



PROTECTION INFORMATION MANAGEMENT (PIM) TRAINING RESOURCE PACK

ACKNOWLEDGEMENTS

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The PIM Training Team would like to thank all PIM stakeholders, who have contributed to the development and revision of the 1st and 2nd edition of the PIM Training Resource Pack.

The PIM Training Resource Pack is based on content developed in 2016 by the PIM Training Team. The 2018 version has been further edited and additional content developed and added, with input from [PIM stakeholders](#) including the global network of PIM trainers and 'PIM Champions', involved in PIM trainings in 2016-18.

For feedback and suggestions, please contact the PIM Team (contact details available here: <http://pim.guide/contact-us/>).

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PREFACE

Protection data and information on affected populations is *key* for building *evidence* and *informing* and *supporting* protection analysis, protection strategy, and protection response.

The Protection Information Management (PIM) Initiative was launched in 2015 with the objective of *providing quality data and information on people in displacement situations in a safe, responsible, and meaningful way*. The ‘PIM Conceptual Framework’ offers a disciplined and structured approach to safe and responsible management of data and information, efficient and targeted use of resources and to enable the coordination, design, and delivery of protection outcomes and humanitarian response.

The PIM Initiative builds upon and complements other ongoing initiatives, makes use of existing structures and is inherent to the Humanitarian Programme Cycle. As such, *PIM is for everyone, and participation in the PIM Initiative is open to all*.

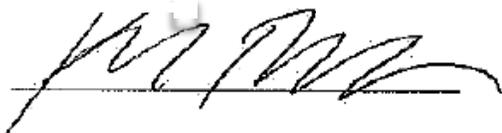
The PIM Training Resource Pack has been developed by the Danish Refugee Council (DRC) in partnership with the Global Protection Cluster (GPC) and UNHCR in consultation with members of the PIM Reference Group, with the intention of making PIM learning widely available to a global audience of practicing professionals, working across sectors and diverse response situations.

Drawing on adult learning theory, it is designed to enhance fundamental PIM competencies through five different training packages, and offers comprehensive and user-friendly instructions for how to plan and deliver learning events. This 2nd edition has undergone revision in 2017/18 in order to reflect the latest developments from the PIM community, including the “PIM Process” and the “Framework for Data Sharing in Practice”.

We hope that this PIM Training Resource Pack will be used widely, and that it will serve to further create ownership and foster use and adaptation of the PIM Conceptual Framework and its components by colleagues and stakeholders across humanitarian and development contexts.

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INTRODUCTION AND INSTRUCTIONS FOR USE

Background

Protection Information Management (PIM) refers to the principled, systematized, and collaborative processes to collect, process, analyse, store, share, and use data and information to enable evidence-informed action for quality protection outcomes.

PIM has as its core objective to provide quality data and information on the protection of displaced individuals and groups in all possible types and phases of an operation or situation, and to do so in a safe, reliable, and meaningful way. These processes are an embedded part of the protection work of humanitarian organizations responding in displacement situations, which enable evidence-based decision-making, protection response and the achievement of protection results and outcomes. As such, the intention of PIM is not to introduce new concepts to the humanitarian community, but rather to articulate already existing elements into a unified and inter-disciplinary conceptual framework.

The PIM Initiative began in 2015, as a collaborative initiative co-led by the Danish Refugee Council (DRC) and the United Nations High Commissioner for Refugees (UNHCR) with participation and contributions from an increasing group of colleagues from across the UN, NGOs, academia and other institutions working to respond to protection needs in situations of displacement. The PIM Initiative has been developed in a series of PIM Working Meetings¹, and by a PIM Reference Group led by DRC and UNHCR. The PIM Initiative is collectively owned by the contributing members of this PIM community.

