Humanitarian Profile Support Guidance:

Includes methods, definitions, good practice and recommendations for establishing humanitarian population figures

Humanitarian Population Figures

April 2016

IASC Information Management Working Group

The objective of this guidance is to provide an overview of definitions, methods and good practice on how to derive overall, inter-sectoral humanitarian population figures. These include estimates of the number of people affected by a given emergency as well as in need of, targeted by and reached with humanitarian assistance. Currently there is no collectively agreed method to establish such figures.

The guidance is intended for colleagues who are tasked with estimating humanitarian population figures and are facilitating, or participating, in joint analysis, planning and response monitoring.

This first version of the guidance focuses on estimating total populations, affected populations and populations in need of humanitarian assistance (PiN).[1] Guidance on determining figures for planning and response monitoring (populations targeted, reached and covered) is planned for inclusion in the next version (a brief overview of current practice is featured in Annex 3).[2]

The guidance consists of two main chapters and four annexes. The first chapter illustrates the current challenges with determining population figures and depicts the evolution of the notions and definitions of humanitarian population figures since the 2011 IASC Humanitarian Profile Guidance[3]. It includes key working definitions, examples, and a section on roles and responsibilities, laying out the basic requirements for estimating humanitarian aggregate population figures. The second chapter is dedicated to concrete examples from the field and practical recommendations reflecting current best practice, approaches and methodologies.[4]

[1] In the following abbreviated as “people in need” and PIN

[2] In addition to this note, further practice can be found on the IMWG’s Sub-Groups’ space on HR.info https://www.humanitarianresponse.info/en/topics/imwg/imwg-sub-groups

[3] See IASC Guidance on the Humanitarian Profile Common Operational Data Set, June 2011: https://www.humanitarianresponse.info/en/system/files/documents/files/iasc_guidelines_on_the_humanitarian_profile_common_operational_dataset_2012-08-07_EN.pdf

[4] The examples included are a collection of current best practice (as of April 2016) and by no means comprehensive.

CHAPTER I: NOTIONS AND DEFINITIONS

I. Why is establishing humanitarian population figures important[5]?

A detailed analysis and breakdown of humanitarian population figures is the most commonly requested information in humanitarian crises and provides the backbone to any humanitarian operation. Humanitarian population figures are not only necessary for planning and supporting appeal documents as part of the emergency response but are also essential for monitoring, evaluation and contingency. Humanitarian population figures form the basis and reference point of any relief operation aiming to deliver aid according to the population's needs.

Inconsistent terminology, unclear methodologies and a lack of transparent, coordinated and standardized data gathering frequently result in humanitarian actors operating with different information. Failure to establish and regularly update well-defined population figures not only demonstrates a weak evidence-base but may have a negative impact on resource allocation. When figures are not comparable, understanding the evolution of needs and the response becomes unreliable and may be called into question, ultimately hampering accountability to both the affected population as well as donors.

As stated in the ALNAP State of the Humanitarian System 2015: "The lack of solid data on people in need remains a major obstacle to understanding the success or failure of a humanitarian response. Without being able to measure the proportion of people who needed aid who actually received it, coverage rates cannot be estimated. Errors or confusion in this regard can harm the credibility of appeals."[6] This has implications for the attention a humanitarian crisis receives with regards to both advocacy and financing.

Bringing stakeholders together to agree on and establish a common awareness of the situation will help prioritize geographic areas and population groups, strengthen cross-sector linkages and ultimately improve the efficiency and effectiveness of the humanitarian response.

Population figures are developed as part of a MIRA[7] or Humanitarian Needs Overview (HNO) process and feature in Flash Appeals, joint response plans such as Humanitarian Response Plans (HRP), monitoring reports and humanitarian dashboards. When preparing a joint response plan, humanitarian country teams are required to go through a step-by-step process and identify planning assumptions that are based on the number of people in need, on the projected number of people in need, the people targeted with assistance and the people reached.

II. How do we currently define and calculate humanitarian population figures in a humanitarian crisis?

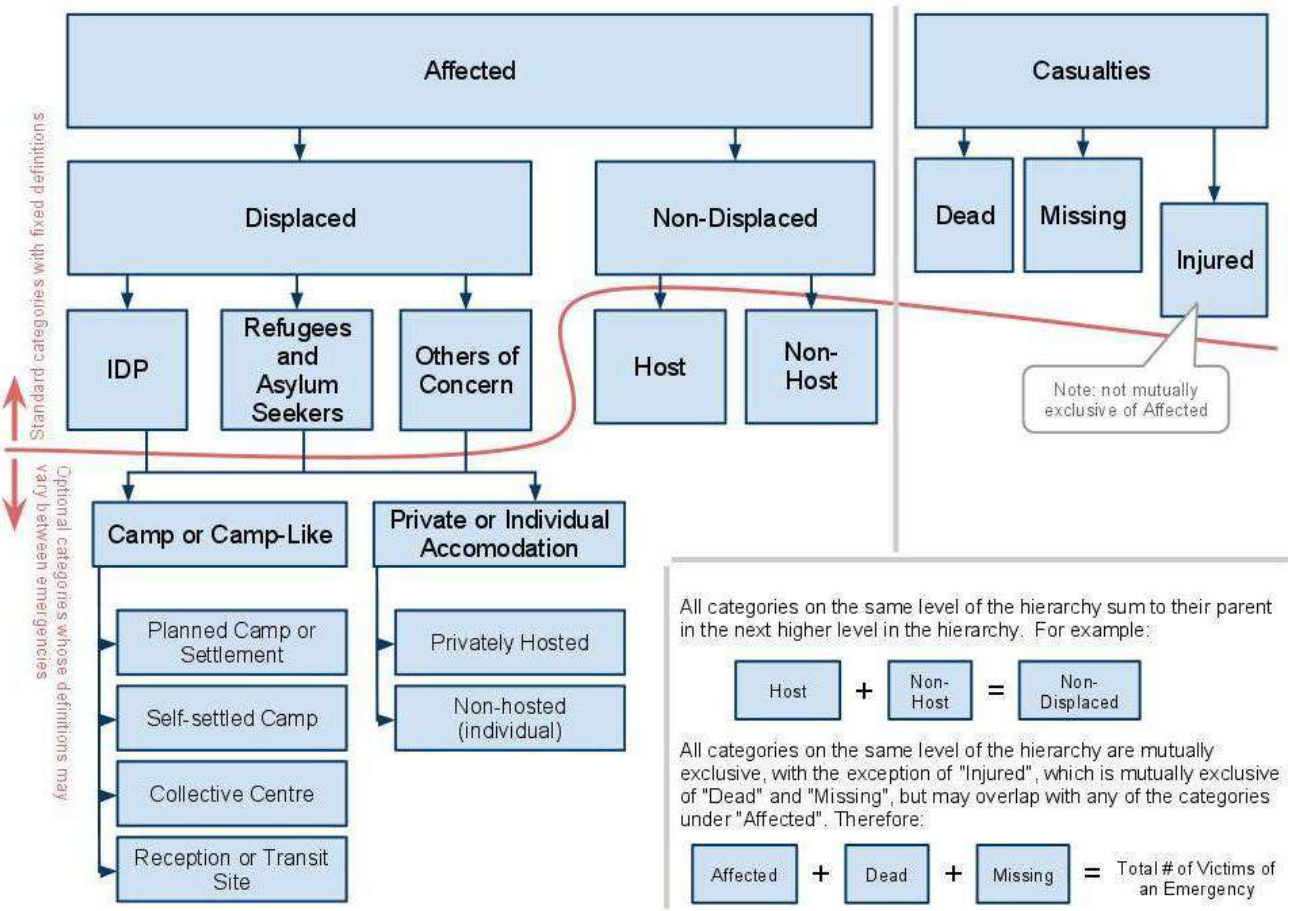
In 2011, the IASC Information Management Task Force developed guidelines on the Humanitarian Profile Common Operational Dataset to address gaps and confusion in terminology. It includes definitions and a

[5] **"**Humanitarian Population Figures" is the term used in this document to describe all figures used at different phases of a humanitarian crisis to describe the size/magnitude of a population from those affected and those in need, right through to population numbers used for planning and in monitoring the numbers reached by the response. Humanitarian Population Figures answer the questions "how many" and "how much" in the phases of needs identification, planning and monitoring.
[6] ALNAP 2015, http://sohs.alnap.org/#what-is-this-system
[7] Multi-sector Initial Rapid Assessment

classification model called the “humanitarian profile” providing **a flexible structure to record numbers of overall affected population** in a predictable and systematic manner.[8,9]

The guidance however does not specify methods to support the operationalization of the “humanitarian profile” classification model. It has become clear that the humanitarian community needs to build upon the previous guidance to further clarify the relationship between the total population of a country, the affected population, the population in need, the population targeted and population reached. The present document sets out to consolidate current practice around these questions at the inter-sector level, but also highlight similar methods are applicable at the intra sector level.[10]

Figure 1: *2011 Humanitarian Profile Framework*



While some tools and good practice to estimate overall Population in need figures (PIN) currently exist, little concrete guidance is available that captures overall principles and methods. A set of consultations in 2015 with global cluster teams and field experts showed that documentation of best practice for estimating overall figures in humanitarian operations is weak. It was acknowledged large conceptual gaps still exist when it

[8] See IASC Guidance on the Humanitarian Profile Common Operational Data Set, June 2011: https://www.humanitarianresponse.info/en/system/files/documents/files/iasc_guidelines_on_the_humanitarian_profile_common_operational_dataset_2012-08-07_EN.pdf

[9] The Humanitarian Profile is set out to help derive estimates of overall population affected, across sectors and should be adapted at the country level for each context. It is however acknowledged that the Humanitarian Profile should be flexible and may not be applicable for all Clusters, including the Food Security Cluster.

