Safety with Dignity

A field manual for integrating community-based protection across humanitarian programs

act:onaid

Contents

Case studies and examples from diverse sectors

Case studies and examples from diverse contexts

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Preface

This field manual aims to contribute to international efforts to improve the protection of individuals and communities at risk in disasters, conflicts, displacement and protracted crisis contexts.

The need for this manual on community-based protection was identified by ActionAid staff working with local partners and communities. It was perceived that the role of communities was often overlooked in humanitarian protection approaches that focus on the responsibilities and roles of States and international actors.

It was felt that communities needed greater attention as they are integral to protection - both as sources of support and assistance as well sources of threats and harm. Protection problems experienced by communities may pre-exist, result from or be increased by humanitarian crises and the actions of States and international actors. This interconnection requires a multi-levelled, multi-pronged approach engaging affected communities, states, local and international non-governmental actors.

Community-based protection is an essential component of ActionAid's human security work. Human security recognises that vulnerable people are exposed to a constant series of threats and risks and focuses on need to retain a minimum quality of life, defined as Freedom from Fear, Freedom from Want and Freedom to take action on one's own behalf.[1] Human security acknowledges the importance of human rights, empowers vulnerable people to claim their rights and emphasises the need to protect, respect and fulfil people's rights.

This manual provides practical guidance for NGO field staff on the integration of a community-based protection approach into their programs across diverse sectors and contexts. It draws together key protection concepts, methods and tools being used and developed by NGOs and humanitarian agencies into one practical and user-friendly manual. It follows the program cycle so that field staff can see how a community-based protection approach can be systematically and practically applied to all programming efforts.

The manual was developed by ActionAid Australia[2] and the ActionAid International network between June 2008 and July 2009. It was created through a field-driven process involving ActionAid programs in the occupied Palestinian territories (oPt), Jordan, Sri Lanka and Myanmar. ActionAid staff, NGOs and humanitarian agencies based in Australia and overseas, as well as Australian Government departments have contributed to this manual through a peer review process and workshop series. The Australian Agency for International Development (AusAID) funded the manual's development.

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The manual was written by Kate Berry with technical advice and support from Sherryl Reddy, Sarah Elliott and Deborah Leaver.

We would like to thank all the peer reviewers, whose comments and workshop participation were invaluable to the development of the manual. Particular mention is made of reviewers who provided extensive comments that influenced key sections, tools and concepts. We would like to thank Denise Cauchi, Susan Erb, Patricia Garcia, Jessica Jordan, Anita Knudsen, Christine Knudsen, Liam Mahony, Niaz Murtaza, Roger Nash, Sorcha O'Callaghan, Sriyani Perera, Michael G. Smith AO, James Thomson, Rick Towle, Sarah Winter and Josep Zapater. Thanks also to Koto Fukushima for her initial work on the manual and peer review comments.

The manual was developed for use by ActionAid International and its partners and we hope that other NGOs find it useful in their work.

We are interested in receiving feedback on the field manual and its practical applications. We encourage you to tell us about your experiences. Please send your comments to protection.au@actionaid.org

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Introduction

Aim of the field manual

This manual aims to provide practical guidance for NGO field staff on how to integrate a community-based protection approach into programs.

The most widely agreed definition of protection is:

> **"The concept of protection encompasses all activities aimed at obtaining full respect for the rights of the individual in accordance with the letter and the spirit of the relevant bodies of law (i.e. human rights law, humanitarian law and refugee law)."**[3]

It also aims to help apply community-based protection in practice and therefore concentrates on the central components of this definition: activities aimed at facilitating individuals and communities to achieve respect for rights in safety and dignity.[4] International Development (AusAID) funded the manual's development.

Safety: The situation or condition of achieving physical, economic, social and psychological security. These forms of security are rights to be respected, protected and fulfilled under international human rights, refugee and humanitarian law.

Dignity: The feeling of having decision-making power, freedom and autonomy over life choices, together with the feeling of self-worth and self-confidence, and feeling one has the respect of others. International human rights, refugee and humanitarian law emphasise the right to be treated with dignity.

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Safety with Dignity aims to provide a practical understanding of:

The concept of community-based protection;

How to work with partners and communities to identify and analyse protection problems and community-based prevention and response strategies;

How to design or adapt programs with a community-based protection approach in different sectors and contexts.

We draw together key protection concepts, methods, tools and approaches currently being used by NGOs and humanitarian agencies in an accessible, easy-reference format. The manual provides practical guidance on how to use these tools throughout the program cycle.

3 *Strengthening Protection in War: A Search for Professional Standards* (Geneva: ICRC) 2001
4 This definition draws on that used in Protection: *An ALNAP Guide for Humanitarian Agencies*, Hugo Slim and Andrew Bonwick, 2005

Who is this field manual for?

It is aimed to benefit NGO field staff across a diverse range of sectors.
It can be used in disasters, armed conflict, displacement and protracted crisis contexts.
The manual can be adapted for use with local partners, community-based organisations (CBOs) and communities.

How to get the most from this field manual

This manual provides an introductory overview of community-based protection and its integration throughout the program cycle. You can get the most from this manual by using it together with:

- **Your organisation's policies, including child protection;**

- **Guidelines, standards and policies that provide specialist information on your sector, context or target population. Some suggested references are included in the Annex;**

- **General protection training and guidance. See the Annex for further references.**

As with all field manuals, it is essential that you exercise caution in working with communities and addressing protection issues. Know the limits of your organisation's capacity and expertise so that you do not place people at risk of further harm.

Why community-based protection?
Community is a term used in this manual to refer to local organised or informal groups or networks. Communities include families, friends, neighbours, colleagues, local services, religious institutions, media, academics, unions and local charities.

Communities are essential to protection because:

- Communities play a central role in supporting people affected by crisis or at risk of harm, by helping to reduce exposure to harm, and assisting them to access necessary services to prevent, respond and recover from protection problems;

- Community members can directly or indirectly cause protection problems e.g. community power dynamics, exclusion and discrimination, which can harm, neglect or isolate people, increasing their vulnerability to other risks.

Community-based protection is when communities act to achieve respect for rights in safety and dignity, by:

- Providing support and assistance to the most vulnerable, enabling them to increase their capacity to make informed choices about their futures and safety;

- Organising their resources and efforts to reduce exposure to harm and develop local strategies to increase safety;

- Connecting with international and national actors to build capacity, accountability and a protective environment.

Integrating a community-based protection approach means:

- Actively carrying out activities and using an approach aimed at facilitating individuals and communities to achieve respect for rights in safety and dignity

- Empowering communities to identify and analyse protection problems and strengthen prevention and response strategies to increase safety with dignity;

- Developing the capacity of local NGOs, CBOs, emerging leaders and local networks to strengthen community-based protection mechanisms;

- Taking a comprehensive and sustainable approach by linking prevention, response and mitigation initiatives at local, national or international levels.

Why use this approach?

Protection is essential to all humanitarian assistance.

- Vulnerable individuals and communities have a right to safety and dignity, as well as having their basic needs met.

- The effectiveness and sustainability of programs is increased when a community-based protection approach is adopted.

- Assistance alone can only have a limited or even negative effect on the lives of vulnerable people.

The importance of protection has been recognised.

International human rights, international humanitarian law and refugee law enshrine the legal responsibilities of States to respect, protect and fulfill the rights and dignity of all people.

United Nations (UN) Security Council and General Assembly resolutions affirm the responsibilities of States and the international community to stop and prevent abuse of civilians.

The international humanitarian community has identified and advocated for attention to protection issues in different situations and the particular needs of vulnerable groups.

Many humanitarian NGOs have made a commitment to protection under the Humanitarian Charter and Sphere Standards, and the Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief (See Annex – Resources).

NGOs, UN agencies, individuals and states have moral and ethical responsibilities not to abuse people's rights and to ensure that human rights are respected and protected.

NGOs are well-placed to support community-based protection.

NGOs work with local partners, community-based organisations (CBOs) and communities through their programs in a range of sectors and diverse operational contexts.

NGOs can use participatory processes that increase individual safety and dignity, and strengthen community prevention and response mechanisms.

NGOs can complement the role of specialised protection agencies, such as the ICRC, UNICEF and UNHCR who have the expertise and mandate to work on protection issues.

Integration across sectors and contexts

Sectors
Sectoral programs can integrate a community-based protection approach by following this manual's guidance through the program cycle. Planning and implementing programs must be based on**:**

Ensuring the safety of people accessing your program and that your program does not place people at risk.

Transparency in program design, selection and implementation.

Vulnerable groups driving the planning, design, implementation and monitoring of the sectoral program;

Non-discrimination so that your program focuses on the most vulnerable, rather than any bias.

Contexts
Natural disaster, armed conflict, insecurity, displacement and protracted crises can place vulnerable people at greater risk of harm from protection problems. These situations can cause or contribute to the breakdown of state services, infrastructure and rule of law. Families, social networks and community support structures may be weakened. As a result, the protection problems arising from the crisis context may increase in scale and impact.

Protection across sectors and contexts
NGOs can support communities to prevent, respond to and mitigate protection problems arising from situations of armed conflict or natural disaster. Strong community-based protection mechanisms mean a greater community capacity to:

Mobilise local networks, resources and sectoral assistance to respond to and recover from natural disasters, armed conflict and displacement situations;

Plan for disasters and develop local strategies to support and assist the most vulnerable to respond, recover and make informed choices about the future;

Prevent protection problems by engaging vulnerable groups and state officials in sectoral programs and assistance.

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What is 'integration'?

Integration of a community-based protection approach is:

> **Your approach.** Actively carrying out activities and using an approach aimed at facilitating individuals and communities to achieve respect for rights in safety and dignity. This includes the way you conduct your participatory methods, develop partnerships, carry out your programs and monitor them;
>
> **Your outcomes.** Developing objectives for your programs or activities that aim to contribute to an improvement in safety and dignity, in addition to, or as part of, your sectoral or other program objectives.

This manual can be used to develop different protection approaches to your programs, depending on your organisation, partners, context and expertise. The different approaches are:[5]

> **Mainstreaming** of a community-based protection approach into your methods, aiming not to do harm by your actions, but limiting your activities and indicators to your sector.
>
> **Integration** of a community-based protection approach into your program, with interlinked protection and sectoral activities and indicators;
>
> **Stand alone** community-based protection programs with protection activities and indicators only.

How to use the field manual

Safety with Dignity is designed as a practical resource.

> Sections can be read in order or separately;
>
> Each step or tool refers to related steps or tools for easy, quick reference;
>
> Existing programs can be adapted by using the steps and tools relevant to the situation;
>
> **Part A** covers the foundation of community-based protection. We recommend you read this section before moving on;
>
> **Part B** follows the program cycle for easy reference. In practice, you will need to move back and forward between steps depending on the changing situation and needs of the affected population;
>
> **The Toolbox in Part C** contains practical tools on how to integrate a community-based protection approach into programs. The tools can be adapted to suit the participants, humanitarian context and sector.
>
> **The Annex** contains the glossary, list of abbreviations and acronyms, key international law treaties and links to other resources offering detailed guidance on specific groups, contexts, sectors or approaches.

> **A note on case studies:**
> **Case studies and quotes are used throughout the manual to provide practical examples of a community-based protection approach in different sectors and contexts. The sector categories are based on the Sphere Project Humanitarian Charter and Minimum Standards in Disaster Response and the Minimum Agency Standards for Incorporating Protection into Humanitarian Response. Case studies are listed by sector and context in the Contents on page 2.**
>
> **Case studies have been provided by ActionAid programs in Burundi, Democratic Republic of Congo, India, Jordan, Myanmar, occupied Palestinian territories (West Bank and Gaza), Solomon Islands, Sri Lanka and Timor-Leste.**
>
> **For the safety and security of communities and staff, the exact location of each example is not provided. Instead, case studies note from which region they are drawn.**

5 Based on the terms used in Protective Action: Incorporating Civilian Protection into Humanitarian Response, Sorcha O'Callaghan and Sara Pantuliano, Humanitarian Policy Group, Report 26, December 2007

Part A:
The protection framework

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1. Key protection concepts

1.1 What is protection?
The most widely-agreed definition of protection, endorsed by a range of UN agencies, international NGOs and governments, is:

> **"The concept of protection encompasses all activities aimed at obtaining full respect for the rights of the individual in accordance with the letter and the spirit of the relevant bodies of law (i.e. human rights law, humanitarian law and refugee law)."**[6]

This manual aims to help you apply community-based protection in practice. It aims to help you work with communities and incorporate a community-based protection approach into your programs. As such, it concentrates on the central components of this definition: activities aimed at facilitating individuals and communities to achieve respect for rights in safety and dignity.[7]

Safety and dignity are the key principles of the protection definition because:

Human rights, humanitarian and refugee law enshrine the rights of individuals including rights to physical, economic, social and psychological security;

The process of individuals achieving these rights must be safe and dignified, without insecurity or discrimination.

Community	Protection	Community-based protection
Individuals, families, friends, colleagues, social groups, local media, CBOs, social services, local charities, religious institutions	All activities aimed at achieving full respect for rights of individuals in accordance with human rights, humanitarian and refugee law.	Activities aimed at facilitating individuals and communities to achieve respect for rights in safety and dignity.

+ **=**

6 Strengthening Protection in War: A Search for Professional Standards (Geneva: ICRC) 2001
7 This approach draws on that used in Protection: An ALNAP Guide for Humanitarian Agencies, Hugo Slim and Andrew Bonwick, 2005

1.2 What is a community-based protection approach?

A community-based protection approach means actively carrying out activities and using an approach aimed at facilitating individuals and communities to achieve respect for rights in safety and dignity.

Way it's done: Safe and dignified community engagement; targets local protection problems and root causes.

Community-led process: Empowers vulnerable individuals and communities, engages poor, marginalised, most at-risk.

Community-based protection is a process

Who it targets: Individuals, families, social networks, communities and governments at all levels.

In partnership with: CBOs, NGOs, UN agencies, ICRC, local networks, state (if possible).

Community-based protection:

Is based on international human rights, humanitarian and refugee law;

Is a community-centred, participatory approach;

Uses a rights-based approach where individuals are recognised as agents for change, not passive beneficiaries;

Recognises the legal responsibilities of states for protecting, respecting and fulfilling rights;

Links with short, medium and long term processes and actors working at different levels.

Protection actors

Different actors play important, complementary roles in ensuring people can achieve their rights to safety with dignity. However, these protection actors can also violate people's rights.

A protective environment where people can achieve respect for rights in safety and dignity is best achieved when all actors are fulfilling their roles, because these roles are interconnected and complementary. For example, affected communities need states to fulfil and maintain effective and responsive social services and security. In turn, states need communities to provide support and assistance to people in need.

States

States are responsible for the safety and security of civilians under international law. States have the primary legal responsibility to respect, protect and fulfil rights under international human rights, humanitarian and refugee law.

States are responsible for maintaining security, acting to prevent and stop abuse, investigating, prosecuting and punishing perpetrators. States must provide protective services to the population, support and assist survivors of abuse.

States may be directly engaged in abuse, harm and exploitation of their population, or may condone these actions by individuals or groups. States may also be unable to protect their civilians or prevent abuses by other actors due to lack of resources or capacity.

International actors

NGOs, UN agencies and peacekeepers help to protect and assist individuals at risk of or experiencing protection problems.

Protection specialist agencies, such as the ICRC or UNHCR have legal mandates for protection. Some NGOs have made an ethical and moral commitment to protection. NGOs can: support individual survivors of abuse; strengthen communities to develop their local support mechanisms to protect the most vulnerable; and support and assist States to meet their responsibilities under international law.

In some situations, UN agencies, NGOs and peacekeepers have, in the course of their work, harmed and abused people. There have been cases of exploitation, violence and abuse, as well as discrimination, corruption and inaction.

Communities

Communities are often the first line of support for vulnerable people. Community is a general term referring to families, friends, neighbours, religious institutions, local charities, CBOs, local NGOs, local non-government media, academics and social movements.

Communities can support and assist the most vulnerable, increasing their safety with dignity by developing local prevention and response strategies and organising their resources to reduce exposure to harm. Communities can connect with other NGOs, UN agencies, ICRC, local institutions and local authorities to develop collaborative approaches to problems.

Communities can also cause harm. Individuals, families, social networks and community structures can be perpetrators of violence. Community power dynamics, exclusion and discrimination can harm, neglect and isolate people, increasing their vulnerability to protection problems. Disasters, conflict and displacement can weaken community coping strategies, increasing the exposure of vulnerable people to risks. Protection problems may derive from, or be increased by, local dynamics and political, religious, cultural and gendered structural violence and discrimination.

The Onion: Different layers of protection

The Onion Tool[8] (Tool 9) explores various actors that have different, complementary roles to assist, protect and respect the rights of individuals. People can best access their rights in safety and dignity when the different actors fulfil their roles to develop a protective environment.

The actors within each layer of the Onion can also coerce, deprive and harm the individual at its core. With limited protection and assistance, vulnerable individuals can be less able to resist, recover, and prevent future protection problems. When multiple actors within the onion harm or are unable to assist, individuals can be at greater risk.

State
Police, army, courts, local, district and national government, emergency services, health, education and social services, media.

International
UN, regional political bodies, international courts, UN agencies, ICRC, INGOs, peacekeepers.

Individual
Individual skills, knowledge + health

Family
Immediate and extended family, husband/ wife.

International actors

State

Community

Social network

Family

Individual

Community
CBOs, local services, unions, schools, religious institutions, business, media

Social Network
Friends, neighbours, clan/tribe, ethnic, language, religious groups, colleagues

8 The Onion diagram is adapted from child rights diagrams. See, for example, Child Rights Programming Handbook, Save the Children Alliance, 2002

1.4 What are protection problems?
Protection problems are the risk, threat and occurrence of:[9]

Violence - The act or threat of physical or psychological abuse.

Coercion and exploitation - Forcing someone to do something against their will.

Deprivation and neglect - Preventing people from accessing the goods and services they need. This can be deliberate or unintended, direct or indirect. It includes discrimination.

Protection problems can be directly or indirectly caused by families, social networks, communities, the state and international actors. Problems can be interlinked. Community-based protection aims to facilitate communities to recognise and analyse problems that they are causing or contributing to, and their power to prevent or respond.

Case study: Psycho-social Issues in Protracted Crisis

During focus groups about the psycho-social needs of children, fathers admitted physically abusing their children. The fathers expressed guilt, remorse and sadness. They explained that the occupation prevented them from working, so they were unable to meet their families' needs and they expressed frustration through violence. In discussing solutions, the fathers repeatedly stated that the way to end their abuse of children was to end the occupation.

While there was a relationship between the political situation and family violence, fathers had the ability to increase their children's safety and dignity by stopping the abuse. Individuals and communities have a responsibility not to harm others and parents have a special responsibility to protect their children. This responsibility does not stop in times of crisis.

NGOs can help communities to recognise protection problems and their capacity and agency to affect change and improve protection. While communities may not have the power to prevent or stop all problems, their positive actions can contribute significantly to prevent, mitigate, respond or alleviate the impact and consequences of problems occurring within the community.

Middle East

9 Adapted from Improving the Safety of Civilians: A Protection Training Pack, Sophia Swithern and Rachel Hastie, Oxfam 2009 and Core Commitments for Children in Emergencies, UNICEF 2005

The importance of root causes

Protection problems can often pre-exist, result from, or increase in scale and impact in circumstances of disaster, displacement, armed conflict and protracted crises. When seeking to understand why protection problems occur, it is essential to look at the underlying root causes of the problem.

Power inequality often causes protection problems. Power is defined as the ability to make decisions. This ability impacts on an individual's influence, control over their lives and others, and the capacity to exercise choice. Power inequality can be exercised through patriarchy, racism and discrimination.

Power structures occur within families, social networks, communities, the state and international actors, as powerful people can prevent or stop individuals from achieving their rights.

Power inequality occurs on two inter-related levels:[10]

Individual

Violence, coercion, exploitation, deprivation or neglect from other individuals.

Can be caused by any factor that blocks access to justice, or control and access to livelihoods, health and education.

Can take place in a private or public space e.g. household, marketplace, school or work.

Structural

Exclusion or restrictions on behaviour or involvement in social, political, economic, educational, religious and other areas.

Based on beliefs, laws, institutions, policies and behaviours e.g. caste, religion, disability, age, gender, ethnicity and race.

"Discrimination starts even at birth. If a girl is born, there is sadness and with a boy, there is celebration."

Young refugee girl, Middle East

1.5 Who needs protection?

People in need of protection vary in each situation. Armed conflict, displacement and natural disaster situations may change power dynamics and the people most at risk of harm and abuse. It is important that you work closely with local partners and communities to analyse who is most vulnerable and why.

The people most at risk are those with limited access to resources which help them to reduce exposure to, respond or recover from protection problems. Access to these resources means that people can develop informed strategies and choices to achieve their rights with safety and dignity.

The people most vulnerable to protection problems have limited, unsafe or ineffective access to the resources in the box below. The actors within the layers of the Protection Onion can help give people access to these resources, increasing their safety and dignity.

Individual
Health, fitness, skills, knowledge
© Gideon Mendel/Corbis/Action Aid

Material
Shelter, clothing, belongings, transport
© Brian Soko/ActionAid

Financial
Savings, loans, income, assets
© Tom Pietrasik/ActionAid

Social Strength and support of family, social network, community
© Brian Soko/ActionAid

People most at risk have limited, unsafe or ineffective access to these resources:

Services and infrastructure
Health, social services, education, religious institutions
© Jenny Matthews/Action Aid

Information
Timely, reliable information from different sources
© George Osodi/ActionAid

State
Effective army, police, courts, emergency service
© Adam Ferguson/ActionAid

Natural
Water, food, land
© Jane Hahn/Panos Pictures/ActionAid

10 Adapted from AAI Human Rights-based Approaches to Poverty Eradication and Development
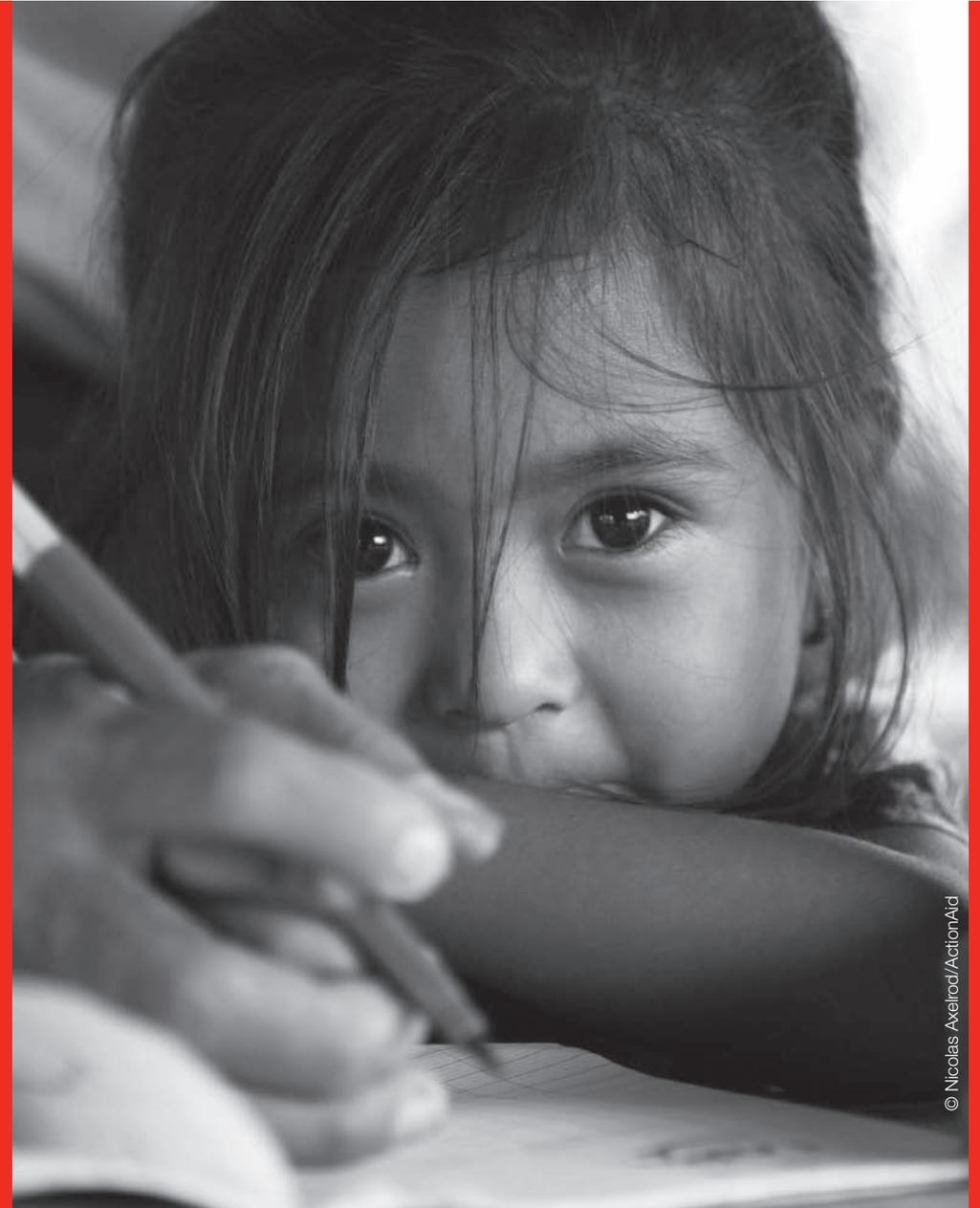
1.6 When is protection needed?

