sampling. Sampling is the process of selecting a representative 'sample' out of a total 'sample universe' also called a 'sample frame'. The purpose of sampling is that it can drastically reduce the cost of the methodology, in terms of time, human and other resources, while preserving the accuracy of the data to the maximum extent possible. Random sampling ensures that each member of the population (the 'sampling universe') has a known probability of being chosen for inclusion into the sample. Two types of sampling are relevant for IDP profiling: *simple random sampling* (see Annexe A, Household Survey example 1) and *cluster sampling* (see Annexe A).

It is essential to maintain the sample that was selected and the sampling universe/frame for audit, analysis and further activities of the same kind. The key advantage of having a solid sampling procedure is that it can generalise findings without subjecting the whole population of concern to the survey. On the other hand, the value is dependent on design and scientific standards for validity.

#### Description:

- A household survey is suitable for data collection at the household and at the individual levels. It is applicable in situations where IDPs are difficult to identify and where it is necessary to interview a cross-section of the population to be able to compare the difference of vulnerability between IDPs and local population.

- It is useful when population is settled/stable and there is a need to ascertain and/or collect additional data. In order to undertake a household survey, it is necessary to ensure that all the surveyors work in the same manner in order to be certain that the data can be compared. This implies the prior preparation of a questionnaire, and the decision on how the samples are going to be designed and selected.

#### Minimum data elements to be collected:

- Number of adults/children/vulnerable individuals;
- Age and sex of inhabitants;
- Physical condition and exact location of dwelling/house;
- Additional data elements can be added according to the requirements and purpose of the survey.

#### Updating requirements:

In contexts of high IDP mobility the survey should be repeated regularly. For each cycle a new sample has to be selected. (NB: this does not exclude overlap in successive samples.)

#### Reference

Household Surveys in Development and Transition Countries, UNSTAT, March 2005

"The township surveys attempt to distinguish IDPs from civilians affected by conflict and other vulnerable groups. The household surveys, however, do not strictly attempt to distinguish between these groups but rather seek to understand how villagers describe their own state. Indeed, 34% of households interviewed felt that they had not been forcibly displaced during the past ten years."

*Internal Displacement and Protection in Eastern Burma*, Thailand Burma Border Consortium, October 2005.

#### Time & Resources needed

|                                |  |
|--------------------------------|--|
| Minimum time required          | 1-6 weeks  |
| Staff                          | Proportional to number of households in sample       |
| Transport & Logistics          | Proportional to number of households in sample       |
| Special Equipment or Expertise | Expertise for survey and questionnaire design needed |

| Method           | How it is conducted / Steps  | Strengths   | Limitations  |
|------------------|--|---|--|
| Household Survey | <p><b>Questionnaire design:</b> The questionnaire, being the core element in any survey, should be developed so as to make sure that the final information one wants to obtain can be derived from the questions, either directly or indirectly. Questions should be asked in a way that answers will either be quantities, or one or several of a selection of options.</p> <p><b>Data analysis plan:</b> A plan should be established on how the data will be analysed. The plan should include all subjects/ themes for which analysis would be conducted and include the list of all tables which would be produced for the final report.</p> <p><b>Sample design:</b> This is the process during which the actual sample selection process is designed and planned, and a choice made between <i>random</i> sampling and <i>cluster</i> sampling. Also, the baseline data source for the sample selection needs to be determined, ie. a list of households of the target areas. The required size of the sample will be determined here.</p> <p><b>Sample selection:</b> Refers to the actual selection process of the sample households. Randomised or systematic selection processes need to be used to avoid bias.</p> <p><b>Enumerator training:</b> Enumerators need to be instructed on how to use the questionnaire, how to conduct the interviews and what they should do in the case of unforeseen reactions of the interviewees.</p> <p><b>Survey piloting:</b> The purpose of a survey piloting is to test the entire survey process on a small subset of households, possibly in a different area, to see what logistical and methodological adaptations need to be made and if and how the questionnaire needs to be adjusted.</p> <p><b>Actual survey:</b> When the survey is carried out, the process should be monitored continuously and at all stages if possible. The key activity of the supervisor would be to conduct quality control and to check for errors in filling out questionnaires. Irregularities in enumerator behaviour, relevant unexpected reactions of the interviewees or any other sign of activities or conditions that could have a significant impact on the survey result need to be reported and solved.</p> <p><b>Data entry:</b> The entry of the questionnaire data into a data processing system should start as soon as possible after the beginning of the survey itself in order to avoid a substantial backlog of unprocessed questionnaires.</p> <p><b>Reporting:</b> Data cleaning, analysis and reporting are office based activities that can be carried out after the field activities have been completed. It is important to note that sensitive information about individuals participating in the survey should never be included in the final report.</p> | <p>Interviews may detect specific protection challenges to individuals and/or groups of people (incidence of SGBV, child labour, trauma and psychological problems, recruitment of civilians to armed forces, etc).</p> <p>Particularly useful to 'uncover' difficult to locate IDPs who may be living in host families but have not been previously identified, and/or lower-status groups living in worse conditions.</p> <p>Good level of detail likely to be obtained of population, displaced and host, as well as in-depth appreciation of their general condition and condition of community.</p> <p>Useful for updating other sectoral indicators and planning changes to existing protection/ assistance strategies, if necessary.</p> <p>Good indications can be obtained from interviews as to people's intentions (return, resettlement, etc.) and how safe and sustainable return would be, if it were to take place to this location.</p> | <p>Difficult and can produce protection problems (people don't want to be singled out by being part of the sample).</p> <p>Intrusive on people's privacy.</p> <p>Methodology can be difficult to plan and implement correctly, giving false estimates.</p> <p>Time needed likely to equate to considerable resource outlay.</p> <p>May lead to expectations of additional aid in sample group.</p> |



Below is an example of the typical planning steps and timeframe of a household survey<sup>22</sup> and an approximate indicative cost ratio of various elements of the budget:

#### Proposed draft timetable for informal sector survey

| Task                                    | Week number |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |
|---|-------------|---|---|---|---|---|---|---|---|----|----|----|----|----|----|----|----|
|   | 1           | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 |
| Consultations with donors/<br>publicity | ●           | ● |   |   |   | ● | ● |   |   |    |    |    | ●  | ●  | ●  | ●  | ●  |
| Questionnaire design and<br>testing     | ●           | ● | ● |   |   |   |   |   |   |    |    |    |    |    |    |    |    |
| Sampling design and sample<br>selection |             | ● | ● | ● | ● | ● |   |   |   |    |    |    |    |    |    |    |    |
| Design of data entry                    |             |   | ● | ● |   |   |   |   |   |    |    |    |    |    |    |    |    |
| Data analysis planning                  |             |   | ● | ● | ● |   |   |   |   |    |    |    |    |    |    |    |    |
| Field staff recruitment                 |             | ● | ● | ● |   |   |   |   |   |    |    |    |    |    |    |    |    |
| Training of enumerators and<br>pilot    |             |   |   | ● | ● | ● |   |   |   |    |    |    |    |    |    |    |    |
| Printing of questionnaires              |             |   |   |   | ● | ● | ● |   |   |    |    |    |    |    |    |    |    |
| Fieldwork and checking                  |             |   |   |   |   |   | ● | ● | ● | ●  |    |    |    |    |    |    |    |
| Data entry and validation               |             |   |   |   |   | ● |   | ● | ● | ●  | ●  | ●  |    |    |    |    |    |
| Data cleaning and analysis              |             |   |   |   |   | ● |   |   |   |    | ●  | ●  | ●  | ●  | ●  | ●  |    |
| Production of graphs and<br>tables      |             |   |   |   |   |   |   |   |   |    |    |    |    | ●  | ●  | ●  |    |

Source: *Household Surveys in Development and Transition Countries*, UNSTAT, March 2005, P.282

#### Indicative costs as a percentage of total

|             | Preparation | Implementation | Data | Reporting | Overall |
|-------------|-------------|----------------|------|-----------|---------|
| Personnel   | 3           | 65             | 5    | 2         | 75      |
| Transport   | 0           | 8              | 0    | 0         | 8       |
| Consumables | 0.9         | 9              | 2    | 0.1       | 12      |
| Other       | 0.1         | 3              | 1    | 0.9       | 5       |
| Overall     | 4           | 85             | 8    | 3         | 100     |

<sup>22</sup> To provide more timely results, a computer editing program may be utilised to systematically search for inconsistent information and request human intervention only in those cases with inconsistent data. The development of this type of program would need extensive experience in managing demographic data. However, if well utilised, this method may also reduce the number of staff required to manually verify the questionnaires and produce more timely results.

### 3.1.3 Registration

*Should be planned by experts or those with experience*

#### Description:

- The purpose of a registration exercise is to establish the identities of those IDPs falling within the scope of the operation. As a consequence, great care has to be taken to avoid misuse of the collected personal data through proper population data management. Registration is a complex and detailed exercise and is best described by individual agency manuals, such as UNHCR's Handbook for Registration<sup>23</sup>. The Handbook's description of how to register a refugee population is particularly pertinent since refugees are also displaced people and have similar characteristics to IDPs. Any full registration exercise should employ the step-by-step techniques described in the Handbook.
- Registration normally takes place in a phased approach with the below phases envisaged:
  - Phase 1 registration at family/household level,
  - Phase 2 registration at the individual level
- In some situations, due to the requirement of the operation or the objective of the exercise, individual registration may take place directly without a family/household registration taking place. If family/household registration is to take place first, ensure that those with special needs are registered individually so the right follow-up can be conducted<sup>24</sup>.
- If registration is to be chosen as a methodology, planning should also include provision for 'continuous registration' to keep all registration information up to date. Personal and/or family circumstances change over time with birth, marriage, death etc, and any information must be up to date if it is to be used to aggregate population number or profile. This can be a challenge due to the political and logistical complexity of many IDP situations, but is necessary to achieve the highest possible accuracy and timeliness of registration information and therefore produce a reliable long term IDP population profile.

#### Minimum data elements to be collected:

##### Family/household registration:

- Names of heads of family/household;
- Sex of heads of family/household;
- Date of birth or age of the heads of family/household;
- Family/household size;
- Breakdown by sex/age of family/household members;
- Area of origin in country;
- Physical address/location of the family/household;
- Special needs of the individual within the family/household;
- Consent of family/household to share data.

##### Individual registration:

- Individual's names;
- Date of birth;
- Sex;
- Relationship within the family;
- Area of origin in country;
- Physical address/location of the individual;
- Special needs of the individual;
- Consent of individual to share data.

##### Updating requirements:

Since individual registration information can be quickly outdated, depending on the mobility and changes in family circumstances of the IDP population, an ongoing data updating process should be incorporated into the planning of each registration. This continuous updating process does not require the full resources of the initial registration but should rather focus on obtaining information through key incentives such as food and medical assistance delivery during which information on births, deaths and absentees can be registered.

##### Reference:

Handbook for Registration (Provisional Release), UNHCR, Geneva, 2003.

#### Time & Resources needed:

|                                |  |
|--------------------------------|--|
| Minimum time required          | 2 – 6 months <sup>25</sup>   |
| Staff                          | Proportional to number of individuals  |
| Transport & Logistics          | Proportional to number of individuals  |
| Special Equipment or Expertise | IT equipment and registration software<br>Expertise in registration management |

<sup>23</sup> For more details on registration, refer to the *Handbook for Registration*, UN High Commissioner for Refugees 2003 provisional release.

<sup>24</sup> For more info on identification, registration and documentation of children see "Inter-agency guiding principles on unaccompanied and separated children."

<sup>25</sup> For a population of 50,000 persons in camps:

1 month preparation

4 months registration

1 month minimum for data clean up

Total: 6 months

If the population is dispersed, the time for implementation will be longer.

| Method              | How it is conducted / Steps   | Strengths  | Limitations   |
|---------------------|---|--|---|
| <b>Registration</b> | <p>Registration involves recording individual or household information. The key difference to a survey is taking down names and other individual/family information in order to identify the individual or the family at a later stage. The details recorded are substantial and careful planning is needed to ensure confidentiality of information. The individual/family level data should only be available on a need-to-know basis and should be vetted very carefully. If the registration is taking place country wide, government approval is necessary and the full cooperation of the government and all parties involved should be obtained in writing. In some countries, there are government-approved or implemented IDP registration systems. The 'ideal' in registration is to work as closely as possible with the IDP population and its leadership, especially women, to ensure their concerns are noted, promoting community responsibility and participation in all stages of the process.</p> | <p>Can allow a comprehensive protection response, follow-up and solutions.</p> <p>Used either to obtain base-line data if none exists or for solutions (return planning).</p> <p>Allows referral and follow-up on individual cases – potentially best source of protection information.</p> <p>Effective tool for fair and equitable assistance (fraud prevention/avoiding double assistance).</p> <p>More effective than bulk monitoring.</p> | <p>Potential misuse of individual data, if confidentiality is not respected.</p> <p>Not appropriate in volatile situations.</p> <p>Creates expectations and gives a 'promise' of assistance/ response.</p> <p>Definitional issues – who is an IDP (may be political if assistance involved or 'status' conferred).</p> <p>Can exclude some groups or individuals depending on registration procedures/ administration of registration.</p> <p>Resource intensive and lengthy process.</p> <p>Intrusive: if all information is not used, raises issue of why collecting information.</p> <p>Gives impression of substituting state responsibility.</p> |

### 3.1.4 Population census

*Normally the responsibility of the government*

**Description:**

- A census is the process of obtaining information about every member of a population. The census can be contrasted with sample surveys in which information is only obtained from a subset of a population. A census is usually conducted by governments at intervals of five to ten years. It covers the entire population of a country and besides individual data, a set of relevant socio-economic information is gathered for every household. Because censuses are infrequent, it is unlikely that data will provide an accurate and timely snapshot of a mobile sub-population such as an IDP group.
- As a rule of thumb, census data on IDPs will be useful for IDP profiling if it is less than two years old. For more dynamic IDP situations the census might only provide enough accuracy for one year. As such an in-depth guide on census planning is not included in this document since it would clearly be beyond its scope. However, census data and especially well maintained population registers provide valuable baseline data for the sampling process in household surveys and for the design and planning of IDP registration activities.
- In the census data, IDPs can only be identified through specific questions. This means that these specific questions need to be established during the census planning. If a national census is being planned then this unique opportunity should be used to have specific questions included in the census questionnaires

that enable the identification of IDPs and to further obtain a comparison of socio-economic information between the IDPs and resident population. For instance question relating migration/temporary movement to specific events can be elaborated to capture the IDP population. However, a census usually excludes 'sensitive' questions and further, it has to be considered that in some political contexts, a census will itself lead to a temporary movement of large population groups (ie. Nigerian Census, May 2006) and therefore may give a distorted picture of the IDP population.

