

NAME: _____

PROTECTION CLUSTER: _____

Protection Information Management (PIM)

PIM CHAMPION WORKBOOK

2016

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- Democratic Republic of Congo Protection Cluster
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- Global Nutrition Cluster (GNC)
- Global Protection Cluster (GPC)
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- Global WASH Cluster
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- People in Need
- Philippines Protection Cluster
- PIM Working Group
- Reach
- Save the Children
- SEMA
- SPHERE
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Further thanks are also given to over 100 PIM champions and PIM Working Group members from all over the world who contributed to earlier versions of the PIM training to immensely improve the training to the current state. We thank these professionals for their time, energy, and ongoing commitment to PIM.

Finally, our deepest gratitude goes to the affected committees and survivors of violence who trust in our staff to continue our humanitarian work.

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For feedback, support, or suggestion for the improvement of this publication, please contact the PIM Training Team: PIMTraining@drc.dk.

Foreword

In 2015, the Danish Refugee Council (DRC) and the United Nations High Commissioner for Refugees (UNHCR), after noticing a lack of common understanding on protection information management (PIM), held informal meetings and took the initiative to create the PIM Working Group. The PIM Working Group has been working – and as of the publication of this document continues to work – to develop global standards, highlight good practices, and outline global tools for humanitarian actors managing data, information, and knowledge in order to be accountable to the affected communities through response, mitigation, and prevention programmes.

The PIM Working Group obtained support from ECHO and has been identifying components and highlighting systems of PIM. Through global meetings, the PIM Working Group defined PIM, identified core activities, defined key terms, and outlined PIM principles. Simultaneously, the working group also hired staff to write and design a PIM training.

While global standards are still in the process of being completed for several aspects of PIM, protection, and information management, a consensus was reached to bring together key actors for a PIM training. The PIM training complements and supports existing trainings and adult learning opportunities. The training was rooted in state-of-the-art facilitation techniques, with adult learning activities that would create an environment where protection and information managers would trust, share, and want to work together to improve the ability of protection clusters to develop a more informed protection response, anchored in an overall protection analysis. In addition to this overall training objective, the PIM training had the following three learning objectives:

1. Demonstrate how protection information management (PIM) supports, informs, and enables the development of an evidence-informed protection analysis, strategy, and response.
2. Develop PIM knowledge, skills, and attitudes that facilitate dialogue and collaboration between protection and IM colleagues.
3. Develop PIM knowledge and skills to create a PIM plan that informs a protection analysis, strategy, and response.

The information can apply to any actor working in a humanitarian setting. By focusing on building skills, developing attitudes, and sharing knowledge, participants (PIM champions) during the course learn to build a dialogue with counterparts. While there is an overarching theme of building several of the 32 core competencies of PIM champions, the PIM Working Group also believes that PIM should be institutionalised in clusters and organisations.

There is a need to have a safe and ethical methodology that will allow humanitarian actors to design, collect, process, analyse, store, share, and use data and information with a defined purpose and without causing harm. As PIM often has many sensitivities, to support humanitarian actors this PIM training discusses current good practices, methodologies, and concepts. As the PIM Working Group continues to develop global standards, and as the humanitarian community continues to learn about good practices, this PIM training should be updated. The emphasis on improving the PIM training should be with a view to including good practices, enhancing dialogue between actors, understanding responsibilities during PIM processes, and building PIM champions. Therefore, the PIM training – and these PIM training resources – should be viewed as a framework for PIM, instead of rulebooks.

As this is the first edition of global PIM materials that the aforementioned actors have designed, feedback is warmly encouraged. For more information on how to support the development of the PIM training content or participate in a future PIM training, contact the PIM Training Team (PIMTraining@drc.dk) or the Global Protection Cluster (GPC@unhcr.org).

Remember to be responsible with your data and information!

Megan M. Lind
PIM Training Officer

Welcome

Dear PIM Champion,

Welcome to the PIM training! We are thrilled that you are joining us on this path of to improve the ability of protection clusters to develop a more informed protection response anchored in an overall protection analysis. You have been selected to participate in the PIM training due to your qualifications and promise to ensure the knowledge you learn during this training is transferred to others, implemented in the work you do, and shared with other members of the protection cluster that you support. We look forward to working with you. If you have any questions, do not hesitate to reach out to us. As indicated, there are five parts to the PIM training: (1) Completing the application process; (2) Attending the PIM webinar; (3) Populating the PIM Dropbox; (4) Attending the in-person one-week PIM training; and (5) Sharing and disseminating knowledge learned to the protection cluster you support. You are receiving this content during part four the training, the in-person training.

Day 1	Day 2	Day 3	Day 4	Day 5
	Optional walk/run: 6:00	Optional walk/run: 6:00	Optional walk/run: 8:00	Optional walk/run: 6:00
	Start time: 08:30	Start time: 08:30	PIM champions' time to:	Start time: 08:30
PIM champions' time to: (1) arrive; (2) meet other PIM champions/experts; and (3) respond to professional needs	2.1 Country presentation	3.1 Refresher (Part I)	(1) meet other champions; and (2) respond to professional needs	5.1 Refresher (Part III)
	2.2 Protection	3.2 PIM matrix		5.2 Sharing data (Concerns)
	BREAK	BREAK	Start time: 10:00	BREAK
	2.3 IM	3.3 Protection needs assessment	4.1 Refresher (Part II)	5.3 Sharing data (Lessons learned)
		3.4 Protection monitoring	4.2 Analyse your environment (Part II)	5.4 PIM training summary
	LUNCH	LUNCH	LUNCH	5.5 My fellow PIM champion
	Start time: 13:00	2.4 Country presentation	3.5 Country presentation	4.3 Country presentation
1.1 Introduction	2.5 PIM sensitivities	3.6 Population data	4.4 Analyse your environment (Part III)	Next steps
BREAK	BREAK and EMAIL	BREAK and EMAIL	BREAK	LUNCH at 13:00
1.2 Review webinar – PIM concepts	2.6 Analyse your environment (Part I)	3.7 PIM matrix use and outputs	4.5 Analyse your environment (Part IV)	PIM champions' time to: (1) depart; (2) meet other PIM champions/experts; and (3) respond to professional needs
1.3 Country presentation prep.				
1.4 Day 1 review	2.7 Day 2 review	3.8 Day 3 review	4.6 Day 4 review	
Team dinner	Dinner (independent)	Dinner (independent)	Dinner (independent)	

Key to colour coding

The colours represent the main core competency that is built during this module. The modules in grey are time for PIM champions to meet with other PIM champions on possible related topics. The sessions in black represent start times. The sessions in brown represent important times to energise the mind and body.

Skills: able to develop a principled PIM strategy and operational plan, and incorporate contextual risks, vulnerabilities, and coping mechanisms within protection data analysis
Attitude: disseminates the lessons learned and good practices with colleagues locally and globally to support sustainability and knowledge management
Skills: makes informed decisions about which systems are needed based on a comprehensive analysis of information requirements (and over time)
Attitude: supports an inclusive and transparent approach to PIM
Knowledge: knowledge of key protection norms and standards and holistic approach to protection, and the ability to incorporate these into operational and technical solutions
Attitude: able to scope and manage expectations of IM
Knowledge: understands sensitivities about confidential information being handled, and has experience of sharing information in a protection-appropriate manner
Skill: analyses IM environment (threats, opportunity, strengths, weaknesses) to inform methodology design and operational planning

MODULE 1.1 – INTRODUCTION

Core competency – Attitude: supports an inclusive and transparent approach to PIM

Module objectives (Slide 3)

This module will:

- Identify key actors in PIM
- Identify fellow PIM champions in the room
- State the objective of the training
- Identify PIM champions' expectations
- Reflect on the model of learning used in the course
- List the course ground rules

Module learning outcomes

- PIM champions can identify two PIM experts to contact for support
- PIM champions can identify (at least) four PIM champions to support them in the field: at least one IM actor, one protection actor, one actor in the same humanitarian setting, and one actor in a different humanitarian setting
- PIM champions can explain how PIM has evolved to the current stage
- PIM champions can list all ground rules

PIM training objective (Slide 25)

To improve the ability of protection clusters to develop a more informed protection response anchored in an overall protection analysis.

Who is in the room (and around the world)? (Slide 26)

You are now a member of a network of PIM champions. In 2016, the PIM training was rolled out to 11 protection clusters through four trainings, which brought together protection and IM actors. You also have the ability to reach out to the PIM Working Group at the global network. We encourage you to first reach out to the following:

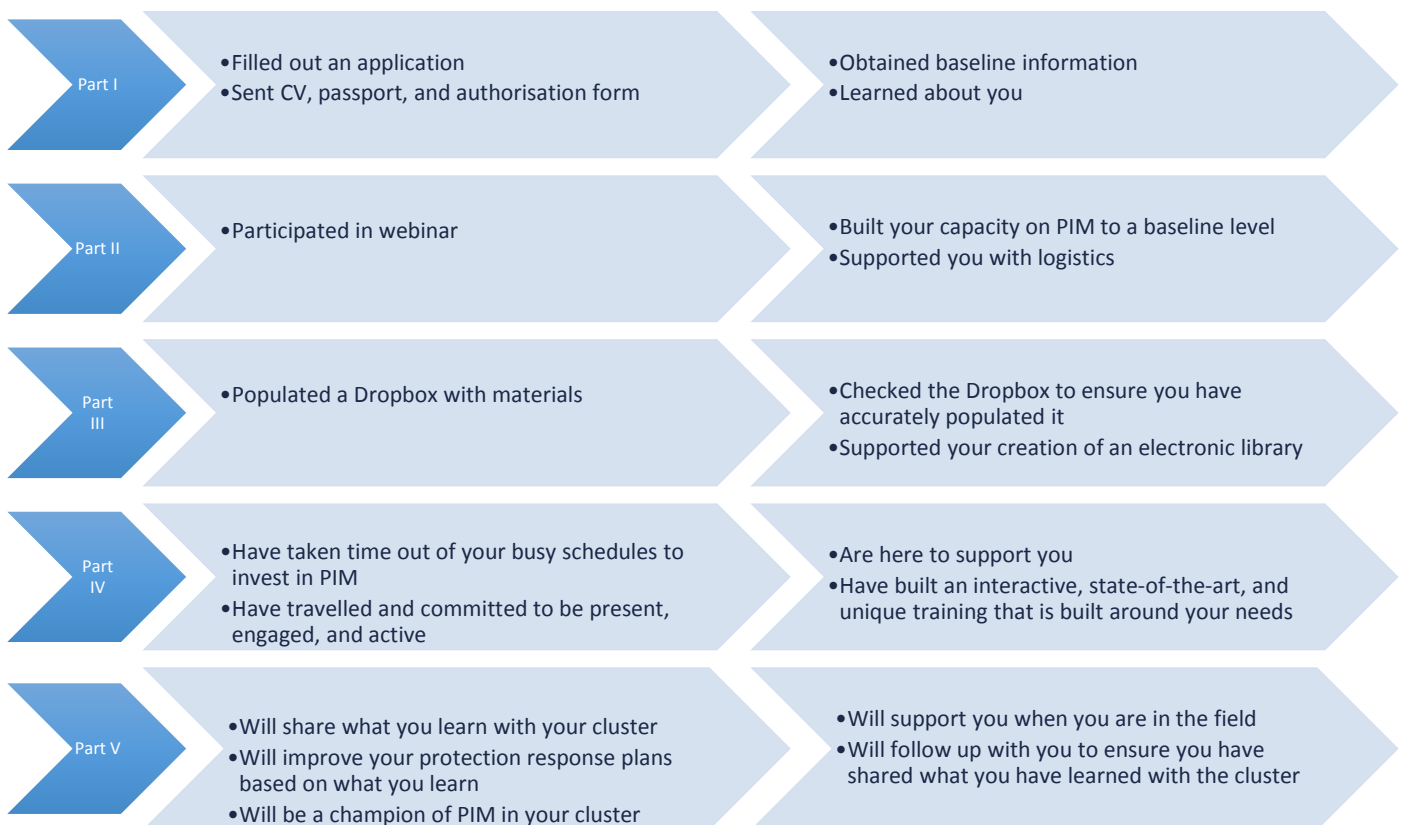
- **Megan Lind:** megan.lind@drc.dk – for concerns related to the PIM training, including content and logistics
- **Brennan Weibert:** brennan.weibert@drc.dk – for concerns on protection and the Danish Refugee Council
- **Bekim Kajtazi:** kajtazi@unhcr.org – for concerns related to the Global Protection Cluster
- **Jessica Schnabel:** schnabel@unhcr.org – for concerns related to the PIM working group

PIM is here to support you! (Slide 27)

For example: If Mary can paint the wall in 10 hours and Ali can paint the wall in 20 hours, how long does it take for them to paint the wall together?

- More than 10 hours?
- 10 hours?
- Less than 10 hours?

You and PIM (Slide 28)



What should I expect from the in-person PIM training week? (Slide 30)

The training week:

- Is participatory, with activities to help draw out your ideas
- Will help to foster communication and partnership
- Provides PIM champion workbooks, with detailed info and space for notes
- Includes time to reflect and to complete exercises in the PIM champion workbook
- Has a park sheet for unanswered questions
- Includes longer coffee breaks to give you time to respond to professional tasks (outside of the PIM training)

70:20:10 learning theory (Slides 31)

The PIM training design has incorporated many adult learning aspects, especially the 70:20:10 learning theory developed by Charles Jennings. Jennings is an expert on 70:20:10, a concept based on observations that individuals develop most of their capability through learning within the workflow. For more information visit: www.702010forum.com

Face-to-face training for adults (Slide 32)

<p>Want to share life experiences</p>	<ul style="list-style-type: none"> • Provide opportunities to reflect on current environment • Create activities that use current/past experiences and knowledge from champions environment
<p>Have self-pride and desire respect</p>	<ul style="list-style-type: none"> • Provide opportunities to share ideas, questions, opinions, experiences • Create an environment that honours respect
<p>Want goal-oriented, problem-centered learning</p>	<ul style="list-style-type: none"> • Have clear objectives • Engage PIM champions to identify challenges • Discuss theories with practice examples
<p>Want feedback</p>	<ul style="list-style-type: none"> • Provide immediate feedback • Engage self-evaluation
<p>Need to learn in different ways</p>	<ul style="list-style-type: none"> • Include activities that involve doing (kinesthetic), observing (visual), and listening (auditory) • Use all 3 learning modes in every 20-minute interval
<p>Learn best through collaboration and reciprocity</p>	<ul style="list-style-type: none"> • Have team exercises • Allow opportunities for mutual trust and building respect
<p>Are motivated to learn by many factors</p>	<ul style="list-style-type: none"> • Make a connection between the learning content and learners' long-term objectives (in work and life) • Provide an opportunity to see the larger picture

What is in the room? (Slide 33)

Learning objective tree	Five branches, roots, small branches, birds, leaves
Comfy country corner	Pillows, blankets, your country posters
Comment board	Green = general comments Black = PIM content comments
PIM matrix	To be populated this week
Humanitarian Programme Cycle	String and signs related to the categories we will cover
PIM timeline	Outlines history of PIM
PIM champion items	PIM champion workbook = take with you Name tag = leave each day Folder = take with you
Complementary materials	Tools, resources, and important documents from protection and IM global actors
Healthy table	Nuts and fruit
Creative table	Additional materials that you can use and take home
Creative box	Play dough, writing materials, scissors, stickers, and other items

Housekeeping (Slide 35)

Please write down the kind of learning environment you want to have

Add your notes:

ACTIVITY #1

Who are you? (Slide 36)

Identify who can support you – After you have completed the activity take a moment when you return to your seat to fill out the table below. If you did not meet an actor in one of the following genres, take additional time over the week.

Actor	Name	Location
PIM expert		
Protection officer in your humanitarian context		
IM officer in your humanitarian context		
Protection officer not in your humanitarian context		
IM officer not in your humanitarian context		

Who is your PIM champion?! (Slide 37)

My PIM champion is

1. On the first day of the in person training, each individual (PIM champions, protection experts, and IM experts) picks the name of another individual
2. Over the week, each individual had to meet and get to know that individual on the sheet
3. Each individual is required to learn at least 3 important things, including something related to their current professional work
4. On the last day, each individual identifies their PIM champion by saying 3 things about them: *'My PIM Champion is (1) (2)... and (3)....'*

ACTIVITY #2

You and PIM (Slide 39)

1. Find your pairs
 - You have either a country name or a domain name
 - Find the match to your pair
 - Example:
 - Person 1 = Australia
 - Person 2 = .AU
2. In your pairs, discuss how PIM relates to the work you are doing in your clusters/in the field
3. In your discussion, highlight how you plan to work more with your counterpart: protection/IM

How does PIM relate to the work you are doing now?

Add your notes:

Additional notes related to Module 1.1

The PIM training timeline

Visit the signs around the room to fill in the timeline below.

Date	Notes
Pre-May 2015	
May 2015	
November 2015	
December 2015	
2016	

MODULE 1.2 – INTRODUCTION TO PIM CONCEPTS

Core competency – Attitude: supports an inclusive and transparent approach to PIM

Module objectives (Slide 19)

This module will:

- Define PIM
- Explain why PIM is important to the humanitarian community
- Recall core competencies of PIM
- Explain PIM principles
- Apply PIM principles to current humanitarian work

Module learning outcomes

- PIM champions can state the PIM definition
- PIM champions can provide a practical example of PIM
- PIM champions can list three reasons why the humanitarian community needs PIM
- PIM champions can list the core competencies to be built during the training
- PIM champions can list all PIM principles

ACTIVITY #3

What is the PIM definition? (Slide 20)

1. Take a piece of paper from the facilitator
2. Spell out the definition as a group at the back of the room

PIM definition

Add your notes:

ACTIVITY #4

What is the PIM definition? (Slide 20)

Highlight which of the core competencies the in-person PIM training will focus on

Skills

1. Analyses IM environment (threats, opportunities, strengths, weaknesses) to inform methodology design and operational planning
2. Understands and is able to apply a community- and rights-based and participatory approach
3. Proactively, critically and collaboratively assesses various stakeholders and initiatives to identify information requirements and to spot linkages
4. Makes informed decisions about which systems are needed based on a comprehensive analysis of information requirements (and over time)
5. Is able to develop a principled PIM strategy and operational plan, and incorporate contextual risks, vulnerabilities and coping mechanisms within protection data analysis processes
6. Is able to use existing and new technological solutions for information management and able to assess their appropriateness for different contexts
7. Effectively uses quantitative and qualitative analysis, as well as visualisation methods, software and ability to produce and disseminate regular IM products tailored to appropriate audiences
8. Has experience in the effective design and implementation of data collection through interview, including in cross-cultural environments and complex security environments
9. Is able to tailor data collection techniques to a wide variety of situations, including low-tech environments
10. Is able to establish partnerships with other sectors and to spot linkages and synergies for PIM systems with other processes
11. Has demonstrated skills in communication, and training and mentoring non-specialists in PIM techniques

Knowledge

1. Has a demonstrated understanding of humanitarian and protection principles and their application
2. Is knowledgeable about key protection norms and standards and a holistic approach of protection and the ability to incorporate these into operational and technical solutions
3. Has experience working with displaced populations (including IDPs, refugees, asylum seekers, and returnees, as well as civilians in areas of displacement) and a range of protection contexts, from emergency to protracted to return and recovery
4. Is familiar with appropriate mapping and sampling techniques, as well as quantitative and qualitative data collection methods including data collection design
5. Has a demonstrated knowledge and understanding of age, gender and diversity mainstreaming
6. Is familiar with international norms, standards with regard to data protection
7. Has knowledge and understanding of monitoring and evaluation techniques – including different types of indicators and how to apply them to PIM
8. Has a clear understanding of the humanitarian system, including phases of humanitarian response
9. Understands the sensitivities around confidential information being handled and experience in sharing of information in a protection appropriate manner
10. Is familiar with the project management cycle and has sound project management skills

Attitudes

1. Is able to set clear milestones, organising work accordingly and monitoring progress
2. Supports an inclusive and transparent approach to PIM
3. Is able to scope and manage expectations of IM
4. Can scope and manage expectations of IM
5. Proactively encourages engagement and contribution from partners to support PIM activities
6. Effectively engages and communicates with communities in a responsible manner and is aware of AAP principles
7. Proactively keeps people informed and communicates effectively with a variety of stakeholders – internal and external colleagues and between technicians and decision makers, translating technical discussions for a non-technical audience
8. Disseminates lessons learned and good practices with colleagues locally and globally to support sustainability and knowledge management
9. Has cross-sectoral technical and non-technical communication ability, including the ability to effectively influence information management techniques of other sectors towards a protection-based approach
10. Is able to work under high pressure and to prioritise multiple competing deadlines and tasks
11. Is able to clearly draft different types of technical documents

ACTIVITY #5

Why is PIM important? (Slide 10)

- When instructed, move to the breakout room, taking:
 - Your PIM champion workbook, open at this page
 - Pen
 - Clipboard
- Sit in any chair
- You will sit opposite another PIM champion
- When instructed:
 - Discuss, 'Why is PIM important?'
 - Write your answers to 'Why is PIM important?' in your PIM champion workbook (in the table below)
 - You will have one minute to talk in your pair
- When instructed (when the buzzer goes):
 - If you are sitting in a 'inner circle' chair, you will not move
 - If you are sitting in an 'outer circle' chair, when told to, move one chair to the left

Why is PIM important?

1	
2	
3	
4	
5	
6	
7	
8	
9	
10	

PIM principles (Slide 46)

The following core guiding principles when engaging in PIM build on previous inter-agency forums and discussions. These principles underlie and characterise all PIM systems, regardless of their purposes, methods, or products.

1. **People centred and inclusive:** PIM activities will be guided by the interests and wellbeing of the population, which must participate and be included in all relevant phases of PIM. PIM activities must be sensitive to age, gender, and other issues of diversity.
2. **Do no harm:** PIM activities must include a risk assessment and take steps, if necessary, to mitigate identified risks. The risk assessment must look at negative consequences that may result from data collection and subsequent actions or service delivery as long as the PIM activity is being carried out.
3. **Defined purpose:** given the sensitive and personal nature of protection information, PIM must serve specific information needs and purposes. The purpose must be clearly defined, proportional to the identified risk and costs in relation to the expected response, and aimed at action for protection outcomes.
4. **Informed consent and confidentiality:** personal information may be collected only after informed consent has been provided by the individual in question, and that individual must be aware of the purpose of the collection. Further, confidentiality must be clearly explained to the individual before the information may be collected.
5. **Data protection and security:** PIM must adhere to international standards of data protection and data security.
6. **Competency and capacity:** actors engaging in PIM activities are accountable for ensuring that they are carried out by IM and protection staff who have been equipped with PIM core competencies and have been trained appropriately.
7. **Impartiality:** all steps of the PIM cycle must be undertaken in an objective, impartial, and transparent manner, while identifying and minimising bias.
8. **Coordination and collaboration:** all actors implementing PIM activities must adhere to the principles noted above and promote the broadest collaboration and coordination internally – both between humanitarian actors and externally – with and among other stakeholders. As far as possible, PIM activities must avoid the duplication of other PIM efforts and instead build on existing efforts and mechanisms.

ACTIVITY #6

You and PIM principles (Slide 47)

- Find your pairs
 - You have either a capital city and a country or an airport code
 - Find the match to your pair
 - Example:
 - Person 1 = Canberra, Australia
 - Person 2 = CBR
- In your pairs, discuss a challenge you have had with a PIM principle
- In your discussion, highlight how you could work with a counterpart to overcome/find a solution to this challenge

Add your notes:

Additional notes related to Module 1.2

Background on PIM

Source: Protection Information Management Working Meeting Outcome Document, 27–29 May 2015

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For more information visit: drive.google.com/a/drc.dk/file/d/0BzY6xxaSOIO3MXNUWEtyZ1RPXOU/view

The provision of key protection information about affected populations is an essential requirement to enable the humanitarian community to base programming plans and responses on available evidence and informed analysis. Unlike other areas of information management, such as health, education, or nutrition, the discipline of PIM is not well defined, structured, or coordinated.

Subsequently, to respond to a protection crisis there is a need within the humanitarian community to have a well-articulated and common understanding of PIM, its definition, key components, standards, tools, and methodologies. A common understanding of primary concepts is particularly relevant in the IDP protection community, given the large and growing number of protection actors gathering and analysing protection information.

A shared understanding of PIM concepts within the humanitarian community will facilitate the targeted use of protection resources, coordinated protection responses and lifesaving protection interventions to a degree not otherwise possible. The core objective of PIM is to provide quality information and data on the protection of displaced individuals and groups in all possible types and phases of an operation or situation, and to do so in a safe, reliable, and meaningful way.

MODULE 1.3 – COUNTRY PRESENTATION PREP

Core competency – Attitude: disseminates lessons learned and good practices with colleagues locally and globally to support sustainability and knowledge management

Your country presentation (Slide 50)

Each presentation should:

- Answer the questions below
- Ensure that everyone has a speaking role
- Use photos you have brought
- Be creative
- Use materials from the creative table
- Identify at least two activities that your country group is doing
- Provide at least one piece of information that other country programmes could use

Questions:

- What are the top three protection concerns?
- What are the top three activities/programmes you are doing in our protection cluster?
- What are three good practices/lessons learned that you can to share?

Add your notes:

MODULE 1.4 – DAY 1 REVIEW

Core competency – Attitude: supports an inclusive and transparent approach to PIM

Module objectives (Slide 53)

This module will:

- Reflect on the day and progress on course objectives
- Reflect on the core competencies
- Provide feedback on the day

Module learning outcomes

By the end of this module:

- PIM champions will have written new concepts in their workbooks
- PIM champions will write about how a core competency of PIM was built
- PIM champions will complete their feedback form for day one

Day 1 core competencies

- 1.1 – Attitude: supports an inclusive and transparent approach to PIM
- 1.2 – Attitude: supports an inclusive and transparent approach to PIM
- 1.3 – Attitude: disseminates lessons learned and good practices with colleagues locally and globally to support sustainability and knowledge management
- 1.4 – Attitude: supports an inclusive and transparent approach to PIM

Reflection

- How will you use this information in your work?
- What outstanding questions do you have?

Module	Name of module	Questions and notes
1.1	Introduction	
1.2	Review webinar	

Tools to remember

Key experts

Additional notes for Day 1

MODULE 2.1 – COUNTRY PRESENTATION

Core competency – Attitude: disseminates lessons learned and good practices with colleagues locally and globally to support sustainability and knowledge management

Module objectives (Slide 56)

This module will:

- Recall lessons learned and/or good practices from others
- Recall good practices from others

Module learning outcomes

- PIM champions can name two activities a country group is implementing
- PIM champions can name one useful piece of information they could use in their programme

Country presentation

Country presenting	
PIM champions' names	
Activities implementing	
Something learned to use in your current context	
Questions for team	

Additional notes for Module 2.1

MODULE 2.2 – PROTECTION

Core competency – Knowledge: knowledge of key protection norms and standards and holistic approach to protection, and the ability to incorporate these into operational and technical solutions

Module objectives (Slide 59)

This module will:

- Define what protection is
- Recall a key resource for more information on protection
- Explain examples of protection activities
- Recall protection is a part of the SPHERE Standards

Module learning outcomes

- PIM champions can state the definition of protection
- PIM champions can state the three actions of protection
- PIM champions can state at least five protection activities

ACTIVITY #7

What is protection to you? (Slide 60)

1. Take a writing utensil
2. Write or draw, 'What does protection mean to you?'

What is protection? (Slide 61)

Add your notes:

ACTIVITY #8 and ACTIVITY #9

Protection definition (Slides 62 and 63)

1. Take an A11 piece of paper
2. Spell out the definition as a group in the back of the room (no talking)

Add your notes

Handbook for Protection of Internally Displaced Persons (Slide 39)

Source: Global Protection Cluster Working Group, p.7 (2010)

Send feedback on the definition to: HQIDPHB@unhcr.org

Protection is defined as all activities aimed at obtaining full respect for the rights of the individual in accordance with the letter and spirit of the relevant bodies of law, namely human rights law, international humanitarian law and refugee law. Protection can be seen as: an objective; a legal responsibility; and an activity. Protection is an objective which requires full and equal respect for the right of all individuals, without discrimination, as provided for in national and international law. Protection is not limited to survival and physical security but covers the full range of rights, including civil and political rights, such as the right to freedom of movement, the right to political participation, and economic, social and cultural rights, including the rights to education and health. Protection is a legal responsibility, principally of the State and its agents. In situations of armed conflict, that responsibility extends to all parties to the conflict under international humanitarian law, including armed opposition groups. Humanitarian and human rights actors play an important role as well, in particular when States and other authorities are unable or unwilling to fulfil their protection obligations. Protection is an activity because action must be taken to ensure the enjoyment of rights. There are three types of protection activities that can be carried out concurrently: responsive, remedial, and environment-building.

What are the four protection SPHERE Standards? (Slide 66)

In your own words, describe the SPHERE Standards.

