



LOCALIZATION OF PROTECTION TRAINING CURRICULUM

Capacity-Building Workshop on Cluster Engagement for Local and National NGOs

This Training Curriculum was developed by the International Rescue Committee (IRC) in the framework of the 'Localization of Protection' project implemented on behalf of the Global Protection Cluster (GPC), in collaboration with the Child Protection Area of Responsibility (CP AoR) and funded by the European Commission (ECHO) and the American People.



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Introduction

The World Humanitarian Summit (WHS) recognized that increased localization is fundamental to the delivery of a dignified and effective humanitarian response, concluding that humanitarian action should be “as local as possible, as international as necessary.” The associated Grand Bargain emphasized the need to make more deliberate and explicit efforts to better engage with, empower and promote the work of local actors. The Global Protection Cluster (GPC) is seeking to meet the commitments made in regards to localization and is keen to ensure and increase local actors’ engagement in both field coordination mechanisms and global strategic decision making. This work is being carried out at the global level by the Child Protection Area of Responsibility (CP AoR) and the International Rescue Committee (IRC) and at the country-level by the Protection Clusters and AoRs.

The **overall objective** of the GPC Localization Initiative is to ensure humanitarian strategies and interventions are locally driven while prioritizing protection analysis and response to protection risks.

To contribute to this objective, the following **intended outcomes** need to be achieved:

- Local actors need to be engaged with protection coordination mechanisms (e.g. Protection Cluster, CP/GBV/MA/HLP Sub-Clusters, other relevant protection coordination mechanisms).
- Local actors need to be engaged in the development and the implementation of humanitarian strategies (e.g. Cluster Strategies, HNO/HRP, and HCT Protection Strategy).
- Local actors need to have enhanced access to humanitarian funding (e.g. direct funding and pooled fund mechanisms).

This training curriculum was developed to support the GPC Localization Initiative. To avoid a duplication of efforts, it is based on the following resources:

- Building a Better Response: Strengthening Non-Governmental Organization (NGO) Capacity and Engagement in the International Humanitarian Coordination System, Online Course, available [here](#).
- Global Protection Cluster (GPC) Protection in Practice Learning Program, available [here](#).
- Global Protection Cluster (GPC) Protection Mainstreaming Training Package, available [here](#).
- The Sphere Project, Training Manual on Humanitarian Charter and Minimum Standards in Humanitarian Response, available [here](#).
- CHS Alliance, Training Handbook, Introduction to the Core Humanitarian Standard on Quality and Accountability (CHS), available [here](#).

Workshop Objectives

In the framework of the GPC Localization Initiative, the IRC offers three-day workshop to build the capacity of local and national NGOs to foster their participation and engagement in the cluster system. The objective of the workshop are the following:

- Participants have increased knowledge of the international humanitarian architecture, the cluster approach and the different steps of the Humanitarian Program Cycle as well as of the relevance of the centrality of protection in humanitarian action.
- Participants are equipped with the skills and capacities to participate in the cluster system and to contribute and influence the HPC process, notably by bringing forward key protection priorities and ensure they are reflected in the HPC process.
- Participants are familiar with the tools and resources available to implement principled, accountable, high-quality programming and strengthened organizational procedures.

- A collective action plan is developed and endorsed to advance the localization agenda within the Protection Cluster.
- Additional capacity-building needs are identified for each partner organizations and longer-term mentoring and support is expected to be provided on this basis.

Workshop Outline

Session 0 – Sharing Experience: Partner Agency and the Cluster System

Session 1 – Participating in the International Coordination System

Session 2 – Influencing Humanitarian Strategies and Response Plans

Session 3 – Identifying Opportunities for Locally-Driven Humanitarian Response

Session 4 – Being Responsible to Place Protection at the Center of Humanitarian Action

Session 5 – Working Together for Protection in [Country Selected]

Session 6 – Contributing to Collective and Locally-Driven Protection Analysis

Session 7 – Mainstreaming Protection in the Humanitarian Program Cycle (HPC)

Session 8 – Influencing Protection Coordination Stakeholders

Session 9 – Improving Coordination and Leadership Skills

Session 10 (a) – Planning Key Actions to Advance the Localization Agenda

Session 10 (b) – Endorsing a Collective Localization Action Plan

Workshop Agenda

DAY 1	Session Title	Objectives	Methodology
08.45 – 09.00	Participants Registration		
09.00 – 09.30	Opening and Welcome <ul style="list-style-type: none"> Welcome and Introduction of the GPC Localization Initiative Summary of Workshop Objectives Overview of Agenda 	This session will present the localization agenda with the key commitments taken at the global level and the aim of the workshop.	Facilitator presentation
09.30 – 10.30	Sharing Experience: Partner Agency and the Cluster System <ul style="list-style-type: none"> Presentations by Partners on their Involvement with the Cluster System 	This session will give partners an opportunity to present the work of their organization and share their experience with the cluster system.	Partners presentation
10.30 – 11.00	Coffee Break		
11.00 – 12.30	Participating in the International Coordination System <ul style="list-style-type: none"> The Foundations of Humanitarian Action: Key Principles and Concept The International Humanitarian Architecture: A more Efficient, Predictable and Accountable System The Cluster Approach: Structure and Key Functions of Global and Field Clusters 	This session will provide an overview of the history and the main components of the international humanitarian architecture and show how it contributes to better coordination and improved humanitarian response.	Facilitator presentation Group exercise
12.30 – 13.30	Lunch		
13.30 – 15.00	Influencing Humanitarian Strategies and Response Plans <ul style="list-style-type: none"> The Humanitarian Program Cycle: Steps and Timeline How to Participate in Needs Assessment and Analysis? How to Influence Strategic Response Planning? How to Access Direct Funding and Pooled Fund Mechanisms? 	This session describes the planning and funding process of a humanitarian response. It outlines the key steps of the Humanitarian Program Cycle and ways local and national actors can influence and take part in humanitarian strategies development and decision-making process.	Facilitator presentation Group exercise
15.00 – 15.30	Coffee Break		
15.30 – 16.15	Identifying Opportunities for Locally-Driven Humanitarian Response <ul style="list-style-type: none"> Overview of the state of Localization in the 2018 HRP Mapping Localization Good Practices and Key Gaps 	This session includes a review by the facilitator of how localization is currently reflected in the 2018 HRP. It aims to generate a discussion with partners to identify good practices and potential gaps. It will guide the action planning process in day 3.	Facilitator presentation Plenary discussion
16.15 – 16.30	Daily Wrap-Up and Closing		

DAY 2	Session Title	Objectives	Methodology
09.00 – 09.30	Opening and Welcome <ul style="list-style-type: none"> Recap of Day 1 Introduction of New Themes Overview of Agenda 	This session aims to recap the key elements of day 1 and present the objectives of the day.	Facilitator presentation
09.30 – 10.30	Being Responsible to Place Protection at the Center of Humanitarian Action <ul style="list-style-type: none"> The Shared Definition of Humanitarian Protection The Centrality of Protection Approach: A Collective Responsibility The International and National Legal Framework for Protection Protection Key Principles, Norms and Standards 	This session helps understand the shared definition of protection and its legal foundation. It shows how the humanitarian system has committed to putting protection central to our work and our collective responsibility towards it. It also covers the key protection principles, norms and standards under which humanitarian workers operate to provide assistance to those in need.	Facilitator presentation Group exercise
10.30 – 11.00	Coffee Break		
11.00 – 12.30	Working Together for Protection in [Country Selected] <ul style="list-style-type: none"> The Structure and Key Functions of the Protection Cluster and Sub-Clusters The Main Protection Concerns at the National Level and the Protection Cluster Response Strategy Reflection on the Role of Local and National Actors in the Protection Response 	This session provides an overview of the structure and the work of the Protection Cluster in country. It highlights the main protection concerns and the strategy to respond to those. It should lead to a reflection on how local and national partners can support the protection response.	Presentation by Protection Cluster and Sub-Clusters Coordinators
12.30 – 13.30	Lunch		
13.30 – 15.00	Contributing to Collective and Locally-Driven Protection Analysis <ul style="list-style-type: none"> Protection Analysis: A Collective Methodology The Risk Equation: Understanding Threat, Vulnerability and Capacity Addressing Strategically Protection Concerns 	This session aims to reach a common understanding of what constitutes a protection risk and the methodology for conducting collective protection analysis. It highlights the complementarity of agencies/actors and the effectiveness of working jointly to analyze and respond to protection concerns.	Facilitator presentation Group exercise
15.00 – 15.30	Coffee Break		
15.30 – 16.15	Mainstreaming Protection in the Humanitarian Program Cycle <ul style="list-style-type: none"> Protection Mainstreaming in the Humanitarian Program Cycle: A Review of Global Good Practices 	This session provides guidance on how to mainstream protection in the Humanitarian Program Cycle in order to design and implement accountable and protection-oriented programs.	Facilitator presentation Group exercise

	<ul style="list-style-type: none"> Strengthened Organizational Procedures: How to be more Competitive? 	The aim is to increase competitiveness of national partners with donors and pooled fund.	
16.15 – 16.30	Daily Wrap-Up and Closing		

DAY 3	Session Title	Objectives	Methodology
09.00 – 09.30	Opening and Welcome <ul style="list-style-type: none"> Recap of Day 2 Introduction of New Themes Overview of Agenda 	This session aims to recap the key elements of day 2 and present the objectives of the day.	Facilitator presentation
09.30 – 10.30	Influencing Protection Coordination Stakeholders <ul style="list-style-type: none"> Power Analysis and Stakeholder Mapping Develop Engaging and Influencing Skills 	This session identifies the functions, interests and motivations of key stakeholders involved in protection coordination and analyzes how local partners can influence them.	Group work
10.30 – 11.00	Coffee Break		
11.00 – 12.30	Improving Coordination and Leadership Skills <ul style="list-style-type: none"> The Minimum Commitments for Participating in the Protection Cluster Cluster Performance and Effective Coordination : Key Lessons Learned Role of NNGO in Cluster Coordination and Co-Leadership 	This session outlines the minimum commitments for participating in the Protection Cluster. It provides key lessons learned on effective humanitarian coordination and the skills needed to take coordination and co-leadership role.	Facilitator presentation Group exercise
12.30 – 13.30	Lunch		
13.30 – 15.00	Planning Key Actions to Advance the Localization Agenda <ul style="list-style-type: none"> Brainstorming on Collective Localization Priority Actions Brainstorming on Partner Agency Organizational Capacity-Building Needs 	This session aims to identify practical and actionable recommendations to advance the localization agenda within the Protection Cluster as well as organizational capacity-building needs which requires long-term mentoring and support.	Group work
15.00 – 15.15	Coffee Break		
15.15 – 16.00	Endorsing a Collective Localization Action Plan <ul style="list-style-type: none"> Agree on Localization Priority Actions Finalize and Endorse an Action Plan 	This session aims to agree on priority actions and finalize a collective action plan with practical and actionable recommendations to advance the localization agenda.	Plenary discussion
16.00 – 16.30	Closing and Evaluation		

Facilitator Guide

DAY 1			
Session 0	Opening and Welcome		
Objective	This session will present the localization agenda with the key commitments taken at the global level and the aim of the workshop.		
Methodology	Facilitator presentation		
Time	30 minutes		
Preparation	Power Point Presentation, Name Tags		
Resources	Workshop Agenda Resource 1 – GPC/CP AoR Conceptual Framework for Localization in Coordination		
Welcome	<p>Introduce yourself to the participants and ask participants to do the same.</p> <p>Provide housekeeping rules and make sure participants feel comfortable.</p>	5 min	Slides 1-2
Introduction of the GPC Localization Initiative	<p>Explain that the ‘Localization Agenda’ which is calling for more localized humanitarian action has received increasing attention globally in recent years.</p> <p>State that the ‘Localization Agenda’ highlights that the current humanitarian system requires a radical and systematic change so that the world can deal better with the humanitarian challenges of today, and of the future. A more localized response is a response that is diverse by the actors and modality of operation, decentralized and collaborative.</p> <p>Clarify that the Localization rationale is based on the idea that national and local responders (Governments, communities, Red Cross and Red Crescent National Societies and local civil society) are first and last responders to crises. They are in contact with the communities they serve before, after and during emergencies. The objective is therefore to make principled humanitarian action as local as possible and as international as necessary which means engaging with local and national responders in a spirit of partnership and with the aim to reinforce rather than replace local and national capacities.</p> <p><i>See Facilitator Note 1 – Localization Agenda</i></p> <p>Expose the idea that in many countries, coordination system represent an opportunity and have an obligation to promote the localization agenda. Local actors can bring to the table their knowledge, network, understanding of context and needs, as well as access to affected communities. Overtime localization should be seen as an integral part of the humanitarian response strategy and not a standalone issue.</p> <p>Explain that the GPC initiative therefore aims to ensure humanitarian strategies and interventions are locally driven while prioritizing protection analysis and response to protection risks. To contribute to this objective, the following intended outcomes need to be achieved:</p> <ul style="list-style-type: none"> ○ Local actors need to be engaged with protection coordination mechanisms (e.g. Protection Cluster, CP/GBV/MA/HLP Sub-Clusters, other relevant protection coordination mechanisms). 	15 min	Slides 3-10

	<ul style="list-style-type: none"> ○ Local actors need to be engaged in the development and the implementation of humanitarian strategies (e.g. Cluster Strategies, HNO/HRP, HCT Protection Strategy). ○ Local actors need to have enhanced access to humanitarian funding (e.g. pooled fund mechanisms). <p>Outline the GPC/CP AoR Localization in Coordination Conceptual Framework, which was developed for this initiative (<i>See Resource 1</i>).</p> <ul style="list-style-type: none"> • Governance and Decision-Making • Participation and Influence • Funding • Partnership • Institutional Capacity Building <p><i>See Facilitator Note 2 – GPC/CP AoR Conceptual Framework for Localization in Coordination</i></p>		
<p>Summary of Workshop Objectives</p>	<p>Present the objectives of the workshop:</p> <ul style="list-style-type: none"> ○ Participants have increased knowledge of the international humanitarian architecture, the cluster approach and the different steps of the Humanitarian Program Cycle as well as the relevance of the centrality of protection in humanitarian action. ○ Participants are equipped with the skills and capacities to participate in the cluster system and to contribute and influence the HPC process, notably by bringing forward key protection priorities and ensure they are reflected in the HPC process. ○ Participants are familiar with the tools and resources available to implement principled, accountable, high-quality programming and strengthened organizational procedures. ○ A collective action plan is developed and endorsed to advance the localization agenda within the Protection Cluster. ○ Additional capacity-building needs are identified for each partner organizations and long-term mentoring and support is expected to be provided on this basis. 	<p>5 min</p>	<p>Slide 11</p>
<p>Overview of Agenda</p>	<p>Provide an overview of the agenda for the three days.</p> <p>Explain that day 1 will cover how local partners can participate in the international coordination system and how they can influence humanitarian strategies and response plans. It will also aim to gather partners' perspectives and experience on their involvement with the cluster system. One of the outcome of the day will be to map out localization good practices and key gaps in the country where the workshop is delivered.</p> <p>Explain that day 2 will show how the humanitarian system has committed to putting protection central to our work and the collective responsibility we have towards it. It should lead to a reflection on how local partners can work together with international actors the develop protection analysis and response that are locally-driven.</p> <p>Explain that day 3 will outline the main elements of effective humanitarian coordination and the ways local partners can influence protection coordination key stakeholders. The aim is to also identify and agree upon practical and actionable recommendations to advance the localization</p>	<p>5 min</p>	<p>Slides 12-14</p>

	agenda as well as identify additional capacity-building needs and long-term mentoring support.		
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Session 0	Sharing Experience: Partner Agency and the Cluster System		
Objective	This session will give partners an opportunity to present the work of their organizations and share their experience with the cluster system.		
Methodology	Partners presentation		
Time	1 hour		
Preparation	PowerPoint Presentation		
Resources	N/A		
Sharing Experience: Partner Agency and the Cluster System	<p>Ask each partner to prepare a short presentation of the work of their organization and ask them to specifically share their experience with the cluster system.</p> <p>Give the floor to each partner for a 5 minutes presentation.</p> <p>Thank participants for sharing their experience and conclude by summarizing the main trends in terms of cluster engagement.</p>	60 min	Slides 16-17

Session 1	Participating in the International Coordination System		
Objective	This session will provide an overview of the history and the main components of the international humanitarian architecture and show how it contributes to better coordination and improved humanitarian response.		
Methodology	Facilitator presentation and group exercise		
Time	1 hour 30 minutes		
Preparation	PowerPoint Presentation, Flipchart, Markers		
Resources	Resource 2 – Humanitarian Imperative Self-Check Resource 3 – Humanitarian Principles Case Study Resource 4 – International Humanitarian Architecture Resource 5 – Global Cluster Flower Cards Resource 6 – Reference Module for Cluster Coordination		
Introduction	<p>Introduce the objective of this session. Participants will be able to:</p> <ul style="list-style-type: none"> Describe the main components of the international humanitarian architecture at the global and country level Explain how the international architecture contributes to better coordination and improves the humanitarian response 	5 min	Slides 18-19
The Foundations of Humanitarian Action: Key	<p>Explain that humanitarian actors share a common goal, which is to provide life-saving assistance and protection to populations in need. Over time, the international humanitarian system has developed principles that guide the activities of these organizations and individuals.</p>	30 min	Slides 20-28

<p>Principles and Concept</p>	<p>This starts with the humanitarian imperative. The concept of the “humanitarian imperative” means that action should be taken to prevent or alleviate human suffering arising out of disaster or conflict, and that nothing should override this principle.</p> <p><u>Individual Exercise: Humanitarian Imperative Self-Check</u> (See Resource 2)</p> <p>Ask participants to take a few minutes to do the Humanitarian Imperative Self-Check.</p> <p>Explain that humanitarian principles guide our work as humanitarian. Provide a brief explanation of the four principles.</p> <ul style="list-style-type: none"> • Humanity • Neutrality • Impartiality • Independence <p><i>See Facilitator Note 3 – Humanitarian Principles</i></p> <p><u>Group exercise: From Principles to Practice</u> (See Resource 3)</p> <p>Ask participants to discuss in four groups the case studies and apply the humanitarian principles in practical situations.</p> <p><i>See Facilitator Note 4 – Case Studies</i></p> <p>Explain that for decades millions of people have been forced to flee their homes or places of habitual residence each year, including in the context of conflict, violence, development projects, disasters and climate change, and have remained displaced within their countries of residence.</p> <p>Give an overview of the magnitude of internal displacement based on IDMC data from global overviews. By the end of 2016 there were 40.3 million people living in internal displacement caused by conflict and violence in 56 countries and territories. The total number of people has nearly doubled since 2000 and has increased sharply over the last five years. An unknown number of people remain displaced as a result of disasters or development projects that occurred in and prior to 2016. Today in the world, one person forced to flee every second. Colombia, DRC, Iraq, Sudan and South Sudan have featured in the list of the ten largest internally displaced populations every year since 2003.</p> <p>Explain that when a crisis occurs, hundreds of organizations and thousands of individuals may participate in the humanitarian response. In the past, there was no clear way for these groups to organize their activities. This lack of coordination led to duplication in some areas of the response and gaps in others. Some major humanitarian crisis like Gulf War 1991, Rwanda Genocide 1994, Indian Ocean Tsunami 2004, Darfur 2005, Pakistan Flood 2010, and Haiti Earthquake 2010 showed that humanitarian assistance was uncoordinated and inefficient. To address these issues, humanitarian actors around the globe came together and introduced several major reforms to the humanitarian system.</p> <p>Outline that the first step in humanitarian coordination is rooted in the General Assembly Resolution 46/182 (1991). The resolution establishes several important entities that remain cornerstones of humanitarian coordination.</p>		
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	<ul style="list-style-type: none"> • Transforms the position of Disaster Relief Coordinator into Emergency Relief Coordinator (ERC), who would be responsible for coordinating and facilitating the humanitarian assistance of the UN system and serve as a central focal point with governments and nongovernmental organizations. • Establishes Consolidated Appeals Process (CAP) to coordinate funding appeals. • Establishes Central Emergency Revolving Fund (CERF), a pooled donor fund of initially US\$50 million. • Creates Inter-Agency Standing Committee, a central coordination platform for humanitarian UN organizations, NGOs, and the Red Cross and Red Crescent Movement. <p>Explain that in 2005 the ERC initiated a new “Humanitarian Reform” in an attempt to make the humanitarian response more predictable and more effective. The Humanitarian Reform initiative focused on improving:</p> <ul style="list-style-type: none"> • Coordination: The 2005 reform established the cluster approach, which is the main way humanitarian actors coordinate. Clusters are groups of humanitarian organizations (UN and non-UN) working in the main sectors of humanitarian action, who coordinate in order to avoid gaps and duplication in assistance to affected communities. They are created when clear humanitarian needs exist within a sector; when there are numerous actors within sectors; when national authorities need coordination support. Clusters provide a clear point of contact and are accountable for adequate and appropriate humanitarian response. They promote partnerships between international humanitarian actors, national and local authorities, and civil society. • Financing: The 2005 reforms strengthened the pooled funding mechanisms. The goal of this reform was to improve the predictability, flexibility, and timeliness of funding for humanitarian operations. • Leadership: If international humanitarian assistance is required, the Emergency Relief Coordinator may appoint a Humanitarian Coordinator (HC) to lead and coordinate the efforts of humanitarian organizations (both UN and non-UN). The 2005 reforms aimed to strengthen the role and capacity of these Humanitarian Coordinators. • Partnership: Partnership was added in 2007. UN, governments, NGOs, the Red Cross/Red Crescent, and local groups all need to work together and behave according to the Principles of Partnership. <p>Explain that the actions launched under Humanitarian Reform in 2005 are still evolving and being improved. In 2010, the Inter-Agency Standing Committee (IASC) created the Transformative Agenda, which is a set of recommendations to ensure that these shortcomings are addressed and to improve humanitarian response and accountability to affected people.</p> <p><i>See Facilitator Note 5 – Transformative Agenda</i></p>		
<p>The International Humanitaria</p>	<p>Show the chart that shows the main components of the humanitarian architecture and explain that the humanitarian architecture provides a framework to coordinate the various humanitarian actors who can support</p>	<p>10 min</p>	<p>Slide 29</p>