Disaster, armed conflict, displacement and protracted crises can increase the risks that people face. Individual, family, social network and community coping mechanisms may be weakened, exposing people to greater risk. If the state is unable or unwilling to protect rights, perpetrators of violence within the family, social network and community may be able to abuse without fear of repercussion or punishment.

Emergencies, protracted conflict and displacement can also increase frustration and violence within families, communities and between social groups. This can be directed at the most vulnerable or at those who provide assistance, weakening their capacity even further.

Violence and insecurity can also cause communities to protect themselves by restricting the movement or involvement of members in social, community or political activities, particularly women and girls. These efforts to protect people can be restrictive and oppressive, leading to isolation, frustration and violence.

Individuals experience physical and mental harm, disease, death.

Individuals feel low self-worth, shame, indignity powerlessness.

Violence, coercion, deprivation by family, community, State and international actors.

Conflict or disaster can worsen these issues

Individual, family, community coping or protection strategies weaken or break down.

Increased power of perpetrators to harm and abuse.

Poor and vulnerable people have limited access to resources to resist or challenge abusers.

Ineffective or weak efforts to stop and prevent abuses.

State and international actors do not fulfil duties to stop and prevent abuse.

2:Rights and responsibilities
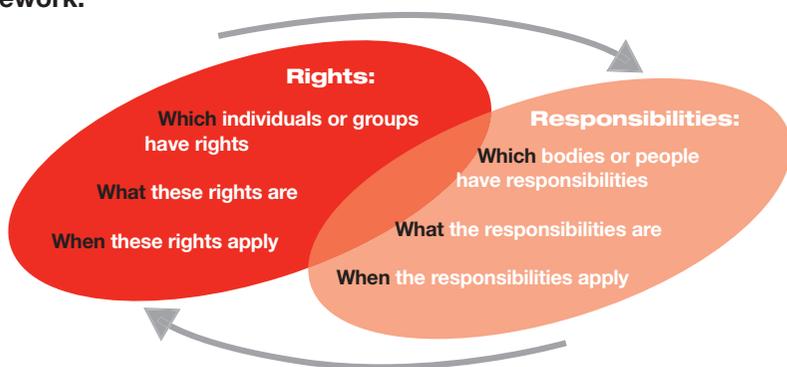
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2.1 Understanding rights and responsibilities

Community-based protection is not an abstract concept. Every person has the right to safety, to be treated with dignity, to make choices about their life in freedom and to access and enjoy services and opportunities.

These rights are spelt out in international agreements between states, including treaties on international human rights, humanitarian and refugee law. These documents not only explain who has rights and what they are, but who has responsibilities to protect those rights.

Many NGOs and humanitarian agencies have also agreed to responsibilities under international standards, such as Humanitarian Charter, Sphere Standards and the Code of Conduct for the International Red Cross, the Red Crescent Movement and NGOs in Disaster Relief.

This relationship between rights and responsibilities sets up an **accountability framework.**

Rights:

Which individuals or groups have rights

What these rights are

When these rights apply

Responsibilities:

Which bodies or people have responsibilities

What the responsibilities are

When the responsibilities apply

Figure 3: International human rights, humanitarian and refugee law explains the relationship between rights and responsibilities.

2.2 Why are rights and responsibilities important?

Rights and responsibilities are important to your work by integrating a community-based protection approach.

Rights:

Are what individuals are entitled to;

Enable you to develop programs to help individuals and communities achieve their rights in safety and dignity;

Enable you to recognise issues that you are unable to work on but could refer to protection specialist agencies.

Case Study: Livelihood program after natural disaster

A program in South Asia aimed to provide livelihood support to poor families after a natural disaster. The program increased the income of poor families enabling them to buy more food. However, the program caused the mothers from single-headed households to take the girls out of school to look after the small children, clean the house and cook the meals while they were at work.

During an assessment visit on another program, the local partner reported rumours of sexual abuse of girls in the village by labourers building temporary shelters for another NGO. The local partner had not reported the allegations.

This example highlights the interconnection between rights violations such as the rights to protection from violence, physical integrity, right to education, right to food and livelihood. Other factors contributed to make the situation worse, such as poverty, discrimination against girls in education, social acceptance of sexual abuse of women and girls and aid organisations not considering all issues in designing programs.

South Asia

Responsibilities:

Show you what you are required to do as an NGO;

Explain what states, other protection specialist agencies and individuals are required to do;

Develop strategies with communities, local partners and CBOS to support and encourage states or other actors to fulfil their responsibilities.

2.3 Who has rights?

All human beings have rights. Certain groups of people (such as women, children, people with disabilities, refugees and civilians in armed conflict situations) have special protections under international human rights, humanitarian and refugee law. See the Annex (p.138) with the list of key treaties and their electronic links.

Achieving respect for rights in safety and dignity involves addressing the interconnection between rights:

> Rights to life's necessities, such as food, water, sanitation, clothing, health care, shelter without discrimination;

> Rights to protection against violence or persecution, to physical security and life, to protection against direct or indiscriminate attack (civilians in armed conflict);

> Rights to participation in economic, political, religious life and access to a livelihood, education and property without discrimination.

Case study: Psycho-social program in a refugee camp

"I used to be a teacher at home, and then I went into commerce. I have no work now in the camp. I have no money-- what can I do? I wait to be able to go home.

But at the sharing centre in the camp, I have a role. We do a lot of embroidery to keep us occupied, we learn to read. We are women together. There are people who know what happened to me. I was attacked in October, by armed men who came into our home demanding money. They raped me. I have friends now that I can tell about this. They tell me to be glad that I am at least alive. So I have accepted this thing that has happened. I know that I have a right to life."
- Refugee Woman, Africa

Rights do not stop in natural disaster or conflict situations. Even in these emergencies, states are responsible for ensuring that, to their maximum capacity, people in their territory receive food, shelter and basic health care.

Some rights must be respected and protected immediately. For example, the right to life is absolute. Other rights can be achieved progressively, such as an adequate standard of living.

2.4 Who has responsibilities?

Everyone has the responsibility to protect and respect human rights. Some actors have special responsibilities.

States

States have the primary legal responsibility for protecting people within their territory. These responsibilities extend to the army, police, judiciary, health and education services, as well as local, district and national government officials.

States have three different types of responsibilities:	
Respect rights	Must ensure different state bodies do not violate human rights. E.g. soldiers do not rape refugee women, hospitals do not discriminate in services.
Protect rights	Must prevent and stop rights violations by individuals or groups, and investigate, prosecute, punish abuse and ensure access to legal remedies. E.g. States must stop and prevent violence against children by parents.
Fulfill Rights	Must take all possible measures to ensure people can access and enjoy their rights by developing legal and administrative frameworks. E.g. Police trained to support survivors of domestic violence.

Table 2: State responsibilities under international human rights law

Armed groups

States and armed groups that are party to an armed conflict have a legal responsibility to spare civilians from the effects of hostilities during situations of armed conflict. This responsibility is spelt out in international humanitarian law (also known as "law of war" or "law of armed conflict"), such as the Geneva Conventions.

Individuals, families and communities

Individuals are responsible for protecting and respecting and not abusing the rights of other people. Some individuals also have special protective functions. E.g. parents have a legal responsibility for the care and protection of their children.

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Humanitarian agencies
Various agencies have different, complementary protection roles:

ICRC has an internationally recognised legal mandate to assist and protect persons affected by armed conflict and other situations of violence. The ICRC has a special mandate concerning the assistance and protection of detainees held in relation to conflict, including Prisoners of War.

UNHCR is mandated to lead and coordinate international action for the worldwide protection of refugees and the resolution of refugee problems. UNHCR's efforts are mandated by the organisation's Statute, and guided by the 1951 United Nations Convention relating to the Status of Refugees and its 1967 Protocol. UNHCR's primary purpose is to safeguard the rights and well-being of refugees. UNHCR's Executive Committee and the UN General Assembly have authorised UNHCR to work with returnees, internally displaced people; and stateless persons.

UNICEF is mandated by the UN General Assembly to advocate for the protection of children's rights, to help meet their basic needs and to expand their opportunities to reach their full potential. UNICEF is guided by the Convention on the Rights of the Child.

OHCHR is mandated by the UN General Assembly to promote and protect the enjoyment and full realisation, by all people, of all rights established in the Charter of the United Nations and in international human rights treaties. OHCHR is responsible for preventing human rights violations, securing respect for all human rights, promoting international cooperation to protect human rights, coordinating, strengthening and streamlining the UN system in the field of human rights.

OCHA is mandated by the UN General Assembly to mobilise and coordinate effective and principled humanitarian action in partnership with national and international actors in response to complex emergencies and natural disasters. As such, OCHA can play an important role in protection.

International and local NGOs who have signed agreements e.g Humanitarian Charter and Sphere Standards, recognise the importance of protection in humanitarian response and have commited to ensuring that harm is not caused by their actions.

Rights and responsibilities during internal displacement situations

The rights of Internally displaced persons (IDPs) are spelt out in the Guiding Principles on Internal Displacement (GPID). The GPID defines IDP as "persons or groups of persons who have been forced or obliged to flee or to leave their homes or places of habitual residence, in particular as a result of or in order to avoid the effects of armed conflict, situations of generalised violence, violations of human rights or natural or human-made disasters and who have not crossed an internationally recognised state border." (Preamble, paragraph 2.)

The GPID highlights that IDPs have rights to protection from displacement and during displacement, as well as rights to humanitarian assistance and rights to return, resettlement and reintegration. The principles are drawn from international human rights, humanitarian and refugee law. The GPID is not a binding treaty on states. The GPID can be used as a reference tool for NGOs, states and communities.

If IDPs displace during a situation of armed conflict, they are protected by international humanitarian law just as any other civilian not participating directly in the hostilities.

	Human Rights Law	International Humanitarian Law	Refugee Law
Treaties	Universal Declaration of Human Rights (UDHR), International Covenants on Civil and Political Rights (ICCPR) and Economic, Social and Cultural Rights) (ICESER). Treaties for certain groups e.g. Convention on the Rights of the Child (CRC).	1907 Hague Conventions and Regulations, 1949 Geneva Conventions and their 1977 Additional Protocols, Mine Ban Treaty (Ottawa Treaty), Cluster Munitions Convention, 1998 Rome Statute of the International Criminal Court.	1951 Refugee Convention and 1967 Protocol.
Core aim	To set out the human rights of all people, based on the principles of non-discrimination and dignity.	To regulate armed conflict.	To provide a framework for people applying for asylum.
Applies	At all times, including in conflict and occupation situations. Some rights can be temporarily suspended in times of emergency.	During internal and international armed conflict, including occupation.	When people fleeing persecution cross an international border and claim asylum.
Who has rights?	Everyone has rights. Certain groups have special treaties outlining their rights e.g. children, women, people with disabilities. These special treaties make provisions for the specific abuse, violence and discrimination that these groups can face.	IHL does not set out rights the way that human rights instruments do. Rather specific groups of people not taking part in conflict are considered 'protected persons'. Parties to a conflict must take steps to limit or reduce the exposure of these groups to war. Protected persons include civilians, detainees held in relation to the armed conflict, including prisoners of war and medical personnel.	Owing to well-founded fear of being persecuted for reasons of race, religion, nationality, membership of a particular social group or political opinion, is outside the country of his/her nationality and is unable, or owing to such fear, is unwilling to avail him/herself of the protection of that country; or who, not having a nationality and being outside the country of their former habitual residence as a result of such events, is unable or, owing to such fear, is unwilling to return to it.

	Human Rights Law	International Humanitarian Law	Refugee Law
Which rights?	Rights include: Protection of life, security of person, physical integrity; rights to the necessities of life; rights to participation in cultural, economic, social and political life.	Obligations of the parties to the conflict to spare civilians from the effects of hostilities, in particular prohibition of direct or indiscriminate attack, humane treatment at all times and the prohibition of torture and other forms of ill-treatment.	Non-refoulement (states cannot return someone to a state where they fear persecution). Right to seek asylum. Rights for refugees who obtain legal status in country of asylum.
Who has responsibilities?	States. Some individuals have responsibilities, such as parents for their children (under the CRC).	States and non-state parties to an armed conflict and international peacekeepers where they are directly participating in hostilities.	State hosting asylum seekers and refugees.
What responsibilities?	States must respect, protect and fulfil their responsibilities under the treaties.	Parties to an armed conflict must only direct attacks at military targets and take all feasible measures to protect civilians from the effects of hostilities.	Asylum states cannot return someone to a state where they fear persecution (non-refoulement).

3. Dos and don'ts

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3.1 Dos: Core principles of community-based protection

Use participatory methods
A community-based protection approach uses participatory methods to facilitate identification and analysis of protection problems and local strategies to increase safety with dignity. Participatory approaches are not just for 'consultation' but engage communities in the design, implementation and monitoring of programs. Train your partners if they are not familiar with using participatory methods. Use a variety of methods to hear different perspectives on issues and cross-check accuracy.

"I liked these discussions because before I never thought about the problems that older persons experience. Now I can see the increased responsibilities that they have had after the cyclone, looking after their grandchildren and how hard this is for them. These focus groups helped me to realise that I can and should be doing more to help and support older people in the village, and we need to be prepared to help them during the next emergency."

Teenage boy, South Asia

Strengthen local strategies
Strengthening community prevention and response mechanisms at the local level is essential to build individual and community resilience, self-reliance and long term capacity to face future protection problems. Community-based protection involves you and your partners working with communities to develop their own strategies to improve their safety.

Ensure confidentiality
It is important that policies and procedures on confidentiality of information are in place within your organisation. Careful consideration and analysis must be made of the context that you are working in, particularly the security situation to make sure that you do not place people at risk. Ensure that you discuss next steps with people. If acting on the resulting information, seek and obtain their consent before sharing this information with others.

Build local partnerships
Local partnerships are essential to developing effective and sustainable programs that create long-term change. Local partnerships can take many forms: joint projects with CBOs; campaigns with social movements, academics, local media, community volunteers; and confidential referrals to local health clinics, counsellors or NGOs.

Local authorities should be engaged and supported to carry out their responsibilities to respect, protect and fulfil rights, unless you have reason to believe that they are directly involved or negatively influencing protection problems.

Develop an organisational commitment to protection
Your programs will be more effective if your NGO develops an organisational commitment to a rights-based approach, including protection. This involves priority given to a protection approach in strategic plans, work plans; staff training; internal organisational processes on information management, confidentiality and referrals to other agencies or government departments; recognition of time and funding resources needed; and partnerships with local agencies, government departments, NGOs and UN agencies.

Coordinate with other actors
Protection relies on effective coordination by developing multi-levelled, multi-pronged approaches to protection problems. This enables actors with different priorities and approaches to work in complementary and diverse ways and at different levels.

Coordinate bilaterally and through coordination mechanisms to know who is doing what and where as well as understanding new political and security developments. The cluster approach may be established as well as coordination mechanisms between peacekeeping missions and NGOs. Engage your partners in these mechanisms, where appropriate. Develop referral mechanisms on issues that you are unable to act upon with trusted organisations or departments.

Maintain an open, learning and sharing attitude
Be aware of your own behaviour, cultural or other biases and your shortcomings. Be aware and critical of these aspects. Be a good listener. Do not make assumptions about people, their interests or positions.

3.2 Don'ts

Don't cause problems - do no harm
The programs, presence and actions of humanitarian agencies should not expose people to harm. Know the limits of your organisational resources, capacity and expertise. Work closely with protection specialist agencies (such as UNHCR and ICRC) that have expertise. Do not take unnecessary risks. Not only could this create more risks, but it could adversely affect access to vulnerable populations, increasing their exposure to harm.

Choose your participatory methods carefully, using a risk assessment to help you decide. Carefully plan who you will meet, where and when, in order to minimise risk.

Work closely with other agencies to plan effective and complementary programs that aim to address threats, capacities and vulnerabilities. Carefully plan coordinated approaches to protection issues at local, national and international levels, as well as in the responsive, remedial and environment building phases. Ensure that you avoid gaps as much as possible.

"We work on protection problems in the family and community. Sometimes we work on problems related to the conflict. But there are dark problems, such as torture, arrest and murder that we cannot work on. We refer these cases to UN agencies."
Local NGO field coordinator, South Asia

Don't act without community consent
The agreement of the participants in participatory methods is essential. The process for organising consent will vary according to the community, culture, and possibly by the crisis. In organising consent, you need to be prepared that some communities may not agree to take part in the participatory methods. Consent may be needed from one or more actors, e.g. village chiefs or councils, camp managers, government officials, parents and local NGOs. It is essential that you are aware of these processes and organise consent well in advance, clearly communicating the purpose and nature of the discussions and what you will do with the information.

Don't overlook community capacity
Participatory methods are those used by NGOs to engage communities in discussing and analysing problems they face in order to identify prevention and response strategies. Participatory methods used by your organisation or your partner can be empowering for communities when conducted with respect, safety and dignity. Participatory methods can be a way to build trust within communities and between communities, CBOs and NGOs.

"First we lost our lives in the war, then we lost our dignity in the way that we were treated by international agencies. There is not a lot of trust of INGOs since the war, because many don't seem to consider working with us to identify or build on our own skills and resources that exist in our communities."
Woman, Middle East

Don't ignore issues
Don't ignore issues that fall outside of your agency's mission or capacity. Take action to notify your colleague/supervisor or refer to another stakeholder in order to take action to respond or prevent protection issues. Be proactive in taking action. Protection issues occur within the family, community, district and national level and are often interconnected. The best way to address them is to work closely with other agencies and strive to link local, national and international actions. The strength of solidarity is the most effective way to bring about change.

Don't miss the linkages between programs
Most organisations run more than one sort of program and often receive funding from different donors. Sometimes these programs are run by different staff without a lot of shared knowledge. When planning your action within your agency, with partners or other actors, don't just look at how protection can be integrated into one program, but how to create linkages between your and your partners' programs. For example, linking livelihoods, education and women's rights programs may provide a more effective approach to domestic violence.

Part B:
Steps to integrating community-based protection
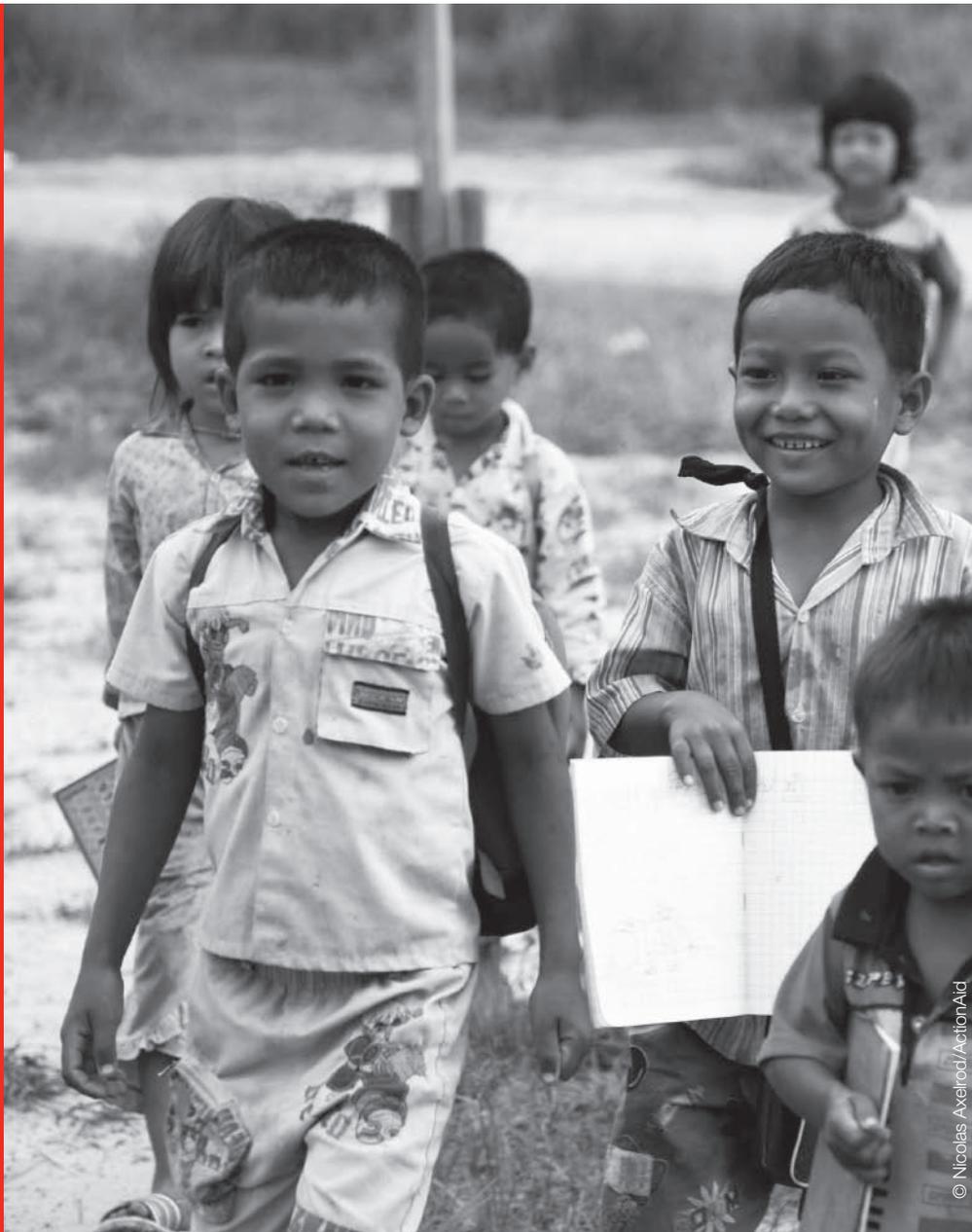
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How to use the steps

Part B provides practical advice on how to integrate a community-based protection approach into new and existing programs. It is structured around the steps of the program cycle, shown below.