**Minimum data elements to be collected:**

- Individual name;
- Age or date of birth;
- Sex;
- Religion/language/ethnic origin;
- Marital status;
- Relation to the household head;
- Household/family size;
- Education;
- Labour force status, occupation, industry, place of work;
- Migration – birth place, previous residence (five years before census) citizenship.

**Updating requirements:**

The recommended updating interval for a census is ten years<sup>26</sup>.

**Reference**

Handbook on Census Management for Population and Housing Censuses, UN, 2001, rev.1: [www.un.org/depts/unsd](http://www.un.org/depts/unsd)

**Time & Resources needed:**

|                                       |   |
|---------------------------------------|---|
| <b>Minimum time required</b>          | 6 months or more <sup>27</sup>                            |
| <b>Staff</b>                          | Proportional to total number of households in the country |
| <b>Transport &amp; Logistics</b>      | Proportional to total number of households in the country |
| <b>Special Equipment or Expertise</b> | Census planning requires specific expertise               |

| <b>Strengths</b>  | <b>Limitations</b>  |
|---|---|
| <ul style="list-style-type: none"> <li>• Can provide essential background information for almost every other kind of profiling activity, even if outdated.</li> </ul> | <ul style="list-style-type: none"> <li>• A census as such is not necessarily the best IDP profiling tool since it is a costly, government driven and country wide exercise which in itself can be the cause of temporary movement of large population groups;</li> <li>• IDPs may be even more reticent about being singled out as such in a government driven census, especially if there are no clear benefits attached to being labelled as an IDP.</li> </ul> |

<sup>26</sup> Countries are encouraged to conduct an inter-census population count to adjust their population figure.

<sup>27</sup> The same preparation step as indicated in the household survey needs to take place albeit on a larger scale.

## Glossary of technical terms

### Census

The process of obtaining information about every member of the entire population through statistical questionnaire.

### Enumerator

Person who collects data and/or counts people. May also be referred to as a surveyor, registration or data collection staff.

### Extrapolation

Mathematical calculation of estimating the overall number through a smaller sample.

### Geographic Information System (GIS)

A system for capturing, storing, analysing and managing data and associated attributes which are geographically-referenced. GIS is a tool that allows users to analyse the spatial information, edit data, maps, and present the results of all these operations.

### Household

A group of people who 'eat from the same pot' or 'sleep in the same tent' (WFP).

### Primary data

Data that you collect for your exercise/study. As opposed to:

### Secondary data

Data not collected for the purpose of the study, but containing information that can be used eg. reports, media, maps, surveys, census and vital records.

### Triangulation

A process of comparing and consolidating data from several different sources to obtain a more precise result. Same as cross-checking, cross-referencing.

## 3.2 Qualitative methods

Qualitative methods are different from quantitative methods in that their final outcome may not necessarily be expressed in numbers only, and that data gathering does not need to adhere to statistical concepts. The results may be presented in the form of a written report, map, diagram etc. They are complementary to quantitative methods. One relevant example for qualitative methodology is information gathering through group discussion, as the following example illustrates:

*In Eastern DRC dedicated 'population movement committees' were formed. These committees, including*

*a broad participation of local authorities, NGOs and civil society, try to obtain regular data on fresh IDP movements in both directions, ie. fleeing from and returning to home communities. Field Protection Monitoring Committees and Protection Working Groups supplement information and make policy recommendations on what to do with the information collected. These bodies are naturally constrained in their activities by access, security and resource inadequacies, but have proved particularly valuable as information-sharing fora. Information regarding fresh movements of significant magnitude or importance is reported on as and when they occur and the latest data used to adjust periodic country updates.*

### 3.2.1 Focus group discussions

#### Description:

- Focus group discussions are used for collecting information at the group/community level. The method entails organizing and conducting a group discussion while ensuring that the group is 'representative' of all segments of the IDP community – for example, women, men, community elders, adolescents, IDP leaders, etc. This method is useful in obtaining additional data and should be triangulated with at least one other source, such as good baseline data or a quantitative source.
- Group discussions can be a good way of obtaining IDP situations, reasons for displacement, particular protection challenges, immediate humanitarian needs and vulnerabilities. Group discussions can also give a more aggregate picture of, for example, what whole communities or villages experienced, estimates on people killed and wounded and those who fled. They may not achieve great accuracy but can save time and help direct fuller needs assessments if the situation warrants.
- It is essential that age, gender and diversity is taken into consideration when forming the focus groups. Each group (women, men, elderly, youth etc) will have specific information, problems or concerns and this needs to be reflected and carefully recorded when feeding the results to the overall IDP profile database. In order to ensure effective participation, the group should not exceed 10 – 15 people.

#### Minimum data elements to be collected:

- Perceived size of the IDP population;
- Perceived sex and age breakdown;
- Causes of displacement;
- Patterns of displacement;
- Protection concerns;
- Key humanitarian needs;
- Potential solutions for the group/individuals;
- Comments/observations, eg. on general condition.

#### Updating requirements:

As frequently as needed, preferably in conjunction with any IDP profiling using the quantitative method.

#### Reference:

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

#### Choosing questionnaires or taking notes:

Careful consideration should be given to this. Filling out questionnaires can take time and lead to expectations. It may be more appropriate in a sensitive context to know what data is needed and take notes during the interview - though it is not always easy to remember all the questions without the benefit of a questionnaire. Whatever the mode of enquiry selected, IDP profiling exercise should at a minimum try to obtain the 'core data' component proposed in these guidelines as well as the 'additional data' agreed in advance.

#### Time & Resources needed:

|                       |                      |
|-----------------------|----------------------|
| Minimum time required | 0-1 week             |
| Staff                 | Discussion moderator |
| Transport & Logistics | Minimal              |
| Special Equipment     | Minimal              |

| Strengths   | Limitations   |
|---|---|
| <ul style="list-style-type: none"> <li>• Can provide basic information even if no direct access or localisation of IDPs is not known (ie. urban contexts).</li> <li>• Practically no resources required.</li> <li>• Quick to organise.</li> </ul> | <ul style="list-style-type: none"> <li>• Provides only anecdotal information.</li> <li>• Numbers and locations obtained are not reliable unless verified by other sources.</li> <li>• Profile obtained can be skewed by the interests of individuals in the focus group. Therefore, there is a need for careful preparation in the selection of the focus groups and their participants.</li> </ul> |

### 3.2.2 Key informant interviews

#### Description:

- Key informant interviews are conducted with a very small number of pre-selected people who may hold relevant information. The results obtained can therefore not be compared to those of a quantitative survey nor can they be easily generalised to the whole population without proper triangulation.
- Individual interviews are conducted with people who are considered as relevant or representative to the IDPs, such as IDP leaders, village elders, religious and other community leaders or selected households if these can be located, and are carried out where time and circumstances permit. They can be as short or detailed as the situation may warrant.
- People interviewed can also be invited to give their views as to how many people they think are in a similar situation to themselves (to triangulate accuracy of estimates of those displaced) and indicate where they think other displaced people may be located (useful to track IDPs in host populations). As with the focus group discussions, when selecting the key informants, ensure

that the selection is representative. For example, do not just interview men, but also women, elderly people, youth etc. This will help to piece together an overall profile of the IDP population. In cases where people are not used to quantify data, the 'proportional piling method' can be used to obtain agreement on numbers. This entails using beans or pebbles, asking the individual or group to divide them according to number of people in the village, the number who have fled and other variables.<sup>28</sup>

#### Minimum data elements to be collected:

- Approximate size of the IDP population;
- Approximate sex and age disaggregation;
- Reasons for displacement;
- Comments/observations, eg. on general condition.

#### Updating requirements:

As frequently as needed, preferably in conjunction with any IDP profiling using the quantitative method.

#### Time & Resources needed:

|                       |             |
|-----------------------|-------------|
| Minimum time required | 0-1 week    |
| Staff                 | Interviewer |
| Transport & Logistics | Minimal     |
| Special Equipment     | Minimal     |

| Strengths  | Limitations  |
|--|--|
| <ul style="list-style-type: none"> <li>• Can provide basic information even if there is no direct access, or localisation of IDPs is not known (ie. urban contexts).</li> <li>• Practically no resources required</li> <li>• Quick to organise.</li> <li>• A "low profile" activity that can be organized and conducted away from the IDP location, if this is difficult or impossible to access.</li> </ul> | <ul style="list-style-type: none"> <li>• Provides only anecdotal or approximate information</li> <li>• Numbers and locations obtained are not reliable unless verified by other sources.</li> <li>• Additional data obtained can be skewed by the interests of individuals or by pressure from others in the community, and therefore there is a need for careful preparation in the selection of the informants and for the recording of the selection and decision criteria.</li> <li>• In order to be able to select key informants, prior knowledge of the population must exist.</li> <li>• Key informants might use the link to external actors/agencies as a way of legitimise their position within the community and thereby gain power.</li> </ul> |

<sup>28</sup> "Estimating Population Size in Emergencies", WFP, December 2006

## Key references for chapter 3

### General

*Research Ethics in Complex Humanitarian Emergencies: Summary of a Workshop*, Holly Reed, Rapporteur  
ISBN: 0-309-08493-8, 28 pages, 6x9, (2002)

*Draft Global Guidance: Monitoring and Reporting Grave Child Rights Violations in Situations of Armed Conflict, Module 3: Monitoring – Data Collection and Analysis*  
(available end 2007)

*UNHCR / WFP Joint Assessment Guidelines*  
(First Edition June 2004)

*Practical Guide to the Systematic Use of Standards and Indicators in UNHCR Operations*  
[www.unhcr.org/statistics/STATISTICS/40eaa9804.pdf](http://www.unhcr.org/statistics/STATISTICS/40eaa9804.pdf)

### Various methods

*Demographic Methods in Emergency Assessment: A Guide for Practitioners, adapted for use in environmental and conflict as well as disaster-related displacement*. Center for International Emergency, Disaster and Refugee Studies (CIEDRS) and the Hopkins Population Center (2003)

UNHCR Handbook for Emergencies, Chapter 10  
Population Estimation and Registration  
(Third edition, February 2007)

*Estimating Population Number in Emergencies: Report of the Inter-Agency Technical Meeting*  
World Food Programme, Emergency Needs Assessment Branch (ODAN) November 2006

*Counting and Identification of Beneficiary Populations in Emergency Operations: Registration and its Alternatives*  
John Telford, London: Overseas Development Institute, Relief and Rehabilitation Network, Good Practice Review (September 1997)



## ANNEXE A

## METHODOLOGY EXAMPLES

**1. Desk Review – Somalia**

IASC Somalia – Protection Cluster, June – September 2006

**Objective of the exercise:**

To take stock of information already produced about IDPs over a three-year period, to get a ‘snapshot’ of the situation, revealing information gaps and indicating the nature and method of work that still needed to be undertaken.

*Parties involved:* IDPs, Somali authorities, UN agencies, international and local NGOs.

**Brief description of the situation:**

Despite the very limited access to the country of international agencies, local NGOs and associations were continuing their work under difficult conditions. However, information on IDPs was unreliable: it was overlapping and inconsistent in some areas and insufficient or unverified in others. It was necessary to develop a mechanism to collect available information and to piece together an overall picture on which to base future decisions and strategies.

**Description of method:**

- An expert in demographic data collection techniques was recruited.
- Data was collected from all available sources and information entered on a matrix per regional zone at settlement level. The matrix format was agreed by the IDP/Protection Working Group.
- In order to update and cross-check the received information, matrices were sent out to various coordination groups at the field level (Somaliland, Puntland and South/Central) asking the various actors to verify the situation as of July 2006.
- The matrix provided information and ‘entry points’ on:
  - Disaggregated population estimates;
  - Settlement locations;
  - Patterns of displacement;
  - Access to basic services;
  - Livelihoods and coping mechanisms;
  - Protection issues;
  - Durable solutions.
- While the matrix reflected the information contained in quoted reports from various agencies, it did not aim to validate any agency finding.
- The matrix enabled agencies to assess the ‘information gaps’ and to prioritise where to undertake the next phase of IDP profiling through 2007.
- ‘Common gaps’ were identified throughout the review:
  - Focus on clearly identified settlements, with limited assessment of mixed areas;
  - Limited accurate estimates on the total number of households/individuals living in a specific settlement, and specifically on the number of IDPs compared to other caseloads;
  - Lack of disaggregated data (age/gender);
  - Limited geographical/spatial data on exact IDP settlement location.