<p>n Architecture: A more Efficient, Predictable and Accountable System</p>	<p>and supplement the existing national capacity. While other coordination systems do exist, the international humanitarian architecture being described here involves humanitarian actors coordinated under the Inter-Agency Standing Committee. This architecture is designed to make sure we are as effective as possible (<i>Resource 4</i>).</p> <p>The <u>main components</u> are:</p> <ul style="list-style-type: none"> • Office for the Coordination of Humanitarian Affairs • Under-Secretary-General/Emergency Relief Coordinator • Inter-Agency Standing Committee • Humanitarian Coordinator • Humanitarian Country Team • NGO consortia <p><i>See Facilitator Note 6 – The Humanitarian Architecture</i> <i>See Facilitator Note 7 – L3 Emergencies</i></p>		
<p>The Cluster Approach: Structure and Key Functions of Global and Field Clusters</p>	<p>Explain that the Cluster approach is the primary tool humanitarian actors use to improve coordination. It is part of the 2005 Humanitarian Reform initiative. There are global clusters which are always active and in country clusters which are activated as needed during a crisis.</p> <p>A cluster is a group of humanitarian organization from the same sector of humanitarian action. A cluster can include any number of UN agencies, NGOs, RC/RC, and – at the national and subnational level – relevant government agencies. By working together, these organizations are not only able to provide better assistance to affected populations, they are also better equipped to coordinate their work with actors outside of their sector.</p> <p>Global clusters are always active to help maintain system-wide preparedness & technical capacity, ensure greater predictability and more effective inter-agency responses in their sector.</p> <p>In-country clusters are temporary, and are only activated when there is insufficient coordination capacity at the country level in order to avoid gaps and duplication in assistance to affected communities. To determine which clusters should be activated and who should lead them, the HC and HCT will look at initial assessments and form a recommendation. This recommendations is sent to the ERC, who submits it to the IASC and global cluster lead agencies for approval. Once approved, clusters are established so that humanitarian organizations can coordinate resources, prioritize activities and define their respective roles and responsibilities.</p> <p><i>See Facilitator Note 8 – Global Clusters</i></p> <p>Group exercise: Global Clusters (<i>Resource 5</i>)</p> <p>Divide the participants into 6 groups and give each group an envelope with cut clusters logo. Ask participants to form the cluster flower matching each global cluster with its lead agency.</p> <p>Group exercise: In Country Clusters</p> <p>Divide participants into 4 groups working respectively on following themes:</p> <ul style="list-style-type: none"> ○ Cluster activation ○ Cluster deactivation ○ Cluster core functions 	<p>25 min</p>	<p>Slides 30-41</p>

	<ul style="list-style-type: none"> ○ Minimum commitment of cluster members. <p>Distribute copies of the Reference Module for cluster coordination (<i>Resource 6</i>) and ask them to find an answer in the document and present their findings with all participants.</p> <p><i>See Facilitator Note 9 – In-Country Clusters</i></p> <p>Explain that NGO participation in clusters at both global and country levels is crucial. As NGOs can bring the operational perspective in their respective areas of work, participating in policy development at the global level is important to ground policies in the reality of field-level operations. At the country level, NGOs have a responsibility to participate in clusters to ensure that their programs are not duplicative and to help shape country-level strategy in their sectors. Though all clusters are structured differently, cluster members all share the responsibility of providing timely and effective assistance. This requires a commitment of time and resources of all partners, including NGOs, as well as a good understanding of the cluster system as a whole.</p> <p>Explain that the benefits of participation in the cluster system are well worth the cost, especially when considered from the point of view of the affected population. In country clusters can coordinate activities on the ground, helping different organizations to avoid duplication. The information sharing components of the cluster system lead to better needs assessment, which helps to save lives and conserve resources. Global clusters help distribute standards and best practices among a wide variety of organizations, improving the overall quality of humanitarian action. In short, the cluster system helps humanitarian actors save lives and livelihoods, and that is well worth the challenges it brings with it. An increased knowledge of the guidance surrounding the proper operation of the cluster system can help NGOs hold the clusters accountable to function well and achieve their stated goals. This can mean addressing our concerns to the cluster coordinator or the HC. When clusters do not work in an effective manner, it is the responsibility of cluster partners, including NGOs, to take steps to improve the functioning of the cluster.</p> <p>For NGOs participation in a cluster brings with it certain benefits and certain challenges. Participation requires a significant commitment of time and human resources on the behalf of all participating partners. This can be especially tough for smaller NGOs who may have more barriers to their participation than international NGOs. In addition, some organizations might find that their contributions to a cluster benefit the overall response, but offer no benefit to the organization itself.</p>		
<p>Conclusion</p>	<p>Conclude this session with the following key messages:</p> <ul style="list-style-type: none"> • The humanitarian imperative and humanitarian principles that underpin our work are a shared foundation for coordination. • The international humanitarian architecture has been reformed several times to make the humanitarian response more predictable and more effective. • The benefits of participation in the cluster system are well worth the cost, especially when considered from the point of view of the affected population 	<p>5 min</p>	<p>Slide 42</p>

	<ul style="list-style-type: none"> An increased knowledge of the guidance surrounding the proper operation of the cluster system can help NGOs hold the clusters accountable to function well and achieve their stated goals. 		
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Session 2		Influencing Humanitarian Strategies and Response Plans	
Objective	This session describes the planning and funding process of a humanitarian response. It outlines the key steps of the Humanitarian Programme Cycle and the ways local and national actors can influence and take part in humanitarian strategies development and decision-making process.		
Methodology	Facilitator presentation and individual exercise		
Time	1 hour 30 minutes		
Preparation	PowerPoint Presentation, Flipchart, Markers		
Resources	Resource 7 – Humanitarian Program Cycle Self-Check		
Introduction	<p>Introduce the objective of this session. Participants will be able to:</p> <ul style="list-style-type: none"> Explain the value of humanitarian coordination and understand the different steps of the Humanitarian Programme Cycle. Identify ways local and national actors can influence and take part in humanitarian strategies development and decision-making process. 	5 min	Slides 43-44
The Humanitarian Program Cycle: Steps and Timeline	<p>Explain that the process that organizes the response to humanitarian emergencies is called the Humanitarian Programme Cycle (HPC). The HPC is a coordinated series of actions undertaken to help prepare for, manage, and implement humanitarian response. It consists of a number of elements coordinated in a seamless manner, with one step logically building on the previous and leading to the next. It is intended to be a collective, consultative process that creates an environment in which all those involved in a response can see their role in relation to others. Processes that are inclusive and consultative generate better planning decisions, more robust cooperation, greater accountability, and legitimacy. It is important for NGOs to understand the elements of the HPC so that they can fully participate in the phases of the emergency response alongside other humanitarian actors.</p> <p>Outline the main phases in the Humanitarian Programme Cycle:</p> <ol style="list-style-type: none"> Needs assessment and analysis Strategic response planning Resource mobilization Implementation and monitoring Operational review and evaluation <p>Note that preparedness is also an important part of effective response and should be incorporated throughout the cycle.</p> <p>Bring participants attention to the fact that in order to implement the HPC effectively, there are two elements at the heart of the cycle.</p> <ul style="list-style-type: none"> <i>Effective coordination</i> with national and local authorities and humanitarian actors. Responding to the needs of affected people is at the heart of humanitarian response, and coordination facilitates that response. 	10 min	Slides 45-46

	<ul style="list-style-type: none"> • <i>Information management</i> -- Information management underpins each phase of the HPC and helps connect phases by carrying enriched information from one to another. It is important that organizations participating in the response collect and share information, including the “4Ws” of who is doing what, where, and when. <p><i>See Facilitator Note 10 – Preparedness and 4W</i></p>		
<p>How to Participate in Needs Assessments and Analysis?</p>	<p>Explain that needs assessment and analysis provide the evidence on which the whole Humanitarian Programme Cycle is based. Immediately following the onset of a crisis, initial information gathering may be done so that a response can start taking place right away, but an effective humanitarian response requires a multi-sector assessment of needs and capabilities. This joint assessment is undertaken with the goal of providing decision makers with enough accurate information to make key decisions in a timely manner. This information can affect everything from strategic planning to program implementation, so it is essential that needs are accurately assessed and jointly analysed. All humanitarian actors conduct needs assessments, but it is important to coordinate so that assessments are done jointly or with a harmonized approach.</p> <p>Provide a quick overview of the MIRA and HNO tools if relevant to the country of operation.</p> <p><i>See Facilitator Note 11 – MIRA and HNO</i></p> <p>Ask participants to share their experience on how they participate in joint assessment and whether/how they share their needs assessment with the cluster system.</p> <p>Conclude with the following key messages:</p> <ol style="list-style-type: none"> 1. Joint needs assessment (like MIRA/HNO) aim to support the identification of strategic humanitarian priorities, it is important that NGOs participate in the information gathering aspect, help drive the selection of priorities and ensure local knowledge is included in the findings. This helps all humanitarian actors reach a common understanding of the situation. 2. Coordination of those joint assessments are usually handled at the Inter-Cluster Coordination Forum, so NGOs should be in touch with the relevant cluster coordinator or with the OCHA office to see how they can participate. 3. Once assessments have been completed by an NGO or its local partners, it is strongly encouraged that the results are shared so that others can benefit, even if the organizations concerned don't plan to use them for their own operational purposes. OCHA field offices usually maintain assessment registries as part of their role in information management coordination. 4. Once an HNO is completed NGOs and others can use the data to improve their response. 	<p>20 min</p>	<p>Slides 47-48</p>
<p>How to Influence Strategic Response Planning?</p>	<p>Explain that by using the information collected through needs assessment and analysis, the Humanitarian Coordinator (HC) with the active participation of the Humanitarian Country Team (HCT) develops a Strategic Response Plan, which defines priorities, gaps, and accountabilities and includes detailed funding requirements. This plan helps guide the response</p>	<p>20 min</p>	<p>Slides 49-50</p>

	<p>by deciding what actions are most urgent, who is responsible for these actions, and where they will be working. It also supports fundraising with donors.</p> <p><i>See Facilitator Note 12 – SRP and HRP</i></p> <p>Ask participants to share their experience on if/how they participate in strategic response planning.</p> <p>Conclude with the following key messages:</p> <ol style="list-style-type: none"> 1. While the HC and HCT are responsible for developing and implementing the SRP/HNO, the entire humanitarian community should be involved all aspects of it, especially its design. International and national NGOs, particularly, have firsthand knowledge of the situation on the ground and therefore can ensure the strategy and priorities accurately reflect the realities in the field. The SRP/HNO should also take into account consultation with national authorities and the views of the affected people. 2. SRP/HNO are usually initiated by inter-agency planning workshops. These workshops form the basis of the plan and thus are prime opportunities for the humanitarian community to engage and influence it. The workshops generally involve the HCT, cluster coordinators, and often other stakeholders such as the host government, donors, and participants from the Red Cross/Red Crescent and NGO community 3. In the development of the SRP, NGOs should work together with others in their respective clusters to ensure that their views are considered. The SRP will include cluster response plans, so NGOs can be in contact with their in-country clusters for more information. 4. NGOs can use the SRP to illustrate where their programming fits with the overall strategic plan within their countries of operation. It adds value to their programming, as organizations know what complementary services others are providing. 5. NGOs can hold the leadership to account if the strategic objectives and indicators are not being met. 		
<p>How to Access Direct Funding and Pooled Fund Mechanisms</p>	<p>Explain that the strategic response planning process helps indicate what money, staff, and materials will be needed to implement the plan. Whether donors fund an organization directly, through another international or UN agency, or contribute money into a pooled fund, donors and recipients should ensure that funding aligns with the strategic response planning: resources need to be raised to match the specific assessed needs.</p> <p>Explain that pooled fund mechanisms are rapid, flexible aid flows strategically targeted at priority needs. They allow donors to participate to a joint effort without having to select a specific recipient, by having multiple donors combine their money into a single fund for distribution based on the strategic response planning. Those mechanisms relieve administrative burden by bringing together many contributions from many donors and managing funds centrally. It encourages actors to coordinate their activities and work together to identify priorities. Some examples of pooled funds include: Central Emergency Response Fund (CERF), Common Humanitarian Fund (CHF), and Emergency Response Fund (ERF).</p> <p><i>See Facilitator Note 13 – Country-Based Pooled Funds</i></p>	<p>20 min</p>	<p>Slides 51-53</p>

	<p>Ask participants to share their experience on if/how they participate in pooled fund mechanisms.</p> <p>Conclude with the following key messages:</p> <ol style="list-style-type: none"> 1. Participation in ERFs and CHF is away for NGOs - both international and national - to engage with the international humanitarian funding mechanisms. 2. Local NGOs should liaise with OCHA's Humanitarian Financing Unit on conducting a capacity assessment prior to submitting a proposal. 3. Before drafting a proposal for an ERF or a CHF, NGOs should consult with OCHA's Humanitarian Financing Unit Fund Manager to see if the pooled funds are the right mechanisms to respond to the identified need. 4. NGOs should prepare the proposal in consultation with the respective cluster coordinator and the relevant OCHA field office to get their support throughout the project cycle, to avoid overlapping with other projects, and to shorten the review process as much as possible. 5. Partners can follow the country-specific website to obtain updates on funding and allocations, strategies, guidelines, or templates. 		
Conclusion	<p>Explain that the last stages of the Humanitarian Programme Cycle are: implementation, monitoring, operational review and evaluation. The HCT regularly reviews information on the humanitarian operations to monitor the response and makes adjustments to the strategic plan as needed. Evaluating a response helps to better understand what actions or decisions were effective and how the humanitarian community can be more effective in a humanitarian crisis. It also helps organization to identify any necessary changes to improve the quality of the ongoing response.</p> <p>Individual Exercise: HPC Self-Check (<i>Resource 7</i>)</p> <p>Ask participants to match each of the activity with the phase of the HPC it would correspond to.</p>	15 min	Slide 54
Conclusion	<p>Conclude the session with the following key messages:</p> <ul style="list-style-type: none"> • The HPC is a coordinated series of actions undertaken to help prepare for, manage, and implement humanitarian response. • Processes that are inclusive and consultative generate better planning decisions, more robust cooperation, greater accountability, and legitimacy. • NGO need to understand the elements of the HPC to be able to fully participate in the phases of the emergency response alongside other humanitarian actors. 	5 min	Slide 55

Session 3	Identifying Opportunities for Locally-Driven Humanitarian Response
Objective	This session includes a review by the facilitator of how localization is currently reflected in the 2018 HRP. It aims to generate a discussion with partners to identify good practices and potential gaps. It will guide the action planning process in day 3.
Methodology	Facilitator presentation and plenary discussion
Time	45 minutes

Preparation	PowerPoint Presentation, Flipchart, Markers		
Resources	N/A		
Introduction	<p>Introduce the objective of this session. Participants will be able to:</p> <ul style="list-style-type: none"> • Get an overview of how localization is currently reflected in the 2018 HRP. • Generate a discussion to identify good practices and key gaps in terms of the engagement of local actors in the cluster system. 	5 min	Slides 56-57
Overview of the state of Localization in the 2018 HRP	<p>Provide an overview of the state of Localization in the 2018 HRP, identifying where localization is reflected as a strategic objective and highlighting any commitments taken by the clusters with regards to advancing the localization agenda. This presentation should path the way for the plenary discussion.</p>	10 min	Slide 58
Mapping Localization Good Practices and Key Gaps	<p>Show the video of Building a Better Response on the Challenges of Local Partners to Engage with Coordination Mechanisms: https://www.youtube.com/watch?v=Bmvj96xy3Zw</p> <p>Ask participants to share any good practices they have observed with regards to the engagement of local actors in the coordination /cluster system.</p> <p>List them on a flipchart to ensure all good practices are recorded. This information will be synthetized in a Good Practice Report.</p> <p>Ask participants to identify potential key gaps they have observed with regards to the engagement of local actors in the coordination/cluster system.</p> <p>List them on a flipchart and pin the flipchart on the wall so that throughout the workshop the facilitator and participants can make reference to this information. It will inform the development of a collective action plan on localization that will be discussed in day 3.</p>	30 min	Slides 59-60

DAY 2			
Session 0	Opening and Welcome		
Objective	This session aims to recap the key elements of day 1 and present the objectives of the day.		
Methodology	Game and facilitator presentation		
Time	30 minutes		
Preparation	Quiz		
Resources	Resource 8 – Quiz on Coordination		
Recap	<p>Welcome participants. Explain that the day will start with a quiz to recap the learning from the previous day.</p> <p>Group exercise: Quiz on Coordination (<i>Resource 8</i>)</p>	25 min	N/A

	Distribute the quiz on coordination to each participant. Each participant has 10 minutes to individually decide whether each of the 13 statements is true or false. For the correction, participants will work in pairs. Have them exchange their filled-out forms and discuss their answers. Debrief in plenary, asking participants to share specific challenges they have faced when responding to the quiz.		
Objectives of the day	Explain that day 2 will show how the humanitarian system has committed to putting protection central to our work and the collective responsibility we have towards it. It should lead to a reflection on how local partners can work together with international actors to support the development of locally driven protection analysis and response.	5 min	N/A

Session 4	Being Responsible to Place Protection at the Centre of Humanitarian Action		
Objective	This session helps understand the shared definition of protection and its legal foundation. It shows how the humanitarian system has committed to putting protection central to our work and our collective responsibility towards it. It also covers the key protection principles, norms and standards under which humanitarian workers operate to provide assistance to those in need.		
Methodology	Facilitator presentation and plenary discussion		
Time	1 hour		
Preparation	PowerPoint Presentation, Flipchart, Markers		
Resources	Resource 9 – Protection Definition Resource 10 – Cross-Cutting Issues Infographic Resource 11 – Protection Standards		
Introduction	Introduce the objective of this session. Participants will be able to: <ul style="list-style-type: none"> Understand the shared definition of humanitarian protection. Describe the Centrality of Protection approach. Outline the key protection principles. 	5 min	Slides 61-62
Brainstorming on Protection	Ask participants to remind themselves things they think unify “us” all (us being the participants and the facilitator of the workshop), what brings us all together as a group. Stop if and when someone calls out protection ... if no one says protection then after a few minutes mention it, saying “and of course we all work on and care about protection”. Explain that protection is an inclusive concept, which requires collaboration and complementarity to fulfil, as we will see during course of the coming session. Ask participants to list the words that for them refer to protection. Write them down on a flipchart.	5 min	N/A
The Shared Definition of Humanitarian Protection	Explain that protection can be understood in different ways but that it has a specific definition in the context of humanitarian assistance. Stress that humanitarian actors share a common definition of protection and that we are going to analyse it. Group exercise: Definition of Protection (<i>Resource 9</i>)	15 min	Slide 63

	<p>Participants receive 1 A4 sheet. Explain that all pieces of paper together make the IASC definition of protection. As a group they need to make the protection definition by lining up with the definition in the correct order. When finished stick each A4 piece of paper to the wall of the room so the definition of protection can be referred to during the workshop.</p> <p>Have a discussion on the “space” and “coordination” that happened in the group to organize the definition. What were the different reactions and roles that people assumed? Link that to the “humanitarian space” and the coordination roles in a cluster.</p> <p>Stress that protection is about people rights. It aims to ensuring that people rights are recognized and respected by States and all stakeholders. Protection can be seen as: an objective, a legal responsibility and an activity.</p> <p><i>See Facilitator Note 14 – Definition of Protection</i></p>		
<p>The International and National Legal Framework for Protection</p>	<p>Explain that protection being about ensuring that all women, girls, boys, and men are able to enjoy their rights on an equal basis, including in times of internal displacement, it is necessary to identify which rights people are entitled to in each situation and the legal obligations of States and other authorities under the law.</p> <p>Explain that the bodies of law relevant to humanitarian work include international humanitarian law, human rights law and regional law related to human rights and protection. The above mentioned bodies of law provide a comprehensive legal framework for protection in all situations of internal displacement, including during armed conflict. It provides clear objective and criteria for protection that can help to:</p> <ul style="list-style-type: none"> • Assess to what extent human rights are being respected and identify the risks or obstacles that individuals face in exercising their rights; • Clarify the responsibility of the national authorities and the actions that must be taken to fulfil that responsibility; • Develop a sound operational response to humanitarian crisis, using rights-based approaches that strengthen the capacity of individuals to protect themselves and the duty bearers to be willing and able to protect individuals; • Provide a basis for advocacy, awareness raising, training, capacity building and other similar activities; and • Guide our own activities, conduct, and interactions with populations of concern. <p>Outline the national legal framework for protection with the participants. This part of the session should be facilitated by a local resource and focus on Conventions ratified by the country where the workshop takes place as well as national constitutions, laws and any other national normative instruments relevant for protection.</p> <p><i>See Facilitator Note 14 – Definition of Protection</i></p>	<p>10 min</p>	<p>Slide 64</p>
<p>The Centrality of Protection Approach: A Collective</p>	<p>Ask to participants to brainstorm on who is responsible for protection. Explain that different actors have different mandates in protection. All agencies involved in the humanitarian system must ensure respect for human rights and protection of civilians. However, some agencies have specific mandate to implement protection programs.</p>	<p>10 min</p>	<p>Slides 65-68</p>