The steps follow the program cycle. In practice you may need to move back and forward between steps e.g. a new disaster may mean you need to adapt your program.

Each step has a corresponding section in the Toolbox (Section C), with practical tools that can be used in your work.

The tools and approaches are suggestions and can be adapted to suit your participants, organisation, context and sector.

If programs are already established, it is still possible and valuable to analyse and adapt the program to better address safety and dignity. There may be no need to start over.

Regular review and follow up is needed. New information or changes to the security situation, political context or other factors may mean that you need to re-prioritise and adjust your program/planning to the changing situation. For example, you may need to change the location, target group or approach to ensure individuals' safety and dignity.

Step 1: Identifying and analysing protection problems

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1.1 Introduction

Integrating a community-based approach means actively carrying out activities and using an approach aimed at facilitating individuals and communities to achieve respect for rights in safety and dignity. Identifying and analysing problems is a core element of a community-based protection approach. Identification and analysis is not only about one program. It is a process that rests on communities playing the key role in recognising and examining problems impacting on them.

A range of different participatory techniques can be used to engage communities in identifying and analysing protection problems. Suggested techniques are highlighted in the core tool: Tool 1. Many of the protection assessment and analysis tools discussed in this manual can be used with these core methods.

TOOL 1: How to use participatory methods p.87

1.2 Identifying protection problems

Protection problems are the risk, threat and occurrence of:[11]

> **Violence** - The act or threat of physical or psychological abuse.

> **Coercion and exploitation** - Forcing someone to do something against their will.

> **Deprivation and neglect** - Preventing people from accessing the goods and services they need. This can be deliberate or unintended, direct or indirect. It includes discrimination.

Protection problems can be directly or indirectly caused by families, social networks, communities, State and international actors. Often protection problems can be interlinked. Protection problems can often pre-exist, result from, or increase in scale and impact in circumstances of disaster, displacement, armed conflict and protracted crises.

TOOL 5 : How to identify protection problems p.95

11 Adapted from Improving the Safety of Civilians: A Protection Training Pack, Sophia Swithern and Rachel Hastie, Oxfam, 2009 and Core Commitments for Children in Emergencies, UNICEF 2005

Table 1: Protection problems can be directly or indirectly caused by different actors					
	Family	**Social Network**	**Community**	**State**	**International**
Violence	Violence within the family e.g. Physical violence against women by male relatives.	Violence within social network e.g. Sexual abuse of deaf and mute girls by family friends.	Violence within or between communities e.g. Dispute between host community and refugees over water.	Violence by state actors, policies or programs. e.g. Police threaten and detain young men from minority religious group.	Violence by international actors e.g. Rape of refugee women by international peace-keepers.
Coercion and exploitation	Forcing other family members to do something against their will. e.g. Older persons forced to do heavy chores by family.	Forcing member of the social network to do something against their will. e.g.Family and neighbours refuse to allow inter-ethnic marriage.	Forcing community members to do something against their will. e.g. Village leader forces poor families to provide children as domestic servants in his house.	State forces people to do something against their will. e.g. District officials force IDPs to have a HIV test to receive rations.	International actors force people to do something against their will. e.g. Aid workers force girls to have sex in exchange for humanitarian assistance.
Deprivation and neglect	Deprivation of family members. e.g. Disabled children not sent to school or given enough food.	Deprivation of social network members. E.g. Lower castes not allowed to use wells closest to the village.	Deprivation of community members. e.g. Communities exclude widows from selection of 'most vulnerable' in NGO shelter programs.	Deprivation by State. e.g. Local government health care services denied to sex workers.	Deprivation by international actors. e.g. Aid agencies provide assistance only to disaster-impacted IDPs, not conflict IDPs.

1.3 Analysing protection problems

When analysing protection problems, you are seeking to understand the nature of protection problems occurring within families, social networks and communities. This includes:

Vulnerability
Who are most vulnerable to this protection problem? What makes them vulnerable? E.g. gender, age, disability, caste. When are they at risk? This includes time of the day / week, season. Where are they at risk? E.g. location.

Capacity
What resources, support and assistance are available and accessible to the most vulnerable? Who or what provides them? Is access effective, safe, affordable? What coping strategies exist? What local support mechanisms exist and are they functioning?

Threats
Are there actors directly or indirectly causing the problem? Why? What is their motivation? Are there issues exacerbating the problem? E.g. discrimination, social inequality, lack of legal protection, neglect.

"My children wander around, looking for food, for petty work. Some of them are working with butchers, anything to help them find something to eat. They used to go to school, but have not been able to continue because of the war. Without school, they are at greater risk of being recruited by the army, or by prostitutes. They are at risk."
Refugee Woman, Africa

Rights
Which rights are being violated by this problem? Who is not accessing their rights in relation to your sector and why?

Responsibilities
Who is responsible for protection? Who is responsible for stopping and preventing abuse? Who is responsible for providing access to different services? Are they able and willing to do so and why/why not?

Power
What power dynamics within communities and families may be contributing to this problem? What power dynamics could assist in finding solutions? Consider power dynamics resulting from gender, age, poverty, caste, class, ethnicity, religion or disability.

Root causes

What are the root causes and structural inequalities underlying this problem? Are there issues of patriarchy, racism or inequality that impact on this problem?

"During the workshop with local NGO partners, the participants talked a lot about sexual violence perpetrated by the army and police. I asked them about physical or sexual violence within the family directed at women or girls. They agreed that this happened but said it only happened because of the conflict. I tried to talk about root causes of violence and social acceptance of violence against women and that we, as NGOs, could have an impact at the family level. I asked if domestic violence occurred before the war, as a way to show that protection problems often pre-exist conflicts, as well as being made worse by them. There was silence. Then one young NGO field officer said 'I don't know what it was like before. I have only known this country in conflict."

International NGO trainer, South Asia

Consequences

What is the impact of this protection problem on the individual, their family, social network and community? Consequences could be related to poverty, social inclusion, physical or psychological health and food security.
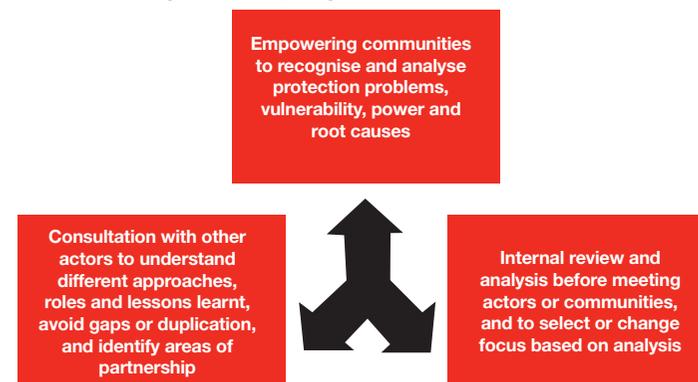
The Protection Equation Tool

The Protection Equation is a core analysis tool for community-based protection. A protection problem is a result of the combined effect of the threat posed and the vulnerability of the individual or community being greater than the capacity to prevent, respond and recover.

This tool can help you to analyse protection problems and strategies and how your actions can help to reduce threats and vulnerabilities and increase capacities.

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1.4 How is it done?

The process of identifying and analysing problems involves:

- **Empowering communities to recognise and analyse protection problems, vulnerability, power and root causes**
- **Consultation with other actors to understand different approaches, roles and lessons learnt, avoid gaps or duplication, and identify areas of partnership**
- **Internal review and analysis before meeting actors or communities, and to select or change focus based on analysis**

a) Internal organisation review

With your partners, you will need to conduct internal discussions about identifying and analysing problems. Your theme of inquiry may be determined by a combination of:

Your organisation's expertise, capacity and resources;

Your partner's expertise, capacity and resources;

The nature of the situation or context;

Types of protection problems occurring;

Groups needing protection, such as children;

Location.

This review can help to:

Clarify and focus the approach for you and your partner;

Avoid duplication, unnecessary risks and time wasting, through preparation and background research;

Discuss sensitive issues in a confidential space;

Check for gaps, inconsistencies and follow up.

TOOL 4: How to review existing material p.94

TOOL 7: How to carry out a protection equation analysis p.99

TOOL 11: How to draw together your analysis p.108

b) Community-driven approaches

Individuals and communities can best understand the protection problems they face and resources available to increase their safety. Participatory tools provide a way for communities to discuss, identify and analyse problems, reasons for vulnerability and the root causes underlying them.

Participatory approaches can be empowering for people, particularly those who may not be used to participating or having their voice heard. Focus groups and individual interviews can be a useful way of involving different people within a community and comparing perspectives.

When different methods are used, valuable information can be gathered and cross-checked. This can form the baseline data to develop indicators so that you and your partners can monitor behaviour and attitudinal change throughout the program and evaluate program impact.

Protection problems can be directly or indirectly caused by families, social networks, communities, the state and international actors. Communities may focus on the macro issues, such as an armed conflict. Participatory tools can help communities to identify and analyse problems occurring with the community (that may or may not be connected to the macro issues). Recognition of these problems is important for those at risk. Developing local prevention and response strategies can increase safety with dignity within communities.

Discussing protection problems that exist within communities can place people at risk of harm, increase their trauma and threaten powerful actors who may act against the vulnerable. Work carefully and slowly with local partners to build trust. Do not harm people by your actions.

Identification of a range of protection problems does not mean that you or your partners will work on all of these problems. Know your NGO's limits. Refer issues to protection specialist agencies.

TOOL 1: How to use participatory methods p.87

TOOL 8: How to analyse rights and responsibilities p.102

TOOL 5: How to identify protection problems p.95

TOOL 6: How to do a root causes analysis p.98

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"During focus group discussions, the men's groups asked for a mobile health clinic, reporting that many people were ill within the village. At first one colleague said that we could follow it up at the coordination meeting. Then another colleague asked why the village did not use the hospital one kilometre away. After further discussion it was revealed that the village men had stones thrown at them when they passed another community down the road. This was related to the recent insecurity. The women and children were not having the same problem. The men had been asking the nuns from the local church to drive them to the hospital. Instead of raising the issue of a mobile health clinic at the coordination meeting, we discussed the real issue – the violence between the villagers."

International NGO Field Officer, Pacific

c) Consultation approaches

Consultation is needed with other actors, such as government departments, service providers, NGOs, UN agencies and CBOs to share information, develop complementary approaches or partnerships and avoid gaps and duplication.

Carry out actor mapping before and throughout the program cycle to ensure that you and your partners are engaging and focusing on key actors. Examine which local networks and groups may have a role or influence in your sector or protection problems, including women's organisations, emerging leaders, local media, youth groups and networks working with minorities.

Coach your local partners in attending coordination and cluster meetings, where appropriate. Link your partners with UN agencies, ICRC, local government officials and local networks. It is essential to keep up-to-date on the situation, the work of other agencies and the planning of future programs.

TOOL 10: How to carry out an actor mapping p.106

TOOL 21: How to conduct individual meetings p.127

Step 2: Identifying and analysing strategies

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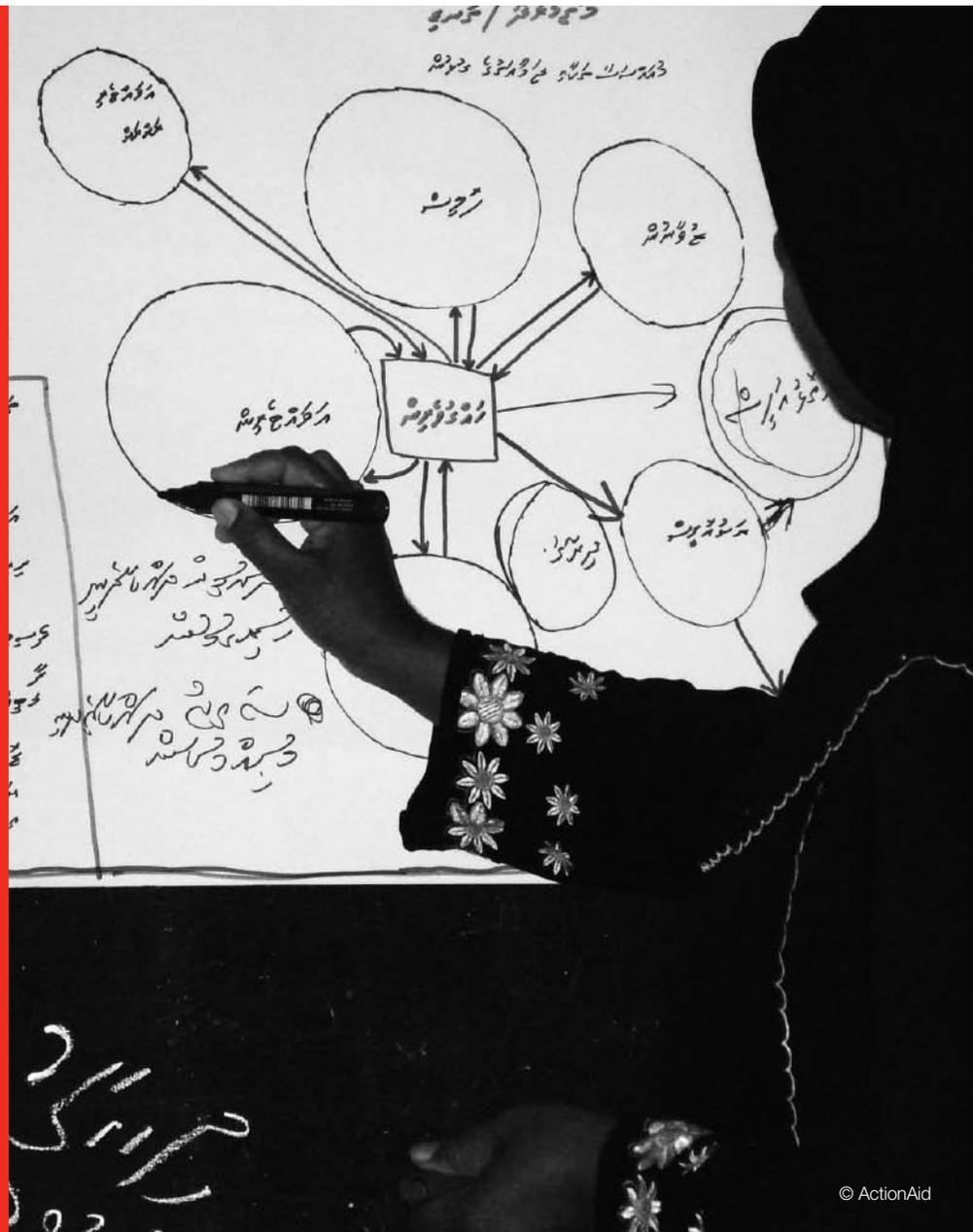
2.1 Introduction

Community-based protection covers the activities aimed at facilitating individuals and communities to achieve respect for rights in safety and dignity.

Communities play an essential role in helping people in need and increasing their safety. Neighbours, colleagues, friends, family, local charities, social services and CBOs have their own local prevention and response strategies to increase their safety and reduce their exposure to protection problems. Yet these strategies are often overlooked by NGOs who may think of protection only in terms of the roles played by states and international actors.

Community-based protection aims to facilitate communities to recognise and analyse protection problems that they may be causing or contributing to, and their local prevention and response strategies.

Your program can facilitate this process with communities and support and develop positive local strategies that increase safety with dignity.

2.2 How do community strategies relate to programs?

Community-based strategies for protection are an essential part of humanitarian action. You and your partners can:

Build and strengthen community prevention and response strategies to reduce risk and increase safety through programs;

Engage communities to identify new or alternative strategies to increase safety through a dignified process;

Increase the effectiveness and sustainability of programs by engaging in a local, community-driven process;

Develop the baseline data for your program indicators so that you and your partners can monitor behaviour and attitudinal change throughout the program and evaluate program impact.

2.3 Types of community strategies

Strategies taken by individuals, families, social networks and communities at a local level vary according to their situation, resources, capacity, environment and skills.

Strategies may include:

- Reduced or changed movement, including routes taken to employment, livelihoods, schools, services;

- Flight from the area (as IDPs) or the country (as refugees) to avoid violence, disaster or other problems;

- Passive action (going along with threats);

- Provision of or sharing of resources to recover from, alleviate the effects of or prevent protection problems. These can include financial, material, information, medical assistance, transport, water, food, shelter, skills, knowledge and sharing care of dependants;

- Care and support, such as moral and psycho-social support;

- Resistance such as non-violent demonstrations or armed resistance.

The most vulnerable people, those with the least access to resources, will have the most limited choices available to them to resist, recover from and respond to protection problems. The poorest and most vulnerable may feel forced to choose strategies that are risky, have negative consequences or do nothing.

2.4 Positive and negative consequences

Community strategies may have positive or negative consequences.

Positive consequences

Community strategies can be effective in increasing the safety and dignity of people experiencing, or at risk of, protection problems. It can be difficult to encourage communities to understand their role as active agents in protecting themselves. CBOs and communities may focus on macro issues over which they have no control. This can lead to frustration and feelings of helplessness. Being engaged in local action can also empower people, giving them a sense of dignity, self-worth and community-cohesion.

> **"After the cyclone, I felt that I was unable to help other widows because I had no power and no money. With this exercise using the Onion, I now understand that I can do things without money. I can listen to their problems, take them to the health clinic and look after their children."**
>
> Woman during a focus group discussion using the Onion tool (See Tool 9) in South Asia.

Negative Consequences

Community strategies can also have negative consequences. These can be unintentional or perceived as being unavoidable. At other times, they may be intentional, a result of power relations between people within a community. These consequences can cause other problems and protection issues for vulnerable people, such as:

- Social and family tension or breakdown;

- Increased frustration, violence and abuse;

- Increased psycho-social distress and depression;

- Lack of income, poverty, food insecurity.

Case study: Education and livelihoods

As a result of conflict between villages, IDP families adopted a number of strategies to increase their safety. IDP men stayed home and did not work in order to physically protect the women and small children. This resulted in low income, high malnutrition and men's frustration that they could not provide for their families. School-age children lived in a nearby town during the winter with their grandparents because the military frequently closed the road from the village to the town. Parents reported that the long periods of separation from the children had weakened the bonds between them.

Middle East

2.5 How to identify and analyse protection strategies

A key part of building community capacity and resiliency is for communities to identify and analyse prevention and response strategies being used by individuals, groups and communities to increase safety and dignity.

Empower communities to identify and analyse existing and new strategies

Coordinate and work closely with partners and other actors to share information

Internal review and analysis within your organisation and with partners

Use a variety of methods to cross-check information on community-based protection strategies. Remember to:

Use participatory methods to engage communities to identify and analyse strategies;

Work closely with partners and other actors to cross-check information, share appropriate information on different approaches and previous assessments;

Review and analyse with your partners to consolidate information, document discussions and develop next steps.

"In an environment where there is a lot of fear and families are under a lot of pressure because of the political, economic and security situation here, one of the problems is increased violence in the home, increased depression, and family breakdown. One idea we're looking at to address this problem is 'Family Literacy' programs where community organisations and centres offer information sessions, guidance and support for families on how to deal with family stress and build positive relations between parents and children, husbands and wives. It's an important program because many parents don't know how to tackle problems with their children, and children don't know how to raise problems with their parents. These kinds of programs promote safety and dignity in the home."

Local NGO Officer, Middle East

Identifying existing strategies
In identifying strategies, work closely with communities to explore:

What strategies are people currently using? What protection problems are they seeking to reduce exposure to, prevent, mitigate or respond to?

Who is using these strategies and why? Who is not and why not?

What resources are they drawing upon? Who is providing these resources? Is access effective, safe and affordable?

Which actors are involved in these strategies? E.g. Family members, local CBOs, NGOs, local government authorities, school teachers.

TOOL 7: How to carry out a Protection Equation analysis p.99

"The international community and international aid agencies cannot resolve these problems until we start to resolve them ourselves. We need to focus attention on our own capacities and our own responsibility."

Local NGO Program Volunteer, Middle East

Analysing existing strategies
Work closely with communities to explore and evaluate:

What are the strengths and weaknesses of existing community strategies? What are the negative and positive consequences?

Have other strategies been tried in the past? If so, were they successful in reducing the frequency, exposure or seriousness of problems? Why aren't they used anymore?

How could current strategies be improved to reduce risk?

What coping strategies existed before the emergency / conflict / displacement?

How has this impacted on local strategies? How and why have strategies changed? What is the impact of these strategies?

How are vulnerable or marginalised groups within communities accessing resources related to your sector or program? Do they face threats to their safety and dignity? What are they doing about it?

Do the actors involved play positive or negative roles?

TOOL 9: How to analyse with the Protection Onion, p.104
TOOL 1: How to use participatory methods, p. 87

Identifying and analysing new strategies
Work closely with communities to determine if new prevention and response strategies could be developed that minimise negative consequences and empower the most vulnerable. Consider:

What alternative strategies could be developed to increase safety and dignity with positive consequences?

How could existing strategies be complemented by new ones?

Which actors have a role, influence or responsibility on this protection problem or issue? How could they be engaged to help increase safety with dignity?

How could the state be encouraged and supported to fulfil its responsibilities to respect, protect and fulfil rights?

What existing strategies could be strengthened, supported or developed?

What resources or services exist? Can vulnerable people access them (safe, effective, affordable)? Why / why not? How could access be improved?

What local organisational structures exist? What are their skills, reach and capacity? How could they be strengthened to assist communities to achieve their rights in safety with dignity?

What progressive leaders might exist within the community to develop and strengthen new strategies?

TOOL 10: How to carry out an actor mapping p.106

Step 3: Prioritisation
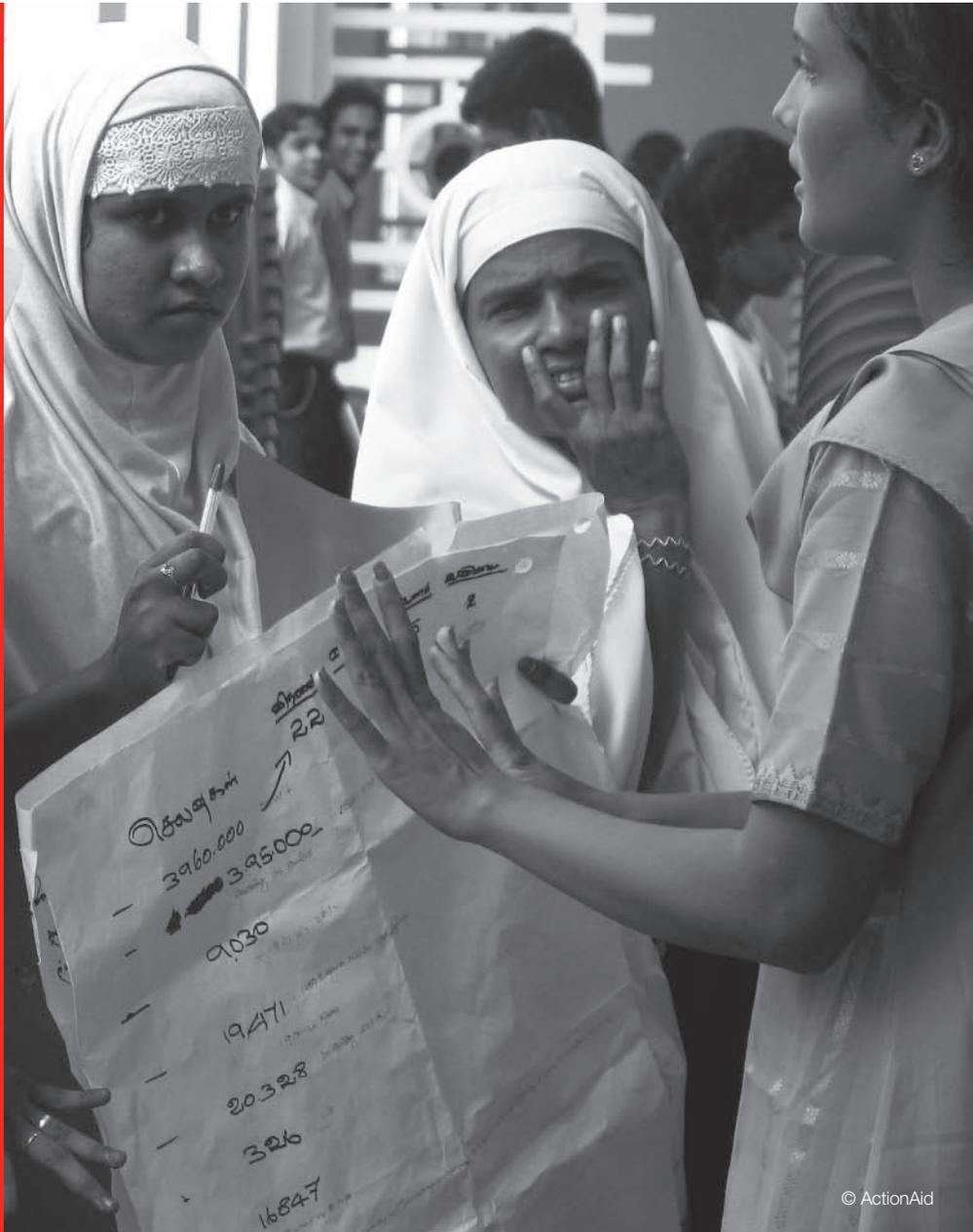
3.1 What is prioritisation?