## Desk review – IDP settlement matrix

The matrix shows the information gathered about IDPs in camps, settlements and host villages in the area of Merka, Lower Shabelle, Somalia

| Code No. | Region         | District or Town | Settlement Name                    | Type of Settlement             | Location (in/outside town) | Ownership of Land   | Category (IDPs/Host Community/Refugees)  | No of Families |       |          | No of Individuals |       |          | Clans  | Main Places of Origin            | Main Dates of Displacement | Main Reasons for displacement         |
|----------|----------------|------------------|------------------------------------|--------------------------------|----------------------------|---|--|----------------|-------|----------|-------------------|-------|----------|--|----------------------------------|----------------------------|---------------------------------------|
|          |                |                  |                                    |                                |                            |   |  | IDPs           | Hosts | Refugees | IDPs              | Hosts | Refugees |  |                                  |                            |                                       |
| 1        | Lower Shabelle | Merka            | Ayuub                              | IDP settlement                 | In town                    | Government land   | IDPs (96%)/Host Community (4%)   | 294            | 6     | 0        | 1'764             | 36    | 0        | Mainly Biiyamal (Dir); others are Galjeceel, Shekhaal, Abgal, Ajuran, Rahaweyn, Hawadle, Habargidir, Mursade and Garre | Juba Valley                      | 1992                       | Juba Valley conflict                  |
| 2        | Lower Shabelle | Merka            | Dujuma                             | Suburban Settlement            | Town outskirts             | Government land   | IDPs (54%), other vulnerable groups/destitute residents  | 270            | 230   | 0        | 1'620             | 1'380 | 0        | All Jareer   | Juba Valley                      | 1992/1994                  | Juba Valley conflict                  |
| 3        | Lower Shabelle | Merka            | El Jalle (established in the 60s)  | rural settlement/ host village | Outside, 15 KM             | Settlement land is communally owned, managed by village elders; farming land is privately owned | IDPs, host communities; few recent IDPs from Mogadishu   |                | 380   |          |                   | 2'280 |          | Mainly Dir (Biiyamal), Hawiye, Rahanweyn; minorities as Tumul and Bantu  | Lower Juba, Mogadishu            | 1994                       | Conflicts; natural disaster as floods |
| 4        | Lower Shabelle | Merka            | Bufow (established in mid XIX)     | rural settlement/ host village | Outside, 15 KM             | Settlement land is communally owned, managed by village elders; farming land is privately owned | IDPs, host communities; few recent IDPs from Mogadishu   |                | 350   |          |                   | 2'100 |          | Mainly Dir (Biiyamal), Hawiye, Rahanweyn; minorities as Tumul and Bantu  | Lower Juba, Mogadishu            | 1994                       | Conflicts; natural disaster as floods |
| 5        | Lower Shabelle | Merka            | El Warigo (established in the 70s) | rural settlement/ host village | Outside, 15 KM             | Settlement land is communally owned, managed by village elders; farming land is privately owned | IDPs, host communities; few recent IDPs from Mogadishu   |                | 420   |          |                   | 2'520 |          | Mainly Dir (Biiyamal), Hawiye, Rahanweyn; minorities as Tumul and Bantu  | Lower Juba, Mogadishu            | 1994                       | Conflicts; natural disaster as floods |
| 6        | Lower Shabelle | Merka            | Sagarole (established in the 60s)  | rural settlement/ host village | Outside, 15 KM             | Settlement land is communally owned, managed by village elders; farming land is privately owned | IDPs, host communities; few recent IDPs from Mogadishu   |                | 600   |          |                   | 3'600 |          | Mainly Dir (Biiyamal), Hawiye, Rahanweyn; minorities as Tumul and Bantu  | Lower Juba, Mogadishu            | 1994                       | Conflicts; natural disaster as floods |
| 7        | Lower Shabelle | Merka            | Keyf                               | Camp including 2 settlements   | In town                    | privately owned   | IDPs: refugees from Ethiopia (Somali origin from Zone 5, driven out in 1977 and further displaced in 1991) | 70             |       | 46       |                   |       |          | Mainly Rahanweyn and Garre; Jido (min)   | Bay, Qorelye and Zone 5 Ethiopia | 1990 and 1992              | inter-clan conflicts                  |
| 8        | Lower Shabelle | Merka            | Warta Oyaaye                       | Camp settlement                | Outside, 3 KM              | privately owned   | IDPs from Mogadishu  | 250            |       |          |                   |       |          | Mainly Dir, Bantu  | Mogadishu                        | 2002                       | Conflict                              |

Lower Shabelle estimated population: 800,000/1,000,000:

WHO Estimate: 1,237,882; WFP Estimate: 1,000,000; Study Group (KNS Nair & Mariam Awli) Estimate: 850,700

| Access to Basic Services  |  |   |  |   |   |   | Livelihoods/Coping Mechanisms   | Main Protection Issues  | IDPs Future Intentions                               | Agencies Working in Settlement                                   |
|---|--|---|--|---|---|---|---|---|--|--|
| Food  | Shelter  | Water   | Sanitation   | Education   | Health  | HIV/AIDS  |   |   |  |  |
| Majority (63%) have 1 meal per day; children provided with 3 meals per day by Sultan Orph. Centre | 70% are Bush type, 30% are Carish                                | 4 unprotected privately owned wells, within 200 m distance, fee:USD 0.03 per 20 lt. jerry-can   | No latrines, open defecation outside settlement; - Garbage dumped and burned outside settlement                    | - Reported full enrollment thanks to free access to pre-primary and primary education at Sultan Orph Centre; - adult literacy courses for women | Children have full access at Orphanage Centre; - children vaccination carried out (measles, polio, EPI); Town health services available (1 hospital, 4 MCH, 1 health post, 2 TB) but not accessible to due fee charged by service providers | Full awareness reported (transmission and prevention methods)                                 | - Previously pastoralists (70%) and farmers (30%); currently limited access to land (30%); maize main crop; - main source is combination of begging and casual labor (collection firewood, domestic labor); - social support  | Previous cases of rapes when outside settlement for sanitation; recently improved situation; - Child labor  | Wish to remain in current settlement                 | - WFP, ICRC, AYUUB (local NGO) UNICEF: support to Merka schools; |
| Majority (63%) have 1 meal per day; children provided with additional light meal per day          | 95% are Carish with palm tree roofing, very congested settlement | 1 unprotected well, free, currently contaminated so out of use; currently using mosque well, fee: USD 0.015 per 20 lt jerry-can             | No latrines; open defecation outside settlement; appalling sanitation and garbage situation                        | - Limited access to education due to financial constraints (fee per pupil per month USD 1.6); - informal classes supported by UNICEF            | Town health services available (1 hospital, 4 MCH, 1 health post, 2 TB); but not accessible to due fee charged by service providers - children vaccination carried out (measles, polio, EPI)  | Full awareness reported (transmission and prevention methods); UNICEF provided youth training | - Previously nearly all were farmers; currently no access to land, main source is combination of begging and casual labor (collection firewood, domestic labor); - social support   | Previous cases of rapes when outside settlement for sanitation; recently improved situation but still fear; - Child labor                                 | Wish to remain in current settlement                 | - UNICEF: support to Merka schools; and HIV training to youth    |
| Average 1 meal per day; Main food source is own production, limited purchase                      | Mainly Carish type (70%)   | 6 unprotected wells   | About 30 traditional latrines without sanplats   | 50 % children school attendance; ratio M/F equal to 2:1   | No health services in the close area, rely on town facilities (7/15 km); - children vaccination carried out (measles, polio, EPI)   | Full awareness reported (transmission and prevention methods)                                 | - Mainly land cultivation (2 hect/fam); some IDPs are renting land for farming (SoSh 300,000/USD 19 per hectre per season); maize main crop (Gu), and sesame (Deyr); - fishing activities mainly by host community; - tree cutting for firewood and charcoal production; - social support | Child labor   | Interest of protracted IDPs towards integration      | - Water For Life, UNICEF, UNESCO: support to village schools;    |
| Average 1 meal per day; Main food source is own production, limited purchase                      | Mainly Carish type (70%)   | water system in place   | About 30 traditional latrines without sanplats   | 50 % children school attendance; ratio M/F equal to 2:1   | No health services in the close area, rely on town facilities (7/15 km); - children vaccination carried out (measles, polio, EPI)   | Full awareness reported (transmission and prevention methods)                                 | - Mainly land cultivation (2 hect/fam); some IDPs are renting land for farming (SoSh 300,000 per hectre per season); maize main crop (Gu), and sesame (Deyr); tree cutting for firewood and charcoal production; - social support   | Child labor   | Interest of protracted IDPs towards integration      | - Water For Life, UNICEF, UNESCO: support to village schools;    |
| Average 1 meal per day; Main food source is own production, limited purchase                      | Mainly Carish type (70%)   | No water source; nearest is 6 KMs away in Sagarole village; as well fetching water from Shabelle river, 12 KM distance                      | Open defecation  | 50 % children school attendance; ratio M/F equal to 2:1   | No health services in the close area, rely on town facilities (7/15 km); - children vaccination carried out (measles, polio, EPI)   | Full awareness reported (transmission and prevention methods)                                 | - Mainly land cultivation (2 hect/fam); some IDPs are renting land for farming (SoSh 300,000 per hectre per season); maize main crop (Gu), and sesame (Deyr); - social support  | Child labor   | Interest of protracted IDPs towards integration      | - Water For Life, UNICEF, UNESCO: support to village schools;    |
| During harvest season, up to 3 meals per day  | Mainly Mudul type  | 1 protected well  | Presence of adequate family pit latrines, with concrete slabs; - Garbage dumping pits are present at village level | 50 % children school attendance; ratio M/F equal to 2:1   | No health services in the close area, rely on town facilities (7/15 km); - children vaccination carried out (measles, polio, EPI)   | Full awareness reported (transmission and prevention methods)                                 | - Mainly land cultivation (2 hect/fam); some IDPs are renting land for farming (SoSh 300,000 per hectre per season); maize main crop (Gu), and sesame (Deyr); - Livestock important source (cows); - social support   | Child labor   | Interest of protracted IDPs towards integration      | - Water For Life, UNICEF, UNESCO: support to village schools;    |
| Average 2 meals per day; food purchased from local market; maize is stable food                   | no charge payed  | Unprotected wells, USD 0.06 per 20 lt jerry-can, long queues, women and children collecting water; average consumpt 60/80 lt per family/day | Open pit   | Limited access to education due to financial constraints (fee per pupil per month SoSh 25.000)  | Town health services available (1 hospital, 4 MCH, 1 health post, 2 TB); - children vaccination carried out (measles, polio, EPI)   | Full awareness reported (transmission and prevention methods)                                 | - Collection of firewood and grass, domestic labor, animal herding, trade; - social support along kinship is practiced  | - Feelings of discrimination and isolation; - Previous cases of rapes going outside settlement for sanitation; recently improved situation; - Child labor | Interest on integration on equal opportunities basis | - ICRC (food aid twice in 2006)                                  |
| Average 2 meals per day; food purchased from local market; maize is stable food                   | no charge payed  | Fetching water from an oasis, 5 Km; average consumpt (all purposes) is 60/80 lt per family/day  | Open pit   | Limited access to education due to financial constraints (fee per pupil per month SoSh 25.000)  | Town health services available (1 hospital, 4 MCH, 1 health post, 2 TB); - children vaccination carried out (measles, polio, EPI)   | Full awareness reported (transmission and prevention methods)                                 | - Previously owning property and engaged in farming, pastoral, and trade; - currently casual labor (collection of firewood and grass, domestic labor, host community livestock herding, trade, begging); - social support along kinship is practiced                                      | Feelings of discrimination and isolation; - Previous cases of rapes going outside settlement for sanitation; recently improved situation; - Child labor   | Interest on integration on equal opportunities basis | - ICRC (food aid twice in 2006)                                  |

Sources: - Inter-Agency Rapid Assessment Report. 22-27 June 06

## 2. Aerial/satellite imagery

### Example 1: Estimating population size using low-resolution satellite imagery

The map below is a good example of how population density estimations for large areas may be derived from a combination of satellite images and other sources. However, since the resolution used is one kilometre per pixel, it is not appropriate for identifying smaller population groups.



#### UNOSAT map showing estimated population density over Aceh, Indonesia

Product ID: 836 – 1 Jan, 2007

GLIDE: FL-2006-000192-IDN

Product FOOTPRINT (LAT x LONG, WSG84  
Geographic, decimal degrees)

TopLeft: 5.632288 x 96.324366

BottomRight: 3.184512 x 98.303867

Map Scale (for A3 prints): 1:830,000

Projection: UTM Zone 47N WGS 1984

Source(s): Population Data: Landsat 2004

Rainfall data: CMORPH 2006

Data Sources: OCHA, NOAA, WHO, GEBCO

Map Production: UNOSAT (29 December 2006)

This map illustrates the estimated population density over the nine most flood-affected districts in Aceh. This data is from the 2004 LandScan Global Population Database, at a spatial resolution of one kilometre per pixel. The estimated district population values (labelled on the map) are from 2003 and were provided by WHO. Note: these are separate population data sources which were obtained using different methods, reflect different years and may present significantly different numbers at the district level. Rainfall contour lines (10mm) were calculated from the daily global CMORPH precipitation dataset at a spatial resolution of approximately 27km and represent rainfall from 18 to 27 December 2006.

## Ordering satellite images

When ordering satellite images for a specific area it is important to consider the following issues:

### Geographic Area of Interest

1. Verbal description: Specify a description which will be used for reference and which will appear on your finished media.
2. Geographic description: Define your Area of Interest (AOI) using coordinates or a shapefile. All data must be provided in the geographic projection, using latitude and longitude, decimal degrees, based on the WGS84 ellipsoid.
  - i. Specify four corner points; or
  - ii. Specify centre point and area height and width. Note that circular AOIs are not supported; or
  - iii. Specify coordinates in an ASCII text file (using the ArcInfo generate file format, Single Precision). This file may contain a minimum of four points and a maximum of 1000 points.

Order polygons may have a minimum size of 5 km per side for Basic Imagery, Standard Imagery, and 1"=400' Orthorectified Imagery and a minimum size of 10 km per side for all other Orthorectified Imagery.

### Other Parameters:

Specify appropriate dates and the off-nadir angles that you are willing to accept. You must allow a difference of at least 10 degrees between minimum and maximum off-nadir angles. Note that the smaller the difference between the minimum and maximum off-nadir angles, the longer the required collection window. The amount of additional time required depends on the latitude of your area of interest and your tasking type.

## Example 2: Dwelling count and population size estimation using high resolution satellite imagery

The map illustrates how remote methods (satellite imagery and automated image processing) can produce an approximation for the number of dwellings present in specified settlements. This can then be used, together with data acquired on the ground such as the average number of individuals per dwelling, to estimate the actual total population for the entire settlement. It has to be considered that acquiring the necessary high resolution images can be costly.<sup>29</sup>

The map shows Kigoma Camp in Tanzania, with the number of dwellings in each approximated area shown by colour coding.