<p>Responsibility</p>	<p><i>See Facilitator Note 15 – Protection Actors</i></p> <p>Explain that according to the IASC Principals' Statement on the Centrality of Protection (2013) all humanitarian actors have a responsibility to place protection at the center of humanitarian action. With the endorsement of the Policy on Protection in Humanitarian Action (2016), the IASC went further in defining the centrality of protection within humanitarian operations, and the process for its implementation at country-level.</p> <p>Highlight the role that NGOs can play in implementing the IASC Protection Policy by incorporating key protection elements into their organizational approaches, and contributing to interagency leadership and coordination on protection at country-level.</p> <ul style="list-style-type: none"> • Data and information collection • In depth and integrated protection analysis • Agreement on protection priorities and collective actions • Mobilizing multi-disciplinary actors to contribute to protection outcomes • Evaluating commitments and monitoring progress <p><i>See Facilitator Note 16 – IASC Policy on Protection</i></p>		
<p>Protection Key Principles, Norms and Standards</p>	<p>Present the infographic on Cross-Cutting Issues (<i>Resource 10</i>), which aims to support a better understanding of the links between the different cross-cutting initiatives and how they contribute to the protection of affected populations.</p> <p>The infographic illustrates the following messages:</p> <ol style="list-style-type: none"> 1. Affected populations are at the center of humanitarian action. 2. Mainstreaming seeks to address a particular issue or contribute to achieve a particular outcome without creating a specific sector, program or project for it. 3. Affected populations' different needs and capacities as well as their exposure to risks must be taken into account during the humanitarian response. <p>Cross-cutting issues focus on particular areas of concern in humanitarian response and address individual, group or general vulnerability issues. Some of these issues are:</p> <ul style="list-style-type: none"> ○ Age, Gender and Diversity ○ Child Protection ○ Gender-Based Violence ○ Mental Health and Psychosocial Support ○ Disability ○ HIV/AIDS ○ Mine Action ○ Housing, Land and Property <p>Group Exercise: Protection Standards (<i>Resource 11</i>)</p> <p>Split participants into eight groups. Spread the cards depicting the protection standards on a table at the front of the room. Groups are invited to send one representative each to the front of the room to pick one standard, preferably one they are already familiar with. The representatives then return to their groups and show them which standard they have picked.</p>	<p>20 min</p>	<p>Slides 69-70</p>

	<p>Ask the groups to now pass their card to the group on their immediate left. Groups familiarize themselves with their new card representing a different standard.</p> <p>Spread the brief descriptions of the standards on the table at the front. Groups must send a different representative to the table to choose the description which matches the standard that they currently hold. The representative then returns to the group with the description, and the group reads it together and decide whether or not they are in agreement that the correct matching description has been selected.</p> <p>Ask the groups to pass their two cards to the group to their immediate left. Groups take a few moments then to familiarize themselves with their new standard.</p> <p>Spread laminated pages from each of the standards on the table at the front. Groups must send a different representative to the front to select the page which matches with the standard and description they are currently holding. The representative takes the selected page back to their group. The group examines the page to verify whether or not it matches with the standard card and description that they are holding.</p> <p>Give groups five minutes to prepare a very brief introduction to their standard. Groups take it in turns to make a one-minute presentation on their standard to the group as a whole.</p>		
Conclusion	<p>Conclude with the following key messages:</p> <ul style="list-style-type: none"> • Protection is an inclusive concept, which requires collaboration and complementarity to fulfil. It encompasses 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. • A comprehensive legal framework provides clear objectives and criteria for protection and can help humanitarian workers to assess human rights violations, develop sound operational response using a rights-based approach, and provide a basis for advocacy and other similar activities. • All humanitarian actors have a responsibility to place protection at the centre of humanitarian action, by incorporating key protection elements in their organizational approaches and contributing to inter-agency leadership and coordination on protection at country-level. • Different cross-cutting initiatives exists and all contribute to the protection of affected populations. 	5 min	Slide 71

Session 5	Working Together for Protection in [Country]
Objective	This session provides an overview of the structure and the work of the Protection Cluster in the country where the workshop takes place. It highlights the main protection concerns and the strategy to respond to those. It should lead to a reflection on how local and national partners can support the protection response.
Methodology	Presentation by Protection Cluster and Sub-Clusters Coordinators
Time	1 hour and 30 minutes

Preparation	PowerPoint Presentation		
Resources	N/A		
Introduction	<p>Introduce the objectives of the session. Participants will be able to:</p> <ul style="list-style-type: none"> • Understand the key areas of work of the Protection Cluster and Sub-Clusters in the country selected • Describe the main protection concerns at the national level • Get an overview of the Protection Cluster Strategy at the national level 	5 min	Slides 72-73
Structure and Key Functions of the Protection Cluster and Sub-Clusters	<p>Provide a quick introduction to the role of the Global Protection Cluster and the resources available at the global level that might be of interest to participants (Website with resources, Community of Practice).</p> <p><i>Facilitator Note 17 – Global Protection Cluster</i></p> <p>Present the key functions of Field Protection Clusters:</p> <ul style="list-style-type: none"> • Supporting service delivery • Informing strategic decision making of the HC/HCT for the humanitarian response • Planning and implementing Cluster strategies • Monitoring and evaluating performance • Capacity Building • Advocacy 	10 min	Slides 74-75
Main Protection Concerns at the National Level and the Protection Cluster Response Strategy	<p>Present the structure of the Protection Cluster and Sub-Cluster in [Country]</p> <ul style="list-style-type: none"> • National and Regional Protection Cluster • Child Protection Sub-Cluster • GBV Sub-Cluster • HLP Sub-Cluster • Mine Action Sub-Cluster <p>Include a presentation of the main protection concerns in the country where the workshop takes place.</p> <p>Include a presentation of the Protection Sector objectives in the 2018 HRP of the country where the workshop takes place.</p> <p>Include a presentation of the Protection Sector Strategy and the HCT Protection Strategy if relevant.</p> <p><i>* This session should be facilitated by local resources (ideally Protection Cluster and Sub-Cluster Coordinators from where the workshop takes place).</i></p>	45 min	Slides 76-80
Reflection on the Role of Local and National Actors in the Protection Response	<p>Discuss with participants the role that National Partners can play in implementing the Protection Cluster Strategy.</p>	30 min	Slide 81

Session 6	Contributing to Collective and Locally-Driven Protection Analysis		
Objective	This session aims to reach a common understanding of what constitutes a protection risk and the methodology for conducting collective and locally-driven protection analysis. It highlights the complementarity of agencies/actors and the effectiveness of working jointly to analyze and respond to protection concerns.		
Methodology	Facilitator presentation and group exercise		
Time	1 hour and 30 minutes		
Preparation	PowerPoint Presentation, Flipchart, Markers		
Resources	N/A		
Introduction	<p>Introduce the objectives of the session. Participants will be able to:</p> <ul style="list-style-type: none"> Understand the methodology and know how to use the tools to analyze protection issues. Understand the role that national partners can play in conducting/influencing protection risk analysis in country. 	5 min	Slides 82-83
Protection Analysis: A Collective Methodology	<p><u>Group exercise:</u> Protection Concerns</p> <p>Divide participants into groups. Try to create groups of people working in the same region/area of the country. Ask participants to identify 5 main protection concerns in the regions where they work and to classify them in priority order and list them on a flip chart.</p> <p>Explain that we are going to work with tools¹ that will help build a protection analysis and response strategy.</p> <p>Explain the inverted tree tool and causal analysis of protection concerns. It is a tool to help us look closely at the often hidden root causes of a protection concern and distinguishing that from the “effects” which are usually more visible.</p> <p><i>See Facilitator Note 18 – Protection Analysis Tools</i></p> <p><u>Group exercise:</u> Protection Analysis</p> <p>Assign each group with a protection concern and ask participants to discuss and identify immediate, underlying and root causes and to build a problem tree.</p> <p>Conclude that the problem tree can help identify causal connections of rights as well as main patterns of discrimination, exclusion and power imbalances that prevent the realization of human rights of affected populations. Process-wise the problem tree is a tool for consensus building and participation as it requires agreement among participants on the main protection challenges and root causes.</p>	30 min	Slides 84-90
The Risk Equation: Understanding Threat,	<p>Stress that informed protection action is guided by a sound understanding of the current protection risks faced by the populations, and an evidence-based analysis of the situation. The best way to think about protection is from</p>	30 min	Slides 91-97

¹ The tools should be defined according to the needs of the protection cluster: inverted tree, causal analysis, risk equation, etc.

Vulnerability and Capacity	<p>the perspective of those who need it. Understanding people’s protection needs in terms of threat, violation, vulnerability, capacity and risk can do this.</p> <p>Explain that this approach uses a model of risk and response that is familiar to many humanitarian agencies. This approach allows us to appreciate the precise nature of the threats and vulnerabilities people are experiencing and the capacities they have to prevent and cope with them.</p> <p>Explain that the risk equation can therefore apply to identify the protection risks linked to humanitarian programming. When we speak about protection risks, we refer to the precise nature of the threats and vulnerabilities people are experiencing and the capacities they have to prevent and cope with them.</p> <p><i>See Facilitator Note 19 – The Risk Equation</i></p> <p>Group Exercise: Risk Analysis in Context</p> <p>Ask participant to carry out a risk analysis in context for the protection concern that have been attributed to each group. They should prepare a flip chart presentation following the chart example.</p>		
Addressing Strategically Protection Concerns	<p>Explain the Egg Model and how this is a useful tool for coordination.</p> <p><i>See Facilitator Note 20 – The Egg Model</i></p> <p>Explain that by considering a range of activities, one can see gaps more easily or complementarity in action. If one partner is focusing exclusively on the remedial (support to the camp) but not on the responsive (immediately stopping policy) or environment building (review/revision of policies or political sanction) – then we can map the areas where protection activities are needed as well as the type of activities needed. Protection needs collaboration and complementarity, the importance of all agencies working together in the clusters to ensure efficiency and maximize the use of resources.</p> <p><i>See Facilitator Note 21 – Complementarity in Protection Work</i></p> <p>Group Exercise: Response Strategy</p> <p>Ask each group to design the response strategy using the Egg model for their respective protection concern. Ask them to discuss and identify a responsive, a remedial and an environment building activity as well as specific national and international actors who could implement those activities.</p>	15 min	Slides 98-99
Conclusion	<p>To conclude, discuss with participants ways in which local and national partners could contribute and influence how collective protection analysis are being developed. Note down any recommendations that could form part of the collective action planning (session 10).</p>	10 min	Slide 100

Session 7	Mainstreaming Protection in the Humanitarian Program Cycle		
Objective	<p>This session provides guidance on how to mainstream protection in the Humanitarian Program Cycle in order to design and implement accountable and protection-oriented programs. The aim is to increase competitiveness of national partners with donors and pooled fund.</p>		
Methodology	Facilitator presentation and group exercise		

Time	45 minutes		
Preparation	PowerPoint Presentation		
Resources	Resource 12 – Protection Mainstreaming Principles		
Introduction	<p>Introduce the objectives of the session. Participants will be able to:</p> <ul style="list-style-type: none"> Understand the implementation of protection mainstreaming in the humanitarian program cycle in order to design and implement accountable and protection-oriented programs. 	5 min	Slides 101-102
Protection Mainstreaming in the Humanitarian Program Cycle: A Review of Good Practices	<p>Give a brief introduction to the Protection Mainstreaming Approach. The majority of participants should already be familiar with the approach.</p> <p>Group exercise: Protection Mainstreaming Principles (<i>Resource 12</i>).</p> <p>Split participants into groups of four. Ask participants to link each action to the relevant protection mainstreaming principle.</p> <p>Insist on the importance to mainstream protection throughout the Humanitarian Program Cycle. Show the graph available in the Protection Mainstreaming Toolkit.</p> <p>Highlight that Inter-Cluster coordination is critical to facilitating protection mainstreaming. The field protection cluster also has an important role in supporting other clusters to mainstream protection; it is the responsibility of the cluster leads to ensure protection mainstreaming happens. Protection clusters play a critical role in supporting humanitarian actors to develop protection strategies, including to mainstream protection. Consolidated appeals processes provide an important opportunity to ensure that protection is mainstreamed into humanitarian response.</p> <p>Show some of the good practices of how protection has been mainstreamed in the HPC. Examples of good practices can be found in the GPC Protection Mainstreaming Toolkit and in the 2016 Review of the Centrality of Protection.</p>	20 min	Slides 103-109
Strengthened Organizational Procedures: How to be more Competitive?	<p>Provide a short introduction about the GPC Protection Mainstreaming Toolkit.</p> <p>Insist on the fact that the Toolkit highlights essential elements of principled, accountable and high-quality programming leading to more effective humanitarian action. It therefore contains tools to monitor and evaluate the impact of having mainstreamed protection principles into organizational procedures and programs with regards to program quality and effectiveness of humanitarian action.</p> <p>Conclude that using some of the tools will allow participants to increase their competitiveness with donors and pooled funds through strengthened project design, proposal writing, staff assessment, monitoring score cards.</p> <ol style="list-style-type: none"> Tool #A0 – Protection Mainstreaming Monitoring Indicators Tool #B3 – Project Design Assessment Tool #B4 – Staff Assessment Tool #B7 and B8 – Monitoring Score Cards 	20 min	Slides 110

Session 0	Opening and Welcome		
Objective	This session aims to recap the key elements of day 1 and present the objectives of the day.		
Methodology	Game		
Time	30 minutes		
Preparation	Ball		
Resource	Resource 13 – Coordinated Response (Sphere Handbook)		
Introduction	Welcome participants and ask them to summarise the key elements they learned from the previous day.	10 min	N/A
Energiser 'The benefits of coordination'	<p>Split participants into 4 groups at each corner of the room. Each group forms a circle by crossing their hands behind their backs and giving crossed hands to their neighbours, facing outwards².</p> <p>Put an apple or a ball in the middle of the room. Say that the objective is to be the first group to collect the apple! At your signal, without letting their hands, each group needs to move to the centre of the room and pick up the apple. It normally ends up in a messy way, with some groups pushing others.</p> <p>Ask participants what they learned through the energiser and orient their response towards the benefits of coordination. By coordinating with their group and other groups, they could have reached their objective collectively faster and in a smoother way. Highlight that coordination may not be such a natural process and that competition is a real factor.</p> <p>Summarise by asking one participant to read aloud the paragraph on Coordinated response from the Sphere Handbook (<i>Resource 13</i>).</p>	15 min	N/A
Objectives of the Day	Explain that day 3 will outline the main elements of effective humanitarian coordination and the ways local partners can influence protection coordination key stakeholders. The aim is to also identify and agree upon practical and actionable recommendations to advance the localization agenda as well as identify additional capacity-building needs and long-term mentoring support.	5 min	N/A

Session 8	Influencing Protection Coordination Stakeholders		
Objective	This session identifies the functions, interests and motivations of key stakeholders involved in protection coordination and analyses how local partners can influence them.		
Methodology	Group work		
Time	1 hour		
Preparation	PowerPoint Presentation, Flipchart, Markers		

² Check if it is culturally appropriate to hold hands, especially with a gender-balanced group.

Resources	Resource 14 – Influencing Strategies Matrix		
Introduction	<p>Introduce the objectives of this session. Participants will be able to:</p> <ul style="list-style-type: none"> Identify the functions, interests and motivations of key stakeholders involved in protection coordination and analyse how they can influence them. Develop engaging and influencing strategies and actions to influence key stakeholders. 	5 min	Slides 111-112
Power Analysis and Stakeholder Mapping³	<p>Provide a brief introduction of the purpose of a Stakeholder Mapping. Stress that a stakeholder mapping helps understand the complex web of relationships that already exists between several actors and helps identify opportunities for positive intervention.</p> <p>Explain that the purpose of this session is to conduct a stakeholder mapping in the context of protection coordination. A stakeholder is here considered as people/organizations who can influence or are influenced by coordination.</p> <p>Explain that identifying stakeholders in coordination mechanisms is important because they can influence the problem in a positive or negative way, they can facilitate or obstruct the work and they can influence other stakeholder's actions.</p> <p>Highlight the process to conduct a stakeholder analysis:</p> <ol style="list-style-type: none"> Mapping of stakeholders: Who are the actors? What is their agenda, interests, motivations? What is their power? Analysis of stakeholders' relationships: What are the power relationships between these actors? Adding yourself: What impact can we have on each actor and relationship? How are they useful to you? How can you influence them? <p>Group exercise: Stakeholder Mapping</p> <p>Ask participants to identify the stakeholders (individuals, groups, institutions) who are involved in the protection coordination mechanisms in the country where the workshop takes place and put their names on colour cards. Example: Cluster Coordinators, Government, LNGOs, INGOs, UN Agencies, donors etc. Ask participants to discuss for each actor their level of influence in the coordination groups and whether this influence is positive or negative. Place each actors on a graph according to their level of influence and the type of influence. Then ask to identify key relationships between them (e.g. tension, funding, reporting/hierarchy and other non-financial support).</p> <p>Ask participants which stakeholders have the power to make things change positively for the effectiveness of coordination.</p>	30 min	Slides 113-115
Develop Engaging and Influencing Skills	<p>Group exercise: Influencing Skills (<i>Resource 14</i>)</p> <p>Ask participants to identify strategies/action for engaging and influencing these stakeholders to support the engagement of local actors in coordination mechanisms. Write on the matrix the main strategies/actions. Prioritise 3</p>	20 min	Slide 116

³ Depending on the type of actors in the room, this module may bring out some tensions and controversy; you need to be prepared to handle them and refocus the group on the aim of the module.

	strategies/actions and find ways to support each of the 3 priority strategies/actions.		
Conclusion	<p>Conclude by recalling that:</p> <ul style="list-style-type: none"> • Protection requires collaboration and complementarity. • Understanding the diversity of mandates and delineated areas of protection is essential for coordinators to understand and master dynamics in the cluster. • Common goals for inclusive actions to promote and enhance local engagement in coordination mechanisms require a holistic analysis of power and influence dynamics. 	5 min	Slide 117

Session 9	Improving Coordination and Leadership Skills		
Objective	This session outlines the minimum commitments for participating in the Protection Cluster. It provides key lessons learned on effective humanitarian coordination and the skills needed to take coordination and co-leadership role.		
Methodology	Role play and group work		
Time	1 hour and 30 minutes		
Preparation	PowerPoint Presentation, Ball, Flipchart, Markers, Post-It		
Resources	N/A		
Introduction	<p>Introduce the objectives of the session. Participants will be able to:</p> <ul style="list-style-type: none"> • Understand the minimum commitments for participation in a cluster • Identify key lessons learned for effective coordination • Outline the role of NGO in cluster coordination and in cluster co-leadership 	5 min	Slides 118-119
The Minimum Commitments for Participating in the Protection Cluster	<p>Brainstorming Session: What is Coordination?</p> <p>In advance, stick flip charts on the wall. Let participants take 5 large post-it notes and individually write 5 key words summarising humanitarian coordination. Participants come up and stick the post-it on the walls, while you group them to come up with broad themes highlighted by the group.</p> <p>Highlight the following key messages:</p> <ol style="list-style-type: none"> Coordination allows those providing aid to people affected by disaster to share information. Coordination helps ensure that all persons in need receive aid. Coordination allows us to use our resources as efficiently and effectively as we can. <p>Attributes of a good coordinator include:</p> <ul style="list-style-type: none"> • Avoid changing facilitators, to ensure the cohesion of the operation. • Be familiar with protection and human rights. • Be familiar with the language and local culture. • Have a clear coordinator profile and job description. • Be available to partners and give directions when necessary. 	40 min	Slides 120-125

	<ul style="list-style-type: none"> • Be familiar with the mandate, expertise and experience of different partners, understand their concerns. • Have a work plan, terms of reference and basic rules that are clear. • Encourage and support joint activities, such as evaluations, planning and implementation. • Communicate and build relationships with other sectors / clusters. • Be credible with commitment, professionalism, and respect. • Recognize the value and contribution of all parties and ensure that everyone can participate in common activities. <p>Group Exercise: Principles of Partnership</p> <p>Ask each group to discuss and write down keywords to summarise:</p> <ul style="list-style-type: none"> • Challenges of partnership on red cards • Opportunities of partnership on green cards <p>Each group will then come and stick their cards on the two flipcharts on the wall, according to the appropriate headings (opportunities/challenges).</p> <p>Distribute one poster with one principle of partnership to each group. Ask them to brainstorm on the meaning of this principle and to present their findings in plenary.</p> <p>Explain that effective partnership is not just about mechanistic relationships where actors come together to achieve a set of common objectives, dividing up responsibilities and planning joint work. Rather it requires attention to underlying issues of power, attitudes and styles of working, as well as identifying which partner is best placed to deliver on each of the desired outcomes.</p>		
<p>Cluster Coordination Performance Monitoring</p>	<p>Explain that Cluster Coordination Performance Monitoring is a self-assessment exercise to assess performance against the six core cluster functions and accountability to affected populations. It is a country-led process, supported globally. Ideally, it is carried out by all clusters/sectors at the same time but can be implemented on demand by individual clusters. The process enables all cluster partners and coordinators to identify strengths and weaknesses of performance and paths to improvement. The CCPM should ideally be implemented by all clusters three to six months after the onset of an emergency and annually thereafter. In protracted crises, the recommendation is, for all clusters, to complete a CCPM annually.</p>	<p>15 min</p>	<p>Slide 127</p>
<p>Role of NNGO in Cluster Coordination and Co-Leadership</p>	<p>Explain the benefits for and motivations of the NGO co-lead.</p> <ul style="list-style-type: none"> • Opportunity to influence policy and strategy, and to offer a balance to a strong UN agencies' focus, e.g. by representing non-government organizations and civil society perspectives. NGOs can influence policies and strategies through their experience and information gathered directly at field level. As a result, protection coordination groups grow more inclusive of NGO perspectives. • Improved status and influence of the NGO with national authorities, donors, etc.: the NGO co-leads' visibility increases, leading to greater communication with the other clusters or sectors, and increasing opportunities to attract funding. 	<p>30 min</p>	<p>Slides 128-132</p>