The PIM Working Meetings have resulted in the articulation of the PIM Framework encompassing components of the PIM definition, principles, core competencies, common terminology, matrix, process, and other resources. This has been done with a view to frame a common and shared understanding of PIM within the humanitarian community, which can facilitate the targeted use of protection resources, coordinated protection response, and life-saving protection interventions to a degree otherwise not possible.

PIM capacity building and training for enhancement of PIM core competencies is integral to the PIM Initiative and a persistent priority point in the PIM Strategic Framework 2018-19².

This PIM Training Resource Pack has been developed by the DRC in partnership with the Global Protection Cluster (GPC) in close collaboration with UNHCR and with input from members of the PIM Reference Group.

¹ For more information about the PIM Working Meetings and outcome documents, please visit: <http://pim.guide/guidance-and-products/>.

² PIM Strategic Framework 2018-19 available at: <http://pim.guide/uncategorized/protection-information-management-strategic-framework-2018-2019/>

The PIM Training Resource Pack has been developed to enhance specific PIM competencies in the form of skills, knowledge and attitudes, identified by the PIM collaborators or partners as fundamental for the humanitarian community's ability to collect, process, analyse, store, share, and use data and information in safe, reliable, and meaningful way for quality protection outcomes. Each module of the PIM training is designed to enhance a particular set of competencies.

With funding from the European Commission's Humanitarian Aid Office (ECHO), it has been possible to make PIM trainings available in English and French both as a 5-day residential PIM training³, as well as in its present modularized Training Package form intended to further expand access to and use by a global audience to PIM learning.

What is the PIM Training Resource Pack?

Who is it for?

This PIM Training Resource Pack has been developed for a global audience of humanitarian professionals and related stakeholders, whose responsibilities encompass learning and capacity building and support in technical fields related to PIM, across all types of response situations, including outside of the protection sector. It has been designed with the intention of making PIM learning widely accessible to a global audience, by offering accessible and comprehensive guidance and instructions on how to plan and deliver PIM training events to enhance specific PIM competencies.

It is not necessary to have completed a PIM Training of Trainers or to be a certified PIM expert in order to deliver a PIM training event using this Training Resource Pack. Necessary technical pre-requisites are:

- A good understanding of protection and a basic understanding of information management;
- A good understanding of the response coordination structure and programme cycle as well as exposure to the inter-sections between protection and information management;
- Prior experience in planning and delivering workshops and trainings is furthermore advisable for prospective facilitators.

What is in a training package?

The PIM Training Resource Pack consists of 5 different training packages each made up of a collection of modules, which have been composed and designed with a view to facilitating learning and enhancing specific sets of PIM competencies.

Each of the 5 training packages is introduced with details about the learning stream it offers, a specification of the target group as well as general instructions for delivery and time and preparation required.

³ With funding from ECHO, between 2016 and 2018, through a series of 5-day PIM trainings organized by the Danish Refugee Council in partnership with the Global Protection Cluster, an expected number of approximately 250 humanitarian professionals will have become 'PIM Champions' (a title earned for completion of a full 5-day PIM training).

Depending on resources and on the learning need and interest of the target group, a prospective facilitator can choose to deliver all 5 PIM learning packages in their entirety as a full 5-day PIM training⁴, to deliver specific packages or only selected modules in the form of shorter learning events ranging in duration from 30 minutes to one full day.

What will learners experience?

The PIM Resource Pack is designed based on adult learning theory, and sets out to bring the experience and expertise of training participants into play through interactive and learning-centered activities. In concrete terms, each training module is based on the “70:20:10” model for adult learning, which is a learning and development reference model that captures the three types of learning, and recognizes that adult learning is best facilitated by engaging adult training participants on several levels:

- 70% – Experiential/experience: Applying and putting into play own experience and expertise.
- 20% – Social/exposure: Engaging with and learning from others.
- 10% – Formal/education: Learning and developing through formal presentations and theory.

Adult learning theory undergirds each of the modules of the PIM Training Resource Pack, with comprehensive guidance for the facilitator.⁵

What is in a training module?