[10] The guidance on Population Figures aims to provide guidance at the aggregated, inter-sectoral level, but the study shows many of the approaches are applicable to and used at the sector level.

comes to estimating affected population figures, population in need figures, populations targeted for intervention and in monitoring how many have been reached.

Currently, the main challenges in estimating humanitarian population figures include:

- lack of reliable population or demographic data
- confusion around terminology of humanitarian population figures
- discrepancy between the overall figures of people in need versus sector specific estimates
- diversity of calculation methods – often adapted to fit context-specific requirements with a lack of transparency around those methods and consequently non-replicable results
- lack of clarity on roles, responsibilities, and coordination between stakeholders collecting population figures, as well as the lack of harmonization of approaches and definitions.

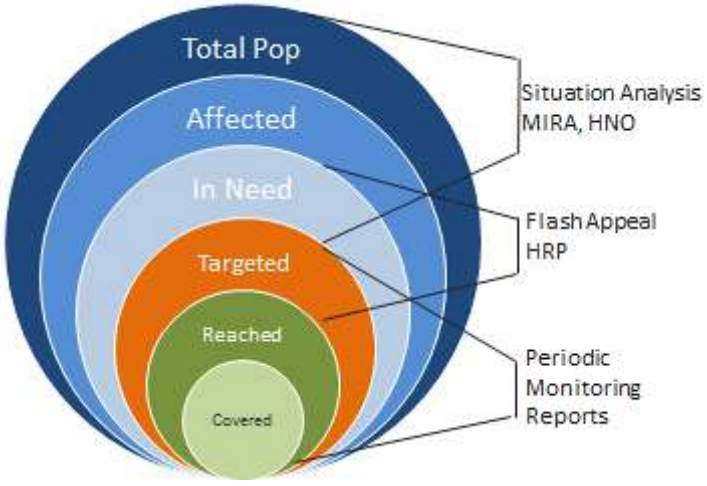
The objective of this guidance is to provide guidance on how to derive overall, aggregate population figures. Currently, there is no collectively agreed method to establish figures of affected populations or in need of humanitarian assistance in a given emergency. This also applies to the overall figures for populations targeted, reached and covered.

Determining an **overall, inter-sectoral number** of people for establishing affected, in need, targeted or reached is a key requirement in the Humanitarian Programme Cycle and its corresponding documents. While aggregation of population figures occurs in each phase of the project cycle, and also at the cluster, project and activity level, **the present document focuses only on providing best practice and recommendations on how to derive an overall, inter-sectoral figure.**

III. Terminology and key definitions

Figure 2 shows the relationship between sets of the total population of a given territory in an emergency response: Total, Affected, In Need, Targeted, Reached and Covered. Each of these sub-sets can be further broken down as required. The terminology is defined as follows:

Figure 2: *Visual representation of overall humanitarian population figures categories*



1. **Total Population** includes all people living within the administrative boundaries of a nation state. Note there can be a crisis-specific strategic decision to calculate the total population looking only at a sub-national level, i.e. total population living in Nigeria's northern states affected by conflict.

   Example: 8 million people live in country Alpha hit by a crisis. This includes 500,000 refugees who came to the country one year ago.

2. **People Affected** includes all those whose lives have been impacted as a direct result of the crisis. This figure is often the first available after a sudden onset emergency and often defines the scope or boundary of a needs assessment. It does not, however, necessarily equate to the number of people in need of

humanitarian aid; it should not be confused or used interchangeably with the category People in Need. Characteristics of the category People Affected must include:

- being in close geographical proximity to a crisis;
- physically or emotionally impacted, including exposed to a human rights violation/protection incident;
- experiencing personal loss or loss of capital and assets as a direct result of the crisis (family member, house/roof, livestock or any other asset);
- being faced with an immediate threat from a crisis.[11]

When a crisis becomes protracted and its effects deepen and spread, the definition of Population Affected may need modification, to include population geographically distant from the centre of the initial shock and not having been physically/emotionally impacted but experiencing secondary effects of a disaster/crisis. These could manifest as economic implications, such as price increases and commodity shortages, or the consequences of damaged infrastructure, such as water supply or electricity.

Estimates of the Population Affected are among the very first information requirements at the onset of a crisis. Numbers of population affected are derived from the total population of the affected area, as they are a sub-set of that category. Identifying affected populations is always linked to identifying affected geographical areas, whether an area population has been displaced from or to, or an area that has been specifically hit by a flood, or cut off from all access to food.

Example: Country A has a Total Population of 8 million people. 6 million people living in three provinces were exposed to damages and destruction following an earthquake. The population suffered injuries, damage to dwellings and lives in areas that are at high risk of aftershocks – they are the Population Affected. 2 Million out of the country A's 8 Million were not affected.

3. **People in Need** are a sub-set of the Population Affected and are defined as those members:
   - whose physical security, basic rights, dignity, living conditions or livelihoods are threatened or have been disrupted, AND
   - whose current level of access to basic services, goods and social protection is inadequate to re-establish normal living conditions with their accustomed means in a timely manner without additional assistance.

   This category is further broken down into sub-categories or by sector/cluster to provide additional detail about the intensity, severity or type of need (e.g., need of urgent life-saving assistance, food insecure population, people in need of shelter).

   The definition of People in Need will need to be monitored and adjusted over time. At the onset or continuation of a shock, needs are more likely to be centred on sustaining lives; the more protracted the crisis, the more needs will be centred on re-establishing and sustaining normal living and livelihood conditions.

   Example: In the most populous provinces, where 5 million people out of the 6 million People Affected reside, 90% of the buildings and infrastructure were destroyed in the earthquake, and roads rendered inaccessible. Those people are in need of assistance. Out of the 5 million, the number of those who have sustained critical injuries, are inaccessible or living in dwellings at risk of collapsing is estimated at 2 million. They are in need of immediate assistance.

4. **People Targeted** is a sub-set of People in Need and represents the number of people humanitarian actors aim or plan to assist. This projected number is typically smaller than the number of People in Need,

[11] According to the Global Facility for Disaster Reduction and Recovery (GFDRR), affected populations are defined on the basis of type and degree of disaster effects, and their location.

given: (a) it is rare that international humanitarian actors can meet all needs; (b) needs are also being addressed by actors not participating in the joint plan, including national Governments; and (c) people in need are not always accessible. The number of people targeted is usually defined once there is some idea of available resources and access constraints. **See Annex III for further explanation.**

Example: 2 million out of the 5 million people in need will be targeted for the delivery of tents and shelter material as well as health assistance.

5. **People Reached** include those who have received some form of assistance. Without any additional information, this figure says little about how long and how well this assistance covers the needs of the affected population. Very often the term "people *reached* with assistance" is used interchangeably with "people's needs *covered* by assistance". A more meaningful picture is provided through the estimate of **people covered** as it clarifies the type and duration of assistance received. (e.g., 1,000 people received enough water to cover their needs of 15 litres per person, per day for the months of January, February and March. This will vary as per the agreed in-country target).

   Example: 1.5 million people have received family tents and shelter material as well as access to medical services. 1 million people have access to materials to repair their housing fully within the next three weeks and their shelter needs are thus covered.

Chapter II will focus on how to estimate the figures in the five population categories in more detail, with a focus on populations Affected and In Need. The definitions and operationalization of the populations Targeted and Reached will be developed through further research and consultation and included in the next release of this Guidance.

IV. Roles and Responsibilities

The 2011 IASC Guidelines Humanitarian Profile (HP) Common Operational Dataset, endorsed by the IASC IM Task Force 2011, clearly states each actor's responsibilities regarding the humanitarian profile (Figure 3) in a country of operation. They are outlined below and extend to other humanitarian population figures as summarized in the following table:

Figure 3: *Roles and Responsibilities as outlined in the 2011 IASC HP COD Guidelines*

HC Humanitarian Coordinator	Approves and is responsible to address political concerns regarding the Humanitarian Profile
HCT Humanitarian Country Team	Approves the Humanitarian Profile
HCT or **ICCG** Inter-cluster Coordination Group	Task the IMWG
IMWG Information Management Working Group[12]	• Chooses Humanitarian Profile categories (above the red line – see fig. 1)[13] • Establishes geographical reference • Endorses methods of estimation • Promotes a standardized use of the Humanitarian Profile

[12] Technical sectoral / cluster staff should be included in discussions on the humanitarian profile
[13] The IMWG is responsible for defining agreed categories for the Humanitarian Profile above the red line. Thereafter, each individual Cluster can define the necessary categories for their own work, (as is needed) for categories below the red line.