Integrating a community-based protection approach requires you to prioritise which activities you will focus on. It will help to facilitate individuals and communities to achieve respect for rights in safety and dignity. Prioritisation follows on from the identification and analysis of protection problems and strategies.

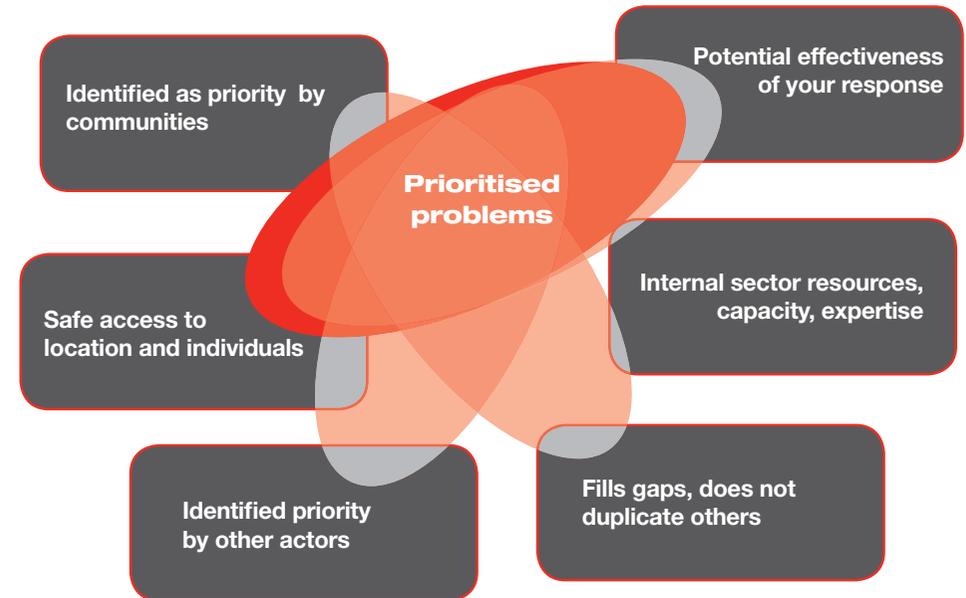To design or adapt your program, you will need to prioritise:

Protection problems;

Protection strategies;

Program participants / target groups / beneficiaries.

3.2 Considerations for prioritisation

Prioritisation of protection problems is based on consideration of:

Identified as priority by communities

Potential effectiveness of your response

Prioritised problems

Safe access to location and individuals

Internal sector resources, capacity, expertise

Identified priority by other actors

Fills gaps, does not duplicate others

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3.3 How is it done?

Prioritisation will often be a formal and informal part of your program cycle process. You will have to focus your efforts at each stage of the program cycle. It consists of three areas:

Empower communities to prioritise protection problems and strategies

Coordinate and work closely with partners and other actors to understand their assessment of priorities

Internal review to decide how partner and organisation's capacity, expertise and resources can be most effective

Internal prioritisation

Prioritisation will often be a formal and informal part of your program cycle process. You will have to focus your efforts at each stage of the program cycle. It consists of three areas:

The expertise, capacity and resources of your organisation and your partners will affect your priorities.

Focus of your organisation or your partners on particular groups (e.g. children, women, people with disabilities or refugees), sectors (e.g. water and sanitation, livelihoods or health), and / or timing of programs (e.g. emergency response or disaster risk reduction).

Prioritise safety and security in your programming.

TOOL 13: How to use a prioritisation checklist p.111
TOOL 17: How to do a risk assessment p.119

Prioritisation with other actors

Use a variety of different methods to cross-check your information. E.g. consult with local government authorities, protection specialist agencies, sectoral / cluster working groups, local services, local NGOs and CBOs.

Avoid duplication by coordinating on planning and developing complementary programs with government departments and other agencies.

TOOL 21: How to conduct individual meetings p.127

Prioritisation with communities

The community must be involved in prioritising the problems and strategies. You may take an integrated approach, asking community groups to prioritise as part of the participatory analysis process.

Try to involve as many groups as possible, as different problems will be important to different groups.

It can be difficult to engage some groups in a community. Power dynamics within communities resulting from gender, poverty, age, caste, class, ethnic or religious differences or disability can make it difficult to hear some voices. However, it is essential that efforts are made to engage these groups, who may be the least powerful and most vulnerable.

You will need to be very clear in explaining your organisation's limitations. It is important to clarify your mission, approach, capacity and funding.

TOOL 1: How to use participatory techniques p.87
TOOL 12: How to do a participatory prioritisation p.110

Case study: Disaster Risk Reduction

"There were no disabled people visible in the village when we visited with the local NGO. Our various community meetings and focus group discussions looking at disaster risk reduction strategies also did not have their participation. When I asked where they were, I was told that they did not take part in these type of forums. After we left that day, I talked with the local NGO about the importance of involving disabled people in the identification, analysis and prioritisation of protection problems and strategies.

People with disabilities must be involved in community-based disaster preparedness, both so that they can contribute their ideas, and also consider and inform people about their key concerns. People with disabilities may have less resources to respond to an emergency and be more reliant on others for assistance."

International NGO Program Officer, Pacific

3.4 Challenges of community-based prioritisation

Power dynamics within communities, especially due to gender, caste, class, ethnicity and disability will make it difficult to access or talk to groups which may be the most vulnerable and at risk of protection problems. A participatory approach using different techniques provides a greater opportunity to hear different voices.

Communities may focus on the macro issues, such as an armed conflict, ongoing insecurity, protracted displacement or political situation. Issues within the family or at the local level may not be viewed or openly acknowledged as being as important to safety or dignity.

"When we asked the focus group of teachers to prioritise the protection issues facing the community, they found it very difficult. They discussed that the key issues of the occupation – poverty, unemployment, lack of access to water, lack of access to health care and lack of recreation facilities were interrelated and as important as each other. They could not prioritise one issue over the other. This created a sense of hopelessness in the focus group. If we had approached the issues differently and looked at what protection problems were occurring within the community that they could impact on or change, the focus group could have been part of a more positive process to identify and develop local strategies. This would have helped to generate feelings of empowerment and dignity rather than powerlessness."

International NGO, Middle East

The process of identifying and analysing protection problems and strategies can empower communities and individuals to think about the issues and problems that they have influence to change. Recognising and analysing protection problems within families, social networks and communities and developing strategies can have a significant impact on safety, as well as people's sense of dignity and power in their lives.

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How prioritisation affects your program

The process of prioritising issues with communities, other actors and internally may mean that you:

Adapt or extend your current program to address or incorporate prioritised protection problems or strategies.
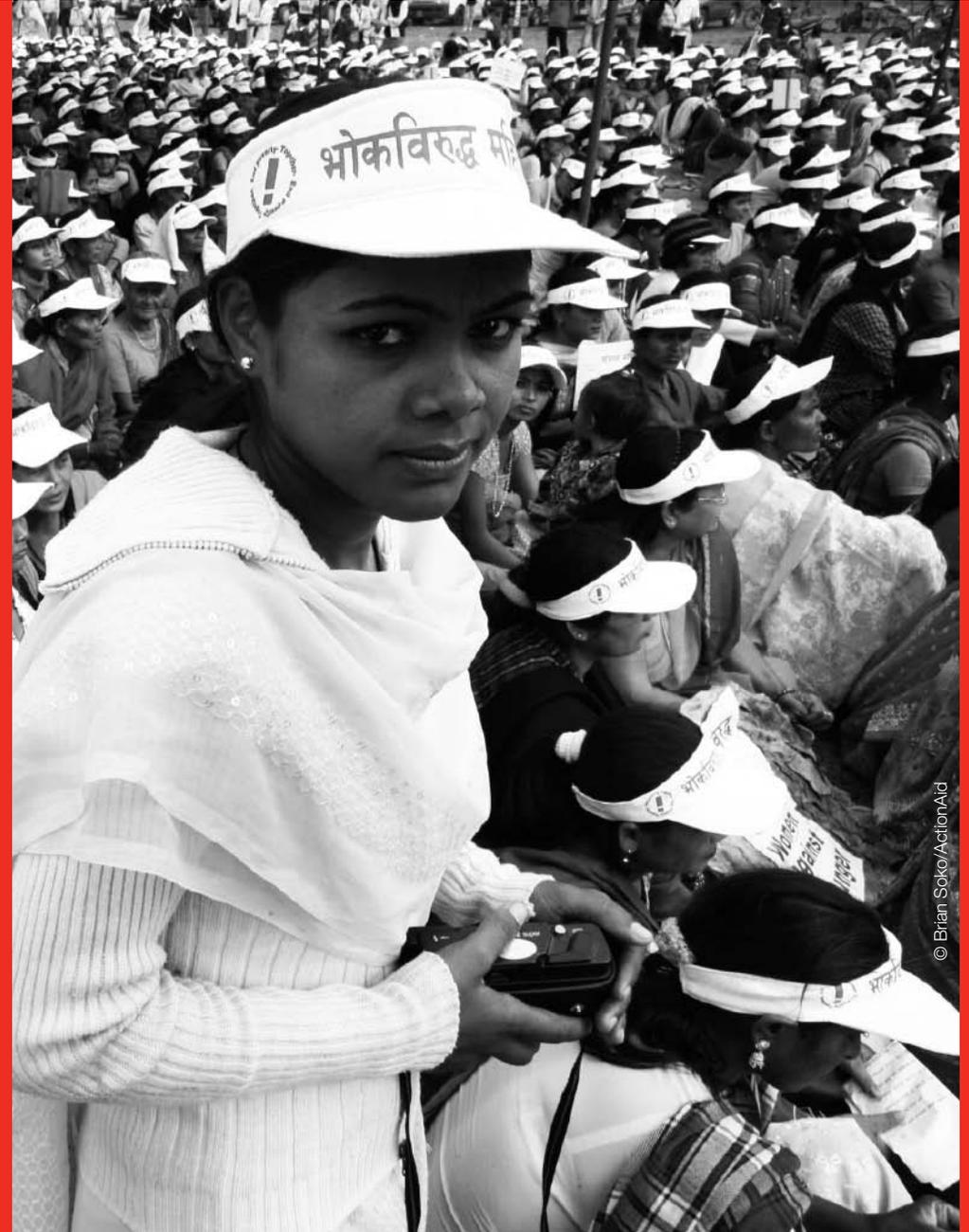
Develop new programs based on these priorities.

Refer issues to protection specialist agencies or other actors.

Communities may prioritise issues that are beyond your organisation's capacity, expertise or resources. Know your limits and do not risk community, staff or partner safety.

Step 4: Action planning

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4.1 What is action-planning?

Action-planning is the process of:

Designing programs with local partners and communities based on the protection problems that have been identified, analysed and prioritised;

Planning how to adapt current programs with communities and partners. You may identify and prioritise protection problems and strategies related to your sector or program during your implementation phase. In this case, you may adapt existing programs by repeating some analysis and action-planning steps.

Action-planning involves deciding if you will adopt one or a combination of the following:[12]

	Integration	Stand-alone	Mainstreaming
Approach	Actively carrying out activities and using an approach throughout the program cycle aimed at facilitating individuals and communities to achieve respect for rights in safety and dignity.	Actively focus on safety with dignity in your approach throughout the program cycle.	Aims to take preventative measures to make sure harm is not caused by action, rather than actively improving safety with dignity.
Objectives	Program activities, objectives and indicators can be both protection-oriented and related to the sector or area.	Program activities, objectives and indicators are focused on protection outcomes.	Program activities, objectives and indicators do not have a protection component. Focus on sector or program area.

Integration of a community-based protection approach means:

Your approach. Actively carrying out activities and using an approach throughout the program cycle aimed at facilitating individuals and communities to achieve respect for rights in safety and dignity.

Your outcomes. Developing objectives that aim to contribute to an improvement in safety and dignity. These objectives can be in addition to your sectoral or other program objectives.

4.2 How do you plan action?

Action-planning involves working closely with communities, local stakeholders and internally to develop your program. Use a variety of methods to avoid duplication, gaps and limited program impact.

By integrating a community-based approach, your methods and your outcomes aim to assist communities to achieve their rights to safety and dignity.

Empower communities to develop community strategies and organise themselves to monitor program progress and outcomes.

Coordinate with CBOs, LNGOs, INGOs, UN agencies and local government to identify gaps, areas of collaboration and do no harm.

Internal planning to review priorities, capacity, resources and expertise. Select or adapt program based on community and actor consultation.

4.3 Setting goals and objectives

The goal
The goal is the overall aim of a program. The goal is based on the identification and prioritisation of problems that your NGO has identified with communities and other actors.

Objectives
Objectives are the specific aims of the program. When incorporatinga community-based protection approach into your program, you may develop a mixture of protection-related and sector-related objectives (for an integrated approach), protection-only indicators (stand alone) or sector only (mainstreaming approach).

Different objectives may deal specifically with different components of a program. Your objectives should be **SMART** (**S**pecific, **M**easurable, **A**ttainable, **R**ealistic and **T**ime-bound).

12 Based on the terms used in Protective Action: Incorporating Civilian Protection into Humanitarian Response, Sorcha O'Callaghan and Sara Pantuliano, Humanitarian Policy Group, Report 26, December 2007

Indicators

Indicators are the benchmarks for assessing if your program is successful in reaching its goals and objectives. A program design usually involves both:

> **Process indicators** Measure activities and are usually quantitative. E.g. number of goats provided.

> **Impact indicators** Measure the impact of activities. Can be quantitative or qualitative. E.g. percentage of girls attending school due to increased family income from goats program.

Develop impact indicators from the baseline data on community attitudes and perceptions of protection problems and strategies that you and your partners collected using participatory methods. You can use the indicators to monitor behaviour and attitudinal change throughout the program and evaluate program impact.

You may also have organisational standards, e.g. Humanitarian Charter and Sphere Standards and Minimum Agency Standards for Incorporating Protection into Humanitarian Response.

TOOL 1: How to use participatory techniques p.87
TOOL 16: How to set program indicators p.118

4.4 Adapting existing programs

A community-based protection approach can be integrated into existing programs. Programs do not need to start again. A program may be adapted to enable:

> Greater community engagement in the processes;

> Change in the type of assistance;

> Change to the timing of the program, recipients (including profile, number and selection), location and scope.

The community may also recommend that you end or suspend the program. Your partners and organisation (and potentially donors) will need to be prepared to adjust elements of the program. Open and transparent communication is needed with communities, partners and donors on what changes may or may not be possible and why.

Participatory techniques can be used so that the community can explore the problems and gaps in your program, as well as what is successful. Field staff or partners can facilitate the discussions, working with the community to examine how the program could be adapted to improve its impact on the safety and dignity of those at risk of protection problems.

TOOL 1: How to use participatory methods p.87
TOOL 2: How to run focus groups p.90
TOOL 15: How to analyse and adapt existing programs p.116

Sample program: Livelihoods and displacement, Middle East

Problem Statement: Long term displacement, occupation and rising food costs have resulted in loss of livelihoods. This has escalated poverty causing a reduction the quality and quantity of meals, with women and girls usually eating last. There are increasing levels of domestic violence in refugee families, often directed at women and children. Ongoing conflict often means that women and girls' movements are restricted for their own 'protection', resulting in isolation and depression.

Goal:
> To contribute to reduction in refugee vulnerability by improving livelihoods, access to services and local NGO capacity.

Purpose:
> To enhance refugee women's and girls' social empowerment, improve livelihoods of poor women and strengthen capacity of local NGOs.

Objectives:
> To improve access for women and girls to recreational services, social support mechanisms and local services;
> To increase women's livelihood opportunities, skills base and income levels;
> To build capacity of NGOs to foster community empowerment and to apply participatory practices in planning and implementing support for target populations.

Activities:
> LNGO partner provision of small loans and business training to vulnerable refugee women.
> LNGO partner establish women's clubs that run recreational and sporting/exercise as psycho-social support, vocational training and referrals to other social services e.g. health clinics.
> Training for local partners in community-based approaches, participatory techniques and rights and responsibilities; development of reporting and accountability mechanisms to monitor and evaluate these activities.

Example Indicators:
> Increased number of women becoming self-employed.
> Increased percentage of women entrepreneurs who report a greater decision-making role within their household.
> Increased confidence of women to engage, and increased engagement in local activities.
> Increased percentage of women and girls under 18 in the community who are using CBO facilities / participating in activities.
> 9 women's clubs with 8-10 participants established to support women through social, economic and recreational activities.

4.5 Risk Assessment

When adopting a community-based protection approach, you need to be particularly conscious of risks that may result from or impact to your program. The programs, presence and actions of NGOs and humanitarian agencies should not expose people to harm.

A risk assessment analyses the potential constraints, obstacles or risks on your program. It looks at the consequences for individuals, staff and the program and should be carried out throughout the program cycle. New assessments should be completed when the security, political or disaster situation changes.

Risks can be:

External (e.g. armed conflict, insecurity, natural disaster, government or partner inaction);

Internal (e.g. organisation mismanagement or fraud);

A result of your program or approach (e.g. not respecting confidentiality, not getting consent of community leaders).

Case study: NGO strategies to reduce risk in conflict

Local NGOs use a range of risk reduction strategies to promote inter-ethnic reconciliation and also avoid being seen as ethnically biased. For example, the participation of religious leaders from different communities in NGO events relating to disaster risk reduction is an important signal of inter-ethnic cooperation. As a result, the events have less likelihood of facing problems of violence or criticism.

South Asia

A risk assessment identifies potential risks, severity and impacts. It plans actions to avoid, mitigate or address risk.

A risk assessment aims to:

Avoid placing individuals, organisation or partner staff in greater danger (do no harm);

Work with communities to identify and analyse the risks they face as part of your program planning;

Increase the effectiveness and sustainability of your program by identifying and planning for risks that could disrupt, stop or damage your program or reputation.

TOOL 17: How to do a risk assessment p.119

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Step 5: Action

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5.1 What is action?

Integrating a community-based approach means actively carrying out activities and using an approach throughout the program cycle aimed at facilitating individuals and communities to achieve respect for rights in safety and dignity. The actions are prioritised, identified and undertaken by communities. NGOs can support these initiatives as a fundamental part of a community-based protection approach to humanitarian programs. It is essential that actions are driven and owned by communities.

Individuals, families, social networks and communities know best the protection problems that they face, as well as what action is most appropriate, safe and sustainable. Locally-driven initiatives provide the best chance of building self-reliance and long term change.

By integrating a community-based protection approach, the actions of humanitarian agencies aim to empower communities to increase their safety. This is achieved through actions aimed at reducing threats, reducing vulnerability and increasing capacity.

Case study: Health

"Acute political violence, insurgency, counter-insurgency and militarisation had severely impacted the social, psychological and physical well-being of the population. This was particularly impacting women who were having trouble caring for their children.

We began with a community-based care program to provide protection to the affected people in rural areas at high risk. The model entailed training local volunteers in basic psychosocial care giving, identification of people with acute psychological disorders through psycho-awareness campaigns at community level, primary health care and subsequent counselling support. The model grew to integrate a referral system for people needing psychiatric support by opening three mental health care centres in three government hospitals in three districts. It also included a collaborative referral system with the government health department, in which our NGO provided referrals to people requiring advanced psychiatric support from the government health care system."

South Asia

Actions that can integrate a community-based protection approach

Actions that strengthen individual and community protection strategies

Community mobilisation
Strengthen family, social and community networks e.g. youth clubs, village volunteers, women's savings and loans groups.
Develop the capacity of local services, CBOs and groups to better understand protection problems and local prevention and response strategies, through training, funding and program support. Train local partners and CBOs on participatory techniques, if they are not familiar.
Identify and train community leaders, particularly women.

Information and awareness
Mobilise community-based information networks so that the most vulnerable individuals have access to reliable information to make informed decisions about their safety. E.g. Local DRR groups listen to the radio and inform people about potential disasters.
Local awareness campaigns (street dramas, mobile services, posters) and activities (workshops, sharing circles) on people's rights and responsibilities and services available.

Assistance
Assistance with a community-based protection approach to meet basic needs and avoid the need to take risks.
Assistance to develop and strengthen individual and community capacity, increase access to resources and strengthen self-resilience.

Actions that work with other actors to improve safety with dignity

Interagency collaboration and coordination
Support local partners and CBOs to coordinate with actors to develop complementary programs and avoid duplication.
Referrals to protection specialist agencies or government actors.

Partnership
Develop formal and informal partnerships with CBOs, local NGOs, academics, religious institutions to build networks, increase access to resources, run awareness and advocacy campaigns.

Actions that support and encourage states to protect and respect rights

Capacity development
Technical support or training to state services to fulfil their responsibilities under human rights, refugee and humanitarian law.

Lobbying, persuasion, advocacy
Informal or formal action with communities and partners to encourage local authorities to respect, protect and fulfil rights.

Proactive presence
Using the presence of NGOs to deter threats.

5.2 Taking a comprehensive approach
Integrating a community-based protection approach involves a proactive and comprehensive approach to protection problems. The complexity of root causes and consequences of protection problems means that a range of prevention, mitigation and response actions are needed at local through to international levels, from the short to long term.

The Protection Egg[14]
The Protection Egg is a useful tool for action planning.
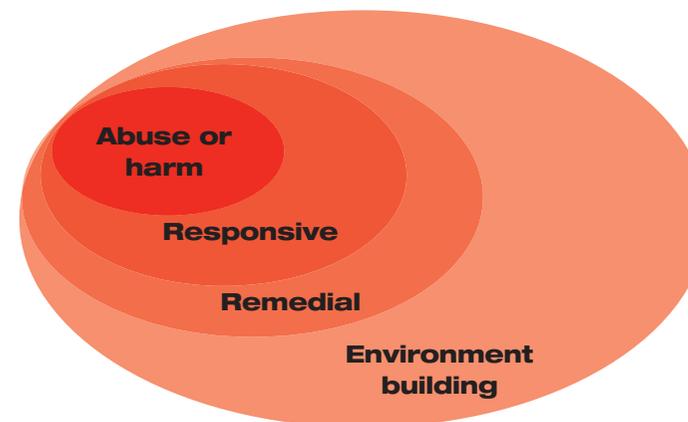
When developing programs to halt and prevent protection problems, the Protection Egg can help to plan simultaneous programs or activities that occur on three levels:

Responsive action:
Action to stop or prevent the worst effects of protection problems.