Each module consists of practical guidance for the facilitator on preparations and delivery, as well as readings on the technical subject matter which the module sets out to facilitate learning on. The modules are designed for a target group of up to 28 participants, but can be delivered for participant groups ranging in size between 3 and 28 depending on the module (Adjustments to the methodology is subsequently required by the prospective facilitator in order to match the exact participant number). Cross-cutting elements to of the modules intended to support planning and facilitation are the following:

PIM competencies: Specification of the (combination of) knowledge/skills/attitudes which the module sets out to enhance.

Learning objectives and outcome: Each module is designed around specific ‘learning objectives’ related to enhancement of key PIM competencies⁶, which are paired with concrete ‘learning outcomes’ - which specify the learning points which participants are expected to walk away with after module completion.

⁴ For guidance on how to deliver all training packages in a full 5-day training, please refer to the Standard Operating Procedure and collection of relevant resources available at:

https://www.dropbox.com/sh/1q4l3omndnb9auv/AAAMp3w8DC_mn1yYW0zQq75Va?dl=0

⁵ A collection of further adult learning resources and facilitation using the “70:20:10” model, can furthermore be accessed here: <https://www.dropbox.com/sh/y77a8xvvolpgrm8/AAD68DvYa33pdgoKQcn17yAa?dl=0>

⁶ A list of 32 PIM core competencies have been defined by the PIM community, out of which the PIM Training Resource Pack offers training specifically related to 15. For more information about the PIM core competencies, please visit: <http://pim.guide/guidance-and-products/>.

Key messages: A summary of key messages throughout the module serve as a reference point for the facilitator's module facilitation.

Module delivery instructions: Outlining the specific method for facilitation required for each module as a step-by-step guidance which ensures consistency in delivery of the PIM Training Resource Pack across locations and facilitators. The module delivery instructions are supplemented by 'Facilitator notes' about the subject matter presented in each module.

'Moment of Zen': Each module concludes with a short video message which reiterates the key messages of the module and allows for reflection.

Power point: A power point presentation is available for each module (can be accessed through hyperlinked annex at end of each module). For ease of reference, the module outline lists associated pages of the power point presentation (caution: it is discouraged for facilitators to rely on these as more than visual reference, as this is not compatible with the participatory design of the PIM training modules).

Print materials: All print material needed to deliver a specific module is available as Annexes at the bottom of the module description (with hyperlinks to electronic documents which can be downloaded and printed for use), including for the following:

- Module learning sheet: A handout to be given to participants at the beginning of a module for their use throughout (contains summary of key information, offer space for note-taking, instructions for module activities and a list of recommended resources). If several modules are facilitated in conjunction as a part of a full package, the facilitator is advised to print and staple all the relevant module learning sheets into one hand-out participant learning work book.
- Handouts: Any handouts needed for module delivery.
- Module feedback form: A standardized feedback form for completion by participations in a PIM learning event delivered using the PIM Training Resource Pack.

What resources are required to deliver a PIM training event?

Careful reading of the practical instructions for the delivery of each module will provide a full overview of what is needed.

As a rule of thumb, in terms of time required, the prospective training event facilitator should look at the duration of a module, and plan to invest this time x 4, in order to have sufficient time to plan, organize and deliver a quality training event.

While all content required for the delivery of a PIM training event is contained within the present PIM Training Resource Pack, in general a prospective training event facilitator must have at their disposal a training facility (i.e. a conference room large and bright enough to comfortably host the intended number of participants in various activity types) and have a supply of common stationary (flipchart, flipchart paper, markers, post-its, and sticky tack).

Facilitator step-by-step instructions

For successful training event delivery, it is recommended that PIM training event facilitators follow the below listed steps in the outlined order:

Step 1: Define target group and learning needs

Define the training group and their learning need and interest. Based on this you can make a decision about which training package or modules to deliver (by reviewing the package learning stream, module competencies, learning objectives, outcomes and key messages, see [Overview Sheet](#)⁷).