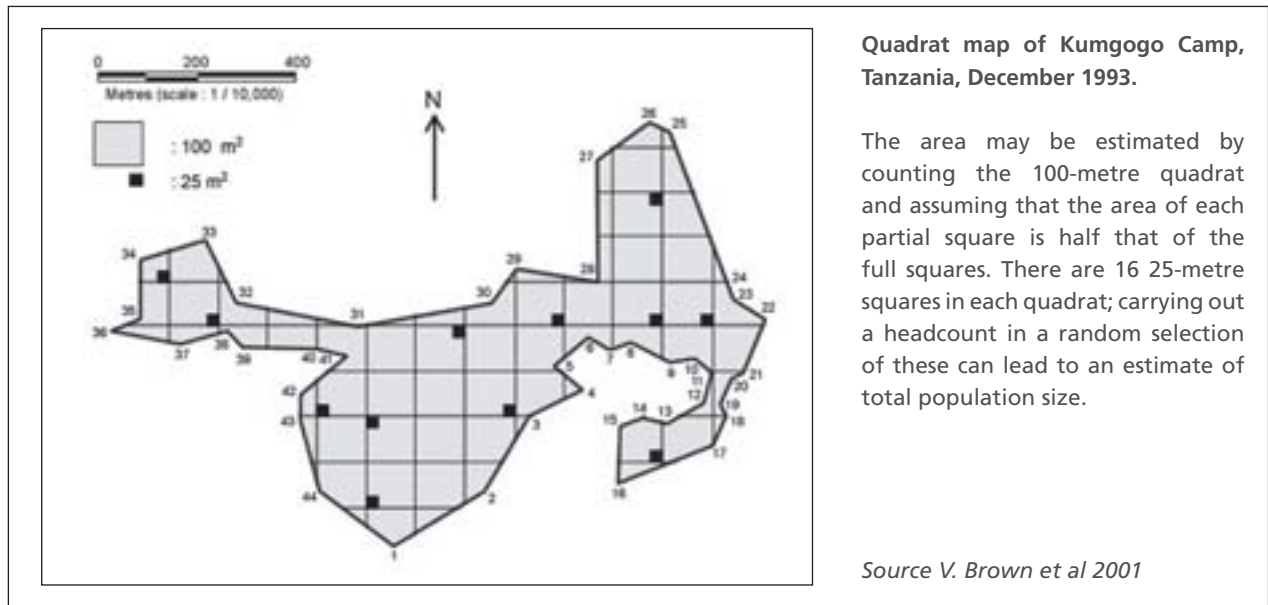
Source: *Refugee Settlements in western Tanzania*, UNHCR GIS Unit, Geneva, Sept. 2005)



<sup>29</sup> 2000-3000 US\$ for a scene of 270 sq km

### 3. Population size estimation – the quadrat method

The quadrat method divides a study area into equal-sized squares or quadrats as a first step in determining the area to be surveyed.



**Step 1:** Obtain an aerial view or draw a map of the area of interest. This can be in the form of a satellite image, an aerial photograph or photo-mosaic, a published map or a hand-drawn map.

**Step 2:** Measure the perimeter of the area.

a. Choose a starting-point or landmark. All external limits of the area are defined by their bearings, which can be measured in degrees using compass headings or using GPS handheld receivers. At each point for which a new direction is taken, GPS provides coordinates for the geographical point at which one is standing.

b. For each new direction taken, measure the distance from one point to the next. This can be done by measuring pacing (one step = one metre, for example), by using a planimeter, or in the case of large distances, by using a car's odometer.

**Step 3:** When perimeter measurements are taken, create a scale outline of the area. A piece of paper can be used at 1:10,000 scale (one hundred metres measured at field level corresponds to one centimetre on paper). The outline can also be drawn by entering the longitude and latitude data from GPS onto a computer, although mapping software is needed for this. Grids are then superimposed on the scale outline. Depending on the size of the area, these could be 25 x 25 metre quadrats or 100 x 100 metre quadrats.

**Step 4:** Measure the total area by counting the number of full and partial quadrats. The area of a full quadrat = length x width. The area of partial quadrats (irregular shapes) can be estimated by creating smaller geographic shapes and adding up the total. (The area of a square or rectangle = length x width. The area of a triangle =  $\frac{1}{2}$  base x height). One might also make the reasonable simplifying assumption that, on average, the area of the partial square is half the area of the full squares.

**Step 5:** Select a random sample of quadrats (MSF/Epicentre recommends selecting from 5 to 25 small quadrats (measuring 625 square metres). Within each sample quadrat, a **head count** (or survey interview) should be undertaken. An alternative approach would be to select a stratified sample of quadrats based on observed high-density, medium-density and low-density settlement patterns.

**Step 6:** For the random sample, the average population density measured in the sample quadrats can be extrapolated directly to the entire area for an estimate of total population size. For the stratified sample, weighting may need to be done before extrapolating to the total area.

## 4. Flow monitoring

**Country and year used:**

IASC Somalia – Protection Cluster, January – September 2006

**Objective of the exercise:**

To monitor and analyse population movements to better understand movement patterns/trends and urgent needs of the displaced as a result of conflict, floods, drought etc.

**Agencies involved:**

Protection Cluster Partners (OCHA, UNHCR, UNICEF, FSAU, DRC)

**Brief description of the situation:**

As previously indicated, despite very limited access to the country, international agencies, local NGOs and associations are nevertheless continuing their work under difficult conditions. The population movement tracking system was used in conjunction with other spot check methods such as protection monitoring and assessment missions when access was possible.

**Description of Method:**

- Monitor and observe the movement of people in areas of operation;
- Compile findings and report to Protection Cluster with UNHCR Somalia as repository of information and when the movement occurs stating reasons and urgent needs of the displaced;
- Maintain regular and direct contact with community members and host population to obtain regular information on the situation through local agencies working on the ground;
- Collect information through secondary sources such as elders, media, local leaders etc;
- Travel to areas where there are reports of displacement to gather information;
- Conduct interviews and focus group discussions with the affected population as well as other host/community members or elders to gather information;
- Coordinate and share information among various tracking partners located in the same area to avoid duplication and respond effectively;
- Undertake emergency monitoring when requested by the Protection Cluster.

This method can also be used for information updates on IDP movements.





## 5. Headcount

### Example 1: Headcount using enumerators

**Step 1:** Obtain a map of the area within which the population is to be counted. This could be a digitised map created from GPS way-points, a satellite image, a photo-mosaic made from aerial photography, a local political map or even a hand-drawn map created by community members.

**Step 2:** Identify non-overlapping segments or sections that cover the entire area on the map and assign enumerators designated sections.

**Step 3:** At a designated time (often at daybreak as people are waking up, or at dusk when people are back from work), enumerators move through their designated section of the population counting each habitation (they may also place an ID or address number on or beside each habitation for future reference) and counting the total number of people physically present. Unoccupied habitations should also be recorded. An option may be to close the camp off to anyone wishing to leave or enter, and record the situation 'as is'. Individual judgement must be used to assess whether a hut or habitation is just temporarily vacated because the inhabitants are out, or if it has been empty for some time (closed up, in disrepair, empty of belongings).

**Step 4:** The sum of all section or segment headcounts equals the total population in that location. With information on total habitation numbers, it is possible to estimate an average household size as well (adjusted according to number of empty habitations).

#### Advantages (WFP Eastern Sudan, reported October 2006)

- Suitable for communities of ethnic similarity;
- Suitable for societies where women and men are not allowed to mix;
- Suitable when households and settlements are scattered;
- Suitable when the IDPs are vulnerable;
- Possible to conduct during bad climate and in hot weather.

### Example 2: Headcount in a central location

The population is gathered in a central location and counted one-by-one, using wristbands or invisible ink to avoid double counting.

#### Disadvantages (WFP Eastern Sudan, reported October 2006)

- Hard for IDPs particularly children, elderly people and women;
- Requires mobile teams for sick people, disabled, pregnant women and others unable to come to registration points;
- Requires two teams;
- Requires erecting sheds and water provision;
- Requires more crowd controllers;
- Crowd gathering might spread transmittable diseases;
- Some communities may find it difficult to mix males and females;
- Head count may attract claimers from host or nearby community.

## 6. Dwelling count

### Steps for an enumerator based dwelling count

**Step 1:** Obtain a map of the area within which the population is to be counted. This could be a satellite image, a photo-mosaic made from aerial photography, a digitised map created from GPS way-points, a local political map or even a hand-drawn map created by community members.

**Step 2:** Identify non-overlapping segments or sections that cover the entire area on the map and assign enumerators designated sections.

**Step 3:** Enumerators go through their designated section of the population counting each habitation and placing an ID or address number on or beside each habitation for future reference. For every tenth house the number of inhabitants present will be recorded. These can be used to first calculate an estimate for the average number of inhabitants per house, and consequentially an estimate for the total population.

**Step 4:** If available, the average number of people per habitation is multiplied by the number of habitations within the section to obtain an estimate of the section population. These sectional numbers, in turn, are added up to obtain a total population.

When a dwelling count is used to estimate population numbers it may be necessary to adjust the overall estimate to account for habitual household members who were missing on the day of the count. When this method is used to estimate average household size, it may be necessary to make an adjustment to account for the deflationary effect of empty habitations. (If 4,000 people are counted in 1,000 total habitations, for example, then it is correct to use an average of four people per habitation when extrapolating to estimate total population; if 100 of those habitations are unoccupied, however, then a more accurate estimation of average household size is  $4,000/900 = 4.4$ ).

## 7. Household survey

### Example 1:

*IDP Intentions Concerning Return to their Places of Origin Sample Survey*

*Khartoum, North, East, Central Sudan and Nuba*

IOM, Sudan 2005

*Brief description of the situation:*

"At the request of the Government of Sudan represented by the HAC (Humanitarian Aid Commission), the proposed IDP survey was carried out in Khartoum and other IDP locations in the regions of North (Nile and Northern State), East (Red Sea, Kassala and Gedaref States), Central (White Nile, Blue Nile and Sennar States) Sudan and South Kordofan (Nuba) " by IOM.

#### **Objectives of the exercise:**

"To collect data on the intentions, motivations and concerns of IDPs regarding voluntary return; to gather IDP basic demographic and socio-economic information; to provide an indication of the number of IDPs planning to return; and to indicate geographic locations of return destinations and probable return routes.

#### **Agencies involved:**

"This project is of particular pertinence to ensure adequate assistance for returning IDPs and as such has the participation of the Government of Sudan, UN agencies and other organizations whose mandates provide support for IDPs. HAC, UNHCR, OCHA, IOM, WHO, UNICEF, NRC and FAR<sup>30</sup> participated in the implementation and funding of the survey."

#### **Description of Method:**

Available information on the number of IDPs and their locations provided the frame for the sample selection. Households were selected as sample units or units of analysis and the respondents were in most cases the heads of household. The estimated number of the IDPs considered for the population frame was 2,895,778, living in 11 states and corresponding to 482,630 households. For the survey interviews, 7,020 households were selected and interviewed, corresponding to 44,238 persons.

The teams (enumerators, team leaders, responsible NGOs) were trained in data collection and sampling at the locations. The training took place in Khartoum at HAC IDP Unit Office. IOM prepared the methodology and training materials, printed the forms and managed the operation for field data collection through responsible NGO partners together with HAC IDP Unit.

Training was completed by 10 April 2005 and data collection in all locations was completed by 5 May.

The forms were brought to the IOM Office in Khartoum and the processing was organised and completed by May 31st 2005. It included manual processing, manual logical control, coding of geographic locations (state and counties), database design and data entry, data verification and logical controls after data entry. A total of 15 data entry clerks were engaged in the data entry and the database design and supervision was provided by IOM staff.

From 1 June to 15 June 15th IOM prepared the statistical results and basic analysis of the survey results which are presented in this report.

A total of 54 locations were selected for the survey in the following states: Khartoum, El Jezira, Sennar, Blue Nile, White Nile, Red Sea, Kassala, Gedaref, River Nile, Northern State and South Kordofan. Locations were either IDP camps (or part of the camps), squatter areas or neighbourhoods in towns / villages with a large number of IDPs residing at the location.

<sup>30</sup> Fellowship for African Relief

Questionnaire:

**IOM SURVEY SUDAN 2005**

SURVEY NO. \_\_\_\_\_ DATE \_\_\_\_\_ HOUSEHOLD NO. \_\_\_\_\_

CAMP LOCATION \_\_\_\_\_ BLOCK \_\_\_\_\_ SUB-SECTION \_\_\_\_\_

**SECTION 1: HOUSEHOLD IDENTIFICATION**

Q1. Place of origin? \_\_\_\_\_

Q2. How long have you been in this place? \_\_\_\_\_

Q3. How did you arrive to this location? \_\_\_\_\_

Q4. From where did you arrive? \_\_\_\_\_

**SECTION 2: HOUSEHOLD COMPOSITION, SOCIO-ECONOMIC, ETHNIC CHARACTERISTICS**

| No. | Age | Sex | Ethnicity | Religion | Marital status | Education | Occupation | Assets | Income | Assets | Income |
|-----|-----|-----|-----------|----------|----------------|-----------|------------|--------|--------|--------|--------|
| 1   |     |     |           |          |                |           |            |        |        |        |        |
| 2   |     |     |           |          |                |           |            |        |        |        |        |
| 3   |     |     |           |          |                |           |            |        |        |        |        |
| 4   |     |     |           |          |                |           |            |        |        |        |        |
| 5   |     |     |           |          |                |           |            |        |        |        |        |
| 6   |     |     |           |          |                |           |            |        |        |        |        |
| 7   |     |     |           |          |                |           |            |        |        |        |        |
| 8   |     |     |           |          |                |           |            |        |        |        |        |
| 9   |     |     |           |          |                |           |            |        |        |        |        |
| 10  |     |     |           |          |                |           |            |        |        |        |        |
| 11  |     |     |           |          |                |           |            |        |        |        |        |
| 12  |     |     |           |          |                |           |            |        |        |        |        |
| 13  |     |     |           |          |                |           |            |        |        |        |        |
| 14  |     |     |           |          |                |           |            |        |        |        |        |
| 15  |     |     |           |          |                |           |            |        |        |        |        |
| 16  |     |     |           |          |                |           |            |        |        |        |        |
| 17  |     |     |           |          |                |           |            |        |        |        |        |
| 18  |     |     |           |          |                |           |            |        |        |        |        |
| 19  |     |     |           |          |                |           |            |        |        |        |        |
| 20  |     |     |           |          |                |           |            |        |        |        |        |
| 21  |     |     |           |          |                |           |            |        |        |        |        |
| 22  |     |     |           |          |                |           |            |        |        |        |        |
| 23  |     |     |           |          |                |           |            |        |        |        |        |
| 24  |     |     |           |          |                |           |            |        |        |        |        |
| 25  |     |     |           |          |                |           |            |        |        |        |        |
| 26  |     |     |           |          |                |           |            |        |        |        |        |
| 27  |     |     |           |          |                |           |            |        |        |        |        |
| 28  |     |     |           |          |                |           |            |        |        |        |        |
| 29  |     |     |           |          |                |           |            |        |        |        |        |
| 30  |     |     |           |          |                |           |            |        |        |        |        |

**SECTION 3: ORIGIN, RETURN AND REINTEGRATION CHARACTERISTICS**

Q1. How many meals per day do you have in the household? \_\_\_\_\_

Q2. Type of house / shelter? \_\_\_\_\_

Q3. What is the main reason for your family's displacement? \_\_\_\_\_

Q4. Are you aware of your and your family's right to return to your place of origin, settle where you currently live or elsewhere? \_\_\_\_\_

Q5. Have you or your family decided to return to your place / area of origin? \_\_\_\_\_

Q6. If the place of return is different (if yes) \_\_\_\_\_

Q7. Do you have enough information to make this decision? \_\_\_\_\_

Q8. Has a member of your immediate family returned to his/her place of origin? \_\_\_\_\_

Q9. If you or your family have decided to return, what reasons have prevented or are preventing you or your family from doing so far? \_\_\_\_\_

Q10. What are the factors that influence your decision to return? \_\_\_\_\_

Q11. What do you or your family plan to do for a living upon return? \_\_\_\_\_

Q12. What risks do you think you will face during you or your family's journey back to your place of origin / return destination? \_\_\_\_\_

IOM household survey of IDPs' intentions, Sudan 2005

The survey questions included:

- (A) Location of origin
  - A1. Place of origin
  - A2. When did you leave place of origin?
  - A3. When did you arrive to this location?
  - A4. From where did you arrive?
  