Remedial action:
Action to assist people to recover from the effects of protection problems.

Environment building:
Action that aims to consolidate political, social, cultural, institutional and legal norms conducive to developing a protective environment.

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14 The Protection Egg model was developed during workshops organised by the ICRC. The Egg model is now widely used in protection action. See, Strengthening Protection in War: A Search for Professional Standards (Geneva: ICRC) 2001.

Taking a comprehensive approach means:

Developing local capacity
Support, coach and mentor local organisations to use a community-based protection approach in their programs. Develop local initiatives and link them with local partners, national and international campaigns. Developing local capacity helps to build sustainable local networks and contribute towards a protective environment.

Coordinating with and referral to other actors
Plan and connect programs on the same or related protection problems in order to have a more effective, long-term impact. Link with short, medium and long term programs, even if your program is only in one timeframe.

Develop internal processes and policies within your organisation and partners on what to do when a protection problem or incident is reported to you or your organisation. Establish procedures to refer protection problems to protection specialist agencies and relevant government departments.

It is important that policies and procedures on confidentiality of information are in place within your organisation. Make sure that you discuss next steps with people and if acting on the information, seek and obtain their informed consent to share it with others. Do not take unnecessary risks or cause harm.

TOOL 18: How to develop internal processes for protection p.121
TOOL 19: How to develop referral processes p.123

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Developing an advocacy strategy
Advocacy aims to influence attitudes and change behaviours. It aims to create awareness and attention on an issue or change required. Advocacy can increase capacities and reduce threats and vulnerabilities.

To make change happen, you will need to work with communities to identify the change they want, identify the audience and target messages in order to develop appropriate and safe advocacy methods.

Advocacy can form a part of your program and your partner's work. Advocacy does not need to be a public campaign. It can be conducted in private and be direct or indirect. Every action that you take as an NGO sends a message.

Case Study: Livelihoods and psycho-social support, Africa

Refugee women often complain of feeling overwhelmed and isolated upon first entering a camp. They are fighting internally with strong emotions of loss, hurt, grief and fear, and are forced to adjust to a new, cramped and chaotic environment, living in close proximity to people they do not know. They are used to being busy all day working in the fields, cooking and looking after their children. It can be very difficult adjusting to the monotony and stillness of camp life. Social support systems and community networks are fractured by violence and displacement.

In the women sharing centres (also known as protection circles), women learn new skills such as needlecraft, weaving, knitting as well as how to read and write. Teachers from within the camp population are sourced and engaged in teaching other women these new skills through peer-to-peer learning.

The sharing centres provide a safe, trusting environment to enable women to talk about why they fled, how they fled and their stories full of fears, hopes and dreams. Activity based learning helps these women to make new friends, communities and social support networks, coupled with the learning of a new skill or livelihood.

TOOL 17: How to do a risk assessment p.119
TOOL 20: How to develop an advocacy strategy p.125

Action using the Protection Egg and risk equation

Example: Through participatory processes, an NGO building toilets and wells in a refugee camp finds out that not everyone in the camp is using the facilities. People suspected of living with HIV/AIDS were being prevented from using the toilets and wells by the camp council, fearing that HIV/AIDS could spread through shared use. These people were being forced to walk to the nearest river and use nearby bushes. Both were dangerous options. The NGO integrated a community-based protection approach into their Water and Sanitation program to address the discrimination.

	Responsive action	Remedial action	Environment building action
Reduce Threats	Meet with camp council to discuss the denied access, understand the council's concerns and explain the importance of the toilets and wells being available for all. (Persuasion)	Support cluster effort to determine if the practice is occurring in other camps.Refer to health NGO to train camp officials in HIV/AIDS education. (capacity building)	Train local partners to take part in inter-agency advocacy for the government to develop a framework of action for support and recognition of the needs of people living with HIV/AIDS. (Campaigning)
Reduce Vulnerability	Coordinate with village volunteers who regularly visit vulnerable people, to visit people living with HIV/AIDS to provide friendship and support. (Mobilisation)	Organise local NGO to conduct awareness campaign with street dramas and posters to raise awareness of human rights, water and sanitation issues. (Partnership and awareness)	Train refugees, including people with HIV/AIDS in toilet construction and provide construction materials when refugees leave camps to be returned/locally integrated. (Assistance)
Increase Capacity	People living with HIV/AIDS are encouraged to accompany trusted people from the family or social network to the toilets and wells. (Mobilisation)	Partner with CBO to establish women's circles that monitor use of the wells and toilets, providing information to women on assistance available within the camp. (Information and mobilisation)	Train government staff and health workers on HIV/AIDS and non-discrimination to build capacity in services, policies and laws. (Capacity building)

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Step 6: Follow up and ongoing review

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6.1 What is follow up and ongoing review?

Follow up and ongoing review is the regular assessment of program impact. It is connected to accountability and learning (see Step 7). The community plays a central role in follow up and ongoing review when adopting a community-based protection approach.

Integrating a community-based protection approach means actively carrying out activities and using an approach throughout the program cycle aimed at facilitating individuals and communities to achieve respect for rights in safety and dignity. For follow up and ongoing review, this means working with your partners and the communities to regularly examine if the program is:

> Making an impact to limit, prevent or stop protection problems;

> Causing additional risks or harm;

> Addressing new or emerging protection problems.

Reviewing the program regularly with communities, partners and other actors enables:

> Programs and actions (protection and sectoral) to be adapted to better meet the situation;

> Involvement by communities on changes and problems as they occur;

> Greater impact. A program's effectiveness rests on its ability to be flexible in the changing environment.

6.2 Why is it necessary?

Your program may have unintended consequences that are only apparent once it commences. Moreover, the situation you are working in can change quickly, particularly in armed conflict, disaster, displacement and protracted crisis situations. This can impact:

> The type and nature of protection problems related to your sector;

> The individuals and/or groups who are most vulnerable and their location and frequency;

> The prevention and response strategies, and capacities of individuals, families, social networks and communities;

> The actors who are present, their motivations, interests, capacity and responsibilities or roles;

> The capacity, ability or willingness of the state to respect, protect and fulfil rights.

Continuing your current program in such circumstances could place communities, your partners and your organisation at risk. You may need to adapt and change or suspend your program to meet the needs of the changing situation.

What methods are involved?

Follow-up and review requires ongoing analysis of the protection problems and your program's effectiveness in addressing them. Use different methods to cross-check information.

Empower communities to identify and analyse changes and progress

Coordinate and work closely with partners and other actors to share information

Internal review and analysis within your NGO and partners

a) Working with communities

Community engagement involves individuals and communities when analysing how or if the program is impacting on their safety and how the situation is changing. Engaging individuals in the ongoing review of the program is essential for increasing their knowledge and capacity for analysis, as well as increasing community cohesion and strength.

A range of techniques are needed because the people most at-risk of abuse will often be the least vocal and difficult to access. Some methods to consider include:

> Complaints mechanism, e.g. a confidential complaints box or desk (for illiterate people) to feedback on the program;

> Confidential reporting mechanism, such as a confidential box or desk to inform you about problems or abuses by family, social networks, community, government or aid workers that might be occurring;

> Community meetings;

> Individual interviews, particularly with people who are unable to attend events e.g. older persons, those who are sick;

> Focus groups;

> Small group discussions using participatory techniques to monitor changes in protection problems, priorities, threats and vulnerable people.

Regular field presence with partners is needed to observe changes in the environment. Participatory techniques can be used to regularly discuss these problems.

TOOL 1: How to use participatory techniques p.87
TOOL 2: How to hold focus groups p.90
TOOL 3: How to conduct individual interviews p.92
TOOL 12: How to do a participatory prioritisation p.110

b) Working with other actors
Regularly review your analysis of actors, as power dynamics and relationships can shift especially in emergencies. The presence of humanitarian agencies, coordination and referral mechanisms can also change during the life of your program. Regular review is needed to make sure that your analysis and relationships are having the most effective protective impact.

Attend coordination meetings, share information (where appropriate) and read situation updates on the latest security, political and emergency/disaster information. Maintain good relationships with other agencies to help facilitate information flow.

c) Internal review and analysis
You may need to discuss any changes, complaints or recommendations within your organisation and with partners to determine how to proceed with your program. Further analysis may be needed on sensitive protection problems or to collate information collected from communities and other actors to cross-check and verify information. You may need to review your risk assessment if the situation has changed significantly and the communities, partners or staff face different or increased risk.

What to do next
Regular monitoring and review may mean issues or problems emerge which require action. This could include:

Adapting your program
If changes are necessary to your program, you and your partners will need to plan with communities. Openly communicate these changes to affected communities, other actors and local authorities.

Developing a new program
You may choose to develop a new program or activity integrating a protection problem, strategy or related issue. You may need to establish new partnerships.

Referrals
You may refer issues to a protection specialist agency or other actor. It is important to know your organisational capacity, expertise and resources, and the role of other actors in the area. Do not ignore issues because they fall outside your sector, program or capacity. Do not place people at risk of harm by your actions.

Coordinating and sharing information
You may share general information about an issue with other agencies or working groups, in order to plan programs, advocacy campaigns and actions. Make sure that you respect confidentiality and do not place people at risk.

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Case Study: Livelihood project with IDPs

A livelihood project in South Asia aimed to improve the cash flow and nutrition of IDPs by establishing vegetable gardens. The project was run in partnership between a local and international NGO.

The site of the garden was chosen because of its proximity to the local river, allowing excellent irrigation in a drought-affected area.
A community process selected villagers with least financial and social resources. Six families worked individual plots within the garden and grew enough vegetables and fruits to meet the nutritional needs of their families, sell to other villagers and at the local market.

Follow up and review found that....

The project was meeting its livelihoods and health objectives. However, protection considerations had not been factored into the assessment, planning or implementation of the project.

Several problems were identified:

> The site had previously been disused land. The local NGO had not organised the legal permit. The families were using the land illegally and could be evicted at any time.

> The garden was 1 hour walk from the village through unused land. The isolation caused the women concern, as they were alone during the day. Their children walked alone to the garden after school. Some women were married and their husbands would return at night.

> The villagers were not certain that landmines were not present in the area.

> The army and another armed group would regularly pass by on patrols and gunfights had occurred several times in the close vicinity.

> Families' greatest fear was elephants, which would come to the river to drink. The families had built ladders and platforms in the trees but were scared of elephant attacks.

These problems impacted on the human rights of the people involved. These rights issues were: rights to physical integrity, property, education, livelihood and freedom from violence.

Step 7: Accountability and learning

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7.1 What is accountability and learning?

Accountability and learning is a community-based, participatory process for monitoring and evaluation. Individuals who participate in programs are the most important people to whom NGOs are accountable. Accountability and learning are important to all humanitarian programs.

Integrating a community-based protection approach means actively carrying out activities and using an approach throughout the program cycle aimed at facilitating individuals and communities to achieve respect for rights in safety and dignity. When integrating this approach, NGOs review if their programs contributed to improved safety and dignity, as well as their sectoral objectives.

Accountability

Open, transparent processes and information sharing

Measuring effectiveness of programs with individuals/affected communities

Documenting and sharing successes and failures

Building lessons into programs

Learning

Accountability and learning are two parts of one step. Programs are reviewed and assessed. Lessons learnt are shared within and between agencies, communities and other actors, and built into future programs.

7.2 Why is it necessary?

Accountability and learning are essential because:

- They measure impact and effectiveness from the perspective of individuals engaged in the program;
- Help to build a protective environment as part of a longer term process aimed at achieving safety with dignity;
- Changeover of staff and NGOs means that lessons can be lost, protection problems and strategies can be missed and important steps can be reversed. This may result in communities being 'over consulted' over years by different staff and NGOs and can cause frustration and despair in vulnerable people.
- Documentation of strategies and problems is essential to make sure that information is not lost.
- Humanitarian agencies have a responsibility to be open, transparent and accountable to individuals under the Humanitarian Charter, Red Cross Code of Conduct and other organisation standards;
- They create a way for NGOs and communities to learn from their strategies and good practice.

What methods are involved?

Accountability and learning is a community-based, participatory process. Individuals, particularly poor and excluded people, play a central role in evaluating the impact of programs.

Accountability

With a community-based protection approach, communities play a key role in driving the process to examine the program's impact. This is complemented by evaluation with partners.

Participatory accountability reviews of your program provide an opportunity for affected communities to examine the program and role of your organisation and partners, and provide positive and critical feedback. Individuals, particularly poor and excluded people play a central role in examining the program's impact.

Programs are measured against indicators (the markers that show what your program aimed to achieve.) Indicators are developed from the baseline data on community attitudes and perceptions of protection problems and strategies that you and your partners collected using participatory methods. You can use the indicators to monitor behavioural and attitudinal change throughout the program and evaluate program impact.

You may review whether the program has:

- Built the capacity of local NGOs and CBOs in participatory tools and community-based protection;

- Developed and coached community leaders from different groups;

- Contributed to safety and dignity demonstrated by attitudinal and behavioural changes;

- Increased awareness of rights and responsibilities;

- Increased capacity and accountability of local authorities;

- Achieved above these without causing risk and harm.

"Nobody helps us. Each year though we are participating in such workshops and assessments with aid organisations, nobody has solved our problems. The threats are still there – the habits, the culture, they are still there."

Teenage girl, Middle East

Power dynamics within communities may mean that some issues or voices are not easily heard. By using a variety of techniques, you can engage a range of voices within communities, particularly less powerful, vocal or marginalised groups. This will also help you to access different groups within communities, particularly those who may not speak or take part in large community gatherings. It is also important to use different methods to cross-check your information. Do not place people at harm by carrying out the community review of the program. Always consider the safety and security of affected communities, your partners and staff. Keep in mind people's safety at all times and do not use any techniques that place people at risk.

TOOL 1: How to use participatory techniques p.87
TOOL 2: How to run a focus group p.90
TOOL 3: How to do an individual interview p.92
TOOL 22: How to use participatory review methods p.128

Learning

Learning is essential to the process of protection. While every situation is different and approaches must be tailor-made, new approaches, successes and failures can help individuals, duty-bearers and agencies be better prepared and more effective in the future. Learning involves your organisation and partners looking at how you could improve and be more effective.

The process of learning involves individuals, duty-bearers and other humanitarian agencies. It involves:

Engaging the community through open and transparent processes, such as lessons learned feedback meetings;

Documenting successes and failures to share with individuals, donors, other agencies and your own organisation;

Documenting what community members learnt through the program and the community-based protection approach taken;

Celebrating successes with the community and apologising for failures;

Adapting current and future programs to incorporate successes and mitigate against failures.

TOOL 22: How to use participatory review methods p.128

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Part C: Toolbox

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Integrating a community-based protection approach means actively carrying out activities and using an approach throughout the program cycle aimed at facilitating individuals and communities to achieve respect for rights in safety and dignity. The tools in this Toolbox are designed to provide practical guidance on how to go about this process.

The Toolbox draws together many of the most popular tools developed and being used by NGOs and humanitarian agencies. Some of the tools are standard programming techniques, but demonstrate how to integrate a community-based protection approach into this technique.

The Toolbox follows the program cycle for easy reference. In practice, you will need to move back and forward between steps and tools depending on the changing situation and needs of the affected population.

The tools can be adapted according to:

Participants: culture, gender, age, literacy, education level, profession;

Humanitarian context: emergency response, armed conflict or natural disaster;

Sector: shelter, health, livelihood, education or water and sanitation.

The Steps in Part B refer to relevant tools. Each tool will also refer to other tools that are relevant or interconnected.

A note on Community/Participatory tools
The Community/Participatory tools are the foundation of a community-based protection approach. The techniques and tools can be used throughout the program cycle to engage individuals and communities in identifying protection issues and developing local protection strategies.

Many of the tools noted in other sections of the Toolbox refer to techniques outlined in the Community/Participatory tools section. E.g. A rights and responsibilities analysis (Tool 8) may be carried out through a focus group (Tool 2).

How I used these tools in my program

"We were working in a post-emergency protracted conflict context. Our project involved building the capacity of local CBOs to identify protection problems related to education and food security, and strategies for addressing them.

Our local partners had very little familiarity with participatory assessment methods, no awareness of a protection approach to humanitarian programming and very limited skills or experience in documenting assessment findings and analysing them in a systematic way to inform program design. There was also very little awareness of how these processes are inter-linked.

One of the biggest challenges we found was getting communities to understand their role as active agents in protecting themselves. Understandably, it is difficult for communities to expand their thinking beyond the most violent acts perpetrated by armed actors or the state. At first, CBOs and communities would focus on issues over which they had no control and this led to frustration and feelings of helplessness.

We used a range of tools and techniques from this Manual to encourage active reflection on protection problems. First we introduced the concept of protection by brainstorming examples of violence, coercion and deprivation that occur at the family, social network, community, state and international spheres. Then we used the Protection Equation to break down each problem according to threats, vulnerabilities and capacities. We used the 'onion' tool to explain the idea of layers of protection and protective capacity existing at all levels of society.

We then used tools such as the root causes and actor mapping to identify and explore the causes and consequences of the main protection problems, together with the range of actors playing a positive or negative role in those problems. Finally, we used the Protection Egg as a starting point to get people thinking about immediate, medium-term and longer-term strategies that build on and strengthen community capacities.

This process helped us and the CBOs to gather rich, in-depth information on issues of concern to our local partners and the communities in which they work."

- Report from an international field worker, Middle East

Community/Participatory tools

TOOL 1: How to use participatory methods

Links with:
> Step 1 Identifying and Analysing Problems
> Part A: 3 Dos and don'ts

Description
> Participatory methods include a variety of ways to engage the affected community in the process of identifying and analysing protection problems and prevention and response strategies.

Why is it useful?
> Participatory methods provide communities with an opportunity to discuss and examine local protection problems, coping mechanisms and strategies. This can be very empowering, particularly for individuals who may not be used to having their opinions and experiences recognised.

> When different methods are used, valuable information can be gathered and cross-checked. This can form the baseline data to develop indicators so that you and your partners can monitor behavioural and attitudinal change throughout the program and evaluate program impact.

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Considerations

Informed consent is needed. (See page 35).

Participatory methods can build trust, if carried out with openness and in a culturally appropriate style.

You may need to train local partners in these methods.

Some methods may take time. Be patient. Enable people to think through problems and issues in new ways.

Empower people to use the tools when it suits them. E.g. they may need some initial coaching to then complete a map over a few weeks at night after their daily work.

Who is involved?

Try to involve as many groups as possible, as different problems will be important to different people.

It can be difficult to engage some groups in a community. Power dynamics within communities resulting from gender, poverty, age, caste, class, ethnic or religious differences or disability can make it difficult to hear some voices. However, it is essential that efforts are made to engage these groups, who may be the least powerful and most vulnerable.

How do I do it?

A range of different techniques can be used. Some of the most popular are suggested below for adaption and use in your context.

Mapping

Examines how social or resource issues impact on safety and dignity.

Can be carried out on paper or on the ground. Use the appropriate method to engage your audience. Symbols can be used for different landmarks or features, enabling people of different languages or literacy levels to take part.

Divide the group according to your theme. E.g. men and women, or farmers and fisher people. Each group will make different maps according to the problems of importance to them. This enables a more comprehensive understanding.

Maps can be made of many problems:

Social maps (markets, places of religious worship, schools, hospitals, playing areas, agricultural fields, businesses, safety in accessing social infrastructure, safest areas, what threats are present, who is vulnerable);

Resource maps (water, irrigation, vegetation, land ownership, boundaries, access of these resources, problems in access and safety, what are those problems, who do they affect, who and what factors contribute to them);

Mobility maps (routes that people use, frequency, for what purpose, importance of places visited, who carries out the visits, who is not mobile, ability to access, safety of those routes, what make some routes unsafe, who is at risk).

It may take a few hours for the groups to discuss and develop these maps. Do not interrupt. Once the group is satisfied with their map, ask each group to talk you through the map.

If possible, make two copies and leave one for the community.

Storyboarding [15]

A tool to explore the different aspects or problems involved in a protection problem. Useful for groups that do not share a common language, children or shy participants.

Brainstorm the key problems related to your theme. Ask the group to decide on 3-5 protection problems. Ask each group to draw one problem, including: Who is at risk? Who or what is causing it? What are the consequences? Who is responsible for stopping or preventing the problem?

Discuss the pictures in small groups or a larger group.

Take photos of the drawings. Leave the drawings with the participants.

Role-playing

Similar to storyboarding, using role plays instead of drawings.

If the group does not share a common language, you could ask for the plays to be without words (mime).

Seasonal calendar

Mapping a calendar year and natural occurrences.

Draw a matrix on the ground or large paper. Place the months in the columns and themes on the rows e.g. weather patterns, crop planting and harvesting, fishing or hunting seasons.

Develop a picture symbol (if drawing) or object for each theme. The matrix is then filled by the community.

This calendar helps to cross-reference other tools e.g social and resource maps, timelines.

Timelines

Used to trace the historical background of a problem.

In a focus group, develop a timeline of a problem.

The group may need some time to develop the timeline.

When they are satisfied, ask them to talk you through it.

This tool can be used in assessing the impact of a program on a problem, compared to non-program factors.

Transect walks

A guided tour of an area or village with a small group. Walk around, stopping at areas identified by you or the group.

Ask what the area or feature is used for today, how it was before, what caused the change, and impact of the changes.

15 'Storyboarding' is a community consultation technique developed by the Centre for Refugee Research, University of New South Wales, Australia

Semi-structured interviews

Semi-structured interviews are informal, guided questions.

Use common questions that you can adapt as the discussion develops.

Semi-structured interviews can accompany other participatory methods. E.g. to facilitate a discussion with focus groups that have completed a storyboarding exercise.

When do I use participatory techniques?

Participatory methods can be used throughout the program cycle.

<div style="background:red;color:white;padding:8px">TOOL 2: How to run a focus group</div>

Links with:

Step 1. Identifying and Analysing Problems

Description

A meeting with a small group to discuss problems of concern.

Held with 6-10 people for about 1.5 hours.

Why is it useful?

To learn different opinions within an affected community.

To create an opportunity for individuals to identify and analyse protection problems within communities, their causes and consequences, and local prevention and response strategies. This can be empowering for people who may feel powerless.

Focus groups can be adapted to suit your theme. Focus group discussions can be used with many of the tools in this Toolbox.

When different methods are used, valuable information can be gathered and cross-checked. This can form the baseline data to develop indicators so that you and your partners can monitor behaviour and attitudinal change throughout the program and evaluate program impact.

When do I do it?

Focus groups can be used throughout the program cycle.

Considerations

You may need to train local partners in focus group facilitation.

Security of participants and staff, social and cultural factors must be evaluated. Do not place people at risk.

Avoid duplication. The information you need may be elsewhere (e.g. reports) or another organisation may have held focus groups with the same people.

Selecting themes of inquiry

Select 1-2 key themes of inquiry on which to focus discussions.

Continue to integrate protection into your theme by thinking through the risks associated with your themes and sector.

How do I set up a focus group?

You will need to organise and plan:

Community consent to take part in the focus groups.

A community focal point to arrange the groups. Highlight the need for small groups and a confidential space.

Who will I talk with?

Talk with different groups relevant to your theme. Try to organise small groups by a similar characteristic e.g. professions, fathers, mothers, girls, older persons, IDPs.

Do not mix leaders or people in positions of authority with other people, e.g. teachers with children, as people will not feel they can talk freely.