Add your notes:

ACTIVITY #10

Protection and SPHERE Standards (Slide 67)

- Read the SPHERE Standards on Protection in your workbook (pp.17–22)
- When directed, each cluster will take a SPHERE Standard
 - _____ = **Principle 1:** avoid causing further harm as a result of your actions
 - _____ = **Principle 2:** ensure people’s access to impartial assistance
 - _____ = **Principle 3:** protection of people from physical and psychological harm due to violence or coercion
 - _____ = **Principle 4:** assist with rights claims, access to remedies, and recovery from abuse
- In your groups:
 1. Take a flip chart
 2. Use the creative box
 3. Draw a picture representing your principle on the flip chart
 4. Be sure to discuss specific example of how you have ‘seen’ this principle in your current environment
 5. You have 15 minutes to create it and 1 minute to explain it to the group
 - When you have finished, hang you picture near the protection graffiti wall

The SPHERE Handbook

Source: The SPHERE Project – Humanitarian Charter and Minimum Standards in Disaster Response

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For more information visit: www.sphereproject.org or email: info@sphereproject.org

SPHERE is based on two core beliefs: first, that all possible steps should be taken to alleviate human suffering arising out of calamity and conflict; and second, that those affected by disaster have a right to life with dignity and therefore a right to assistance. SPHERE is three things: a handbook, a broad process of collaboration, and an expression of commitment to quality and accountability.

The initiative was launched in 1997 by a group of humanitarian NGOs and the Red Cross and Red Crescent movement, which framed a Humanitarian Charter and identified Minimum Standards to be attained in disaster assistance. This process led to the publication of the first SPHERE handbook in 2000. Taken together, the Humanitarian Charter and the Minimum Standards contribute to an operational framework for accountability in disaster assistance efforts.

The Minimum Standards and the key indicators have been developed using broad networks of practitioners in each of the sectors. Most of the standards, and the indicators that accompany them, are not new, but consolidate and adapt existing knowledge and practice. Taken as a whole, they represent a remarkable consensus across a broad spectrum, and reflect a continuing determination to ensure that human rights and humanitarian principles are realised in practice. Over 400 organisations in 80 countries worldwide have contributed to the development of the Minimum Standards and key indicators.

This new (2004) edition of the handbook has been significantly revised, taking into account recent technical developments and feedback from agencies using SPHERE in the field. In particular, a sixth sector, food security, has been added and integrated with those of nutrition and food aid. Another new chapter details a number of process standards common to all sectors. These include participation, assessment, response, targeting, monitoring, evaluation, and staff competencies and management. In addition, seven cross-cutting issues (children, older people, disabled people, gender, protection, HIV/AIDS and the environment) with relevance to all sectors have been taken into account.

Protection principles in the SPHERE Handbook

Source: *The SPHERE Project – Humanitarian Charter and Minimum Standards in Disaster Response*

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For more information visit: www.sphereproject.org or email: info@sphereproject.org

Core humanitarian protection concerns in this context are freedom from violence and from coercion of various kinds, and freedom from deliberate deprivation of the means of survival with dignity. These concerns give rise to four basic protection principles that inform all humanitarian action:

- **Principle 1:** avoid causing further harm as a result of your actions
- **Principle 2:** ensure people’s access to impartial assistance
- **Principle 3:** protection people from physical and psychological harm due to violence or coercion
- **Principle 4:** assist with rights claims, access to remedies, and recovery from abuse

Principle 1: avoid causing further harm as a result of your actions

Those involved in humanitarian response take steps to avoid or minimise any adverse effects of their intervention, in particular the risk of exposing people to increased danger or abuse of their rights. This principle includes the following elements:

- That the form of humanitarian assistance and the environment in which it is provided do not further expose people to physical hazards, violence or other rights abuse
- That assistance and protection efforts do not undermine the affected population’s capacity for self-protection.
- That humanitarian agencies manage sensitive information in a way that does not jeopardise the security of the informants or those who may be identifiable from the information

Guidance for assessing context and anticipating the consequences of humanitarian action for the safety and wellbeing of the disaster-affected population

- **Avoid becoming complicit in abuse of rights** – There may be difficult judgements and choices; for example, when faced with the decision whether to provide assistance to people who are detained in camps against their will. Such judgements must be made on a case-by-case basis, but they should always be reviewed over time as circumstances change
- **Checklist** – When analysing activities, regularly reflect on the following non-exhaustive list of questions, which could serve as a checklist, in terms of both the overall humanitarian response and specific actions:
 - What does the affected population gain by our activities?
 - What might be the unintended negative consequences of our activities for people’s security, and how can we avoid or minimise these consequences?
 - Do the activities take into consideration possible protection threats facing the affected population? Might they undermine people’s own efforts to protect themselves?
 - Do the activities discriminate against any group or might they be perceived as doing so? Do the activities protect the rights of people who have historically been marginalised or discriminated against?

- In protecting and promoting the rights of such groups, what will be the impact on relationships within and beyond the community?
- Could the activities exacerbate existing divisions in the community or between neighbouring communities?
- Could the activities inadvertently empower or strengthen the position of armed groups or other actors?
- Could the activities be subject to criminal exploitation?
- **Consult different segments of the affected population** – This organisations in their trust, to assess the positive and possible negative consequences of the overall response and specific activities
- **How assistance is provided may render people more vulnerable to attack** – For example, valuable commodities such as dry food rations, may be subject to looting and could put the recipients at risk of harm and deprivation. Consider providing alternative forms of assistance (e.g. provision of cooked food at kitchens or feeding centres) where this is a significant risk. Affected communities should be consulted on their preferred form of assistance
- **The environment in which assistance is provided should, as far as possible, be safe for the people concerned** – People in need should not be forced to travel to or through dangerous areas to access assistance. Where camps or other settlements are established, these should be made as safe as possible for the inhabitants and should be located away from areas that are subject to attack or other hazards.

Guidance on self-protection of affected populations

- **Understand how people try to protect themselves, their families and communities** – Support community self-help initiatives (see SPHERE’s [Protection Principle 3, guidance notes 13–14](#)). How humanitarian agencies intervene should not compromise people’s capacity to protect themselves and others – including moving to safer areas and avoiding contact with armed groups
- **Subsistence needs** – Help people find safe options for meeting their subsistence needs. This might include, for example, providing goods such as water, firewood or other cooking fuel that help people meet their daily needs without having to undertake hazardous and arduous journeys. This is likely to be a particular issue for older people, women, children and people with disabilities

Guidance on managing sensitive information

- **Protection-related data may be sensitive** – Humanitarian agencies should have clear policies and procedures in place to guide their staff on how to respond if they become aware of or witness abuses, and on the confidentiality of related information. Staff should be briefed on appropriate reporting of witnessed incidents or allegations
- **Referring sensitive information** – Consider referring information concerning abuses to appropriate actors with the relevant protection mandate. These actors may be present in other areas than where the information is found
- **A policy on referring sensitive information should be in place** – This should include incident reports or trends analysis. It should specify how to manage sensitive information and the circumstances under which information may be referred. As far as possible, agencies should seek the consent of the individuals concerned for the use of such information. Any referral of information should be done in a way that does not put the source of information or the person(s) referred to in danger.
- **The use of information collected should be clear** – Information on specific abuses and violations of rights should only be collected if its intended use is clear and the detail required is defined in relation to the intended use. Such protection information should be collected by agencies with a protection mandate or that have the necessary capacity, skills, systems and protocols in place. Collecting this information is subject to the condition of informed consent and, in all cases, the individual’s consent is necessary for the information to be shared with third parties.
- **Assess reactions to information** – The possible reaction of the government or other relevant authorities to the collection and use of information about abuses should be assessed. The need for the continuation of operations may have to be weighed against the need to use the information. Different humanitarian agencies may make different choices in this regard.

Principle 2: ensure people’s access to impartial assistance

People can access humanitarian assistance according to need and without adverse discrimination. Assistance is not withheld from people in need, and access for humanitarian agencies is provided as necessary to meet the SPHERE Standards. This principle includes the following elements:

- Ensure access for all parts of the affected population to humanitarian assistance.
- Any deliberate deprivation to parts of the population of the means of subsistence should always be challenged on the basis of relevant law and general humanitarian principles, as described in the Humanitarian Charter.

- Affected people receive support on the basis of need and are not discriminated against on other grounds.

Guidance on maintaining access

- Where the affected population is unable to meet their basic needs and the relevant authorities are unable to provide the necessary assistance themselves, the latter should not deny access for impartial humanitarian organisations to do so.
- Carefully monitor the access of the affected population to humanitarian assistance, especially of the most vulnerable people.
- Access to humanitarian assistance and freedom of movement are closely linked (see Protection Principle 3, guidance notes 7–9). The monitoring of access should consider obstacles, such as checkpoints, blockades or the presence of landmines. In situations of armed conflict, the parties may establish checkpoints, but these barriers should not discriminate between categories of affected people or unduly hinder people’s access to humanitarian assistance. Special measures should be taken to ensure equality of access for affected people in remote or inaccessible regions.
- Special measures to facilitate the access of vulnerable groups should be taken, while considering the context, social and cultural conditions and behaviours of communities. Such measures might include the construction of safe spaces for people who have been the victim of abuses, such as rape or trafficking, or putting in place means that facilitate access for people with disabilities. Any such measures should avoid the stigmatisation of these groups (see Core Standard 3, guidance notes 5–6).

Guidance on addressing the denial of assistance or of access to subsistence needs

- **The right to receive humanitarian assistance** – As elaborated in the Humanitarian Charter, the affected population has the right to receive humanitarian assistance.

Guidance on ensuring non-discrimination

- **Impartiality** – humanitarian agencies should prioritise the affected people they wish to assist on the basis of their need alone and provide assistance in proportion to need. This is the principle of impartiality affirmed in the Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief (see Annex 2 and also the Humanitarian Charter). Humanitarian agencies should not focus uniquely on a particular group (e.g. displaced people in camps) if this focus is at the detriment of another section of the affected population.
- Affected people do not need to have a special legal status in order to receive humanitarian assistance and to be protected.

Protection Principle 3: protection people from physical and psychological harm due to violence or coercion

People are protected from violence, from being forced or induced to act against their will and from fear of such abuse. This principle includes the following elements:

- Take all reasonable steps to ensure that the affected population is not subjected to violent attack, either by dealing with the source of the threat or by helping people to avoid the threat.
- Take all reasonable steps to ensure that the affected population is not subject to coercion, i.e. forced or induced to act against their will in ways that may cause them harm or violate their rights (for example the freedom of movement).
- Support the affected population’s own efforts to stay safe, find security and restore dignity, including community self-help mechanisms.

Guidance on protection from violence and coercion

- The primary responsibility to protect people from threats to their lives and safety rests with governments and other relevant authorities (see the Humanitarian Charter). In times of armed conflict, the parties engaged in conflict must protect the civilian population and those who have laid down their arms. In analysing the context in terms of the risks and threats for the population, humanitarian agencies should establish who has the legal responsibility and/or the actual capacity to provide protection.
- Help minimise other threats: This includes providing assistance in such a way as to make people more secure, facilitating people’s own efforts to stay safe or taking steps (through advocacy or otherwise) to reduce people’s exposure to risk.
- Monitoring and reporting: Humanitarian agencies should consider their responsibility to monitor and report grave violations of rights. They should also consider advocating for the rights of affected populations with relevant authorities and actors by reminding them of their obligations. They may use different modes of action including

diplomacy, lobbying and public advocacy, keeping in mind the guidance on managing sensitive information (see Protection Principle 1).

- During armed conflict, humanitarian agencies should consider monitoring the institutions that are specifically protected under international humanitarian law, such as schools and hospitals, and reporting any attacks on them. Agencies should also make efforts to reduce the risks and threats of abductions or forced recruitment that may happen in these locations.
- Where explosives pose a threat to the affected population, humanitarian agencies should coordinate with the relevant government authorities and specialised agencies on the removal of landmines and unexploded ordnance. This threat may be particularly present in situations where populations are returning to their home areas following an armed conflict.
- Political, law enforcement and military actors play significant roles in protecting people from abuses and violations. Ultimately, it is in the political realm where solutions can be found to the underlying problems that are often at the heart of protection concerns. Security and law enforcement agencies, for example the police and military forces, including peacekeeping forces, can and should play an important role in ensuring the physical security of people at risk. Agencies can alert the relevant actors to ongoing violations. Such interventions with military contingents, their commanding officers or the authorities under whose control these forces operate, may be an essential step in stopping violations by military forces.

Guidance on freedom of movement

- People should not be forced to stay in, or go to, a place that is not of their choice (such as a camp) nor should any other unreasonable restrictions be placed on their movement. Restrictions to freedom of movement and choice of residence should only be made if there are serious security or health reasons and should be proportional to the aim. At all times, people affected by conflict or disaster have the right to seek asylum.
- **Evacuations** – Humanitarian agencies should only be involved in evacuations as exceptional measures in extreme circumstances, where there is no other way of providing urgent assistance or protection in the face of severe threats to life, security and health.
- Incentives to remain in a dangerous place should not be provided to the affected population nor should their return or resettlement be promoted when they do not have full access to all information on the conditions in those areas.

Guidance on particular vulnerabilities to violence and coercion

- **Vulnerable people** – consideration should be given to individual, social and contextual factors in order to identify those most susceptible to certain risks and threats. Special measures may be needed for those facing particular risks, including women, children, people who have been forcibly displaced, older people, persons with disabilities, LGBTI community members, and religious or ethnic minority groups.
- **Safe environments for children** – Agencies should provide children with access to safe environments. Families and communities should receive support in their efforts to keep children safe and secure.
- Children, especially when separated from their families or not accompanied by an adult, can be more easily abused or exploited during disasters or conflict. Agencies should take all reasonable steps to prevent children from being recruited into armed forces and, if they are associated with armed forces, work on their immediate release and reintegration.
- Women and girls can be at particular risk of gender-based violence (GBV). When contributing to the protection of these groups, humanitarian agencies should particularly consider measures that reduce possible risks, including trafficking, forced prostitution, rape or domestic violence. They should also implement standards and instruments that prevent and eradicate the practice of sexual exploitation and abuse. This unacceptable practice may involve affected people with specific vulnerabilities, such as isolated or disabled women who are forced to trade sex for the provision of humanitarian assistance.

Guidance on a community-based social support and self-help

- Family and community mechanisms of protection and psychosocial support should be promoted by keeping families together, teaching people how to prevent children from becoming separated from their families, promoting appropriate care for separated children and organising family tracing and reunification processes for separated children and other family members. Wherever possible, keep families together and enable people from a particular village or support network to live in the same area.
- Community self-help activities should be supported. Such activities include, for example, women's groups addressing issues of GBV, youth groups collaborating on livelihood supports, parenting groups supporting positive interactions with children and care for parents of young children and of children with special needs, youth groups spreading

protective information on threats such as landmines and community groups reaching out to women and men who have lost their partners, older people, and people with disabilities.

Principle 4: assist with rights claims, access to remedies, and recovery from abuse

The affected population is helped to claim their rights through information, documentation and assistance in seeking remedies. People are supported appropriately in recovering from the physical, psychological and social effects of violence and other abuses. This principle includes the following elements:

- Support affected people to assert their rights and to access remedies from government or other sources, and provide them with information on their entitlements and available remedies.
- Assist affected people in securing the documentation they need to demonstrate their entitlements.
- Assist affected people to recover by providing community-based and other psychosocial support.

Guidance notes on supporting affected people in asserting their rights

- The government and other relevant authorities are responsible for ensuring that the rights of the affected population are respected and fulfilled. Whether through legal systems or other channels, humanitarian agencies should consider supporting affected populations to claim their rights.
- Agencies should inform affected people of their entitlements, both within a given aid programme and under the laws and regulations of the country in question. (Re-establishing people’s rights to housing, land and property must be given particular attention.
- Information and consultation: The affected population should be informed by authorities and humanitarian agencies in a language and manner they can understand. They should be engaged in a meaningful consultation process regarding decisions that affect their lives, without creating additional risks (see Core Standard 1). This is one way of assisting them to assert their rights.

Guidance on documentation

- **Securing or replacing lost documents** – Humanitarian agencies should assist the affected population in securing documentation – or replacing lost documents – to access their rights. People generally have rights regardless of possessing particular documentation. But to access the full range of entitlements, some form of documentation or identification, such as a birth certificate, marriage certificate, passport or land title, is usually required. Access to property documentation is often particularly important following a disaster, but in a number of countries ownership is not necessarily clearly documented through legal titles and can become a major point of contention. Death certificates need to be organised to avoid unnecessary financial and legal problems for relatives. Death certificates are not usually available when there is unceremonious disposal of corpses, a practice that should be avoided.
- Legal documentation recognised by the government or relevant authorities must not be confused with documents issued by humanitarian agencies, such as registration documents, ration cards or transportation vouchers. Official documentation issued by authorities should not determine who is eligible for assistance from humanitarian organisations.

Guidance on access to remedies

- People are entitled to seek legal and other redress from the government and relevant authorities for violations of their rights. This can include compensation for loss or restitution of property. They are also entitled to expect that the perpetrators of such violations will be brought to justice. This can play a major role in restoring trust and confidence among affected populations. Humanitarian agencies may be able to assist people in accessing justice or refer the issues to agencies that can provide such support.
- **Healthcare and rehabilitation support** – People should be supported in accessing appropriate healthcare and other rehabilitation support following attacks, GBV and related problems (see Essential health services – control of communicable diseases standard 3 and Essential health services – child health standards 1–2).
- Where remedial assistance is available from non-governmental sources, people should be helped to identify and access such assistance, where appropriate.
- Referral mechanisms among service providers may increase the access to the different available services, and as a consequence the level of general protection

Guidance on community-based and other psychosocial support

- **Coping mechanisms** – Positive communal coping mechanisms such as culturally appropriate burials, religious ceremonies and practices, and non-harmful cultural and social practices should be supported.
- **Activities for children** – Where appropriate, communities should be encouraged to organise structured, supportive educational and protective activities for children through non-formal means such as child-friendly spaces. Community protection mechanisms should include self-help activities that promote psychosocial wellbeing.
- **Psychosocial support** – Help organise appropriate psychosocial support for survivors of violence. Ensure that survivors have access to community social networks and self-help activities. Access to community-based social support should be complemented by access to mental healthcare.
- **Integrated support system** – agencies working on psychosocial support and mental health in various sectors should collaborate to build an integrated system of support for the population (see Essential health services – mental health standard 1).
- **Clinical support** – establish mechanisms for the referral of severely affected people for available clinical support.

What are protection threats?

Threats to civilians’ safety and dignity are called protection threats. They include threats of violence, coercion and deliberate deprivation. Violence, or the threat of violence, is a violation of civilians’ rights to physical integrity, but it also causes other violations by restricting people’s ability to meet their own needs (to access health services or exercise a subsistence activity, for example). Violence may lead to forced displacement within countries or across borders, creating internally displaced populations and refugees. Sexual violence is also a threat, especially for women. Coercion is forcing someone to do something against his or her will. Coercion normally occurs when a person with greater control of and/or access to resources forces another person to do something against their will in order to gain access to those resources. Deliberate deprivation is the purposeful restriction of access to resources. It also normally occurs when a person with greater power denies material or other resources (e.g. information or access) to someone who is more vulnerable.¹

What are the different levels of engagement of agencies in protection work?

Humanitarian actors can engage in protection work at a variety level of engagements.

Level of engagement	What does it mean?	Examples:
Stand-alone protection programming	Generally of considerable scale and scope, where protection is the primary objective. Such programmes tend to focus on one of the following core areas and are carried out by agencies with protection expertise (GBV prevention and response, child protection, housing, land and property, mine action, rule of law and justice).	Examples of ‘stand-alone’ programmes include child-friendly spaces in camps; a GBV response that supports legal, medical, security and psychosocial services for survivors of GBV; or a family tracing and reunification programme.
Integrated protection	Where specific protection activities or projects are integrated into a larger programme. The overall programme objective one will not usually relate to protection.	Typical ‘integrated’ activities might include community monitoring and reporting of protection threats; advocacy on protection; or the establishment of coordinated referral systems to link those in need with protection services. An integrated protection approach might have a small protection project focusing on rights awareness sessions as part of a larger WASH intervention, for example.
Protection as an approach (mainstream-ing)	Protection at this level focuses on how projects or programmes are delivered. This is essentially good quality programming.	The Global Protection Cluster defines protection mainstreaming as the process of incorporating protection principles and promoting meaningful access, safety and dignity in all humanitarian aid.

Source: adapted from Trócaire Humanitarian Protection Handbook 2014, p.6

¹ Church World Service (CWS) Protection Mainstreaming Manual, 2012 edition

ACTIVITY #11

You and protection (Slide 69)

1. Find your group (groups of 4):
 - You have one of the following:
 - The name of an international declaration, convention, or covenant
 - A year
 - A description of an international declaration, convention, or covenant
 - The information on which state parties have signed or taken no action on an international declaration, convention, or covenant
 - Find the three other members that are your match
 - Example:
 - Person 1 = The Universal Declaration of Human Rights (UDHR)
 - Person 2 = 1948
 - Person 3 = The first human rights instrument developed by the United Nations, establishes the main civil, political, economic, social and cultural rights to which all persons are entitled, without discrimination of any kind. Although not a binding instrument in itself, many of its principles constitute customary law and/or have been incorporated into treaties, thus gaining binding force. (IDP Handbook, p. 21)
 - Person 4 =
 - 192 – State parties
 - 0 – Signatories
 - 0 – No action
2. These groups were made so you can learn about international covenants, conventions, and declarations related to protection. Note that there are maps hanging in the room to help you answer who is your pair. Once you have found your pair, knowing the declaration, convention, or covenant is not related to the activity you have to discuss. This mini-activity is merely a way to put you into groups.
3. In your groups, discuss a current protection activity you are doing in the field.
4. In your discussion, highlight your roles and responsibly as a protection or IM actor in ensuring this activity occurs.

If you wish, you can use the box below to make notes about your roles/responsibilities as a protection/IM actor.

Add your notes:

Additional notes related to Module 2.2

The Limits of International Law

Source: Ikenberry, G. John. 'The Limits of International Law.' *Foreign Affairs*. 9 Aug. 2016. Web. 9 Aug. 2016.

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For more information visit: Retrieved from www.foreignaffairs.com/reviews/capsule-review/2005-03-01/limits-international-law

Scholars have long debated why and when states comply with international law; one widely held view is that states do so out of a sense of moral obligation or a desire for legitimacy. This elegantly argued book by two noted law professors offers a simpler and more instrumental explanation: states agree to and follow international law only when it is in their national self-interest. Using elementary game theory, they build a framework that sees international law primarily as a tool for states seeking to solve 'games' of cooperation. In their view, much of international law thus reflects a coincidence of interests rather than the embodiment of obligatory universal norms. The book has the virtues and liabilities of all simple rationalist theories. It

neatly organizes a wide array of international rules and institutions and traces it all back to self-interested states. It also joins the effort to build bridges between the traditionally separate worlds of international law and international relations. But it leaves unexamined the deeper questions of how and why states--particularly modern democracies--define their interests the way they do.

The Limits of International Law

Source: Jack L. Goldsmith, Professor of Law, Harvard Law School, and Eric A. Posner, Kirkland & Ellis Professor of Law, University of Chicago

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For more information visit: <https://global.oup.com/academic/product/the-limits-of-international-law-9780195314175?cc=ch&lang=en&#>

International law is much debated and discussed, but poorly understood. Does international law matter, or do states regularly violate it with impunity? If international law is of no importance, then why do states devote so much energy to negotiating treaties and providing legal defences for their actions? In turn, if international law does matter, why does it reflect the interests of powerful states, why does it change so often, and why are violations of international law usually not punished?

In this book, Jack Goldsmith and Eric Posner argue that international law matters but that it is less powerful and less significant than public officials, legal experts, and the media believe. International law, they contend, is simply a product of states pursuing their interests on the international stage. It does not pull states towards compliance contrary to their interests, and the possibilities for what it can achieve are limited. It follows that many global problems are simply unsolvable.

The book has important implications for debates about the role of international law in the foreign policy of the United States and other nations. The authors see international law as an instrument for advancing national policy, but one that is precarious and delicate, constantly changing in unpredictable ways based on non-legal changes in international politics. They believe that efforts to replace international politics with international law rest on unjustified optimism about international law's past accomplishments and present capacities.

Fragmentation of International Law?

Source: Martti Koskeniemi and Päivi Leino (2002). *Fragmentation of International Law? Postmodern Anxieties*. *Leiden Journal of International Law*, 15, pp 553-579. doi:10.1017/S0922156502000262

All content in this section is copyrighted to Kluwer Law International, 2002

For more information visit: <http://journals.cambridge.org/action/displayAbstract?fromPage=online&aid=287424>

Successive International Court of Justice presidents have expressed concern about the proliferation of international tribunals and substantive fragmentation of international law. This is not a new phenomenon. International law has always lacked a clear normative and institutional hierarchy. The problem is more how new institutions have used international law to further new interests, especially those not predominant in traditional law. The anxiety among ICJ judges should be seen less as a concern for abstract 'coherence' than a worry about the demise of traditional principles of diplomatic law and the Court's privileged role as their foremost representative. As jurisdictional conflicts reflect divergent political priorities, it is unclear that administrative co-ordination can eliminate them. This does not, however, warrant excessive worries over fragmentation; it is an institutional expression of political pluralism internationally.

Types of protection threats

Source: *Improving the Safety of Civilians – A Protection Training Pack*

All content in this section is copyrighted to Oxfam 2009

For more information visit: www.policy-practice.oxfam.org.uk/publications/improving-the-safety-of-civilians-a-protection-training-pack-115396

Where there is a threat and people are vulnerable they are at risk. The more often people face threats, the higher the risk. Oxfam outlines three types of threats and provides examples:

- **Violence:** the act of violence or the fear of violence
Examples: Deliberate killing, wounding, and torture; cruel, inhuman, and degrading treatment; sexual violence; the threat or fear of any of the above
- **Coercion:** forcing someone to do something against their will
Examples: forced position; sexual slavery; sexual exploitation; forced or compulsory labour; forced displacement or return; restriction of movement; prevention of return; forced recruitment; being forced to commit acts of violence against others

- **Deprivation:** stopping people from accessing the goods and services they need to survive

Examples: destruction of homes, crops, wells, clinics, and schools; preventing access to land and markets; preventing delivery of relief supplies; deliberate discrimination in access to poverty, land, jobs, and services; illegal ‘taxation’ or tolls

Most common humanitarian situation with protection concerns

Source: *Protection – An ALNAP Guide for Humanitarian Agencies, 2004*

All content in this section is copyrighted to Hugo Slim (*Humanitarian Dialogue*) and Andrew Bonwick (*Oxfam*)

For more information visit: www.alnap.org/pool/files/alnap-protection-guide.pdf (pp.22–3)

Protection needs arise in a variety of situations in which humanitarian agencies tend to be involved, but particularly perhaps in five main situations:

1. Armed conflict – either international or non-international armed conflict in which the civilian population suffers a range of deliberate violations and abuses as well as the terrible but unintended consequences of war.
2. Post-conflict situations – in which a peace has been agreed but the effective rule of law is not yet complete, so that violations and abuses persist and conditions frequently remain life threatening and personally degrading.
3. Natural disasters – in which a natural hazard combines with poverty and social vulnerability to render people materially, personally, and socially at extreme risk.
4. Famine – where drought, discrimination, political mismanagement and/or deliberate starvation cause severe food shortages, destitution and severe economic, social and personal risk.
5. Protracted social conflict – civil strife or political oppression that falls short of official armed conflict, but nevertheless involves a crisis in which discrimination, violence, exploitation and impoverishment are constant risks.

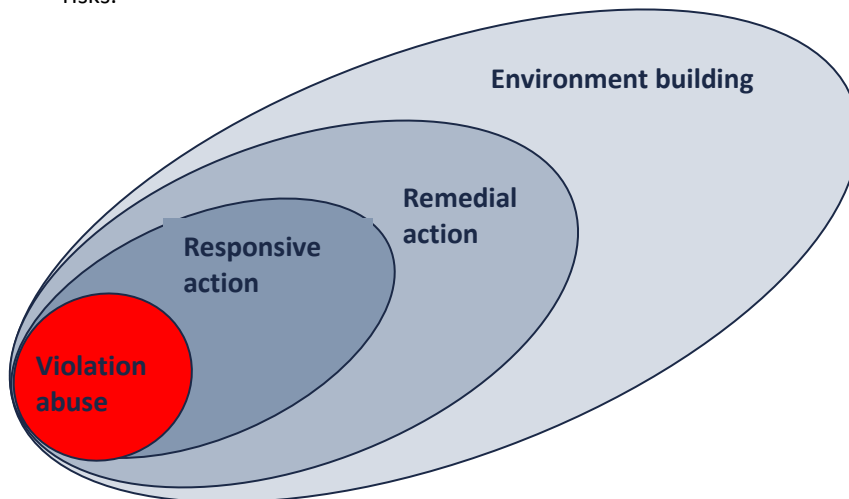


Figure 1 The Protection Egg Framework

Additional: Protection Egg Framework

Source: *Protection – An ALNAP guide for humanitarian agencies, 2004*

All content in this section is copyrighted to Hugo Slim (*Humanitarian Dialogue*) and Andrew Bonwick (*Oxfam*)

For more information visit: www.alnap.org/pool/files/alnap-protection-guide.pdf (p.42)

One widely recognised model of protection among humanitarian agencies is the so-called egg model which emerged from the interagency discussions on protection lead by the International Committee of the Red Cross (ICRC). This model uses the shape of an egg to think strategically about the different spheres of action in which protection needs to be addressed and the different types of activities required to meet protection needs. ALNAP describe spheres of action from the point of violation:

1. The most immediate sphere of action is closest to the victims (or survivors) and the pattern of abuse to which they are subjected. This sphere demands a range of responsive action that aims to stop, prevent, or alleviate the worst effects of the abuses.
2. Moving further outwards, the second sphere is more restorative and is concerned to assist and support people after violations while they live with the subsequent effects of a particular pattern of abuse. This sphere of action involves a range of remedial action to help (or support) people recover.
3. The third sphere of action is further away still from the point of violation and is concerned with moving society as a whole towards protection norms that will prevent or limit current and future violations and abuses. This is the most long-term and structural sphere of action and requires environment-building action that consolidates political, social, cultural, and institutional norms conducive to protection.

