Operational Tools for Resettlement

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Template for an annual overview of submitted resettlement cases

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Introduction to this tool

Information presented in this tool is by no means exhaustive but represents a compilation of guidance and practical tips on ways to organise an annual overview of resettlement cases ([1]). The objective is to support Member States of the European Union and Associated Countries (EU+) in their operational work with resettlement.

What is the purpose of this tool?

The main objective of this tool is to provide an overview of those aspects that may be important to track throughout the processing of resettlement cases. Some countries use Excel spreadsheets or other tools to enable easy access to data that need to be actively monitored and controlled when managing resettlement cases. Most data are also entered into a national database, but some countries consider it useful to have the data at hand when they manage and follow up on the daily case processing. This tool can also hold information that is not entered into national databases and can thus function as a complement to these databases.

Why was it created?

This tool was created based on an assessment of documents that were being kept by different resettlement countries and that were considered useful for the overview and management of resettlement case processing. An overview list/tool might be of less importance for resettlement states that enter these data in a database immediately after receiving a submission, or who have easy access to such information by use of other tools such as process flow charts or information dashboards. This overview can, however, allow countries to crosscheck data in their national databases with notes and information kept in a separate file, or to process information that should only be stored temporarily and that is not entered into the national system.

What is in this overview list?

This annual overview example contains suggestions for data that may be useful to note and follow up on in an overview table or similar tool throughout the processing of resettlement cases submitted during the current year. Some information can be derived from the case file (Resettlement Registration Form (RRF), Identification-Based Methodology (IBM) or other similar background materials when the case is submitted to the resettling state. Other details can be added later on as the case is examined, as it receives a submission, and as travel arrangements take place. Hence new information is added once it becomes known (e.g. date of interview, date of arrival, decisions, etc.).

Who should use this overview list?

This template is primarily intended to provide support to those managing or coordinating a national resettlement programme. Certain data can also be used

([1]) This tool was originally developed within the framework of the *Facilitating Resettlement and Refugee Admission through New Knowledge* (EU-FRANK) project. The project was funded by the European Asylum Migration and Integration Fund lead by the Swedish Migration Agency. As part of the handover process from EU-FRANK, the European Union Agency for Asylum has conducted a quality assurance exercise of the resettlement operational tools developed in this project.

by heads of missions to prepare missions, by security services to perform screenings, to prepare reporting for the Asylum Migration and Integration Fund (AMIF), or similar. Resettling states may want to use this type of overview to verify data in the national databases or to draw specific information, e.g. the number of cases submitted under a specific risk category, which may not be available by searches in the national database.

Although it is intended as an internal management tool, some information may be protected by confidentiality, while other types of data can be shared with other partners in the resettlement programme to avoid redundant administrative work. Confidentiality rules in accordance with national and EU legislation need to be taken into account, and some personal data might have to be removed before sharing.

Annual overview of resettlement cases

In order to have an overview of all cases submitted within a resettlement programme throughout the year, some governmental agencies set up overview sheets in Excel or use flow charts or similar tools to illustrate how cases proceed through the resettlement process. Some of this information can be transferred from the submission material, while other data can be entered as the case continues through the national resettlement process.

Important note

The list below suggests information items that may be useful for governments to keep track of in an overview sheet or similar tool. It is important to note that this list is not exhaustive, nor normative, and that it should only be used as guidance and inspiration for national developments. An assessment must be made by any resettling state deciding to adopt or develop a similar tool, especially taking into consideration data protection regulations and safeguards for the integrity of individuals. This assessment should take into account which data are allowed to be kept, how necessary data are to be kept, and how to keep and manage the tool according to data protection standards.

The following information may be useful to keep in an overview tool or spreadsheet.

TOPICS FOR AN ANNUAL OVERVIEW OF RESETTLEMENT CASES ([2])

Type of data (typically entered into separate columns in an Excel spreadsheet)	**Comment**
UNHCR case number	Indicate the UNHCR case number (not the UNHCR Registration Number). If in an Excel spreadsheet, indicate the case number only for the PRA (on one row only for each family) so that the number of cases can easily be counted (by summing up this column).
National case number	For each case to be identified internally within the organisation.
Family name	Awareness of names may be important when meeting with individuals, to double check spelling, and to transfer onto any official documents.
Given name/first name	Awareness of names may be important when meeting with individuals, to double check spelling, and to transfer onto any official documents.

([2]) When handling personal data, always pay attention to data protection regulations and standards (e.g. the European Union General Data Protection Regulation, GDPR).