It may be difficult to talk to some groups in some communities, e.g. women, disabled or certain castes. You may need to ask permission from a community leader or establish trust over a period of time.

How do I conduct a focus group?

Focus groups require planning and a sensitive approach.

Sit in a circle at the same height as the participants (e.g. on the ground, on cushions or on chairs).

Ensure that you have a translator who is appropriate for the group (be aware of ethnic, religious or other differences) and who can gain the confidence of the group. Put people at ease.

Introduce yourself and your organisation (do not assume people know who you are). Ideally, you should have female staff hold the focus groups with women, and male staff with men.

Explain the purpose of the focus group and what will happen with the information. Clarify expectations.

Participants may find it easier to focus on a task e.g. completing a mapping exercise with a facilitated discussion afterwards. This may stimulate ideas and discussion.

At the end, explain what will happen next, e.g. if you will return to present the results of the focus groups.

Focus Groups Summary Table

Key problems	Community strategies	Further information needed	Community suggestions

Links with:

Step 1 Identifying and Analysing Problems

Part A: 3 Dos and don'ts

Description

A meeting held with 1-2 people from a community.

You may do the interview with a colleague or translator.

The time needed varies on the situation.

Why is it useful?

Enables individuals to inform you about problems of concern to them that they do not want to discuss openly, e.g. taboo topics, fear of reprisal, shyness/nervousness.

You may request an interview with an individual from the community if you are cross-checking information in a village or if someone is a recipient of assistance from your program.

Considerations

Carefully consider if you are the right person to hold the interview. You may decide to engage a specialist protection agency or another colleague to talk with the person if you or your organisation is not appropriate.

Act with care and do not cause harm by your actions. Meeting people may cause risks for the person you meet, your NGO or partners.

Ensure that you receive the informed consent of the person that you are interviewing.

Who would I interview?

People may approach you during or after you have been in a community or in your office to report an incident or problem and/or ask for assistance.

You may choose to talk with individual recipients of your programs while conducting assessments or field visits.

How do I do an interview?

Individual interviews can occur without warning and you may not have time to prepare. Try to focus on:

What is this person trying to tell me?

Are there protection problems being experienced by this person or people they are talking about? Who is presenting the threat? Who is vulnerable? What makes them vulnerable? What capacity do they have to cope?

Your response and actions will depend on the situation, however there are some key points to follow:

Introduce yourself (and any colleagues) and your title.

Confidentiality is essential. Make sure that you are in a space where others cannot overhear or see you.

Try to have male staff interview men and female staff interview women. Special consideration must be given to interviewing children.

If you are taking notes, inform the person why you are taking notes and what you will do with this information.

Show that you are sensitive to their concerns in culturally appropriate ways (e.g. eye contact).

What do I do with the information?

You might need to assess quickly if the person is in immediate danger and take action to assist them. The problem may be outside your sector or organisation. However you can act on this by:

Directly contacting a protection specialist agency or appropriate government department (rather than referring the person and sending them away).

Knowing who does what in your area and how you can contact them
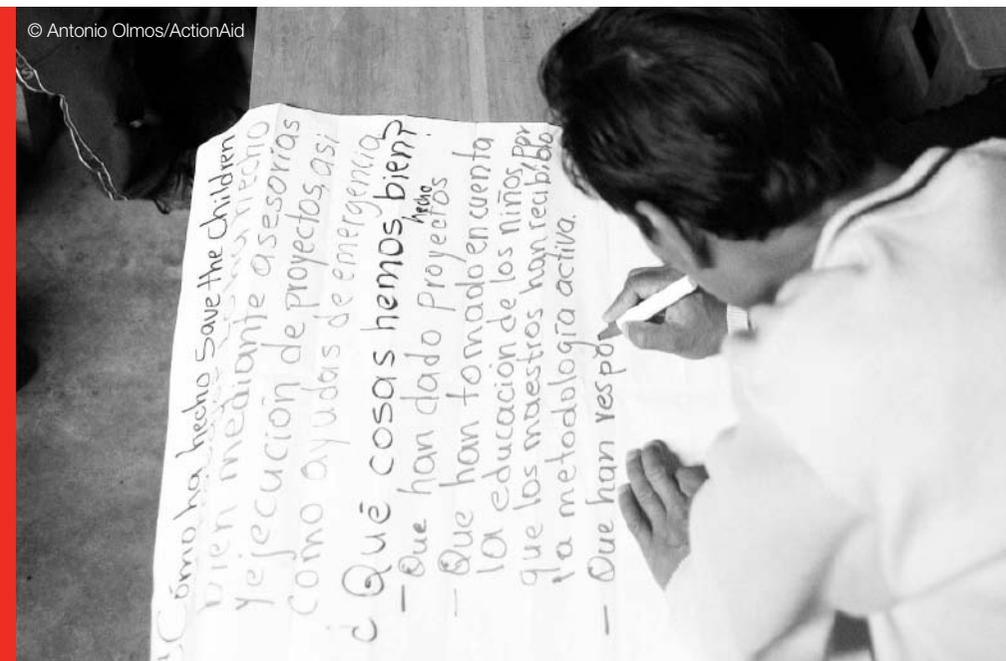
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Problem identification and analysis tools

<div style="background:red;color:white">TOOL 4: How to review existing material</div>

Links with:
    Step 1. Identifying and Analysing Problems

Description
The collection and review of existing information on a protection problem, geographical area or situation. The focus of the review will vary according to your area of interest and operation.

Why is it useful?
A review can help to highlight areas where you and your partners might want to focus activities by providing:

    A broad overview of the key protection problems related to your sector or focus area, gaps and areas needing attention.

    The latest information on changing security, political or humanitarian problems.

What sort of information?
The information will vary according to your focus area and could include:

    Possible protection problems and local prevention and response strategies that may relate to your sector or focus area;

    Political and security changes expected in the short to medium term;

    Key actors, their roles, programs and influence;

    Gaps and areas for attention;

    Further information that you may need to collect.

You might want to consider regularly reviewing information on:

    The population – What are the numbers of IDPs and refugees, ethnic, religious, cultural and language groups, and their locations? Separate information by sex and age where possible.

    Protection problems – What are the protection problems at the family, social network, community levels and caused by states or international actors? Who is vulnerable? Who presents the threat? What is the capacity and willingness of different protection actors, particularly the state to prevent and respond to these problems?

    Local strategies – What local strategies do individuals or communities use to reduce exposure to risks? What are the positive or negative consequences of these strategies?

    Humanitarian response – Which agencies are doing what and where (this is often available from the UN OCHA)?

    Security problems – What are the changes and developments in the security situation?

    Governance – What are the political structures, power dynamics and significant political conflicts or developments?

    Conflict – What factors and power groups are involved in conflict, and what are their interests and alliances?

    Legal framework – Which treaties under international human rights, humanitarian and refugee law is the country a party to? Are there any special laws in place due to an emergency?

    Environmental factors – What are the frequency, type and scale of natural disasters, disaster preparedness planning, and competition for resources that could lead to conflict?

Considerations
When collecting the information, keep in mind the:

    Accuracy and bias of information being collected;

    Need to respect confidentiality of some documents;

    Need to develop and maintain a network of contacts;

    Resources and time needed for this process.

When do I do it?
    When developing a program or presence in an area.

    Keep updated on new information and reports throughout the program cycle. Situations can change quickly.

Where do I find the information?
Most information will be available from reports or websites of:
    Government ministries

    UN agencies, particularly UNOCHA

    Local and international organisations

    Local and international newspapers, websites and radio

    Universities, think tanks and research institutes

What do I do with it?
Share with local partners where appropriate. You may use the information for reports, proposals or your own knowledge.

<div style="background:red;color:white">TOOL 5: How to identify protection problems</div>

Links with:
    Step 1. Identifying and Analysing Problems

Description
    A tool to help identify which protection problems are occurring in the family, social network community, and by state and international actors.

Why is it useful?
    To clarify what protection problems are occurring and the different actors involved in causing or contributing to the harm.

To identify problems at the family and community level that can be overlooked when focus is on protection problems resulting from armed conflict or disaster, or from violations perpetrated by states. To consider the interconnection of issues.

Who is involved?

A good exercise for staff, partners and agencies is to brainstorm the different protection problems in an area.

The tool can be adapted for use with communities by using the themes of the table with other tools or techniques, such as role plays, the Onion diagram or mapping.

What do I need?

Cardboard or paper squares and markers.

How do I do it?

Divide into 3 small groups with each group brainstorming protection problems in their theme (e.g. violence) over all levels (family, social network, community, state and international actors).

Brainstorm examples of protection problems, writing each one on a separate card. Ask each group to stick their cards on the matrix (on the wall or floor). Some issues may cross over categories. Participants can decide where they fit or place them on the dividing lines.

Return to the larger group and discuss the examples, any gaps and different opinions relating to where groups have placed the cards.

What do I do with the information?

This information is a valuable resource to identify protection problems that you may wish to explore and analyse further, and act upon.

	Family	Social Network	Community	State	International
Violence					
Coercion and exploitation					
Deprivation and neglect					

© Nicolas Axelrod/ActionAid

Links with:

Step 1. Identifying and Analysing Problems

Description

A tool to analyse the underlying driving factors that cause protection problems to occur or continue.

Why is it useful?

Protection problems are a result of a complex combination of factors, and it is easier to identify surface level problems rather than underlying causes, particularly during emergencies when staff may be new or time is limited.

By understanding root causes, our programs should aim to address both the underlying reasons for the protection problem and the consequences.

This is a useful participatory tool where communities can analyse and discuss the root causes of protection problems.

Considerations

This process will draw a lot of discussion and debate. This is a good process to learn about and understand problems. Allow enough time for a group to discuss and debate the problems.

Who is involved?

This tool can be done with a community, during a workshop with partners or internally within your organisation.

What do I need?

Flipchart, cards, connectors.

How do I do it?

Agree on one protection problem to examine (as specific as possible).

Brainstorm the factors which cause the problem. Write each answer on a card. Challenge the group to identify the core root causes, move beyond surface level e.g. domestic violence is not merely caused by men drinking alcohol. Examine why men drink, why communities might accept family violence. Draw out themes such as poverty, power imbalances, gender, conflict and other dividers.

Brainstorm the consequences of the protection problem. Write each one on a card.

On a wall or floor, start placing the causes on the floor next to the protection problem. Examine which causes are connected, which ones are secondary or core causes (or consequences).

Place the consequences cards on the floor on the other side of the protection problem. Group the consequences together where common or interconnected problems emerge. Note: this may be challenging, as some problems may be connected to a number of other problems. (It may be easier for some groups to start with the consequences and then move onto the causes.)

Ask the group why this happens, how and where.

Discuss how power imbalances are often a root cause of protection problems. Power means the degree of control over resources, the power to make decisions and exercise choice.

Where do I do it?

In a workshop, planning day or focus group. This can also be done internally with staff in your organisation or partner staff, as a way of drawing together and analysing the findings from community focus groups or participatory assessments

What do I do with the information?

If you carried this out in the community, document the flow chart and provide a copy for them to keep.

Use directly in planning to see where your program addresses root causes and consequences.

This analysis can help inform the baseline data to develop indicators. You and your partners can monitor behaviour and attitudinal change and the impact of the program on root causes.

Links with:

Part A: Protection Concepts

Step 1 Identifying and Analysing Problems

Description

The Protection Equation[16] is a core analysis tool for community-based protection.

$$\text{Protection problem} = \frac{\text{Threat x Vulnerability}}{\text{Capacity}}$$

Why is it useful?

A protection problem is a result of the combined effect of the threat posed and the vulnerability of the individual or community being greater than the capacity to prevent, respond and recover.

This tool can help you to analyse protection problems and strategies and how your actions can help to reduce threats and vulnerabilities and increase capacities.

Considerations

You may wish to exercise caution in regard to where and with whom you conduct the Protection Equation analysis.

Who is involved?

Your organisation and your partners. You may adapt for use with the affected community so that you use the framework of threats, vulnerabilities and capacities to guide focus groups or role plays.

Security, sensitivities to political and cultural problems must be taken into consideration when planning the group, timing and location.

16 Adapted from ProCap training materials, Liam Mahony and Christine Knudsen, 2005

What do I need?

The tool is very flexible. You can do it alone on paper, or with people in a workshop on a flipchart.

How do I do it?

Having identified protection problems in your area (Tool 5), choose one protection problem to focus on. Try to make it as specific as possible e.g. social exclusion of widows by villages XX region rather than violence against women. The more specific your identification of the problem, the better your analysis will be.

Threats:

Questions to ask and consider:

Who or what is directly or indirectly causing the problem? You will need to identify the source. Try to break this down. Is the threat coming from a male relative? Are female relatives complicit? Do neighbours and family friends take any action to protect those vulnerable? Do the police act to stop and prevent abuse?

When do they present a threat? What time of year? Day? Season? E.g. Lack of employment due to drought may contribute to domestic violence.

Why do they present a threat? What factors may influence the motive and intent of the actors who present the threat? E.g. power, political objectives, alliances (you may not be able to identify this in all cases).

Vulnerability:

Questions to consider:

Who is vulnerable? Vulnerability looks at who is at risk of this particular protection problem. Breaking down vulnerability is essential. Consider age, gender, physical appearance, and ethnicity, type of work, location of house/work/school, activities, familial relationships, and memberships).

What makes people vulnerable? Consider exposure to risk, lack of resources (familial or community support, financial, political, educational, land and property).

When are people most vulnerable? Time of day, time of year, festivals, food distributions etc.

Where are people most vulnerable? Location e.g. at home, in a displaced persons camp, outside the camp, after school, on the road, passing a nearby village/camp, on public transport, at the market.

Capacity:

Questions to consider:

What capacity do people have to protect themselves? Capacity analyses current coping strategies people are using to reduce their risk and what current capacities exist within the community – individual, collective, or other capacities (political, legal, services).

What access do people have to resources? What sort of resources can they access? Are they accessing them? Why/why not? Is access safe, affordable and effective?

What do I do with the information?

This analysis can help inform your program design and baseline data to develop indicators. You and your partners can monitor behaviour and attitudinal change and the impact of the program on threats, capacities and vulnerabilities.

Through prioritisation and action planning, you can start to plan with the community, local partners and other agencies how you will work to reduce threats, reduce vulnerabilities and increase capacities.

The analysis should only be shared with secure colleagues and sources. Be sensitive to staff and community security.

If you recognise an urgent problem from this analysis that your organisation is unable to act on (for capacity, expertise or other reasons), refer to another agency or department (see Tool 19).

Gaps in the table may indicate gaps in your information. You may need to carry out follow up participatory methods, meetings with other actors and analysis to get the information you need.

Protection Equation Analysis Table

Protection problem:			
	Threat(s)	**Vulnerable**	**Current capacity**
What/Who?			
Why?			
When?			
Where?			
How?			
Current Strategies?			

Links with:

Part A: 2 Rights and Responsibilities

Tool 4: How to do a focus group discussion

Description

A participatory analysis of the rights and responsibilities framework for a protection problem[17]

Why is it useful?

Through this process, individuals learn about the rights-responsibilities framework.

This tool empowers communities to analyse their protection problems as violations of their rights.

The tool guides the participants to analyse which actors have a responsibility to protect and respect those rights. Communities examine where there might be opportunities to address a particular problem.

Who is involved?

Communities, CBOs and/or local partners.

What do I need?

You will need some general knowledge of human rights and which bodies of international law apply in your context.

For example: Are the individuals refugees? Are you in a situation of armed conflict? Has the government introduced special laws on the rights of disabled people?

If you are not sure, do some research or ask other NGOs or UN agencies where you can get further information.

How do I do it?

Gather small groups of participants into focus groups. (See Tool 4).

Ask the group to brainstorm the key safety problems they face within their families, social networks and communities from the State and international actors.

Through a ranking and scoring approach (see Tool 1) or a voting process, ask people to choose the five most important problems in their lives. Ask why they are important.

Divide the group into 5 smaller groups. Ask each group to draw (or alternatively role play) that problem. Ask them to include in the drawing or role play: Who is at risk? Who is the threat? What are the consequences of the problem? Who is responsible for stopping or preventing the problem?

Ask each group to present their role play or drawing.

After each presentation, ask participants to comment, question or challenge the explanation of the problem.

Discuss each problem in turn. Explain which rights are being violated. Highlight that the participants are individuals and that these rights are protected under international law.

Discuss which actors have a responsibility for stopping or preventing abuse. Examples might include parents, police or courts.

Where do I do it?

In focus groups, community meetings or workshops.

What do I do with the information?

Document the discussions of the group.

Take photos of the drawings. Leave the originals with the community.

Revise any previous analysis if needed. E.g. you may need to revise your actor analysis if legal responsibilities are involved that you may not have realised.

Understanding rights and responsibilities will feed into how your program is developed.

17 Based on the 'Storyboarding' technique (see page 84). Storyboarding is a community consultation technique developed by the Centre for Refugee Research, University of New South Wales, Australia

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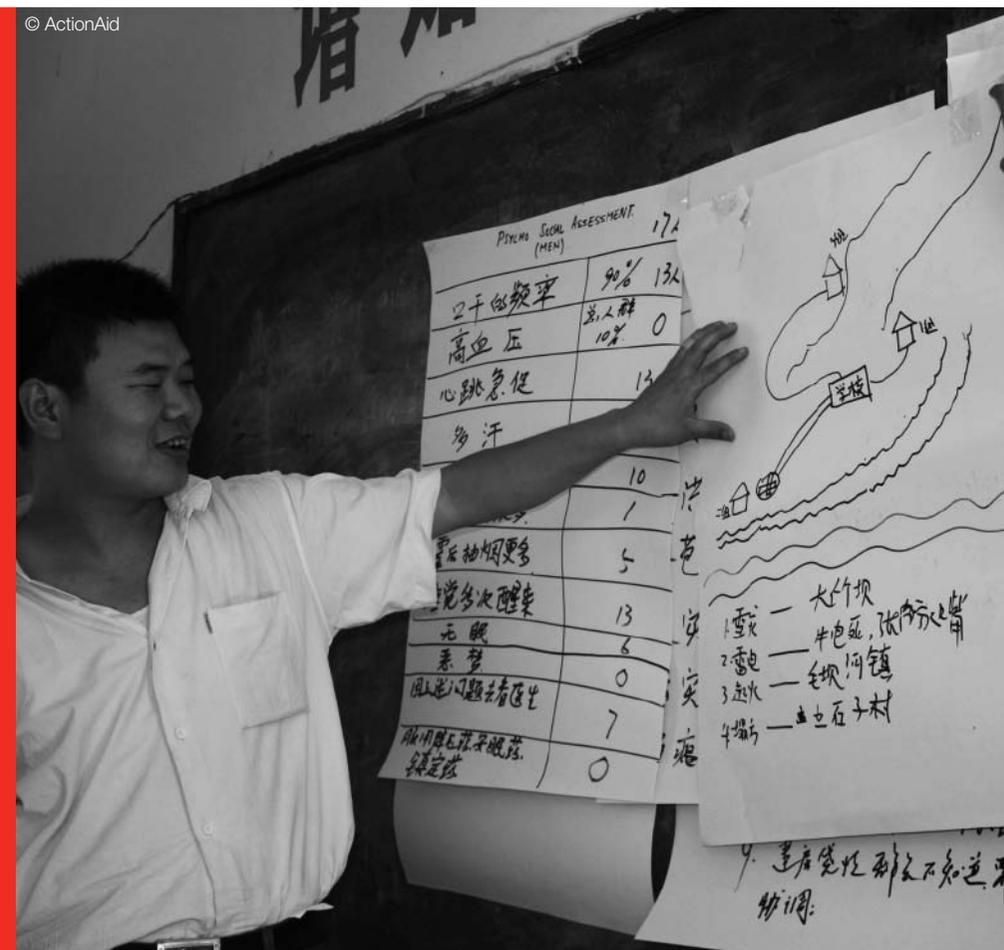
Strategy identification and analysis tools

<div style="background:red">

TOOL 9: How to analyse with the Protection Onion

</div>

Links with:

Part A: 1 Protection Concepts

Step 1 Identifying and Analysing Problems

Step 2 Identifying and Analysing Strategies

Description

The Protection Onion[18] is a participatory tool that facilitates communities to identify and analyse protection problems and prevention and response strategies to increase safety with dignity. (See p18).

Why is it useful?

Offers an accessible and user-friendly tool to examine protection problems faced by vulnerable groups and how the action or inaction of families, social networks and communities can contribute to harm. Use focus groups. (See Tool 2).

Helps to facilitate community discussion on what the different protection layers are already doing to help and assist, and how they can improve and strengthen these strategies. This can be an empowering process as it focuses communities on problems that they have the capacity to change, rather than on macro issues.

Concentrates local partners on building the capacity of the community to develop sustainable, community-driven processes rather than 'solving problems' in the short term.

Considerations

Abuses and denied resources may not emerge initially from the community discussions. It may take time with a community to build trust, raise awareness of issues and look at solutions.

You may need to train partners in facilitation techniques.

Power dynamics within communities may make it difficult to access the most vulnerable. It is important to engage different groups, particularly women, older persons, children and disabled.

Discussions on the Onion may take some time. Leave the paper with the Onion drawn on it so that people can discuss and think through the issue further. Make a copy for your reference.

Who is involved?

Local partners and communities.

Individuals facing protection problems may not wish to openly discuss their problems in a group forum. Alternative techniques should be used. e.g. individual meetings.

What do I need?

Flipchart paper and pens.

How do I do it?

Ask the large group which vulnerable group within their community they would like to discuss. Other discussions may be needed prior to undertaking this tool so that the community members are familiar with vulnerability.

Organise the community into small focus groups (see Tool 2 for further information on how to run focus groups).

In small groups, draw a centre circle on some flipchart paper and write the name of the selected group in the centre. Draw circles around it with 'family', 'social network' and 'community' in each.

Ask what problems this vulnerable group faces on a personal level (e.g. depression) and what resources they do not have access to (e.g. money). Answers are drawn onto the circle.

Ask how the different layers can add to these problems (e.g. family not giving money, neighbours socially ostracising, village leader hitting, abusing). Answers are drawn onto the circle.

Then turn to the resources and capacities that individuals have to help themselves, and what each of the layers can do to help, protect and assist. Answers are drawn onto the circle.

What do I do with the information?

The discussions should be able to help communities, you and your partners to better understand problems facing vulnerable people and the community capacity to assist and support them.

The Onion Tool can facilitate individual and community awareness of protection problems, and local prevention and response strategies. The discussion can lead to the development of strategies which you may support or integrate into programs.

The Onion can also help to develop baseline data to measure the impact of your program on behavioural and attitudinal change.

18 The Onion diagram is adapted from child rights diagrams. See, for example, Child Rights Programming Handbook, Save the Children Alliance, 2002

Links with:

Step 1 Identifying and Analysing Problems

Step 2 Identifying and Analysing Strategies

Description

An analysis of the key actors directly or indirectly involved or who have influence over a particular protection problem.[19]

Analyses the activities, motives and interests of actors on the problem, as well as the relationship between actors.

Why is it useful?

Enables understanding of which actors are engaged in a problem, the nature of this engagement and their relationship with other actors.

Examines the potential political, economic and social power dynamics operating on a problem and where you might best engage to effect change. The most direct route may not always be the most effective and secure.

Considerations

Caution should be applied when doing this exercise with large groups. It is recommended that it not be carried out as a participatory exercise, but rather as an exercise within your organisation or with partner organisations.

Who is involved?

Colleagues within your organisation or partners.

When do I do it?

At the planning and information collection stage, and as the situation changes (political instability, displacement, violence can change relationships, influence and power dynamics.)