The Onion

Source: *Safety with dignity, Integrating Community-based protection into humanitarian programming, 2010*

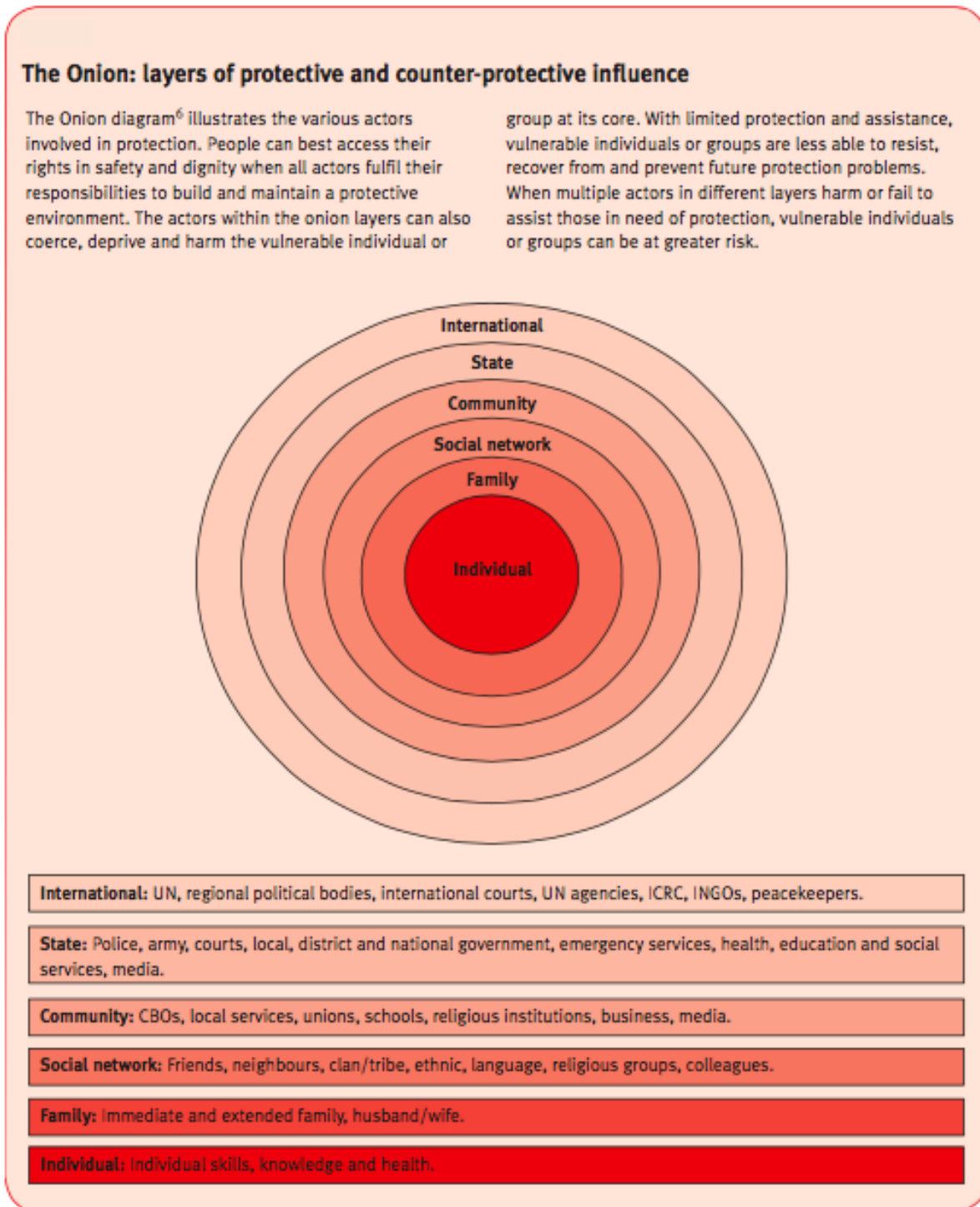
Published in: *Humanitarian Practice Network (HPN)*

All content in this section is copyrighted to *Kate Berry and Sherryl Reddy*

For more information visit: www.drc.dk/media/2113387/hpn-paper_community-protection.pdf

This image was adapted from child rights/child protection frameworks. See, for example, *Child Rights Programming Handbook*, Save the Children Alliance (2002). Safety with Dignity has developed this framework into a stakeholder analysis tool called 'The Onion' (Tool 9).

Figure 2 The Onion: layers of protective and counter-protective influence



Humanitarians' Role in Protection

Source: *Protection – What is it Anyway?*, 2016

All content in this section is copyrighted to the Global Protection Cluster and UNHCR

For more information visit:

www.globalprotectioncluster.org/assets/files/field_support/PC%20Coordination%20Toolbox/communication_package_on_protection/protection-what-is-it-anyway-en.pdf

In the face of immediate danger, people will often take the first action to keep themselves and their families safe, and all humanitarians have a role in supporting them. That can seem daunting, but the reality is that protection in humanitarian action is fundamentally about supporting people stay safe from – and recover from – the harm that others might do them: broadly violence, coercion and abuse. We don't have to be legal experts to help protect people from harm.

In fact, if you're a humanitarian then you're already having an impact on protection, even if you're not aware of it. Every humanitarian intervention has the potential to reduce the risks people face or to make things worse for them.

The way we design and implement a humanitarian response will determine whether we put people at greater risk – or help keep them from harm. In any area of humanitarian action, protection can help us achieve better outcomes for people in need. Taking a protection perspective in our work can help us identify risks that would otherwise limit the impact of what we do, find ways of addressing them in our programme, and refer them to protection specialists when we can't. This is not something humanitarians can do on their own. Ours is a complementary role, and it involves awareness of and cooperation with others. Understanding who is responsible for what in protecting people in crisis is essential if humanitarian organisations are to play their part effectively. We look at some of the key responsibilities in the next section.

International instruments

Source: *United Nations – Treaty Collection*, 2016

All content in this section is copyrighted to the United Nations Treaty Collection

For more information visit: www.treaties.un.org/Pages/Overview.aspx?path=overview/definition/page1_en.xml

There are several types of international instruments and several ways state actors can provide consent. This section seeks to provide a basic – but not an exhaustive – overview of the key international instruments. The purpose is to facilitate a general understanding of their scope and function.

Over the past centuries, state practice has developed a variety of terms to refer to international instruments by which states establish rights and obligations among themselves. The terms most commonly used are the subject of this overview. However, a fair number of additional terms have been employed, such as 'statutes', 'covenants', 'accords' and others. In spite of this diversity of terminology, no precise nomenclature exists. In fact, the meaning of the terms used is variable, changing from state to state, from region to region, and from instrument to instrument. Some of the terms can easily be interchanged: an instrument that is designated 'agreement' might also be called 'treaty'.

The title assigned to such international instruments thus has normally no overriding legal effects. The title may follow habitual uses or may relate to the particular character or importance sought to be attributed to the instrument by its parties. The degree of formality chosen will depend upon the gravity of the problems dealt with and upon the political implications and intent of the parties.

Agreements

The term 'agreement' can have a generic and a specific meaning. It also has acquired a special meaning in the law of regional economic integration.

Agreement as a generic term: the 1969 Vienna Convention on the Law of Treaties employs the term 'international agreement' in its broadest sense. On the one hand, it defines treaties as 'international agreements' with certain characteristics. On the other hand, it employs the term 'international agreements' for instruments, which do not meet its definition of 'treaty'. Its Art. 3 refers also to 'international agreements not in written form'. Although such oral agreements may be rare, they can have the same binding force as treaties, depending on the intention of the parties. An example of an oral agreement might be a promise made by the minister of foreign affairs of one state to their counterpart in another state. The term 'international agreement' in its generic sense consequently embraces the widest range of international instruments.

Charters

The term 'charter' is used for particularly formal and solemn instruments, such as the constituent treaty of an international organisation. The term itself has an emotive content that goes back to Magna Carta of 1215. Well-known recent examples are the Charter of the United Nations of 1945 and the Charter of the Organization of American States of 1952.

Conventions

The term ‘convention’ again can have a generic and a specific meaning. *Convention as a generic term*: Art. 38 (1) (a) of the Statute of the International Court of Justice refers to ‘international conventions, whether general or particular’ as a source of law, apart from international customary rules and general principles of international law and – as a secondary source – judicial decisions and the teachings of the most highly qualified publicists. This generic use of the term ‘convention’ embraces all international agreements, in the same way as does the generic term ‘treaty’.

Memoranda of understanding

A memorandum of understanding is an international instrument of a less formal kind. It often sets out operational arrangements under a framework international agreement. It is also used for the regulation of technical or detailed matters. It is typically in the form of a single instrument and does not require ratification. They are entered into either by states or international organisations. The UN usually concludes memoranda of understanding with member states to organise its peacekeeping operations or to arrange UN conferences. The UN also concludes memoranda of understanding on cooperation with other international organisations.

Protocols

The term ‘protocol’ is used for agreements less formal than those entitled ‘treaty’ or ‘convention’.

Signatories and parties

The term ‘parties’, which appears in the header of each treaty, in the publication Multilateral Treaties Deposited with the secretary-general, includes both ‘contracting states’ and ‘parties’. For general reference, the term ‘contracting states’ refers to states and other entities with treaty-making capacity that have expressed their consent to be bound by a treaty where the treaty has not yet entered into force or where it has not entered into force for such states and entities; the term ‘parties’ refers to states and other entities with treaty-making capacity that have expressed their consent to be bound by a treaty and where the treaty is in force for such states and entities.

Treaties

The term ‘treaty’ can be used as a common generic term or as a particular term that indicates an instrument with certain characteristics. *Treaty as a generic term*: the 1969 Vienna Convention defines a treaty as ‘an international agreement concluded between States in written form and governed by international law, whether embodied in a single instrument or in two or more related instruments and whatever its particular designation’. The 1986 Vienna Convention extends the definition of treaties to include international agreements involving international organisations as parties. In order to speak of a ‘treaty’ in the generic sense, an instrument has to meet various criteria. Firstly, it has to be a binding instrument, which means that the contracting parties intended to create legal rights and duties. Secondly, the instrument must be concluded by states or international organisations with treaty-making power. Thirdly, it has to be governed by international law. Finally the engagement has to be in writing. Even before the 1969 Vienna Convention, the word ‘treaty’ in its generic sense had been generally reserved for engagements concluded in written form. Different actors – locally, nationally, regionally, and globally – have chosen to implement different instruments to provide protection. From implementing institutions – as the African Union did with the establishment of the African Court on Human and People’s Rights – to creating documents – as the South Asian Association for Regional Cooperation did with the creation of the Convention on the Promotion of Welfare of Children.

For more information on mechanisms created by regional organisation, we suggest you read the following (located on your USB): **Regional Organisation and Humanitarian Practices** by M. Herz and R. Summa (2014). The article looks into the institutional mechanisms for protection at a regional level.

Types of commitments to international instruments

Source: *United Nations Library, 2016*

All content in this section is copyrighted to the United Nations Library

Source: www.ask.un.org/faq/14594

There are limits to the creation of any piece of legislation developed, especially legislation developed between international state actors. Humanitarian actors should know how the state actors in their context have reacted to international agreements. Examples include: signing, ratification, acceptance, approval, accession, and succession. A full list of terms related to treaty actions can be found in the Vienna Convention on the Law of Treaties 1969.

Signature ad referendum

Representatives may sign a treaty *ad referendum*, i.e. under the condition that the signature is confirmed by their states. In this case, the signature becomes definitive once it is confirmed by the responsible organ.

[Art.12 (2) (b), Vienna Convention on the Law of Treaties 1969]

Signature subject to ratification, acceptance or approval

Where the signature is subject to ratification, acceptance or approval, the signature does not establish the consent to be bound. However, it is a means of authentication and expresses the willingness of the signatory state to continue the treaty-making process. The signature qualifies the signatory state to proceed to ratification, acceptance or approval. It also creates an obligation to refrain, in good faith, from acts that would defeat the object and the purpose of the treaty.

[Arts 10 and 18, Vienna Convention on the Law of Treaties 1969]

Acceptance or approval

The instruments of ‘acceptance’ or ‘approval’ of a treaty have the same legal effect as ratification and consequently express the consent of a state to be bound by a treaty. In the practice of certain states, acceptance and approval have been used instead of ratification when, at national level, constitutional law does not require the treaty to be ratified by the head of state.

[Arts.2 (1) (b) and 14 (2), Vienna Convention on the Law of Treaties 1969]

Ratification

Ratification defines the international act whereby a state indicates its consent to be bound by a treaty if the parties intended to show their consent by such an act. In the case of bilateral treaties, ratification is usually accomplished by exchanging the requisite instruments, while in the case of multilateral treaties the usual procedure is for the depositary to collect the ratifications of all states, keeping all parties informed of the situation. The institution of ratification grants states the necessary time-frame to seek the required approval for the treaty on the domestic level and to enact the necessary legislation to give domestic effect to that treaty.

[Arts.2 (1) (b), 14 (1) and 16, Vienna Convention on the Law of Treaties 1969]

Accession

‘Accession’ is the act whereby a state accepts the offer or the opportunity to become a party to a treaty already negotiated and signed by other states. It has the same legal effect as ratification. Accession usually occurs after the treaty has entered into force. The secretary-general of the UN, in his function as depositary, has also accepted accessions to some conventions before their entry into force. The conditions under which accession may occur and the procedure involved depend on the provisions of the treaty. A treaty might provide for the accession of all other states or for a limited and defined number of states. In the absence of such a provision, accession can only occur where the negotiating states have agreed or subsequently agree on it in the case of the state in question.

[Arts.2 (1) (b) and 15, Vienna Convention on the Law of Treaties 1969]

For more glossary terms, visit the UN Treaty Collection’s **Glossary of terms relating to Treaty actions**. The UN Treaty Collection also has a webpage with **Definition of key terms used in the UN Treaty Collection**.

States following international instruments

For a more exhaustive list of how states have followed international instruments, refer to the **ICRC: Treaties and State Parties Excel spreadsheet** on the USB.

- A ‘state party’ to a treaty is a state that has expressed its consent, by an act of ratification, accession or succession, and where the treaty has entered into force (or a state about to become a party after formal reception by the UN Secretariat of the state’s decision to be a party). When a State ratifies one of the international human rights treaties, it assumes a legal obligation to implement the rights recognised in that treaty. Through ratification, states undertake to put in place domestic measures and legislation compatible with their treaty obligations. The state also commits to submitting regular reports on how the rights are being implemented to the monitoring committee set up under that treaty. Most of the committees can, under certain conditions, receive petitions from individuals who claim that their rights under the treaties have been violated. The state party must have recognised the competence of the committee to consider such complaints from individuals either by becoming a party to an optional protocol or by making a declaration to that effect under a specific article of the treaty. This indicator is a structural indicator in the Office of the United Nations High Commissioner for Human Rights (OHCHR) methodology for human rights indicators (HRI/MC/2008/3)
- A ‘signatory’ to a treaty is a state that has provided a preliminary endorsement of the instrument and its intent to examine the treaty domestically and consider ratifying it.
- ‘No action’ means that a state has not expressed its consent.

Summary of key declarations, conventions, and covenants

Name	Date	Summary	Signed or no action	Limits
The Universal Declaration of Human Rights (UDHR)	1948	The first human rights instrument developed by the UN, establishes the main civil, political, economic, social, and cultural rights to which all persons are entitled, without discrimination of any kind. Although not a binding instrument in itself, many of its principles constitute customary law and/or have been incorporated into treaties, thus gaining binding force (IDP Handbook, p.21) www.ohchr.org/EN/UDHR/Documents/UDHR_Translations/eng.pdf	192 – State parties 0 – Signatories 0 – No action	All state parties
International Convention on the Elimination of All Forms of Racial Discrimination (ICERD)	1965	Prohibits racial discrimination: when a person or group is treated differently because of race, colour, descent, national origin or ethnic origin with the aim or effect of denying their human rights and fundamental freedoms (IDP Handbook, p.22) www.ohchr.org/Documents/ProfessionalInterest/cerd.pdf	177 – State parties 6 – Signatories 14 – No action	No action from: Myanmar South Sudan
International Covenant on Civil and Political Rights (ICCPR)	1966	Sets forth a broad catalogue of civil and political rights, including the rights to life, physical integrity, recognition before the law, political participation, freedom of movement and choice of residence, and protection of the family (IDP Handbook, p.22) http://www.unhcr.org/protection/idps/4c2355229/handbook-protection-internally-displaced-persons.html	168 – State parties 7 – Signatories 22 – No action	No action from: Myanmar South Sudan
International Covenant on Economic, Social and Cultural Rights (ICESCR)	1966	Sets out economic, social, and cultural guarantees, including the rights to adequate food, shelter, clothing, health care, an adequate standard of living, and guarantees concerning work, social welfare, education, and participation in cultural life (IDP Handbook, p.22) www.ohchr.org/Documents/ProfessionalInterest/cescr.pdf	164 – State parties 6 – Signatories 27 – No action	No action from: South Sudan
Convention on the Elimination of All Forms of Discrimination against Women (CEDAW)	1979	Sets out a framework for national action for ensuring women enjoy, on an equal footing with men, their rights in all fields, including employment, education and administration of property, and for ensuring the protection of women, especially against threats to their physical safety and against rape and sexual exploitation (IDP Handbook, p.23) www.ohchr.org/Documents/ProfessionalInterest/cedaw.pdf	189 – State parties 2 – Signatories 6 – No action	Only a signatory: USA No Action from: Somalia Sudan
Convention against Torture and Other Cruel, Inhuman, or Degrading Treatment or Punishment (CAT)	1984	Defines and prohibits torture under all circumstances. Stipulates that states cannot transfer a person to another state if there are grounds for believing that s/he will be tortured (IDP Handbook, p.22) www.ohchr.org/Documents/ProfessionalInterest/cat.pdf	159 – State parties 10 – Signatories	Only a signatory: Sudan No action from: Myanmar

			28 – No action	
Convention on the Rights of a Child (CRC)	1989	<p>A comprehensive code to protect the rights and best interests of children (below 18 years of age). Obliges states to take measures to ensure protection, care, psychological recovery, and social reintegration of children affected by armed conflict, including unaccompanied or separated children. The Optional Protocol on the involvement of children in armed conflict prohibits compulsory recruitment and direct use in hostilities of persons under 18 (IDP Handbook, p.23)</p> <p>www.ohchr.org/Documents/ProfessionalInterest/crc.pdf</p>	<p>196 – State parties</p> <p>1 – Signatories</p> <p>0 – No action</p>	<p>Only a signatory: USA</p>
Convention on the Rights of Persons with Disabilities	2001	<p>Reaffirms human rights and emphasises their particular importance to persons living with disabilities. Also provides guidance to states on ways to ensure that those with disabilities, including survivors of landmines and explosive remnants of war, can exercise their rights on a full and equal basis with others (IDP Handbook, p.23)</p> <p>www.ohchr.org/Documents/HRBodies/CRPD/CRPD_ENG.pdf</p>	<p>162 – State parties</p> <p>25 – Signatories</p> <p>11 – No action</p>	<p>Only a signatory: USA</p> <p>No Action from: Somalia South Sudan</p>

Regional instruments

Title	Date ratified
African Charter on the Rights and Welfare of the Child	1990
Inter-American Convention on the Prevention Punishment and Eradication of Violence against Women (Convention of Belem do Para)	1994
Inter-American Convention on International Traffic in Minors	1994
Inter-American Convention on the Elimination of all Forms of Discrimination against Persons with Disabilities	1999
Protocol to the African Charter on Human and Peoples' Rights on the Rights of Women in Africa	2003
Organisation of the Islamic Conference (OIC) Covenant on the Rights of the Child in Islam	2005
Council of Europe Convention on Action against Trafficking in Human Beings	2005
African Youth Charter	2006
Kampala Convention: The African Union Convention for the Protection and Assistance of Internally Displaced Persons in Africa	2009
The International Conference on the Great Lakes Region (ICGLR), Kampala Declaration on Sexual and Gender-Based Violence in Africa	2011

Where to get more information

General

- **Protection: An ALNAP guide for humanitarian agencies** – An introduction to the fundamental concepts of humanitarian protection: www.alnap.org/pool/files/alnap-protection-guide.pdf
- **SPHERE Protection Principles** – Concise overview of key concepts and practical guidance for taking protection on board throughout humanitarian action: www.spherehandbook.org/en/how-to-use-this-chapter-5/ or <http://www.sphereproject.org/resources/sphere-essentials/>
- **ICRC Professional Standards for Protection Work** – Minimum standards for various aspects of protection in situations of violence and conflict, including data management, interaction with human rights organisations and peacekeeping missions, and results-based management of protection strategies: www.icrc.org/eng/resources/documents/publication/p0999.htm
- **Oxfam GB, Improving the Safety of Civilians: A Humanitarian Protection Training Pack** – Practical introduction to protection mainstreaming and programming for emergency response professionals, adaptable to various levels of prior knowledge: www.policy-practice.oxfam.org.uk/publications/improving-the-safety-of-civilians-a-protection-training-pack-115396
- **ActionAid, Safety with Dignity: A field manual for integrating community-based protection across humanitarian programmes** – Community-focused field guide, strong on tools and clear, practical guidance: www.actionaid.org/publications/safety-dignity-field-based-manual-integrating-community-based-protection-across-humanit
- **Global Protection Cluster website** – Basic information, latest materials, contact details of resource people: www.globalprotectioncluster.org
- **Protection Starter Kit** – This compilation of basic protection and protection-related documents has been developed on the request of, and to benefit newly recruited UNHCR staff: http://www.refworld.org/protection_kit.html

Mainstreaming protection

- **Inter-Agency Standing Committee Minimum Inter-Agency Standards for Protection Mainstreaming** – Core principles and practical guidance for applying them across six core sectors of humanitarian action:
www.reliefweb.int/sites/reliefweb.int/files/resources/Full_Report_3752.pdf
- **Global Protection Cluster Protection Mainstreaming Training Package** – Full training pack for use with humanitarian teams and government staff
www.globalprotectioncluster.org/assets/files/aors/protection_mainstreaming/PM_training/1_GPC_Protection_Mainstreaming_Training_Package_FULL_November_2014.pdf

Ethics

- **Code of Conduct for Red Cross and NGOs (1994)** – Standards of behaviour for humanitarian actors, which include non-discrimination; no political or religious motivation; respect and dignity; participation of population; and accountability <http://www.ifrc.org/en/publications-and-reports/code-of-conduct/>
- **Do No Harm (1994)** – To understand and mitigate the negative impact of aid
- **SPHERE Project (2011)** – A Humanitarian charter of common principles, rights, and duties; including the right to life with dignity, right to receive humanitarian assistance, and the right to protection - <http://www.sphereproject.org/>
- **Humanitarian Accountability Partnership (2003)** – The responsible use of power by humanitarian actors, outlines principles developed into Humanitarian Accountability and Quality Management Standards - www.alnap.org/pool/files/2010-hap-standard-in-accountability.pdf
- **Professional Standards for Protection Work (2013)** – Outlines overarching principles in protection working, managing protection strategies, promoting complementarity, and ensuring professional capacity - <https://www.icrc.org/eng/assets/files/other/icrc-002-0999.pdf>
- **Secretary-General's Bulletin (2003)** – Special Measures for Protection from Sexual Exploitation and Sexual Abuse: www.refworld.org/docid/451bb6764.html

Additional trainings to consider

SPHERE

- E-learning course (available in English, Arabic, French, and Spanish) <http://www.sphereproject.org/learning/e-learning-course/>

Danish Refugee Council

- Annual training for protection officers in the Danish Refugee Council

Global Protection Cluster

- Protection in Practice Workshop

OCHA

- Inter-Agency Protection Capacity Training

Oxfam

- Improving the Safety of Civilians: A Protection Training Pack (2009)

MODULE 2.3 – INFORMATION MANAGEMENT

Core competency – Attitude: is able to scope and manage expectations of IM

Module objectives (Slide 72)

This module will:

- Explain the difference between data, information, and knowledge
- List the IM building blocks (or IM cycle)
- List challenges for each IM building block
- List solutions of each IM building block
- Explain how IM supports protection clusters develop a more informed protection response

Module learning outcomes

- PIM champions can state how data leads to information and both lead to knowledge
- PIM champions can list the six IM building blocks (or IM cycle)
- PIM champions can list one key question and one key tip for every IM building block (or IM cycle stage)

What is needed to make an informed response plan? (Slide 74)

Add your notes:

What is data? (Slide 75)

Add your notes:

ACTIVITY #12

What is data? (Slide 76)

1. Look at the pieces of paper
2. Have a discussion (three minutes) at your tables about ‘Which of these pieces of paper are data?’
3. Decide which of the pieces of paper are data
4. After three minutes, hold up the images that are data

ACTIVITY #13

Should you make a decision based on this data? (Slide 77)

1. 12, 846
2. Aleppo
3. Latrines
4. Schools



5.

What is information? (Slides 78–79)

Add your notes:

ACTIVITY #14

Should you make a decision based on this information? (Slide 80)

‘In 2014, 12,846 schools reported damaged latrines in Syria.’

What is knowledge? (Slide 83)

Add your notes:

What is IM? (Slide 85)

Definition source: Humanitarian Information Management Document: A focus on the role of information management officers, Gavin Wood (EMOPS – UNICEF)

Contact information for definition: gwood@unicef.org

Definition of IM: IM means the collection, analysis, reporting, storage and sharing of humanitarian information in a coordinated, systematic, and transparent way

Why is IM important? (Slide 86)

- To ensure that relevant information related to a humanitarian emergency is provided to the accurate person at the accurate time in a usable form to facilitate situational understanding and decision making.
- Information is the foundation on which decision making for a coordinated and effective response is based

How does IM support effective humanitarian response in emergencies? (Slide 87)

IM can:

1. Provide analysis
2. Support decision making
3. Support coordination processes and response
4. Provide a common operational picture
5. Provide relevant and accurate information in a timely fashion
6. Benefit early recovery and later activities

What are the steps in an IM cycle? (Slides 88–89)

There are six IM systems: collect, process, analyse, store, share, and use.

ACTIVITY #15

IM (Slide 90)

1. Look in your folder for a business card that has either the name of a UN agency or a cluster
 - To form groups you need to find agency leads which cluster
2. Go outside
3. Find the name of the cluster on a flip chart that has the cluster
 - Note: the cluster has no part in the activity, it's merely a way to organise you into groups and test your knowledge on clusters
4. You will be at a flip chart where you will have to identify the challenges and solutions with each stage of the IM cycle:
 - Write a challenge and the solution (there are two pairs for every challenge)
 - In the solution, specifically identify the role a protection/IM actor has in it
 - Then, join the 'other' group that had your similar challenge and compare
 - Afterwards, take your workbooks and note the responses in silence (p.38) in the table below
 - Facilitators will walk around the room to confirm and correct 'solutions' (with green stickers)
 - We will join in plenary to have a discussion
5. Example: 'To store'

Challenge	Solution
1. GBV information is sensitive and hard to keep	1a. Protection actor identifies what is sensitive and IM actor provides a coding system to ensure nothing personal/identifiable is written down 1b. All files (electronic and hard) are locked with a password and key

	Challenges	Solutions
To Collect		
To Process		
To Analyse		
To Store		
To Share		
To Use		


ACTIVITY #16

You and IM (Slide 91)

1. Find your pairs
 - You have either a country or flag
 - Find the match to your pair
 - Example: Person 1 = Australia

Person 2 =



2. In your pairs, discuss  an IM activity that you are currently doing in the field
3. In your discussion, highlight the roles and responsibilities of each actor to ensure this occurs

If you wish, make notes on your roles/responsibilities as a protection/IM actor in the box below.