The main role of any group tasked by the HCT or ICCG to facilitate the process of establishing humanitarian population figures, is to:

- define the humanitarian profile which best represents the country context by choosing the appropriate categories;
- propose a methodical approach to estimating population figures;
- seek implementation of the agreed approach(es);
- review and update population figures, including their definitions and approaches, as humanitarian needs evolve or access to crisis-affected areas increases, and as new information becomes available.

The first discussions on choosing an appropriate method of estimation, or doing actual computation of the population figures, normally take place on a technical level between technical sector experts, specialized agency staff, and Information Managers. This should include close engagement with the Cluster Coordinators and the Inter-Cluster Coordination Group, where final figures will be validated. Ultimate endorsement will be at the HCT.

It is crucial to embed those discussions in a population data strategy or agreed strategic approach, drafted in concrete terms to ensure regular updates, strategic and purposeful data collection exercises and data comparability over time.

Suggested terms of reference for a country-level Humanitarian Population Figures Sub-Working Group can be found in Annex 2.

CHAPTER II: HOW TO ESTIMATE POPULATION FIGURES

I. How to establish the Total Population

The total population living within the boundaries of the affected nation state is the basis for all estimations of further sub-sets of population.

The total population = (All population living within the boundaries of the country **+** all population that has entered the boundaries of the country from another origin (incoming refugees, third country nationals, migrants)**) − (**All population that has left the country (all people that have been displaced outside of the boundaries of the country)**)**

Agreeing on the source of data from which the total population can be calculated is the precondition for establishing reliable humanitarian population figures. Arriving at a common baseline for population calculation and ensuring a credible source is crucial to ensure compatible figures and agreement on the final outcomes of the exercise.

A desk review of pre-crisis population statistics/census data—extrapolating with birthrate and death rate estimates if necessary— is recommended in order to calculate the total population. The desk review and data collection should be done ahead of time, whereas the population mobility/displacement data would come after the occurrence of the crisis/shock.[14]

[14] A technical brief published by ACAPS in 2014 on how to establish a demographic profile based on secondary data can be found here: http://acaps.org/img/documents/d-140805-tb-demographic-profile.pdf

In cases where there has been displacement, identify the most significant patterns of population movement and estimate the number of people who fled the country as well as people who entered the country, or district, sub-district, etc., depending on the geographical level you are working on. If possible, disaggregate data per administrative level, sex and age.

Collecting Sex and Age Disaggregated Data (SADD) can be costly and challenging in the first days of a crisis; nevertheless, SADD is crucial to gain a comprehensive understanding on the most affected groups and their specific needs. In the early stages of a crisis it is possible to use proxy indicators or estimates to derive SADD, such as the population pyramid or percentage of school-aged boys/girls, even if they might be skewed. Initial estimates can be corroborated and refined as information becomes available over time. A system of checks and balances can help at different stages of the crisis to verify if initial estimates are likely to be skewed, such as field observation and other consistency checks: one can compare two data sets for the same population, compare the data for the area of interest with data from a model or a neighbouring area, or examine data for internal consistency – investigating, for instance, if the numbers or percentages of men and women are similar to other estimates for the population or what one would expect.[15]

If SADD is calculated based on pre-crisis data, there is a risk of generating erroneous information by not taking into consideration the impact the crisis has had on demographic patterns: when populations move, the family unit may be disbanded, with men going ahead first, and being followed by women and children. Alternatively, men can remain behind to tend to land and assets, engage in reconstruction, or engage in conflict, skewing the IDP population demographic towards an abnormally large proportion of women and children. The assumptions based on pre-crisis data can be further cross-checked with information collected through an "area of origin" survey, which assesses populations outside their area of origin about the demographic composition and general conditions in that area. This is an indirect estimation technique. Further examples of indirect estimation techniques are outlined in literature such as *The Demographic Assessment Techniques in Complex Emergencies*[16] and include:

- using the proportion of children ever born to women aged 20-24 who have died by the date of the survey to estimate the probability of dying by age 2;
- using the incidence of orphanhood to estimate adult mortality;
- using the rate of school drop outs to estimate displacement;
- interviewing a displaced person regarding the disposition of the household left behind.

Field Example (Demography)

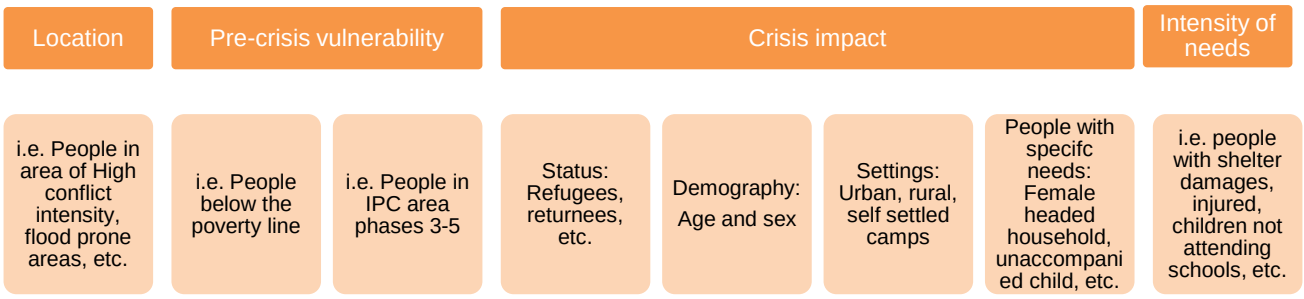
In the aftermath of Typhoon Haiyan in the Philippines in 2013, the Government (Department of Social Welfare and Development's Disaster Response Operations Monitoring and Information Center) compiled a baseline population matrix to be used by the stakeholders responding to the crisis. This table provides age/sex disaggregated data per Baranguay (lowest administrative level) in Regions IV-B, V, VI, VII, VIII for 2013. The data was calculated as follows: The starting point was Baranguay level data from 2010. Then the projected 2013 population for each Baranguay by using the Provincial population growth rates available on the census website were calculated. With the 2013 estimated population projections, the age/sex breakdown based on the 2010 age/sex ratios from the 2010 census was calculated.

The Provincial breakdowns used can be found here:
http://www.census.gov.ph/old/data/pressrelease/2012/pr1266tx.htm

15 2002 Demographic Assessment Techniques in Complex Emergencies
16 The document can be accessed here: http://www.nap.edu/catalog/10482.html

Once the Total Population is identified and the denominator is known, several metrics can be used to identify populations Affected and In Need. Being affected or in need is generally a function of the location of the population, the pre-crisis vulnerability, the impact of the crisis and the intensity of unmet needs (see Figure 4).

Figure 4: *Dimensions and attributes to identify population in need*



- **Geography/Location** such as geographical proximity to frontlines, people in areas of high conflict intensity. Distance to the eye of the storm or the earthquake epicentre can be used as proxies to identify people affected and in need.
- **Pre-crisis vulnerability** People who were below the poverty line or already suffering the effects of previous crisis or shocks (e.g., food insecure or in an area categorized in IPC Phase 3, 4 or 5) are considered more vulnerable to new crises and can fall in the category People Affected or People in Need.
- **Crisis impact** can be used to identify population sections in need, based on their status (refugees, returnees, internally displaced, etc.); demography (age and sex cohorts); setting (population living in areas of low temperature or in hazard prone areas, population in open spaces); or with specific needs (single headed households or unaccompanied children).
- **Intensity of unmet needs** Food insecurity, existing and confirmed gaps in access to or availability of basic services and goods, protection issues, morbidity and mortality, low enrolment rates, shelter damages, etc. can be measured or estimated and used to identify population in need. Since not all people in need face the same degree of unmet needs, it is also possible and recommended to provide estimates by intensity category: people at risk, people moderately in need, people severely in need.

These four dimensions can be combined to identify the total number of People Affected and People in Need. The main challenges are to avoid double-counting the compilation of multi-dimensional and hierarchical data and to avoid aggregating categories across multiple dimensions that are not mutually exclusive. **See Aggregation Rules for more information.**

II. How to establish the affected population

To date, the recommended method for estimating how many people have been affected in a specific crisis using available population data comes from the IASC Information Management Task Force's Guidance on the Humanitarian Profile Common Operational Data Set (June 2011, see Figure 1 and Figure 5).

Recent consultations conducted around the development of the present guidance document showed that the Humanitarian Profile is not as widely or systematically used by humanitarian clusters and information management actors es expected. Some sectors, such as Food Security, have sector-specific approaches for estimating affected populations that are not easily compatible with the 2011 model, which structures population data according to status (displaced, host etc). A 2015 review of country examples, conducted in the

context of the present guidance document, showed that two general approaches are used to provide overall figures of people affected across all sectors: a top down approach and a bottom up approach:

A) TOP DOWN: In the immediate aftermath of a shock such as an earthquake, sub-groups may not yet be determined and figures for population displaced and casualties may not be available. In these cases, the population affected is determined as a total, then disaggregated as data becomes available.