- (B) Household composition, socio-economic, ethnic characteristics
  - B1. Member's characteristics
  - B2. Ethnic group / tribe
  - B3. How many meals per day do you have in the household?
  - B4. Type of house / shelter?
  - B5. What is the main reason for your family displacement?

**IOM SURVEY SUDAN 2005**

**SECTION 3: ORIGIN, RETURN AND REINTEGRATION CHARACTERISTICS**

Q1. Are you aware of your and your family's right to return to your place of origin, settle where you currently live or elsewhere? \_\_\_\_\_

Q2. Have you or your family decided to return to your place / area of origin? \_\_\_\_\_

Q3. If the place of return is different (if yes) \_\_\_\_\_

Q4. Do you have enough information to make this decision? \_\_\_\_\_

Q5. Has a member of your immediate family returned to his/her place of origin? \_\_\_\_\_

Q6. If you or your family have decided to return, what reasons have prevented or are preventing you or your family from doing so far? \_\_\_\_\_

Q7. What are the factors that influence your decision to return? \_\_\_\_\_

Q8. What do you or your family plan to do for a living upon return? \_\_\_\_\_

Q9. What risks do you think you will face during you or your family's journey back to your place of origin / return destination? \_\_\_\_\_

- (C) Origin, return and reintegration characteristics
  - C1. Are you aware of your and your family's right to return to your place of origin, settle where you currently live or elsewhere?
  - C2. Have you or your family decided to return to your place/ area of origin?
  - C3. Do you have enough information to make this decision?
  - C4. Has a member of your immediate family returned to his/her place of origin?
  
- (D) If you have decided to return
  - D1. When do you consider returning?
  - D2. If you or your family have decided to return, what reasons have prevented or are preventing you or your family from doing it so far?
  - D3. What are the factors that influence your decision to return?
  - D4. What do you or your family plan to do for a living upon return?
  - D5. What risks do you think you will face during you or your family's journey back to your place of origin/return destination?

**D6-D8**

D6. What do you or your family think would be the preferred way/which route for returning to your place of origin / return destination?  
 1. Road (Road - Damascus - Latakia) 2. Overland - Hama - Tartus - Beirut - South  
 3. Air (Road - Hama - Latakia) 4. Sea (Road - Hama - South) 5. Sea to Damascus - South  
 6. Airport - Hama - Latakia

D7. Do you plan to stop en route at any location for more than 24 hours?  
 1. Yes 2. No

D8. What do you or your family anticipate will be your immediate concerns / needs upon your return to you or your family's place of origin?  
 1. Food 2. Shelter 3. Shelter 4. Health by seeking services 5. Education 6. Health care  
 7. Access to property 8. Security 9. Education 10. Other

**(E) If you have decided not to return**

E1. What are your plans?  
 1. Stay in the place 2. Do not know  
 3. Do not live in another place in Syria (other than the origin area / region)

E2. What problems do you or your family anticipate encountering if you remain where you are living?  
 1. Lack of ID papers 2. Property rights issues 3. Security of food security 4. Security  
 5. Other

**(F) If you have not decided whether to return**

F1. What is the main reason for not having decided yet?  
 1. Not enough information about the future of the place where we are now  
 2. Not enough information about route / destination  
 3. Not enough financial resources for return journey  
 4. Not in a good health condition for return journey  
 5. Family considerations  
 6. Other

F2. What are the factors that may influence your decision to return?  
 1. Return to family / not of use 2. Desire to return to home area 3. Conditions in place of displacement 4. Family situation 5. Total situation / circumstances  
 6. Other

**(G) Property**

G1. What identity documents do you have?  
 1. Identity certificate 2. ID card  
 3. Other 4. None

- D6. What do you or your family think would be the preferred and safest route for returning to your place of origin/return destination?
- D7. Do you plan to stop en route at any location for more than 24 hours?
- D8. What do you or your family anticipate will be your immediate concerns / needs upon your return to you or your family's place of origin?
- (E) If you have decided not to return
- E1. What are your plans?
- E2. What problems do you or your family anticipate encountering if you remain where you are living?
- (F) If you have not decided whether to return
- F1. What is the main reason for not having decided yet?
- F2. What are the factors that may influence your decision to return?
- (G) Property
- G1. What identity documents do you have?

**D9-D15**

D9. Do you or your family own property in the place where you are currently living?  
 1. Yes 2. No

D10. What kind of property?  
 1. House 2. Land 3. Location 4. Shop or other business building

D11. Do you have ownership documents for the property?  
 1. Yes 2. No

D12. Before you or your family became displaced, did you own any property?  
 1. Yes 2. No

D13. What kind of property?  
 1. House 2. Land 3. Location 4. Shop or other business building

D14. Do you have ownership documents for the property?  
 1. Yes 2. No

D15. What has happened to this property?  
 1. Sold 2. Destroyed 3. Confiscated 4. Other

**(H) Information**

H1. What information would be useful to assist you in making a decision on return and timing?  
 1. Safe routes 2. Assistance during journey 3. Transport schedules 4. Cost of travel  
 5. Access to land in place of origin 6. Infrastructure 7. Conditions in place of origin (security, services...)  
 8. Other aspects

H2. From which source/s do you generally get information?  
 1. Media 2. TV 3. Newspapers 4. Mobile telephones 5. Meetings 6. Community members  
 7. Community leaders 8. Other

H3. Which source of information do you like most?  
 1. Media 2. TV 3. Newspapers 4. Mobile telephones 5. Meetings 6. Community members  
 7. Community leaders 8. Other

H4. Do you have a radio set in your house?  
 1. Yes 2. No

H5. Do you have a TV set in your house?  
 1. Yes 2. No

**(I) Health**

I1. Does anyone in your household require ongoing medical treatment?  
 1. Yes 2. No

I2. Does anyone in your household require ongoing mental health support/treatment?  
 1. Yes 2. No

I3. Have the pregnant women in the household accessed ante-natal services in the location where you are now?  
 1. Yes 2. No

I4. Are any of these women planning to return before giving birth?  
 1. Yes 2. No

I5. Where does the household go for primary health care services?  
 1. Primary health care unit in the location 2. PHC Unit in host area 3. Traditional healers 4. Other  
 5. Non-medical alternatives from the location 6. The nearest primary health care facility

- G2. Do you or your family own property in the place where you are currently living?
- G3. What kind of property?
- G4. Do you have ownership documents for the property?
- G5. Before you or your family became displaced, did you own any property?
- G6. What kind of property?
- G7. Do you have ownership documents for the property?
- G8. What has happened to this property?
- (H) Information
- H1. What information would be useful to assist you in making a decision on return and timing?
- H2. From which source/s do you generally get information?
- H3. Which source of information do you like most?
- H4. Do you have a radio set in your house?
- H5. Do you have a TV set in your house?
- (I) Health
- I1. Does anyone in your household require ongoing medical treatment?
- I2. Does anyone in your household require ongoing mental health support/treatment?
- I3. Have the pregnant women in the household accessed ante-natal services in the location where you are now?
- I4. Are any of these women planning to return before giving birth?
- I5. Where does the household go for primary health care services?



**Example 2: Urban IDP Study, Khartoum, Sudan - IDMC/ Jacobsen, Jan - March 2007**

In areas where different densities of a particular population group or groups are being surveyed, it is important to ensure that the survey chooses its sampling universe very carefully. One could imagine, for example, a survey sample taken in an area that has a higher ratio of IDPs to the local population than in other areas, and using the results of the survey from which to extrapolate the national figure. This would evidently lead to a higher national IDP figure than is really the case, simply because the sampling universe was unrepresentative. To avoid this, the following description provides guidance on how to choose a sampling universe to obtain the most accurate results from extrapolation.

This survey was conducted in part to identify 'invisible' IDPs within a host population and in part to gather socio-economic data of the city's population, both displaced and domiciled. The survey design team understood that it would need to undertake, as a preliminary step, a process of *stratified sampling* to take into account the different densities of IDPs throughout the city. A primary purpose of stratification is to improve the precision of the survey estimates by reducing within strata variance, ie. to achieve greater accuracy of the IDP population estimates extrapolated from the study. Sample selection was carried out within strata that were pre-determined by local experts to contain differing densities of IDPs.

**Steps:**

"To determine the proportion of IDPs in Khartoum we will employ a two-step approach. The first step is to find out the population density distribution of IDPs within the city. The underlying hypothesis is that the density distribution is different in different sections of the city, with the null hypothesis being that the distributions are equal.

Ho:  $p_1=p_2=p_3=p_4$

Ha:  $p_1 \neq p_2 \neq p_3 \neq p_4$

In order to test the alternative hypothesis against the null, we will use two-stage stratification sampling. Stratification typically enhances the precision of sampling estimates by reducing within strata variance. It will have the highest affect in reducing variance when the stratum means are different from each other and when there is relatively little variation within strata. The urban centre known as Greater Khartoum consists of three 'towns': Khartoum, Khartoum North and Omdurman. Each of these three towns will be broken up into four strata, based on type of housing and expected IDP density, as follows:

| Stratum No. | Type of urban neighbourhood  | Expected density of IDPs  |
|-------------|--|---|
| I           | old settlements including old popular settlements and class one old completed settlements. | Very low  |
| II          | First and second class settlements under construction                                      | Medium (IDPs inhabit buildings under construction as a livelihood strategy) |
| III         | IDP camps and area around camps  | High  |
| IV          | IDP resettlement/relocation neighbourhoods   | High  |

The assumption is that these four strata are heterogeneous when it comes to IDP distribution and therefore serve as a proxy for different IDP densities. Each stratum is drawn with unequal probabilities at the first stage and is made up of census enumerator areas (each with equal population density). The number of enumerator areas chosen from each stratum will be equal to the population proportion of that stratum such that the total number of households surveyed will equal 1000 (~330 for each of the three towns).

The enumerator areas themselves will be chosen using a simple random sample such that each area has equal probability of being chosen. Within each enumerator area, n households will be randomly chosen using systematic sampling with either ambient populations or every j<sup>th</sup> household chosen from a randomly fixed point, with j being set so as to give desired sample size. The selected households (which will include both IDPs and non-IDPS) will be asked a range of questions related to their movements and other urban experience.

To facilitate our sampling approach, we will create a map based on GIS, using a combination of aerial shots of Khartoum, overlaid with an outline of the four strata, and the enumerator areas determined by the 1993 Sudan Census data. The map will also show major roads, administrative boundaries, and other useful variables. A combination of high resolution aerial shots and our constructed GIS mapping will be used to determine how sampling will be conducted within the enumerator areas. The goal is to standardise the procedure to allow for replication in other urban IDP areas.

Once the survey has been conducted, we will determine the proportion of IDPs relative to the non-IDP population in each stratum. Based on this proportion, we will calculate the population of IDPs within the entire city”.

**Stratification of Khartoum**

The neighbourhoods of Khartoum, Khartoum North and Omdurman were broken up into four strata based on expected IDP density. Khartoum was divided as follows:

| Khartoum   |   |   |  |
|--|---|---|--|
| Stratum I.   | Stratum II.   | Stratum III.                              | Stratum IV.                                      |
| <i>Old popular Neighborhoods:</i><br>Burri, Nasir, Extension of third class, Hai al Zohur, Sahafa, Gabra, Arkawet, geref Garb, Remela, Goz, Hella Algadedda, Al Azozab, Al kalaklat, Al Dekhenat, taebat al Hasanab, al deim, Al ushara, Al Ingaz, Al Salama, Id babikir and Jabal Awleya. | Mamura, Ferdos, Azhari, Mugaheen, Abu Adam, Geref Gareb, Ushara, Gabra Extension, Sgara Extension and Social insurance. | Angula (Mayo Farm), Bantiu and Soba Aradi | Mayo Farm, Dar Al Salam Jabal Awlia, Soba Aradi. |
| <i>First class completed settlements:</i><br>Khartoum East, Khartoum West, Khartoum Center, Khartoum2, Amarat, Khartoum3, Hai Alsafa, Al Reyad, Al Mansheya, Al Taief and Garden City  |   |   |  |

**References:**

Golder, P.A. and Yeomans, K.A. 1973. "The Use of Cluster Analysis for Stratification" *Applied Statistics*, Vol 22. No 2, pp 213-219.  
 Kalton, Graham, 1979. "Ultimate Cluster Sampling," *Journal of the Royal Statistical Society*, vol 142, no 2, pp 210-222.



## 8. Registration

### DASS / IOM IDP Registration in IDP Registration in Adjumani District, Uganda September 2005

#### *Brief description of the situation:*

In 2005, the Government of Uganda (GoU) and district authorities in Adjumani requested the Danish Assistance to the Self-Reliance Strategy (DASS) to support an IDP registration exercise in the district. As the International Organization for Migration (IOM) had been similarly requested by the GoU and the UN Agencies to support IDP registration exercises in Northern Uganda, cooperation was agreed, with DASS as the lead agency and IOM providing extensive technical support. The Registration Project was implemented between April-September 2005. Information dissemination was conducted on two levels; towards the authorities and towards the IDPs. During all these meetings greatest emphasis was made to make the participants understand the importance of only including IDPs in the registration exercise and that the registration would not be followed by any immediate assistance.

#### **Objective of the exercise:**

Provide an accurate picture of the IDP population in Adjumani district to enable support and protection of the rights of the IDPs in accordance with the national IDP policy.

#### **Description of Method:**

The IDP Registration performed at 29 registration sites enabled a good coverage of the area of Adjumani district. In total 10,222 households with 41,005 members were identified and registered as IDPs. The average household was found to comprise four family members.

#### **Staffing:**

Positions as supervisors, registration officers and data clerks were announced locally with one weeks notice. Five supervisors, 25 registration officers and five data clerks were employed. Three days of training were conducted by DASS, IOM (registration, methodology, and operational issues) and UNHCR (Code of Conduct) after which staff participated fully in planning the registration exercise.