	<ul style="list-style-type: none"> Increased understanding of coordination processes and the humanitarian system, as well as improved capacity on how to engage with the same more effectively. <p>Explain that co-leadership not only benefits the NGO itself, but there are also clear advantages to the performance of the entire coordination group:</p> <ul style="list-style-type: none"> Increased participation of NGOs: the co-lead can play an integrative role and bring more child protection organizations to the coordination table. Additionally, NGO co-leadership can positively influence the communication with the coordination group membership, as well as increase transparency of decision-making and of allocation of pooled funds. Direct link with the operational level: NGOs usually carry out direct project implementation and frontline work, therefore bringing in first-hand information, contacts and practical advice to the coordination group. Better needs and gaps analysis: CLA's are not always directly present on the ground, contrary to NGOs which are usually working directly in the field. NGOs are therefore highly aware of protection gaps and challenges at the field level. This positively reflects in needs-based decision-making concerning strategic response priorities or the allocation of funding. Continued community engagement: NGO's privileged knowledge of the communities allows them to be close to children's needs, engage them significantly and devise different approaches on accountability to affected people. 		
Conclusion	<p>Conclude with the following messages:</p> <ul style="list-style-type: none"> Overcoming the challenges of coordinating with other humanitarian actors allows us to increase our overall response capacity, better respond to the needs of the affected population, and ensure timely, efficient and effective humanitarian response. Transitioning to local cluster leadership provides opportunities to increase the culture of inclusivity of the cluster system. 	5 min	Slide 133

Session 10	Planning Key Actions to Advance the Localization Agenda		
Objective	This session aims to identify practical and actionable recommendations to advance the localization agenda within the Protection Cluster as well as organizational capacity-building needs, which requires long-term mentoring and support.		
Methodology	Group work		
Time	1 hour and 30 minutes		
Preparation	N/A		
Resources	N/A		
Introduction	<p>Introduce the objectives of the session. Participants will be able to:</p> <ul style="list-style-type: none"> List common challenges to the participation of national partners in cluster. Identify practical and actionable recommendations. 	5 min	Slides 134-135

Brainstorming on Collective Localization Priority Actions	<p><u>Brainstorming Session:</u> Common Challenges to Local Engagement</p> <p>Ask participants to take a moment to reflect on what has been discussed over the course of this three days workshop and to identify common challenges to the engagement of local and national NGOs in the cluster system. After having brainstormed in plenary, ask participants to make groups of 5 and to identify practical and actionable recommendations.</p> <p>Give the opportunity to each partner organization to identify areas in which their organization needs further capacity building and continued remote support. Ask each partner to complete the form</p>	1 hour	Slides 136-138
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Session 10	Endorsing a Collective Localization Action Plan		
Objective	This session aims to agree on priority actions and finalize a collective action plan with practical and actionable recommendations to advance the localization agenda.		
Methodology	Plenary discussion		
Time	45 minutes		
Preparation	N/A		
Resources	Resource 15 – Localization Action Plan		
Introduction	<p>Introduce the objectives of the session. Participants will be able to:</p> <ul style="list-style-type: none"> • Agree on the localization priorities actions. • Finalize and endorse an action plan. 	5 min	Slides 139-140
Agree on Localization Priority Actions	<p><u>Plenary Discussion:</u> Common Challenges to Local Engagement</p> <p>Ask participants to present the priority actions they recommend to advance the localization agenda in the country where the workshop takes place. In plenary, agree on key localization priority actions.</p>	30 min	N/A
Finalize and Endorse an Action Plan	<p>Take notes with the objectives of finalizing the action and endorsing it with all participants present in the workshop. (<i>Resource 15</i>).</p>	10 min	Slide 141

Facilitator Notes

Facilitator Note 1 – Localization Agenda

Extracts from Grand Bargain Introduction and Work Streams, available [here](#).

The Localization Agenda has received increasing attention globally in recent years, notably through the following events:

- 2015 Sustainable Development Goals (SDGs): <https://sustainabledevelopment.un.org/> and <http://www.localizingthesdgs.org/>
- 2016 World Humanitarian Summit (WHS): <https://www.agendaforhumanity.org/summit>
- The Charter for Change sets a specific target of 20% of humanitarian funding to be passed to southern-based NGOs by May 2018: <https://charter4change.files.wordpress.com/2016/02/charter-for-change-july-20152.pdf>
- The Grand Bargain Commitment outline 10 commitments to be achieved by 2020 - For more information see: <https://www.agendaforhumanity.org/initiatives/3861>

The 'Grand Bargain' is an agreement between more than 30 of the biggest donors and aid providers that aims to get more means into the hands of people in need. It is essentially a 'Grand Bargain on efficiency' between donors and humanitarian organizations to improve the effectiveness and efficiency of humanitarian action. It includes a series of changes in the working practices of donors and aid organizations such as: gearing up cash programming, providing more direct funding for national and local responders and cutting bureaucracy, harmonizing reporting requirements, including people receiving aid (participation revolution), increase multi-year planning and funding.

Through the Grand Bargain Commitment on Localization, aid organizations and donors have committed to: invest in the institutional capacities of local actors (preparedness, response and coordination), lessen administrative burden, support national coordination mechanisms where they exist and include local actors in international coordination mechanisms, reach the target of 25% of humanitarian funding that goes to local actors, increase access of local actors to pooled fund.

Facilitator Note 2 – Conceptual Framework for Localization in Coordination

Extract from the Child Protection Area of Responsibility, Conceptual Framework for Localization in Coordination

The Child Protection Area of Responsibility endorsed by the Global Protection Cluster Conceptual Framework for Localization in Coordination is based on the following five dimensions.

Decision-Making: Local actors should have equitable opportunities to play leadership and co-leadership roles at national and subnational levels; and have a seat at the table when strategic decisions are made (for example, in Strategic Advisory Groups or Steering Committees, HCT).

Participation and Influence: Local actors should have the opportunity to influence the Cluster/Sector's decisions. To do this, they need equitable access to information and analysis on coverage, results etc; and the opportunity and skills to effectively and credibly convey their thoughts and ideas. Some examples include:

- Ensure that Cluster membership accurately reflects the diversity of humanitarian community (including diaspora, private sector, and academia).
- Ensuring HNO incorporates the views and data from local actors.
- Ensuring HNO reflects the need of affected populations and the institutional capacity needs of local actors.
- Prioritize service delivery by local actors.
- Translating key communications into local languages.

Partnerships: Coordinators should be promoting a culture of principled partnership both in the way it interacts with its members; and the way in which members interact with each other. In some cases, this requires

transitions from sub-contracting to more equitable and transparent partnerships, including recognizing the value of nonmonetary contributions by local actors (networks, knowledge). Some examples include:

- Modelling a culture of principled partnership in Clusters.
- Promote partnership that draw on coaching and mentoring approaches rather than sub-granting.

Funding: Where they have the institutional capacity to manage their own funds, local actors should be able to access funds directly. Local actors should receive a greater share of the humanitarian resources, including pooled funds, where applicable. Some example include:

- Prioritize approved local actors in pooled fund.

Institutional Capacity: Whilst technical capacity strengthening is important, coordination groups should also actively encourage more systematic and coordinated opportunities to receive support to strengthen operational functions, as part of the overall sector strategy to scale up services. Some example include:

- Develop a sectoral institutional capacity building strategy as part of the HRP.

Facilitator Note 3 – Humanitarian Principles

Extracts from Global Protection Cluster, Protection in Practice Learning Program, available [here](#).

Humanity: Human suffering must be addressed wherever it is found. The purpose of humanitarian action is to protect life and ensure respect for human beings. It also means that when we seek to assist, we treat individuals as human beings with dignity who should be respected.

Neutrality: The principle of neutrality dictates that humanitarian actors must NOT take sides in hostilities or engage in controversies of a political, racial, religious, or ideological nature.

Impartiality: Humanitarian aid must be delivered impartially, regardless of the nationality, gender, race, religious belief, class, political opinions or ethnicity. People should get assistance on the basis of need, and need alone, giving priority to the most urgent cases of distress.

Independence: Humanitarian actors must remain independent and autonomous from the political, economic, military or other objectives that any actor may hold with regard to areas where humanitarian action is being implemented. They can never act as instruments of foreign policy.

Facilitator Note 4 – Case Studies

Extracts from Global Protection Cluster, Protection in Practice Learning Program, available [here](#).

Case Study 1: This case study is linked to the principle of humanity: Situation, in which perceptions of favouritism and envy arose, sometimes generating conflict, because one group received more aid (or all the aid available). Ask the participants to explain their position. The following should be raised:

- Principle that aid should be based on “need alone”: how to reconcile this with the fact that these perceptions of unfairness (even if they are quantitatively inaccurate perceptions) are going to cause conflicts and protection risks and inhibit integration and coexistence?
- Isn’t “safety” one of the “needs” that aid distribution can be premised on? And through those lenses is there any contradiction? Or is this “buying” coexistence unsustainable?

Case Study 2: This case study is linked to the principle of neutrality: situation in which access mostly relies on national NGOs and the difficulty (in some cases impossibility) of avoiding this, because local NGOs may all be linked in some way. Ask the participants to explain their position. The following should be raised:

- The many levels and nuances of ‘linkages’.
- The risks of these linkages such as legitimizing armed groups, etc.

Consider posing the same question again to the group; however, this time, tell them to change the phrase into “an armed group” to “a host government which is party to the conflict.” Use this to probe a bit the non-symmetrical criteria used in dealing with armed groups as opposed to host states, even though our agencies

may profess neutrality (and even though there will certainly be cases where the armed group has a better reputation and credibility than the host state.): Aren't we subject to the same risks in both cases?

Case Study 3: This case study is linked to the principle of independence: This example is an expansion on the previous one, but adding in the fact that the "legitimacy risk" of the relationship lays you open to blackmail, and thus the responses to blackmail poses an entirely new factor in the decision. This example also tends to draw out participants' presumptions about contradicting the host government, about options for re-gaining access, etc. Ask the participants to explain their position. The following should be raised:

- The question of power in the relationship: how much power for future negotiations does the agency lose if it buckles to pressure of this kind? How much power and credibility does it earn if it shows the government it will not submit to blackmail?

Without going into a detailed discussion on negotiation tactics, it should be mentioned before leaving this case study that in reality the options are not binary or black and white – the agency may have many negotiation options which could be proposed to acknowledge and respond to the government's concerns.

Case Study 4: This case study is linked to the principle of independence: This example tends to draw out participants' presumptions about negotiating with armed groups, about options for gaining access, etc. Ask the participants to explain their positions. The following should be raised:

- The question of power in the relationship: how much power for future negotiations does the agency lose if it buckles to pressure of this kind? How much power and credibility does it earn if it shows the armed group it will not submit to extortion?

Facilitator Note 5 – Transformative Agenda

Extracts from Building a Better Response: Strengthening Non-Governmental Organization (NGO) Capacity and Engagement in the International Humanitarian Coordination System, Online Course, available [here](#)

The Transformative Agenda focuses on three key areas: better leadership (e.g. Roster of Emergency Coordinators for Level 3 Emergencies; Empowered Leadership; Inter-Agency Rapid Response Mechanism; Leadership Training), improved coordination (e.g. Strategic use of Clusters; Simplified Cluster management; Minimum Commitments for participation in Clusters; Strengthening NGO representation in the Humanitarian Country Team) and improved accountability to all stakeholders (e.g. Common Humanitarian Program Cycle to achieve collective results; Assessment, strategic statement, resource allocation, implementation, monitoring, reporting and evaluation; Common Performance and Reporting Framework; Accountability to Affected People). It also describes how the IASC will respond together to major emergencies that require a system-wide response. These are called Level 3 emergencies.

Facilitator Note 6 – The Humanitarian Architecture

Extracts from Building a Better Response: Strengthening Non-Governmental Organization (NGO) Capacity and Engagement in the International Humanitarian Coordination System, Online Course, available [here](#).

Office for the Coordination of Humanitarian Affairs: OCHA is part of the UN Secretariat. It is responsible for bringing together humanitarian actors to ensure a coherent response to emergencies. OCHA also ensures there is a framework within which each actor can contribute to the overall response effort. OCHA's mission is to:

- Mobilize and coordinate effective humanitarian action in partnership with national and international actors
- Advocate for the rights of people in need
- Promote preparedness and prevention
- Facilitate sustainable solutions

During an emergency response, OCHA plays a key role in coordination and information management. NGOs should ensure that they are accessing the up-to-date information, such as situation reports, maps, etc. that OCHA is providing.

Under-Secretary-General/Emergency Relief Coordinator: The head of OCHA is the Under-Secretary General for Humanitarian Affairs and Emergency Relief Coordinator (ERC). The ERC is responsible for the oversight of all emergencies requiring UN humanitarian assistance. He/she also acts as the focal point for governmental, intergovernmental, and non-governmental relief activities. The ERC also plays a critical advocacy role in specific crises and in the promotion of humanitarian action. The ERC also leads the Inter-Agency Standing Committee (IASC). In a country affected by a disaster or a conflict, the ERC, in consultation with the IASC, may appoint a Humanitarian Coordinator (HC) to ensure response efforts are well organized.

Inter-Agency Standing Committee: The Inter-Agency Standing Committee is a unique inter-agency forum for coordination, policy development, and decision-making involving the key UN and non-UN humanitarian partners. It was established in June 1992 in response to General Assembly Resolution 46/182. UN agencies are permanent members and others have standing invitations to participate. The IASC is the only decision-making group related to humanitarian response that includes UN agencies, the World Bank, the International Organization for Migration, or the International Committee of the Red Cross, the International Federation of the Red Cross and Red Crescent Societies, and NGOs. Their focus is primarily on development of policies and guidelines for field application. The IASC is a forum that allows humanitarian agencies to coordinate on an ongoing basis. This way, when disaster strikes, they have addressed common concerns and co-developed mechanisms for coordination. NGOs have access to this high-level decision-making body through their representation by the NGO consortia.

Humanitarian Coordinator: When a country is affected by a major disaster or conflict, one of the earliest steps in the international humanitarian response is the appointment of a Humanitarian Coordinator. The Emergency Relief Coordinator selects the HC for a small pool of qualified professionals, and his or her appointments is approved by the IASC. Staff from MGOs may apply to be part of the HC pool. In many countries, the person best suited for the role of HC is the current UN Resident Coordinator, who coordinated development operations for all UN agencies in a given country. This is because a Resident Coordinator is accredited by the government and has built relations with it that are deemed to be conducive to negotiate internal humanitarian action. Once appointed, the HC is responsible for leading and coordinating the efforts of all UN and non-UN humanitarian organizations. He or she is charged with leading its efforts while ensuring that the entire response is principled, timely, effective, and efficient and contributing to longer-term recovery efforts. The HC has a long list of specific duties and responsibilities:

- The HC reports directly to the ERC and serves as the ERC's representative in the country or region concerned.
- The HC establishes and leads the Humanitarian Country Team which is the response efforts' primary strategic and operational decision-making and oversight forum in-country.
- The HC is supported by OCHA and the HCT.

The HC as the leader of the HCT is responsible for:

- Assessing the situation, identifying the priority needs, and analyzing the capacity of national authorities and civil society to respond.
- Ensuring as a priority that lives are saved and life-saving assistance and protection are provided.
- Forming a recommendation of which clusters should be activated and which organizations should lead them and sharing this recommendation with the ERC and IASC for approval.
- Mobilizing the humanitarian community to deliver an effective response to identified priority needs.
- Agreeing on the regularity and content of initial information updates.
- Determining common advocacy messages for national authorities, donors, and media

Knowing the responsibilities of the HC is useful in order to hold HC accountable for performing their duties in emergency response.

Humanitarian Country Team: Shortly after his or her appointment, the HC establishes the HCT if one is not in place. The HCT is the response efforts' primary strategic and operational decision-making and oversight forum in country. HCTs are composed of a wide variety of organizations, though the number of organizations involved and which ones are represented varies greatly from country to country. The primary criterion that should be met for an organization to join the HCT is "operational relevance". An organization may join the HCT only if it is

significantly involved with the relief effort in country. An HCT may include UN agencies, Cluster lead heads of agencies, IOM, national and international NGOs, components of the RC/RC Movement. In some circumstances, the Government, relevant civil society organizations and donors may also be invited to participate. The HCT has specific responsibilities during a crisis:

- Members of the HCT work together to develop an overall strategy and specific plans for relief efforts.
- The HCT works with the HC to form a recommendation on which clusters should be activated, and once approved, establishes those clusters in country.
- Members of the HCT work to mobilize resources and advise the HC on allocation of resources from in country humanitarian pooled funds.
- The HCT is responsible for agreeing on policies and standards that all team members should strive to adhere to.
- The HCT is also charged with promoting adherence to international standards and guidelines, such as the humanitarian principles, Principles of Partnership and IASC guidelines.
- The HCT should support and work with existing coordination mechanisms, including national NGO consortia and national government.

NGOs play a unique role on the HCT, and so they should always be invited to participate. They provide an operational voice on the HCT, and will often represent NGOs that are not on the team. For many national NGOs, the HCT provides an entry point to the international humanitarian architecture, and can form the basis for continuing relationships and long-term improvement in response capacity.

NGO consortia: NGO membership organizations are a vital part of the international humanitarian architecture. These organizations represent many different NGOs and are very active in the architecture. There are many NGO consortia actively participating in humanitarian response at the global and national levels. Three of these consortia are part of the Inter-Agency Standing Committee: The International Council of Voluntary Agencies (ICVA) which is a global network of NGOs, InterAction which is a consortia of American NGOs, and the Steering Committee for Humanitarian Response (SCHR) which includes a small group of NGOs, IFRC and ICRC. These consortia represent the interests of their members, both humanitarian and development NGOs, at the IASC and other forums. These consortia often help coordinate their members' advocacy and policy work but are not typically involved directly in field operations or coordination. Often there are nationally based consortia of NGOs working in a country year-round, many times undertaking crucial advocacy or policy work. Because they're based in the country, they may know a lot more than international organizations about the local area and context. This information can be useful to humanitarian actors and can help to involve the community in assessments and programming. Not all NGOs are members of consortia at either the global or field levels. This can be a major challenge to coordination.

Facilitator Note 7 – L3 Emergencies

Extracts from Building a Better Response: Strengthening Non-Governmental Organization (NGO) Capacity and Engagement in the International Humanitarian Coordination System, Online Course, available [here](#).

An L3 emergency is a major sudden-onset humanitarian crisis triggered by natural disasters or conflict that requires system-wide mobilization. The ERC, in consultation with the IASC Principals, determines when a humanitarian crisis requires a system-wide response. This decision is based on the criteria of scale, complexity, urgency, capacity, and reputational risk. When the ERC determines these criteria have been met, he or she declares a Level 3 emergency.

- **Scale** which refers to the size of the affected areas, the number of affected people and the number of countries affected
- **Urgency** which considers the importance of population displacement, the intensity of armed conflict and crude mortality rates
- **Complexity** which examines the multi-layered aspect of the emergency, if multiple countries are affected, the presence of a multitude of actors, lack of humanitarian access, and high security risks to staff
- **Capacity** which takes into account low national response capacity, the status of affected country as weak or fragile, and the fact that needs may outweigh the capacity of existing country and regional

offices to respond. Conversely, high country-level or international capacity may offset the other criteria when considering L3 declaration.

- **Reputational risk** which gives consideration to media and public attention and visibility, as well as expectations on the humanitarian system by donors, the public, national stakeholders and partners.

This commits IASC organizations to mobilizing the resources and establishing the systems necessary to contribute to the response in a way that complements each agency's capacity and supports inter-agency coordination.

Facilitator Note 8 – Global Clusters

Extracts from Building a Better Response: Strengthening Non-Governmental Organization (NGO) Capacity and Engagement in the International Humanitarian Coordination System, Online Course, available [here](#).