Using location and crisis impact to estimate people affected	Location	Pre-crisis vulnerability	Crisis Impact	Intensity of needs

For the 2015 Myanmar Humanitarian Needs Overview, the affected population was calculated as total population living within flood affected areas, looking at areas of probable standing flood waters. Additionally, using spatial analysis (intersection) the number of flood affected villages and roads could be also calculated.

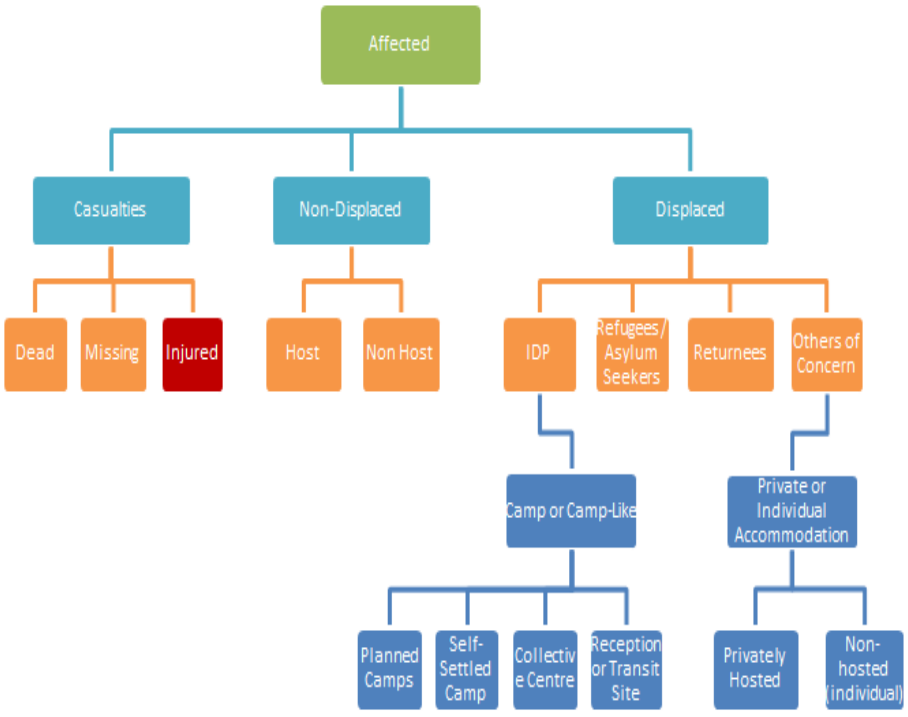
Spatial analysis is increasingly used when estimating the size of populations affected by conflict. In the 2015 Libya Humanitarian Needs Overview (HNO), the number of affected people was calculated by extracting the number of people living within 2 kilometres of a conflict incident between June 2014 and 2015, as recorded in a regional conflict incident database (ACLED). In addition, 80% of the population of specific provinces was added, where all medical facilities were reported to be non-functional and thus unavailable to attenuate conflict effects such as conflict-related injuries. The total affected population estimate further includes IDPs, refugees and asylum seekers and migrants impacted by the conflict.

This example of the humanitarian profile created through a top-down approach is recommended where little in-crisis information, time and resources are available and disaggregation per population group is not yet possible. The disaggregation and thus mitigation of overlap in the above example is done based on a spatial basis or being part of one of the population groups affected by the conflict. However, when both analytical elements are combined, the risk of overlap increases: an IDP residing within the 2 km of a conflict incident, for example, will be double counted as affected.

B) BOTTOM UP:

The Humanitarian Profile framework (Figure 5) outlines the components of estimating affected population. The number of affected people is defined as the sum of casualties (excluding the category injured, as it is not mutually exclusive), displaced population and non-displaced affected population. The model is however flexible. The sub-groups of population affected are not static, but determined specifically in the crisis context and thus will vary. Once these mutually exclusive groups are identified and figures sourced for each group, their sum results in the overall number of People Affected. The non-affected population is derived by subtracting the number of people affected from the total population.

Figure 5: *Humanitarian Profile (IASC IMWG 2011)*

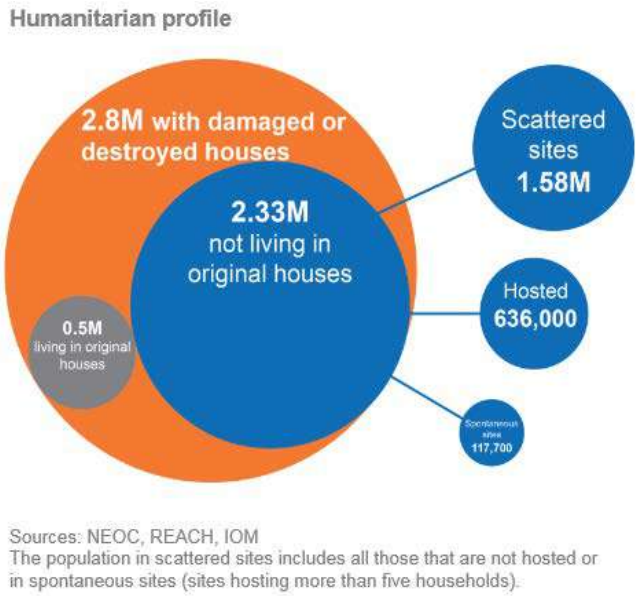


Examples of how the Humanitarian Profile has been adapted at Country Level

The Humanitarian Profile provides a frame within which humanitarian population figures can be structured and can also be further modified. The exercise of adapting or creating a country/crisis-specific profile allows a common situational understanding and also assesses the data sources, structures available information and prepares the available humanitarian population figures for further inquiry. While the 2011 Humanitarian Profile is focusing on the status of the population (displaced, non-displaced, dead, etc.), the profile can be adapted when necessary, using other dimensions of need as outlined in Figure 4, such as location, as long as categories remain mutually exclusive[17] and one-dimensional.

Figure 6 illustrates how the humanitarian profile was adapted to the country context in Nepal. It reflects the population affected by shelter damage, which the community agreed was the core driver of the crisis, and was used as the main dimension to identify needs.

Figure 6: *Humanitarian Profile Nepal 2015, Source: OSSOC Assessment Cell Nepal; Data Sources: IOM, RACH, NEOC*



III. How to establish the number of People in Need (PIN)

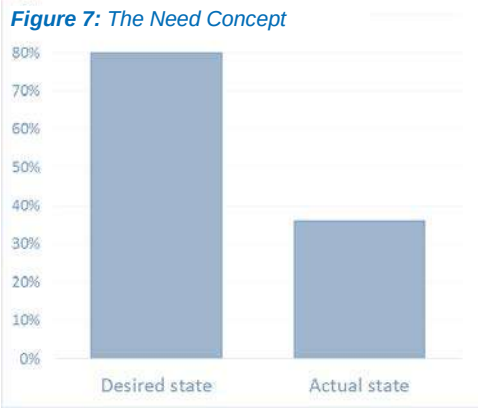
The number of people in need of humanitarian assistance helps to define the magnitude of a crisis and the overall cost estimate of an emergency response; it is a prerequisite for strategic planning and response monitoring. Identifying the number of People in Need is also essential to determine priority areas for interventions, when those are defined as a function of people in need, access and likely deterioration, etc. This section looks at specific examples and step-by-step approaches to derive estimates for the size of the population in need. It assumes that the Total Population as well as the total number of People Affected (in accordance with the Humanitarian Profile) is known.

3.1 The need concept

The term "need" refers to a gap or discrepancy between the status quo and a different desired state (Figure 7). The need is neither the present nor the ideal state; it is the gap between them (i.e, damage to the local water system has reduced the availability of safe drinking water by 50%). Need can quantify or qualify the extent of that gap.

Need is a contextually defined concept. What is considered a need can be influenced by factors such as legal systems, personal values, prior experience, internationally or nationally defined standards.

Figure 7: *The Need Concept*



[17] In logic and probability theory, two propositions (or events) are mutually exclusive or disjoint if they cannot both be true (occur). A clear example is the set of outcomes of a single coin toss, which can result in either heads or tails, but not both, Wikipedia, https://en.wikipedia.org/wiki/Mutual_exclusivity

Need is a time sensitive concept. What is defined as a need often changes over time as the fulfilment of basic need permits awareness of a less urgent need. Consequently, unmet needs are often measured differently based on the programming phase – proximity to threat or exposure to death in the first days after a disaster, degree of access to basic services and goods in the following weeks, and so on.

As a relative and evolutionary term, the need concept is without widely agreed boundaries. It must be operationally defined for each crisis according to the current context and historical references or benchmarks.

People in Need are a sub-set of the population affected and include those members:

- whose physical security, basic rights, dignity, living conditions or livelihoods are threatened or have been disrupted, AND
- whose current level of access to basic services, goods and social protection is inadequate to re-establish normal living conditions with their accustomed means in a timely manner without additional assistance.

3.2 The two main approaches top down and bottom up to help identify the People in Need

A. Top Down - Estimating PiN

In their simplest form, unmet needs can be measured in relation to a **"Core humanitarian problem"**. This approach is based on the premise that there is a common denominator for the population affected and in need, a "core problem" generated by the specific nature of the shock. For example, after a sudden-onset crisis such as an earthquake, flood or tropical storm, the core problem and most relevant proxy indicator for people in need can be *damage to shelter*.

