12 MINIMUM SECTORAL DATA: D. PROTECTION

12.1 OVERVIEW AND FUNCTION

These guidance notes work to establish what a Representative, protection, programme community services officer and Information Manager need to know and do to support a multi-sectoral emergency needs assessment to ensure that protection standards are taken into account and specific protection information are included. Information and data management guidance is also provided on how to establish a protection case management and monitoring system during the first phase of a refugee emergency.

12.2 HOW-TO GUIDE

12.2.1 Secondary data review

A secondary data review will be crucial in providing context for any emergency refugee response, and should be a priority activity once an emergency team has been deployed.

The secondary data review should point out protection problems and gaps on which further investigations should be focused for the emergency needs assessment. The protection, programme and Information Manager should take the lead in compiling and ensuring that protection information are included in the overall secondary data review, conducted by the emergency response team.

For detailed guidance on protection-related considerations, which may need to be factored into the secondary data analysis, see the Needs Assessments in Refugee Emergencies (NARE), included in this section as annex 5.

12.2.2 Who's doing what, where update

The Information Manager in close cooperation with the protection officer should at minimum, ensure that protection related information is included in the operational 3W, by location and partner. To allow for a meaningful gap analysis, available details on the sub-type of the protection activity, such as, "provision of psychosocial support" should also be included.

12.2.3 Situational analysis

The protection and programme officer and Information Manager should jointly analyze the findings of the secondary data review alongside the 3W, for protection gaps and draft a short summary of the protection situation at the start of the emergency. The situational analysis should highlight coverage, gaps as well as emergency life saving protection interventions, which may require additional information. The findings of the situational analysis will provide the knowledge base from which to begin preparing protection related questions for the multi-sectoral emergency needs assessment.

12.3 EMERGENCY NEEDS ASSESSMENT: SUPPORT OF THE REFUGEE PROTECTION WORKING GROUP

The overarching objective of the Refugee Protection Working Group (RPWG) is to ensure that a timely, effective and coordinated refugee protection response forms the basis of the broader Refugee Response Plan. The RPWG is chaired by UNHCR or co-chaired by UNHCR and the appropriate host government authority.

Where thematic protection sub-groups and/or field-based protection working groups are required, they will act as constituent entities of the National protection working group and fall under its overall lead. UNHCR will chair or co-chair with government all field-based protection working groups, and will chair or co-chair all thematic protection sub-groups. Participation is open to host government entities, UN agencies, international NGOs, national NGOs and other civil society actors.

The RPWG will be a valuable platform from which to gather additional protection related 3W information, and to establish overall coordination of services and support within UNHCR and amongst partners. As a matter of priority, the RPWG will need to analyze and expand upon the results of the situational analysis, agreeing upon emergency life-saving information crucial for decision-making and design protection-related questions to be included in the Emergency Needs Assessment.

The chair of the RPWG, is also responsible for ensuring that information is shared in a timely manner with all relevant partners including the government, and that issues related to protection data, i.e. harmonization and sharing of data sets, etc. is discussed and agreed upon in the RPWG with regards to the multi-sectoral emergency needs assessment in close coordination with the Refugee Information Management Working Group (RIM WG) if it exists.

12.3.1 RPWG: agreement on emergency life-saving minimum sectoral protection data
The RPWG's design of protection specific questions for the multi-sectoral emergency needs assessment questionnaire should focus on emergency life-saving protection needs of vulnerable groups, in addition to identifying other key life-saving protection concerns, for example:
• Identifying extremely vulnerable sub-sets of populations who may need life-saving assistance or immediate support;
• Recognizing whether individual households are moving en masse and related protection concerns/risks;
• Understanding the population's coping mechanisms;
• Prioritizing and coordinating life-saving protection support within UNHCR and amongst partners, by location, type and need.

The NARE, see annex 5 of this section, provides additional examples of the type of protection information that should be included in an Emergency Needs Assessment.

The Information Manager should assist with the design and analysis plan for protection related questions to be included in the multi-sectoral Emergency Needs Assessment. As it will be important that the data collected conforms to standard UNHCR age and sex demographics, ensuring that information is analyzable and interchangeable.