Relationships are dynamic. Regularly think through whom the actors are, their influence and relationships.

Carry out one actor analysis for each protection problem, as each will have different actors, relationships and influence.

What do I need?

Cards, flipchart paper and masking tape.

How do I do it?

The tool works in a workshop or team environment where a small group can discuss and brainstorm the ideas.

Brainstorm all the actors that are directly or indirectly engaged, have influence over or a responsibility towards the protection problem. Consider different actors, particularly those at the local level including CBOs, NGOs, local media, women's organisations, clubs and groups, academics, social networks, village or community leaders, charities, religious institutions, local businesses, unions, local government officials or departments, police, social services, army, INGOs, UN, and ICRC.

Select 10 actors, as well as your NGO, the source of the threat and the most vulnerable population. (You can have as many actors as time allows but 10 actors will take some time).

Write each actor's name, purpose, relationship or influence over the protection problem, their motivation or interests and if they impact on the problem through the threat, vulnerability or capacity.

At the flipchart/floor centre, place a card with the protection problem written on it. Place the actor cards around problem.

Look at the linkage between the actors. Draw in these linkages and write a description e.g. material support, information resources, social resources, financial, political support, partnership. (See p21 for different resources).

Add your NGO, your partners and those most at risk. Draw in the linkages for your organisation's and your partner's influence, connections and access.

Discuss and analyse which actors your organisation has access to and influence over. What connections do these actors have to the problem or to other actors? Where might you put your energy for advocacy or coordination? Which actors have a positive or negative influence over the problem? How could you engage with them? Which actors are you and your partners not engaging with? Are there opportunities to explore collaboration, partnership and engagement? Are there actors that you could link directly with local partners and communities?

What do I do with the information?

The information directly influences your action planning. You may wish to make a record of the mapping for future reference and to check against as the context changes, your understanding of the situation develops or staff turnover within your organisation.

19 Adapted from ProCap Actor Mapping tool (Liam Mahony).

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Links with:

Step 1 Identifying and Analysing Problems

Step 2 Identifying and Analysing Strategies

Description

An amalgamation of your analysis of protection problems and strategies.

Why is it useful?

The consolidation process helps to revisit the different analysis and information collection steps before moving on to prioritisation and action planning. It allows you to check for gaps, inconsistencies, emerging themes and urgent follow up that may be required.

You may be looking at a number of protection problems. This analysis will help you to review and cross-check between problems easily.

Different staff or partners may have been working on different information collection and analysis steps. This will help you to share timely and accurate information within your organisation, with partners, other agencies and back to the community.

Who is involved?

Key staff within your organisation or partners engaged in the information collection and analysis to date.

What do I need?

Information from previous information collection and analysis steps.

How do I do it?

Draw together the information documented from the previous information collection and analysis activities and summarise with the table below.

Where do I do it?

This tool can be completed in your office. You may wish to share this with the community. Exercise caution and determine if sharing the table outside your organisation could present risks.

What do I do with the information?

Share with colleagues within your organisation and with other agencies as you see safe and appropriate.

Feed this analysis into your prioritisation and action planning.

Overall Protection Analysis Table

Protection problem	Rights violated	Causes	Consequences	Current community strategies to address threats	Current community strategies to reduce vulnerability	Current community capacities and coping strategies	Role and actions of other actors

Prioritisation tools

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TOOL 12: How to carry out participatory prioritisation

</div>

Links with:

Step 3: Prioritisation

Tool 1: How to use participatory methods

Tool 2: How to run a focus group discussion

Description

This tool provides a framework to engage individuals in the prioritisation of problems. This is a key component of participatory program design.

Why is it useful?

Community-based protection rests on community engagement to identify the issues most important to them.

It provides an opportunity to clarify to communities what your organisational limits are but that you can take actions in other ways (such as referrals) with informed consent.

Considerations

Communities are made up of people with different opinions. A challenge of participatory prioritisation is hearing the voices of the most vulnerable, the people that are most at risk of protection problems.

Power dynamics within communities, especially due to gender, caste, class, ethnicity and disability will make it difficult to hear some voices. This will also make it difficult to secure agreement on priorities across the community.

A participatory approach using different techniques provides a greater opportunity to hear different voices.

You need to be very clear in your capacity, expertise and resource limitations. Do not take risks or cause harm.

Local partners may need to be trained in facilitation skills. You may also need to coach them on doing no harm and on how to refer issues that are beyond their capacity and expertise. (See Tool 21).

Who is involved?

The process is driven by the local partners and local communities. An international NGO may also take part.

It is best to involve local or international staff who speak the local language, to avoid delays and problems with translation. This will provide a better space for the conversation to flow.

How do I do it?

You can use a number of participatory methods. (See Tool 1). Focus groups may enable you to have discussions with a range of different people within communities and allow you to compare and cross-check problems of importance to different groups. E.g. have separate focus groups with men, women, boys and girls. (See Tool 4).

Scoring and ranking is a useful technique when you need to prioritise or choose between problems. Start by brainstorming problems or agreeing on the selection of protection problems within families, social networks and communities. Ask the groups to brainstorm and agree on the themes which are of greatest importance or impact on their lives that they have some influence or control over (e.g. choosing "the war" may only result in frustration of participants as communities are unlikely to be able to influence macro political issues). Draw a picture or use a symbol to represent each theme and each problem. Give each participant small stones or stickers and ask them to rank each problem according to theme by placing the stones next to their priority issues.

Discuss each problem and explore why the group prioritises certain problems over others. Use this process to draw out key themes e.g. increased risk of health problems, reduced livelihood and income.

Use the themes to rank each of the protection problems. E.g. does reduced income or social stigma of widows have a greater impact on the ability of widows to feed their families?

Use other techniques to complement these focus groups. Meetings with the community leaders are important to ensure access and trust. Meet individually with vulnerable people who may not attend focus groups e.g. older persons.

What do I do with the information?

Feed it into program analysis and planning, particularly the development of baseline data. When monitoring the program's impact you can repeat this exercise to see if priorities have changed and why.

Share your general findings with partners and other agencies.

Provide the community with a copy for their reference.

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TOOL 13: How to use a prioritisation checklist

</div>

Links with:

Step 3 Prioritisation

Description

A reference tool to assist in the selection of problems and determine the relevance, safety and effectiveness of your planned or current actions.

Why is it useful?

Protection problems are both complex and sensitive. It is important that action is not taken without consideration.

Efforts must be made to coordinate with other actors, especially protection mandated agencies as much as possible.

Considerations

You may need to add additional factors to this checklist that suit your organisation approach, mission and mandate.

You need to be very clear about your capacity, expertise and resource limitations. Do not take risks or cause harm.

Who is involved?

Local partners, field offices, country offices and your own organisation.

What do I need?

Previously conducted analysis and risk assessment.

How do I do it?

Within your organisation and with partners, discuss the key protection problems and strategies identified and analysed.

Select the key problems that relate to your current or planned program sectors. The number that you select will depend on your organisation, size, mission, mandate and geographical coverage. Fill out the table below with each of the protection problems.

Where do I do it?

This is an internal prioritisation tool. You can complete it at a workshop or meeting.

What do I do with this information?

It can help you decide whether or not to go ahead to develop a program plan and action on a problem.

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Protection Problem:				
	High	Medium	Low	Explanation
Urgency				
Of protection problem				
Match with your organisation				
With mission and focus				
Access:				
Political				
Security				
Distance				
Organisational capacity:				
Funds				
Available staff				
Time				
Expertise				
Partner organisation capacity				
Funds				
No. of staff				
Time				
Expertise				
Community Capacity				
Engagement				
Time				
Knowledge				
Actor engagement				
Number of agencies engaged				
Expertise				
Time				
Area coverage				
Risks for your organisation				
Based on risk assessment				
Overall assessment of this protection problem				
Ability to make direct impact				
Ability to make Indirect impact				

Action-Planning Tools

Links with:

Step 4: Action Planning

Step 5: Action

Description

A planning tool combining the Protection Equation (see Tool 7) and the Protection Egg (see page 66). For an example of the completed tool, see page 69.

It can help you plan immediate, short and long term actions to reduce vulnerability, reduce threats and increase capacity. You can use it to plan prevention and response actions.

Why is it useful?

This tool provides a way to draw on your analysis to develop program plans for you and your partners.

It can help you to plan coordinated action with actors in other sectors, or work at different levels and timeframes.

Work with communities to see how their actions to protect themselves are part of a broader process of social change.

Considerations

An interagency forum may use a different planning tool to plan interagency responses. It can be helpful to plan your action by thinking through your response using the Protection Egg model.

Who is involved?

You can use the tool within your organisation, with partners or as part of an interagency planning process.

The more collaborative the approach, the more effective your ability to contribute to sustainable change.

What do I need?

To have completed the Protection Equation analysis.

Agreement of partners or interagency forum to use this tool.

How do I do it?

Select one protection problem from your previous identification processes (or a small group of related protection problems).

Write your different planned or current activities on cards (one action per card) that relate to this protection problem. Actions could include referrals, awareness programs, and community mobilisation. See page 65 for examples.

Ensure that your planned actions strengthen existing or new positive community-based prevention and response strategies to address threats, vulnerability and capacity.

Place your cards on the matrix, e.g. actions may be short term to reduce threats or long term to increase capacity.

If doing this exercise internally, try also to write down initiatives or programs that the community or other actors are planning or currently doing.

Use the matrix to develop or link with other actors on short, medium and long term actions that reduce threats and vulnerabilities and increase capacities.

The matrix can then be used to identify gaps, duplication, areas of complementarity and follow up needs.

Document the chart/diagram using the matrix/table below.

What do I do with the information?

This table informs your program design. You may share this information with colleagues, partners and other actors.

Develop new partnerships to address gaps or areas of complementarity.

Feed this information back to the community. Show what steps are being taken on local, national, regional or international levels.

	Responsive action	Remedial action	Environment building action
Reduce threats			
Reduce vulnerability			
Increase capacity			

Links with:

Step 4: Action Planning

Step 5: Action

Step 6: Follow up and ongoing review

Description

A review of a current program driven by affected communities to examine if the program is:

Limiting, preventing or stopping a protection problem

Causing additional risks or harm

Failing to address new or emerging protection problems

Why is it useful?

This tool can help you to analyse and adapt existing programs integrating a community-based protection approach.

You may need to adjust a program to a changed environment. e.g. Conflict or disasters can occur quickly and can change, who is the most vulnerable and their location; the nature of protection problems; and what coping strategies exist.

Considerations

Integrating a community-based protection approach means that communities must be driving the analysis of the program and engaged in identifying and recommending program changes.

Your partners, organisation and donors will need to be prepared to adjust elements of the program.

Open communication is needed with communities, partners and donors on what changes may or may not be possible and why.

Who is involved?

Individuals and communities involved or impacted by your program are the key people involved in this process.

Local partners need to be engaged in facilitating this process.

A review can also be carried out with an interagency team.

How do I do it?

Any participatory techniques outlined in Tools 1-3 can be used to facilitate community engagement. For example, an NGO with a shelter program could engage community members to examine if any protection problems have emerged, improved or have not changed since the shelters were built.

Participatory techniques can be used to explore problems and gaps in your program. NGO staff or partners can facilitate discussions, working with the community to examine how the program could be adapted to improve its impact on safety and dignity.

Suggested changes to the program could include: type and timing of community engagement processes, the type of assistance provided, program timing, recipients/target groups (including profile, number and selection), location and scope. The community may also recommend that you end or suspend the program.

What do I do with the information?

Fill out the table below with the current actions being taken.

Examine the gaps, areas of duplication and changes needed.

These recommendations will need to be considered with your partners, donors and management. Actions taken or not taken need to be communicated openly and transparently to the community, partners, staff, as well as donors, other organisations and government representatives.

Adjust the program and secure changes.

Keep in regular contact with the community through field visits, focus groups, and individual and community meetings.

Meet regularly with UN agencies, other NGOs, government officials and other actors to monitor the situation.

Table for protection analysis of existing programs

Program activity	Contributing to reducing threats? Why/Why not? How?	Contributing to reducing vulnerability? Why/Why not? How?	Contributing to increasing capacity? Why/Why not? How?	Recommended program changes. Expected impact.

Links with:

Step 4: Action Planning

Step 5: Action

Tool 1: How to use participatory methods

Description

Program indicators are the markers used for assessing whether your program has been successful in reaching its goals and objectives.

A program design usually involves both:

Process indicators to measure activities. Usually quantitative (numbers).

Impact indicators to measure the impact of activities. Can be quantitative and qualitative (attitudes, opinions, behaviour).

In a community-based protection approach, communities are engaged in setting indicators. Participatory methods can be used to facilitate community discussion on the outcomes that they want from the program and how they would assess impact.

Why is it useful?

Indicators help to focus the program on impact. Without them, you will not have a way to judge if your program has been successful in meeting its aim.

Impact indicators are very important for protection, as you are looking at whether people are safer as a result of your actions. In particular you are looking at behavioural and attitudinal changes within families, social networks and communities that can increase safety and dignity.

You can use the indicators to monitor behaviour and attitudinal change throughout a program and evaluate impact.

Considerations

Use both process and impact indicators. Process indicators alone will mean that you cannot examine what impact the program has made on the safety and dignity of people at risk.

It is important that you engage with individuals to ensure that your indicators are developed by them and that they are involved in assessing the program's impact.

Who is involved?

Individuals and communities involved in your program are the key actors in setting objectives.

Your organisation and local partners will guide this process.

What do I need?

You will need to have carried out a participatory process to identify and analyse protection problems and identify key activities.

You may also have standards that your NGO has agreed to e.g. Humanitarian Charter and Sphere Standards and Minimum Agency Standards for Incorporating Protection into Humanitarian Response.

How do I do it?

With different participants, use a variety of participatory techniques including mapping, ranking and scoring, timelines and semi-structured interviews. See Tool 1.

Using participatory techniques to develop indicators helps to ensure the involvement of different voices in the community and include individuals who may be vulnerable and voiceless, such as women, children, older persons, the disabled and people living with HIV/AIDS.

Using these techniques, ask individuals what changes they expect to see by the end of the program.

Ask what changes they expect to see in their lives as a direct result of the program.

You may need to ask questions to further understand or break down their responses. Use this approach for each activity that you plan to do.

E.g. How will this education program benefit you? If people respond that they will have more skills, ask them which skills and what will they do with those skills. How will these skills improve their lives?

Develop impact indicators from the baseline data on community attitudes and perceptions of protection problems and strategies that you and your partners collected using participatory methods.

What do I do with the information?

Indicators form part of your program design (and logframe if your organisation uses this model).

The indicators become the markers to monitor and assess your program in Steps 6 and 7.

See Tool 22 on how to measure impact with indicators through participatory processes.

Links with:

Step 4: Action Planning

Step 5: Action

Description

A risk assessment analyses the potential risks that could occur in the course of implementing your program and the consequences that could impact on individuals, staff and the program. (See page 63.)

Why is it useful?

A risk assessment aims to avoid placing individuals, NGO or partner staff in greater danger. Risks can be greater in conflict situations, due to the proximity of armed conflict, breakdown of law and order, disruption of social services and weakening of family and community coping strategies.

When adopting a community-based protection approach, you need to be particularly conscious of risks that may result from or impact on your program. The programs, presence and actions of NGOs and humanitarian agencies should not expose people to harm.

Who is involved?
A risk assessment involves consultation with:

Individuals and communities who are participants in your program;

Staff from your organisation and partners;

Government actors and other agencies.

What do I need?
You will need:

Protection Equation analysis (see Tool 7);

Lessons learnt from your organisation or others;

Recommendations or reports from other actors.

How do I do it?
You may choose to use a combination of participatory approaches, discussions with actors and internal organisation discussions.

It is essential that individuals and communities are involved in identifying risks and evaluating those risks as part of the program design, development and implementation process.

You may choose to integrate questions and activities to evaluate risk as part of your initial identification and analysis of protection problems, as well as part of your action-planning. Alternatively, you could carry out a separate exercise in focus groups and individual meetings to discuss risks associated with proposed actions.

As part of participatory processes, and again as part of your organisation review:[20]

Identify the risks that could impact on, or result from, your program. Identify what they are, why they take place and when they might occur.

Identify the likelihood of these risks occurring. Use a simple rating scale e.g. unlikely to very likely.

Identify the consequences of this risk. Include consequences relating to the safety of individuals and staff, as well as impact on assets, livelihoods, and environment.

Identify the main 5-6 consequences. Rate the severity of each consequence. e.g. 1 = extreme, 5 = insignificant.

If the consequences and likelihood are 'very likely' and extreme then you should not proceed with this program.

Identify areas that you are concerned about. Consider if you might be able to develop an alternative strategy that reduces risk. Could you work collaboratively with a range of NGOs on a problem, instead of alone? Could you refer the problem to a protection-specialist agency?

20 Method adapted from AusAID approach in AusGuideline General Guidance 6.3: Managing Risk AusAID 2005

What do I do with the information?
Develop a risk assessment report. This report identifies each risk, its likelihood and consequences, as well as what action could be taken to minimise the risks. This allows your organisation to monitor risks throughout the program cycle (particularly in steps 4, 5, and 6).

Risk	Likelihood	Consequences and rating	Community suggestions	Action

Action Tools

TOOL 18: How to develop internal processes for protection

Links with:
Step 4: Action Planning

Step 5: Action

Description
This tool helps you to develop internal processes to respond to protection problems so that you do not take unnecessary risks.

You can also support your partners to develop internal processes.

The tool sets out considerations to factor into your internal procedures and how and when to engage them.

It is important not to ignore problems that fall outside of your sector, mission or capacity. This tool helps you to develop a process for taking action to refer matters to other actors that have the expertise and capacity to act.

Why is it useful?

The programs, presence and actions of humanitarian agencies should not expose people to harm. Internal procedures can help to clarify:

Your organisation's commitment and position on protection problems, as well as the limits of your organisational resources, capacity and expertise;

Expectations of your role and responsibility in regard to protection problems so that staff do not carry out dangerous actions that can place individuals, communities, staff and partners at risk of harm;

Clarifying roles and responsibilities of staff in your organisation;

Clarifying next steps, such as who is responsible for referrals to protection specialist agencies, government departments or other identified actors.

Considerations

Commitment within an organisation is needed to ensure internal procedures are taken on board.

Communication and training for staff, including management may be needed to ensure that everyone within the organisation (from drivers to the head of office) understands what is expected of them and of their staff or managers, as well as the organisational limits.

In referring protection problems to other actors, you may need to seek consent from an affected person. The process for organising consent will vary according to the community, culture, and possibly by the crisis. It is essential that you are aware of these processes and organise consent well in advance, clearly communicating the purpose and nature of the discussions, and what you will do with the information.

Who is involved?

This is an internal document. It needs to be developed by the team or organisation that uses it and should be signed off by the head of office or appropriate manager.

What do I need?

Management commitment to taking action on protection problems.

The internal procedures may rely on other processes being in place. E.g. referrals will require establishing referral mechanisms or relationships being developed with other departments or agencies. See Tool 21 on individual meetings. Documentation will also require a filing system with confidentiality procedures.

Connection with other agencies or government departments. Understanding their roles and developing relationships to help clarify referral procedures and expectations. A referral to the wrong organisation can waste time, place people at risk and damage relations with that organisation.

How do I do it?

Develop internal procedures that confirm your organisation's commitment to take action to address protection problems. The internal procedures must inform staff what to do in the case of finding/learning about a protection problem. These can include:

Refer to management in your organisation;

Refer to another organisation (directly or by a manager);

Documentation – case note/interview note;

Confidentiality – secure physical storage/database, procedures in the event of an evacuation.

What do I do with the information?

Sign off by your Head of Office or manager (as appropriate).

Train and mentor staff on what the internal procedures mean, what is required of them, the importance of not causing harm and confidentiality processes.

Sharing with partner agencies and training.

Organisation proactively taking up the internal procedures, particularly with staff turnover and staff influxes during emergencies.

TOOL 19: How to develop a referral process

Links with:

Part A: 3 Dos and don'ts

Step 4: Action Planning

Step 5: Action

Description

A referral process means sharing information with another actor or actors with the capacity, expertise or responsibility to take action on that issue.

The information that you share can be about a specific individual or family, or may be on general themes e.g. violence among urban displaced.

Why is it useful?

Developing a procedure or process with trusted organisations and actors is very important because:

More effective assistance or action may be offered by other actors. It is essential to understand the limits of your organisation and make sure that you do not cause harm by taking risky or inappropriate action.

One actor cannot offer all assistance needed. It is important to consider the range of responses that may be needed to address protection problems. E.g. a survivor of rape may need medical attention, as well as assistance reporting the case to the police and psycho-social support.

Another actor may be responsible for responding or working on a specific problem. Government departments or protection specialist agencies may specialise in a particular protection problem. Avoid duplication of efforts.

Considerations

Great care must be taken. Sharing information without adequate safeguards could place people at further risk.

Any referral must have informed consent. You will need to explain your intentions and their implications to the individuals involved.

Information should only be shared with staff in trusted organisations or departments with whom you have a positive working relationship. (See below).

Who is involved?

Staff in your organisation and partners (where appropriate).

Trusted organisations, protection specialist agencies and government departments who receive referrals.

What do I need?

Processes may differ depending on your organisation and to whom you are referring.

You may be required to develop a written referral or have a signed consent form.

How do I do it?

Internal procedures can clarify which staff member within your agency is the focal point for referrals and the role of management in ensuring confidentiality procedures are in place. (See Tool 17 on how to develop internal procedures for protection.)

It is preferable to have established referral mechanisms within your organisation prior to a situation where you will need to use them.

In some contexts, referral mechanisms on certain protection problems may already be established and functioning. E.g. NGOs may refer cases of child recruitment to UNICEF and ICRC. If this is the case, use these existing processes. Do not duplicate existing procedures or take action where your organisation does not have expertise.

If there is no referral process, you will need to identify which actors are responsible for certain issues or have expertise in that area. Do this by researching the roles of different organisations, attending coordination meetings (such as the different cluster working groups), and carrying out an actor mapping. See Tool 10.

The person responsible for referrals within your organisation will need to develop relationships and rapport with the relevant actors. Procedures for referrals, confidentiality of information and expectations of the actions to be taken will need to be established.

Internal procedures for confidentiality and storage of information will need to be developed within your organisation. See Tool 18.

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TOOL 20: How to develop an advocacy strategy

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Links with:

Part A: 3 Dos and don'ts

Step 4: Action Planning

Step 5: Action

Description

An advocacy strategy is a plan developed with communities and other actors that identifies which problems you wish to address, how you will do it, who you will target, which actors you will engage with, and at what levels.

Advocacy can form a part of your program and your partner's work. Advocacy does not need to be a public campaign. It can be conducted in private and be direct or indirect. Every action that you take as an NGO sends a message.

Advocacy aims to influence attitudes and change behaviours. It aims to create awareness and attention on an issue or change required. Advocacy can increase capacities, and reduce threats and vulnerabilities.

Why is it useful?

An advocacy plan is needed because:

To make change happen, you will need to work with communities to identify the change they want to occur, identify the audience, target messages, and develop appropriate and safe advocacy methods.

Risks and dangers from different approaches must also be considered.

Considerations

A risk assessment of the advocacy plan is recommended. Certain issues or the timing of a publicly or privately delivered message may be very sensitive. This could cause harm to your organisation, partners and individuals.

Who is involved?

Individuals and communities are the key agents for identifying problems of concern, engaging in awareness raising or mobilising people at the community level on an issue.

Other actors, such as NGOs, local partners, UN agencies, local institutions, academics, human rights commissions, and government departments can also be involved.

How do I do it?