#### **Organization of the registration:**

The number and the location of the registration centres were identified based on the concentration of IDP population. It was agreed that 29 centres would sufficiently cover Adjumani district, and enable IDPs easy access to the registration sites without having to walk too long distances or arrange for transportation. The first part of the registration involved a Head Count exercise, which was done all over the district within one week. The IDPs were informed to go to the nearest Registration Centre together with their entire household on a specific date. The IDPs were grouped in accordance with village of origin. Tokens were handed out to all individuals; four different colours were used to indicate if the individual was a child, youth, adult or elderly. After this the Heads of HH's were asked to collect all tokens from his or her family, go to the desk and have the tokens exchanged for a pre-numbered Family Token. On the Family Token the staff printed the name of the Head of HH and the number of family members, and stamped the card. Finally, all Family Tokens were recorded on a Tally Sheet with number, names, number of family members, and location. The second part of the registration was interviews for completing the registration forms. Staff members went to the different villages and with loud speakers announced the IDP registration in the respective Registration Centres 24 hours in advance. All Heads of HH were called in, grouped in accordance with village, and interviewed by the registration officers.

#### **Data Processing:**

As agreed with Adjumani district officials, an office was established within the Planning Unit with five computers in which the database was installed. Data entry was completed by August 15th 2005. After finalising the data entry, the data processing expert worked with/sorted up the database and analyzed the data that was entered. The work included sorting out double registration, misspellings, checking and verifying unclear cases, sorting files in a more appropriate manner, and other steps necessary for making the database accessible and reliable.

**Means of verification:**

Verification was performed to ensure that all IDPs in the district were properly included in the exercise, and that persons not internally displaced were excluded. During this exercise following steps were taken to secure a valid registration:

- The information dissemination put strong emphasis on the importance of only including IDPs (the validation of the entire exercise and purpose of advocacy) and that the registration would not be followed by, or related to any assistance.
- The complete Head Count exercise was done within a very short time frame in order to avoid double registration attempts.
- At the Head Count, all individuals had their finger dipped in ink in order to be recognised in case of attempts for double registration.
- The local community leaders were directly involved in screening people that were registered.
- The IDPs were grouped in accordance with the village they were situated in, which made it easier for the village leaders as well as IDPs themselves to identify who is not an IDP.
- The IDPs were called for the registration with short notice, leaving less time for falsification attempts.
- Only individuals that could be verified by their presence at the site were allowed to be included (at the registration form there is room for inclusion of family members not present but this was clearly marked on the form).
- A few IDPs did not manage to be present at the registration (due to temporary absence or being old and disabled and therefore unable to report to the Registration Centres). The old and handicapped were visited by staff members and other absent people were required to submit a verification letter from their LC1.
- Finally, cross-checking registration in the database enabled identification of double registration and unclear information.

**Registration of household members**

This model is based on the DASS / IOM form, Uganda September 2005

| LIST OF HOUSEHOLD MEMBERS |         |            |               |                        |                  |        |     |                 |                 |                   |           |           |
|---------------------------|---------|------------|---------------|------------------------|------------------|--------|-----|-----------------|-----------------|-------------------|-----------|-----------|
| No.                       | Surname | First Name | Father's name | Relationship to Holt** | Marital status** | Gender | Age | Vulnerability** | Occupati on NOW | Occupation BEFORE | Education | Token Y/N |
| A                         | B       | C          | D             | E                      | G                | H      | I   | J               | K               | L                 | M         | N         |
| 1                         |         |            |               |                        |                  |        |     |                 |                 |                   |           |           |
| 2                         |         |            |               |                        |                  |        |     |                 |                 |                   |           |           |
| 3                         |         |            |               |                        |                  |        |     |                 |                 |                   |           |           |
| 4                         |         |            |               |                        |                  |        |     |                 |                 |                   |           |           |
| 5                         |         |            |               |                        |                  |        |     |                 |                 |                   |           |           |
| 6                         |         |            |               |                        |                  |        |     |                 |                 |                   |           |           |
| 7                         |         |            |               |                        |                  |        |     |                 |                 |                   |           |           |
| 8                         |         |            |               |                        |                  |        |     |                 |                 |                   |           |           |
| 9                         |         |            |               |                        |                  |        |     |                 |                 |                   |           |           |
| 10                        |         |            |               |                        |                  |        |     |                 |                 |                   |           |           |
| 11                        |         |            |               |                        |                  |        |     |                 |                 |                   |           |           |
| 12                        |         |            |               |                        |                  |        |     |                 |                 |                   |           |           |

\*\*Code for:

Relationship to Holt: 1. Wife; 2. Husband; 3. Son; 4. Daughter; 5. Grandfather; 6. Grandmother; 7. Brother; 7. Sister; 9. Cousin; 10. Father; 11. Mother; 12. Other relative; 13. Non relative

Marital Status: 1. Single; 2. Separated; 3. Married; 4. Divorced; 5. Widower; 6. Common law marriage

Vulnerability: 1. Chronically ill; 2. Mentally ill; 3. Physically disabled (handicapped); 4. Pregnant woman; 5. Single parent (M/F); 6. Unaccompanied elder; 7. Unaccompanied minor; 8. Lactant; 9. War related injuries/mutilations; 10. Missing spouse

Occupation NOW and BEFORE (15 years and above): 0. Not working and not looking for a job; 1. Unemployed; 2. Construction; 3. Agriculture; 4. House wife; 5. Carpentry; 6. Cooking/baking; 7. Herding/shepherd; 8. Basic accounting; 9. Army/military; 10. Electrician; 11. Transportation; 12. Watch man; 13. Teacher; 14. Nurse; 15. Medical doctor; 16. Mid wife; 17. Business/commercial; 18. Metal smith; 19. Barber; 20. Wood collection; 21. Other

Education (7 years and above): Please write the code below for the most recent completed education. If a person is currently attending one of the formal educational institutions codified below mark **A before the code**.  
 0. No formal education/literate; 1. No formal education literate; 2. primary education; 3. Secondary education; 4. University; 5. Training institution

**Signature of Registration Officer:** \_\_\_\_\_

## IDP registration form

This model is based on the DASS / IOM form, Uganda September 2005

| UGANDA IDP REGISTRATION |  | Date | Form no. | Registration officer: |      |        |
|-------------------------|--|------|----------|-----------------------|------|--------|
| IOM registration form   |  |      |          | name                  | code | remark |

1. Population category (circle one option): a. IDP; b. Resident; c. IDP Returnee; d. Refugee Returnee; e. Other (specify) \_\_\_\_\_

**LOCATION DATA**  
**CURRENT LOCATION:** 2. District \_\_\_\_\_ 3. County \_\_\_\_\_ 4. Sub-county \_\_\_\_\_ 5. Parish \_\_\_\_\_  
 6. Town/Village \_\_\_\_\_ 7. Registration point \_\_\_\_\_ 8. IDP Camp \_\_\_\_\_ 9. Block \_\_\_\_\_

**PLACE OF RESIDENCE BEFORE DISPLACEMENT**  
 10. District \_\_\_\_\_ 11. County \_\_\_\_\_ 12. Sub-county \_\_\_\_\_ 13. Parish \_\_\_\_\_ 14. Town/Village \_\_\_\_\_

**15. DISPLACEMENT HISTORY**

| 15.1 From village / town* | 15.2 Year of displacement | 15.3 To village / town | 15.4 Year of arrival to the village / town | 15.5 Did all HH move together? Y/N | 15.6 Reasons ** Up to three options |
|---------------------------|---------------------------|------------------------|--|------------------------------------|-------------------------------------|
|                           |                           |                        |  |                                    |                                     |
|                           |                           |                        |  |                                    |                                     |
|                           |                           |                        |  |                                    |                                     |

\*\*Reasons for displacement code  
 a) Armed conflict; b) Insecurity; c) Forced relocation; d) Tribal conflict; e) Drought; f) Economic reasons; g) Family considerations; h) Other

\*start with original location

**16. REASONS FOR BEING DISPLACED:** a) Insecurity; b) GoU Policy; c) Better job opportunities in current location; d) Aid distribution available in current location; e) No service provision available in home community; f) No access to house/land in home community; g) Land mines in home community; h) Family relations; i) I want to stay here; j) Other reason \_\_\_\_\_

**HEAD OF HOUSEHOLD'S INFORMATION**

| 17. Local Council | 18. Type of living ** | 19. Host family (Surname and first name of Hof) | 20. Ethnicity |
|-------------------|-----------------------|---|---------------|
|                   |                       |   |               |

\*\*Type of living: a. Camp; b. With relatives or friends; c. Own house; d. Rented house; e. Squating; f. Other

| 21. Do you have livestock now?<br>Y/N | 21.1. If YES please specify what and how many? |            |
|---------------------------------------|--|------------|
|                                       | ... pigs                                       | ... cattle |
|                                       | ... goats                                      | ... sheep  |
|                                       | ... chickens                                   |            |

**22. Does any household member own any of the following?**

| Items                 | 22.1 In original location |        | Access? Y/N | 22.2 In camp / Displacement setting |                     |
|-----------------------|---------------------------|--------|-------------|-------------------------------------|---------------------|
|                       | Y/N                       | (Y/N)? |             | Y/N                                 | Ownership do (Y/N)? |
| 1. Agricultural land  |                           |        |             |                                     |                     |
| 2. Business / company |                           |        |             |                                     |                     |
| 3. Means of transport |                           |        |             |                                     |                     |
| 4. Agricultural tools |                           |        |             |                                     |                     |
| 5. House              |                           |        |             |                                     |                     |

# 9. Focus group discussions

**Example 1:**

The following two sets of guidelines for steering focus group discussions are based on models developed by the Thailand Burma Border Consortium.

**GUIDELINES FOR FOCUS GROUP DISCUSSIONS WITH IDPs**

|   |
|---|
| <b>Type of group:</b>   |
| <p>This focus group is with people from a:</p> <p> <input type="checkbox"/> Hiding Site                  <input type="checkbox"/> Relocation Site                  <input type="checkbox"/> Ceasefire area                  <input type="checkbox"/> special administration area         </p> <p>Type of group:</p> <p> <input type="checkbox"/> Men                  <input type="checkbox"/> Women                  <input type="checkbox"/> Children         </p> <p><i>Facilitate discussion on each of the issues identified, and record responses as fully as possible without stopping the flow of ideas. For the children’s group, spend most of the time discussing child protection issues.</i></p>   |
| <b>Key questions to ask:</b>  |
| <p><b>RETURN OR RESETTLEMENT</b><br/>                 What are the basic conditions that need to be addressed before you can consider returning to your village or settling in another place in safety and with dignity?</p> <p><b>LAND CONFISCATION</b><br/>                 What has been the pattern of land confiscation in this area?</p> <p><b>GENDER BASED VIOLENCE</b><br/>                 Apart from abuses which affect men and women equally, what are the main threats and abuses which specifically affect women?</p> <p><b>CHILD PROTECTION</b><br/>                 What are the main threats and abuses which specifically affect children?<br/>                 How can vulnerability of children to these kinds of abuse be decreased?</p> <p><b>HIV/AIDS</b><br/>                 What is your understanding about HIV/AIDS and how it spreads? Do you consider that your village is vulnerable to HIV/AIDS? Why?</p> <p><b>LANDMINES</b><br/>                 How have landmines affected your safety and security?<br/>                 What are alternative ways of protecting yourselves without using landmines?</p> |

**GUIDELINES FOR DISCUSSIONS WITH NON STATE ACTORS**

| Type of group:  |
|---|
| Participants' rank or authority .....   |
| Political party : .....   |
| Key questions to ask:   |
| <p><b>LIMITS TO WAR</b><br/>In your party's understanding, what are the limits to war?<br/>In other words, what actions in war are wrong, even if they would give a military advantage to your side?</p> <p><b>LOCAL JUDICIAL SYSTEMS</b><br/>How does your administration's judicial system protect human rights in theory and in practice?</p> <p><b>IMPACTS OF OPPOSITION PRESENCE</b><br/>Does the presence of your military bases increase protection or vulnerability for nearby civilians?</p> <p><b>IMPACTS OF HUMANITARIAN AID</b><br/>What is the impact on the safety and security of civilians of humanitarian agencies reaching out to conflict-affected areas and providing relief and development aid to civilians in need?</p> <p><b>OPPOSITION PROTECTION OBJECTIVES</b><br/>If democratization and self determination for the ethnic nationalities is the long term aim of the political opposition, what are the short term objectives for protection of IDPs and other civilians affected by conflict?</p> <p><b>FUTURE RECONCILIATION IDEAS</b><br/>How does your party propose that justice for survivors and perpetrators of abuses committed during decades of war be promoted in the future?</p> |

**Example 2:**

**Recording focus group meetings**

This example was used to record focus group discussions during flow and spot monitoring operations in Burkina Faso (source: The UNHCR Tool for Participatory Assessment in Operations, Geneva, May 2006)

| Enquiry method              | Female, age, background  | Male, age, background   | Total persons met with  |
|-----------------------------|--|---|---|
| Observed                    | At schools, water points, food-distribution points   | Border crossings  |   |
| Semi-structured discussions | Refugee leaders: <b>7</b><br>Refugee teachers: <b>5</b><br>Parents association: <b>3</b><br>Refugee health workers: <b>3</b><br>Host community: <b>10</b>                      | Refugee leaders: <b>7</b><br>Refugee teachers: <b>5</b><br>Parents association: <b>3</b><br>Refugee health workers: <b>3</b><br>Host community: <b>10</b>               | Refugee leaders: <b>14</b><br>Refugee teachers: <b>10</b><br>Parents association: <b>6</b><br>Refugee health workers: <b>6</b><br>Host community: <b>20</b>                   |
| Focus group discussions     | Age groups:<br>(10-13): <b>13</b><br>(14-17): <b>14</b><br>(18-39): <b>15</b> (40+): <b>15</b>   | Age groups:<br>(10-13): <b>13</b><br>(14-17): <b>14</b><br>(18-39): <b>15</b> (40+): <b>15</b>  | Age groups:<br>(10-13): <b>26</b><br>(14-17): <b>28</b><br>(18-39): <b>30</b> (40+): <b>30</b>  |
| Individual discussions      | Poorest households: <b>5</b><br>Ethnic minorities: <b>5</b><br>Host community: <b>5</b><br>Implementing partners: <b>5</b><br>Various govt. reps: <b>5</b><br>Others: <b>5</b> | Poorest households: <b>5</b><br>Ethnic minorities: <b>5</b><br>Host community: <b>5</b><br>Impl. partners: <b>5</b><br>Various govt. reps: <b>5</b><br>Others: <b>5</b> | Poorest households: <b>10</b><br>Ethnic minorities: <b>10</b><br>Host community: <b>10</b><br>Impl. partners: <b>10</b><br>Various govt. reps: <b>10</b><br>Others: <b>10</b> |

**Example 3:**

The following recommendation suggests that qualitative information obtained from focus group discussion in a participatory style can help to understand statistical “anomalies”.