More elaborated constructs for calculating population in need call for the use of composite measures – compounded effects of several dimensions of needs. In conflicts or protracted crises, several "core humanitarian problems" can drive needs, including status, specific vulnerabilities, loss of livelihoods, limited freedom of movement, lack of access to humanitarian assistance and basic services, specific protection concerns, etc.

A general recommendation to the sectors preparing to join a discussion on an overall number of people in need is to base estimates of the sectoral PIN on the number of people in need of a "full package" of interventions that can help reduce sectoral overlap and follows the "core problem" approach logic.

The strength of this approach is it allows clear articulation of a context-specific Affected/People in Need figure and helps the inter-sector prioritization.

Limitations of this approach include the acknowledgment that using, for example, shelter as the key indicator is not completely inclusive of all possible groups in need, such as children not in school or people with changed access to health care. However, there is a strong correlation between shelter conditions and other needs, including the potential loss of food or seed stocks, damage of WASH facilities, and exposure to increased protection risks.

Methods for estimating PIN vary significantly according to the country and the type of crisis but also the available data at the moment in the crisis when estimates are needed. This has implications on opportunities and risks for estimating PIN.

The following section details current good or best practice and methods for a top down approach, based on the four key attributes and dimensions used to identify need: location, pre-crisis vulnerability, crisis impact and intensity of needs. Recommended aggregation methods are provided when geographical or sectoral breakdown are available for those figures.

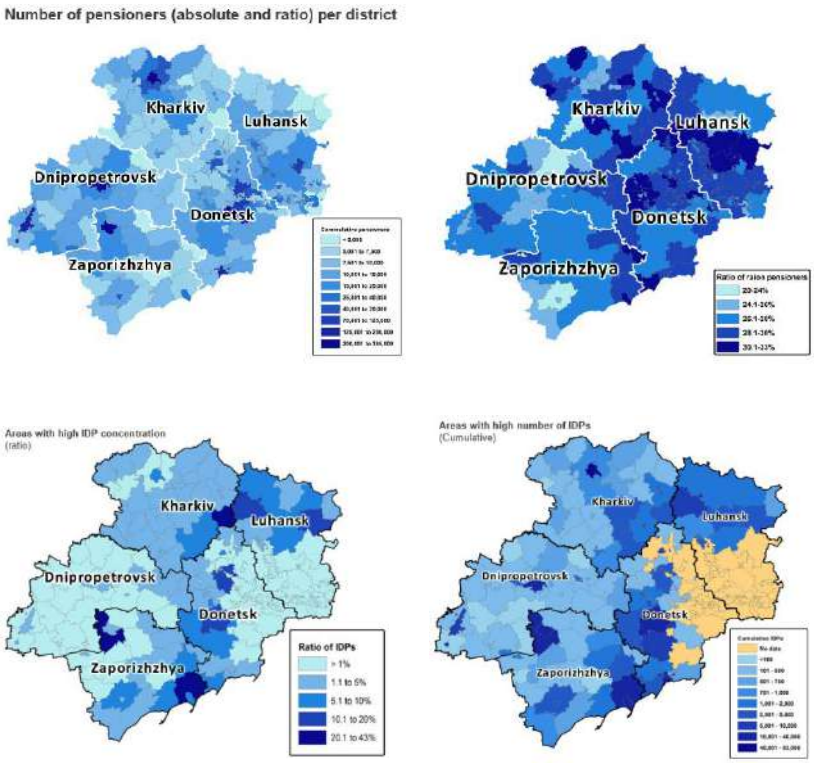
Best practice in estimating the number of People in Need with the Top Down approach

Using location, pre and in-crisis vulnerability to estimate PIN	Location	Pre-crisis vulnerability	Crisis impact	Intensity of needs

When up-to date, in-crisis information is not available, People in Need can be estimated based on location, pre-crisis vulnerability and their status (in this case displaceent). The 2015 PIN in Ukraine was calculated using a combination of criteria: location of the affected population, number of people displaced, pre-crisis demographics (age) and vulnerability data (poverty head count). (see figure 8)

Of the 5.2 million people living in conflict-affected areas in Ukraine, around 1.4 million were considered to be *particularly vulnerable and in need of humanitarian assistance*. These 1.4 million people were assumed to be a vulnerable group pre-conflict and disproportionately affected by displacement, loss of income/pensions, eroded purchasing power, reduced access to markets and harsh winter conditions, and are thus considered to be in need of assistance. In this case, unmet needs have not been measured through field assessments and are assumptions.

Figure 8: *Source: HNO 2015*



The strength of this example is its simplicity. A few metrics are used to estimate the total number of PIN and the aggregation method is additive. Another advantage is that a stand-alone methodology was developed for the HNO, circumventing the discussion on sectoral and inter-sectoral overlap.

A limitation of this example is its emphasis on historic vulnerabilities with limited explanatory power for the actual crisis impact. Dynamics specific to the context might remain uncovered, including innovative coping mechanisms, etc. Agreeing on and establishing a baseline to work from is crucial. The lack of such agreement can result in the lack of shared situational awareness and in-comparability of the data. Another issue is the unavoidable potential for duplication among categories (e.g., a person >59 years old can also be displaced). This issue was clearly highlighted in the HNO 2015 for Afghanistan, where a similar approach was applied.

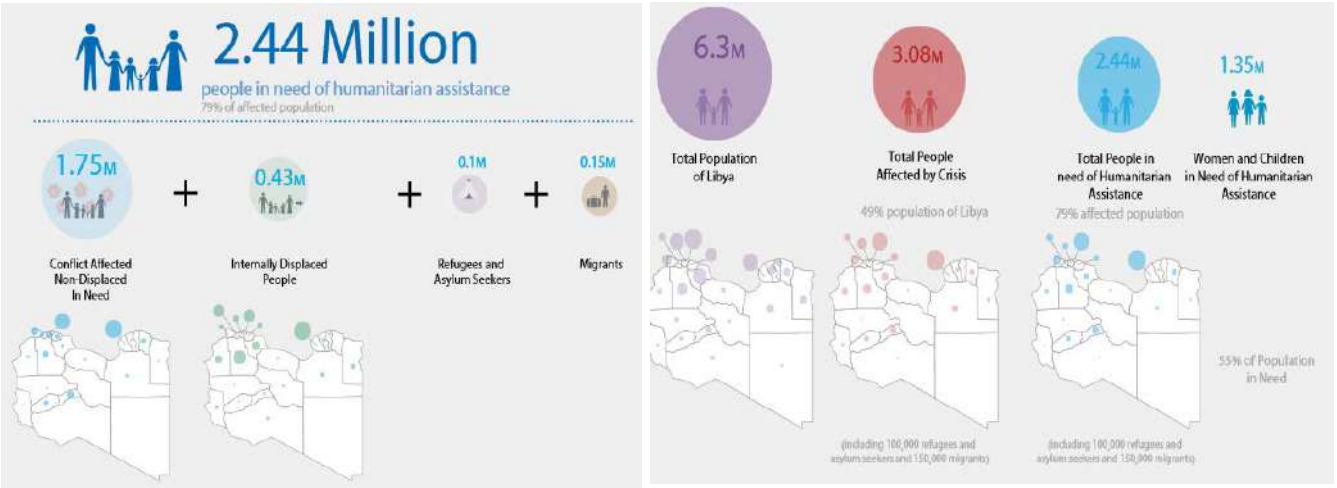
Using location, pre-crisis vulnerability, crisis impact and unmet needs to estimate PIN	Location	Pre-crisis vulnerability	Crisis impact	Intensity of needs

The Humanitarian Needs Overview 2015 in Libya used mostly the location and the humanitarian profile to identify the number of people in need in country. 100% of IDPs, refugees and asylum seekers and migrants were considered in need of assistance (figure 9). However, following a multisectoral assessment,

approximatively 640,000 residents affected were not considered in need of assistance and were discarded from this category. Furthermore, within the population in need, 1.35 million women and children were identifed as vulnerable groups.

The strength of this approach lies in its logical description of population in need as a sub-set of the identified groups of the humanitarian profile.

Figure 9: *Source: HNO 2016*



Using location, pre-crisis vulnerability, crisis impact and intensity of unmet needs to estimate PiN	Location	Pre-crisis vulnerability	Crisis impact	Intensity of needs

The Assessment Unit in Nepal worked with census, damage, vulnerability and access data to define the overall PIN. In their approach, they distinguished between people in need, defined as those who require assistance to be able to rebuild their lives, and people in immediate need due to “loss of shelter, lack of access to essential services and poverty” (see figure 10)

The methodology used government statistics of fully and partially damaged houses (houses that cannot be repaired vs houses which are repairable) multiplied by the average household size, overlaid with poverty statistics and road access information. For areas without road accessibility, households with fully and partially damaged houses were all considered in need of immediate assistance, regardless of the poverty threshold, as they were expected to face significant logistical challenges to rebuild their houses during the monsoon. For areas where there was road access, fully and partially damaged households were considered in need of immediate assistance if they were below the poverty line in that district. The affected population was considered to have the most limited capacity to recover from earthquake losses due to their pre-existing financial circumstances and their location.