An advocacy plan maps out:

The protection problem.
As prioritised by communities, local partners, your organisation and other appropriate actors. See Step 3.

Your goals and objectives.
In defining goals, work closely with communities, local partners and other appropriate actors to consider:

> What needs to change? Why is change necessary?

> How much change is required?

> Who can make the change?

> What is the timeframe for change? Do you need immediate action or are you building awareness of an issue with the goal of longer term (environment building) change?

Your target. Refer to your actor mapping (Tool 10).

> Can you or your partners influence decision makers directly?

> Can you influence other powerful forces in society that can put pressure on decision makers? Who are these powerful individuals/groups and who are they connected with?

> What are their interests and motivating factors?

> What is the influence of the community or community members?

> Are there actors who are already positively engaged or interested in the issue that you could engage? Consider CBOs, NGOs, local media, women's organisations, clubs and groups, academics, social networks, village or community leaders, charities, religious institutions, local businesses, unions.

Your message. You need to focus your message on how you may be able to influence or persuade your target to take action to create the change you are seeking.

> What is your key message?

> What are your secondary messages?

Your approach. The best approach for your message.

> What is the most effective and safe way to access and persuade your target? Visible forms, low profile forms, public v private. Make sure you carry out a risk assessment.

> Advocacy can use a range of tactics and a progression of messages. You may work towards your key objective after you have built trust and rapport.

> Consider how this complements and integrates with other program activities of your organisation, your partners or other actors.

Follow up and ongoing review tools

Links with:

> Step 6: Follow up and ongoing review

Description

> Discussions held with another actor e.g. government department, UN agency or CBO.

> Can be formal or informal, depending on who you are meeting, location and your relationship with them.

> The time needed varies depending on the situation and your relationship.

Why is it useful?

> To learn or cross-check information on a particular problem from that person's or organisation/department's perspective.

> To better understand the role of that individual or organisation/department and their capacity and influence.

> To share information as a referral, or advocate with them to take action on a problem.

> Networking and relationship-building to avoid duplication, building on other agencies' lessons learnt and assisting coordination.

> You can support your local partners to meet with different actors by coaching them in liaison, networking and relationship building.

Considerations

> It is important to plan meetings carefully, even informal ones. Poorly prepared or judged meetings can damage relationships and put yourself and communities at risk.

> Make sure you are meeting the best person for your purpose.

When?

> Can be held throughout the program cycle.

Who do I meet?
Every situation is different. It is important to choose who you speak to and when, considering:

> What information am I trying to gather?

> Who will give me the information I need?

> Who can follow up and take action on the information I have?

> Which person is most appropriate to talk to, considering issues of security, location, translation?

> Where might I have the most influence?

> Am I the right person to hold this meeting? Is it better that a more senior or local or international staff member attend?

Who could I talk to that others have missed? (Carefully consider why others may not have talked to them – eg. no influence, politically biased, corrupt).

How do I do it?

Preparation is needed.

Carefully think through the questions you want to ask and the reason you are requesting the meeting.

Prepare the approach that you will use. Consider if you want to spend time building up a relationship before addressing the problem directly or if you need to address it directly.

If you are attending a meeting with colleagues, make sure that you are all in agreement on the key problems, questions and approach and that everyone understands the purpose of the meeting.

In an emergency, you may have very little time to prepare for meetings. Ask colleagues for some background on the person and department – even on the way to the meeting!

How do I arrange a meeting?

This will vary according to the culture, working environment and who you are meeting. Meetings can be arranged by letter, telephone or in person.

How do I hold a meeting?

Follow behaviour, gestures and comments appropriate for the culture and organisation you are meeting. If you are unsure, ask other colleagues.

Use key themes and questions as a guide but try to make the conversation flow.

What do I do with the information?

Summarise the meeting's action points at the end of the meeting to make sure everyone agrees on the outcomes.

Follow up on the meeting's action points as soon as possible.

Write a note of the meeting, as a record of issues discussed so that subsequent meetings arranged by you or other colleagues, build upon earlier discussions and do not repeat the same issues.

Accountability and learning tools

TOOL 22: How to use participatory review methods

Links with:

Step 7: Accountability and learning

Description

Accountability and learning is a community-based process that engages individuals and communities to evaluate the impact of the program, failures and areas of improvement.

Individuals, particularly poor and excluded people play a central role in examining the program's impact.

This is complemented by evaluation with partners.

Why is it useful?

To examine the impact of your program on people's safety and dignity through a participatory process.

To provide an opportunity for affected communities to examine the role and program of your organisation and your partners, and provide critical feedback. Accountability rests on you and your partners being examined by the community.

Programs are measured against indicators (developed from the baseline data on community attitudes and perceptions). You can use the indicators to monitor behaviour and attitudinal change throughout the program and evaluate program impact.

Considerations

Do not place people at risk of harm in carrying out the community review of the program. Always consider safety and security of the affected communities, your partners and staff.

Power dynamics within communities may mean that some issues or voices are not easily heard. Use a variety of techniques to engage different groups and facilitate feedback.

Measuring protection impacts can be difficult, as it can be hard for communities to attribute changes in safety and dignity to one program. It is important to examine factors outside the program to compare the impact of non-program factors.

Who is involved?

Communities and local partners involved in the program.

How do I do it?

By using a variety of techniques, you can engage of a variety of voices within communities, particularly less powerful, vocal or marginalised groups.

Focus groups

Focus group discussions with individuals who participated in the program can be used throughout the program to monitor progress, as well as at the end to review impact. See Tool 2.

Remind participants of the indicators set (see Tool 16) and discuss which factors contributed to the protection problem occurring or not (e.g. if the indicator was "women using camp toilets at night due to increased feeling of safety" ask women which factors made them feel safer/more secure and their impact on toilet use).

Another tool is to use a timeline to trace the development of other political, security or environmental factors that could have impacted on the program. See Tool 1.

Use ranking and scoring (see Tool 1) to determine the impact of each factor (including your program) on safety and dignity. Ask participants what could be done differently next time.

Using these different approaches (or those in Tool 1) can help you to cross-check and develop a comprehensive understanding.

Community review[21]

A process held every 3-4 months where nominated members from different villages (where the program operates) form a team and visit each village to verify program direction and achievements.

> This review aims to facilitate cross-learning, foster good practices and effectiveness; build a sense of community ownership and solidarity.

Public hearing

> A large gathering once a year attended by community members and local committees, local partners, staff from your NGO, local government officials and other actors.

> Partners discuss program plans, activities, budget and indicators.

> Community members openly discuss the achievements and missed opportunities with others present. Partners and your organisation answer questions about the program and next steps.

What do I do with the information?

> Document feedback and recommendations and share within your organisation and publicly (where appropriate).

> Develop new programs (or adapt existing ones) in line with recommendations.

21 Community review and public hearing based on Accountability to Rights Holders in the AAI Tsunami Response, Bijay Kumar and Moira O'Leary, "Exchanges: Accountability Edition), Issue 4, March 2009.

Annexes

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Glossary

Actors	Organisation, government department or individual with a role or influence on a protection problem.
Armed conflict	Conflict between states, and internal conflict between non-state armed groups and state armed forces.
Capacity	The conditions determined by physical, social, economic and environmental factors or processes, which decrease the susceptibility of a community to the impact of hazards and risks.
Community-based protection	Individuals and people acting together to achieve respect for and rights to safety and dignity.
Dignity	The feeling of having decision-making power, freedom and autonomy over life choices, together with the feeling of self-worth and self-confidence, and feeling one has the respect of others.[22]
Disaster	A serious disruption of the functioning of a community or a society causing widespread human, material, economic or environmental losses which exceed the ability of the affected community or society to cope using its own resources. [23]
Disaster risk reduction	The conceptual framework of elements considered with the possibilities to minimize vulnerabilities and disaster risks throughout a society, to avoid (prevention) or to limit (mitigation and preparedness) the adverse impacts of hazards, within the broad context of sustainable development. [24]
Displacement	When people flee their homes due to conflict, civil insecurity and/or natural disaster.
Integration	Integration of a community-based protection approach is actively carrying out activities and using an approach throughout the program cycle aimed at facilitating individuals and communities to achieve respect for rights in safety and dignity. Program activities, objectives and indicators can be both protection-oriented and related to the sector or area.
Internally displaced person	Persons or groups of persons who have been forced or obliged to flee or to leave their homes or places of habitual residence, in particular as a result of or in order to avoid the effects of armed conflict, situations of generalised violence, violations of human rights or natural or human-made disasters, and who have not crossed an internationally recognised State border.[25]

Mainstreaming	Mainstreaming protection aims to take preventative measures to make sure harm is not caused by action, rather than actively improving safety with dignity. Program activities, objectives and indicators do not have a protection component. Focus on sector or program area.
Non-state armed actor	Organised armed groups e.g. militias and guerrilla groups.
Program cycle	The analysis, planning, implementation and review cycle for humanitarian and development programs.
Protection	All activities aimed at obtaining full respect for the rights of the individual in accordance with the letter and the spirit of the relevant bodies of law (i.e. human rights law, humanitarian law and refugee law).[26]
Protection problem	When people cannot achieve their rights to safety with dignity due to violence, coercion, exploitation, deprivation and neglect. Protection problems can be both risks, as well as actions already occurring.
Refugee	Owing to well-founded fear of being persecuted for reasons of race, religion, nationality, membership of a particular social group or political opinion, is outside the country of his nationality and is unable, or owing to such fear, is unwilling to avail himself of the protection of that country; or who, not having a nationality and being outside the country of his former habitual residence as a result of such events, is unable or, owing to such fear, is unwilling to return to it.[27]
Safety	The situation or condition of achieving physical, economic, social and psychological security.
Stand alone programs	Actively focus on safety with dignity in the approach throughout the program cycle. Program activities, objectives and indicators are focused on protection outcomes.
State	A country as well as the official bodies of that country e.g. government, army, police.
Threat	The individuals, groups or circumstances causing or contributing to the protection problems.
Vulnerability	The conditions determined by physical, social, economic and environmental factors or processes, which increase the susceptibility of an individual or community to the impact of hazards and risks. e.g. age, gender, poverty or location.

22 Based on "dignity" definition in Protection: An ALNAP Guide for Humanitarian Agencies, Hugo Slim and Andrew Bonwick, 2005.
23 Living with Risk: Global Review of Disaster Reduction Initiatives (Annex: Terminology Basic Terms of Disaster Risk Reduction), UNISDR, 2004
24 Living with Risk, UNISDR, 2004
25 Guiding Principles on Internal Displacement, Preamble paragraph 2, 1998
26 Strengthening Protection in War: A Search for Professional Standards, ICRC 2001
27 Convention Relating to the Status of Refugees 1951 and 1967 Protocol, Article 1

Acronyms and Abbreviations

CBO	Community-based Organisation
DRR	Disaster Risk Reduction
IASC	Inter-Agency Standing Committee
ICRC	International Committee of the Red Cross
IDP	Internally Displaced Person
IHL	International Humanitarian Law
NFI	Non-food Item
NGO	Non-government Organisation
OCHA	UN Office for the Coordination of Humanitarian Affairs
OHCHR	UN Office for the High Commissioner for Human Rights
RBA	Rights-based Approach
UN	United Nations
UNICEF	United Nations Children's Fund
UNHCR	United Nations High Commissioner for Refugees

Additional Resources

Accountability and Learning

Accountability, Learning and Planning System ActionAid International http://www.actionaid.org/main.aspx?PageId=261

Good Enough Guide: Impact Measurement and Accountability in Emergencies, Emergency Capacity Building Project, 2007

http://www.ecbproject.org/page/41

Accountability to Rights Holders in the AAI Tsunami Response, Bijay Kumar and Moira O'Leary, 'Exchanges: Accountability Edition), Issue 4, March 2009.

http://www.actionaid.org/exchanges/issue_4/account_tsunami.html

Children

Core Commitments for Children in Emergencies, UNICEF 2005

http://www.unicef.org/publications/index_21835.html

Getting it Right for Children: A Practitioner's Guide to Child Rights Programming, Save the Children Alliance, 2007

http://www.savethechildren.org.uk/en/54_3878.htm

Child Rights Programming Handbook, Save the Children Alliance, 2002

http://www.savethechildren.net/alliance/about_us/accountability/crphandbook.pdf

Toolkits: A Practical Guide to Monitoring, Evaluation, and Impact Assessment, Save the Children Alliance 2003

http://www.savethechildren.org.uk/en/54_2359.htm

Civil-Military Cooperation

Civil-Military Relations in Complex Emergencies: IASC Reference Paper, 28 June 2004

http://www.humanitarianinfo.org/iasc/downloaddoc.aspx?docID=4412&type=pdf

United Nations Civil-Military Coordination Officer Field Handbook, UNOCHA 2007

http://ochaonline.un.org/OchaLinkClick.aspx?link=ocha&docId=1088671

Conflict Situations

Enhancing Protection of Civilians in Conflict and other Situations of Violence, ICRC 2008

http://www.icrc.org/Web/Eng/siteeng0.nsf/htmlall/p0956/$File/ICRC_002_0956.PDF

Conflict Sensitive Approaches to Development, Humanitarian Assistance and Peacebuilding: Tools for Peace and Conflict Impact Assessment Africa Peace Forum, Center for Conflict Resolution, Consortium of Humanitarian Agencies, Forum on Early Warning and Early Response, International Alert, Saferworld, 2004.

http://www.conflictsensitivity.org/node/8

Disability

Disability in Development: Experiences in Inclusive Practices, Handicap International and Christian Blind Mission 2006

http://www.handicap international.org.uk//files/Disability%20in%20Development%20-%20Experiences%20in%20Inclusive%20Practices,%202006.pdf

Understanding Community Approaches to Handicap in Development (CAHD), Handicap International 2001

http://www.handicap-international.org.uk/pdfs/Understanding_CAHD.pdf

Gender-based Violence

Gender-based Violence Interventions in Emergency Settings, Interagency Standing Committee, 2005

http://www.humanitarianinfo.org/iasc/pageloader.aspx?page=content-subsidi-tf_gender-gbv

Sexual and Gender-based Violence Against Refugees, Returnees and Internally Displaced Persons: Guidelines for Prevention and Response, UNHCR 2003

http://www.unhcr.org/refworld/docid/3edcd0661.html

General Protection Guides

Protection: An ALNAP Guide for Humanitarian Agencies, Hugo Slim and Andrew Bonwick, 2005.

http://www.alnap.org/publications/protection/index.htm#

Proactive Presence: Field Strategies for Civilian Protection, Liam Mahoney/ Centre for Humanitarian Dialogue, 2006

http://www.hdcentre.org/files/Proactive%20Presence.pdf

Improving the Safety of Civilians: A Protection Training Pack, Sophia Swithern and Rachel Hastie, Oxfam, 2009

http://publications.oxfam.org.uk/oxfam/display.asp?K=9780855986162#contents

Strengthening Protection in War: A Search for Professional Standards (Geneva: ICRC) 2001

http://www.icrc.org/Web/eng/siteeng0.nsf/iwpList125/C751BDF4EDB54F30C1256C5A0052C899

Growing the Sheltering Tree: Protecting Rights Through Humanitarian Action, IASC 2002

http://www.icva.ch/doc00000717.html

Measuring Protection by Numbers, UNHCR, 2006

http://www.unhcr.org/refworld/docid/45ba06444.html

Protective Action: Incorporating Civilian Protection into Humanitarian Response, Sorcha O'Callaghan and Sara Pantuliano, Humanitarian Policy Group, Report 26, December 2007

http://www.odi.org.uk/resources/download/1084.pdf

Internally Displaced Persons

Guiding Principles in Internal Displacement, 1998

http://www2.ohchr.org/english/issues/idp/standards.htm

Manual on Field Practice in Internal Displacement Inter-Agency Standing Committee 1999

http://www.reliefweb.int/ocha_ol/pub/IDPManual.pdf

Handbook on the Protection of Internally Displaced Persons, Global Protection Cluster Working Group, 2008

http://ocha.unog.ch/humanitarianreform/Default.aspx?tabid=294

Natural Disasters

Human Rights and Natural Disasters: Operational Guidelines and Field Manual on Human Rights Protection in Situations of Natural Disaster, IASC 2008

http://www.humanitarianinfo.org/iasc/pageloader.aspx?page=content-products-products&sel=1

Protecting Persons Affected by Natural Disasters - Operational Guidelines on Human Rights and Natural Disasters IASC 2006

http://www.humanitarianinfo.org/iasc/pageloader.aspx?page=content-products-products&sel=1

Older Persons

United Nations Principles for Older Persons (General Assembly Resolution 46/91 of 16 Dec 1991)

http://www.un.org/documents/ga/res/46/a46r091.htm

Humanitarian Action and Older Persons: An Essential Brief for Humanitarian Actors, IASC, 2008

http://www.humanitarianreform.org/humanitarianreform/Portals/1/cluster approach page/clusters pages/Protection/IASC_Older persons_Oct08.doc

Older People in Disasters and Humanitarian Crisis: Guidelines for Best Practice, HelpAge International / UNHCR

http://www.helpage.org/Emergencies/Resources?autocreate_RelatedHelpagePublicationList_start=11

Protecting and Assisting Older People in Emergencies, HPN Paper 53, ODI, 2005

http://www.odihpn.org/documents/networkpaper053.pdf

Older People and Discrimination in Crisis, World Disasters Report (Chapter 3), IFRC, 2007

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Strong and Fragile: Learning from Older People in Emergencies, HelpAge International / IASC / UNFPA, 2007

http://www.helpage.org/Emergencies/Agendaforaction

Rebuilding lives in longer-term emergencies: Older people's experience in Darfur, HelpAge International. 2006

http://www.helpage.org/Resources/Researchreports/Rebuildinglives

Participatory Approaches

Participatory Vulnerability Assessment, ActionAid International

http://www.actionaid.org.uk/100262/participatory_vulnerability_analysis.html

Reflect, ActionAid International

http://www.actionaid.org.uk/index.asp?page_id=100327

UNHCR Tool for Participatory Assessment in Operations, UNHCR 2006

http://www.unhcr.org/450e963f2.html

Community-based Approach in UNHCR Operations, 2008 http://www.unhcr.org/refworld/docid/47da54722.html

Participatory Impact Assessment: A Guide for Practitioners, Andrew Catley, John Burns, Dawit Abebe and Omeno Suji, Feinstein International Center, Tufts University, 2007

https://wikis.uit.tufts.edu/confluence/display/FIC/Participatory+Impact+Assessment--+a+Guide+for+Practitioners

Psycho-social

IASC Guidelines on Mental Health and Psycho-social Support in Emergency Settings, 2007

http://www.humanitarianinfo.org/iascweb2/pageloader.aspx?page=content-products-products&productcatid=22

ActionAid Psycho-social Manual (forthcoming)

Refugees

Protecting Refugees: A Field Guide for NGOs, UNHCR 1999

http://www.unhcr.org/cgi-bin/texis/vtx/refworld/rwmain?page=search&docid=3c03682d4

Operational Protection in Camps and Settlements: A Reference Guide of Good Practices in the Protection of Refugees and Other Persons of Concern, UNHCR 2006

http://www.unhcr.org/cgi-bin/texis/vtx/refworld/rwmain?page=search&docid=44b381994

Handbook for Self-reliance, UNHCR 2005

http://unhcr.org/publ/PUBL/44bf40cc2.html

Responsibility to Protect

The Responsibility to Protect: The Report of the International Commission on Intervention and State Sovereignty, December 2001

http://www.iciss.ca/report2-en.asp

Risk Assessment

Reducing Risk of Disaster in our Communities, Tearfund 2006

http://tilz.tearfund.org/Publications/ROOTS/Reducing+risk+of+disaster+in+our+communities.htm

AusGuideline General Guidance 6.3: Managing Risk AusAID 2005

http://www.ausaid.gov.au/ausguide/pdf/ausguideline6.3.pdf

Standards

Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief

http://www.icrc.org/web/eng/siteeng0.nsf/htmlall/code-of-conduct-290296

Minimum Agency Standards for Incorporating Protection into Humanitarian Response, Field testing version, 2009

http://www.icva.ch/doc00002448.pdf

Sphere Project Humanitarian Charter and Minimum Standards in Disaster Response, 2004 edition

http://www.sphereproject.org

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Key treaties

Protection rests on human rights, humanitarian and refugee law.

Human rights law

International Covenant on Civil and Political Rights (ICCPR):
http://www2.ohchr.org/english/law/ccpr.htm

International Covenant on Economic, Social and Cultural Rights (ICESCR):
http://www2.ohchr.org/english/law/cescr.htm

Convention on the Elimination of all Forms of Racial Discrimination (CERD):
http://www2.ohchr.org/english/law/cerd.htm

Convention on the Elimination of all Forms of Discrimination Against Women (CEDAW):
http://www2.ohchr.org/english/law/cedaw.htm

Convention on the Rights of the Child (CRC):
http://www2.ohchr.org/english/law/crc.htm

Convention on the Protection of All Rights of Migrant Workers and Members of Their Families:
http://www2.ohchr.org/english/law/cmw.htm

Convention Against Torture and Other Cruel, Inhuman and Degrading Treatment or Punishment (CAT):
http://www2.ohchr.org/english/law/cat-one.htm

Convention on the Rights of Persons with Disabilities:
http://www2.ohchr.org/english/law/disabilities-convention.htm

International Convention for the Protection of All Persons from Enforced Disappearance (not yet entered into force)
http://www2.ohchr.org/english/law/disappearance-convention.htm

Refugee Law

1951 Convention relating to the Status of Refugees
http://www2.ohchr.org/english/law/refugees.htm
1967 Protocol relating to the Status of Refugees
http://www2.ohchr.org/english/law/protocolrefugees.htm

International humanitarian law

1907 Hague Convention and Regulations
http://www.icrc.org/ihl.nsf/385ec082b509e76c41256739003e636d/1d1726425f6955aec125641e0038bfd6

Geneva Conventions: 12 August 1949

Convention (I) for the Amelioration of the Condition of the Wounded and Sick in Armed Forces in the Field:
http://www.icrc.org/ihl.nsf/7c4d08d9b287a42141256739003e636b/fe20c3d903ce27e3c125641e004a92f3
Convention (II) for the Amelioration of the Condition of Wounded, Sick and Shipwrecked Members of Armed Forces at Sea:
http://www.icrc.org/ihl.nsf/7c4d08d9b287a42141256739003e636b/44072487ec4c2131c125641e004a9977
Convention (III) relative to the Treatment of Prisoners of War:
http://www.icrc.org/ihl.nsf/7c4d08d9b287a42141256739003e636b/6fef854a3517b75ac125641e004a9e68
Convention (IV) relative to the Protection of Civilian Persons in Time of War:
http://www.icrc.org/ihl.nsf/7c4d08d9b287a42141256739003e636b/6756482d86146898c125641e004aa3c5

Additional Protocols to the Geneva Conventions 8 June 1977:

Protocol Additional to the Geneva Conventions of 12 August 1949, and relating to the Protection of Victims of International Armed Conflicts (Protocol I)
http://www.icrc.org/ihl.nsf/7c4d08d9b287a42141256739003e636b/f6c8b9fee14a77fdc125641e0052b079
Protocol Additional to the Geneva Conventions of 12 August 1949, and relating to the Protection of Victims of Non-International Armed Conflicts (Protocol II)
http://www.icrc.org/ihl.nsf/7c4d08d9b287a42141256739003e636b/d67c3971bcff1c10c125641e0052b545

Mine Ban Treaty

http://www.icbl.org/index.php/icbl/Treaties/MBT/Treaty-Text-in-Many-Languages/English

Cluster Munitions Convention

http://www.icbl.org/index.php/icbl/Treaties/CCM/Text-in-Many-Languages/English2

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