Add your notes:

Additional notes related to Module 2.3

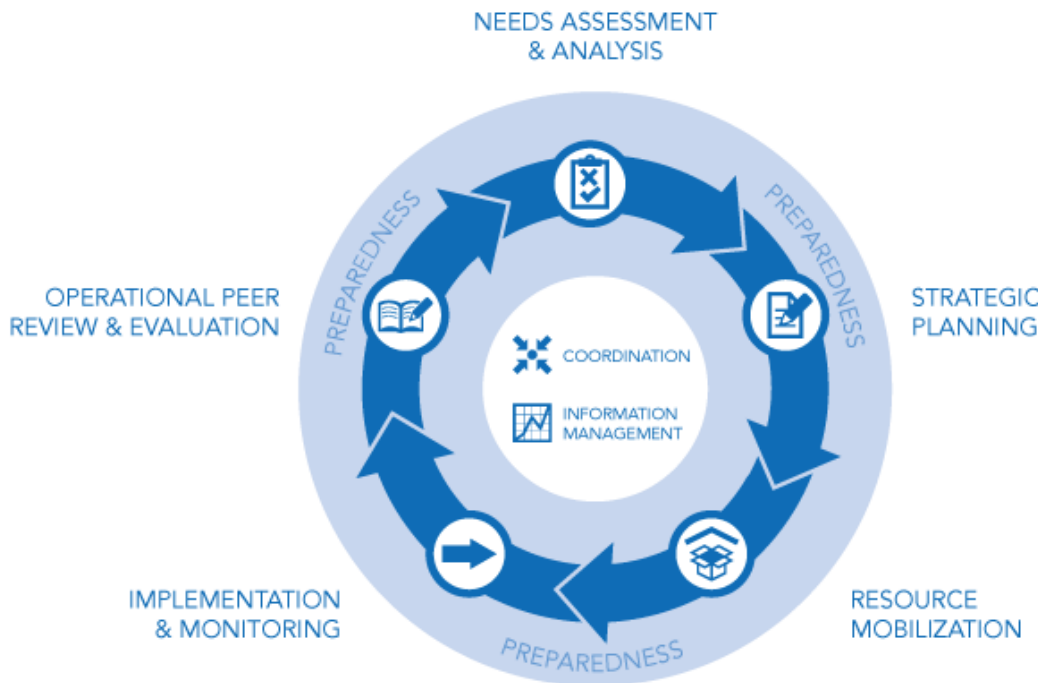
Information management and humanitarian programme cycle

Source: United Nations Office for the Coordination of Humanitarian Affairs (OCHA)

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For more information: www.humanitarianresponse.info/en/programme-cycle/space

Figure 3 The humanitarian programme cycle



Source: <https://www.humanitarianresponse.info/programme-cycle>

IM underpins each phase of the humanitarian programme cycle (HPC) and helps connect phases by carrying enriched information from one to another. If the HPC is to run smoothly, information managers need to coordinate closely, particularly at the intersectional level. The principal focus of information management officers (IMOs) will be setting and supporting the stages of the HPC. Within every part of the programme cycle, you need to consider which IM building blocks you are going to need to pull on, build or strengthen to help the decision-making process.

Reinforce the importance of not working in silos and engaging with others on processes to ensure harmonisation (emphasise harmonisation not standardisation – it’s not a one size fits all process). Also reinforce the importance of working with stakeholders. This also needs to follow on from the landscape session to ensure consideration is given to the context and not only how stakeholders might vary but how our IM relationship with them could change in different contexts (e.g. military IM connections in complex emergencies).

Humanitarian IM is the systematic process of collecting, collating, storing, processing, verifying, and analysing data and information, and disseminating relevant information to humanitarian stakeholders. Sufficient IM capacity and the use of common tools – such as common operational datasets (CODs), fundamental operational datasets (FODs), and a complete and up-to-date 'who does what where' database (3Ws) as well as an assessment registry – are critical elements to the successful implementation of the programme cycle.

Recognising good information management practices

IM is about using the right people and the right data to define critical decisions that can save lives or enhance living conditions for people affected by disasters and conflict. Good IM:

- Is the basis for coordinated action, which determines the success or failure of a response
- Brings together people

- Aligns systems
- Creates an easy process towards making the right decisions (i.e. saving lives)
- Identifies who is involved in IM: humanitarian responders (INGOs, UN,); government; civil society (trade groups, such as teachers’ associations); affected people; military; private sector/logistics companies; civilians/first responders/host communities?
- Identifies the type of data/information: figures for affected people, where they are, how many are vulnerable
- Identifies where humanitarians can find data/information: are they always official sources, such as the National Statistics Board or can we use incident reports from the media or social media?

Information management at strategic, technical, and operational levels

Source: Joint Information Management Training (JIMT) – IM in the Landscape PowerPoint

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For more information visit: JIMT Dropbox or contact sbpt@un.org

Strategic level

A good IM strategy should include an assessment of the IM environment, which defines the existing capacity for collecting, recording and sharing information in the cluster, within partner organisations, and within existing government line ministries; as well as a review of existing pre-crisis information. The strategy should identify current or future bottlenecks or resource issues for delivering on the outputs of the IM work plan, and options for addressing bottlenecks and resource limitations. The strategy will consider simplification of information collection systems and limiting all collection to priority, mission-critical information, as well as guidance for recruiting additional IM support.

Technical level

The role of an IMO is to ensure that practical and easy-to-use systems to collect, interpret, and disseminate information are identified and, where necessary, are either built on existing systems or created. In many situations you will go into a context where systems, tools, and procedures are already in place. It is important not to re-invent the wheel but assess and adapt.

Operational level

To be effective it is important that the IM tools for the response are appropriate or rather ‘good enough’ for the operational environment in which you are working. The exact design and scope of IM tools for the response planning and tracking will differ according to a variety of internal organisational factors, external factors, and the level of existing IM systems available in-country. In many situations, governments already have IM capacity and systems in place that must be recognised and adopted. **Operational IM approaches** will be expanded on later in the training. However, in summary, an IMO should ensure the following:

1. The minimum set of predictable standardised information products to be produced in collaboration with clusters/sectors and made available to all are:
 - Contact directories of humanitarian partners and IM focal points
 - Meeting schedules, agendas and minutes of coordination meetings chaired by the Humanitarian Coordinator or OCHA
 - 3Ws database and derivative products, such as maps
 - Inventory of relevant documents on the humanitarian situation (mission reports, assessments, evaluations)
 - Inventory of relevant common cluster/sector datasets (including population data disaggregated by age and sex)
 - Data on the humanitarian requirements and contributions (through financial tracking services TS)
 - A country-specific or disaster-specific humanitarian web portal
 - Situation reports
 - Mapping products
2. The minimum services to be provided or made available to clusters/sectors are:
 - A space where the humanitarian community can access information resources
 - Maintenance of common datasets that are used by the majority of sectors/clusters
 - Geospatial data and analysis relevant to inter-cluster/-sectoral decision making
 - Management of the collection and dissemination of all inter-cluster information
 - Advocacy for data and information sharing within the humanitarian community, as well as the adoption of global data standards
 - Provision of technical IM advice to clusters/sectors on survey design for needs assessments and/or other significant external data collection exercises

- Access to schedules, agendas and minutes of cluster/sector coordination meetings

Where to obtain more information

ActivityInfo: www.activityinfo.org

Many humanitarian programmes struggle with the challenge of collecting basic data about their activities, as old methods of exchanging Excel and Word files by email prove time consuming and error-prone. ActivityInfo is an online humanitarian project monitoring tool that helps humanitarian organisations to collect, manage, map and analyse indicators. ActivityInfo has been developed to simplify reporting and allow for real-time monitoring. Developed by UNICEF, bedatadriven, and OCHA.

Primero: www.primero.org

Contact: childprotectioninnovation@gmail.com

Partners from UNICEF, IRC, Save the Children, UNFPA, DPKO, and OSRSG-CAAC are innovating to provide more effective and secure IM support to country offices and field-level protection workers. To deliver better programmes and to meet the standards outlined in the Minimum Standards for Child Protection in Humanitarian Action, modern data management systems are required. Work on this strategic priority is advancing rapidly towards the goal of deploying a common protection IM system, which brings value to field-level implementing partners while providing evidence for programming and policy at national, regional and global levels. The Information Management and Innovation to Protect Children in Emergencies project has developed a software application that will help partners securely collect, store, manage, and share data for protection-related incident monitoring and case management. The new platform, Primero (Protection-related Information Management), supports multiple modules, including the ‘next generation’ of the of the field-tested, inter-agency CPIMS and GBVIMS systems, which are currently in use in 20+ countries. These new iterations, called the CPIMS+ and GBVIMS+, along with the newly developed MRMIMS+, can operate separately or be deployed as integrated modules on Primero.

The inter-agency steering committees that govern the use of each of these modules will continue to support the new system. Primero is flexible and adaptable to accommodate a broad range of protection concerns including GBV, unaccompanied and separated children, and monitoring grave violations of children’s rights in situations of armed conflict. To meet operational challenges, the application was designed to function both on- and off-line, with limited or no connectivity, and in multiple deployment configurations. A strong emphasis has been placed on security and confidentiality, with intuitive workflows that are designed to simplify processes while promoting good practice. Role-based access and granular security ensures that only those who need to see data will have access to it. All system transactions are time stamped, password protected and encrypted. Primero has a user-friendly interface and intuitive tools, facilitating the work of field personnel while decreasing security risks and duplication. The application can leverage mobile data gathering tools such as RapidFTP on phones and tablets. To optimise results, Primero was designed to exchange data internally between modules, as well as externally with other IM systems. In addition to imports and exports, Primero has a highly secure application programme interface.

Global Disaster Alert and Coordination System (GDACS): www.gdacs.org

GDACS is a cooperation framework between the UN, the European Commission and disaster managers worldwide to improve alerts, information exchange and coordination in the first phase after major sudden-onset disasters.

Financial Tracking Services (FTS): www.fts.unhocha.org

FTS records all reported humanitarian aid contributions – with a special focus on humanitarian response plans and appeals.

OCHA – Information Management: www.unocha.org/what-we-do/information-management/overview

How does managing information in a disaster help save lives and reduce suffering? Managing information during a humanitarian emergency is a crucial part of any operation. The humanitarian community recognises the importance of gathering reliable data on the locations of people in need, what they urgently need, who is best placed to assist them, and the value of this information for effective and timely humanitarian assistance. A strong IM network that supports emergency coordination requires processes to collect, analyse and share information about the situation among the various organisations involved, and to ensure the coordination system runs efficiently. The network includes people affected by the emergency, as well as relief organisations, governments and media. Often the information is presented in easy-to-use formats, such as maps or tables, to support swift decision making at all levels. When an emergency occurs, OCHA’s IMOs immediately start working with key partners to produce standard information products to support coordination of all the humanitarian organisations and the response operation. These include the 3W database, contact lists and meeting schedules. Tools such as the information needs assessment and maps are made available to support better relief planning and action. A clear IM structure also ensures that all the organisations involved work with the same or complementary information, and that this information is as relevant,

accurate and timely as possible. The data collected and analysed is used as a foundation for situation reporting and for crafting public information messages. In addition, properly collected and managed information during the emergency phase can benefit early recovery and disaster preparedness activities later. Equally important are the preparedness and lessons-learned activities OCHA undertakes with key partners, especially through the IASC Task Force on Information Management.

Common operational datasets (CODs) and fundamental operational datasets (FODs):

www.humanitarianresponse.info/applications/data

CODs are critical datasets that are used to support the work of humanitarian actors across multiple sectors. They are considered a de facto standard for the humanitarian community and should represent the best-available datasets for each theme. FODs are datasets that are relevant to a humanitarian operation, but are more specific to a particular sector or otherwise do not fit into one of the seven COD themes. The IASC Guidelines on Common Operational Datasets in Disaster Preparedness and Response were developed to help national authorities and humanitarian organisations exchange data thereby improving the effectiveness of humanitarian response. These guidelines outline the common datasets needed for response in humanitarian emergencies, as well as the governance model for the management of the data (i.e. accountabilities and responsibilities). Key terms are defined to aid understanding of the guidelines; as well as the technical standards to support data quality and interoperability. These guidelines also recognise the primary role of the state affected by disaster to organise, coordinate and implement humanitarian assistance within its territory. To this effect, these guidelines aim to ensure that the CODs support national information systems and standards, build local capacities and maintain appropriate links with relevant government, state and local authorities. In doing so, humanitarian agencies seek to strengthen, not replace or diminish national efforts, including those of institutions not part of the cluster approach or government. The guidance is designed to be used in conjunction with the emergency response preparedness approach concept note and the Operational Guidance on Responsibilities of Cluster/Sector Leads and OCHA in Information Management.

Digital Humanitarian Network (DHNetwork): www.digitalhumanitarians.com

The purpose of the DHNetwork is to leverage digital networks in support of twenty-first century humanitarian response. More specifically, the aim of this network of networks is to form a consortium of Volunteer and Technical Communities (V&TCs) and to provide an interface between formal, professional humanitarian organisations, and informal yet skilled-and-agile volunteer and technical networks. DHNetwork is taking an iterative approach in developing this interface and will expand membership to this network over time. Membership is by organisation only. DHNetwork also plans to organise a crisis simulation to assess our workflows in the near future. The purpose of the DHNetwork coordinators is to review activation-requests and rapidly liaise with the different volunteer and technical teams who are members of Digital Humanitarians to build the solution team best able to act on a request.

Humanitarian Response: www.humanitarianresponse.info

Humanitarian Response is a specialised digital service of OCHA, provided to the community as part of OCHA's responsibility under the IASC's Operational Guidance on Responsibilities of Cluster/Sectors and OCHA in Information Management. Humanitarian Response aims to be the central website for IM tools and services, enabling information exchange among operational responders during either a protracted or sudden onset emergency. This global site is complemented by country-specific emergency sites that can be accessed through www.humanitarianresponse.info. At the global level, Humanitarian Response provides access to country sites and a one-stop-shop for global information coordination resources, such as normative products including guidance notes and policies, cluster specific information and data, toolboxes and internet links. At the country level, Humanitarian Response is designed to provide a platform for sharing operational information between clusters and IASC members operating within a crisis. It provides a predictable set of core features that will be repeated on all sites and will host future tools for streamlining information collection sharing and visualisation. As a service of OCHA, all www.humanitarianresponse.info sites are subject to UN copyright, terms and conditions of use, and privacy.

Additional trainings to consider

JIPS

- Profiling Coordination Training – Contact: pct@jips.org

UNHCR

- Training for Information Management in Emergencies (TIME) – Contact FICSS: hqim@unhcr.org
- ToT (Training of Trainers) for TIME – Contact: FICSS, hqim@unhcr.org

MODULE 2.4 – COUNTRY PRESENTATION

Core competency – Attitude: disseminates lessons learned and good practices with colleagues locally and globally to support sustainability and knowledge management

Module objectives (Slide 94)

This module will:

- Recall challenges and lessons learned from others
- Recall good practices from others

Module learning outcomes

- PIM champions can name two activities a country group is implementing
- PIM champions can name one useful piece of information they could use in their programme

Country presentation

Country presenting	
PIM champions' names	
Activities implementing	
Something learned to use in your current context	
Questions for team	

Additional notes for Module 2.4

MODULE 2.5 – PIM SENSITIVITIES

Core competency – Knowledge: understands the sensitivities about confidential information being handled, and has experience of sharing of information in a protection-appropriate manner

Module objectives (Slide 96)

This module will:

- Explain what could be sensitive data
- Explain how PIM is unique and different from other IM systems
- Explain who is at risk in collecting sensitive data

Module learning outcomes

- PIM champions can list three things that make data sensitive
- PIM champions can list one thing that makes PIM unique from other IM systems
- PIM champions can list four types of individuals at risk in collecting sensitive data

ACTIVITY #17

PIM sensitivities (Slide 97)

Take a writing utensil and illustrate, 'Why is PIM sensitive?'

(Words or pictures)

Add your notes:

ACTIVITY #18

PIM sensitivities (Slide 98)

1. Take five stickers from creative box
2. Put the stickers on the words, images, or expressions you believe are the five biggest concerns.
 - You can put all five stickers on the same word
 - You can put stickers on words you wrote or others wrote
 - You do not have to use all five stickers.

Add your notes:

What could be sensitive data? (Slide 99)

Source: *Professional Standards for Protection Work (2013)*

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For more information visit: www.icrc.org/eng/assets/files/other/icrc-002-0999.pdf

Chapter 6: Managing sensitive protection information

This chapter deals with the collection and handling of protection information relating to individuals or specific events. It is primarily addressed to protection actors who conduct interviews with witnesses or victims on a regular or ad hoc basis, as well as those receiving or using such information collected by others. It is also addressed to those actors who partner with established protection actors in collecting or managing sensitive protection information for instance through crowdsourcing platforms.

While not a full-fledged manual, this chapter outlines some of the key principles and standards that should be adhered to when collecting or handling information.

Protection actors working with aggregated information, such as trend analysis, do not face the same challenges, because the information they handle is less sensitive. They may feel less concerned by the standards and guidelines of this chapter. They should nevertheless be aware of the constraints of managing data on individuals and events, to understand how the information they are handling has been obtained.

In situations of armed conflict and other situations of violence, conducting individual interviews can put people at risk not only because of the sensitive nature of the information collected, but because mere participation in the process can cause these people to be stigmatised or targeted. In practice, the risks people may incur can range from physical violence to social marginalisation. They are often unknown to the individual soliciting the information, and sometimes also by the person providing it. Furthermore, conducting interviews can be emotionally taxing for both the interviewee and interviewer.

New technologies allow for the collection of data without actually meeting individuals and communities to conduct face-to-face interviews. Rather, they rely on the capacity of individuals to transmit information on unfolding events and/or on their needs, in real time, by means of the internet or other telecommunication networks. In recent years, activists as well as some traditional media have used a variety of electronic processes

to report on unfolding events. Humanitarian organisations themselves are increasingly using internet- and mobile (cellular) phone-based applications for their own surveys and other data gathering (e.g. EPiServer or Open Data Kit). Combining and cross-checking such information with other sources, including information collected directly from communities and individuals affected, is becoming standard good practice.

Standards and guidelines

- Protection actors must only collect information on abuses and violations when necessary for the design or implementation of protection activities. It may not be used for other purposes without additional consent.
- Systematic information collection, particularly if it involves direct contact with individuals affected by abuses and violations, must only be carried out by organisations with the capacity, skills, IM systems, and necessary protocols in place.
- Protection actors must collect and handle information containing personal details in accordance with the rules and principles of international law and other relevant regional or national laws on individual data protection.
- Protection actors seeking information bear the responsibility to assess threats to the people providing information, and to take necessary measures to avoid negative consequences for those from whom they are seeking information.
- Protection actors setting up systematic information collection through the internet or other media must analyse the different potential risks linked to the collection, sharing or public display of the information, and adapt the way they collect, manage, and publicly release the information accordingly.
- Protection actors must determine the scope, level of precision, and depth of detail of the information collection process, in relation to the intended use of the information collected.
- Protection actors should systematically review the information collected to confirm that it is reliable, accurate, and up to date.
- Protection actors should be explicit as to the level of reliability and accuracy of information they use or share.
- Protection actors must gather and subsequently process protection information in an objective and impartial manner, to avoid discrimination. They must identify and minimise bias that may affect information collection.

- Security safeguards appropriate to the sensitivity of the information must be in place before any collection of information, to ensure protection from loss or theft, unauthorised access, disclosure, copying, use or modification, in any format in which it is kept.
- Protection actors must undertake an analysis of the associated risks for the interviewees and interviewers before conducting interviews.
- When conducting individual or group interviews, protection actors must only collect personal information with the informed consent of the person concerned, who is made aware of the purpose of the collection. Unless specific consent to do so has been obtained, personal information must not be disclosed or transferred for purposes other than those for which they were originally collected, and for which the consent was given.
- Protection actors must integrate the notion of informed consent when calling on the general public, or members of a community, to spontaneously send them information through a text message, an open internet platform, or any other means of communication, or when using information already available on the internet.
- Protection actors should, to the degree possible, keep victims or communities having transmitted information on abuses and violations informed of the action they have taken on their behalf – and of the ensuing results. Protection actors using information provided by individuals should remain alert to any negative repercussions on the individuals or communities concerned, owing to the actions they have taken, and take measures to mitigate these repercussions.
- Protection actors must avoid, to the extent possible, duplication of information collection efforts, to avoid unnecessary burdens and risks for victims, witnesses, and communities.
- Whenever information is to be shared, its interoperability should be taken into account in planning the information collection.
- When handling confidential and sensitive information on abuses and violations, protection actors should endeavour, when appropriate and feasible, to share aggregated data on the trends they have observed. Protection actors should establish formal procedures on the information-handling process, from collection to exchange, and archiving or destruction.

Who is at risk when collecting sensitive data? (Slide 75)

Data collected can put people at risk, including:

- Individuals whose data is being collected
- Survivors or witnesses reporting
- The communities being monitored
- The individuals/organisations storing the data
- Staff of an organisation collecting data

ACTIVITY #19

You and PIM sensitivities (Slide 101)

Alone and silently reflect to ensure you understand all of these objectives

Add your notes:

Additional notes for Module 2.5

Professional Standards for Protection Work (2013)

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For more information visit: www.icrc.org/eng/assets/files/other/icrc-002-0999.pdf

Quoted from p.84

Protection actors must only collect information on abuses and violations when necessary for the design or implementation of protection activities. It may not be used for other purposes without additional consent.

The collection of information must aim to enhance the safety and dignity of the persons and/or the population involved. In no circumstances should it be intentionally used to promote non-humanitarian agendas, such as political or partisan goals, nor to distort the facts, nor mislead or cause harm to affected or at-risk populations. Individuals providing the information should not be misled regarding the purpose for which it is being collected. Accuracy and transparency in the process of information collection is crucial. Consent to provide information must never be obtained through deception.

The primary purpose of the collection of information on violations and abuses is to inform the design and implementation of measures intended to address and prevent such occurrences. It may not be used for other purposes, such as fundraising, without additional consent and due regard for the possible risks.

In any humanitarian situation proper planning and adequate response depend on the availability of accurate information about those affected. The effective delivery of humanitarian aid, the proper implementation of protection interventions, and advocacy activities can only be done if information is collected and analysed in a comprehensive and systematic manner.

While information is essentially collected to protect individuals, the improper collection and use of such data can also cause considerable harm, not only to those whose data is collected, but also to others associated with the data collection process. The need to collect and share data for protection purposes and the need to protect this data against wrongful and harmful use must be carefully balanced at all times.

Quoted from p.85

The protection of personal data is based on the right to privacy recognised in most general international human rights treaties. Personal data, understood as any information relating to an identified or identifiable individual as defined by the Council of Europe’s Convention for the Protection of Individuals with regard to Automatic Processing of Personal Data (1981).

Domestic or regional laws may also contain provisions for the protection of information, in particular personal data, which go beyond the standards in this document. Domestic or regional laws usually provide additional specific rules for highly sensitive data, such as genetic, ante- and post-mortem, and medical information. It is important to identify and respect applicable laws, provided they are in conformity with general international law and are aimed at protecting privacy. Depending on the context, different legal frameworks may apply simultaneously (e.g. regional and domestic laws, or the laws of two or more countries).

Domestic or regional laws may also contain provisions imposing the disclosure of confidential information with a view to protecting public order and the rule of law, for example in criminal cases. In such cases, the protection actor must adopt clear internal guidelines defining the type of data to be collected and the circumstances in which they will be shared, so as to avoid additional risks for both the victim and the actor involved. Without adequate awareness of the existing legal framework, actors collecting information may be prevented from doing so, compelled to disclose information, or face legal action by the State or the individuals concerned.

Suggestions on Managing Electronic Data

Source: UNHCR Data Protection in Insecure Environments (provisional release), 2012

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For more information contact: Field Information and Coordination Support Section (FICSS) in UNHCR – data.unhcr.org/imtoolkit/chapters/view/minimum-sectoral-data-d/lang:eng

The following points cover security of electronic data. However, the same need to ensure non-authorised access to data also applies to hard copy files and printouts. We strongly recommend reviewing the type of beneficiary data that is available in hard copy, such as case files, beneficiary list printouts, database extract printouts, and to destroy/shred or send to a safer location what is not essential to keep in the office as hard copies.

Coordination mechanism

- Establish within the humanitarian response structure a coordination mechanism (either within a protection working group or protection cluster) to avoid overlap and gaps in data collection and ultimately work towards an inter-agency collaboration on data collection where feasible.
- Establish regular reporting cycles. Reach a common understanding on what data can and should be shared on a systematic basis, and what data needs specific arrangements before it can be shared (or shared in a less sensitive format). Especially in insecure environments, information is needed quickly and is also outdated quickly. Avoid information and/or reporting getting blocked by the requirement of high-level clearance. With a regular pre-authorised reporting cycle, reports can be produced at regular intervals (e.g. weekly, monthly) and shared with a specific group of people. Clear agreements about what can be shared will also prevent redundant information gathering. In insecure environments organisations may be reluctant to share useful information for fear of misuse. This will lead to several organisations seeking out the same information again and again. This is not only ineffective, but also creates extra risks for data collectors.
Data sharing agreements
- Establish written data sharing agreements between UN agencies and partners. Such agreements help establish common rules about how to protect and process data and aim to create mutual trust among agencies to respect these rules. These contracts should explicitly state who can have access to particular types or levels of data – including what data can be shared routinely and regularly without case-by-case authorisation – and for what purposes. This legal arrangement may make humanitarian actors more comfortable with data sharing.

In sensitive and/or insecure environments, careful consideration should be given to reporting to or intervening with government representatives. Local and international NGOs can be more susceptible to pressure or intimidation by political actors. In such circumstances it is generally strategic for UNHCR to report to and intervene with governments and other authorities on behalf of partners, rather than have a system where NGOs provide data directly to the authorities. Centralising reporting with UNHCR may provide more anonymity to monitors and more humanitarian space for NGOs to execute their activities.

Classification of data

- Determine collectively and as early as possible the types and scope of data that different agencies need to collect, and identify types of data that could be sensitive in the particular context. This is especially to avoid collecting unnecessary data. Collecting unnecessary data in an insecure environment may needlessly subject your monitors to risk.

Code identifiable information

- Code your monitors' names on their reports. Rather than having a monitor write his/her name on a report, give the monitor a codename, so that if the report is intercepted by an unauthorised person, it is not easily traced back to an individual. Which codename belongs to which monitor should only be revealed to staff members on a need-to-know basis. Codenames should be unique for each individual and should not be shared or reused. As with passwords, codenames should also be changed at regular intervals. Keep in mind, however, that coding a monitor's name may not ultimately be effective in disguising an individual's identity where there may be only one or a few people known to be undertaking monitoring in a specific geographic area.
- If you code the names of organisations, it is less likely that unauthorised people will be able to associate specific monitoring activities with specific organisations. Which codename belongs to which organisation should only be revealed to staff members on a need-to-know basis. As with coding the identity of individual monitors, keep in mind that this process of coding implementing partners is most effective as a safeguard only in areas where there are numerous partners engaged in monitoring.

Carefully consider who should undertake data collection

- There may be some situations in which protection monitoring is best undertaken by staff of UN agencies, rather than by implementing partner NGOs, given the greater legal protection available to UN staff, or more respected freedom of movement. In other situations, in contrast, only implementing partner staff should be used, if UN agency staff would be a particular security target. At the same time, consider if international or national staff members have different risk profiles within the monitoring activity. For example, it may be necessary to sequester certain levels of data from local staff to avoid placing them in a situation where they or their families could be pressured by state or non-state authorities for improper access to monitoring data.
- Take extra steps to protect your monitors. Understand that every piece of information they collect may put them at risk. Ensure that you will actually use all data that is collected. Provide your monitors with opportunities to give you feedback on the security situation and the problems they face in reporting. Their personal safety should be a factor in the design of the monitoring system.

Data storage

- Personal data can be stored electronically on various devices and media such as servers, desktops, laptops, CD/DVDs and portable memory devices. Data can be stored or transmitted, for example, in databases, Word documents, spreadsheets, and emails. The loss of this data can have very prejudicial consequences for the data subjects (the individuals to whom personal data relates.). There are simple ways to protect this data against unauthorised access, which should be used systematically.

Security-in-a-Box

Source: *Tactical Technology Collective (TTC) and Front Line Defenders (FLD), 2016*

All content in this section is copyrighted to TTC and FLD

For more information contact: <https://securityinabox.org/en>

Security in-a-Box is a guide to digital security for activists and human rights defenders throughout the world. If you are new to digital security, the tactics guides cover the basic principles, including advice on how to use social networking platforms and mobile phones more safely. The tool guides offer step-by-step instructions to help you install and use the most essential digital security software and services. The community guides focus on specific groups of people — sometimes in specific regions — who face severe digital threats. They include tailored advice on tools and tactics that are relevant to the needs of these particular groups. Security in-a-Box is jointly developed by Front Line Defenders and Tactical Technology Collective, along with a global network of thousands of activists, trainers and digital security experts.

Tactics

These tactics guides cover the basics of digital security and recommend tools you can use.

- Protect your device from malware and hackers: prevent worms, viruses and Trojans.
- Protect your information from physical threats: ensure your workplace and devices are secure.
- Create and maintain secure passwords: learn to manage strong passwords.
- Protect the sensitive files on your computer: learn to encrypt data and files.
- Recover from information loss: back up your devices and data.
- Destroy sensitive information: delete data permanently.
- Keep your online communication private: encrypted chat and email.
- Remain anonymous and bypass censorship on the internet:
- Protect yourself and your data when using social networking sites: using Facebook, Twitter and Flickr safely.
- Use mobile (cell) phones as securely as possible: staying safe when using mobile phones.
- Use smartphones as securely as possible: Android and iPhone safety.

MODULE 2.6 – ANALYSE YOUR ENVIRONMENT (PART I)

Core competency – Skills: analyses IM environment (threats, opportunities, strengths, weaknesses) to inform methodology design and operational planning

Module objectives (Slide 104)

This module will:

- Identify the roadmap of how IM and protection actors can work together to inform a protection strategy and response
- Identify protection information needs
- Identify key protection information resources.