At the global level, there are 11 clusters total, and each one has a designated global lead agency, or two co-lead agencies. These global leads are responsible to the ERC through their agencies. The global lead agency is usually designated as the in-country lead agency when a country-level cluster is activated, though this will vary depending on the location of the emergency and which organizations are most active in that area. The head of an in-country cluster lead agency is accountable to the HC. The designated Cluster Lead Agency (CLA) has clear ToRs endorsed internationally. While it is not responsible for undertaking the overall response, it is responsible for their sector and considered as the 'First port of call' and 'provider of last resort'. This means that CLAs do their utmost to ensure an adequate and appropriate response. It is necessarily circumscribed by some basic preconditions, namely unimpeded access, security, and availability of funding. Because of global commitments to humanitarian reform, country-level CLA may not opt out of certain provisions of the Cluster Approach, such as "accountability" or "partnerships", or "provider of last resort". There is no such thing as a "Cluster light". Global clusters work to maintain system-wide preparedness and technical capacity for emergency humanitarian responses. As they are always active, they help to ensure greater predictability and more effective inter-agency responses in their particular sectors. Global cluster lead agencies are responsible for strengthening field response through policy setting, developing standards, establishing best practices, and providing operational support to in-country-clusters.

Facilitator Note 9 – In Country Clusters

Extracts from Building a Better Response: Strengthening Non-Governmental Organization (NGO) Capacity and Engagement in the International Humanitarian Coordination System, Online Course, available [here](#).

The Reference Module for Cluster Coordination at country level sets down for the first time criteria (four) for cluster activation; sets down for the first time criteria for cluster deactivation; clarifies the requirement for HCT's to have a strategic plan (another first); confirms with clarity that Clusters have six core functions (NB: these will be monitored for performance); sets down for the first time minimum commitments for cluster participation by partners; recommends the good practice of establishing sub-national clusters, as needed; recommends sharing cluster leadership with partners; confirms the desirability of inter-cluster coordination (confirming what it is and what it is not); introduces Coordination (Cluster) Performance Monitoring through a process of peer review. This may improve the overall performance of cluster leadership and inform cluster lead agencies what they need to have in place in order to ensure the good performance of clusters.

Criteria for Cluster Activation:

- A sharp deterioration or significant change in the humanitarian situation leads to response and coordination gap
- Evaluation of existing national response and coordination capacity shows inability to appropriately meet needs in a manner that respects humanitarian principles, due to the scale of need, number of actors involved, and/or the need for a more complex, multi-sectoral response

Activation process:

- HC and the HCT will look at initial assessment and form a recommendation on which clusters should be activated and who the cluster lead agencies should be.

- This recommendation is sent to the ERC, who submits it to the IASC and global cluster lead agencies for approval within 24 hours.
- Once approved, clusters are established so that humanitarian organizations can coordinate resources, prioritize activities and define their respective roles and responsibilities.

Cluster De-Activation process:

Clusters are time-bound coordination solution. The aim should be to resume or establish national coordination mechanism. The HC and HCT regularly review the clusters to determine whether they are still necessary for coordination. Not all clusters have to be transitioned or deactivated at the same time.

In a sudden-onset emergency, clusters are reviewed within three months of activation. In protracted crisis, clusters are reviewed annually.

The deactivation of clusters is considered when there is a decrease in humanitarian needs, which consequently reduces associated response and coordination gaps and/or when the national structures acquire sufficient capacity to coordinate and meet residual humanitarian needs in line with humanitarian principles.

Four principles should guide and inform the process of cluster transition or deactivation:

- The process is initiated and led by the HC/HCT, collaborating with national authorities wherever possible.
- They are based on assessment of national capacity.
- They take into account the context, including the scale of remaining needs and the ability of successor mechanisms that are identified to take over the coordination to respond in line with humanitarian principles.
- They are guided by early-recovery and resilience-building objectives.

The process for deactivation of cluster is very similar to the process of activation:

- HC/HCT notes which clusters have successfully transferred effective coordination responsibilities to national counterparts and recommends deactivation.
- HC provides a summary of the review to the ERC and national authorities, outlining which clusters are to transition and subsequently be deactivated.
- ERC shares this note with the IASC Emergency Directors Group (EDG) and global cluster lead agencies for their approval.

In Country Clusters Core Functions:

- **Support Service Delivery:** Cluster members assist each other when identifying needs and providing services.
- **Inform HC/HCT Strategic Decisions:** Cluster members contribute to needs assessments, response gap analysis, and identification of cross-cutting issues. This information is passed on to the HC/HCT.
- **Planning and Strategy Development:** Cluster members are responsible for developing sectoral plans, and for making sure these plans adhere to relevant standards and guidelines, as well as for clarifying funding requirements and agreeing cluster contributions.
- **Advocacy:** Cluster members support the HCT by identifying advocacy concerns and by undertaking advocacy on behalf of the cluster, affected people and cluster participants.
- **Monitoring and Reporting Coordination at the National and Sub-national Level:** Cluster members contribute to coordination performance reports and recommend corrective action to cluster strategies.
- **Contingency Planning, Preparedness and Capacity Building:** Cluster members might also contribute to the implementation of the Emergency Response Preparedness approach where the risk of a future disaster is high. Each cluster is also responsible for integrating early recovery into their work from the very beginning of the emergency response.

Cluster Partner's Core Commitments:

The IASC Reference Module for Cluster Coordination includes a list of all cluster partners' core commitments. The minimum commitments for participation in country-level clusters set out what all local, national or

international organizations undertake to contribute. They do not seek to exclude organizations or national authorities from participating in clusters.

The **minimum commitments** for participation in clusters include:

1. Commitment to humanitarian principles, the Principles of Partnership, cluster-specific guidance and internationally recognized program standards, including the Secretary-General's Bulletin on Special Measures for Protection from Sexual Exploitation and Sexual Abuse.
2. Commitment to mainstream protection in program delivery (including respect for principles of non-discrimination, do no harm, etc.).
3. Readiness to participate in actions that specifically improve accountability to affected people, in line with the IASC Commitments to Accountability to Affected Populations and the related Operational Framework.
4. A demonstrated understanding of the duties and responsibilities associated with membership of the cluster, as defined by IASC ToRs and guidance notes, any cluster-specific guidance, and country cluster ToRs, where available.
5. Active participation in the cluster and a commitment to consistently engage in the cluster's collective work.
6. Capacity and willingness to contribute to the cluster's response plan and activities, which must include inter-cluster coordination.
7. Commitment to mainstream key programmatic cross-cutting issues (including age, gender, environment and HIV/AIDs).
8. Commitment by a relevant senior staff member to work consistently with the cluster to fulfil its mission.
9. Commitment to work cooperatively with other cluster partners to ensure an optimal and strategic use of available resources, and share information on organizational resources.
10. Willingness to take on leadership responsibilities in sub-national or working groups as needed, subject to capacity and mandate.
11. Undertake advocacy, and disseminate advocacy messages to affected communities, the host Government, donors, the HCT, CLAs, the media and other audiences.
12. Ensure that the cluster provides interpretation (in an appropriate language) so that all cluster partners are able to participate, including local organizations (and national and local authorities where appropriate).

Facilitator Note 10 – Preparedness and 4W

Extracts from Building a Better Response: Strengthening Non-Governmental Organization (NGO) Capacity and Engagement in the International Humanitarian Coordination System, Online Course, available [here](#).

Preparedness is a phase of the Humanitarian Programme Cycle that should precede the other phases, as well as be present throughout all the phases in the cycle. It is important to prepare as much as possible before emergencies strike. Preparedness covers everything from collecting background information on the country, to putting in place and practicing standard operating systems in your organization, to being familiar with how the aid funding and implementation system works on the ground. It also includes integrating emergency response plans and disaster risk reduction into development programming.

4W is a global tool to capture data from the field. The Ws stand for Who does What Where and When. A 3W tool is sometimes used that does not include the “when” category. When completed, the matrix helps to generate information products such as maps and tables of achievements to date. There are standard templates developed by the OCHA; however, clusters can modify these according to their information management needs. It is important that all humanitarian actors, including NGOs, responding to an emergency participate in the assembly of the 4Ws matrix, as it is a key tool in reducing duplication and addressing gaps in programming. The information generated by the 4Ws is useful to the entire humanitarian community, but its accuracy depends on the inputs received.

Facilitator Note 11 – MIRA and HNO

Extracts from Building a Better Response: Strengthening Non-Governmental Organization (NGO) Capacity and Engagement in the International Humanitarian Coordination System, Online Course, available [here](#).

Multi-Cluster Initial Rapid Assessment (MIRA) is a coordinated assessment framework that was developed to show the overall picture of the operational response. In the immediate aftermath of an emergency, it is important to get a good understanding of priority needs. When organizations conduct assessments separately, the information they gather represents only one piece of the humanitarian response. The MIRA should be carried out by a team of emergency specialists, including assessment and sectoral specialists, drawn from the various clusters or sectors present in the country to ensure that local knowledge is included in the findings. The MIRA has two outputs: the preliminary scenario definition, which informs decision-making in the days following a disaster, and the MIRA report, which will be produced later and contains a more detailed assessment. The preliminary scenario definition and MIRA report both contain information on eight themes, some of which are: the scope of the crisis, national and international capacities, humanitarian access, and gaps and priorities.

The **Humanitarian Needs Overview (HNO)** is applied in ongoing emergencies, while the MIRA is used in sudden-onset emergencies. As the name implies, the HNO is an overview of the humanitarian needs in the affected country. It is based on assessments, existing data, and information provided by clusters. An HNO is produced to identify and prioritize needs in-country six months after a crisis starts or in a protracted crisis, in advance of the Strategic Response Plan. Humanitarian Country Teams are encouraged to produce an HNO for every humanitarian crisis in their countries as a means of informing the humanitarian response. The HNO is not a static document. HNOs should be revised when there is a significant change in circumstances, upon HCT decision. The HNO should precede major revisions in strategic planning. The HNO is an analysis of the latest available assessments.

Facilitator Note 12 – SRP and HRP

Extracts from Building a Better Response: Strengthening Non-Governmental Organization (NGO) Capacity and Engagement in the International Humanitarian Coordination System, Online Course, available [here](#).

The **Strategic Response Plan or Humanitarian Response Plan (HRP)** outlines how the humanitarian community will respond to an emergency in a coordinated and effective manner. It draws on the HNO (or MIRA in sudden-onset emergencies) to define the overarching strategy for the response and identify key priorities to be addressed. Additionally, the SRP/HNO helps identify gaps that might exist or develop, and it includes detailed funding requirements for the emergency. While an SRP/HNO includes a description of funding needs, it only says how much money is needed and is not an actual funding mechanism. The SRP/HNO includes strategic indicators and objectives by which to measure progress, for example reducing child mortality rates to a certain level. While the HC and HCT are responsible for developing and implementing the SRP/HNO, the entire humanitarian community should be involved all aspects of it, especially its design. The SRP/HNO should also take into account consultation with national authorities and the views of the affected people. SRPs are usually initiated by inter-agency planning workshops. These workshops form the basis of the plan and thus are prime opportunities for the humanitarian community to engage and influence it. The workshops generally involve the HCT, cluster coordinators, and often other stakeholders such as the host government, donors, and participants from the Red Cross/Red Crescent and NGO community.

Facilitator Note 13 – CBPF

Extracts from Building a Better Response: Strengthening Non-Governmental Organization (NGO) Capacity and Engagement in the International Humanitarian Coordination System, Online Course, available [here](#).

Country-Based Pooled Funds (CBPF) is one of the way to ensure that money is used responsibly. In most cases, the funding for humanitarian aid comes from the public from governments of countries not affected by the crisis, foundations, and the donations of individual citizens, including people from the affected population. This means humanitarian organizations are entrusted with public money, and are expected to use it wisely, effectively, and efficiently. Pooled Funds are closely linked to the goals of the Humanitarian Reform initiative. They are intended for rapid and flexible aid flows that are strategically targeted at priority needs. Multiple donors

combine their money into a single fund for distribution based on the strategic response planning. There are several benefits of pooled funds. Pooled funds allow donors to contribute to a response effort without having to select a specific recipient. They relieve administrative burden by bringing together many contributions from many donors and managing funds centrally. They also encourage actors to coordinate their activities and work together to identify priorities. Finally pooled fund are intended to disburse money quickly when a crisis occurs.

The **Central Emergency Response Fund (CERF)** allocates funds to crises worldwide. Common Humanitarian Funds (CHF) and Emergency Response Funds (ERF) are country based. Funds from the CERF are available only to United Nations (UN) agencies and the International Organization for Migration (IOM). However, NGOs may partner with UN organizations to access these funds. Funds from CHFs and ERFs are available to NGOs, Red Cross/Red Crescent, and UN agencies. Overall, the volume of pooled funds has increased from US\$600 million in 2006 to almost 900 million in 2012. However, together, pooled funds make up about 5% of the global humanitarian aid budget. The CERF accounts for about half of that.

The Central Emergency Response Fund is a humanitarian pooled funding mechanism. It includes a grant and a loan component. The CERF's objectives are to:

- Promote early action and response to reduce loss of life;
- Enhance response to time-critical requirements;
- Strengthen core elements of humanitarian response in underfunded crises.

The CERF is administered by the Emergency Relief Coordinator, or ERC, who is also head of the Office for the Coordination of Humanitarian Affairs, or OCHA. The CERF can make grants up to a ceiling of US\$450 million annually and loans totaling up to US\$30 million. The CERF is replenished annually through contributions from governments, the private sector, foundations, and individuals.

It is important to note that the UN, its agencies, and the IOM can directly apply for loans or grants from the CERF, with the exception of OCHA, which is only eligible for loans. It is not open directly to affected country governments or to NGOs. However, NGOs sometimes receive these funds as implementing partners of UN agencies. This would be done through a sub-granting agreement between the UN agency and the NGO. This agreement, its structure, rules, and application format will differ based on the contracting UN agency. Examples of this are instances where an NGO may distribute food aid on behalf of the World Food Programme, or implement a vaccination program for the UN Children's Fund, thus benefitting from the CERF indirectly.

The CERF offers two types of funding: CERF loans and CERF grants. The grants are divided between rapid response funds and underfunded emergencies.

Rapid response funds help support life-saving, humanitarian activities in the initial stages of a sudden-onset crisis. Rapid response allocations should fulfill the "life-saving" criteria, as defined by CERF's mandate, and result from a country's needs assessment. The Humanitarian Coordinator will make the request for CERF funds, usually on the advice of the Humanitarian Country Team, so there's an opportunity for NGOs to advise and lobby for the needed resources through the Humanitarian Country Team. Activities should be prioritized according to the framework of a Strategic Response Plan, or in the absence of such a plan or similar appeals, be based on needs from recent assessments. These funds are often used in acute, sudden-onset disasters. They may also be used in the case of a rapid deterioration of an existing crisis with a clear trigger. Rapid response funds are disbursed as soon as possible. A maximum of US\$30 million rapid response funds can be allocated to a crisis. The funds can be used as soon as a disaster occurs and must be expended within six months of receipt of the funds.

CERF loans provides money to eligible UN humanitarian organizations that have received a donor's official commitment, but experience a delay between the actual commitment and the transfer of funds. They pay this money back out of the funds they raise through their individual program appeals to donors. These loans help UN agencies begin implementing their emergency response activities. They must be paid back within one year.

Underfunded emergencies: Approximately one-third of CERF grants are set aside for underfunded emergencies. In two rounds per year, the ERC decides on the most poorly funded countries to receive CERF

underfunded grants based on in-depth analyses and consultations with agencies conducted by the CERF secretariat.

Following the analysis, the ERC makes the final selection of countries to receive an underfunded allocation and the amount apportioned to each country.

Common Humanitarian Funds exist in-country to provide early and predictable funding to priority humanitarian needs through an inclusive and coordinated process at the field level. CHF funding is aligned to the Strategic Response Plan within the context of the Humanitarian Programme Cycle. CHFs are currently present in six countries with on-going, large humanitarian operations –Afghanistan, Central African Republic, the Democratic Republic of the Congo, Somalia, South Sudan, and Sudan. Fund size varies year to year, but in the past, CHFs have ranged from US\$10 million (in the Central African Republic) and US\$127 million (in South Sudan) per year. CHF grants average US\$300,000 for NGOs. All UN agencies, IOM, national and international NGOs, and the Red Cross/Red Crescent can apply for funding from the CHF. There is generally a CHF grant application process twice a year in-country, but there is also a small reserve window that can act as and when it is needed. The HC, supported by OCHA, is responsible for the use and management of the CHF. These allocations are made in consultation with clusters and other relevant stakeholders at the country level, who work to prioritize humanitarian needs. The rules on how these funds can be used vary from country to country. The fund is advised by a local Advisory Board, including NGOs, UN agencies, and donors.

To apply for CHF funding, NGOs prepare initial project concept notes that address the agreed-upon strategic priorities for the emergency response. Cluster coordinators then identify a limited number of project concept notes considered best suited to address the needs. Once the HC approves this list of pre-selected concept notes, partners will develop full project proposals for technical review. A Technical Review Committee is tasked with reviewing full project proposals; member compositions vary depending on what projects are up for review. Based on recommendations from this committee, CHF allocations may be adjusted by the HC, who holds ultimate responsibility for allocation decisions. In most countries, an NGO would submit a proposal using three standard forms: the Standard Allocation template, Project Summary template, and Project Budget template. You can find these forms and additional information on Common Humanitarian Funds in the resources section.

Emergency Response Funds provide rapid and flexible funding to address critical gaps in humanitarian emergencies. They are intended to meet unforeseen needs and to support NGO response in an emergency by providing complementary funding for life-saving activities. In 2014, ERFs are available in 13 countries: Afghanistan, Colombia, Democratic Republic of the Congo, Ethiopia, Haiti, Indonesia, Kenya, Myanmar, occupied Palestinian territory, Pakistan, Syria, Yemen, and Zimbabwe. Grants from the ERF are generally smaller than those from the Common Humanitarian Fund – around US\$250,000 per grant. NGOs, the Red Cross/Red Crescent, IOM, and UN agencies can apply at any time to the ERF, and the aim is to quickly turn around decisions and funds. ERFs operate under the management and oversight of the Humanitarian Coordinator. The Humanitarian Coordinator is supported by a review board made up of representatives of UN humanitarian agencies, IOM, and NGOs to assess and prioritize project proposals based on jointly assessed needs and in line with the clusters' priorities. The whole aim is to process vital funding quickly to respond to unforeseen emergencies in a timely manner. ERFs support activities in line with Strategic Response Plans and cluster priorities developed in-country—or equivalent humanitarian planning frameworks. In order to apply for funding from an ERF, NGOs must be proven eligible to receive the funds. In order to do so, OCHA uses a Capacity Assessment Tool to analyze the managerial, financial, and technical soundness of the internal systems and processes of each NGO. ERFs utilize standard application templates that are annexed to the Global ERF Guidelines.

Facilitator Note 14 – Definition of Protection

Extracts from Global Protection Cluster, Protection in Practice Learning Program, available [here](#) and the GPC Protection Mainstreaming Training Package, available [here](#).

The Inter-Agency Standing Committee (IASC) is the primary inter-agency coordination mechanism for humanitarian response (it includes representatives from the UN, Red Cross, Red Crescent Movement and NGOs). The IASC definition is widely regarded as the 'umbrella' definition for humanitarian and human rights

actors, and that it is important because it clearly establishes people's rights at the center of protection work. Many agencies recognize the rights basis to the IASC definition and further develop their own definition of protection to fit with their operational priorities.

"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 (i.e., human rights law, international humanitarian law, refugee law)."

Unpacking the protection definition: an objective, a legal responsibility, an activity

1. **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. This is what we will identify during this session.
2. **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 fulfill their protection obligations.
3. **Protection is an activity** because action must be taken to ensure the enjoyment of rights. This will be discussed during the session on 'Protection approaches'.

Unpacking the protection definition: "all activities"

Responsive, remedial and environment-building actions are sometimes described as short-term, medium-term and longer-term respectively.

1. **Responsive action** is any immediate activity undertaken in connection with an emerging or established pattern of violation and is aimed at preventing its recurrence, putting a stop to it, and/ or alleviating its immediate effects. Responsive activities have a sense of real urgency (but can last for many years) and aim to reach a particular group of civilians suffering the immediate horrors of a violation. They are primarily about stopping, preventing or mitigating a pattern of abuse. Example: Safely referring a survivor of a human rights abuse to medical services Example: Providing firewood as part of an NFI distribution, so women and adolescent girls do not have to travel outside an IDP camp.
2. **Remedial action** is aimed at restoring people's dignity and ensuring adequate living conditions subsequent to a pattern of violation, through rehabilitation, restitution, compensation and repair. Remedial activities are longer term and aim to assist people living with the effects of abuse. This might include the recuperation of their health, tracing of their families, livelihood support, housing, education, judicial investigation and redress. Example: Education in health centers to prevent stigmatization of survivors of sexual violence Example: Vocational training and psychosocial support for former combatants as part of a livelihoods program.
3. **Environment-building action** is aimed at creating and/or consolidating an environment – political, social, cultural, institutional, economic and legal – conducive to full respect for the rights of the individual. Environment-building is a deeper, more structural process that challenges society as a whole by aiming to change policy, attitude, belief and behavior. It is likely to involve the establishment of more humane political values, improvements in law and legal practice, the training of security forces, and the development of an increasingly non-violent public culture. Example: Providing information to people within a WASH project about the Code of Conduct by which NGO and UN staff are expected to abide Example: Advocating for prohibitions on sexual violence to be included in domestic legislation Example: Advocating for the Guiding Principles on Internal Displacement to be adopted as national policy.

