The Netherlands Ministry of Foreign Affairs

DRAFT - HOW TO USE THE IATI STANDARD for publishing Humanitarian Data

Publication Guidelines for Partners, Contractors and Suppliers of the Netherlands Ministry of Foreign Affairs

Version 0.6, May 2019

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Part 1 -   Introduction & requirements

1.1 Introduction

In December 2015 a number of changes were made to the IATI Standard (version 2.02), to make IATI better fit for publishing humanitarian activities. Subsequently IATI version 2.03 contains a number of changes to further enhance the IATI standard for humanitarian purposes.

Given its commitment to the Grand Bargain the Netherland Ministry of Foreign Affairs would like to harness this potential to gain better insight in the humanitarian activities it supports. Furthermore, UN OCHA is currently changing its Financial Tracking System (FTS) to be able to automatically process IATI data. This process also depends on the use of the humanitarian fields in IATI.

This addendum to "How to use the IATI Standard, Publication Guidelines for Partners, Contractors and Suppliers of the Netherlands Ministry of Foreign Affairs" describes the additional publication guidelines for partners that are involved in humanitarian activities.

Chapter 2 describes the elements that were added to the IATI standard for Humanitarian purposes and the way the ministry would like to use them.

1.2 Humanitarian data elements

Versions 2.02 and 2.03 of the IATI Standard include a new element designed to improve the identification and quality of reporting for humanitarian assistance interventions, as well as some enhancements to existing elements.

Not all data elements (fields) of either the IATI organisation or the activity file are mandatory in reporting to the ministry. In the table in 1.2.1, it is indicated which fields are mandatory and which are not.

New elements
- <humanitarian-scope> - enables an intervention to be mapped to the specific **emergency** and/or **appeal** that it is in response to.

Extended elements
- A @humanitarian attribute **flag** added to either<iati-activity> or <transaction>.
- A @budget-not-provided attribute to indicate the activity does not have a budget (yet), in case of Rapid Onset Emergencies.
- Sector vocabulary code 10 added to allow for the reporting of **Humanitarian Global Clusters** via the <sector> element.

- Additional organisation type codes were added to allow the identification of country based organisations involved in (development and) humanitarian activities.
- Transaction types "Outgoing Pledge" and "Incoming Pledge" were added to allow the publication of Pledges via the <transaction> element.
- Aid type vocabularies were added to indicate the level of earmarking

1.2.1 Which elements are required by the Ministry of Foreign Affairs?

General requirement		
IATI version	Organisations publishing humanitarian data should publish IATI version 2.03 or higher.	Yes
Data item	**Description**	**Required**
IATI Activity		
@humanitarian	A process flag to indicate that this activity relates entirely or partially to humanitarian aid.	Yes
@budget-not-provided	A code indicating the reason why this activity does not contain any iati-activity/budget elements (in case of a rapid onset emergency)	Yes, if applicable
Participating Organisation		
@type	Distinction between international organisations and partner country based organisations through the organization type code.	Yes
Humanitarian Scope		
Humanitarian Scope	Identifies the specific **emergency** and/or **appeal** that the activity is in response to.	Yes
Classifications		
Sector	The sector(s) that the activity benefits according to the DAC-5 standard.	Yes
	The Humanitarian Global Cluster(s) that the activity relates to.	Yes, if applicable
Aid type	A classification of earmarking modalities developed for the Grand Bargain commitment	Yes, if available
Financial		
Transaction @humanitarian	A process flag to indicate that this transaction relates to humanitarian aid.	Yes, if needed

	The humanitarian flag at this level is only needed if the value is different from the activity default (See the example in 2.5)	
Transaction-type	The possibility to publish outgoing or incoming pledges to humanitarian crises or humanitarian plans.	Yes, if available

1.3 Timely publication

Most IATI data is refreshed at least every quarter. In rapid onset emergencies, where information is key to decision-making, weekly or even daily reporting would improve the usefulness of the available data.

<< INPUT TO BE PROVIDED BY UN OCHA (FTS) ON HOW (OFTEN) THE DATA ARE BEING USED FOR MANAGEMENT AND PLANNING>>

Part 2 - How to use the IATI humanitarian elements

2.1 Activity

@humanitarian

A process flag to indicate if the activity relates to humanitarian aid.
If the flag is set to "1", all the transactions of the activity are considered contributions to humanitarian aid.

If an activity has *both a humanitarian and a development component* then this flag indicates the default value for the activity.