Module learning outcomes

- PIM champions can name four needs
- PIM champions can name four key stakeholders
- PIM champions can name four key resources

The roadmap (Slides 106–115)

Add your notes:

ACTIVITY #20

Information needs (Slide 116)

In your cluster teams:

- Populate the Dropbox with your key information needs for the current situation

Reference:

- UNICEF: Guidance Note
- ECHO: Guidance on Thematic Policy on Protection (p.45)
- UNHCR: Needs Assessment for Refugee Emergencies

	Current situation and likely evolution over time
Scope and scale of the emergency	
Conditions and status of the affected population	
Humanitarian access	
Capacities and response	

ACTIVITY #21

Key resources (Slide 117)

In your cluster teams:

- Identify ten sources where you could find the information needs listed
 - List the resource in Excel and in the table below
 - List the website address where the resource is located online

Reference

- ACAPS: Secondary Data Review

	Name of resource	Website address
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		

Key terms (Slide 118)

Response plans	
Protection strategy	
Protection analysis	
Analytical framework	
Secondary data review	

ACTIVITY #22

You and needs (Slide 118)

1. Find your pairs:
 - You have either a country or a geographic description
 - Find the match to your pair
 - Example:
 - Person 1 = Australia
 - Person 2 = Country between the Indian Ocean and the South Pacific Ocean in Oceania
2. In pairs share at least one example of why having one of the information needs is critical to your work

Examples of how to start the conversation:

- ‘As a GBV actor, it is essential to know the # and % of health facilities where clinical management of rape is available, or facilities with sexual and reproductive health services because...’
- ‘When I was working in South Sudan and we had this information we were able to...’
- ‘When I was working in Somalia and we did not have this information...’

Add your notes

Additional notes for Module 2.6

ACAPS: Assessments Generalities (January 2014)

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For more information contact: ACAPS info@acaps.org

There is an important difference between need as noun and need as verb.

The noun need specifies a gap or discrepancy between a state of being at present and a different desired state. The need is neither the present nor the future state – it is the gap between them. In a sense, a need is like a problem that should be attended to or resolved. The statement ‘IDPs are thirsty, have less water on average than before they were displaced, or are believed to have an increased level of water-borne illness’ defines a need as noun.

The verb need is not a state of being but instead a proposed act to resolve the discrepancy. It is, thus, a proposed solution in response to the noun-defined need identified above. The statement ‘IDPs should get 50% more water per person, should get protected water sources, or should attend weekly hygiene session’ refers to solution strategies. This statement proposes a solution without specifically stating a sense of the problem or the measured discrepancy to be resolved.

Very often in needs assessments, the two meanings of ‘need’ are mixed (Darcy 2003). Given the time and resource constraints frequently involved, ‘assessment’ sometimes becomes a needs analysis and a response analysis process rolled into one. When this happens, assessment teams jump prematurely to solutions before identifying and prioritising needs or identifying underlying problems. Good assessments separate problem analysis from response planning. Maintaining the distinction between these two elements is essential to maintaining objectivity, and to producing results that are comparable and can be aggregated. Making explicit the deficit, or need, permits consideration of specific solutions, whereas failing to distinguish the two leaves confused the prioritisation, magnitude, and extent of needs to be responded to.

Unmet needs are identified during needs assessments when people have needs that are not being met or addressed adequately. When they are aware of such needs, the awareness is often expressed as demands. When people are not aware, the needs are unexpressed or latent. Needs analyses seek to uncover and examine unmet needs, both recognised and latent.

Need is sometimes an absolute state (e.g. ‘You need oxygen within four minutes or you die’), but usually a relative state. What is considered a need is influenced by one’s values, prior experience, and assumptions. What is viewed as a need often changes over time as the meeting of a basic need permits the awareness of a less urgent need. As a relative and progressive term, need is without widely agreed boundaries. It must be operationally defined (e.g. using a severity lifesaving severity scale) in each usage according to history and current context (Royce 1982).

Gap-defining needs

Example: IDPs are thirsty and have much less water available than before they were displaced – the gap is clearly expressed, and we can see a real need.

Response-defining needs

Example: IDPs need psychosocial support and access to protected water sources, and need to attend a weekly hygiene session – need is being defined by a potential response; no shortage or gap has been expressed.

A Guidance Note: The multi-sector analytical framework for secondary data reviews in emergencies

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For more information contact: Gavin Wood: emops.gccu.im@gmail.com

What is the Guidance Note?

This guidance note accompanies the multi-sector analytical framework developed through collaboration between ACAPS and UNICEF Led Clusters and Areas of Responsibility (AoR). The analytical framework was created to support the identification of informational and analytical needs for the wider humanitarian community, including the development of SDR. This guidance:

- Describes the analytical framework components and the information required to populate them;
- Describes how and when the framework can be used; and
- Illustrates how partners can use the framework, and shows how it can produce data to support preparedness efforts.

Scope and scale of the emergency provides an understanding of the nature of the conflict or hazard, and pre-existing vulnerabilities or underlying factors. Analytical outputs include the geographic areas affected (to the lowest possible administrative levels), a problem tree, the effects of the crisis on the availability and access to main goods and services, an estimate of the number of people affected, and the humanitarian profile (detailing whether the population is displaced, in which setting, etc.).

Conditions and status of the affected population describes the humanitarian outcomes of the crisis and their severity. These include mortality rates, morbidity, nutritional status, food insecurity, and psychological trauma, among others. New emerging vulnerabilities, threats, or risks are identified to forecast and anticipate how the crisis might unfold in the coming months. Analytical outputs include estimates of people in need per sector and the severity of conditions (i.e. people at risk, moderately or severely in need).

Humanitarian access describes the ability to access people in need and the ability of people in need to access services provided by the humanitarian community. Physical and security issues are included. Analytical outputs include an analysis of access constraints and an estimate of the number of people in need who do not have regular access to humanitarian assistance.

Capacities and response looks at the human, material, and financial resources available for the response. It describes the coping mechanisms of the affected population, as well as the response mounted by the humanitarian community and the national authorities. Analytical outputs include resource and response gaps.

Needs Assessment for Refugee Emergencies Checklist

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For more information: www.emergency.unhcr.org/entry/50209/needs-assessment-for-refugee-emergencies-nare

What is the Needs Assessment for Refugee Emergencies?

As the lead coordinator in a refugee emergency, UNHCR has a responsibility to coordinate a multi-sectoral needs-based response. The Needs Assessment for Refugee Emergencies (NARE) is principally designed to assist UNHCR operations with initial multi-sectoral needs assessments when there has been a significant sudden forced displacement of populations across borders. The NARE can also be used when there is a sudden influx of a population into an existing operational refugee environment or in a refugee operation where inadequate assessments have been conducted. The NARE highlights information that is derived from pre-crisis and post-crisis secondary data review, before primary data collection begins. For primary data collection, the NARE suggests data elements that may be derived from facility visits, observations, key informants and focus group discussions. It promotes the cross-analysis of information derived from multiple methodologies across multiple sectors to ensure a rapid, relatively complete picture of needs in a refugee emergency. The NARE assessment is intended to be a one-off activity and not an ongoing monitoring system.

How to use the NARE checklist?

The NARE is a customisable initial multi-sectoral needs assessment. The Needs Assessment Team can decide which data collection methodologies should be used and which topics should be the focus. This means that NARE users are not obligated to do the entire assessment specified here, but can pick and choose from among the methods and themes depending on the time/resources available, the purpose of the assessment and the types of interventions that will be made. Data collection questions in the columns/rows you have selected from the NARE may be further customised according to your local situation. You can change or omit the questions suggested, or you may wish to add new questions entirely. Please also consider the contents of the 'All sectors' column and the callouts on population data management, security and logistics. The following principles of the NARE should be taken into account in all refugee emergency situations:

- A secondary data review should always be done to determine what information already exists;
- Initial needs assessments should be multi-sectoral and coordinated across sectors (detailed sector-specific needs assessments can follow the initial multi-sectoral assessment); and
- Different types of information are best gathered using different types of data collection methodologies.

Overview of key actions

- A secondary data review should be conducted first to identify information gaps;
- A multi-functional team should lead the NARE and collectively prioritise data elements on the checklist based on operational relevance and the attainability of information;
- High-priority data elements that cannot be obtained from secondary data should be added to data collection forms;
- Separate data collection forms should be used for each of the data collection methodologies selected from the checklist;
- Mixed data collection methodologies should not appear on the same data collection form;
- Data collectors should then be trained on the use of the forms;
- Focus group discussion leaders should be trained on focus group discussion facilitation;
- After data is collected, cleaned, and compiled, the multi-functional team should analyse and collectively agree on the interpretation of findings; and
- Reports on findings should be rapidly disseminated to stakeholders concerned.

Overview of key concepts:

- The term 'refugee' is used throughout the NARE, but it may be used to assess the needs of asylum seekers, stateless persons or other people of concern.
- Data collected during the NARE will need to be disaggregated by camp or collective centre if present;
- This assessment is intended for use by generalists, but secondary data sources may require sector-specific expertise – the NARE does not replace in-depth sectoral assessments.
- To ensure an adequate selection process for key informant interviews, please refer to the ACAPS Technical Brief 'Key Informant Direct Observation Pocket Version': <http://www.acaps.org/resources/technical-briefs>

Example checklist from the NARE

Type	Description	Questions to ask
<p>Post-influx secondary data review</p>	<p>This information can come from other sectors and/or organisations and must be compiled before primary data collection. Information not available in the secondary data review should be acquired through primary data collection.</p>	<ul style="list-style-type: none"> • Who are the main local, national and international protection actors with capacity to respond? If they do not have the capacity to respond, in what areas would they require capacity building? • What, if any, national protection coordination mechanisms currently exist? • What, if any, security concerns exist in present refugee-hosting locations? (e.g. landmines, presence of combatants, risk of cross-border incursion, tensions between refugees and host community, etc.). • Are there any restrictions affecting refugees' land rights and land access? (e.g. collecting fuel wood, timber, fodder, grazing their animals, engaging in agricultural or subsistence activities). If yes, what are they?
<p>Community key informants</p>	<p>Community representatives can be asked questions about the entire community. Key informant interviews may help validate or explain conclusions from observation.</p>	<ul style="list-style-type: none"> • What community-based protection mechanisms exist (e.g. coping mechanisms, community watch groups, community support groups, leadership structures, etc.)? • Have there been instances of violence or abuse, including GBV? If yes, which kind, when, where, and which population segments were targeted? • What, if any, has been the community's response to instances of violence/abuse? If there has been no response, why not? • Are boys and girls arriving/living without adult caregivers? • Do any particular groups face specific risks? Why and what are these risks? What can be done to mitigate these risks? • Are any combatants, ex-combatants or their families in the group/at the site or are there reports of them? • Are armed actors recruiting children or are there reports thereof?

ECHO: Thematic Policy Document No. 8: Improving protection outcomes to reduce risks for people in humanitarian crises

Source: ECHO, *Humanitarian Aid and Civil Protection* (p.45)

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Below are some key issues/questions to consider when identifying threats, vulnerabilities and capacities of people/groups/communities in a given context at a given point in time.

Threats

- What are the main characteristics of the threat? Including type/manifestation, frequency/prevalence, and geographic area.
- What are the main characteristics of the actors responsible for the threat? Including individuals/group, relationship to affected individuals/population, structure/location of decision-making power, clear/ambiguous chain of command, and duty bearer or not.
- What are the main factors driving their behaviour? Including motivations to mistreat individuals/population, formal/informal policies/practices, governing norms, power dynamics, and attitudes, ideas, and beliefs.
- What are the main sources of resources, influence, pressure, and leverage? Including economic, political, legal, and social.
- What are the possible incentives to change their policy, practice, attitudes and beliefs?
- What are the disincentives to comply with norms/make the desired behaviour change?

Vulnerabilities

- Who are the vulnerable individuals/groups in relation to this threat? Why are they vulnerable? Including location, time, activity, access resources, gender, age, disability, social/religious/economic/political group or identity, service provision, restricted mobility, ethnicity/culture/traditions/land, and non-visual vulnerabilities (i.e. psychosocial vulnerabilities).
- How will vulnerabilities change over time?
- How could taking away a particular vulnerability increase another vulnerability? What vulnerabilities are we creating?
- What might be the impact of a lack of coping mechanisms? (Negative or positive).
- How do patterns of vulnerability change over periods of time?
- What is the impact/consequence of this threat? Including life-threatening, permanent injury/disability, non-life-threatening injury, loss of property/assets/livelihood, loss of access to life-sustaining resources, loss of access to essential services, loss of ability to sustain life/health, marginalisation/exclusion, separation from family, recruitment into armed forces, and detention.

Capacities

- What resources, capacity, and strengths exist to cope with and/or mitigate this threat?
- What resources, capacity, and strengths exist to cope with and/or overcome the consequences of this threat?
- What protective mechanisms exist within the community/family/individual? Is there a level of community organisation?
- Which duty bearers, key stakeholders, civil society organisations and INGOs are responding? How are they linked to current community-based initiatives/protective measures? Are they supporting, promoting, strengthening, or undermining?
- What did the protective environment look like before the crisis/emergency? Including health services, psychosocial services, child and family welfare, and legal/judicial system.
- At each level (individual, family, community, structural, institutional, national) what are the relevant points of influence and leverage? What are the linkages within the protective system (environment) where a change in a particular factor can influence a positive change in another?
- How are development actors, initiatives and programmes linked to those of emergency response actors? How is this being used or undermined?
- What commitments exist within civil society actors and NGOs?
- What are the leverage points of influence/intervention?
- Do we understand the interconnectedness of the system?
- What are the opportunities that can be tapped into? Including individuals, civil society, existing/non-existing services and/or community-based protection mechanisms.

Developing a protection strategy

Source: Global Protection Cluster

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For more information visit:

www.globalprotectioncluster.org/assets/files/tools_and_guidance/PC_Strategy_Templat_2012_EN.pdf

The protection of civilians during armed conflict and natural disaster is a complex and bold endeavour, requiring a multidimensional response to address the various sources of vulnerabilities affecting populations. In this context, humanitarian professionals and coordination bodies must engage in multifaceted and complex approaches that address the legal, political, and social aspects of crises, in addition to managing operations, often in remote and hazardous environments. Each of these domains may become the subject of various interpretations by and agendas of belligerents, host countries, donors, international agencies, and NGOs, increasing the importance of the strategic thinking, dialogue, and negotiation skills of humanitarian practitioners. The purpose of this framework is to offer field Protection Cluster members a basic framework on establishing protection strategy. Strategy planning is a process that includes:

- Analysing potential emergencies;
- Analysing the potential humanitarian impact on and consequences of protection during emergencies;
- Establishing clear objectives, strategies, policies and procedures and articulating critical actions that must be taken to respond to an emergency; and
- Ensuring that agreements are recorded, and necessary actions are taken to enhance responsiveness and preparedness; and
- Identifying the level and timeline for humanitarian exit strategy and transition to recovery and development.

Protection strategy planning can be used to plan for all types of emergencies including complex emergencies, natural and environmental disasters, and other significant crises to which the humanitarian community must respond. Inter-agency protection planning should focus on situations in which the scale and impact of the emergency requires the concerted action of a number of agencies/organisations. Planning should address response, remedial, and environment-building actions.

Basic components of an inter-agency protection planning process are:

- Information management and analysis
 - Context analysis
 - Risk analysis
 - Identification of protection risks;
- Identification of clear objectives;
- Identification of responsibilities
 - National responsibility
 - Civil society
 - International response;
- Response planning
 - Defining response objectives and strategies
 - Defining management and coordination arrangements for protection response
 - Developing response plans;
- Preparedness and protection contingency planning; and
- Monitoring and evaluation.

Secondary data review

Source: Global Protection Cluster and ACAPS

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Priority concerns

- Use your own analysis of priority concerns, with a focus on different sub-sectors and affected groups (refugees, IDPs, etc.). In a nutshell, actors who want to respond and support want to know who is the most affected, how many are (moderately and severely) affected, where they are now, why they are affected, and what risks to their conditions and status exist;
- Only mention the most important and relevant – priority concerns are those which have the highest life-threatening effect on the population and that affect the largest portion of the population, or can be dealt with simple tools or interventions or have deteriorated so much that it disturb everyone’s sense of normalcy;

- Provide context – explain the situation now and how it has changed from the main problems pre-disaster;
- Adopt a risk lens – focus on current/future problems and potential/future risks to address, as well as their underlying factors;
- Prioritise across sub-sectors, geographical areas, affected groups and vulnerable groups; and
- List ten top key documents (pre-crisis or in crisis) relevant to understanding the situation within the sector.

Possible key documents

Possible sources	
<p>Human rights</p> <p>OHCHR HR by country World Org Against Torture HelpAge Country Pages Human Rights Watch Country Info Amnesty International Country Info US Dept. of State HR reports UNHCR Refworld country reports UNHCR Country Reports Refugees International Reports Redress Country Reports Small Arms Survey Publications</p> <p>Children</p> <p>UNICEF Child Protection UNICEF Country Profiles HelpAge Country Pages Human Rights Watch Country Info Amnesty International Country Info US Dept. of Labor 2012 Report ChildInfo UCW Country Reports Small Arms Survey Publications Children and Armed Conflicts Countries International Crisis Group Countries Save the Children Countries US Dept. of State Trafficking in Persons</p> <p>Minorities</p> <p>HelpAge Country Pages Human Rights Watch Country Info Minority Rights Country Directory UN COD-FOD USAID Land Tenure and property Handicap International</p> <p>Current crisis</p> <p>Protection Cluster Country Pages OCHA (Reliefweb) UNICEF Emergencies Country Info IFRC Country Appeals HRW News UNOHCHR (Reliefweb)</p>	<p>Displacement</p> <p>HelpAge Country Pages UNHCR Country Pages IDMC UNHCR Data Portal</p> <p>Women</p> <p>HelpAge Country Pages Gender Index Ranking Country Profiles Gender Index Ranking 2012 CIA World Factbook Human Rights Watch Country Info Amnesty International Country Info Global Protection Cluster GBV Asian Foundation Women's Refugee Commission Refugees International Reports UNWOMEN Country Pages UNIFEM VAW Facts and Figures Gender equality and HIV/AIDS Small Arms Survey Publications US Dept. of State Trafficking in Persons WB Gender Statistics</p> <p>ERW</p> <p>UN Mine Action Countries Danish Demining Group Countries HelpAge Country Pages Human Rights Watch Country Info Amnesty International Country Info Landmine and Cluster Monitor</p> <p>Older people</p> <p>HelpAge Country Pages Human Rights Watch Country Info Amnesty International Country Info</p> <p>Lessons learned</p> <p>Global Protection Cluster Website Global Protection Cluster GBV Save the Children Publications UNOCHA Country CAPs, HNO, SRPs WHO World Health Statistics 2012 UNICEF Lessons Learned</p>

What is a protection strategy?

Source: Global Protection Cluster

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For more information visit: www.globalprotectioncluster.org/en/tools-and-guidance/protection-cluster-coordination-toolbox.html

Theme	Details
A shared vision	Between actors who participate in the protection cluster
A coordinated plan	How actors within the protection cluster will respond. Coordinated project planning takes place after the strategy has been developed, to ensure that the strategy is built on needs analysis and is unaffected by organisations’ fundraising concerns. Clusters first determine their cluster objectives and key activities, linked to the strategic objectives; these then serve as the basis for project development.
A list of objectives	Based on the strategic objectives and the humanitarian needs overview, each cluster agrees on 3–5 cluster objectives and activities to be carried out within the timeframe of the plan. Apply agreed boundaries to set the limits of cluster objectives and determine the number and categories of people to be reached. Findings from the joint analysis section of the humanitarian needs overview and the response analysis can be reintroduced here to establish boundaries (geographic, needs based, or other).
A list of activities	Activities that correspond to the analysis of needs and concerns of the affected people. Specify the actions, beneficiaries, locations and targets necessary for each cluster objective. This makes the strategic response plan more concrete, and justifies accompanying projects.
A list of indicators and targets	Cluster indicators, targets and baselines should help measure results or changes that affect beneficiaries, rather than processes, workload or functional statistics (e.g. number of meetings held, internal trainings implemented, reports produced). The exceptions may be the emergency telecommunications and logistics clusters, which sometimes need to measure material enablers (e.g. number of radios installed).
An agreed division of labour	A coordinated approach to project planning prevents duplication, ensures a proper division of labour among partners, and facilitates agreements on criteria for project selection within the clusters. See below for how to coordinate project planning.

What is a stakeholder analysis?

Source: Danish Refugee Council (DRC) Protection Handbook ANNEX 4A: Stakeholder Analysis Tool, 2013

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The stakeholder analysis is an important analytical tool in DRC’s work. Stakeholders and their interests and influence are vital when defining target groups, when identifying problems and objectives in a project or programme, when doing planning and coordination, and when designing advocacy activities, etc. This tool seeks to provide guidance on how to carry out a stakeholder analysis.

Stakeholders are important because they:

- Have power and can influence the problem;
- Can be winners or losers, and may have vested interests;
- Help or obstruct your work;
- Provide you with access to information, decisions;
- Influence other stakeholders’ actions; and
- Are critical to overall sustainability of an intervention.

A stakeholder is ‘any person, group or institution with an interest in and/or who can significantly influence a particular problem’.

Rights holders are the intended beneficiaries of an action and the persons whose rights are being violated. The rights holders are or can be IDPs, refugees, returnees, host communities, human rights defenders, elderly, adolescents, women, men, boys, girls, disabled, from a minority ethnic group, etc. It is fundamental to the rights-based approach that every human being is a rights holder and that every human right has a corresponding duty bearer.

Duty bearers are those who are responsible for respecting, protecting and fulfilling the rights of rights holders. The authorities/the state (and all its agents) are the primary actors responsible for respecting, protecting and fulfilling the rights of rights holders. In the case of armed conflict, armed non-state actors taking part in hostilities also have obligations and responsibilities (under international humanitarian law) to protect civilians. Certain UN bodies (OHCHR, UNHCR and UNICEF) are mandated agencies that have been given a specific mandate to protect a particular group of people (e.g. UNHCR in the case of refugees) and/or in a particular situation. Lastly, ICRC has a particular role and responsibility to promote international humanitarian law and to hold states and armed non-state actors to account for the protection of civilians in situations of armed conflict.

Key stakeholders are those who can significantly influence the protection, respect and fulfilment of the rights of the rights-holders, including addressing and finding solutions to rights violations.

The objectives of a stakeholder analysis can include:

- Securing the involvement of relevant persons;
- Identifying target groups;
- Contributing to an overall problem analysis and definition of objectives;
- Contributing to coordination of plans, including with local partners;
- Identifying resource persons;
- Developing a targeted information strategy;
- Designing and implementing advocacy measures; and
- Preventing conflicts of interest.

A stakeholder analysis includes the following steps:

1. List all relevant stakeholders (rights holders, duty bearers and key stakeholders);
2. Describe their interest and influence on the problem;
3. Specifically assess duty bearers' compliance aptitude², by assessing:
 - a) Their intent or willingness to comply with legal obligations
 - b) Their capacity (skills, knowhow, level of organisation, human resources, financial and material resources, powerful alliances, political influence, etc.);
4. Describe relationships between the individual stakeholders/actors;
5. Describe their relationship with you/DRC; and
6. Identify potential usefulness as decision taker, access giver, or information provider.

A stakeholder analysis can be done like a mind map with index cards, each representing a stakeholder and carrying a description of the individual stakeholder's interests, motives, and influence. Cards with different colours can be used, each colour representing a particular type of stakeholder, e.g. red cards for duty bearers, green cards for rights holders, etc. Moreover, relationship cards can be used to indicate the nature of the relationship (e.g. positive, negative, ambiguous, strong, or weak). Again, it is useful to use colour coding, e.g. red cards or lines representing a negative relationship, blue a positive one and black an ambiguous one.

This way of doing the stakeholder analysis is visual and illustrative, and works well as a relatively simple and straightforward analytical tool in most contexts. In particular, it has proved useful as a tool for joint analysis, e.g. among humanitarian actors in a specific setting, thereby establishing a common understanding and a point of departure for humanitarian programmes and response.

The stakeholder mapping can be as elaborate as one wishes it to be. However, it is important that it is as specific as possible with regard to the problem to be addressed, because stakeholders will vary depending on the issue to be addressed. Moreover, a stakeholder might have a negative impact on a particular problem but a positive impact on another. Likewise, it is important to be as specific as possible with regard to the stakeholders. For example, 'x community' is not a very specific stakeholder because it is likely to comprise women, men, different ethnic or religious groups, adolescent boys, etc., all of

² This aims to examine the actual and potential range of protective capacity and/or willingness among relevant duty bearers. The ability and/or willingness of a duty bearer to comply (i.e. to respect, protect and fulfil the rights) is determined by a mixture of capabilities, political and economic influence and resources, attitude, intent and personal attributes. These need to be understood, because they are critical to the context in which DRC provides assistance. These various resources and characteristics are encapsulated in the phrase 'compliance aptitude'.

whom may have very different interests in and influence on the problem. Similarly, with duty bearers it is not enough to identify, for example, ‘y authority’. Within ‘y authority’, some have more power than others, some are decision makers, some are reformers, etc. It is important to understand who they are, how they work and how they relate to one another and to your organisation.

Stakeholders and their potential for influence is to a large extent determined by power relations. Often, one can be taken aback by the power especially of duty bearers, in particular military or police. However, all stakeholders have sensitivities, vulnerabilities and points of leverage. Even high-ranking military personnel can be sensitive to the presence of your organisation in a particular area, or to public awareness and exposure of what is going on in the given context. The important thing is to use the stakeholder analysis as a tool to understand and identify these sensitivities, and through that uncover potential entry points for action.

What is a risk equation?

Source: Danish Refugee Council (DRC) Protection Handbook ANNEX 4C: Risk Equation Tool, 2013

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The risk equation is an analytical tool, because it breaks down risks rights holders face into components of threats, vulnerabilities and capacities that each yield strategies and entry points addressing a specific rights violation.

The risk equation focuses on the rights holders and comprises three components: threats, vulnerabilities, and capacities. It is an elaboration of the well-known vulnerability and capacity assessment tool.

It is an analytical tool that acknowledges and unpacks the risks people are exposed to by firstly analysing the threats, vulnerabilities, and capacities; and secondly, by identifying ways that we as stakeholders can work with people at risk to reduce threats and vulnerabilities and increase capacities. The diagram below illustrates the components and the logic of the risk equation.

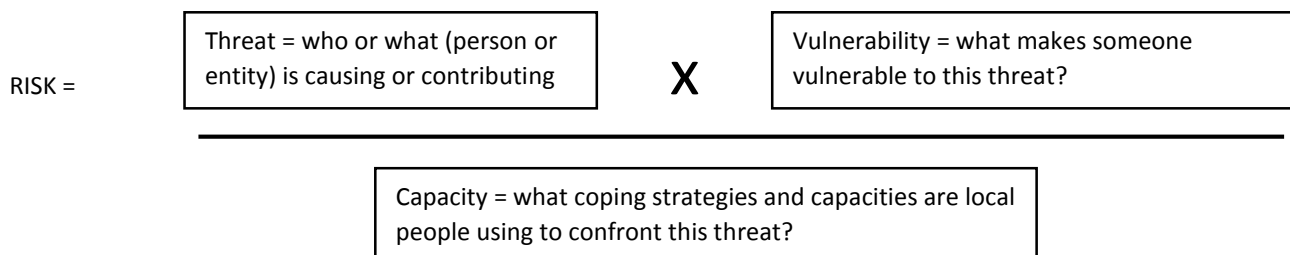
The ‘threat’ is the part of the problem related directly to the behaviour of the perpetrator – their motivations for hurting people /civilians, their cost-benefit analysis of what they get out of such an attack, their attitudes that help promote or dissuade an attack, etc. Strategies that reduce threats are those that aim to affect people’s decision making, behaviour, and attitudes, as illustrated below.

‘Vulnerabilities’ are components of the problems that are more closely linked to the identity and choices and actions of the people at risk – the rights holders.

‘Capacities’ is about acknowledging the existing capacities or coping strategies of people and communities, and working with the rights holders to identify, understand and increase these. Strategies for increasing capacities are given below.

The risk equation is a two-step process, comprising the steps as illustrated by the set of boxes below:

$$\text{RISK} = \frac{\text{THREAT} \times \text{VULNERABILITY}}{\text{CAPACITY}}$$



MODULE 2.7 – DAY 2 REVIEW

Core competency – Skills: analyses IM environment (threats, opportunities, strengths, weaknesses) to inform methodology design and operational planning

Module objectives (Slide 123)

This module will:

- Reflect on the day and progress on course objectives
- Reflect on the core competencies
- Provide feedback on the day.

Module learning outcomes

- PIM champions will have written new concepts in their workbooks
- PIM champions will write on how a core competency of PIM was built
- PIM champions will complete their feedback form for day two

Day 2 core competencies

- 2.1 – Attitude: disseminates lessons learned and good practices with colleagues locally and globally to support sustainability and knowledge management
- 2.2 – Knowledge: knowledge of key protection norms and standards and holistic approach of protection and the ability to incorporate these into operational and technical solutions
- 2.3 – Attitude: is able to scope and manage expectations of IM
- 2.4 – Attitude: disseminates lessons learned and good practices with colleagues locally and globally to support sustainability and knowledge management
- 2.5 – Knowledge: understands the sensitivities around confidential information being handled and experience in sharing of information in a protection appropriate manner
- 2.6 – Skills: analyses IM environment (threats, opportunities, strengths, weaknesses) to inform methodology design and operational planning

Reflection

- How will you use this information in your work?
- What outstanding questions do you have?