The limitations of this methodology, which were discussed and disclosed, include the assumption of a uniform impact of destruction on people above and below the poverty line. Poverty may be correlated both with lower impact— as low-rise housing less is likely to be destroyed or easier to rebuild—or higher impact, given a lack of resources to rebuild, repair or resupply.

***Figure 10**: Excerpt Nepal Earthquake Number of People in Need Estimation*

	Baseline Data			Post EQ Data			People in Need Calculation	
District	Total pop before	Average HH	% Pop. in Poverty	% Pop. No Road Access	No. Houses Destroyed	No. Houses Damaged	People in Need	Subset in immediate need
Okhaldhunga	147,984	4.55	20%	25%	10.031	3.107	59,818	24,485
Sindhuli	296,192	5.14	38%	0%	18.197	10.028	145,187	55,607
Ramechhap	202,646	4.62	25%	16%	26.743	13.173	184,214	69,636
Dolakha	186,557	4.08	26%	32%	48.880	3.120	212,331	105,643
Sindhupalchok	287,798	4.32	25%	35%	63.885	2.751	287,574	149,202
Kabhre	381,937	4.73	13%	10%	49.933	23.714	348,470	79,941
Lalitpur	468,132	4.26	7%	0%	16.344	5.851	94,631	7,192
Bhaktapur	304,651	4.44	12%	0%	18.900	9.090	124,238	15,530
Kathmandu	1,744,240	4	7%	0%	36.973	50.753	350,676	26,651
Nuwakot	277,471	4.69	20%	12%	57.943	4.200	291,191	88,354
Rasuwa	43,300	4.43	31%	33%	7.040	2.410	41,848	22,927
Dhading	336,067	4.55	18%	12%	43.741	18.720	284,236	82,517
Makawanpur	420,477	4.88	27%	4%	15.012	17.042	156,489	49,189
Gorkha	271,061	4.08	20%	20%	44.650	13.430	236,719	87,295
Immediate	5,368,513	4.37	16%	8.20%	458,272	177,389	**2,817,620**	**864,168**

(Formula for Subset in immediate need: (PiN * %Pop.no Road Access)+ %Pop.inPov (PiN*(1-%Pop.no Road Access)
Source: Nepal Assessment Unit 22.5.2015

Intensity of needs approach: Beyond the binary distinction between people in need/not in need, PIN estimates can be further refined or graded using intensity categories. This distinction is particularly used in contexts that are a) protracted and complex; b) experience regular and intense shocks with very unequal distribution of impact on the population; and c) require prioritization of resources or geogaphical targeting. This is well established in some cluster practice, for example the nutrition sector with clearly set thresholds reflecting different and mutually exclusive levels of malnutrition.

Working with intensity levels calls for either developing complex composite measures, or using context adapted scales with clear definitions for each gradation, such as the Integrated Phase Classification (IPC) reference table for food security.

The strength of this approach resides in the possibility to discriminate between levels of need, making the People in Need category more concrete and useful for targeting and resource allocation.

The limitation of this approach lies in the time required to create and agree on comparable intensity levels within and between sectors. In some instances, it might be easier to design only one cross sector intensity scale (e.g., IPC), distinguishing between population in moderate and acute need. Another limitation of the approach is the potential for bias when data is lacking.

B) Bottom up – Estimating Pin

The bottom up approach is used where estimates of population in need are already available but an overall PIN figure still needs to be agreed upon. The bottom up approach consists of several aggregation rules, which if followed, will eliminate overlap and produce a best estimate of the overall, inter-sectoral number of People in Need.

Humanitarian population figures are generally available disaggregated at three levels:

- geographical location (province A, B and C)
- sector of interest (number of people affected or in need in WASH, food security/food assistance, education, health, etc.)
- the affected group: IDPs, resident population, affected returnees, etc.

Disaggregation by setting (urban, rural), sex and age, socioeconomic status, religion, ethnicity, etc. is less frequent but often required.

Aggregation Rules for the Bottom Up approach

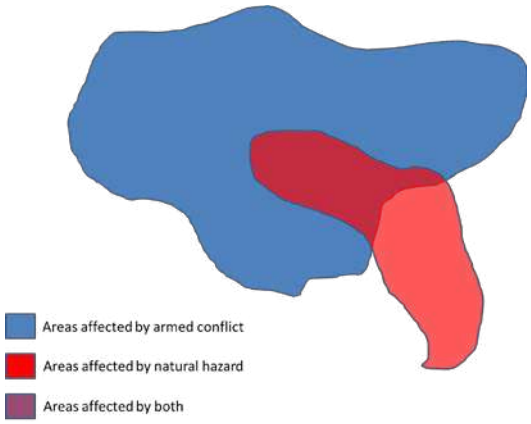
Careful attention should be given when aggregating population figures across sectors, geographical areas or affected groups. There are several aggregation rules that should be followed to avoid overlap and double counting to produce a best estimate of the overall, inter- sectoral number of People in Need.

Rule #1: Aggregate (Sum) only across mutually exclusive categories (i.e. dimensions)

The single most important challenge is to avoid double counting when aggregating across multi-dimensional (i.e. sectors, type of event) and hierarchical (administrative divisions 1, 2 and 3) categories, since one particular individual can belong to several categories at the same time. For instance, one individual can be in need in the shelter AND the health sector, and will appear in both sectors' PIN estimates. This calls for specific **disambiguation** methods when aggregating figures available at geographical and sector level. Following are examples that provide recommendations for both cases.

Multiplicity of crises and geographical overlap: In the 2015 Humanitarian Needs Overview for Colombia, the population in need was estimated by including people affected by both the armed conflict AND by recurrent natural disasters. The number of people in need due to the armed conflict in 2015 was calculated considering population affected by the armed conflict and armed violence between 2012 and 2014. The number of people in need as a result of natural disasters is an estimate of people living in areas affected both by natural disasters and armed conflict leading to situations of compounded vulnerability. Since the geographical area where both events have happened is the same, using the sum of both populations in need would lead to double counting.

Figure 11: *Geographical Overlap of Needs*



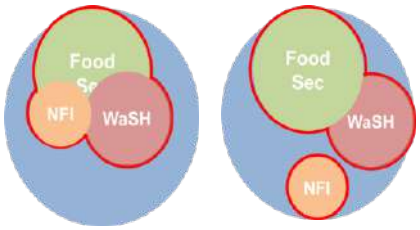
One solution is to clearly identify the geographical overlap, estimate the number of people in the area of interest (i.e. make informed assumptions of uniformity in population density using satellite imagery) and subtract the population affected by the natural hazard. If more details figures/estimates are available at a lower administrative level and the number of people in need due to both crises is different, use the highest figure. However, being affected both by conflict and natural disaster can qualify for being severely, instead of moderately, in need (figure 11).

Rule #2: When using multidimensional data, use the Max value to avoid double counting

Aggregating PIN across different sectors to obtain an overall figure of people in need is a classic calculation in needs assessments or HNOs. The recommendation is to use the highest sectoral estimate as a proxy for the total number of PIN. The highest sectoral estimate will still be lower than the actual number of people in need, considering that individuals will have needs in several sectors. Therefore the highest maximum number will be the smallest common denominator. **It is however <u>not</u> possible to simply add up all sectors together because this implies double or multiple counting.**

This approach is best used in contexts where estimates are available at low administrative levels or affected groups, so aggregation can be performed using as many mutually exclusive categories as possible, even if crudely.

Figure 12: *Overlapping sectoral caseloads*



For example, if the total population in a given district is 15,000 and there are 15,000 people in need of food assistance, 10,000 in need of WASH and 5,000 in need of NFI, it is obvious that the total number of people in need (15,000+10,000+5,000=30,000) would be greater than the actual population (See figure 13: "actual" number of people with humanitarian needs corresponds to the areas delimited by the red lines.)

Given that people with needs in food security may also have needs in WASH and nutrition, an overlap of figures is extremely likely. However, the strength of correlations between needs would have to be known at the individual level in order to count populations with distinct sectoral needs, so it is difficult to ascertain exact figures without a household level representative survey.

Rule #3: When using the Max value, always use the lowest level of detail in the available hierarchies

The Syria Multi-Sectoral Needs Assessment (MSNA) Technical Working Group chose to use the maximum people in need estimates across all sectors, at the lowest administrative level where data was available (sub-district) and then to sum across all sub districts to get the total number of PIN.

While inter-sector overlap is not known, it is assumed that, derived at a low geographical level, the maximum PIN across sectors is still lower than the actual combined people in need figure. Looking at Figure 3, while the combined figure for Sub-District 1 would be 30,000 people in need and would most certainly reflect overlap, the sectoral maximum is 15,000. Therefore the definition of people in need chosen by the Technical Working Group was "people with humanitarian needs in at least one sector".