*“...Currently, although there is a great amount of quantifiable data in this operation, there does not appear to be a source of systematically-gathered qualitative data against which the surveillance systems and statistics can be validated. The Consultant is particularly concerned that staff members cannot convincingly and conclusively explain why there is a disproportionate number of men to women being counted in assisted return. Undertaking a participatory assessment may help in finding the answers behind these statistics. Participatory assessment is important from a data management perspective because:*

- a. It explains the context behind statistics;*
- b. It gives staff members clues about what to monitor in surveillance systems;*
- c. It provides an important cross-check for surveillance systems and statistics.*

*It is somewhat similar to survey methodology in that it takes samples from demographic groups in order to gather information retrospectively; however, unlike surveys, it gathers qualitative information and has a more open approach, rather than a rigidly-defined survey questionnaire. Moreover, because of the open structure of the conversations that can take place during participatory assessment, staff members may learn answers to questions that they would not even have thought to ask. The operation could try a “small and beautiful” approach to participatory assessment to confirm its viability in the Afghan context and culture, as well as its usefulness to the operation. Examples of potential themes for participatory assessment might be the statistical disproportion between men and women, validating the group selection for human rights monitoring, the shelter programme or any other specific area of concern for the operation.”*

Quoted from a mission report from UNHCR, Operational Data Management Field Analysis Project, December 2006

## 10. Questionnaire input

Sample of 'additional information' Items (to be changed according to information needed and specific country context)

### Family history

Names of people in household (optional)  
 Age of family members  
 Number of children (girls and boys)  
 Marital status of household members<sup>31</sup>  
 Place of origin  
 (Ethnicity/clan affiliation – optional)  
 (Religion – optional)  
 Number of pregnant women, disabled family members in household

### Displacement issues

Reason/s for leaving home/habitual place of residence  
 Places of earlier displacement  
 Specific circumstances of earlier displacement  
 Reasons for leaving the other place/s of displacement  
 Dwelling type (eg. tent, makeshift shelter, hut, house, apartment, collective centre, hostel, other)  
 Rent or other gratuity paid  
 Payment for other services in displacement settlement/location  
 Percentage of earnings taken up by rent or other kinds of payment accepted

### Food aid and nutrition issues

Food aid availability and unmet needs  
 Food access and control at household level  
 Changes in food intake and its consequences  
 Specific effects of insecurity on people's food security<sup>32</sup>

### Coping mechanisms

Activity/occupation/profession – previous, current and desired<sup>33</sup>  
 Casual labour, begging, other – what plans for the future

### Property issues

House/apartment/land/property rights holders or occupancy rights holders  
 Community land-share rights  
 Other type of ownership rights or rights of occupancy  
 Does the holder have legal title to his/her property?  
 What was the state of the property when it was left (destroyed, occupied, empty, cared for by relatives or friends)  
 What are the constraints to getting it back today?  
 How much has been tried so far?  
 Location of property (as precise information as possible)  
 Anyone in village/neighbourhood who could verify your rights to that property?  
 Has any compensation been given for property surrendered?  
 If so, was it sufficient, and if not considered sufficient, why not?

<sup>31</sup> Single (SN), married (MA), divorced (DV), widowed (WD), engaged (EG), separated (SR)

<sup>32</sup> Additional information about food security should go beyond food aid, and include information on food production capacities (e.g. access to land or home garden), ability to keep small animals (e.g. poultry), and other sources of food than food aid (e.g. in-kind payment against labour, gifts or sharing from host families etc.). Issues of access to markets (for purchase, barter and sales) are also important, as well as enquiring about the use of food aid (is it a key source of cash, in addition to contributing to food consumption?)

<sup>33</sup> Coping mechanisms should ideally include much more than just enquiring about the main income-earning activities, e.g. finding out if people are moving in/out of their place of living, whether they are selling the few assets they may have brought with them, whether they are sending members out to live with other relatives, receipt of remittances from elsewhere, etc.)

## **Protection issues**

Looting and armed crime

SGBV as a trend/ prevalence issue. IDP profiling should not be used to collect individual SGBV incidents<sup>34</sup>

Forced recruitment to armed forces

Extortion

General insecurity and arbitrary violence

Children at risk due to...

## **Water, sanitation and health issues**

Distance to nearest water point

Average amount of water consumed person/day

Is water boiled regularly; if not, reasons

Distance to latrines

Condition of latrines

Considered safe or unsafe for interviewee to access at any time of day or night

Average number of users per latrine

Access to health/medical services: distance to nearest health post

Health services provided free or payment necessary

Amount of personal resources taken up by health expenses

Any special illnesses prevalent in household (HIV/Aids, TB)

## **Access to other civil institutions**

Police; rapidity and effectiveness of police response to security problems

Are police better avoided; if so why

Access to legal institutions and possibility of redress; length cost of hearings

Access to free education – primary, secondary, tertiary

Level of education of head of household

Children of school age in school

Estimated costs of sending one child to school: tuition, food, uniform – primary, secondary, tertiary

## **Aid history**

Receiving aid from Government/NGO/UN agency/other: Yes/no

What type of aid, according to individual/family; according to Government, NGO etc.

## **Estimated Assistance needs and nature and degree of need**

(emergency, full or partial coverage, transitional or development; protection/ safety measures)

- According to individual/family

- According to interviewer

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<sup>34</sup> Circumstances: is it a consistent or fairly rare risk, why is it possible, does the police help, what personal measures does the person think they can take to reduce it and what institutional/community measures can be done to reduce it, etc.



## 11. Gradual build-up of data

Example of how to collect data on IDPs when it is not possible to conduct structured profiling

In 2003-4, MSF-France worked through mobile health clinics in Kaberamaido, Soroti and Amuria districts in northern Uganda that it had established to provide emergency health care in communities where successive influxes of IDPs had overwhelmed the state health system. Developing basic documentation 'fiches' on people who it treated, including those reached through its network of community health workers (CHWs), allowed it to build a comprehensive picture on:

- Percentage of the displaced populations in each district to the local population;
- Reasons for their displacement;
- Hopes and intentions of the IDPs to return half way, all the way or not at all to their home communities, and when;
- Numbers and levels of vulnerability experienced by disadvantaged groups such as: the elderly, disabled, female-headed households, orphans, those with HIV/AIDS, victims of SGBV, etc;
- Health trends, particularly those representing a serious public health threat (measles, cholera, malaria, etc);
- Trends concerning malnutrition;
- Other health indicators that provided an overall view of the population welfare.

The CHW outreach programme employed local people, the majority female, who were known and trusted in their communities and trained to keep a watch on community health. The programme turned out to be particularly helpful in providing information which was largely unsought, but which emerged through daily interaction with the community, etc. An unintended advantage of this programme was the in-depth knowledge MSF built up about IDPs in the community.

Uganda fluctuated from relative security to deep insecurity for humanitarian workers and there were times when international staff needed to be evacuated for long stretches. CHWs continued their work, however, and continued to gather data and treat people for their health problems as best they could.

This example shows how, even in situations of extreme insecurity, it is possible to obtain information about IDPs and other population groups, and how to build into a 'service-oriented approach' such as MSF's a system when it is not possible to conduct more structured IDP profiling. The system can be replicated through other NGOs and associations who work with communities and build up unofficial data banks. Of course, given the nature of the work, individual IDPs remain anonymous, though a lot of other information about them can be shared.

Country teams could tap into other sources working within communities to profile IDPs, using this method either as a primary or secondary source of data.

### Further references:

For additional information regarding population estimates in unstable situations, and for an excellent overview of how to deal with cross-cutting issues such as interviewing techniques for people who have experienced trauma, gender-sensitive issues, ethnicity and emphasis on qualitative methods of data gathering, refer to:

"Rapid Assessment Procedures (RAP): Addressing the Perceived Needs of Refugees and IDPs through Participatory Learning and Action", Weiss, Bolton and Shankar, Center for Refugee and Disaster Studies, Department of International Health, The Johns Hopkins University School of Public Health

[http://www.jhsph.edu/Refugee/Publications/Rapid Catch Assessment/rapid1.pdf](http://www.jhsph.edu/Refugee/Publications/Rapid%20Catch%20Assessment/rapid1.pdf)

## FRAMEWORK FOR DURABLE SOLUTIONS FOR INTERNALLY DISPLACED PERSONS<sup>1</sup>

Internal displacement 'shall last no longer than required by the circumstances,' the Guiding Principles on Internal Displacement stipulate. It is now well recognised that to be internally displaced is to be exposed to a range of particular risks and vulnerabilities, even if it does not create a legal status. Bringing an end to this precarious plight is critically important. However, if decided prematurely, it can have serious ramifications. There consequently has to be an understanding of how to define and realise this end in a manner that respects the safety and security of the displaced.

Providing solutions to IDPs and ensuring their protection and assistance primarily lie with national authorities and, where applicable, with non state actors who control a given territory. This framework should enable humanitarian organisations to assist the relevant authorities and non state actors to take on this responsibility. Their purpose is also to assist them and the displaced themselves to determine whether durable solutions to internal displacements have been found and, if not, to identify what is still required towards reaching that goal. The framework addresses those displaced by conflict, human rights abuses and natural or man-made disasters. It may also provide guidance to those displaced by development projects although in such situations return most often is not possible and, in addition, special guidelines on resettlement exist.<sup>2</sup> The framework does not aim to address the question of disengagement of humanitarian organisations specifically, which is a operational and mandate driven decision, although the achievement of durable solutions can be a criterion for it. Currently, there is no consensus as to when to stop considering someone as an internally displaced person (IDP). Because identification as an IDP does not confer a special status under international law, there is no cessation clause as for refugees. For some, internal displacement ends only upon the reversal of displacement, that is, upon

IDPs' return to their place of origin. In many cases, such return can occur only when the causes of the displacement have been resolved. However, because return is not always possible or even desired by IDPs, this can lead to a situation where internal displacement holds little prospect of ever ending, and instead is an "identity" passed down from one generation to the next, which can impede their integration and even undermine their rights. At the other extreme, internal displacement may abruptly be deemed to have ended. It may, for instance, be in the interest of a government to claim there are no longer any IDPs in the country, in an effort to give the appearance of a return to normality and to direct international scrutiny elsewhere. Or, resources may dictate who is considered an IDP, with displacement "ending" when funding ends. To end specific actions for IDPs prematurely may lead to some IDPs' particular protection needs being neglected, without having found a durable solution.

As prevention, which should be the first priority, is not always successful, there is a need to find durable solutions for the displaced, once their forced displacement has occurred. Three types of durable solutions to internal displacement exist: return to the place of origin, local integration in the areas in which IDPs initially take refuge or settlement in another part of the country, the latter two being termed "resettlement" by the Guiding Principles on Internal Displacement.<sup>3</sup> In order to be considered durable, they must be based on three elements, long-term safety and security, restitution of or compensation for lost property and an environment that sustains the life of the former IDPs under normal economic and social conditions. Displacement ends when one of these durable solutions occurs and IDPs no longer have needs specifically related to their displacement. This does not mean that they may not continue to have a need for protection and assistance, but their needs would be no different from other similarly

<sup>1</sup> At the request of the UN Office for the Coordination of Humanitarian Affairs (OCHA), the Representative of the UN Secretary-General on Internally Displaced Persons (RSG) Francis Deng began the process of developing a set of benchmarks to provide guidance on determining when an individual should no longer be considered to be in need of protection and assistance as an internally displaced person. To develop the benchmarks, the RSG, in cooperation with the Brookings-Bern Project on Internal Displacement and Georgetown University's Institute for the Study of International Migration, later joined by the Internal Displacement Monitoring Centre of the Norwegian Refugee Council, hosted three meetings to gain the input of international organizations, governments, nongovernmental organizations and experts on internal displacement. The organizers also commissioned case studies that were published in a special issue of *Forced Migration Review*. The project is being completed under the guidance of the current RSG, Walter Kälin. For meeting reports, see [www.brookings.edu/fp/projects/conferences/contents.htm](http://www.brookings.edu/fp/projects/conferences/contents.htm). In the IASC WG meeting of March 2007, it was decided that rather being benchmarks, the document should be considered more as a framework and was welcomed as such by the IASC WG. For the *Forced Migration Review* special issue, see [www.fmreview.org/FMRpdfs/FMR17/fmr17full.pdf](http://www.fmreview.org/FMRpdfs/FMR17/fmr17full.pdf).

<sup>2</sup> See World Bank, Operational Policy on Involuntary Resettlement OP 4.12 Involuntary Resettlement, December 2001 for more information about the processes to be followed in cases of development-induced displacement.

<sup>3</sup> Guiding Principles 28-30 spell out the rights of IDPs and responsibilities of competent authorities relating to return, resettlement and reintegration. Since former IDPs should not be disadvantaged relative to those who are still displaced, the Guiding Principles relating to protection from displacement, protection during displacement, and humanitarian assistance apply, where appropriate, after return or resettlement.

situated citizens. Having found a durable solution, formerly displaced persons continue to be protected by human rights law and, if applicable, by international humanitarian law (IHL). Consequently, they continue to have all of the rights of citizens, and the international community should support these rights on the same basis as for others in the country. The fact that a person is no longer being considered an IDP shall have no repercussions for the enjoyment of her or his citizen's and human rights, and, when applicable, the protection offered by IHL, including the right to seek redress/compensation, or the right not to be discriminated against because of having been displaced. The end of displacement is achieved when the persons concerned no longer have specific protection and assistance needs related to their having been displaced, and thus can enjoy their human rights, in a non-discriminatory manner vis-à-vis citizens who were never displaced. In order to assess whether this situation has been achieved, an analysis of the individual's access to rights needs to take place for each situation. Internal displacement does not generally end abruptly. Rather, ending displacement is a process through which the need for specialized assistance and protection diminishes. Sometimes, for long periods after return, those who have been displaced may find themselves in markedly different circumstances and with different needs than those who never left their home communities. For example, claims to their property may not be adjudicated immediately, leaving them without shelter or a means of livelihood in places of return. Similarly, those who are settled elsewhere may require humanitarian and financial aid until they are able to obtain shelter and employment in their new location. Even in the context of a durable peace agreement, insecurity may continue to pose problems for uprooted populations, particularly if there are resentments and conflicts between returning, locally integrated or settled IDP populations and the already resident population. Under these circumstances, even if the people have returned, they still have residual displacement related problems and are therefore of concern.