Module	Name of module	Questions and notes
2.1	Country presentation	
2.2	Protection	
2.3	IM	
2.4	Country presentation	
2.5	PIM sensitivities	
2.6	Analyse your environment (Part I)	

Tools to remember

Key experts

Additional notes for Day 2

MODULE 3.1 – REFRESHER (PART I)

Core competency – Knowledge: knowledge of key protection norms and standards and holistic approach to protection, and the ability to incorporate these into operational and technical solutions

Module objectives (Slide 124)

This module will:

- Reflect on the day and progress on course objectives
- Share some of the learning of the day so far

Module learning outcomes

- PIM champions can state the most important thing they learned yesterday

ACTIVITY #23

Just a minute (Slide 125)

You have one minute to:

- Explain the most important things you learned yesterday, without:
 - Hesitation
 - Repetition
 - Deviation
- PIM champions will:
 - Listen to each other (in groups of four)
 - Be timed (by the facilitator)
 - Give one suggestion, to each presenter, of something done well; and one suggestion to improve on

Notes

Concept:

Key points:

Additional notes for Module 3.1

MODULE 3.2 – PIM MATRIX

Core competency – Skills: analyses IM environment (threats, opportunities, strengths, weaknesses) to inform methodology design and operational planning

Module objectives (Slide 129)

This module will:

- Explain what the PIM matrix is
- Explain why the PIM matrix has categories
- Explain how the PIM matrix used is
- List PIM matrix categories
- List the rows (components) of the matrix

****IMPORTANT NOTE TO PIM CHAMPIONS****

The PIM matrix is a work in progress. The information being shared is currently being updated, reviewed, and edited by the PIM Team. Given that the guidance on what the PIM matrix is and how to use it is still in production, this module – and other modules of the training – will be an opportunity for PIM champions to provide feedback on the PIM matrix. We welcome your comments, suggestions, questions, and concerns. We hope you will use the time during the training and your access to the PIM Team, to improve the PIM matrix to be relevant and useful to the work you do. If you have questions about the PIM matrix, please contact Jessica Schnabel: schnabel@unhcr.org

Module learning outcomes

- PIM champions can state the categories that will be taught in the in-person training
- PIM champions can state why the PIM matrix has categories

What is the PIM matrix? (Slide 130)

The PIM matrix:

- Provides a framework for a standardised understanding of PIM systems, tools, and approaches
- Illustrates the full spectrum of PIM approaches in support of a humanitarian response

How is the PIM matrix used?

1. To assist in identifying the right systems, tools, and approaches for a particular result
2. To reinforce a common understanding of protection information concepts to facilitate accurate protection dialogue
3. To help refine the overall quality of PIM activities undertaken individually and as a community of responders

Why have PIM categories? (Slide 131)

PIM categories:

- Create common understanding
- Enable sharing, coordination, and collaboration
- Organise thinking
- Speak clearly within the community
- Allow for improvement and effective response

Link to the PIM matrix: https://docs.google.com/spreadsheets/d/1W_-sRjq3Mc_CKRhLTwnGi_uDx-uMg_eBXPUI-9MZETA/edit#gid=2087860604

What are the PIM matrix categories? (Slides 132–133)

Add your notes:

What are the components of the PIM matrix categories? (Slide 134–135)

Add your notes:

Population data (Slide 137)

Population data systems record the number and characteristics, disaggregated as appropriate, of a population in a specific place and time period, for the purpose of programming effective prevention and response.

Protection needs assessment (Slide 138)

A data collection exercise conducted at a single point in time ('snapshot') to gain an understanding of protection issues, availability of resources, sources of problems, and their impact on an affected population.

Protection monitoring (Slide 139)

Systematically and regularly collecting, verifying, and analysing information over an extended period of time to identify violations of rights and protection risks for populations of concern for the purpose of informing effective responses.

Case management (Slide 140)

Protection case management information systems support the provision of protection and/or targeted interventions to identified individuals or groups through the management of data – from case identification to case closure – related to a specific case.

Protection response monitoring and evaluation (Slide 141)

Continuous and coordinated review of implementation of response to measure whether planned activities deliver the expected outputs and protection outcomes, and impact, both positive and negative.

Security and situational awareness (Slide 142)

Security and incident systems that monitor the affected population and the ability of humanitarian actors to physically and securely reach people affected by crisis. Such systems would make available information on the overall security situation, issues of humanitarian space and access (including the safety of staff), and other concerns. A key difference between these systems and protection monitoring is in this aspect of humanitarian access.

Sectoral IM systems (Slide 143)

Relevant secondary data and information related to the protection of people is systematically shared between sector IM systems and protection information management.

Communicating with affected communities (Slide 144)

Communicating with affected communities refers to communication with, by, and between communities and/or community members with the aim of supporting community exchange, access to services, feedback/complaints, transparency, monitoring and evaluation, participation/empowerment, and leadership/community capacities. Communicating with affected populations should be both mainstreamed into other systems, and a distinct mechanism to support communities.

ACTIVITY #24

Who has done what? (Slide 145)

1. Look at the eight categories
2. Think, 'Which of these have I done?'
3. Take a pink post-it
4. Write:
 - Your name
 - The category
 - Where you implemented it (country)
5. Use one post-it for one experience
6. Put up as many post-its as you want

ACTIVITY #25

What questions do you have? (Slide 147)

1. Look at the 8 categories
2. Think, 'What questions do I have about these categories?'
3. Take an orange post-it
4. Write:
 - Your name
 - The category
 - Your question
5. Use one post-it for one experience
6. Put up as many post-its as you want

ACTIVITY #26

You and the matrix (Slide 148)

Alone and silently reflect to ensure you understand all of these objectives

Additional notes for Module 3.2

MODULE 3.3 – PROTECTION NEEDS ASSESSMENT

Core competency – Skills: makes informed decisions about which systems are needed based on a comprehensive analysis of information requirements (and over time)

Module objectives (Slide 151)

This module will:

- Recall protection needs assessment as a category
- Outline where a protection needs assessment occurs in the humanitarian programme cycle
- List triggers for a protection needs assessment
- Summarise an example of a protection needs assessment

Module learning outcomes

- PIM champions can state that a protection needs assessment is a ‘snapshot’ and ‘conducted at a single point’
- PIM champions can identify where protection needs assessment fits in the humanitarian programme cycle
- PIM champions can list three examples that would trigger a protection needs assessment
- PIM champions can explain one example of protection needs assessment in their context (or a similar context if a protection needs assessment has not yet occurred)

Recall: What is a protection needs assessment? (Slide 152)

A data collection exercise conducted at a single point in time (‘snapshot’) to gain an understanding of protection issues, availability of resources, sources of problems, and their impact on an affected population.

Why is a protection needs assessment a category? (Slide 153)

Add your notes:

Where is a protection needs assessment in the humanitarian programme cycle? (Slide 154)

Add your notes:

What could trigger a protection needs assessment? (Slide 155)

Add your notes:

ACTIVITY #27

Protection needs assessment (Slide 156)

In your clusters:

1. Open the Dropbox
2. In the folder called *PIM training Documents* (to be used during the training):
 - Click on the folder called *Templates for Modules*
 - Open Word document Module 3.3 Template, Protection needs assessment
 - Save the Word document as Module 3.3 Protection needs assessment (Country name #1)
3. In your clusters identify who has done a protection needs assessment
4. Pick one example of a protection needs assessment
5. Populate the Word document based on that example, answering these questions (see Word doc):
 - Which country/cities did this case study take place in?
 - When did the case study occur? (Months/years)
 - Which organisations were relevant to this case study? (Make sure to include your own)
 - Why did the actors (mentioned above) choose to implement this category?
 - What were the outcomes of the protection needs assessment?
 - What methodology did you use?
 - How did implementing this category influence the development of the protection strategy?
 - What were the challenges of conducting the protection needs assessment?
 - How were these challenges overcome? (In other words, what were the solutions to overcoming the challenges)

Provide information on:	Give your answer below:
Which country/cities did this case study take place in?	
When did the case study occur? (Months/years)	
Which organisations were relevant to this case study? (Make sure to include your own)	
Why did the actors (mentioned above) choose to implement this category? (In other words, what were the 'triggers?')	
What were the outcomes of the protection needs assessment?	
What methodology did you use?	
How did implementing this category influence the development of the protection strategy?	
What were the challenges of conducting the protection needs assessment?	
How were these challenges overcome? (In other words, what were the solutions to overcoming the challenges)	

ACTIVITY #28

Cluster and needs (Slide 157)

1. Join with another cluster
2. Present one of your examples to the cluster
3. Ensure to identify (in your presentation) what triggered your protection needs assessment

Additional notes for Module 3.3

Humanitarian programme cycle

Source: United Nations Office for the Coordination of Humanitarian Affairs (OCHA)

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For more information: www.humanitarianresponse.info/en/programme-cycle/space

The humanitarian programme cycle (HPC) is a coordinated series of actions undertaken to help prepare for, manage and deliver humanitarian response. It consists of five elements coordinated in a seamless manner, with each step logically building on the previous and leading to the next. Successful implementation of the humanitarian programme cycle is dependent on effective emergency preparedness, effective coordination with national/local authorities and humanitarian actors, and information management.

Aims and objectives

This approach, agreed by IASC principles as part of the IASC Transformative Agenda, is based on innovations that have become good practice in the field, and aims to achieve the following results:

- Stronger emphasis on the needs of affected people;
- Improved targeting of the most vulnerable;
- Increased funding for humanitarian priorities; and
- Greater accountability of humanitarian actors and donors for collective results.

Background

For protracted crises, most of these elements previously formed part of the consolidated appeal process (CAP). However, the CAP – both as a process and document – became too ‘heavy’ in an attempt to include all the programme cycle elements. Henceforth, each response operation shall prepare two distinct but connected processes and products on a new and slightly expanded timeframe. Mid-year reviews of the CAP will be replaced by more regular, less labour-intensive response monitoring based on an agreed IASC framework. Separate guidance applies to sudden onset emergencies and will be included on the website in due course.

The HPC and protection needs assessment

Source: United Nations Office for the Coordination of Humanitarian Affairs (OCHA)

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For more information: www.humanitarianresponse.info/en/programme-cycle/space

A coordinated approach to the assessment of an emergency and to the prioritisation of the needs of affected people lays the foundation for a coherent and efficient humanitarian response. A coordinated approach to assessment helps improve the quality, comparability, and evidence base for humanitarian response. Assessments are carried out in partnership by humanitarian actors and document the scope of a particular crisis. More importantly, coordinated assessments illustrate the needs of affected populations and inform needs planning and system-wide monitoring.

Coordinated assessments follow the principle of humanitarian accountability and can enhance the quality of inter-agency collaboration. They can also improve donor funding levels and relationships with governments, local NGOs, and disaster-affected populations. Humanitarian Country Teams (HCTs) benefit from using coordinated assessments when responding to a disaster.

For protracted crises, the depth and volume of information needed for an effective response increases as it evolves. This often translates into a requirement for in-depth cluster/sector, thematic or agency-specific assessments to inform planning and operations, which in turn necessitates a harmonised assessment approach with joint needs analysis.

IASC Needs Assessment Task Force (NATF)

IASC promotes the coordination of needs assessments to enhance the quality of humanitarian response. The IASC Working Group created the IASC Needs Assessment Task Force (NATF), which worked in partnership with IASC members to strengthen multi-sector coordination of needs assessments by:

- Developing tools and products to unify needs assessment approaches and methods within the humanitarian community; and
- Supporting humanitarian capacity building for in-country humanitarian actors and standby partners.

The NATF prepared two key outputs, which the IASC Working Group endorsed in November 2011:

- IASC Operational Guidance on Coordinated Assessments in Humanitarian Crises
- Multi-Cluster/-Sector Initial Rapid Assessment (MIRA) Manual

Key recommendations

The coordinated assessments guidance and MIRA approach manual above make the following recommendations.

- The humanitarian/resident coordinator should establish coordination mechanisms for cross-cluster/-sector needs assessment and analysis;
- Country-level cluster/sector leads should ensure effective and coherent sectoral needs assessment;
- Operational agencies should have the primary responsibility for undertaking assessments. They do so in a coordinated manner and adhere to the definitions, principles, methodologies, and approaches set out in the Operational Guidance;
- Plans for implementation of coordinated assessments should be part of preparedness and contingency planning work;
- Coordinated assessments should be part of ongoing processes guiding operational decision making. They complement monitoring of the overall humanitarian situation, and monitoring of the performance of the humanitarian response; and
- Coordination mechanisms should be applied to needs assessments differ depending on the phase and nature of a crisis. A MIRA is recommended during the first two weeks following a disaster, followed by joint or harmonised inter-cluster/-sector in-depth assessments.

This approach aims to ensure the collection of consistent, reliable, and timely data regarding needs in humanitarian settings. Additionally, it strives to strengthen informed decision making. It is integral to the IASC Transformative Agenda, which seeks to improve the humanitarian response system in emergencies.

Evidence base

Needs assessment provides the evidence base for strategic planning, as well as the baseline information on which situation and response monitoring systems will rely. It should therefore form a continuous process throughout the humanitarian programme cycle. Coordinated assessments are carried out in partnership with all humanitarian actors to assess the humanitarian situation and identify the needs of the affected population. Local and national authorities, civil society and affected communities are encouraged to participate in this process, the output of which is a humanitarian needs overview (HNO).

Key output: humanitarian needs overview

HNOs should be produced twice a year to support the HCT in developing a shared understanding of the impact and evolution of a crisis, and to inform response planning. This document presents a comprehensive analysis of the overall situation and associated needs. It is structured along the analytical framework developed for the MIRA.

The HNO builds and expands upon the needs analysis chapter of the former CAP document, consisting of a discrete step in the implementation of the programme cycle. Its development is a shared responsibility among all humanitarian actors, requiring strong collaboration between programme, and IM staff, as well as support from the OCHA country office and the inter-cluster coordination mechanism.

Severity ranking

To support prioritisation of needs, HCTs have the option to use a standardised tool based on a severity ranking approach. The tool provides a method and structure to prioritise needs by categorising and weighing indicators along geographical areas, sectors, inter-sectoral aspects and demographics. It can be adapted to either data-poor or data-rich contexts. Findings derived from applying this tool should be included in the HNO. The tool is optional, and other tools developed for different contexts may alternatively be used for severity ranking.

Key output: humanitarian dashboard

In addition, each country will continue to produce a humanitarian dashboard to present data on needs, response monitoring and gaps per crisis in an easily digestible format, based on the information presented in the **humanitarian needs overview**.

Suggestions to overcome challenges with protection needs assessment

Source: Shelley Gornall, UNHCR

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For further information contact: Shelly Gornall gornall@unhcr.org

Practical ways to include age, sex, and diversity in needs assessments

- Stratify focus group discussions according to principles (i.e. have separate focus group discussions for men, women, boys, girls, different economic classes, etc.).
- Use key informants for closed questionnaires/structured interviews who are from different strata of society.
- When selecting villages or camps to be assessed, stratify them to reflect diversity.
- Assess questions and themes that might be relevant to marginalised or less vocal segments of communities.
- Partner with specialised NGOs who work with hard-to-reach groups (e.g. HelpAge International, Handicap International, etc.) to get needs assessment data.
- Establish a regular field presence to understand communities and gain their trust.
- Mobilise self-governance structures (such as Youth Committees, Women's Committees, etc.) as sources for needs assessment information.
- Conduct a participatory ranking of problems and solutions, where community members themselves do the prioritisation.
- Hold assessment interviews with different segments of a population simultaneously (e.g. men's and women's focus group discussions), so that one group does not try to infiltrate the other, and so both feel equally consulted.
- Use good people skills and community management skills in addressing populations of concern. Be respectful and patient, and listen.

As appropriate:

- Triangulate data from different strata to see how different types of people have different experiences of a humanitarian situation.
- Ensure that when triangulating data, information being collected is not to confirm individual cases or individual experiences – trying to obtain this information could lead to additional harm.

UNHCR Mission Report – Protection Needs Assessment

Source: Data Support Mission from the Global Protection Cluster for the Darfur Protection Cluster, 2010

Date of Mission: 13 March to 4 April 2010

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For further information contact: Shelly Gornall gornall@unhcr.org

Inter-cluster/-sector joint needs assessment

Given the constriction of humanitarian space and the challenging security situation in Darfur, a joint needs assessment would be helpful to all humanitarian actors there, but particularly to the protection cluster.³ A joint needs assessment in the Darfur context could serve the following purposes:

- To establish a common baseline dataset that the interagency community agrees upon;
- To establish indicator data that can be used commonly, such that compatibility between interagency data analyses increases;
- To use data collection/monitoring resources more efficiently;
- To reduce assessment fatigue among the population of concern where possible;
- To encourage data sharing among agencies; and
- To leverage collective participation to improve humanitarian space for needs assessment.

The mission facilitated a workshop for sector leads or representatives⁴ in which data elements for a joint needs assessment were prioritised through a structured consensus-building activity. Prior to the workshop, sector leads submitted seven questions that they would like to see on a joint needs assessment.

During the workshop, PIM champions first scoped the needs assessment, and then defined criteria by which a question would be judged to be operationally important, and the criteria by which the relative difficulty in collecting the data would be evaluated. Using these agreed upon criteria, the workshop PIM champions then worked in pairs (followed by a plenary session) to rank the questions submitted before the workshop, according to how important they were and how easy they were to collect. The data collection form questions that were of high operational importance and were easy to collect were prioritised as 'high' while ones that did not fit the agreed upon criteria were prioritised as 'low' and discarded. The workshop also introduced some data management technical concepts such as unit of measurement in humanitarian needs assessment and data volume calculations.

The workshop attendees expressed enthusiasm about the value in establishing a joint needs assessment. Sector leads and members acknowledged that the information the humanitarian community desires greatly overlaps between sectors and that closer cooperation and coordination in the area of needs assessment would benefit them all, as well as the beneficiaries. The need for human and financial resources to develop a joint needs assessment tool and database support was raised, and these practical issues should be dealt with as a next step.

Recommendations

- OCHA, in collaboration with the Darfur Information Management Working Group, should continue to lead the process of defining a joint needs assessment.
- OCHA at the global level should consider sending a mission to OCHA Sudan to support it in establishing a joint needs assessment.

Note: the documented outputs from the inter-cluster/-sector needs assessment workshop are available from Shelley Gornall: gornall@unhcr.org

³ On a small scale, UNICEF is already doing this by combining WASH, nutrition and child protection assessments to create more humanitarian space, because doing a child protection assessment by itself is difficult.

⁴ Humanitarian coordination for the region takes place through seven sectors and four sub-sectors agreed on by the HCT. These are: health, with reproductive health as sub-sector; water, sanitation and hygiene; nutrition; education; non-food items and emergency shelter; food security; and livelihoods and protection, with GBV and child protection as sub-sectors.

Additional resources

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Inter-Agency Standing Committee

IASC Transformative Agenda

Source: IASC www.interagencystandingcommittee.org/node/2803

The emergency relief coordinator, together with the IASC, in 2005 initiated the humanitarian reform process to improve the effectiveness of humanitarian response through greater predictability, accountability, responsibility and partnership. Emergency response capacity has been reinforced at the global level according to an agreed division of labour. However, challenges remain in deploying adequate leadership; putting in place appropriate coordination mechanisms at various levels; and ensuring clear mutual accountabilities, as evidenced by several major disasters over the past years. Furthermore, the application of the cluster approach has become overly process driven and, in some situations, perceived to potentially undermine rather than enable delivery.

Needs assessment: guidance and templates

Humanitarian needs overview

Source: Humanitarian Response www.humanitarianresponse.info/programme-cycle/space/document/2015-humanitarian-needs-overview-guidance

This output is designed to support the HCT in developing a shared understanding of the impact and evolution of a crisis. The HNO helps inform strategic response planning. Most importantly, it works to ensure that credible evidence and a joint analysis of needs underpin an effective and prioritised humanitarian response.

Situational analysis

Source: Humanitarian Response: www.humanitarianresponse.info/programme-cycle/space/document/situational-analysis-template%20word-version

The situational analysis is the first output of the MIRA process and should be produced within 72 hours of an emergency. It represents an overview of available secondary data and early primary data. The situational analysis informs the flash appeal and the second, more in-depth phase of the MIRA, the primary data collection.

Operational Guidance on Coordinated Assessments in Humanitarian Crises

Source: Humanitarian Response www.humanitarianresponse.info/programme-cycle/space/document/operational-guidance-coordinated-assessments-humanitarian-crises-0

Identifying priority needs of affected populations is the first step towards ensuring an effective and speedy humanitarian response. The Operational Guidance promotes a shared vision of how to plan and carry out coordinated assessments. Outputs from coordinated assessments support humanitarian decision making.

Multi-Cluster/-Sector Initial Rapid Assessment (MIRA)

Source: Humanitarian Response www.humanitarianresponse.info/en/programme-cycle/space/document/multi-sector-initial-rapid-assessment-guidance-revision-july-2015

The MIRA Guidance outlines an approach to undertaking a joint multi-sector assessment in the earliest days of a crisis or change in the context. It guides subsequent in-depth sectoral assessments and provides decision makers with timely, adequate, sufficiently accurate and reliable information to collectively identify strategic humanitarian priorities.

Humanitarian Dashboard

Source: IASC www.humanitarianresponse.info/programme-cycle/space/document/humanitarian-dashboard-toolkit

The Humanitarian Dashboard is an IASC tool designed to facilitate the consolidation of needs assessment and response information, the provision of a structured format for the collection of data; and the presentation of a shared analysis of a humanitarian situation. It supports both the CAP cycle and the consolidation of information in sudden-onset emergencies.

Training suggestions

OCHA

- OCHA calendar for needs assessment trainings: www.humanitarianresponse.info/programme-cycle/space/events/list/themes/needs-assessment

MODULE 3.4 – PROTECTION MONITORING

Core competency – Skills: makes informed decisions about which systems are needed based on a comprehensive analysis of information requirements (and over time)

Module objectives (Slide 160)

This module will:

- Outline where protection monitoring occurs in the humanitarian programme cycle
- List triggers for protection monitoring
- Identify challenges with protection monitoring
- Identify solutions to overcome challenges with protection monitoring
- Summarise an example of protection monitoring

Module learning outcomes

- PIM champions can state that protection monitoring is a ‘systematic and regular’ process that occurs over an ‘extended period of time’
- PIM champions can identify that protection monitoring occurs throughout the entire humanitarian programme cycle
- PIM champions can list two challenges when implementing protection monitoring
- PIM champions can list two possible benefits of implementing protection monitoring

Question: Is protection monitoring a game changer or too risky of a challenge for protection actors to implement today? (Slide 161)

Add your notes:

ACTIVITY #29

Protection monitoring (Slide 162)

In your groups (assigned based on the type of water bottle)

1. Identify if you are:
 - Advocating that protection monitoring is a game changer OR
 - Advocating that protection monitoring is too risky of a challenge
2. In your groups discuss:

If you are advocating that protection monitoring is....	Then you should highlight:
A game changer	<ul style="list-style-type: none"> • The benefits of protection monitoring • Solutions to common challenges • Where protection monitoring occurs in the HPC
Too risky of a challenge	<ul style="list-style-type: none"> • The challenges of protection monitoring • Risks of implementing protection monitoring • Where protection monitoring occurs in the HPC and other priorities during this moment in the HPC

Additional notes for Module 3.4

Recall: Protection monitoring (Slide 139)

As a reminder, protection monitoring is defined as: ‘Systematically and regularly collecting, verifying, and analysing information over an extended period of time in order to identify violations of rights and protection risks for populations of concern for the purpose of informing effective responses’.

Intersections between the monitoring and the gender-based violence information management system (GBVIMS)

Source: Provisional Guidance Note on the intersections between the Gender-Based Violence Information Management System (GBVIMS) and the Monitoring and Analysis Reporting Arrangements (MARA), 2015.

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 For more information visit: www.qbvims.com

In recent years, efforts have been made at national and international levels to devise and develop information systems to support better collection and management of Gender-Based Violence (GBV) data in the context of a humanitarian crisis. Two global efforts – the Gender- Based Violence Information Management System (GBVIMS) and the Monitoring, Analysis and Reporting Arrangements (MARA) on Conflict-Related Sexual Violence (CRSV) – take different and potentially complementary approaches toward gathering and sharing data on GBV, including CRSV data, in view of strengthening the prevention of and response to GBV.

The intersection between the GBVIMS and the MARA presents opportunities for the organisations addressing GBV and CRSV to improve collaboration and deepen the global response to GBV. The GBVIMS was created to harmonize data collection on GBV in humanitarian settings, to provide a simple system for actors providing services to GBV survivors to collect, store and analyse their data and to enable the safe and ethical sharing of reported GBV incident data within and between relevant entities. Since 2008, the GBVIMS has been rolled-out at various levels and to various degrees with qualified agencies working in crisis-affected areas of twenty (20) countries. The MARA was established in 2010 by UN Security Council Resolution 1960 ‘to ensure the systematic gathering of timely, accurate, reliable and objective information on conflict-related sexual violence against women, men and children in all situations of concern’. The GBVIMS can be used to systematically collect information on GBV in contexts that are affected by conflict, and therefore may contain information related to conflict-related sexual violence (CRSV).

Documenting sexual violence in any context is a complex and sensitive undertaking. This Guidance Note is meant to help actors to better understand both the GBVIMS and MARA tools, approaches and methods, and to navigate the differences between them. The present Guidance Note only relates to the intersections between the GBVIMS and the MARA, and does not purport to guide or regulate other modes of informal information sharing on CRSV that may take place at country-level.

In conflicts and humanitarian contexts, including post-conflict contexts where access to services, risk of retaliation, high community stigma and political sensitivities may all be in play, any effort to collect information in order to prevent and respond to sexual violence is challenging and potentially dangerous. In these contexts, characterized by the breakdown of law and order and widespread disruption of community and family support systems, inquiring about sexual violence can have unintended life-threatening implications not only for the survivors themselves, but for their families, communities, those providing them with care and those actors who are collecting the survivor’s information. Hence, information gathering must be approached with utmost caution and care through systematic mechanisms for data protection

WHAT ARE THE PREREQUISITES FOR INCLUDING GBVIMS DATA IN MARA?

The decision on whether and what to share from the GBVIMS should happen at the country or regional level by senior staff of organizations that are directly implementing the GBVIMS. While it would be ideal for all organizations using the GBVIMS to reach a decision together on sharing information for MARA, or for GBV coordination mechanisms to be in place prior to information sharing, this may not always be possible (e.g., when there are no coordination mechanisms in place), and should not limit information sharing. In both situations, good practices in GBV data management and sharing (ethical and safety criteria such as confidentiality, anonymity, informed consent, and protection for the data), along with considerations of any potential negative consequences including safety and security risks, must always be at the centre of the decision-making process.

WHAT, IF ANY, GBVIMS DATA POINTS CAN BE SHARED FOR ‘REPORTING PURPOSES’ AND ACCORDING TO WHICH SAFEGUARDS?

It is important to note that the six classification types in the GBVIMS are not all relevant for the MARA. Of these six types, rape, sexual assault and forced marriage would be pertinent to share for MARA purposes. However, isolated incidents of rape or sexual assault within the private sphere are not necessarily relevant for MARA or considered CRSV as these incidents might not amount to international crimes. Moreover, the full spectrum of sexual violence under MARA is not captured by the GBVIMS (e.g. sexual slavery, forced impregnation/sterilization, etc. or any other act of comparable gravity under International Humanitarian Law).

WHAT ARE THE MINIMUM STANDARDS OF VERIFICATION THAT ARE RECOMMENDED IN THE CONTEXT OF THE GBVIMS? HOW GBVIMS DATA IS CONSIDERED ‘UNITED NATIONS-VERIFIED’?

Multiple sources of information are ideal according to human rights monitoring standards. The GBVIMS provides information collected by GBV services providers directly from GBV survivors’ testimonies, i.e. from primary sources. Therefore when considering information sharing from the GBVIMS for MARA’s verification purposes the three following minimum standards of verification based on the Field Manual on Monitoring and Reporting Mechanism (MRM) on Grave Violations against children in situation of armed conflict should apply:

When information is available from only one primary source, the following criteria should be met, in the best interest of GBV survivors:

- Information has been received from a primary source. The GBVIMS collects data at the point of service delivery i.e. directly and only from survivors. GBVIMS users who share data for MARA reporting purposes should not be asked to provide further identifiable data on survivors, perpetrators, and service providers for corroboration purposes.

AND

- The information collected is deemed credible by an UN-trained GBV service provider. If all GBVIMS users have been trained by UN agencies, GBVIMS data is considered as ‘UN- verified’ i.e. as a credible source of information on GBV collected by UN-trained organizations.

AND

- The GBVIMS Coordination body ensures regular quality control on the data collected.

GBVIMS DATA MAY NOT BE RELEVANT OR SHAREABLE FOR MARA PURPOSES WHEN:

- The data do not fall within the definition of ‘conflict-related sexual violence’.
- There is little (fewer than 50 cases) or no available incident data due to poor service coverage and/or lack of access due to insecurity.
- The number of agencies using the GBVIMS is very small and the risk for those agencies would increase.
- There is a lack of standardization in how incident data is documented.
- Informed consent procedures are not fully understood or followed.

- There is no endorsed inter-agency ISP.
- There are fears of reprisals (for survivors, their family members, or service providers) from the armed actors (groups) cited as alleged perpetrators where safety and security cannot be guaranteed.
- There are concerns that it is likely that the sharing of information will undermine agency specific or inter-agency efforts to prevent and respond to sexual violence (e.g. community will distrust or not allow service provision when it is known that an agency is part of a global monitoring and reporting mechanism).
- There is a demand for more invasive verification procedures than those outlined above

Training Manual on Human Rights Monitoring

OHCHR is in the process of revising the 2001 edition of the Training Manual on Human Rights Monitoring (No. 7). The following chapters of the new manual are currently available: [Table Of Contents](#), [Introduction](#), [2](#), [3](#), [5](#), [7](#), [8](#), [11](#), [12](#), [13](#), [14](#), [15](#), [16](#), [17](#), [20](#), [23](#), [30](#), [31](#).