Unpacking the protection definition: "rights" and "bodies of law"

Relevant bodies of law include:

1. **Customary international law** is described by the International Court of Justice as “a general practice accepted as law”. These are rules that States apply in practice because they believe that such practice is required or prohibited or allowed, depending on the nature of the rule.
2. **International Humanitarian Law**, also known as the law of armed conflict, is a set of rules that seek to limit the effects of armed conflict by protecting those who do not, or no longer, participate in hostilities, and by restricting the means and methods of warfare (ICRC). IHL is found primarily in the 1948 Geneva Conventions, the 1979 Additional Protocols and in Customary International Humanitarian Law.
3. **International Human Rights Law** sets out the legal obligations of Governments to act in certain ways or refrain from certain acts, in order to protect human rights and fundamental freedoms of individuals and groups (OCHCR). For example, International Covenant on Economic, Social, and Cultural Rights and on Civil and Political Rights (1966), Convention on the Rights of the Child (1989) and Convention on the Elimination of Discrimination Against Women (1979).
4. **Refugee law** is found primarily in the 1951 Convention Relating to the Status of Refugees and the 1967 Additional Protocol. Regional refugee rights regimes have established auxiliary rights for refugees in Africa and Latin America. See Organization of African Unity (OAU) Convention 1969, and the Cartagena Declaration 1984.
5. **The Guiding Principles on Internal Displacement** restate and compile human rights and humanitarian law relevant to internally displaced persons.

Facilitator Note 15 – Protection Actors

Extracts from Global Protection Cluster, Protection in Practice Learning Program, available [here](#).

National government has the primary responsibility for the protection of IDPs and assistance. Humanitarian actors, therefore, should try to avoid acting as substitutes for national authorities. If the State is unwilling or unable to provide protection, humanitarian organizations must reinforce the capacity and responsibility of national authorities to assist the population on its territory. This includes advocating for national policies, public services and targeted assistance programs to respond adequately to protection needs. Humanitarian actors should also ensure that assistance ultimately strengthens the ability of affected communities to realize their rights and of civil society groups to support them to that end.

Who is responsible for protection?

1. State (police, army, courts, local district and national government)
2. Mandated agencies (UNHCR, UNICEF, OHCHR, UNFPA, ICRC, IOM)
3. NGOs with protection programs (IRC, Save the Children, DRC, NRC, HI, Help Age)
4. Donors
5. Civil Society Organization (CSOs)
6. Individuals and communities

Facilitator Note 16 – IASC Policy on Protection

Extracts from InterAction, “Implementing the IASC Protection Policy: What does it mean for NGOs?” July 2017, available [here](#).

The IASC Protection Policy outlines the overarching framework for how humanitarian actors can fulfil their responsibility to place protection at the center of all aspects of humanitarian action, spelling out core principles, approaches, roles, and responsibilities within and beyond the humanitarian system.

The Policy sets out the IASC commitment to prioritizing protection and contributing to collective protection outcomes, including through the requirement of Humanitarian Country Teams (HCTs) to develop protection strategies to address the most critical and urgent risks and violations. Emphasis is also placed on reinforcing the complementary roles, mandates and expertise of all relevant actors.

NGOs have an important role to play in the implementation of the Policy, by incorporating key elements into their organizational approaches to protection, and contributing to interagency leadership and coordination on protection at country-level.

Underpinning concepts within the Policy

Protection is everyone's responsibility

The Policy emphasizes that protection must be understood as a shared, system-wide responsibility that is core to humanitarian action. Everyone is responsible for preventing or mitigating risks and restoring safety and dignity to people's lives, not just protection specialists. All humanitarian actors, irrespective of their sector-specific expertise, can contribute to protection of affected people in the following key areas.

- Address protection issues that intersect with formal mandates and sector-specific responsibilities;
- Engage collectively to achieve meaningful protection outcomes;
- Mobilize other actors to contribute to collective protection outcomes;
- Evaluate commitments and monitor progress in placing protection central in humanitarian action.

Protection is about outcomes, not only outputs

Humanitarian actors must respond to the priorities of affected people by designing and implementing activities that address their concerns. This means identifying and reducing risks by changing the behavior, attitudes, policies, knowledge or practices of relevant stakeholders. The Policy emphasizes that for a humanitarian response to be outcome-oriented, it is essential to understand and seek to prevent, mitigate or end the actual and potential risks producing the harm that affected people experience, which requires:

- Continuous analysis of risks people face: including threats, vulnerabilities, and capacities of affected people; commitment and capacities of duty bearers to address risk factors;
- Identification of measures: to reduce risks, avoid exacerbating risk, stop and prevent violations, avoid reinforcing existing patterns of violence, abuse, coercion and deliberate deprivation;
- Analysis provides the evidence-base for programming, advocacy, and dialogue.

Vulnerable groups are identified and responses designed based on analysis, not pre-determined

In-depth and integrated analysis needs to take into account the specific vulnerabilities that underlie the risks faced by all affected people, thereby avoiding an exclusive focus on pre-defined categories of people. This analysis must also provide the evidence-base for programming, advocacy and dialogue for the purpose of influencing and changing behaviors and policies in support of a more favorable protection environment.

Whole-of-system approach to addressing severe and widespread protection risks

The Policy highlights the necessary elements for a robust, strategic, and multi-disciplinary response, with protection outcomes at its core. Responsibilities of different actors are defined, including the lead roles of the Humanitarian Coordinator (HC) and the HCT in addressing serious protection risks.

Mobilizing multi-disciplinary stakeholders, including non-humanitarian actors

Responsibility for achieving protection outcomes is not restricted to the protection sector, and should be integrated into other programming. Collective protection outcomes may require contributions from non-humanitarian actors, while respecting humanitarian principles and the need for complementarity, e.g. peacekeeping, development, conflict resolution, state and diplomatic entities.

NGO role in implementing the IASC Protection Policy

While NGOs are far from the only actors responsible for implementing the Policy, there are a number of proactive steps NGOs can take both within their own organizations and collectively through coordination and collaborative efforts. The importance of engaging collectively to achieve meaningful protection outcomes in a number of key areas is explained below.

Data and information collection, sharing and management

All collection and sharing of data must be designed with a clear purpose in mind. Data collection should be timely, adhere to data protection standards, and must be collected in a manner that protects the individuals and groups providing information from harm.

- Are data and information collection and sharing activities purposeful in their design, and conducted in a manner that is timely enough to support early warning mechanisms and enable rapid and potentially life-saving interventions?
- What proactive steps are taken to ensure adherence to data protection standards and principles of confidentiality?
- How are NGOs diversifying their methods and sources of information, in order to build a comprehensive understanding of the context, including from the perspective of affected people?

In-depth and integrated protection analysis

Analysis must consider specific vulnerabilities that underlie the risks faced by all affected people; identify the leverage, roles and capacities of actors both within and outside the humanitarian system; and outline protection priorities that require humanitarian system-wide responses. This integrated protection analysis must consider all levels of intervention: responsive, remedial, and environment-building.

- Is protection analysis carried out on a continuous basis, in order to dynamically inform decision-making? Or is it regarded as an annual (or less frequent) task or carried out 'because we're supposed to' without actually being used?
- Does protection analysis incorporate a breakdown of risk factors, including:
 - What are the most severe and prevalent threats people are experiencing?
 - Who is responsible for those threats, and what are the reasons/motivations for mistreatment of people?
 - Who is specifically vulnerable vis-à-vis those specific threats, and why?
 - What are the relevant capacities in r
- Do collective and collaborative information collection and protection analysis efforts exist? To what extent are agreed means and methods in place, as well as the necessary levels of trust amongst relevant actors, to facilitate information sharing and collective protection analysis?
- To what degree are affected people involved in analysis of their threat environment, determining priorities to reduce risks, etc.? Are they agents in solving problems or only recipients and observers of what humanitarians are doing?

Agreement on protection priorities and collective actions

Protection themes must be discussed regularly by the HCT, drawing on the protection analysis presented by the Protection Cluster and through the HCT's engagement with international and national actors, including NGOs. These HCT discussions should be used to develop a comprehensive, system-wide protection strategy. The Global Protection Cluster (GPC) Guidance Note on HCT Protection Strategy provides useful guidance on what this strategy should include and factors necessitating HCT-level engagement.

- Does the HCT have a clear sense of its role relating to protection, as distinct added value to the role of the Protection Cluster? Has the HCT committed to developing an HCT protection strategy? How are NGOs using their seats on the HCT to influence these discussions? How often is the protection strategy reviewed for relevance with the changing dynamics of the operating environment?
- Is the HCT drawing on a range of outcome-oriented methods that are adaptable and enable multiple actors, including affected people, to inform and shape the response?
- Is protection programming geared towards addressing the most severe and prevalent threats, and the vulnerability of those especially affected, wherever they are? Or does the bulk of the protection

response consist of addressing issues arising from quality/standards in assistance activities (e.g. lights in latrines, accessibility of clinics)?

- Do protection programs/strategies identify specific results or outcomes in terms of comprehensively reduced risk? Or do they mainly consist of a standard “cut and paste” package of activities and outputs?
- Are solutions to protection problems described in terms of advocacy only? Or are they described as entailing a diverse range of efforts working towards a certain outcome? For example, including community organizing, dialogue with relevant authorities/actors to change policy or behavior, and directing resources and assistance in a way that reduces specific vulnerabilities and enhances specific capacities relevant to certain threats.

Mobilizing multi-disciplinary actors to contribute to protection outcomes

Section 3.3 (page 8-9) of the Policy emphasizes the importance of mobilizing other actors to contribute to collective protection outcomes. NGOs have a key role to play in identifying those actors and developing the relationships necessary to facilitate engagement.

- Are protection programs/strategies described in terms of implementation by ‘protection actors’ or are they seen as multi-sectoral and multi-disciplinary, involving a range of humanitarian and non-humanitarian actors?
- Is there understanding of capacities and comparative advantage of different actors as it relates to protection outcomes, including non-humanitarian actors?
- Is protection seen as the remit and responsibility only of the Protection Cluster? Or do the HC, HCT, and senior leadership of individual organizations see their role in tackling the more severe and prevalent protection risks?
- Is the role of local/national NGOs viewed in terms of complementarity with external actors/international organizations (and vice versa)? Are there joined-up strategies involving local, national, and international capacities?

Evaluating commitments and monitoring progress

Section 3.4 (page 9) of the Policy emphasizes the need to evaluate commitments and monitor progress in placing protection central in humanitarian action. NGOs should also seek to identify mechanisms to evaluate whether actions are having a protection impact, whether decision-making is transparent, and whether overall accountability to affected people is being enhanced.

Reference documents

- The IASC Principals Statement on the Centrality of Protection is available in English, French and Arabic: http://www.globalprotectioncluster.org/assets/files/tools_and_guidance/IASC%20Guidance%20and%20Tools/IASC_Principals_Statement_Centrality_Protection_Humanitarian_Action_December2013_EN.pdf
- The IASC Policy on Protection in Humanitarian Action is available in English, French and Arabic: http://www.globalprotectioncluster.org/assets/files/tools_and_guidance/IASC%20Guidance%20and%20Tools/iasc-policy-on-protection-in-humanitarian-action.pdf
- GPC Coordinator Message the IASC Protection Policy in Humanitarian Action: <https://www.youtube.com/watch?v=tnBniHf5Fjs&feature=youtu.be>
- InterAction Prezi on Implementing the IASC Protection Policy: https://www.youtube.com/watch?v=fbp3l7d_Ls4
- GPC Video on the Centrality of protection is available in English, French and Arabic: https://www.youtube.com/watch?v=Rucc_1N9cio

Facilitator Note 17 – Global Protection Cluster

Extracts from the Global Protection Cluster website, available [here](#).

The Global Protection Cluster coordinates and provides global level inter-agency policy advice and guidance on the implementation of the cluster approach to Protection Clusters in the field, supports protection responses in non-refugee situation humanitarian action as well as leads standard and policy setting relating to protection in complex and natural disaster humanitarian emergencies, in particular with regard to the protection of internally displaced persons.

Vision

All people affected or threatened by a humanitarian crisis have their rights fully respected in accordance with international law and their protection assured by relevant and timely actions through all phases of the crisis and beyond.

Mission

Within the overall humanitarian response architecture, the GPC works to improve the predictability, leadership, effectiveness and accountability of response to ensure that protection is central to humanitarian action. The protection of the rights of people in conflict and disaster settings requires a broad range of action by a wide variety of duty-bearers, so the GPC also acts as a bridge between humanitarians and others, including development, political, peace-keeping and other relevant actors.

Leadership

UNHCR is the **Global Cluster Lead Agency** for Protection. In this capacity UNHCR has the responsibility to lead and coordinate other United Nations agencies, inter-governmental organizations and Non-governmental organizations participating in the GPC.

- **GPC Operations Cell** has been established to assist the GPC Coordinator in the administration of the GPC. The GPC operation cell liaises all participants in the GPC, in particular field protection clusters' Coordinators, AoR Coordinators and Lead Task Teams within the GPC work plan, implements the GPC work plan as well as engages with donors and mobilizes the resources. Finally, the GPC support cell also fulfils the secretariat functions related to global level coordination (meetings, websites, newsletter, information management).
- **GPC Task Teams** cover the following topics: Protection Mainstreaming, Law and Policy, Donor Dialogue, Learning, Anti-Trafficking in Humanitarian Action, Protection Information Management Analysis, Cash for Protection.
- The Global Protection Cluster differs from other global clusters in one key way. While it still has a lead agency (UNHCR) and it carries out the same three primary activities as all the other global clusters, the work of the GPC is divided into **four Areas of Responsibility**. Each AoRs has its own focal point agency, the functions and responsibilities of which are identical to those of a global cluster lead agency. When the four AoRs carry out their activities at the country level, they are generally referred to as "sub-Clusters" of Protection.
 - **Child Protection:** Child Protection in Emergencies refers to the prevention of, and response to, abuse, neglect, exploitation of and violence against children in emergencies. An emergency is defined as 'a situation where lives, physical and mental wellbeing, or development opportunities for children are threatened as a result of armed conflict, disaster or the breakdown of social or legal order, and where local capacity to cope is exceeded or inadequate'. The protection of children during emergencies is an Area of Responsibility (AoR) within the Global Protection Cluster which is facilitated through the Child Protection Working Group (CPWG). As the designated Focal Point Agency for the Child Protection AoR, UNICEF coordinates the CPWG and is also the provider of last resort.
 - **Gender-Based Violence:** Within the Global Protection Cluster, the Area of Responsibility on Gender-Based Violence (GBV) is co-facilitated by the United Nations Children's Fund (UNICEF) and the United Nations Populations Fund (UNFPA) who are the designated Focal Point Agencies at the global level, and providers of last resort. Gender-based violence (GBV) is a term used to describe any harmful act that is perpetrated against a person's will, and that is based on socially

ascribed differences between males and females. While men and boys can be victims/survivors of some types of GBV (particularly sexual violence) around the world, GBV has a greater impact on women and girls. Examples of GBV throughout the lifecycle include (but are not limited to): sex selective abortion, differential access to food and services, sexual exploitation and abuse, including trafficking, child marriage, female genital mutilation/cutting, sexual harassment, dowry/bride price abuse, honour killing, and domestic or intimate partner violence, deprivation of inheritance or property, and elder abuse.

- **Housing, Land and Property:** Housing, land and property (HLP) issues arise in every humanitarian crisis, whether triggered by conflict or disaster. The Housing, Land and Property Area of Responsibility (HLP AoR) was created in 2007. As the designated HLP Focal Point Agency, the UN Human Settlements Programme (UNHABITAT) coordinates the global HLP AoR, which brings together a wide range of actors.
- **Mine Action:** Mine Action activities in emergencies makes it possible for affected populations to live their daily lives and move without fear, for humanitarian agencies to deliver assistance, and for peacekeepers to carry out patrols. It is imperative that Mine Action is fully integrated in the overall humanitarian response. UNMAS is the global lead on Mine Action and chairs the Area of Responsibility. As the global lead UNMAS is also the provider of last resort.

Facilitator Note 18 – Protection Analysis Tools

Extracts from Global Protection Cluster, Protection in Practice Learning Program, available [here](#).

The **inverted tree** is a tool to help us look closely at the often hidden root causes of a protection concern and distinguishing that from the effects which are usually more visible.

The initial assessment of the protection situation will normally show that several root causes can exist for each of the contributing factors to a protection problem. Take the example of physical pain to demonstrate that it can be rooted in several causes. If we manage to address these causes, we will be able to break the causal chain, thereby solving the problem. We can visualize this kind of analysis in the form of an inverted tree, with the problem/protection risk at the top and all the possible causes spreading like roots from the trunk of the tree.

The advantage of the core problem analysis is that it is easily translated into a strategy.

If we plan specific actions to address the different causes, at all possible levels, meaning also the “causes of the causes” or underlying causes, this will already provide the content of key outputs that need to be part of our strategy in order to reach our objective and achieve the required results. The inability to enjoy a specific right often affects the ability to exercise other rights. We must analyze this kind of consequences arising from existing protection risks. This will necessarily lead to the planning of additional objectives, with corresponding outputs and activities.

Key messages:

- Immediate causes determine the current status of the problem.
- Underlying causes are often the consequence of policies, laws and availability of resources. They may reveal related complex issues and require interventions that take significant time in obtaining results (at least 5 years).
- Root/structural causes reveal conditions that require long-term interventions in order to change societal attitudes and behavior at different levels, including those at the family, community and higher decision-making level.

To undertake a causal analysis, the main question to ask is ‘why’ (this guides the participants in identifying the general levels of causal analysis: immediate, underlying, and root causes).

Present the following example:

- Immediate causes refer to the status and direct influences. For example, school fees, distance to school, domestic chores, early marriage, distance to school, domestic chores, early marriage, etc. may cause poor school enrolment rates for girls.

- Underlying causes refer to services, access, practices, e.g. education policies favor the better off, discriminatory attitudes towards girls and the poor, little attention to child stimulation in early years, education not seen as valuable.
- Root causes may include gender values, ethnically based discrimination, poor organization of the civil service, inadequate budget allocations, etc.

The problem tree can help identify the causal connections of rights as well as main patterns of discrimination, exclusion and power imbalances that prevent the realization of human rights of affected populations. Process-wise, the problem tree is a tool for consensus building and participation as it requires agreement among participants on the main protection challenges and root causes.

Facilitator Note 19 – The Risk Equation

Extracts from Global Protection Cluster, Protection in Practice Learning Program, available [here](#).

Informed protection action is guided by a sound understanding of the current protection risks faced by the populations, and an evidence-based analysis of the situation. The best way to think about protection is from the perspective of those who need it. Understanding people's protection needs in terms of threat, violation, vulnerability, capacity and risk can do this. This approach uses a model of risk and response that is familiar to many humanitarian agencies. It allows us to appreciate the precise nature of the threats and vulnerabilities people are experiencing and the capacities they have to prevent and cope with them. This equation can also apply to identify the protection risks linked to humanitarian programming.

When we speak about protection risks, we refer to the precise nature of the threats and vulnerabilities people are experiencing and the capacities they have to prevent and cope with them.

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

THREAT refer to the precise nature, pattern and scope of the violations. To approach the threat holistically, we need to understand precisely some critical factors:

- Who is the abuser , why they are pursuing a policy of violations
- How is the abuse done
- When and where are such abuses committed
- How the violation is facilitated and with the support of whom (who supports the abuser or turns a blind eye on violations/who is orchestrating, encouraging, permitting, and colluding in the perpetration of violations, as ideologues, strategists, active supporters or deliberate bystanders)
- What prejudice, reasons, interest, frustrations and emotions drive these strategies and how best they be understood and challenged

Threats can arise either from acts of commission (things people are doing) or acts of omission (things people should be doing but are not) or both. In Protection programming, reducing the level of threat is the first priority. Reducing threat means trying to make States, armed groups and individuals meet their humanitarian responsibilities to protect people in war. This involves engaging those responsible – directly or indirectly – in an effort to prevent violations, end threats and respond to suffering.

VULNERABILITY analysis should consider whether some individuals/groups are more vulnerable in a crisis. For example, if a group face social exclusion and discrimination, then they may well be more vulnerable and less able to access assistance (example: people with disabilities).

Protection policy can often sound very state-centric but that humanitarian actors recognize that humanitarian protection work is also about working directly with affected communities to identify and develop ways in which they can protect themselves and realize their rights to assistance, repair, recovery, safety and redress. People's most critical protection strategies may often be their own.

Several strategies can be adopted to reduce the vulnerabilities: change behavior of the perpetrator of the violation or of the victim, change the geographic location if source of vulnerability, inform population on existing threats etc.

Humanitarian programs and activities can contribute to reducing vulnerability if designed with the particular needs of people in mind, thinking about age, gender and diversity. It is crucial when doing humanitarian work to support civilian communities so that they can adapt their behavior by choosing safer options in the way they live, move and meet their needs or improve the way they organize politically to challenge the threats against them.

To understand what **CAPACITIES** enable people to overcome threat, we need to analyze:

- What are communities doing to confront the threats?
- How are they organizing themselves?
- Are they pursuing non-violent resistance of some kind?
- Are they dispirited and disintegrating as a community?
- Is it possible to support a growing pro-protection political mobilization of civil society that is standing up to and challenging these threats

It is particularly important to understand how people are already coping with and even preventing violations and threats against them in order to define what activities can best support and develop those capacities. Supporting community strategies can be the best form of action by humanitarian agencies.

Facilitator Note 20 – The Egg Model

Extracts from Global Protection Cluster, Protection in Practice Learning Program, available [here](#).