The right of IDPs to make informed and voluntary decisions as to whether they want to return, or settle and integrate at the place where they found refuge or elsewhere, is one of cornerstones of the Guiding Principles, and must be ensured. Though freedom of movement is a fundamental human right, it can be restricted and the right to determine where one lives is not absolute. There may be situations in which national authorities may determine that conditions are too unsafe to permit return or settlement in a specific location (for example, a natural or manmade disaster, imperative military reasons or development project have made an area uninhabitable). However, every effort should

be made to ensure that the decision to choose a durable solution is voluntary and that the decisions of individual IDPs whether to return home or settle elsewhere must be respected and facilitated.

Deciding that displacement has ended includes both subjective and objective aspects. IDPs may continue to see themselves as displaced long after national authorities and international observers determine that their situation has been resolved using a set of objective criteria. Conversely, IDPs may see their displacement at an end upon returning home, even though a more objective analysis would indicate that they remain vulnerable as persons who have been previously uprooted and who would continue to need protection and assistance as returnees, locally integrated or persons who have settled elsewhere in their country.

To determine whether and to what extent a durable solution has been achieved it is necessary to examine both the processes through which solutions are found and the actual conditions of the returnees/resettled persons. In general, it is important to consider whether 1) the national authorities have established the conditions conducive to safe and dignified return or settlement elsewhere; 2) formerly displaced persons are able to assert their rights on the same basis as other nationals; 3) international observers are able to provide assistance and monitor the situation of the formerly displaced; and ultimately, 4) the durable solution is sustainable. It is important to note that there is no clear or magic formula for deciding that displacement or the need for assistance or protection has ended. Rather, the totality of the situation must be assessed and consultation with all relevant stakeholders, are part of the process.

The Framework is presented in two sections. First are the processes through which durable solutions to displacement are determined to have been achieved, and second are the conditions that mark such durable solutions to displacement.

#### I Process

**IDPs are able to make an informed decision as to whether to return to their home communities, remain where they are, or settle elsewhere in the country<sup>4</sup>.**

The information needed to make an informed decision has to be in a language understood by the IDPs and, at a minimum, includes:

- General situation in the origin or in community of settlement, including the political situation, safety and security, freedom of movement, amnesties or legal

<sup>4</sup> Principle 28.2 requires that "Special efforts should be made to ensure the full participation of internally displaced persons in the planning and management of their return or resettlement and reintegration."

guarantees, human rights situation, legal and other mechanisms to protect the rights of women, children, youth, minorities, older people, type and duration of assistance available to them, etc. This includes objective information as to whether the causes of displacement have been resolved, and if they have not been resolved, a realistic assessment as to the prospects for resolution and the efficacy of risk reduction mechanisms in place. Information should also be provided on what mechanisms have been put in place in order to ensure a smooth (re)integration of the IDPs with the local population.

- The procedures for returning, integrating locally or settling elsewhere, including information on what items the IDPs can take with them, what documents they will need, what type of transport will be available, what arrangements if any have been made for those with special needs, what if any reintegration package will be provided, any necessary administrative requirements to stay where they are, etc.

- The conditions on return or (re)settlement, including access to housing, land, livelihoods, information on mine risks, employment and other economic opportunities; availability of public services (public transport, healthcare, education, etc.); conditions of buildings and infrastructure for schools, health clinics, roads, bridges and sanitation systems; and assistance available from national, international and private agencies.

IDPs, including women, minorities and others who may not have representation, participate fully in the planning and in management of return, local integration or settlement elsewhere in the country.<sup>5</sup> To ensure full and appropriate participation of the internally displaced in decision-making, planning and management, such participation in decisions may take place in the context of community meetings, social and other service delivery, feeding centres, skills training and income generating programs, and other environments in which the displaced gather. Involvement of staff of NGOs in outreach may help ensure broader participation. In urban areas where internally displaced persons have spontaneously relocated, special efforts will be needed to ensure that they receive notice of consultations and gain access to information. Those who have spontaneously returned, locally integrated or settled elsewhere should also be consulted about continuing assistance or protection needs. The use of mass media may be the most effective way to reach spontaneously settled individuals.

**To the extent possible, arrangements have been made for IDP representatives to visit and assess conditions for return or settlement elsewhere.** These visits should

include women and men as well as a broad representation of ethnic, racial, religious and political groups. The visits should include opportunities for consultations with populations already residing in the potential return or resettlement communities in order to identify issues that may lead to conflict.

**No coercion—including physical force, harassment, intimidation, denial of basic services, or closure of IDP camps or facilities without an acceptable alternative—has been used to induce or to prevent return, local integration or settlement elsewhere.** As stated above, there may be situations in which national authorities are justified in determining that return is impossible, at least for the time being or in the near future. For the most part, however, the use of coercive measures to prevent or induce return or resettlement undermines the principle of voluntariness, which is essential to ensure the protection of the rights of IDPs.<sup>6</sup> As stated in the Handbook for Applying the Guiding Principles, “Internally displaced persons have the rights to be protected against forcible return to or resettlement in any place where their life, safety, liberty, and/or health would be at risk. Just as the principle of non-refoulement (the prohibition against forced return to their home countries) is the most important right for refugees, protection from forced returns is also essential for protecting internally displaced persons. This principle has particular importance for internally displaced persons because it is the loss of their ability to remain in their original homes that characterizes their plight. Further depriving them of their right to seek safety adds even greater injury to them.”

**National authorities, where appropriate with the support of the international community, have taken appropriate measures to establish conditions, as well as provide the means, to enable IDPs to return voluntarily, in safety and dignity, or to resettle voluntarily in another part of the country and to facilitate the (re)integration of returned or resettled IDPs.**<sup>7</sup> The primary responsibility for ensuring that IDPs do not face dangers to their physical safety and security rests with national authorities. Countries in transition from conflict or natural disasters may need assistance from the international community (see below) in establishing such conditions.

In practical terms, the responsibility of national authorities includes: taking measures to ensure respect for human rights and humanitarian law; providing safe transit for internally displaced persons; and offering adequate assistance and protection of physical safety upon relocation. In conflict situations, practical measures include seeking peaceful resolution of conflicts; where appropriate, national authorities may need to pay special attention to landmines and unexploded ordinance that may pose a danger to IDPs

<sup>5</sup> In line with international human rights law, durable solutions for displaced children must be in the best interest of the child.

<sup>6</sup> Guiding Principle 28 emphasizes that IDPs should be able “to return voluntarily, in safety and with dignity, to their homes or places of habitual residence, or to resettle voluntarily in another part of the country.”

<sup>7</sup> Guiding Principle 28.1 states that “Competent authorities have the primary duty and responsibility to establish conditions, as well as provide the means, which allow internally displaced persons to return voluntarily, in safety and with dignity, to their homes or places of habitual residence, or to resettle voluntarily in another part of the country.”

and/or disarm militias or civilians carrying arms. In the case of natural disasters, national authorities will need to take measures to reduce vulnerability of returnees and the general population from future disasters.

**National authorities grant and facilitate safe, unimpeded and timely access of humanitarian organizations and other relevant actors to assist IDPs to return, locally integrate or settle elsewhere in the country.**<sup>8</sup> International and national humanitarian organizations and other relevant actors can play an important role in assisting return, local integration or settlement elsewhere in the country. In some cases, memoranda of understanding signed by national and local authorities, humanitarian organisations and representatives of the internally displaced may be a useful way to spell out the understandings and obligations of all parties involved in finding solutions to the displacement. Humanitarian organizations and other appropriate actors can also play an important role in assessing the safety and security of internally displaced persons who have returned, integrated locally or settled elsewhere in the country. Assessments should take into account gender-specific violence and exploitation connected to displacement as well as threats specific to children and to other groups with particular protection concerns.

## II Conditions

**Formerly displaced persons do not suffer attacks, harassment, intimidation, persecution or any other form of punitive action upon return to their home communities or resettlement in other locations.** Attacks or other acts of violence against internally displaced persons are prohibited in all circumstances. Evidence that former IDPs are not subject to such attacks or other punitive actions is an essential condition that a durable solution has been achieved. In the case of conflict situations, it is particularly important to determine that former IDPs are not physically endangered by landmines, unexploded ordinances, small arms or other violence perpetrated by combatants.

**Formerly displaced persons are not subject to discrimination for reasons related to their displacement.**<sup>9</sup> This provision has two components. First, displacement ends when returnees and resettled persons do not face discrimination because they had been displaced in the past. Second, for the solution to be sustainable, displacement can be said to have ended only if the reasons that induced past

and may induce future displacement have ended. These include discrimination based on race, religion, nationality, ethnicity, membership of a particular social group, political opinion or gender.

**Formerly displaced persons have full and non-discriminatory access to national and sub-national protection mechanisms, including police and courts.** Although law enforcement and judicial systems in rural areas, or in countries in transition from conflict or severely affected by disasters, may not be sufficiently developed, it is important that IDPs have access on a par with other residents to national protection mechanisms and progress be made towards establishing effective courts and police in areas of return and resettlement. In cases where durable solutions are being sought for IDPs due to conflict, formerly displaced persons have full and non-discriminatory access to local reconciliation mechanisms, as well as reparation for having been the victims of gross violations of their human rights, in particular of having being forcibly displaced.<sup>10</sup>

**Formerly displaced persons have access to personal documentation, which typically is needed to access public services, to vote and for administrative purposes.** To give effect to the right for internally displaced persons to recognition before the law, it is important that the formerly displaced have access to documents necessary for the enjoyment and exercise of their legal rights, such as passports, personal identification documents, birth certificates and marriage certificates. Women and men have equal rights to obtain such necessary documents and have the right to have such documentation issued in their own names. Such documentation in fact should be issued earlier, as soon as an IDP needs them.<sup>11</sup>

**Formerly displaced persons have access to mechanisms for property restitution or compensation regardless of whether they return or settle in the area where they found refuge or a new location.**<sup>12</sup> These standards apply to all residential, agricultural and commercial property. The right to restitution or compensation extends to all displaced persons – including men, women and children – who have lost ownership of or access to their property, whether they have formal or informal titles. It also includes those who stand to inherit property from deceased family members who were displaced. The process through which property restitution and compensation is made can be complex and may take time. It is not necessary for it to

<sup>8</sup> Guiding Principle 30 specifies that, "All authorities concerned shall grant and facilitate for international humanitarian organizations and other appropriate actors, in the exercise of their respective mandates, rapid and unimpeded access to internally displaced persons to assist in their return or resettlement and reintegration."

<sup>9</sup> Guiding Principle 29.1 states that internally displaced persons who have returned to their homes or places of habitual residence or who have resettled in another part of the country shall not be discriminated against as a result of their having been displaced. They shall have the right to participate fully and equally in public affairs at all levels and have equal access to public services.

<sup>10</sup> See Basic Principles and Guidelines on the Right to a Remedy and Reparation for Victims of Gross Violations of International Human Rights Law and Serious Violations of International Humanitarian Law, GA Resolution 60/147 of 16 December 2005

<sup>11</sup> Guiding Principle 20 spells out the rights of IDPs to documentation.

<sup>12</sup> Guiding Principle 29.2 spells out the responsibilities of competent authorities regarding property restitution and compensation.

be fully achieved before IDPs are determined to have found a durable solution if they have access to procedures for property restitution and compensation, including traditional property dispute mechanisms, and are able to reside safely and securely during the interim. It should be emphasized that those determined to have found durable solutions do not lose their claim to restitution or compensation because their displacement has ended – property rights, like all human rights, remain in effect an entitlement of former IDPs. Alternative solutions should be found for temporary occupants of IDP property who are being evicted in the course of property restitution, in particular if they are displaced persons themselves. Appropriate solutions should be found for persons who lost their tenancy rights in the course of displacement. The problems that women may face in obtaining recognition of their ownership or access to the property need special attention, particularly where there are legal barriers to female inheritance of property.

**Formerly displaced persons enjoy without discrimination an adequate standard of living, including shelter, health care, food, water and other means of survival.**<sup>13</sup> National authorities have the principal responsibility to ensure that those who return, integrate locally or settle elsewhere in the country have access, on a sustainable basis, to essential food and potable water, basic shelter and housing, and essential medical services and sanitation. Humanitarian organizations may be called upon to help ensure that these basic needs are met. Initially, IDPs may have needs for assistance to obtain the means of survival that differ significantly from that of the resident population. However, if adequate attention is being paid to their specific situation, the needs of IDPs are likely to resemble that of other residents over time. To the extent that the needs merge, the continuation of IDP-specific programmes could become discriminatory towards the other residents. It should be emphasized, however, that since the formerly displaced retain their rights, along with other citizens, to an adequate standard of living, development programs to help them achieve such a standard will be warranted.

More specifically, formerly displaced persons will have access without discrimination to:

- **Employment opportunities and income generation.** Return and resettlement often occur in circumstances of high unemployment and fragile economies. This benchmark does not mean that all formerly

displaced persons must be employed before considering displacement to have ended. Nor does it require that IDPs regain their previous livelihood. Rather, displacement ends when IDPs have no barriers to employment and income generation opportunities that relate specifically to their displacement.

- **Basic public services, including education, health services and pensions.** Similarly, the key to determining whether IDPs have such access is whether there are barriers related to their displacement that bar them from using services that are available to other residents of the community. Replacement of personal documentation, as noted earlier, is often essential in order for IDPs to regain access to public services.

**Formerly displaced persons have been able to reunite with family members if they choose to do so.** Families separated by displacement should be reunited as quickly as possible, particularly when children are involved.

**Formerly displaced persons are able to exercise the right to participate fully and equally in public affairs.**<sup>14</sup> This includes the right to associate freely and participate equally in community affairs, to vote and to stand for election, as well as the right to participate in public affairs, and have access to public institutions, in a language they understand.

**Office of the Representative of the Secretary-General on the human rights of IDPs, May 2007**

<sup>13</sup> Guiding Principle

persons.” Guiding Principle 29.1 specifies that returnees and resettled persons “shall have the right to ... have equal access to public services.”  
<sup>14</sup> Guiding Principle 29.1 specifies that internally displaced persons “shall have the right to participate fully and equally in public affairs at all levels” upon their return or resettlement. IDPs also have this right while displaced (see Guiding Principle 22 (d)).