IDP Handbook on Protection Monitoring

Source: *Handbook for Protection of Internally Displaced Persons*, p.92

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For more information visit: www.unhcr.org/4794a37a2.pdf

The principal objective of protection monitoring is to reinforce the responsibility of state actors and relevant non-state actors to protect IDPs and other affected populations. These state and non-state actors are referred to as duty bearers, because of their obligation to respect, protect, and fulfil the rights of right holders, in this case, the IDPs and otherwise affected communities.

The information gathered and the analysis carried out should also assist in guiding and informing the actions of relevant international and national actors.

Protection monitoring can be conducted under different modalities. The choice will be determined by contextual and operational factors, such as:

- The type of setting;
- Size of the population being monitored;
- Specific operational purpose of the monitoring activity; and
- Resources (human and financial) available for monitoring.

What is protection monitoring?

Source: 'Guidance docs after second round of review' Protection Monitoring Dropbox

Document: '1b What is protection monitoring': www.dropbox.com/sh/4p9pi1bfvb9sr4y/AACxQRosTsXriDEGBFMtp67Da?dl=0

Protection monitoring:

- Seeks to identify and analyse risks, incidents, and trends relevant to the protection of and assistance to persons of concern to inform decision making, prioritisation, advocacy and programme design;
- Seeks to identify protection capacities;
- Takes place at regular intervals over an extended period of time;
- Requires systematic data collection in a given geographic location or targeting a specific group;
- Should not be confused with ad hoc data collection;
- Is guided by clear objectives linked to the protection strategy; and
- Needs to inform programming

Why do protection monitoring?

Source: 'Guidance docs after second round of review' Protection Monitoring Dropbox

Document: 'Why are we doing it?': www.dropbox.com/sh/4p9pi1bfvb9sr4y/AACxQRosTsXriDEGBFMtp67Da?dl=0

Protection monitoring is an important protection activity, but it is not an end in itself, and needs to be anchored in and geared towards achieving the objective(s) of the protection strategy/ies and response of the operation. This includes programming, reporting, and advocacy. Protection monitoring should always contribute to the delivery of concrete interventions. The operational context will determine the tools, methodology, and systems that are most appropriate to use.

Protection monitoring normally **cannot** be used to produce information on:

- People/cases that have received assistance ;
- Population figures/statistics;
- Prevalence of incidents; or
- Programme performance.

Weaknesses inherent in quantitative data include:

- Gaps in information – issues that are not included in the questionnaire, or secondary data checklist, will not be included in the analysis;
- A labour-intensive data collection process; and
- Limited participation by affected persons in the content of the questions or direction of the information collection process.

Protection Monitoring is **not** many things. Often, protection monitoring is used synonymously with other terms that, however, should not be confused. The following table provides some examples and explains the differences.

Title	Definition	Why?
Crowdsourcing	The process of obtaining needed services, ideas, or content by soliciting contributions from a large group of people, and especially from an online community	Crowdsourcing is a data collection methodology, not an information system. Secondary data from the crowdsourcing is used for to triangulate information collected through protection monitoring
Media monitoring	Systematic review of information provided from media	Media monitoring is a data collection methodology, not an information system. Systematic review of secondary data from media is used to triangulate information collected through protection monitoring.
Case management	Assistance provision at individual level	Case management is implemented with the objective of providing assistance at the individual level; the information received through its implementation is only a 'by-product'; it will only reflect 'reported' cases and covers only those areas where service providers are operational; the information on incidents from a case management system needs to be analysed with this limitation in mind.
Help lines/call centres	Contact to service providers is established using modern technologies	Helplines/call centres are used to allow people to contact service providers using phone, SMS, and/or internet. Helplines are used in different ways: to provide a service directly over the phone (e.g. psychosocial counselling) or to provide information on where to get help (e.g. referrals); in both cases, the information collected, if done in a systematised way, is used to triangulate information collected through protection monitoring.

Case study: Iraq

Source: Iraq Protection Cluster

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For more information contact: Kathryn Lo: lok@unhcr.org

Provide information on:	Give your answer below:
Which category is your case study about?	Protection monitoring
Where?	Iraq. Protection monitoring is ongoing in all 18 governorates (provinces) in Iraq, including areas of displacement, and areas of return where it is safe for protection monitors to work. Protection monitoring is not conducted where there is no humanitarian access due to conflict or poor security conditions.
When?	<p>January 2014–16 (ongoing)</p> <p>The Protection Monitoring Tool (PMT) evolved in early 2014 to assess IDPs fleeing conflict in Anbar governorate. In the summer of 2014, with the rapid spread of conflict to Anbar, Diyala, Kirkuk, Ninewa, and Salah al Din governorates, more than one million Iraqis were displaced across the country. There was an urgent need to understand the needs and gaps of these families, and to understand the dynamics of protection issues, because displacement was very fluid and sudden. As a result, in September 2015, the PMT went through about six months of consultation with UNHCR, protection partners and Protection Cluster members to enhance the content to address the widespread and urgent nature of displacement. Simultaneously, the PMT underwent digitisation and moved from a two-step process of paper-based data collection and then data entry, to a single digital data entry format using the KoBo Collect application on tablets and smartphones. In February 2015, the PMT was field tested using tablets in Erbil governorate. It was then rolled out in Dahuk and Sulaymaniah governorates in May, in central Iraq in June and finally in southern Iraq in September.</p> <p>In November 2015, UNHCR began a review process of the PMT, gathering a first round of feedback from all UNHCR offices and protection monitoring partners across Iraq, and from regional IM colleagues. The new PMT v2 was digitised in January 2016, and field tested across the country in February 2016; resulting in a second round of feedback. PMT v2 was launched in March.</p> <p>In 2015, the PMT was used to assess IDP and IDP returnee households. In 2016, the PMT v2 was expanded to include stateless individuals and refugee returnees.</p>
Which organisations were relevant to this case study?	UNHCR, the Protection Cluster, and partners Harikar, Qandil, CDO, IRC, REACH Iraq, Al Khair, ISHO, CAFOSIR, RIPC
Why did the actors (mentioned above) choose to implement this category?	<p>UNHCR and partners chose to implement protection monitoring to systematise the information to improve analysis, information sharing, and quality and breadth of information.</p> <p>UNHCR and protection partners had always been engaged in protection monitoring; however, the information collected was not in a harmonised digital format, and different partners were collecting varying types of information, so it was difficult to analyse the issues across the country.</p>
What were the outcomes when the actors (mentioned above) implemented this category?	<p>Some outcomes of the PMT are the following:</p> <ul style="list-style-type: none"> • Improved analysis and evidence-based data for advocacy and programming on a wide-range of topics; • Improved information sharing among protection actors, UN agencies, and other Cluster members; and • Referrals for cash assistance for 26,000 households and for specialised services for more than 10,000 households.
How did implementing this category influence the development of the protection	<p>Implementing the PMT influenced the protection strategy in many ways, including:</p> <ul style="list-style-type: none"> • The PMT allows the Protection Cluster, UNHCR and partners to better advocate

<p>strategy?</p>	<p>using evidence-based data to government authorities, donors, and humanitarian actors;</p> <ul style="list-style-type: none"> • Protection issues can now be analysed and assessed among governorates and districts because protection monitors across Iraq collect the same information; • Protection monitoring information in a digital format is shared more easily with a broader range of partners and Protection Cluster members, informing more actors in analysis and programming; • The PMT referral system allows for improved monitoring and follow-up of individuals needing specialised services, as well as monitoring the needs and gaps for services; • Having the information directly entered into a database in the field by protection monitors allows for real-time information flow from across Iraq, assisting with faster decision making, analysis, and understanding of displacement events; • Protection monitors are able to gather information more quickly using tablets, allowing for a more comprehensive protection assessment, informing issues such as housing, land, and property issues, mine awareness, GBV, child protection, shelter, basic needs and future intentions; and • Direct data entry using tablets, and reduction of data entry staff, frees up resources for protection programming.
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MODULE 3.5 – COUNTRY PRESENTATION

Core competency – Attitudes: disseminates lessons learned and good practices with colleagues locally and globally to support sustainability and knowledge management

Module objectives (Slide 166)

This module will:

- Recall challenges and lessons learned from others
- Recall good practices from others

Module learning outcomes

- PIM champions can name two activities a country group is implementing
- PIM champions can name one useful piece of information they could use in their programme

Country presentation

Country presenting	
PIM champions' names	
Activities implementing	
Something you learned to use in your current context	
Questions for team	

Additional notes for Module 3.5

MODULE 3.6 – POPULATION DATA

Core competency – Skills: makes informed decisions about which systems are needed based on a comprehensive analysis of information requirements (and over time)

Module objectives (Slide 168)

This module will:

- Recall population data as a category
- Outline where population data occurs in the humanitarian programme cycle
- List triggers for population data
- Summarise an example of population data

Module learning outcomes

- PIM champions can state that population data ‘records a number’ in a ‘specific place and time’
- PIM champions can identify two ways population data is different from protection monitoring and protection needs assessment
- PIM champions can identify where population data fits in the humanitarian programme cycle
- PIM champions can list three environmental examples that would trigger the need to obtain population data

Recall: Population data (Slide 142)

Population data systems record the number and characteristics, disaggregated as appropriate, of a population in a specific place and time period, for the purpose of programming effective prevention and response.

ACTIVITY #30

Read a case study (Slide 168)

Source: JIPS, 2016

Contact information for case study: info@jips.org

Case study: Côte d’Ivoire

Source: Joint Internally Displaced Populations (IDP) Profiling Service (JIPS), 2016. All rights reserved to JIPS. Re-publication prohibited without obtained consent from JIPS.

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Contact information for case study: info@jips.org

For more information visit: www.dart.jips.org/visualize

Provide information on:	Give your answer below:
Countries the case study took place in	The case study took place in Côte d’Ivoire: specifically, in the departments of Abidjan, Bangolo, Bolequin, Daloa, Douekoué, Giglo, Man, San Pedro, Sassandra, Soubré, and Tabou. These departments were the most affected by the 2002–11 crises and are the main areas hosting IDPs, as well as the most important return areas of former IDPs and returned refugees.
Date of the case study	The case study took place between January and November 2014. The initial scoping missions for the production of the draft final report, including data collection, were carried out between July and September 2014.
Organisations relevant to the case study	The organisations relevant to this case study are the: Ministry of Plan and Development; the Institute National de la Statistique (INS); United Nations Country Team; United Nations High Commissioner for Refugees (UNHCR); United Nations Development Programme (UNDP); and JIPS. A technical working group was also put in place, with the participation of: national

	<p>ministries; UN agencies; national; INGOs, returnees, and repatriated populations. The working group’s mission was to define the objectives of the profiling and the geographic scope; validate the budget, methodology, and questionnaires; follow up on data collection; and validate the final results of the exercise. The INS and UNHCR undertook the technical work of the profiling, with support from JIPS.</p>
<p>Selected populations</p>	<p>The populations selected included IDPs, returnees, repatriated populations, and host communities.</p>
<p>Why did the actors involved choose to implement this category?</p>	<p>Between 2002 and 2011, Côte d’Ivoire suffered a series of political/military crises that led to multiple forced displacements of populations within the country, and across its borders. Some of these populations had returned to their places of origin by the end of the crisis, others remained in their places of displacement. Some individuals affected by the conflict (IDPs, returnees/repatriated, and host communities) may still face protection risks, because the crisis greatly affected their economic resources and social issues.</p> <ul style="list-style-type: none"> • Chosen as a pilot country for implementing the UN Secretary-General’s Decision on Durable Solutions, partners in Côte d’Ivoire decided to implement a profiling exercise to inform the development of a durable solutions strategy. In particular, the profiling sought to: Estimate the number of people affected by forced displacement since 2002, as well as their geographic distribution, age and gender distribution; • Analyse the displacement history and patterns; and • Analyse the level of achievement of durable solutions as outlined in the IASC Framework for Durable Solutions.
<p>Outcomes of the category (highlights)</p>	<p>The 11 departments of Côte d’Ivoire host approximately 309,000 IDPs, 2,125,000 returnees, and 104,000 repatriates. This is equivalent to 78,000 IDP households and 513,000 returnee/repatriated households. For all of the population categories, the post-election crisis in 2011 was the main cause of displacement/population movement, followed by the conflict in 2002.</p> <p>The profiling found that approximately 57.6% of the IDPs had arrived in the district of Abidjan. Of those, 84% remain in Abidjan. In the other departments, the majority of IDPs also moved within the same region. Hence, it could be concluded that the displacement in Côte d’Ivoire is largely intra-district or intra-urban in nature. The majority of the IDP populations arrived directly in the place of displacement; however, around 30% of the IDPs experienced multiple movements, possibly related to forced displacement.</p> <p>The profiling also found that the majority of IDPs expected to remain in their new location or move to another location. Only around 10% of households expected to return to their place of origin.</p> <p>The majority of households that sought refugee in other countries have come back to Côte d’Ivoire. Nonetheless, approximately 16% of those repatriated have still not returned to their place of origin. In one department, more than 70% of repatriated households have not gone back to their place of origin.</p> <p>The profiling showed no significant variations in the socio-demographic characteristics of the three population categories. All of the target populations were largely young and living in urban areas. The education level was generally low. For example, around 70% of the overall target population did not go beyond primary school. In terms of health, urban populations have greater access to health care services than rural ones, but no significant differences were found between the displaced and host populations. Access to food was an important challenge for the three population categories: over 95% of households in the three categories said they had difficulty in finding the food they needed. Some 80% of the total population suffered from tenure insecurity, because they did not have documents to prove the possession of their house, and around 50% did not have documents to prove possession of their land.</p>
<p>How did implementing this</p>	<p>The profiling and the data collected provided a baseline, which led to the development</p>

<p>category influence the development of the protection strategy?</p>	<p>and future implementation of a durable solutions strategy in the country. The strategy required reliable baseline information on the numbers and socio-demographic characteristics of the three population categories analysed. Through a comprehensive analysis of the situation of the displaced, returned, and host communities, the profiling gave an overview of protection needs across different sectors. Coupled with the population data, this analysis provided a breakdown of numbers of people in need of protection responses; their locations; and a further breakdown of these groups by sex, age, and other characteristics such as nationality and language. Overall, population data was thus an inseparable element in forming a concrete and actionable evidence base for responses, including advocacy and enhanced protection.</p>
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ACTIVITY #31

A deeper look at population data (Slide 169)

1. Find your group
 - You have a type of candy
 - You will find the candy on a flip chart with flip chart pens in the breakout room
2. Go into the breakout room and find your group’s flip charts
3. Spend 15 minutes discussing challenges and solutions to population data:
 - Write a challenge on the ‘challenge’ flip chart and a solution to that challenge on the ‘solutions’ flip chart
 - In the solution, specifically identify the role a protection/IM actor has in the solution
4. Spend the final 10 minutes identifying what can trigger the need to have population data
5. We will then move the flipcharts together and discuss as a group

Fill in the table with your notes:

<p>What could be the challenges of population data?</p>	
<p>What could be the solutions to those challenges?</p>	
<p>What has triggered your need for population data?</p>	

ACTIVITY #32

You and population data (Slide 172)

Alone and silently reflect to ensure you understand all of these objectives

Additional notes for Module 3.6

Informing Solutions Together

Contact information: info@jps.org or info@acaps.org

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For more information visit:

Source: www.acaps.org/img/documents/q-qualitative-and-quantitative-research.pdf

Source: JIPS information brochure (Joint IDP Profiling Service: Informing Solutions Together) – www.jips.org

Population data systems could lead to:

- Understanding trends
- Quantifying the magnitude and scope of a crisis
- Comparing communities within different locations or over periods of time
- Confirming a hypothesis
- Informing joint programming
- Advocating and fundraising for an improved response
- Informing policy development
- Informing long-term solutions for the affected population.

Population data fails to provide an in-depth description of the situation

Knowing how many people are affected and their locations does not provide sufficient information to guide agencies and sectors on what they should plan for in terms of response. Knowing why there is a problem and how people are affected will combine with the numbers and locations to provide insight on how best to tailor the humanitarian response.

For example, quantitative data collection may indicate categorically that 200,000 people were affected by a flood in four districts. This information would answer the questions:

- How many people have been affected by the flood?
- In how many districts?

However, this data does not tell you what priority needs are for people affected by the flood or how the flood has affected traditional coping strategies. Additional quantitative data could be collected to determine specific needs by asking community members to rank a list of priority needs. But this would still fall short of explaining why these are the priority needs and how that affects and is affected by local culture and values. It would fail to provide information about priority needs for humanitarian intervention. To gather this information, an investigator would need to ask an open-ended question, such as ‘How has the disaster affected traditional coping strategies used by members of the community?’ Or ‘Why are these the priority needs for your community?’

Weaknesses inherent in quantitative data include:

- Gaps in information – issues that are not included in the questionnaire, or secondary data checklist, will not be included in the analysis;
- A labour-intensive data collection process; and
- Limited participation by affected people in the content of the questions or direction of the information collection process.

Population data and the humanitarian programme cycle

Source: United Nations Office for the Coordination of Humanitarian Affairs (OCHA)

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For more information:

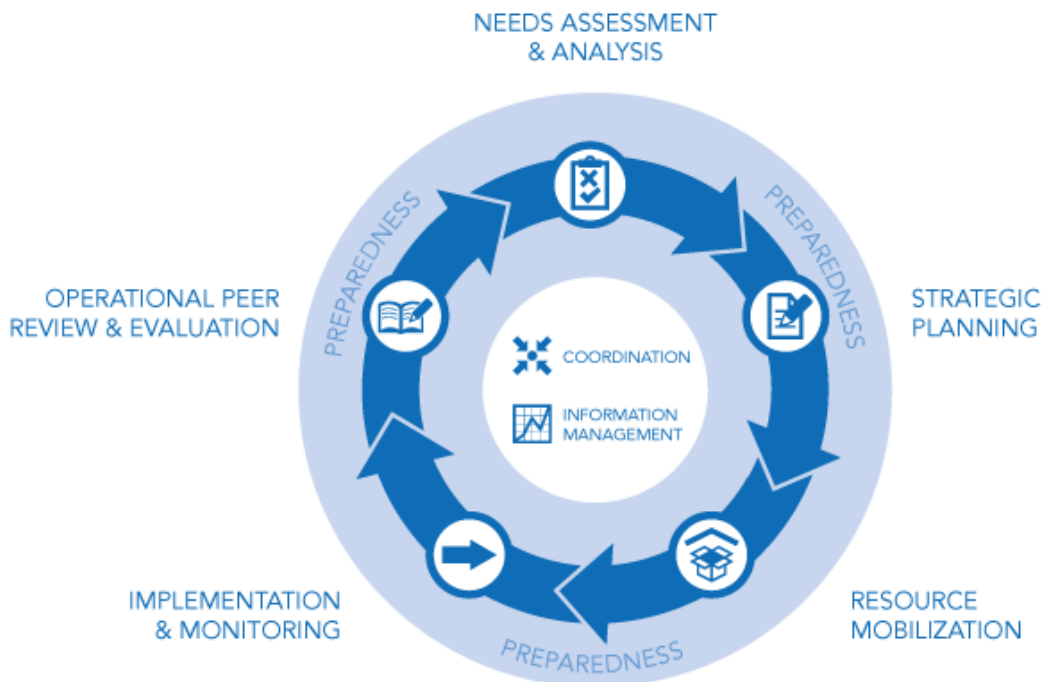
www.humanitarianresponse.info/en/programme-cycle/space

www.humanitarianresponse.info/en/system/files/documents/files/hpc_reference_module_2015_final_.pdf

Population data systems could be useful in many places, pending what is needed. They are most used in the needs assessment phase, and implementing and monitoring phases.

A coordinated approach to the assessment of an emergency and to the prioritisation of the needs of affected people lays the foundation for a coherent and efficient humanitarian response. For protracted crises, the depth and volume of information needed for an effective response increases as it evolves. This often translates into a requirement for in-depth cluster/sector, thematic or agency-specific assessments to inform planning and operations, which in turn necessitates a harmonised assessment approach with joint needs analysis.

Figure 4 The humanitarian program cycle



Source: <https://www.humanitarianresponse.info/programme-cycle>

PIM Working Group Meeting Conclusions on Population Data

Source: Protection Information Management Working Meeting Outcome Document, 27–29 May 2015

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For more information visit: www.globalprotectioncluster.org/en/tools-and-guidance/information-and-data-management.html

It is always possible to provide population data or population estimates. Depending on the situation and purpose, the quality, unit of measure, and disaggregation of the data may differ. Further, a change in circumstance may affect the need or opportunity for additional disaggregation. At the very least, protection/gender mainstreaming requires that data is always disaggregated by sex and age; other characteristics, such as ethnicity and place of origin, may also be important, even in initial data collection. Population data should increase in accuracy and detail over time, building on existing data to improve the quality and reliability of the data. It is also important to recognise that multiple stakeholders may hold population data during an emergency response. Different sources and methodologies for gathering population data are subsequently available, including the following:

- Rapid population estimation
- Secondary data analysis
- Census
- Registration
- Survey
- Flow monitoring.

Some of these approaches are more suited to emergency contexts, whereas others are possible only in the relative stability of protracted crises or non-crisis contexts. It is crucial that the collection, analysis, and dissemination of population data be done in a protection-sensitive manner, even when population data is managed by other sectors. A risk assessment should be conducted before collecting population data at any level, to examine the needs of the particular population, specific demographic data required, risks in collecting the data, and with whom the data can be shared. This risk assessment will also inform the development of specific population data collection methodologies, involvement of different actors (including the population itself) in its implementation, and any assessment of the quality, comprehensiveness, and bias within the population data.

For population data management systems, inter-agency engagement is required, though this may depend on the operational context and sensitivity of the issue. Conflict between population figures from different systems and agencies can distract the focus of donors, governments, and partners from advocacy, prevention, and response. Lack of agreement harms the humanitarian response, hampers preventative and political action, and undermines the credibility of the humanitarian community’s description of risks, the magnitude of a problem, and the assessment of needs. Depending on whether the situation involves refugees or IDPs, the protection cluster may have an important role, while the engagement of an inter-agency and inter-cluster team is also essential. For work falling under this PIM category, a top priority should be supporting population data systems in humanitarian crises to enhance the needed collaboration and consensus.

Case study: South Sudan

Source: *International Organisation for Migration (IOM), 2016*

All content in this section is copyrighted to IOM

Contact information for case study: *Displacement Tracking Matrix (DTM) Support Team: DTMSupport@iom.int*

Provide information on:	Give your answer below
Which category is your case study about?	Population Data
What country/cities did this case study take place in?	Bentiu, South Sudan
When did the case study occur?	2015
Which organisations were relevant to this case study? (Make sure to include your own)	The DTM, in partnership with the Camp Coordination and Camp Management (CCCM) Cluster and in coordination with Food and Protection partners
Why did the actors (mentioned above) choose to implement this category?	Following the outbreak of the South Sudan civil war, thousands of civilians sought refuge in the United Nations Mission in South Sudan PoC (protection of civilian) areas across the country. These areas were not equipped to receive and host large number of individuals for prolonged periods of time, ranging from a few thousand to up to 120,000 people (e.g. Bentiu POC, 31 December 2015). At the onset of the displacement, POCs were highly congested, while repeated registration exercises had caused friction among the communities, and between them and humanitarian partners working on site, due to the fluidity of the population movements. This provoked challenges and delays in services delivery, further exacerbating protection concerns in these areas.
What were the outcomes when the actors implemented this category?	The DTM, in partnership with the Camp Coordination and Camp Management (CCCM) Cluster and in coordination with Food and Protection partners, devised a new registration methodology that aimed to mitigate long queues and other tensions characterising enumeration processes through a two-phase approach. During Phase one, IDPs were requested to queue using two separate lines – one for men, the other for women and children – and three colour coded tokens were distributed: blue for men, red for women and green for children. This succeeded in reducing tensions within households and gender groups, because individuals could attend the registration centre independently, and the token distribution could be quickly managed. During Phase two, only one member of the household, carrying the tokens of the entire family, was requested to attend the registration process. This drastically decreased the

	<p>number of individuals participating in the exercise, hence facilitating to identify and hence register cases reporting protection concerns through mobile teams. Tokens were then cross-checked and counted to check the level of accuracy, and identify issues of discrepancy. Therefore, this revised registration methodology increased efficiency in managing registration exercises with large caseloads (e.g. up to 50,000 individuals – Bentiu PoC, June 2014).</p>
<p>How did implementing this category influence the development of the protection strategy?</p>	<p>In the following months, DTM launched biometric registration procedures across all PoC areas, thereby enhancing the level of targeting and assistance to the affected population.</p>

Guidance on Profiling Internally Displaced Persons

Source: *Guidance on Profiling Internally Displaced Persons, 2008*

All content in this section is copyrighted to Norwegian’s Refugee Council’s Internal Displacement Monitoring Center and the United Nations Office for the Coordination of Humanitarian Affairs

For more information visit:

docs.unocha.org/sites/dms/Documents/Guidance%20on%20Profiling%20Internally%20Displaced%20Persons,%20OCHA-NRC,%20English.pdf

Key messages from the document:

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

MODULE 3.7 – PIM MATRIX USE AND OUTPUTS

Core competency – Skills: analyses IM environment (threats, opportunities, strengths, weaknesses) to inform methodology design and operational planning

Module objectives (Slide 175)

This module will:

- Explain how each category is unique and different from another category
- Explain why a category would be implemented
- Explain what actors could expect from implementing a category (outputs)

Module learning outcomes

- PIM champions can give one reason why to implement a category
- PIM champions can list an output from a category

ACTIVITY #33

What is the difference? (Slide 176)

1. Find your group:
 - You have a colour sticker on the back of your name tag
 - Find your group’s sticker on a flip chart in the breakout room
2. In your group, identify the differences between the following categories:
 - Protection monitoring vs. protection needs assessment
 - Protection monitoring vs. population data
 - Protection needs assessment vs. population data
3. Nominate one person to present in plenary

Add your notes:

ACTIVITY #34

Outputs (Slide 177)

1. Find your pairs:
 - You have either a country or a capital city
 - Find the match to your pair, e.g.:
 - Person 1 = Australia
 - Person 2 = Canberra
2. In your pairs discuss:
 - a. What were the outputs that came from the category?
 - b. How did you use these outputs?
3. By the end of your discussion:
 - a. Identify at least one output that comes from this category (general)
 - b. Write this output in the table below (general)
 - c. Identify how this output was used (specific to context)

Reminder, by outputs we mean:

1. What were the outputs that came from the category?
2. How did you use these outputs to influence the work that you do?

Category	Example location	PIM champion	What were the outputs that came from the category?	How did you use these outputs to influence the work that you do...?
Protection needs assessment				
Protection monitoring				
Population data				

ACTIVITY #35

You and categories:(Slide 178)

Alone and silently reflect to ensure you understand all of these objectives

Additional notes for Module 3.7

MODULE 3.8 – DAY 3 REVIEW

Core competency – Skills: analyses IM environment (threats, opportunities, strengths, weaknesses) to inform methodology design and operational planning

Module objectives (Slide 181)

This module will:

- Reflect on the day and progress on course objectives
- Reflect on the competencies learned
- Provide feedback on the day

Module learning outcomes

- PIM champions will have written new concepts in their workbooks
- PIM champions will write on how a core competency of PIM was built
- PIM champions will complete their feedback form for day 3

Day 3 core competencies

- 3.1 – Knowledge: knowledge of key protection norms and standards and holistic approach to protection and the ability to incorporate these into operational and technical solutions
- 3.2 – Skills: analyses IM environment to inform methodology design and operational planning
- 3.3 – Skills: makes informed decisions about which systems are needed based on a comprehensive analysis of information requirements (and over time)
- 3.4 – Skills: makes informed decisions about which systems are needed based on a comprehensive analysis of information requirements (and over time)
- 3.5 – Attitudes: disseminates lessons learned and good practices with colleagues locally and globally to support sustainability and knowledge management
- 3.6 – Skills: makes informed decisions about which systems are needed based on a comprehensive analysis of information requirements (and over time)
- 3.7 – Skills: analyses IM environment (threats, opportunities, strengths, weaknesses) to inform methodology design and operational planning

Reflection

- How will you use this information in your work?
- What outstanding questions do you have?

Module	Name of module	Questions and notes
3.1	Refresher (Part I)	
3.2	PIM matrix	
3.3	Protection needs assessment	
3.4	Protection monitoring	
3.5	Country presentation	
3.6	Population data	
3.7	PIM matrix use and outputs	

Tools to remember

Key experts

Additional notes for Day 3

MODULE 4.1 – REFRESHER (Part II)

Core competency – Skills: makes informed decisions about which systems are needed based on a comprehensive analysis of informed requirements

Module objectives (Slide 182)

This module will:

- Reflect on yesterday
- Explain main concepts from yesterday’s modules

Module learning outcomes

- PIM champions can identify how the categories of protection needs assessment, protection monitoring, and population data differ
- PIM champions can describe where three categories fit within the humanitarian programme cycle
- PIM champions can name examples of protection needs assessments, protection monitoring, and population data
- PIM champions can identify the outputs of protection needs assessments, protection monitoring, and population data
- PIM champions can identify the challenges with protection monitoring
-

ACTIVITY #36

Find a PIM champion (Slide 185)

What have you learned?