Figure 13*: Maximum sectoral caseload per district (MSNA Syria*

	Food Security	Wash	NFI	Maximum Sectoral
	Maximum figure per sub district			
Sub District 1	10 000	5 000	15 000	15 000
Sub District 2	3 500	2 000	1 000	3 500
Sub District 3	4 500	13 000	4 000	13 000
Sub District 4	10 000	6 000	2 500	10 000
Total National				41 500

Aggregation at National

The strength of this method lies in the disambiguation effect that it favours: aggregating number of PIN across mutually exclusive categories at the lowest unit of measurement possible, and eliminating the risk of duplication.

The limitations of this approach include its highly conservative mind-set and the unknown number of people left over. The method is also not easy to understand without the full dataset and without a technical walk-through for the audience. For a detailed explanation of the pro-and cons of this approach, see the Technical Document produced for the Syria MSNA.

Rule #4: A sector PIN cannot be higher than the total crisis PIN, OR, avoid using top down and bottom up methodologies for the same crisis

It is important to ensure consistency throughout data, i.e., the number of people in need in one sector cannot be higher than the total number of people in need. **See Aggregation Rule #2.**

Each upper category will be higher than the lower categories, i.e., the number of People in Need cannot exceed the number of People Affected. Remember to prioritize and analyze: not all affected people are in need of humanitarian assistance, and some will be in more urgent need than others.

Rule #5: Document how PIN estimates were produced (dimensions, attributes, definitions, etc.)

Explain your methods no matter how crude or sophisticated. Consumers of the figures need to know and potentially repeat the method and get the same result. In explaining your methods also note the limitations and uncertainties and where figures have been approximated. **See Annex 1: Documenting Data and Standards.**

Annex I: Documenting Data and Standards

Information related to the way estimates were produced for each layer of the onion model are required so end users can interpret and use the information accurately. All aspects of the estimates (i.e., definitions, data limitations, sources, assumptions and methodology) need to be clearly articulated and openly shared. Key principles guiding the documentation of data and methods include:

Accessibility: Data and methodology on humanitarian population figures are accessible by all humanitarian actors and information is translated into common or local languages when necessary. Sensitive information is restricted in order to avoid safety issues.

Inter-operability: Humanitarian population figures are available in formats and standards (e.g., age intervals, P-codes, etc.) that can be easily retrieved, shared and used by humanitarian actors.

Inclusiveness: Humanitarian population figures are discussed and validated by multiple stakeholders, especially representatives of the affected population.

Accountability: Users are able to evaluate the reliability and credibility of data and information by knowing and accessing its source(s). Information providers are responsible to their partners and stakeholders for the content they publish and disseminate.

Reproducibility: Calculations and estimations provided can be duplicated using the same data and processing methods, either by the same information providers or by others.

Verifiability: Information should be accurate, updated, consistent and based on sound methodologies, validated by external sources, and analyzed within the proper contextual framework.

Sustainability: Data should be preserved, catalogued and archived along with the underlying data and method documentation so it can be retrieved for future use, such as for preparedness, analysis, lessons learned and evaluation.

Documenting data and methods – Key information

Data documentation	Method documentation
• Data repository: folder with all spreadsheets and other secondary data used, assessment registry • Data dictionary: details about type and sources of data used, data standards (SPHERE, etc.), calculations, transformation, etc. • Data: raw data, formulas and calculations • Values: details or remarks on missing values or outliers and processing decisions	• Definitions: Models and detailed description for each category used, within and across sectors (i.e. People Affected, People in Need, etc.) • Calculation: Detailed calculation method for each category, e.g., directly affected people represent the sum of two figures: the pre-crisis population of districts with recurrent conflict or airstrikes, and IDP numbers in districts without recurrent conflict or airstrikes. Documentation should be available for cluster and inter-cluster estimates. • Known limitations: Details on limitations in methodology: Potential overlaps, underestimations, confidence levels[18], etc. • Joint analysis: Date, main stakeholders, decisions and disagreements. • Data: Link to data repository

[18] It is good practice to report on the confidence for each of the key humanitarian figures. Confidence levels can be based on how recent the data is, the source reliability, the accuracy in measurement, the transparency in the methods and limitations, the degree of agreement between subject experts, etc.

Annex II: Governance Principles and Sample TOR

Governance Principles

The 2011 Humanitarian Profile guidance acknowledges that "the humanitarian profile is a potentially politically sensitive dataset in that the numbers of affected people may be seen to reflect on the capacities of national governments or international actors. The humanitarian profile numbers may have financial implications in terms of donor funding. It is the responsibility of the Humanitarian Coordinator (HC) or delegated individual to decide how political concerns impact any Humanitarian Profile datasets that are published and address these concerns appropriately. Effectively, the HP needs not only a sound and documented technical basis but also the political approval from the HC as well as the Humanitarian Country Team (HCT)."

Providing estimates of humanitarian population figures requires a **principled, systematized and collaborative process**[19] in order to ensure agreement is sought and captured and potential political sensitivities addressed. This section provides a **set of basic working principles for a humanitarian population group and a short, sample Terms of Reference for such a group**, which should be adapted to the specific context.

Establishing a forum to address Humanitarian Population Figures or overseeing the process of estimating humanitarian population figures within key existing IM and coordination fora such as the Information Management Working Group, the Assessment Working Group or a dedicated Population Data Group should be operating based on the following principles:

Defined Purpose

- Clearly stipulate the scope of work for the humanitarian population group, adapting the sample TOR for the specific context. It should include the process of regularly estimating and updating the humanitarian population figures to enable revising/building upon this data and findings on a periodic basis.

Inclusiveness

- Inclusiveness can be ensured by instituting clear and transparent rules of participation in the humanitarian population figures group. Core membership of the group regularly includes:
  - A Working Group coordinator;
  - Representatives of organizations involved in managing population figures, including UN Agencies, UN missions, NGOs, IOM and the Red Cross Movement;
  - Representative of the national Government and its relevant bodies such as National Bureau of Statistics, Census Bureau etc;
  - Representatives of civil society.

- Ensure participation of technical information management staff from all present clusters as well as other relevant technical actors.
- Ensure co-chairmanship of the group where possible to increase buy-in.

[19] As referenced in the broader framework of the Protection Information Monitoring Outcome Documents from May 2015.

- Identify lead focal points from organizations who are gathering population data figures to facilitate the process of estimating humanitarian population figures.
- Ensure liaison and communication with the relevant government counterparts such as National Statistics Office, Census Bureau etc. to agree upon methods and advocate for those, for example explaining the difference between population affected and PIN and sharing best practice.

Transparency

- Ensure regular meetings, as well as regular reporting and communication on outcomes.
- Ensure documentation of data and methods.
- Formulate clear and transparent messages on how humanitarian population figures were established and record rationale of technical decisions taken.
- Explain uncertainties and limitations of the estimates clearly and responsibly, regardless of the approach taken.
- Ensure proactive communication to encourage engagement and inclusion at each stage of the process and to inform the HC and other relevant decision-makers.
- Promote and communicate figures both internally within the HCT and externally in appeals and official documents.
    - If needed, seek a neutral facilitator of the process to review and update humanitarian population figures, particularly where humanitarian population figures are potentially politically sensitive.[20]
- Ensure that accompanying documents, including baseline data, are made available to stakeholders wishing to replicate or reproduce the process. This includes national Governments where applicable as well as development partners.[21]

Sample TOR for Humanitarian Population Figures Group

Overall Responsibilities

The humanitarian population group/IMWG Sub-Group:

- promotes standardized use of the humanitarian population figures model;
- establishes definitions of different population categories, age intervals, etc.;
- establishes the Humanitarian Profile;
- establishes, agrees and documents methods and approaches of estimation for each of the categories of the humanitarian population figures.

Key Deliverables

- Humanitarian population data shared and stored in an accessible format
- Shareable documentation (report) of the approach that has led to the provided estimates
- Data Repository
- Shareable documentation (report) of identified best practice and context-specific challenges

[20] The Coordinator of the Working Group may invite any natural or legal person to participate in the work on a consultative basis, as a result of their skills in relation to topics on the agenda.
[21] Although humanitarian and development actors can bring in their respective expertise to developing a population data management system, the actual strategy and implementation should be owned and if feasible carried out by local authorities with back stopping on the technical side through guidance, tools, Standard Operating Procedures and capacity-building (UNHCR Framework to guide population data management in an IDP Context).