- If the entire activity is flagged as being humanitarian, then the transactions related to the development component should be flagged as 'not humanitarian' (humanitarian="0")

- If the entire activity is flagged as being not-humanitarian, then the transactions related to the humanitarian intervention should be flagged as 'humanitarian' (humanitarian="1")

In these cases, it may be a good practice to label each transaction, so that it's clear to data users which transactions are related to the humanitarian intervention.

```
<transaction ref="1234" humanitarian="0">
<transaction ref="2345" humanitarian="1">
```

The ministry is not in favour of artificially 'splitting up' activities in a development and a humanitarian activity if that doesn't represent the actual situation.

Examples

Organisation B provides humanitarian assistance following a natural disaster.
Organisation B flags this humanitarian activity as follows:

```
<iati-activity humanitarian="1">
```

Organisation B carries out a project with both a humanitarian and a development component:

```
<iati-activity humanitarian="0">
       .
       .
          <transaction ref="2345" humanitarian="1">
```

```
or

<iati-activity humanitarian="1">
        .
        .
        <transaction ref="1234" humanitarian="0">
```

@budget-not-provided	A code indicating the reason why this activity does not contain any iati-activity/budget elements. Activities related to rapid onset emergencies often don't have an established budget (yet). In order to allow organisations to indicate these cases but still provide the available data, this attribute was added. Code "3" on the codelist refers to Rapid Onset Emergencies.
Example	*Organisation B provides humanitarian assistance following a rapid onset emergency:* *Organisation B flags this humanitarian activity as follows:* `<iati-activity humanitarian="1" budget-not-provided="3">`

2.2 Participating Organisations

Participating Organisation

The **type** attribute allows you to identify the type of organisation, e.g. International NGO, National NGO, Private Sector,
For all available organisation types see:
http://iatistandard.org/203/codelists/OrganisationType/

Given the Grand Bargain commitment to "Invest in local capacities" there is a need to distinguish between national NGOs and country-based INGOs; and between domestic NGOs with national and local (CBO) reach. Additional organisation type codes were added to allow the identification of country based organisations involved in (development and) humanitarian activities.

Code	Name	Description
10	Government	
11	Local Government	Any local (sub national) government organisation in either donor or recipient country.
15	Other Public Sector	
21	International NGO	

22	National NGO	
23	Regional NGO	
24	Partner Country based NGO	Partner country based NGO- NGOs not based in an aid recipient country and carrying out operations in one or more aid recipient countries.
30	Public Private Partnership	
40	Multilateral	
60	Foundation	
70	Private Sector	
71	Private Sector in Provider Country	Is in provider / donor country.
72	Private Sector in Aid Recipient Country	Is in aid recipient country.
73	Private Sector in Third Country	Is not in either a donor or aid recipient country.
80	Academic, Training and Research	
90	Other	

Example *Organisation B (international NGO) carries out a humanitarian activity which is partly implemented by Organisation C (national NGO).*

Organisation B publishes:

```
<participating-org ref="BB-BBB-123456789" role="4" type="21">
      <narrative>Organisation B</narrative>
</participating-org>

<participating-org ref="CC-CCC-123456789" role="4" type="24">
      <narrative>Organisation C</narrative>
</participating-org>
```

2.3 Classifications

Sector

Humanitarian Global Cluster codes (vocabulary 10)
The Humanitarian Global Cluster(s) that the activity relates to. Adding related UN cluster codes makes the published information much more useful for coordinating an emergency response across a large number of multinational agencies.

If available, for humanitarian activities the ministry would like to see which Humanitarian cluster they relate to.

The available codes are:

code	Label
1	Camp Coordination / Management
2	Early Recovery
3	Education
4	Emergency Shelter and NFI
5	Emergency Telecommunications
6	Food Security
7	Health
8	Logistics
9	Nutrition
10	Protection
11	Water Sanitation Hygiene
5403	Child Protection
5404	Gender Based Violence
5405	Housing, Land and Property
5406	Mine Action

The original codelist can be found here:
https://data.humdata.org/dataset/global-coordination-groups-beta

DAC-5 sector codes (vocabulary 1)
The appropriate humanitarian 5 digit DAC sector codes should be added to any IATI activity marked with the 'humanitarian' flag. Relevant humanitarian five digit DAC sector codes currently range from 72010 to 73010:

72010	Material relief assistance and services
72040	Emergency food assistance
72050	Relief co-ordination and support services

	73010	Immediate post-emergency reconstruction and rehabilitation
	74020	Multi-hazard response preparedness

Note: Multiple sectors can benefit from the same activity. In this case, the percentage of total commitments or total activity budget to this sector must be given. The total of the percentages must add up to 100%.