The **egg model** of humanitarian action is a general framework in which to consider any protection action. It also emphasizes the importance of complementarity within the international protection system. One widely recognized model of protection among humanitarian agencies is the so-called egg model, which emerged from the interagency discussions on protection led by 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. Explain that after analyzing the various causes of a protection concern, now we are going to design a holistic response strategy by planning activities.

The egg model is a tool to be used in designing a response to a protection concern that it is among the most widely recognized and used models within humanitarian organizations. It gives perspective into the three stages of response and highlights that they often happen simultaneously:

Spheres of action:

Three main spheres of protective action gravitate outwards from the point of violation.

1. The most immediate sphere of action is closest to the victims 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 with assisting and supporting 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 people recover.
3. The third sphere of action is further away from the point of violation and is concerned with moving society as a whole towards protection norms which 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

Facilitator Note 21 - Complementarity in Protection Work

As well as providing a useful framework for planning individual agency activities, the egg model with its three spheres of action provides a very useful way of looking at protection work at the system level by distinguishing between responsive, remedial and environment-building activities and considering which protection actor is best placed to pursue which action in a given situation. In other words, it allows humanitarian agencies to think together about how different agencies can complement one another in their efforts to work with authorities, with each other, with people at risk and with civil society movements to ensure protection.

The key concept of complementarity emphasizes the importance of diversity and cooperation in the protection system.

Interagency complementarity for protection means that agencies will often be involved in different spheres of action and in different activities but the sum of their parts must all add up to better protection. The musical analogy begs the question of the conductor in protection work. The answer to this will differ depending on the situation. Sometimes the government itself will conduct. Sometimes people's movements from the population at risk will dominate the process and call the tune as they have tried to do in Colombia, for example. At other times, there will be a United Nations maestro in the form of a Special Representative of the Secretary-General (SRSG). And sometimes, complementarity will emerge from a genuine team effort among humanitarian agencies.

A concerted effort by all agencies to use their different mandates, expertise, resources and networks to meet commonly identified protection needs and desired outcomes for threatened populations can dramatically increase the likelihood of that protection being realized. Complementarity does not mean every agency doing the same thing. Instead, it involves each agency doing what it does best and what it is best placed to do. Such diversity of programming but unity of efforts can be a significant protection multiplier.

Facilitator Note 22 – Protection Mainstreaming

Extracts from the Global Protection Cluster, available [here](#).

Protection mainstreaming is one part of humanitarian protection. It is the part of protection that is the responsibility of all humanitarian practitioners. It does not require the support of protection specialists.

Some participants may ask about the difference between protection mainstreaming, protection integration and stand-alone protection programming (sometimes referred to as the 'protection continuum').

- **Protection mainstreaming** is the process of incorporating protection principles and promoting meaningful access, safety and dignity in humanitarian aid. It is the responsibility of all humanitarian actors. Protection mainstreaming focuses not on what we do (the product) but rather on how we do it (the process). Protection should be mainstreamed through all sectors and all phases of the program/project cycle.
- **Protection integration** is the design of humanitarian activities to support both protection and assistance objectives, and to actively contribute to reduce the risk and exposure of the affected population. It requires sector specialists and protection specialist staff to work together. Example: Livelihoods activities with both economic (increase income) and protection objectives (prevent negative coping mechanisms including transactional and survival sex, exploitative/ hazardous labor, child labor). Each case requires GBV and/or child protection expertise in addition to livelihoods expertise.
- **Stand-alone protection** program and projects have specific protection objectives and require a protection specialist. Examples: Monitoring compliance with International Humanitarian Law; Rule of Law programs; registering refugees; medical, legal and psychosocial care for survivors of sexual violence

The Protection Mainstreaming Approach is based on four key elements:

1. Prioritize safety and dignity and avoid causing harm

Safety can be impeded by physical threats such as violence, assault, coercion and environmental threats.

Dignity can be impeded by physical and psychological threats such as lack of respect, lack of confidentiality and privacy, and lack of consultation and participation.

2. Meaningful access – in proportion to need and without any barriers

In order for access to be meaningful, assistance and services must be:

- a. Available in sufficient quantity and quality
- b. Provided on the basis of need and without discrimination
- c. Within safe and easy reach

- d. Known by people potentially accessing services
- e. Physically and financially accessible
- f. Culturally relevant and socially acceptable

3. Accountability

Set-up appropriate mechanisms through which affected populations can measure the adequacy of interventions, or address concerns and complaints. The five IASC Accountability Commitments: Leadership/Governance, Transparency, Feedback and complaints, Participation, Design, monitoring and evaluation

4. Participation and Empowerment

Support the development of self-protection capacities and assist people to claim their rights, including - not exclusively - the rights to shelter, food, water and sanitation, health and education. Empowerment is not something that is “done” to people; it is the process by which individuals in the community analyze their situation, enhance their knowledge and resources, strengthen their capacity to claim their rights, and take action to achieve their goals. The participation ladder (from the Camp Management Toolkit) includes: Ownership, Interactive, Functional, Material Motivation, Information Transfer, and Passive.

Video - An Introduction to Protection Mainstreaming, Global Protection Cluster 2014. Available online <https://youtu.be/W01dgbxpyOU>

Examples of good protection mainstreaming practices include:

- Meaningful participation throughout the program/project cycle
- Inclusion of diverse groups
- Disaggregating data by sex, age and diversity
- Robust accountability including safe and confidential feedback and response mechanisms
- Vulnerability and capacity analysis
- Application of conflict sensitive approaches such as Do No Harm/ Local Capacities for Peace
- Strengthening local capacity
- Taking action in line with guidance for particular populations such as the Guidelines on Gender-Based Violence

While important, these generic good practices are not enough. Protection mainstreaming is about intentional, proactive steps to support safe and dignified programs.

Guidance and Tools available: <http://www.globalprotectioncluster.org/en/areas-of-responsibility/protection-mainstreaming.html>

- Protection Mainstreaming Training Package
- Protection Mainstreaming Toolkit
- Protection Mainstreaming E-Learning
- Protection Mainstreaming Mobile App

Facilitator Note 23 – Stakeholder Mapping

A **stakeholder** is a person who has something to gain or lose through the outcomes of a planning process or project:

- Those whose interests are affected by the issue or those whose activities strongly affect the issue
- Those who possess information, resources and expertise in relation to the issue
- Those who control relevant implementation instruments

Stakeholders are defined and identified in relation to a specific issue. ‘Interest’ measures to what degree someone is likely to be affected by the project or policy change, and what degree of interest or concern they have in or about it. ‘Power’ measures the influence they have over the project or policy, and to what degree they can help achieve, or block, the desired change.

Stakeholders are important because they can impact the protection framework in a positive as well as in a negative way. A project can fail because of not having analyzed the stakeholders. For instance, if we aim at changing the behavior of armed groups targeting civilians but we had not analyzed them to understand their interest and motivation. As a consequence, our negotiation power will be lessened as well as our advocacy capacity.

It is therefore important to understand what the function of each stakeholder in relation to protection is:

- Is he/she facilitating, supporting or obstructing a process?
- What is his/her interest?
- What is his/her power?
- Can we have a potential influence (capacity, will)?

We also need to understand the relationships between various stakeholders in relation to the protection framework. Sometimes we might not be in a position to influence the main stakeholder but we can influence someone that has power over him.

NB: Stakeholders Mapping in Protection Analysis

A stakeholders mapping and analysis is a key step of the protection analysis methodology as it helps to approach strategically a protection concern and helps to strengthen coordination. It refers to the process of identifying all relevant protection actors (both government and non-governmental) and services in relation to one protection concern. An actor mapping and analysis identifies all the actors having a relation to a protection concern either by perpetrating it or solving it. It includes perpetrators, authorities at various levels, humanitarian agencies, peacekeeping missions, etc. It analyses interests and the influence they have on each other.

- It enables an organization to get a clear picture of the protection context and to identify gaps in response (which in turn may inform program plans or advocacy).
- It allows an organization to link with existing protection actors and services in an area by enhancing information sharing and helping in the establishment of appropriate referral mechanisms (where safe and realistic to do so). This is particularly important for actors that are not providing protection services; individuals that have particular protection needs can be referred to the relevant services of other actors.
- It is often beneficial for humanitarian projects to identify and analyze the needs and concerns of different stakeholders, particularly when these projects aim to influence policy.

Workshop Resources

Resource 1 – Conceptual Framework for Localization in Coordination

Extract from Global Protection/CP AoR Cluster Conceptual Framework for Localization in Coordination

Decision-Making

- Equitable opportunities to play leadership and co-leadership roles (i.e. SAG, HCT, co-lead position)

Participation and Influence

- Equitable opportunities to be represented (i.e. Cluster membership) & influence the Cluster/Sector's decisions (i.e. HNO/HRP)

Partnerships

- Promotion of a culture of principled partnership (i.e. less sub-granting more coaching and mentorship approaches, non monetary contributions)

Funding

- Greater access to funding mechanisms, including pooled funds.

Institutional Capacity

- More systematic and coordinated opportunities to receive support to strengthen operational functions (i.e. sectoral institutional capacity building strategy)

Resource 2 – Humanitarian Imperative Self-Check

Extract from [Building a Better Response: Strengthening Non-Governmental Organization \(NGO\) Capacity and Engagement in the International Humanitarian Coordination System](#), Online Course, available [here](#)

Of these items, which qualify as following the humanitarian imperative, and which do not?

- A. Surveying the local population to find out who is most in need
- B. Handing aid over to a local leader to distribute as they see fit
- C. Targeting aid to the most malnourished children first
- D. Asking your donor where they would like to see aid
- E. Working with the local political party to create a beneficiary list because they have good access to the community
- F. Negotiating with whomever it takes to get access to affected populations

ANSWER: A, C, and F. These examples demonstrate the humanitarian imperative's focus of ensuring aid goes to those who have the greatest need.

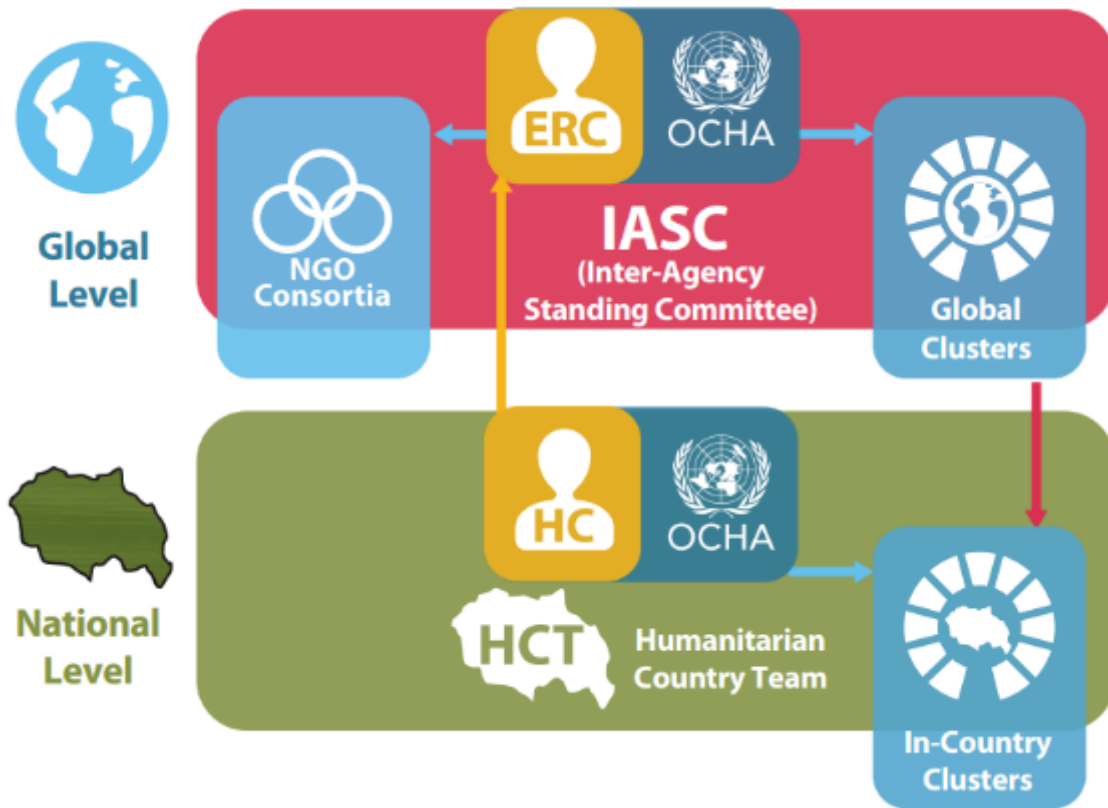
Resource 3 – Humanitarian Principles Case Studies

Extract from *Global Protection Cluster, Protection in Practice Learning Program*, available [here](#).

<p>Case Study 1: Humanitarian assistance provided in camp to a group of displaced persons should also be provided to neighboring affected communities, even if their needs are substantially less important, if such support will reduce the risk of conflict. Agree or disagree?</p>	<p>Case Study 2: Aid agencies should avoid partnering with local NGOs who are known to be closely linked to an armed rebel group. Agree or disagree?</p>
<p>Case Study 3: The government comes to you privately and shows you photos, proof that an armed rebel group is using the vehicles of your partner agency. These vehicles were paid for by your organization and the government demands that your agency end this partnership. You know that assistance is indeed getting through to the intended beneficiaries. If you end this partnership you are likely to lose access to the population in need.</p>	<p>Case Study 4: You are travelling with a convoy of trucks transporting 5,000 metric tons of food to evacuation centers near a conflict zone. The convoy is blocked by an armed group demanding money or 20 % of the food being transported. The army commander insists that food transport will not pass their area of control without the demanded payment.</p>

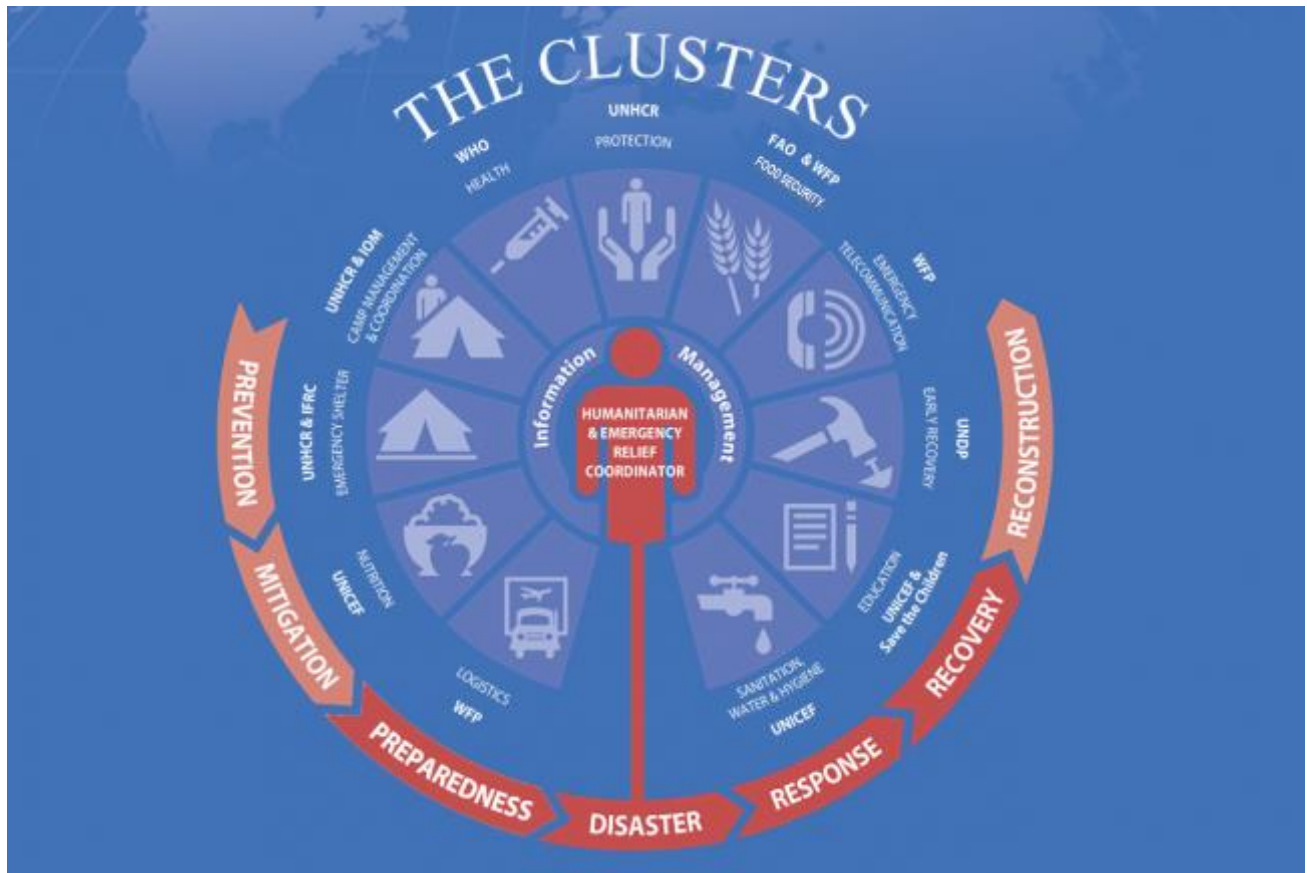
Resource 4 – International Humanitarian Architecture

Extract from *Building a Better Response: Strengthening Non-Governmental Organization (NGO) Capacity and Engagement in the International Humanitarian Coordination System*, Online Course, available [here](#)



Resource 5 – Global Cluster Flower Cards

Extract from OCHA website, available [here](#)



Resource 6 – Reference Module for Cluster Coordination

The Cluster Coordination Reference Module is available in English and French.

https://www.humanitarianresponse.info/sites/www.humanitarianresponse.info/files/documents/files/cluster_coordination_reference_module_2015_final_0.pdf

Resource 7 – Humanitarian Program Cycle Self-Check

Extract from Building a Better Response: Strengthening Non-Governmental Organization (NGO) Capacity and Engagement in the International Humanitarian Coordination System, Online Course, available [here](#)

Match each of the following activity with the phase of the Humanitarian Program Cycle it would correspond to.

- A. Ensure there are sufficient supplies warehoused in the area to address predictable issues, and that staff are appropriately trained.
- B. Work with local agencies and fellow NGOs to identify which areas have been hit hardest and from previous demographic data how many people are likely to be affected in each area.
- C. Based on assessment, identify priorities and outline what we will do and how we will do it.
- D. Consistently track inputs, outputs, and outcomes of our programs.
- E. After the response, consult internally and externally to identify things that worked well and areas that could be improved.

ANSWERS: Needs Assessment and Analysis (B); Strategic Response Planning (C); Resource Mobilization (A); Implementation and Monitoring (D); Operational Review and Evaluation (E).

Resource 8 - Quiz on Coordination

Extracts from Sphere Handbook Training Material, available [here](#).