Specific Responsibilities

- Draft the humanitarian profile of the context in order to begin the process of estimating humanitarian population figures. The responsibility to do so has been stipulated in the 2011 Operational Guidance, where through OCHA's facilitation, the ICCG will come together to discuss and determine the context-specific humanitarian profile. The Humanitarian Population Figures Group or the designated forum operationally supports this process.
- Validate and endorse definitions, methodology/data collection methods in order to establish humanitarian population figures.
- Agree on minimum standards[22] for the management of humanitarian population figures, including the review and update of definitions of the population groups as per the onion model, consistent use of terminology and common operational datasets (including baseline population data).
- Adapt definitions and methods to the context: This might require a review of national legal frameworks, national definitions of population groups as per the humanitarian profile and other relevant regulations with regards to population data.
- Ensure definitions are clearly stated and communicated to clusters/sectors.
- Ensure coordination through a joint mapping of the current data landscape and establishing a data repository; review changes in data landscape since last exercise.
- Evaluate sources of data against reliability, coverage and shelf-life. Where needed, ensure information gaps are covered through data collection. Perform necessary extrapolation in information-poor contexts, for example with known growth rate to derive baseline population.
- Ensure technical capacity is secured for the group and decisions benefit from technical advice/support where needed.
- Encourage collaboration between information management actors in the collection and storage of data and the sharing of expertise to streamline IM activities.
- Define and encourage the use of common information management tools where relevant.
- Ensure that consistent and reliable humanitarian information is made available to the ICCM, the HCT, policy makers, managers and planners through a more coordinated approach.
- Agree on information sharing protocols as needed, including modalities for information exchange and confidentiality procedures.
- Promote and capture best practice in the use of humanitarian population figures standards.
- Identify information gaps.
- Ensure and monitor regular updates of the exercise at each stage of the process to estimate humanitarian population figures.

[22] See also Annex on Documenting Data and Methods

Annex III Problem Statement: Estimating Population figures in Planning and Monitoring

While the discussions to date focused on estimating the number of populations affected and in need, **future consultations and work will focus on methods for developing populations targeted and reached, as well as covered.** Consultations carried out in 2015 with Global Cluster Teams, Information Management Field Staff and a variety of humanitarian actors highlighted that there is a lack of clarity on the definitions of people targeted, reached and covered as well as the notions of beneficiaries both direct and indirect. In-depth research with a similar process of global consultations is expected to provide additional guidance around terminology for planning and monitoring in 2016.

As with the upper categories of the humanitarian population figures model (see figure 2)**, challenges to measuring populations targeted, reached and covered not only exist with regards to confusion around terminology and poor documentation of method and approaches, but also when it comes to measuring overlap at project, cluster and inter-sectoral levels.**

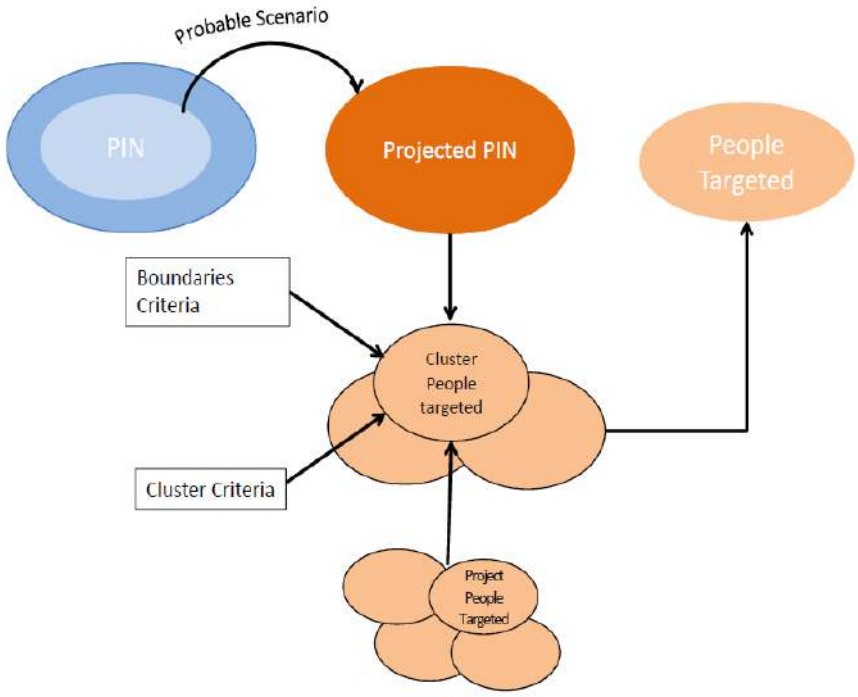
Inter-sectoral figures are mostly based on a bottom up approach, where the overall "people targeted" figure of a plan is derived from the targets defined and set based on specific criteria by the different clusters. **Specific aggregation rules and methods will have to be developed to be able to determine consistent overall figures for population targeted, reached and covered, as required by the Humanitarian Response Plan. A review of existing practice and lessons learned from the field operations will be identified and technical recommendations developed in the next phase of research as part of this guidance note.**

Whereas the analysis in Humanitarian Need Overview documents (HNOs) provide a snapshot at a certain moment in time, Humanitarian Response Plans (HRPs) require an estimation of how needs will evolve during the planning period.

This requires a projection of needs figures based on a number of assumptions (e.g. increased returns, improved harvest). Once identified and agreed the projections serve as benchmark for planning and monitoring.

Cluster Coordinators should then prepare their cluster response plans, determining a cluster target population derived from the projected need figures and the target population of all the projects(see figure 15).

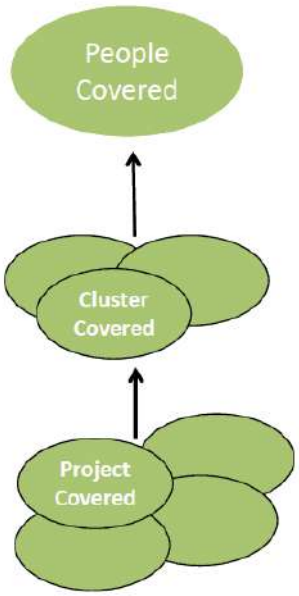
Figure 15: *Process of estimating humanitarian population figures in Planning*



Acknowledging that a Joint Response Plan never intends to cover all humanitarian needs participating actors will have to discuss and agree on boundaries of the response plan. The boundaries may include operational constraints (lack of access), response capacity, time limitations, political decisions, thresholds of intervention, relief provided outside the plan, etc. As illustrated in figure 15, the target population is always smaller than the "in need (projected)" figure. The response plan, including the cluster plans with their projects respond to those needs that fall within the strategic boundaries, or intervention criteria.

In the next step, response monitoring should measures what aid was being delivered, and how many people benefited from it. When monitoring a joint response plan (HRP, Flash Appeal, RRP, or other), participating actors are required to have systems and tools installed enabling them to report systematically results from their projects. Each project has a "people targeted" figure, and once completed, should measure and report on the "people covered" versus the original target.

Figure 16: *Process of estimating humanitarian population figures in Monitoring*

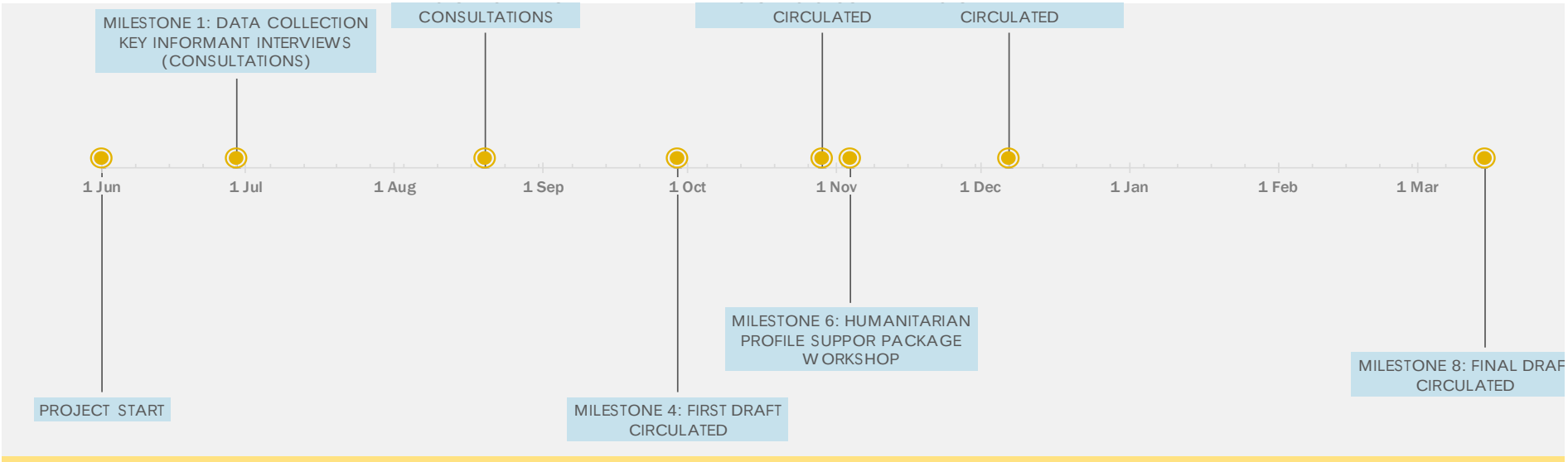


Ressources:

Current Humanitarian Response Plan templates
https://www.humanitarianresponse.info/en/programme-cycle/space/strategic-response-planning-guidance-templates

and Monitoring guidance can be accessed at:
https://www.humanitarianresponse.info/en/programme-cycle/space/page/monitoring-overview

Annex IV: Summary Timeline and Process of Consultations of the Inter-Agency Process (2015)



38 Key Informant interviews were conducted between 1 July and 20 August. The consultations covered 11 Global Cluster Teams and 16 Organizations