The RPWG focal point will share the protection multi-sectoral emergency needs assessment questions with the multi-sectoral emergency needs assessment team in the RIM WG (the RPWG focal point will likely be a key member of the multi-sectoral emergency needs assessment team). See the Emergency Needs Assessment section, or section 7, of the Toolkit for more guidance on the role of the RIM WG and for information on conducting a multi-sectoral emergency needs assessment.

Note: For advice on how to conduct focus group discussions or on ensuring that an age, gender and diversity approach is factored into multi-sectoral emergency needs assessments, refer to the multi-sectoral Emergency Needs Assessment Section, of this Toolkit for additional information.

12.3.2 RPWG: emergency referral system established

The development of a basic protection referral system by the protection officer with the support of the Information Manager/registration officer will be crucial in the first phase of the emergency. The establishment of the emergency referral system should be discussed and agreed upon by the RPWG, with UNHCR and partners. The minimum information captured should include: basic bio-data, short description of incident, referral made and action taken including indication when and by whom follow-up is required. The information might be captured in paper or electronic format, but should be updated in proGres once established or in another case management system developed for the operation if proGres is not yet established.

The RPWG focal point should share with the multi-sectoral emergency needs assessment team the procedures for recording an emergency referral as has been agreed within the RPWG. The RPWG focal point may also need to conduct a brief training for the multi-sectoral emergency needs assessment team, including data collectors, on the Code of Conduct, ensuring that the assessment team members are confident to react appropriately when coming across protection cases requiring follow-up during their fieldwork.

The protection officer may wish to work with the Information Manager, registration officer or data management officer to develop a simple (ProGres compatible) referral form, which the assessment team may take with them for recording emergency referrals, this will help to ensure the consistency of recorded information and referrals. The RPAT's, Urgent Action Report for Individuals or Communities, included in this section as Annex 2, may also be adapted for this purpose.

If ProGres has not yet been established, it is the responsibility of UNHCR protection staff to ensure referral information of persons of concern collected during the needs assessment is captured systematically (paper or electronic version) which may be uploaded into ProGres once established. This is a primary protection responsibility for all Protection and Community Services staff throughout an emergency response, and will serve as the foundation for an ongoing protection case management system.

If relevant for an overall protection analysis within UNHCR and the RPWG, statistical information may be generated from ProGres by the registration officer by specific need.

12.4 AFTER THE MULTI-SECTORAL EMERGENCY NEEDS ASSESSMENT: ON-GOING EMERGENCY PROTECTION RESPONSE

12.4.1 Multi-sectoral emergency needs assessment: protection related outcome

A key protection-related output of the multi-sectoral emergency needs assessment should be an indication of the protection concerns to be prioritized in the first wave of emergency response.

The RPWG should reach agreement on the ways in which prioritized protection concerns will be addressed in a timely, coordinated and strategic manner taking into account to the extent possible in an emergency setting, the participation of communities in this planning process. In addition, increased advocacy towards the Government around protection concerns might be necessary. Advocacy efforts in this regard should be built into the initial strategic protection response plan. The Representative, in close coordination with the RPWG, should lead such efforts.

12.4.2 Need for specialized protection assessments identified and conducted

Protection findings arising from the multi-sectoral emergency needs assessment may indicate a need for more in-depth assessments on specific aspects or in specific geographical areas.

All assessments done by UNHCR and its partners should be based on an AGD approach (with data disaggregated by standard UNHCR age and sex demographics where possible). The NARE, annex 5 of this Section, includes examples of specific questions or methodologies, which the RPWG may find helpful.

Specific protection assessments may also follow aspects of the Rapid Protection Assessment Tool (RPAT). This is a protection-specific needs assessment tool developed for IDP situations that uses closed questionnaires, focus group discussions and observation checklists to assess the protection situation, which are included as Annexes in this section of the Toolkit. Full RPAT guidance and tools are available online at: http://www.globalprotectioncluster.org/en/tools-and-guidance/information-and-data-management.html. Data collected or arising from in-depth protection assessments should be analyzed by protection staff and within the RPWG to further inform the refugee protection strategy.

12.4.3 Protection referral and case management system established

The Protection Officer and Information Manager need to ensure that minimum protection standards, in particular with regards to confidentiality, referrals and security are fully implemented when establishing a protection case management and referral system. Individually identifiable information may only be shared if consent is obtained from the concerned individual, and is covered by written data sharing agreements or protocols.