1. Look at the table below
2. Read the questions listed in the table
3. Move around the room and find someone who can answer each of the questions. A different person must answer each question and you should move around the room until they have signatures for all questions

Question	Signature of completed	Answers
Identify one way protection needs assessment is different from protection monitoring		
Identify one way protection monitoring is different from population data		
Identify one way population data is different from a protection needs assessment		
Describe where three categories fit within the HPC		
Name two examples that could lead to (or trigger) implementing population data		
What are challenges with implementing protection monitoring?		
What are the outputs of protection needs assessment?		
What are the outputs of protection monitoring?		
What are the outputs of population data?		
Describe an time you implemented protection monitoring (identify why you did it and the outputs)		
Describe an time you implemented population data (identify why you did it and the outputs)		
Describe an time you conducted a protection needs assessment (identify why you did it and the outputs)		

Additional notes for Module 4.1

MODULE 4.2 – ANALYSE YOUR ENVIRONMENT (Part II)

Core competency – Skills: analyses IM environment (threats, opportunities, strengths, weaknesses) to inform methodology design and operational planning

Module objectives (Slide 187)

This module will:

- Explain what an analytical framework is
- Explain why a secondary data review is useful

Module learning outcomes

- PIM champions can explain how they can use the analytical framework in their environment
- PIM champions can explain why a secondary data review is useful in implementing a protection response

The roadmap (Slide 188)

Add your notes:

What is a secondary data review? (Slide 189)

A secondary data review:

- Is a rigorous process of data collation, synthesis and analysis, building on a desk study of all relevant information available from different sources such as the government, NGOs, UN agencies, media, social media, and other sources
- Requires external sourcing
- Is pre-analysis

The objectives of a secondary data review are to:

- Verify and collect baseline information
- Present an initial and quick situation overview
- Identify gaps in knowledge, and support design of field assessments
- Support strategic planning

Analytical framework (Slides 190–194)

Source: *Guidance Note Multi-Sector Analytical Framework for Secondary Data Reviews in Emergencies*

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For more information contact Gavin Wood: emops.gccu.im@gmail.com

The Multi-Sector Analytical Framework was designed to guide assessment planning, as well as the collection, collation and analysis of primary and secondary data, and the production of information reports. The framework helps the assessment team ensure that analysis planning and execution are comprehensive, incorporating information from all sectors into its four components. Together, these four components provide an analysis of the impact of the crisis and of the operational environment, allowing for further identification of gaps in response and priority needs:

Gap needs

- **Geographical scope and scale of the crisis:** scope and scale of the emergency provides an understanding of the nature of the conflict or hazard and pre-existing vulnerabilities or underlying factors. Analytical outputs include the geographic areas affected (to the lowest possible administrative levels), a problem tree, the effects of the crisis on the availability and access to main goods and services, an estimate of the number of people affected, and the humanitarian profile (detailing whether the population is displaced, in which setting, etc.).
- **Severity of the crisis:** conditions and status of the affected population describes the humanitarian outcomes of the crisis and their severity. These include mortality rates, morbidity, nutritional status, food insecurity, and psychological trauma, among others. New emerging vulnerabilities, threats, or risks are identified to forecast and anticipate how the crisis might unfold in the coming months. Analytical outputs include estimates of people in need per sector and the severity of conditions (i.e. people at risk, moderately or severely in need).

Response needs

- **Gaps in response:** humanitarian access describes the ability to access people in need, and the ability of people in need to access services provided by the humanitarian community. Physical and security issues are included. Analytical outputs include an analysis of access constraints and an estimate of the number of people in need who do not have regular access to humanitarian assistance.
- **Operational constraints:** capacities and response looks at the human, material, and financial resources available for the response. It describes the coping mechanisms of the affected population, as well as the response mounted by the humanitarian community and national authorities. Analytical outputs include resource and response gaps.

The analytical outputs for each pillar of the framework should provide an overview of the current situation, how it differs from the pre-crisis situation, and its likely evolution in the coming months. As a result, it enables identification of critical response gaps and current or forecasted priority needs. Information gaps that affect confidence in the final results should be noted and communicated.

According to the context, results of the analysis can be broken down by sector (WASH, education, child protection, etc.), spatial characteristics (administrative areas, rural/urban, conflict intensity, etc.), time (before, now, and in future), or population group characteristics (people affected, vulnerable groups, socio-economic groups, sex and age intervals, etc.).

The analytical framework is applied to each category of analysis:

- To describe the humanitarian conditions and status of the concerned population;
- To compare and contrast situations across categories (urban vs., rural, male vs. female, before vs. after, etc.);
- To identify similarities and differences; and
- To establish what interventions are most urgently required, for whom and where.

The analytical framework is applicable in all humanitarian contexts: sudden onset, slow onset, and conflict. The timelines indicated below are indicative and might be adapted depending on the situation and the type of decisions to inform:

- In sudden-onset crises the analytical framework can be applied to a secondary data review immediately after the crisis becomes apparent, for release within the first 3 days. The analysis is regularly updated over the following 2 weeks, pending release of the MIRA or cluster/sector assessments. Producing a secondary data review after Week 2 of a sudden-onset crisis is rare because primary data collection initiatives generally start producing information at this stage.
- In slow-onset crises and conflict, an in-depth secondary data review can be produced within 1–2 weeks of the start of a conflict, declaration of an emergency, or major change in the context. The analytical framework can also be used to inform the HNO or situation analysis, which are produced to account for the scope and scale of the crisis. Regular

collection and analysis of secondary data over the timespan of the crisis is recommended to monitor significant changes in context, vulnerabilities, risks or needs.

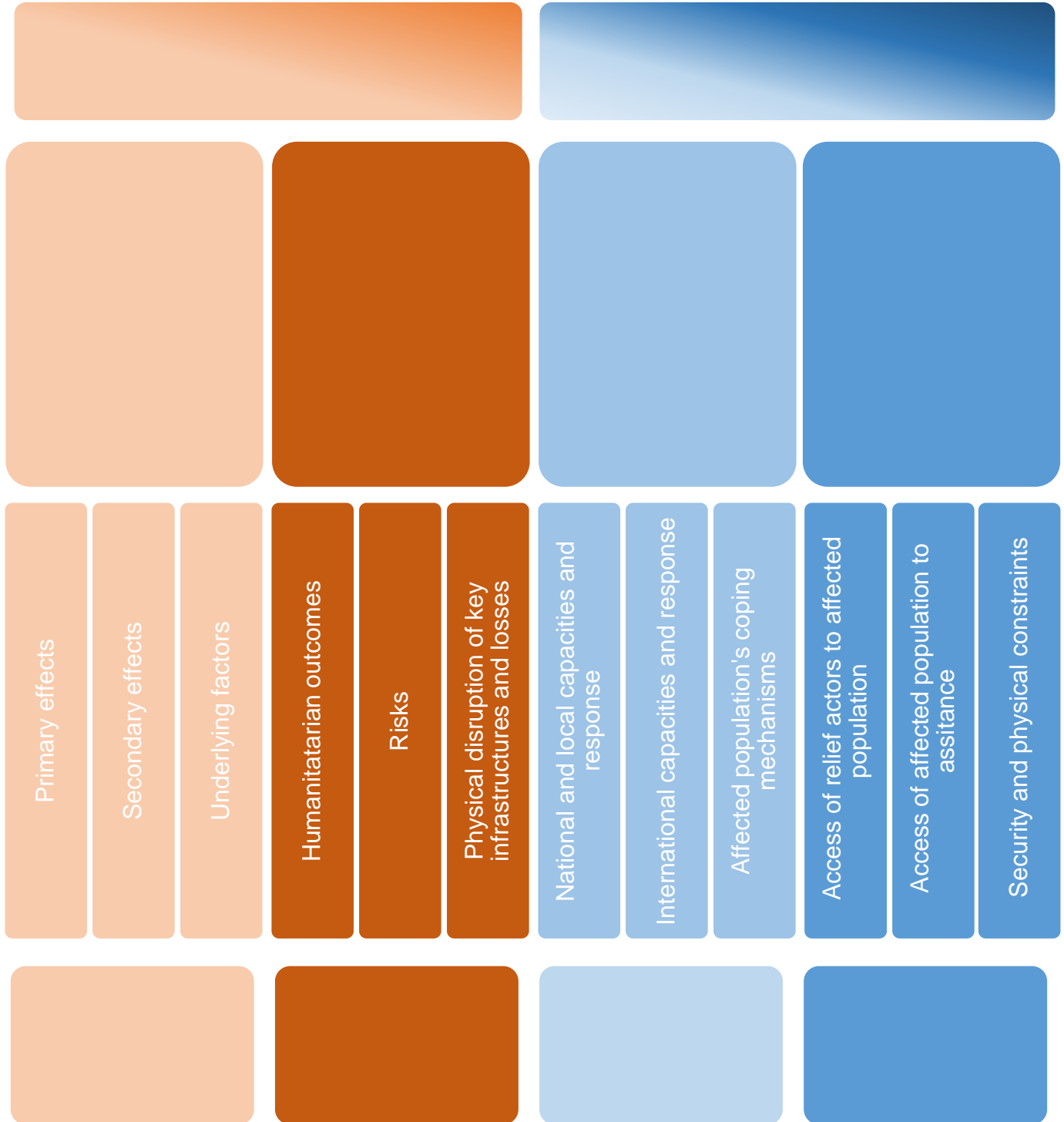
In the next section, information needs have been specified for each pillar of the analytical framework and for each cluster/AoR. Each sector page:

- Details information needs for each cluster/AoR by analytical framework component at different stages of the crisis;
- Describes the indicators that provide the necessary information identified by each cluster/AoR;
- Describes useful pre-crisis indicators for each cluster/AoR that can be collected and maintained by country offices as part of data preparedness, to feed into Early Warning/Early Action processes; and
- Identifies the main online secondary sources for reference.

Quantifying needs

Information needs are ideally articulated as population-based indicators (i.e. number and percentage of people in need). When time and resources are lacking (i.e. in the onset of an emergency), quantities can be expressed using qualitative ('most of the population'), semi-qualitative ('between 25% and 50% of the population') or quantitative ('135,670 people') statements, depending on the technique used to produce the figures, and the precision of the measurement instrument. All efforts should be undertaken to refine, update, and quantify assumptions or estimates over time, using random selection or enumeration.

Priority humanitarian needs



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For more information visit: [JIMT Dropbox](https://jimt.org) or contact info@acaps.org and sbpt@un.org

ACTIVITY #37

Secondary data review– Example: South Sudan (Slide 196)

Upper Nile State is one of the ten states in South Sudan. The state is divided into 13 counties, including Malakal, Melut, and Maban among others. The capital is Malakal. The White Nile flows through the state, giving it its name. Upper Nile State borders Ethiopia to the southeast and Sudan, which it seceded from in 2011, to the north. The total population is 964,353. The state, in cooperation with international partners, hosts 134,527 refugees from neighbouring Sudan, who mainly live in Doro, Yusuf Batil, Kaya, and Gendrasa settlements.

Prioritise key information (Slide 197)

Category	Problem?	Action needed?	When?
1	No	No	–
2	Problem	Monitoring	Immediately
3	Problem	Intervention	Medium-term
4	Problem	Intervention	Immediately

Key pieces of information (Slide 198)

- Refugee women report rape and other forms of GBV when collecting fire wood outside refugee settlements
- Due to ongoing fighting in Sudan, around 1,000 refugees arrive in Doro settlement – requiring registration, accommodation, and assistance
- According to teachers, 25% of school-age children are not attending primary and secondary school. The causes for this are unknown
- Due to recent heavy rains, at least 25% of houses in the refugee settlement were flooded. Families were unable to remain in their residence
- ECHO is organising a roundtable to identify humanitarian issues that refugees face

ACTIVITY #38

You and secondary data review (Slide 199)

1. Find your pair
 - You have either a country or international dialling code
 - Find the match to your pair
 - Example:
 - Person 1 = Australia
 - Person 2 = +61
2. Explain, what your role/responsibility is in the process of doing a secondary data review as a protection actor and an IM actor
3. Examples of how to start the conversation:
 - ‘As a GBV actor, when we have done a secondary data review, I have.... done research, read key articles, asked relevant questions, etc.’
 - ‘When I was working in South Sudan we needed IM actors to support us with asking the right questions, identifying where I want to go long term, organising data and information in a coherent way, providing a second-point of view, having a conversation about ‘why’ this is a key issue, etc.’

Additional notes for Module 4.2

Secondary data analysis

Source: *Joint Information Management Training (JIMT) – Secondary Data Analysis*

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For more information visit: *JIMT Dropbox* or contact sbpt@un.org

A secondary data analysis (SDA): Is a rigorous process of data collation, synthesis, and analysis building on a desk study of all relevant information available from different sources, such as the government, NGOs, UN agencies, media, social media, and other sources, and requires external sourcing. It is pre-analysis.

The objectives of an SDA are to:

- Verify and collect baseline information
- Present an initial and quick situation overview
- Identify gaps in knowledge, and support design of field assessments
- Support strategic planning

What are the advantages?

- Acknowledges problems and risks
- Avoids duplication
- Designs future assessments
- Has a baseline
- Has triangulation
- Identifies information gaps
- Helps learn lessons
- Supports planning future events
- Save cost and time
- Helps understand vulnerabilities
- Works with remoteness

Six things you need to know about pre-crisis information

1. Know what you are looking for
2. Know where to find it
3. Build profiles, use comparisons
4. Check for quality
5. Prepare
6. Set browsing boundaries

Six things you need to know about in-crisis information

1. Tagging and coding
2. Tracking and archiving
3. Affected groups
4. Information gaps
5. Resolution and comparability
6. Reliability and credibility

Challenges with secondary data

- May be old
- May provide figures without specifying how (or when) they were collected
- Is usually national level, at best provincial?
- Is rarely disaggregated
- Is sometimes inconsistent

Reliability and credibility issues

- What is the data source? Do they have the required expertise?
- How consistent is this with other data? (triangulation)
- Is the information relevant to the current context or is it out of date? Do others with in-depth experience of the local situation find this plausible?
- Is it likely this data could be collected within this timeframe at that location?

Who does data analysis?

Who?	Roles and responsibilities
Gatekeeper	<ul style="list-style-type: none"> Decides to start/complete the secondary data review Gives feedback about ongoing activities Provides final critical quality check, act as 'devil's advocate'
Team leader	<ul style="list-style-type: none"> Recruits, manages, and coordinates the secondary data review team (deadlines, tasks and responsibilities, etc.) Actively facilitates cross-sector analysis and scenario development Edits templates
Subject expert(s)	<ul style="list-style-type: none"> Provides feedback on the area of expertise they have
Population data analyst	<ul style="list-style-type: none"> Collates/estimates affected population figures Develops the humanitarian profile Researches and develops displacement profile, lessons learned, country and hazard profile, stakeholders, and disaster timeline Edits template Produces maps, graphs and tables. Ensure visual consistency across the document
Analyst sector(s)	<ul style="list-style-type: none"> Collates pre-disaster (including lessons learned) information and analyses incoming post-disaster information including operational constraints, lessons learned, information gaps and needs, and further assessments required Reconciles and interprets pre- and post-disaster sector information. Analyses sector-specific information and develops key concerns section Compiles key resources Liaises with external sector specialists as required

What skills do you need from the secondary data analysis team?

Team members must:

- Be dedicated
- Work with remoteness
- Have proximity
- Write early and often
- Ensure all follow a stick protocol
- Manage technical expertise/validate.

Spatial data is all information that can be mapped. Characteristics may include:

- Administrative areas** – for example, province A vs. province B. Comparison between different administrative areas is used to answer questions such as, 'Which area has been the most badly affected by the crisis?'
- Setting** – for example, urban vs. rural, coastal vs. inland, etc. Comparison between different settings is used to answer questions such as, 'Is the population affected differently according to the setting they are in?'
- Distance** – for example, distance to storm track, the conflict zone or the earthquake epicentre, etc. Comparison involving distance is used to answer questions such as, 'Are humanitarian needs greater nearer to the eye of the storm than in other places? Are people in high conflict-intensity areas more affected than others?'
- Composite** – for example, geographical areas with a high population density within 50 km of the epicentre of an earthquake vs. other geographical areas. Comparison between different composite variables is used to answer questions such as, 'Is the humanitarian impact in coastal areas affected by a tidal surge greater than inland areas affected by extreme winds?'

Population segments or group attributes may include:

- Affected groups** – for example, IDPs vs. affected residents. Comparison between affected groups is used to answer question such as, 'Are certain groups more affected or exposed to more risks than others?'
- Vulnerable groups** – for example, elderly people, people living with disabilities, socially marginalised groups, LGBTI, etc. Comparison between vulnerable groups is used to answer questions such as, 'How are sub-groups of the population affected differently, and to what extent are existing vulnerabilities exacerbated by the crisis?'
- Socio-economic groups** – for example, farmers vs. wage workers, religious vs. ethnic groups. Comparison between socio-economic groups is used to answer questions such as, 'Are certain groups more affected due to their origin or religion?'
- Sex and age** – for example, male vs. female, age intervals covering children, adults and older people. Comparison between male and female or age intervals is used to answer questions such as, 'Are female and male populations from various age groups – such as young children, adolescents, adults, and older people – affected differently?'

MODULE 4.3 – COUNTRY PRESENTATION

Core competency – Attitudes: disseminates lessons learned and good practices with colleagues locally and globally to support sustainability and knowledge management

Module objectives (Slide 202)

This module will:

- Recall challenges and lessons learned from others
- Recall good practices from others

Module learning outcomes

- PIM champions can name two activities a country group is implementing
- PIM champions can name one useful piece of information they could use in their programme

Country presentation

Country presenting	
PIM champions' names	
Activities implementing	
Something you have learned to use in your current context	
Questions for team	

Additional notes for Module 4.3

MODULE 4.4 – ANALYSE YOUR ENVIRONMENT (PART III)

Core competency – Skills: analyses IM environment (threats, opportunities, strengths, weaknesses) to inform methodology design and operational planning

Module objectives (Slide 204)

This module will:

- Develop an analytical framework for your current context
- Explain how an analytical framework supports implementing an effective protection response

Module learning outcomes

- PIM champions have an analytical framework for their current context
- PIM champions can explain how they will use their analytical framework when they return to their current context

ACTIVITY #39

Knowing your information (Slide 205)

Within your cluster:

1. Open Dropbox
2. Review documents in Dropbox to:
 - Identify a piece of information
 - Discuss its priority
 - Pick the correct colour post-it for the information
 - Write one piece of information on one post-it
 - Place the post-it on the analytical framework
 - Repeat

Additional notes for Module 4.4

MODULE 4.5 – ANALYSE YOUR ENVIRONMENT (Part IV)

Core competency – Skills: is able to develop a principled PIM strategy and operational plan, and incorporate contextual risks, vulnerabilities, and coping mechanisms within protection data analysis processes

Module objectives (Slide 209)

- Organise information
- Identify protection information gaps
- Identify PIM categories that can fill protection information gaps

Module learning outcomes

- PIM champions know how to use the Excel version of the analytical framework to organise information
- PIM champions have identified protection information gaps
- PIM champions identified PIM categories that can fill gaps

The roadmap (Slides 210 and 213)

Add your notes:

Organise your analytical Framework (Slides 211–212, 214)

Add your notes:

ACTIVITY #40

Identify gaps (Slide 217)

1. Identify gaps:
 - a. You identified an information need and you did not find it
 - b. You completed a secondary data review and noticed there is a protection concern that you need to examine further (and it was an information need you had not considered)

(Section II: Information management and analysis)

2. Identify which category will be used to fill the most important gaps

(Section V: Response planning)

3. Identify where your current protection strategy needs to be updated:
 - a. Open the protection strategy in Word
 - b. Put on track changes
 - c. Identify where you will 'update' in track changes (you do not need to update content today)
 - d. Ensure everyone in your cluster has access to the Dropbox/protection strategy

Follow-up activities (Slide 218)

Follow-up task	Date due	Action point:
Did you hold a meeting with your Protection Cluster to explain the roadmap of how to improve your protection response?	(Insert date)	1. Send attendance list to PIMTraining@drc.dk <ul style="list-style-type: none"> • Identify the # of PIM champions that confirm increased understanding of protection information management • Name, Title, Position, Agency, Signature • Include yourself and everyone that attended the PIM training!
During your meeting with your Protection Cluster did you share these new tools: <ul style="list-style-type: none"> • PIM matrix • Analytical framework • Dropbox with secondary data review materials 	(Insert date)	2. Explain and email PIMTraining@drc.dk (1 paragraph): <ul style="list-style-type: none"> • Identify the # of PIM champions that confirm an increased ability to use the information management tools you shared • Identify which materials you shared • How you shared the materials (electronically or hard copy) • Who received the new tools (likely same as attendance list) • Name, title, position, agency, signature • Include the names of everyone (especially yourself) who attended the PIM training
Tell us, do you feel comfortable explaining how to overcome at least one challenge in data sharing?	(Insert date)	3. Answer a survey
Tell us, do you think you have the capacity to work with your Protection Cluster to develop a more informed protection response or your protection strategy anchored in an overall protection analysis?	(Insert date)	4. Answer a survey

ACTIVITY #41

You and gaps (Slide 219)

Alone and silently reflect to ensure you understand all of these objectives

Additional notes for Module 4.5

How to identify needs

Source: *Joint Information Management Training (JIMT) – Informing SRP*

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For more information visit: *JIMT Dropbox* or contact sbpt@un.org

The challenge(s)

- How to promote a survivor-centred approach
- How to identify people with problems who require external assistance = how to define people with different degrees of needs
- How to avoid saying that a particular sector is more of a priority than another one
- Which geographical area or affected group to target

How to proceed

1. Ensure all actors agree on definitions across sectors (affected, in need, etc.)
2. Estimate the number of people in need in your sector (create, adapt or use a severity scale to distinguish between different degrees of needs)
3. Organise your data by geographic area, at the level where estimates are the most robust
4. Check for confidence, assumptions, and plausibility
5. Share for review
6. Adapt according to feedback.

MODULE 4.6 – DAY 4 REVIEW

Core competency – Skills: analyses IM environment (threats, opportunities, strengths, weaknesses) to inform methodology design and operational

Module objectives (Slide 222)

This module will:

- Reflect on the day and progress on course objectives
- Reflect on the competencies learned
- Provide feedback on the day

Module learning outcomes

- PIM champions will have written new concepts in their workbooks
- PIM champions will write how a core competency of PIM was built
- PIM champions will complete their feedback form for day four

Day 4 core competencies

- 4.1 – Skills: makes informed decisions about which systems are needed based on a comprehensive analysis of informed requirements
- 4.2 – Skills: analyses IM environment to inform methodology design and operational planning
- 4.3 – Attitudes: disseminates lessons learned and good practices with colleagues locally and globally to support sustainability and knowledge management
- 4.4 – Skills: analyses IM environment to inform methodology design and operational planning
- 4.5 – Skills: is able to develop a principled PIM strategy and operational plan, an incorporate contextual risks, vulnerabilities, and coping mechanisms within protection data analysis processes

Reflection

- How will you use this information in your work?
- What outstanding questions do you have?

Module	Name of module	Questions and notes
4.1	Refresher	
4.2	Analyse your environment (Part II)	
4.3	Country presentation	
4.4	Analyse your environment (Part III)	
4.5	Analyse your environment (Part IV)	

Tools to remember

Key experts

Additional notes for Day 4

MODULE 5.1 – REFRESHER (Part III)

Core competency – Attitudes: disseminates lessons learned and good practices with colleagues locally and globally to support sustainability and knowledge management

Module objectives (Slide 225)

This module will:

- Reflect on the day and progress on course objectives
- Share some of the learning of the day so far

Module learning outcomes

- PIM champions can name the most important thing they learned yesterday

ACTIVITY #42

My environment (Slide 226)

1. Say good morning to your pair without using English (your pair is next to you at your table, where you are sitting)
2. Have a discussion on the roles and responsibilities of protection/IM actors working together at each phase:
 - What do you need?
 - What do you have?
 - And how do you get what you need?

Add your notes:

Additional notes for Module 5.1

MODULE 5.2 – SHARING DATA (CHALLENGES)

Core competency – Knowledge: understands the sensitivities about confidential information being handled, and has experience of sharing of information in a protection-appropriate manner

Module objectives (Slide 228)

This module will:

- Define challenges in sharing data
- Find solutions to challenges in sharing data

Module learning outcomes

- PIM champions can identify a challenge when sharing data
- PIM champions can identify a solution for one challenge

Data-sharing challenges (Slide 229)

1. Working in a remote environment (wanting to share and wanting to be shared with, but unable to share due to the remote environment)
2. Responding to inappropriate data sharing, data breaches, and how to hold those 'accountable' or respond to those who share inappropriately (individual, group, or organisation)
3. Keeping data safe (electronically, in a remote location, in hard copy)
4. Ensuring the quality, validity, and integrity of metadata
5. Working with legal and institutional mandates and country-specific policies
6. Encountering technical issues with software (especially for IM)
7. Working with existing data protection standard operating procedures (SOPs) or policies to enable sharing (and the lack of enforcement of use of 'outdated' SOPs)
8. Communicating with the affected population about what has been collected
9. Ensuring those who receive the data know how to use it, when, and why
10. Engaging all clusters to share relevant data (including government and local organisations)
11. Sharing information with all cluster members
12. Working with the 'feeling' that the humanitarian community does not want to share
13. Overcoming specific issues related to how to share, given legal and institutional mandates and country-specific policies
14. Having sensitive information and knowing who/how to share the data with
15. Identifying risks that occur if data/information is shared beyond the intended user of commonly agreed-on principles and procedures for data protection and data sharing between humanitarian actors (which could facilitate more systematic sharing of data)
16. Identifying what we share – data, information, knowledge, protection analysis
17. Considering the securing for staff who collect, store, share, and analyse information
18. Building trust (between organisations and individuals to enable sharing)

ACTIVITY #43

Challenges (Slide 231)

1. Open the Dropbox
2. Identify which challenge you are working on
3. Outline sub-challenges to that larger challenge

4. Write solutions to that sub-challenge
5. Write one promising practice that shows the challenge and how you overcame the challenge
6. Ensure that you saved the document to Google Drive

Additional notes for Module 5.2

MODULE 5.3 – SHARING DATA (PROMISING PRACTICES)

Core competency – Knowledge: Understands the sensitivities about confidential information being handled, and has experience of sharing of information in a protection-appropriate manner

Module objectives (Slide 234)

This module will:

- Explain challenges in sharing data
- Explain solutions to challenges in sharing data
- Identify promising practices

Module learning outcomes

- PIM champions can explain four solutions to challenges in sharing data
- PIM champions can identify four examples of promising practices

ACTIVITY #44

Share the solution (Slide 235)

- The facilitator will put your pair with another pair
- Sit together (4 people)
- Pair #1 → explain your challenges and your solutions
- Pair #2 → listen to pair #1
- Pair #2 → explain your challenges and your solutions
- Pair #1 → listen to pair #2
- At the same time,
 - Pair #1 → draw/illustrate the challenges and solutions of group #1 on a flipchart
 - Pair #2 → draw/illustrate the challenges and solutions of group #1 on a flipchart
 - Use any materials left in the room (see resource table)

Additional notes for Module 5.3

MODULE 5.4 – PIM TRAINING SUMMARY

Core competency – Attitudes: disseminates lessons learned and good practices with colleagues locally and globally to support sustainability and knowledge management

Module objectives (Slide 238)

This module will:

- Reflect on the day and progress on course objectives
- Share some of the learning of the day so far

Module learning outcomes

- PIM champions can name the most important thing they learned yesterday

ACTIVITY #45

What have we learned (Slide 239)

Make a 'creative representation' to summarise what you learned during the training, highlighting key points:

- Poem
- Interpretative dance
- Play/skit
- Something else?

Add your notes:

Additional notes for Module 5.4

MODULE 5.5 – MY FELLOW PIM CHAMPION

Core competency – Attitudes: disseminates lessons learned and good practices with colleagues locally and globally to support sustainability and knowledge management

Module objectives (Slide 241)

This module will:

- Identify fellow PIM champions
- Build key professional relationships with partners
- Encourage engagement between actors

Module learning outcomes

- PIM champions can identify at least four PIM champions
- PIM champions can effectively communicate with key professional partners and actors

ACTIVITY #46

My PIM champion (Slide 242)

1. On the first day of the in person training, each individual picked the name of another individual
2. Over the week, each individual had to meet and get to know that individual on the sheet
3. Each individual was required to learn at least three important things, including something related to their current professional work
4. On the last day, each individual identifies their PIM champion by saying three things about them: 'My PIM Champion is (1) (2)... and (3)....'

Additional notes for Module 5.5

MODULE 5.6 – MARKETPLACE

Core competency – Attitude: disseminates lessons learned and good practices with colleagues locally and globally to support sustainability and knowledge management

Module objectives (Slide 244)

This module will:

- Show and share current and popular PIM tools
- Improve PIM champions' knowledge of current tools

Module learning outcomes

- PIM champions will learn and take five tools
- PIM champions will write down five contact names

ACTIVITY #47

Sharing resources (Slide 245)

1. Locate five resources/tools that you believe will be useful to your work
2. Write the following in your PIM champion workbook:
 - Name of tool
 - Organisation that developed the tool
 - Contact name of the individual to follow up with to learn more about the tool

	Resource/tool name	Organisation that developed the resource/tool	Contact name and email	Additional comments
1				
2				
3				
4				
5				

Additional notes for Module 5.6