	Statement	TRUE	FALSE
1	It is important to share assessment information with the relevant coordination groups in a timely manner.	<input type="checkbox"/>	<input type="checkbox"/>
2	In an emergency, it is OCHA who takes the lead to coordinate humanitarian intervention.	<input type="checkbox"/>	<input type="checkbox"/>
3	It is better if each agency performs their own analysis of the humanitarian situation and selects the geographical area for their response plan on their own because we cannot rely on others to respond the same way that we would.	<input type="checkbox"/>	<input type="checkbox"/>
4	Any person from my organisation can attend a coordination meeting, the important part is to be represented.	<input type="checkbox"/>	<input type="checkbox"/>
5	While humanitarian service delivery should be coordinated, advocacy should be done by each single agency.	<input type="checkbox"/>	<input type="checkbox"/>
6	It is important to share to the coordination platform not only the progress of my organisation's implementation, but also any major delays.	<input type="checkbox"/>	<input type="checkbox"/>
7	While coordination mostly takes place within a specific sector, relevant information should be shared among sectors.	<input type="checkbox"/>	<input type="checkbox"/>
8	A Cluster is a group of UN agencies operating in an emergency.	<input type="checkbox"/>	<input type="checkbox"/>
9	If military forces bring particular expertise and resources – including security, logistics, transport and communication in an emergency response – there is no issue to openly coordinate with them.	<input type="checkbox"/>	<input type="checkbox"/>
10	It is important to promote good humanitarian practice with the private sector when it is involved in emergency response.	<input type="checkbox"/>	<input type="checkbox"/>

	Answer	Source
1	TRUE: It is also important to share this information in a format that can be readily used by other humanitarian agencies.	Commitment 6 of the Core Humanitarian Standard (CHS), Key action 6.4 p 24 of the CHS Guidance Notes and Indicators
2	FALSE: It is the affected state's role to coordinate the humanitarian response of assisting organisations. Humanitarian agencies have an essential role to play by supporting the state's coordination function. However, in some contexts, alternative coordination mechanisms may be appropriate if, for example, state authorities are themselves responsible for abuse and violations or their assistance is not impartial or if the state is willing to play a coordination role, but lacks capacity. In these situations, coordination meetings may be separately or jointly led by the local authorities with the United Nations or NGOs. Many large-scale humanitarian emergencies are now typically coordinated through the 'cluster approach', with groupings of agencies working in the same sector under a lead agency.	E-learning: Building Better Response

3	FALSE: Agency should be able to use other programme information from other humanitarian agencies to inform, analyse and select geographical areas and response plans.	Commitment 6 of the CHS, key action 6.2 of the CHS Guidance Notes and Indicators p 24
4	FALSE: Staff representing agencies in coordination meetings should have the appropriate information, skills and authority to contribute to planning and decision-making.	Commitment 6 of the CHS, key action key 6.5 of the CHS Guidance Notes and Indicators p 25
5	FALSE: Agencies should collaborate with others to strengthen advocacy on critically-shared humanitarian concerns.	Commitment 2 of the CHS, key action 2.1 of the CHS Guidance Notes and Indicators p 8
6	TRUE: Agencies should regularly update coordination groups on progress, reporting any major delays, agency shortages or spare capacity.	Commitment 6 of the CHS, key actions 6.3 and 6.4 of CHS Guidance Notes and Indicators p 24
7	TRUE: Meetings which bring together different sectors can further enable people's needs to be addressed as a whole, rather than in isolation. Relevant information should be shared between different coordination mechanisms to ensure integrated coordination across all programmes.	Commitment 6 of the CHS, key actions 6.3 and 6.4 of CHS Guidance Notes and Indicators p 24
8	FALSE: The 2005 Humanitarian Reform established the cluster approach, which is the main way humanitarian actors coordinate. Clusters are groups of humanitarian organizations (UN and non-UN) working in the main sectors of humanitarian action, who coordinate in order to avoid gaps and duplication in assistance to affected communities. They are created: when clear humanitarian needs exist within sectors, when there are numerous actors within sectors, when national authorities need coordination support. Clusters provide a clear point of contact and are accountable for adequate and appropriate humanitarian response. Clusters promote partnership between international humanitarian actors, national and local authorities and civil society.	E-learning: Building a Better Response which includes key modules on the humanitarian architecture and its implication for implementing actors.
9	FALSE: The military brings particular expertise and resources, including security, logistics, transport and communication. However, their activities can blur the important distinction between humanitarian objectives and military or political agendas and create future security risks. Any association with the military should be in the service of, and led by, humanitarian agencies according to endorsed guidelines. Some agencies will maintain a minimum dialogue to ensure operational efficiency (e.g. basic programme information sharing) while others may establish stronger links (e.g. use of military assets). In all cases, humanitarian agencies must remain clearly distinct from the military to avoid any real or perceived association with a political or military agenda that could compromise the agencies' independence, credibility, security and access to affected populations.	Commitment 6 of the CHS, key action 6.1 of CHS Guidance Notes and Indicators p23
10	TRUE: The private sector can bring commercial efficiencies, complementary expertise and resources to humanitarian agencies. Information-sharing is required to avoid duplication and to promote humanitarian good practice. Partnerships between the private and humanitarian sector must strictly be for the benefit of humanitarian objectives.	Commitment 6 of the CHS, key action 6.1 of CHS Guidance Notes and Indicators p23

Resource 9 – Definition of Protection

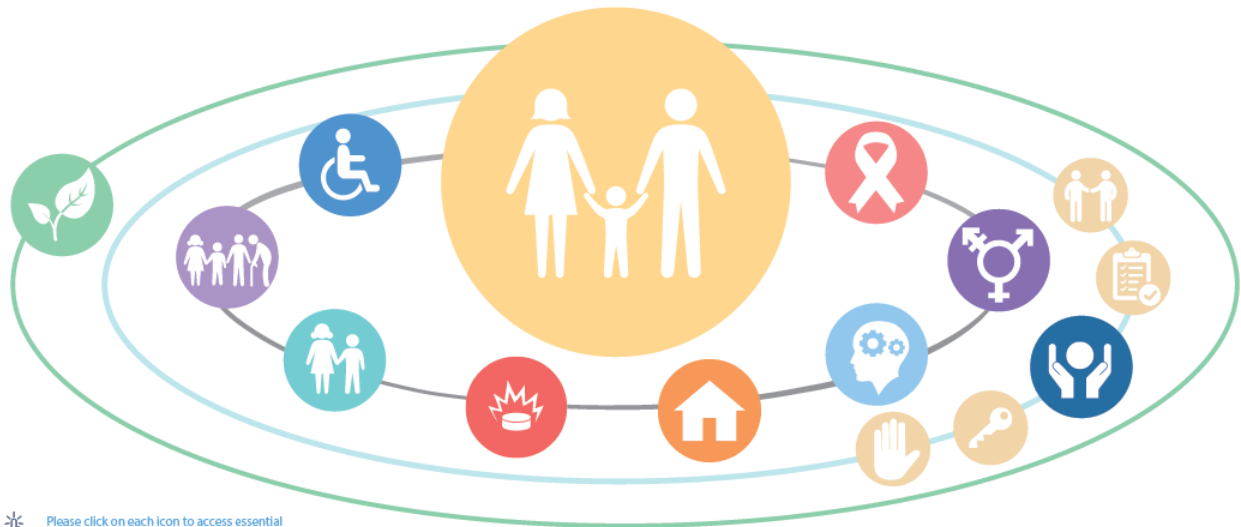
Extract from *Global Protection Cluster, Protection in Practice Learning Program*, available [here](#).

The protection definition should be divided onto laminated A4 paper.

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	INCLUDING
INTERNATIONAL	HUMAN	RIGHTS
LAW	INTERNATIONAL	HUMANITARIAN
LAW	AND	INTERNATIONAL
REFUGEE	LAW	

Resource 10 – Cross Cutting Issues Infographic

MAINSTREAMING CROSS CUTTING ISSUES IN HUMANITARIAN RESPONSE



Please click on each icon to access essential guidance and tools on Cross-Cutting Issues.

Age, Gender and Diversity mainstreaming	Mental Health and Psychosocial Support mainstreaming	Disability mainstreaming	Mine Action mainstreaming	PROTECTION MAINSTREAMING PRINCIPLES	
Child Protection mainstreaming	Gender-Based Violence mainstreaming	HIV/AIDS mainstreaming	Housing, Land and Property mainstreaming		
Affected Populations	Protection mainstreaming	Environment	Prioritize safety & dignity, and avoid causing harm		Accountability
				Meaningful Access	Participation and empowerment

Developed by IOM in support of the GPC Task Team for Protection Mainstreaming

Resource 11 – Protection Standards

Picture	Objective	Structure
	<p>Provide humanitarian actors from different sectors training material to ensure the integration of protection principles (such as Safety and Dignity, Meaningful Access, Accountability, Participation and Empowerment) in the delivery of humanitarian assistance.</p>	<p>Principle 1: Prioritize safety and dignity and avoid causing harm</p> <p>Principle 2: Ensure meaningful access to humanitarian services in proportion to need and without any barriers</p> <p>Principle 3: Set up accountability mechanisms</p> <p>Principle 4: Ensure the participation and empowerment of affected populations</p>
	<p>Provide internationally recognized sets of common principles and universal minimum standards for the delivery of quality humanitarian response. The minimum standards cover four primary life-saving areas of humanitarian aid: water supply, sanitation and hygiene promotion; food security and nutrition; shelter, settlement and non-food items; and health action.</p>	<p>Humanitarian Charter</p> <p>Protection Principles</p> <p>Core Standards</p> <p>Minimum Standards in Water Supply, Sanitation and Hygiene Promotion</p> <p>Minimum Standards in Food Security and Nutrition</p> <p>Minimum Standards in Shelter, Settlement and Non-Food Items</p> <p>Minimum Standards in Health Action</p>
	<p>Sets out Nine Commitments that organizations and individuals involved in humanitarian response can use to improve the quality and effectiveness of the assistance they provide. It also facilitates greater accountability to communities and people affected by crisis: knowing what</p>	<p>Commitment 1: Humanitarian response if appropriate and relevant</p> <p>Commitment 2: Humanitarian response is effective and timely</p> <p>Commitment 3: Humanitarian response strengthens local capacities and avoid negative effects</p>



humanitarian organizations have committed to will enable them to hold those organizations to account.

Commitment 4: Humanitarian response is based on communication, participation and feedback

Commitment 5: Complaints are welcomes and addressed

Commitment 6: Humanitarian response is coordinated and complementary

Commitment 7: Humanitarian actors continuously learn and improve

Commitment 8: Staff are supported to do their jobs effectively and are treated fairly and equitably.

Commitment 9: Resources are managed and used responsibly for their intended purpose.

Assist humanitarian actors and communities affected by armed conflict, natural disasters and other humanitarian emergencies to coordinate, plan, implement, monitor and evaluate essential actions for the prevention and mitigation of gender-based violence (GBV) across all sectors of humanitarian response.

Integrate GBV in Camp Coordination and Camp Management

Integrate GBV in Child Protection

Integrate GBV in Education

Integrate GBV in Food Security and Agriculture

Integrate GBV in Health

Integrate GBV in Housing, Land and Property

Integrate GBV in Humanitarian Mine Action

Integrate GBV in Livelihoods

Integrate GBV in Nutrition

Integrate GBV in Protection

Integrate GBV in Shelter, Settlement and Recovery

Integrate GBV in Water, Sanitation and Hygiene

Integrate GBV in Humanitarian Operations Support Sectors

Intended to establish common principles among those working in child protection and to strengthen coordination between them, improve the quality of child protection programming and improve

Standards to ensure a quality child protection response



accountability within child protection work.

Standards to address child protection needs

Standards to develop adequate child protection strategies

Standards to mainstreaming child protection in other humanitarian sectors



Designed to help address the gap in understanding the needs, capacities and rights of older people and people with disabilities, and promote their inclusion in humanitarian action.

Key Inclusion Standard 1: Identification

Key Inclusion Standard 2: Safe and Equitable Access

Key Inclusion Standard 3: Resilience

Key Inclusion Standard 4: Knowledge and Participation

Key Inclusion Standard 5: Feedback and Complaints

Key Inclusion Standard 6: Coordination

Key Inclusion Standard 7: Learning

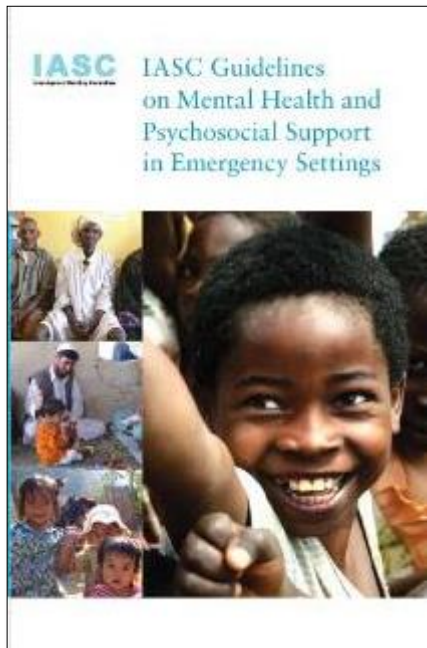
Key Inclusion Standard 8: Human Resources

Key Inclusion Standard 9: Resources Management

Enable humanitarian actors to plan, establish and coordinate a set of minimum multi-sectoral responses to protect and improve people's mental health

Mental Health and Psychosocial Support Intersectoral Coordination

Mental Health and Psychosocial Assessment and M&E Systems



and psychosocial well-being in the midst of an emergency.

Integrate Mental Health and Psychosocial in Protection and Human Rights
 Community Mobilization and Support on Mental Health and Psychosocial Issues

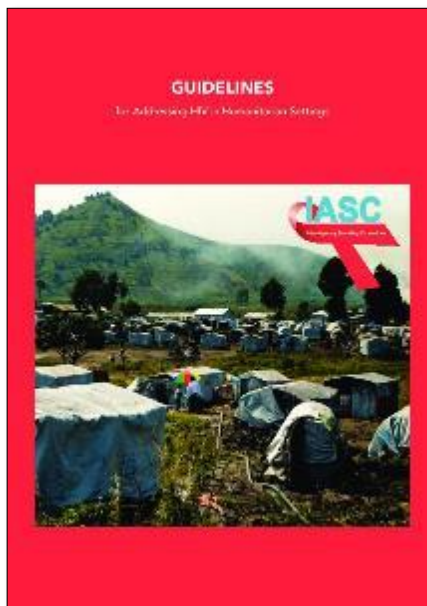
Integrate Mental Health and Psychosocial in Health Services

Integrate Mental Health and Psychosocial in Education

Integrate Mental Health and Psychosocial in Food Security and Nutrition

Integrate Mental Health and Psychosocial in Shelter and Site Planning

Integrate Mental Health and Psychosocial in Water and Sanitation



Help plan the delivery of a minimum set of HIV prevention, care and support interventions to people affected by humanitarian crises.

Raise HIV awareness and empower communities

Prevent HIV transmission in health-care settings

Provide care for people with HIV-related illnesses

Provide basic health care and support to key populations at higher risk of exposure to HIV

Protect against HIV-related human rights violations

Integrate HIV in water, sanitation and hygiene programs

Integrate HIV in education programs

Integrate HIV in food security, nutrition and livelihood support

Integrate HIV in camp coordination and camp management

Integrate HIV in shelter activities

Resource 12 – Protection Mainstreaming Principles

Adapted from Sphere Training Manual.

Principle 1	Principle 2	Principle 3	Principle 4
Prioritize safety and dignity and avoid causing harm	Ensure meaningful access to services in proportion to need and without any barriers	Set up accountability mechanisms	Ensure the participation and empowerment of affected population
Adapt the forms in which assistance is provided to lessen the risk of looting and consequent violence.	Ensure your programme protects the rights of marginalised people.	Brief your staff on appropriate reporting of witnessed incidents or allegations.	Inform affected people of their entitlements within a given aid programme.
Ensure that people don't have to travel through dangerous zones to access assistance.	Promote respect for relevant laws if assistance is denied to affected population.	Put in place standards and instruments that prevent and eradicate sexual exploitation and abuse.	Consult with different segments of the affected population when identifying and responding to humanitarian needs.
Build IDP and refugee camps away from conflict areas or other potential threats such as violence, attacks from armed groups, landmines, risk of GBV.	Monitor access of the affected population to humanitarian assistance and whether services are being diverted.	Report and share protection concerns with the Protection Cluster.	Consider advocating for the rights of affected populations with relevant authorities and actors by reminding them of their obligations.
Ensure the activities do not exacerbate existing divisions in the community.	Construct safe spaces for people who have been victims of abuses such as rape or trafficking, while avoiding stigmatisation.	Set up accessible, well understood mechanisms for suggestions and complaints.	Inform the affected population in a language and manner they can understand.
Coordinate with relevant government authorities and specialised agencies on the removal of landmines and unexploded ordinances.	When providing assistance to a particular group such as displaced people in camps, ensure this focus is not at the detriment of another section of the affected population.	Staff the complaint mechanism with both men and women and ensure it is accessible to all.	Reinforce the community self-protection capacity.
Collect information on specific abuses and violation of rights only if its intended use is clear, and only if your agency has a protection mandate or	Ensure affected people do not need to have a special legal status in order to receive humanitarian assistance and be protected.	Consider a joint complaints mechanisms with other sectors to minimise confusion.	Identify local authorities and civil society specialised in working with persons with disabilities. Strengthen and support their role, and learn from them.

the necessary capacity, skills, systems and protocols in place.			
Plan distribution of assistance in ways that minimise theft.	Ensure that the assistance you provide is based on need alone and in proportion to need.	Provide information about people's entitlements and where and how they can access remedies and resolve disputes.	Find out what are the coping strategies and help people avoid resorting to negative coping mechanisms.
Put measures in place to reduce the risk of gender-based violence.	Work with relevant authorities to secure lost documentation.	Work with community to set up monitoring mechanisms to assess the living conditions of persons with specific needs.	Include children and communities in school design and construction to promote a sense of ownership.
Do not share identifiable information unless consent has been given by the beneficiary.	Ensure that services are respectful and inclusive of cultural and religious practice.		Ensure committees are democratic, inclusive and representative of all the layers of society.

Resource 13 – Sphere Standard on Coordination and Collaboration

Extract from the Sphere Handbook, available [here](#)

Humanitarian response is planned and implemented in coordination with the relevant authorities, humanitarian agencies and civil society organization engaged in impartial humanitarian action, working together for maximum efficiency, coverage and effectiveness.

Key actions

- Participate in general and any applicable sectoral coordination mechanisms from the outset.
- Be informed of the responsibilities, objectives and coordination role of the state and other coordination groups where present.
- Provide coordination groups with information about the agency's mandate, objectives and program.
- Share assessment information with the relevant coordination groups in a timely manner and in a format that can be readily used by other humanitarian agencies.
- Use program information from other humanitarian agencies to inform analysis, selection of geographical area and response plans.
- Regularly update coordination groups on progress, reporting any major delays, agency shortages or spare capacity.
- Collaborate with other humanitarian agencies to strengthen advocacy on critical shared humanitarian concerns.
- Establish clear policies and practice regarding the agency's engagement with non-humanitarian actors, based on humanitarian principles and objectives.

Key indicators

- Assessment reports and information about program plans and progress are regularly submitted to the relevant coordinating groups.
- The humanitarian activities of other agencies in the same geographical or sectoral areas are not duplicated.
- Commitments made at coordination meetings are acted upon and reported in a timely manner.
- The agency's response takes account of the capacity and strategies of other humanitarian agencies, civil society organizations and relevant authorities.

Guidance notes

1. **Coordinated responses:** Adequate program coverage, timeliness and quality require collective action. Active participation in coordination efforts enables coordination leaders to establish a timely, clear division of labor and responsibility, gauge the extent to which needs are being collectively met, reduce duplication and address gaps in coverage and quality. Coordinated responses, timely inter-agency assessments and information sharing reduce the burden on affected people who may be subjected to demands for the same information from a series of assessment teams. Collaboration and, where possible, the sharing of resources and equipment optimize the capacity of communities, their neighbors, host governments, donors and humanitarian agencies with different mandates and expertise. Participation in coordination mechanisms prior to a disaster establishes relationships and enhances coordination during a response. Local civil society organizations and authorities may not participate if coordination mechanisms appear to be relevant only to international agencies. Respect the use of the local language(s) in meetings and in other shared communications. Identify local civil society actors and networks involved in the response and encourage them and other local and international humanitarian agencies to participate. Staff representing agencies in coordination meetings should have the appropriate information, skills and authority to contribute to planning and decision-making.
2. **Common coordination mechanisms** include meetings – general (for all programs), sectoral (such as health) and cross-sectoral (such as gender) – and information-sharing mechanisms (such as databases of assessment and contextual information). Meetings which bring together different sectors can further enable

people's needs to be addressed as a whole, rather than in isolation (e.g. people's shelter, water, sanitation, hygiene and psychosocial needs are interrelated). Relevant information should be shared between different coordination mechanisms to ensure integrated coordination across all programs. In all coordination contexts, the commitment of agencies to participate will be affected by the quality of the coordination mechanisms: coordination leaders have a responsibility to ensure that meetings and information are well managed, efficient and results-orientated. If not, participating agencies should advocate for, and support, improved mechanisms.

3. **Coordination roles:** It is the affected state's role to coordinate the humanitarian response of assisting organizations. Humanitarian agencies have an essential role to play by supporting the state's coordination function. However, in some contexts, alternative coordination mechanisms may be appropriate if, for example, state authorities are themselves responsible for abuse and violations or their assistance is not impartial or if the state is willing to play a coordination role, but lacks capacity. In these situations coordination meetings may be separately or jointly led by the local authorities with the United Nations or NGOs. Many large-scale humanitarian emergencies are now typically coordinated through the 'cluster approach', with groupings of agencies working in the same sector under a lead agency.
4. **Efficient data sharing** will be enhanced if the information is easy to use (clear, relevant, brief) and follows global humanitarian protocols which are technically compatible with other agencies' data. The exact frequency of data-sharing is agency- and context-specific but should be prompt to remain relevant. Sensitive information should remain confidential.
5. **Military and private sector:** The private sector and foreign and national military are increasingly part of the relief effort and therefore affect coordination efforts. The military bring particular expertise and resources, including security, logistics, transport and communication. However, their activities can blur the important distinction between humanitarian objectives and military or political agendas and create future security risks. Any association with the military should be in the service of, and led by, humanitarian agencies according to endorsed guidelines. Some agencies will maintain a minimum dialogue to ensure operational efficiency (e.g. basic program information-sharing) while others may establish stronger links (e.g. use of military assets). In all cases, humanitarian agencies must remain clearly distinct from the military to avoid any real or perceived association with a political or military agenda that could compromise the agencies' independence, credibility, security and access to affected populations. The private sector can bring commercial efficiencies, complementary expertise and resources to humanitarian agencies. Information-sharing is required to avoid duplication and to promote humanitarian good practice. Private-humanitarian partnerships must strictly be for the benefit of humanitarian objectives.

Resource 14 – Stakeholder Influencing Strategies Matrix

Actors	Strategies	Actions

Resource 15 – Localization Action Plan

Cluster	
Operation	
Date	
Last review	

GOVERNANCE AND DECISION-MAKING						
Action	Audience	Location	Date	Person Responsible	Indicators	Status
PARTICIPATION AND INFLUENCE						
Action	Audience	Location	Date	Person Responsible	Indicators	Status
PARTNERSHIP						
Action	Audience	Location	Date	Person Responsible	Indicators	Status
FUNDING						
Action	Audience	Location	Date	Person Responsible	Indicators	Status
CAPACITIES						
Action	Audience	Location	Date	Person Responsible	Indicators	Status

Follow-up and implementation of the action plan on localization:

The Localization Action Plan will be implemented by the NNGOs who participated in the workshop held in [Country Selected]. Monitoring will be provided by the Protection Cluster with technical support from IRC / GPC.

Color Code

- Action taken
- Action in progress
- Action not implemented at this stage