Type of data (typically entered into separate columns in an Excel spreadsheet)	**Comment**
Sex	Awareness of sex may be important when meeting with individuals and to transfer onto any official documents. If kept in an Excel spreadsheet, this is typically entered with, for instance, M for Male and F for Female and Other, to enable filtering of the data.
Case size	This is often indicated with a number only once per case/family to enable filtering of this column.
Family links in your country	Note any family links that may, for instance, influence where to place the case/family once accepted or for security screenings.
Family links in another EU+ country	Note any family links that may, for instance, influence where to place the case/family once accepted or for security screenings.
Country	Host country/country of first asylum. This information is important for exit processing and planning of missions as well as to know which embassy or other partners to involve in the processing of the case.
Address	If known.
Place of birth	This is important for issuance of, for instance, travel documents. If the country of birth is different to the nationality, this might also be noted.
Date of birth	The format of the date of birth (entire date or limited to the year) must be chosen depending on regulations on how to keep and use these data within the organisation. Indication of age can help follow up on the number of adults/children or to organise special support for specific age groups.
Other background information	Some countries may have a reason to keep data on, for instance, belonging to subgroups within a nationality or other aspects. Since this is considered sensitive data, a thorough examination must be made on whether and how to keep this information.
Mission	For each case, a reference to which selection mission will examine the case can be made, for instance, by indicating a number or location of the mission, e.g. 'Mission country, month, year'. If entered into an Excel spreadsheet, the missions of the year can be pre-entered and chosen from a dropdown list, or numbers can be used to refer to different missions. By indicating which cases belong to which missions, filtering of specific lists for preparation of missions is possible. When doing so, certain information might have to be amended or removed to ensure that sensitive information is not circulated outside the agency.
Dossier	If a case has been submitted on a dossier basis, this can be indicated by an 'x', thus making it possible to filter out only dossier cases.

Type of data (typically entered into separate columns in an Excel spreadsheet)	**Comment**
Priority	Submission priority, i.e. Normal, Urgent, or Emergency, can be entered in or chosen from a dropdown list. This enables easy filtering and quick access to an overview of, for instance, the status of emergency cases.
Linked case	Indicate whether any linked cases have been submitted. Here, the UNHCR's Case Number for the linked case can be entered.
Submission criteria I	Some countries wish to be able to follow up on the UNHCR's submission criteria, and thus enter, for instance, Legal and/or Physical Protection Needs (LPP), Women and Girls at Risk (WAR), or other data here. This information can be derived from the individual case file.
Submission criteria II	If there are more than one submission criteria, you may want to enter them into different columns.
Special needs	The agency can indicate here whether there are any special needs to be taken into account for organising the interview, the transfer, or the reception. An assessment should be made of what to enter here as well as how to treat and keep the data so that the integrity of the individual is preserved.
Remarks	Any other comments that might be helpful when processing the case can be entered into a separate column, for example, 'Email received on withdrawal of this case, stand by', 'Information on new-born baby to be added to this case', etc.
Submission date	This is generally provided by the national data system, but sometimes it is handy to be able to follow up quickly on cases that have been submitted during a specific month, or to use this to find information about a specific case. Make sure to type all dates in a standardised format to enable filtering and searching.
Date contact/referral to security services	See above 'Submission date'.
Date result of security screening	See above.
Date UNHCR dossier transferred to...	If national regulations requires that the dossier needs to be shared with other services, indicate here when it was transferred to these services.
Decision on resettlement	The type of decision can be standardised and chosen from a dropdown list, e.g. Accepted, Rejected, Withdrawn. Colours may be used to visualise the information. Either enter the full word on each family member's line or use different columns for different outcomes and enter a '1' or 'x' in the appropriate column.

Type of data (typically entered into separate columns in an Excel spreadsheet)	**Comment**
Date decision communicated to UNHCR	This is generally provided by the national data system, but sometimes it is handy to be able to follow up quickly on cases that have been submitted during a specific month or to use this to find information about a specific case. Make sure to type all dates in a standardised format to enable filtering and searching.
Case officer	If you divide cases among case officers, this provides easy access to which cases each person handles. Use initials or codes instead of full names if deemed more appropriate.
Visa	If a visa, travel document or other documentation needs to be issued prior to departure, it may be useful to indicate whether this has been done in order to ensure that cases are ready to depart.
Date of arrival	Indicate here when the refugee arrived in the resettlement country. Some agencies choose to also indicate the planned date of arrival or earliest date of arrival because this can change before the date is confirmed and the individual actually arrives.
Municipality	It may be convenient to be able to follow up on cases that are to be transferred to a specific municipality.
Domestic airport	If there are several domestic airports at which refugees arrive, this might also be indicated.
Flight number	It may be convenient to be able to follow up and communicate on planned arrivals with the IOM or other service providers, for which their reference number for the travel may be used.
Date of application for international protection	If your legislation requires that an application for international protection needs to be lodged after arrival, the date can be indicated here.
Date of decision	If your legislation requires that an application for international protection needs to be lodged after arrival, indicate the date of the decision to grant international protection.

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