Example *Organisation B provides humanitarian assistance following a natural disaster. 60% of the activity budget goes to shelter (20%), water (20%) and health services (20%), the other 40% goes to emergency food aid.*

Organisation B publishes the following sectors for the activity:
```
<sector vocabulary="1" code="72010" percentage="60" />
<sector vocabulary="1" code="72040" percentage="40" />

<sector vocabulary="10" code="4" percentage="20" />
<sector vocabulary="10" code="11" percentage="20" />
<sector vocabulary="10" code="7" percentage="20" />
<sector vocabulary="10" code="6" percentage="40" />
```

Aid Type Related to the Grand Bargain commitment to reduce the earmarking of donor contributions, the classification system of earmarking modalities has been included in IATI. This has resulted in two new Aid Type Vocabularies.

Code: **2**
Name: **Earmarking Category**
URL: Derived from [Annex I of Grand Bargain definitions](#)

Code	Title	Description
1	Unearmarked	Any or all of the Earmarking Modality codes A, B or C
2	Softly Earmarked	Any or all of the Earmarking Modality codes D, E or F
3	Earmarked	Any or all of the Earmarking Modality codes G or H
4	Tightly Earmarked	Any or all of the Earmarking Modality codes I, J or K

Code: **3**
Name: **Earmarking Modality**
URL: Codes A to L replicated directly from [Annex I of Grand Bargain definitions](#)

		Terminology	Definition
Unearmarked	A	Fully flexible core contribution	Financial contribution to the aid organisation budget, fully flexible (within the boundaries set in mandates, governing body regulations etc.)
	B	Fully flexible core contribution to the CERF	Financial contribution to CERF budget, fully flexible within the CERF regulations.
	C	Core contribution	Financial contribution to a significant part of the aid organisation's mandate, e.g. restricted to the humanitarian operations of a double-mandated organisation.
Softly earmarked	D	Core contribution with limitations	Financial contribution, but with exclusions pertaining to a small number of specific countries.
	E	Directed to a geographical region or a strategic objective	Financial contribution, fully flexible within the boundaries of the strategic objective (e.g. health or education) or region (e.g. Africa).
	F	Directed to a Country-Based Pooled Fund	Financial contribution directed to a specific Country-Based Pooled Fund, otherwise fully flexible.
Earmarked	G	Directed to an aid organiastion's country operations	Financial contribution, directed to a specific country, otherwise fully flexible.
	H	Directed to sub-objective/target	Financial contribution, directed to subcategories of strategic objectives, e.g. health/malaria or education /teacher training, but without geographical limitations.
Tightly earmarked	I	Directed to a specific project	Financial contribution directed to a specific project in a specific country.
	J	Directed geographically and thematically, tied financial	Financial contribution, tied to certain conditions in terms of purchase restrictions, directed to a specific country/region *and* to a specific objective. E.g. financial contribution for *purchase of ABC* for *school feeding* in *X-land*.
	K	Directed geographically and thematically, in kind.	In-kind contribution directed to a specific country/region *and* to a specific objective. E.g. *rice* for *school feeding* in *X-land*.
	L	Donor-initiated projects/directed contributions	Financial contribution coupled with the demand for a specific project in a specific country fulfilling donor priorities.

Example   *Organisation B carries out a specific humanitarian intervention in a country for which it is specifically funded by a donor (tightly earmarked).*

Organisation B publishes the following aid-types for the activity:
```
<default-aid-type vocabulary="1" code="C01" />
<default-aid-type vocabulary="2" code="4" />
```

2.4 Humanitarian Scope

Humanitarian-scope

The 'humanitarian-scope' element can be used to link the IATI activity to
- a specific emergency and/or
- a (UN) appeal

Linking to an emergency

Linking to an emergency

Emergencies are uniquely identified by their 'GLIDE number' which can be defined using the humanitarian-scope element.

GLIDE[1] is currently the only public list of recognised emergencies and should be used by all publishers.

Each emergency registered on GLIDE has its own unique code which is also year and country specific. If organisations are reporting on a complex emergency that is multi year and/or multi country, multiple GLIDE references will need to be included.

Next to the GLIDE number IATI also allows for a title of the emergency to be added (optional).