1. If an individual requires a protection referral, there are several scenarios, which may be encountered in the field, depending on if ProGres has been established:
- Registration conducted: Individual is already registered in ProGres
- If no immediate action is needed, i.e. medical attention, record the ProGres number, the name and date of birth of the individual.
- Write down a brief summary of the protection issue(s).
- Obtain informed consent from the individual, to share his/her information for the purpose of referral or follow-up; if a referral can be done immediately, provide the individual with the necessary information on how to access the required services and/or assistance
- If additional follow-up is required, the protection officer is responsible for passing information in a confidential manner to the operational partner or service provider as agreed within the RPWG, or bilaterally.
- It is the responsibility of UNHCR protection staff to ensure this information is tracked accordingly for follow-up if necessary and included in ProGres (if established) under the "Special Protection and Assistance Needs" fields.

2. Registration underway or not yet conducted: Individual not yet registered
Follow the first five steps noted above under scenario 1.
- Also be sure to record the individuals' identity documents numbers, and contact information, and inform the individual of the registration procedure.
- The Protection Officer may also flag this individual to the Registration Officer for expedited registration as appropriate.

Note: A referral form for unaccompanied or separated children has been included as annex 10 in the Registration section of this Toolkit.

As required, the Information Manager may work with the Protection Officer to draw-up a referral form (or the Urgent Action Report for Individuals or Communities, included in this section as Annex 2, may also be adapted for this purpose) for any of the above scenarios.

12.4.4 Considerations for responding to protection concerns in an urban emergency environment

For monitoring the protection situation in out of camps or urban areas, the Information Manager should identify in cooperation with the respective sectoral working group (CCCM or protection) relevant protection data. The expertise of the Information Manager will be particularly valuable to identify data sources and levels of disaggregation and ensure that methodologies chosen include an AGD approach where possible.

For additional information on responding to specific protection issues in emergency urban situations, please see UNHCR's: http://www.urbangoodpractices.org/, which is an interactive website where you may find good practice case studies, tools, guidelines, research, media, surveys, urban strategies and other information relevant for urban refugee protection response.

12.4.5 Other sources of protection data

Regular identification of vulnerabilities and monitoring of associated needs is a primary protection responsibility. Depending on the situation, if time or resources are limited, protection information may be gleaned from the analysis of registration data, i.e. specific needs codes and other data elements. If proGres is established but specific needs codes have not been recorded, protection issues may still be identified through the analysis of basic family composition, age and sex demographics by location. For example, unaccompanied children, older person-headed households and single parent-headed households are identifiable solely from family composition data.

Where protection information is limited or too sensitive to collect or a registration has not yet been conducted, analysis may be drawn from proxy or so-called "indirect" indicators. Proxy indicators are indicators specific to one sector, i.e. site planning, which may allow one to deduct conclusions for protection.

Here are a few examples of proxy indicators from site planning/CCCM which provide information for GBV related analysis:

- Distance of settlement or camp from a water point;
- Distance of settlement or camp from nearest firewood source;
- Distance of settlement or camp from latrines;
- Proximity of camps/sites/settlements to military or paramilitary bases;
- Distance of settlement or camp farming areas from women's work areas;
- Distance of settlement or camp from nearest school;

Proxy indicator data may be shared in coordination meetings with protection, programme or sector leads, or during coordination meetings within the humanitarian community, and should be taken into account along with available qualitative information. Often, proxy indicators relevant for protection are indicators of risk or potential risk, and may be used to identify emerging protection issues or high-risk locations for persons of concern. Mapping this information against incident reports can lead to increased understanding of complex protection issues, resulting in changes in the delivery of protection, programme and overall humanitarian assistance in an emergency.

12.4.6 Interagency protection systems

Depending on the context, other partners may have established protection management systems.

The protection officer should liaise with the child protection partners to see if the Child Protection Information Management Systems (i.e. CPIMS) has been established. The CPIMS is an inter-agency case management system for vulnerable children used by UNICEF, Save the Children and IRC. Although the proGres identification number can be entered into the CPIMS to identify a vulnerable child, the CPIMS is currently not compatible with proGres.

It is the responsibility of the Protection Officer to ensure that appropriate data sharing SOPs are in place when sharing information on vulnerable children within the context of the CPIMS.