Example

Single year and single location natural disaster with multiple language @narrative:

```
<humanitarian-scope type="1" vocabulary="1-2" code="EQ-2015-000048-
NPL">
        <narrative>Nepal Earthquake April 2015</narrative>
        <narrative xml:lang="fr">Népal Earthquake Avril 2015
        </narrative>
</humanitarian-scope>
```

Multi location epidemic:

```
<humanitarian-scope type="1" vocabulary="1-2" code="EP-2014-000039-
SLE">
        <narrative> West Africa Sierra Leone Ebola Epidemic 2014
        </narrative>
</humanitarian-scope>

<humanitarian-scope type="1" vocabulary="1-2" code="EP-2014-000039-
LBR">
        <narrative> West Africa Liberia Ebola Epidemic 2014
        </narrative>
</humanitarian-scope>

<humanitarian-scope type="1" vocabulary="1-2" code="EP-2014-000039-
GIN">
```

---

[1] **GL**obal **IDE**ntifier number. More about GLIDE.

```
                   <narrative> West Africa Guinea Ebola Epidemic 2014
                   </narrative>
      </humanitarian-scope>
```

Multi year and multi location complex emergency:

```
<humanitarian-scope type="1" vocabulary="1-2" code="OT-2014-000138-
JOR">
       <narrative>Jordan Syrian Refugee Crisis 2014</narrative>
</humanitarian-scope>

<humanitarian-scope type="1" vocabulary="1-2" code="OT-2011-000025-
SYR">
       <narrative>Syria Syrian Refugee Crisis 2011</narrative>
</humanitarian-scope>

<humanitarian-scope type="1" vocabulary="1-2" code="OT-2011-000025-
TUR">
       <narrative>Turkey Syrian Refugee Crisis 2011</narrative>
</humanitarian-scope>
```

Linking to an appeal

Linking to an appeal

The humanitarian-scope element also defines the appeal that an activity relates to. Currently, only the UN humanitarian plans list is available as a reference. In the future different types of appeals (e.g. IFRC appeals) are expected to be added.

To link an activity to the UN Humanitarian Plan the relevant code should be chosen from the UN list available at:
https://fts.unocha.org/plan-code-list-iati

Example
```
<humanitarian-scope type="2" vocabulary="2-1" code="FNPL15">
       <narrative>Nepal Earthquake Flash Appeal 2015 </narrative>
</humanitarian-scope>
```

N.B. where there are different year plans for the same emergency, publishers should refer to the plan for the same year as the actual start-date of the reported IATI activity. Also, the @narrative field can be reported in multiple languages by using the @xml:lang attribute

2.5 Transactions

@humanitarian

If an activity has both a humanitarian and a development component then the 'humanitarian' flag at the transaction level should be used to indicate which transactions relate to the humanitarian intervention:

- If the entire activity is flagged as being humanitarian, then the transactions related to the development component should be flagged as 'not humanitarian' (humanitarian="0")
- If the entire activity is flagged as being not-humanitarian, then the transactions related to the humanitarian intervention should be flagged as 'humanitarian' (humanitarian="1")

In these cases, it may be a good practice to label each transaction, so that it's clear to data users which transactions are related to the humanitarian intervention.

Example

Organisation B carries out a project with both a humanitarian and a development component:

```
<iati-activity humanitarian="0">
        [...]
        <transaction ref="2345" humanitarian="1">
```
or
```
<iati-activity humanitarian="1">
        [...]
        <transaction ref="1234" humanitarian="0">
```

transaction-type

Different types of transactions can be published. The [ministry's IATI publication guidelines](#) already describe which types of transactions are expected for each activity. As of IATI v. 2.03 *Pledges* can also be published using two new transaction-type codes:

12- Outgoing Pledge	Indicative, non-binding advice of an intended outgoing commitment.
13 – Incoming Pledge	Indicative, non-binding advice of an intended incoming commitment.

Each transaction **must** have a transaction date and a value. If you haven't specified the currency at the Activity level, you should specify the currency for each transaction separately.

Example

```
<transaction humanitarian="1">
    <transaction-type code="12" />
    <transaction-date iso-date="2018-10-10" />
    <value value-date="2018-10-10">150000</value>
    <description>
        <narrative>Pledge to Organisation C</narrative>
    </description>
    <receiver-org ref="NL-KVK-9876543">
        <narrative>Organisation C</narrative>
    </receiver-org>
</transaction>
```