The GBVIMS (the Gender Based Violence Information Management System) is optimized for sharing anonymized statistical reports on (GBV) protection cases. It was created to harmonize data collection on GBV in humanitarian settings, to provide a simple system for GBV project managers to collect, store and analyze their data, and to enable the safe and ethical sharing of reported GBV incident data. The intention of the GBVIMS is both to assist service providers to better understand the GBV cases being reported as well as to enable actors to share data internally across project sites and externally with agencies for broader trends analysis and improved GBV coordination.

For assistance delivery, other protection partners may require information from proGres data or will provide information on persons of concern, which protection staff should update in proGres. The system for sharing such sensitive protection information is regulated by data protection considerations and UNHCR's policies and will be the responsibility of protection staff to negotiate and agree with partners as appropriate. The Information Manager may assist with technical support as required.

12.4.7 Protection reporting requirements
Protection reporting requirements in the beginning of the emergency will be manifold and range from SitReps, FactSheets, mission reports etc. Prior to inclusion or dissemination, all protection-related information must be cleared by the UNHCR Representative or the protection focal point.

12.5 MONITORING AND EVALUATION OBLIGATIONS
The Protection Officer, Programme Officer and Information Manager should work closely together to ensure that protection activities as covered by FOCUS indicators may be reported on later (generally after an initial emergency three month timeframe for an emergency special budget). It is therefore imperative that a data collection plan alongside FOCUS is in place, so that FOCUS indicator data is collected in a systematic manner.

12.6 A TEMPLATES

- Annex 1: Protection in Emergencies Toolbox; Protection Checklists, September 2013
- Annex 2: Protection Urgent Action Report for Individuals or a Community
- Annex 3: Global Protection Cluster, Rapid Protection Assessment Toolkit Guidance Note
- Annex 3: Global Protection Cluster: Rapid Protection Assessment Toolkit; Auxiliary Tool 1: Checklist for Primary Data Collection; Auxiliary Tool 2: Checklist for Secondary Data Review; Auxiliary Tool 3: Protection Problems, Indicators and Data Collection Methods
- Annex 3: Rapid Protection Assessment; Tool A: Community Leaders Questionnaire; Tool B: Affected Population Questionnaire; Tool C: Observation Checklist; Tool D: Focus Group Discussion Sample Questions and Note-taking Matrix; Rapid Protection Assessment; Tool E: Urgent Action Report
- Annex 4: Data Protection in Insecure Environments
- Annex 5: Draft Needs Assessments in Refugee Emergencies (NARE) Checklist
- Annex 6: Including AGD & Participatory Approaches

12.7 B REFERENCE DOCUMENTS AND LINKS

- Additional sources of information on working with children include the *Inter-Agency Guiding Principles on Unaccompanied and Separated Children*, ICRC, UNHCR, UNICEF, IRC, Save the Children UK, World Vision International (2003), available online at:
  www.unicef.org/violencestudy/pdf/IAG_UASCs.pdf;
- *Refugee Children: Guidelines on Protection and Care, UNHCR* (1994), available online at:
  www.unhcr.org/3b84c6c67.html (copy and paste this link into your browser);

- *Separated Children: ARC Training Module, Action for the Rights of the Child (ARC),* UNHCR and Save the Children (2001), available online at: www.unhcr.org/refworld/publisher/ARC.html.
- For specific information on protecting women and girls during security problems, problems assessing assistance and services, exposure to or risk of SGBV or other forms of violence, in addition to guidance on immediate intervention and response, see *UNHCR Handbook for Emergencies* (2007), available online at: http://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=3&ved=0CDEQFjAC&url=http%3A%2F%2Fwww.unhcr.org%2F471daf132.pdf&ei=tf9XU8PNPLPjsASKoYGIAg&usg=AFQjCNGk_m6gQOhiRikBYtfUwKcB8XpWRg&sig2=L9rsdpjvv3OilVxhd6y22g&bvm=bv.65177938,d.cWc; as well as the *UNHCR Handbook on the Protection of Women and Girls* (2006) available at: http://www.refworld.org/cgi-bin/texis/vtx/rwmain?docid=47cfc2962.
- *The Gender-Based Violence Information Management System* (GBVIMS) is an inter-agency initiative consisting of UNHCR, UNFPA, IRC, UNICEF and WHO. The GBVIMS was established in 2007 in response to the humanitarian community's need to collect GBV data and to have a standardized information management system. Available online at: http://www.gbvims.org/.