Step 2: Familiarize yourself with the selected module/s

Read the instructions for delivery of the chosen module/s carefully in order to plan for all practicalities and to ensure that you are sufficiently familiar with the subject matter by reading through the footnoted key resources ahead of time.

Step 3: Establish baseline

Conduct a pre-training survey to establish competency baseline (participants' level of familiarity with and prior experience of relevance to the learning event). As facilitator, this will enable you to bring the experience and expertise of training participants into play through interactive and learning-centered activities – e.g. in discussions and design of dynamic groups for group-based activities.

Step 4: Practicalities

The most effective adult learning environment is characterised by physical comfort, absence of external noise, adequate wall space, good and natural light, and unobstructed views throughout the room. Seamless handling of practicalities, supplies and equipment contributes to the conducive learning environment.

- Ensure that the necessary supplies and equipment (specified in the module instructions) are ready in advance of your session.
- Become familiar with the training facility (and know who to call with facility questions such as power failures etc.).
- Set up the tables and chairs in the most useful way to support your training activities. The same room with the same tables and chairs can be used to support many different functions.
- Locate electrical outlets, air conditioning and lighting controls – ask maintenance staff how to use and adjust all of them.
- Practise using the computer system well ahead of time. Do not assume 'they are all alike'. Always test the slide presentation the room using the projector and screen you will actually use for the training.
- Check to be sure that all audio-visual equipment (for PowerPoint, video via laptop and data projector) is available and working. Test out the projection system as well as the sound quality.

⁷ The Overview Sheet offers an overview over all packages and modules of the PIM Training Resource Pack. Available in: https://www.dropbox.com/sh/tkfc6snxekmmvr/AACQXqXq9l4_sIGt4zlvwRlBa?dl=0

- Try to anticipate problems – and have a backup plan! (If the information on the slides is critical for you, know how you can make quick paper copies for distribution, or be ready to use flip charts and markers to clarify key points or recreate critical diagrams.
- If relying on internet-connection for certain parts of the module, check that bandwidth is sufficient and have a backup-plan if the connection fails. Videos work best if downloaded in advance.
- For longer and more demanding learning events, it is recommended to have someone to be on-site who can serve as practical focal point.

Step 5: Successful facilitation of learning event

Facilitators can draw on the following for good practices; keeping in mind that an ideal learning environment rarely exists, thus remaining flexible is essential:

- Establish procedural rules – for example, about turning off mobile/cell phones, allowing questions at any time, keeping statements short, etc. – at the beginning of training so that then learners clearly know what is expected of them.
- Use the experience in the room – draw on what you learned during step 3 by reading the participants' backgrounds and learning motivations.
- Learning is experience based, not materials based – reference the case studies and examples.
- Focus on the key messages as a way to immediately measure your progress.
- Allow participants time to ask questions about the topic; but, keep on message and use a 'parking lot' for anything outside the topic.
- Use your previous experience to highlight points – making it personal helps.
- Keep an eye on the temperature of the room; if there is tiredness, take a break or do an energizer.
- Keep flip charts and other material on the walls, and ensure it is tidy and ordered. Towards the end of an event, they may serve as 'institutional memory' and be used for review-sessions or reference if the module is delivered in conjunction with other training modules.
- Keep learners involved and active to prevent most difficult situations from occurring.

Step 6: Evaluation and feedback

Have participants spend 3-5 minutes completing the standard evaluation form (available as annex for each module) before leaving the venue. As facilitator you can use the feedback received to measure learning outcomes and, as a basis for improvement of your future delivery of training event.

In order to inform the global tracking of use and impact of the PIM Training Resource Pack you are also encouraged to submit a copy of the feedback summary to the PIM Training Team (pimtraining@drc.ngo) along with details about date and brief outline of the learning event.

TRAINING PACKAGES

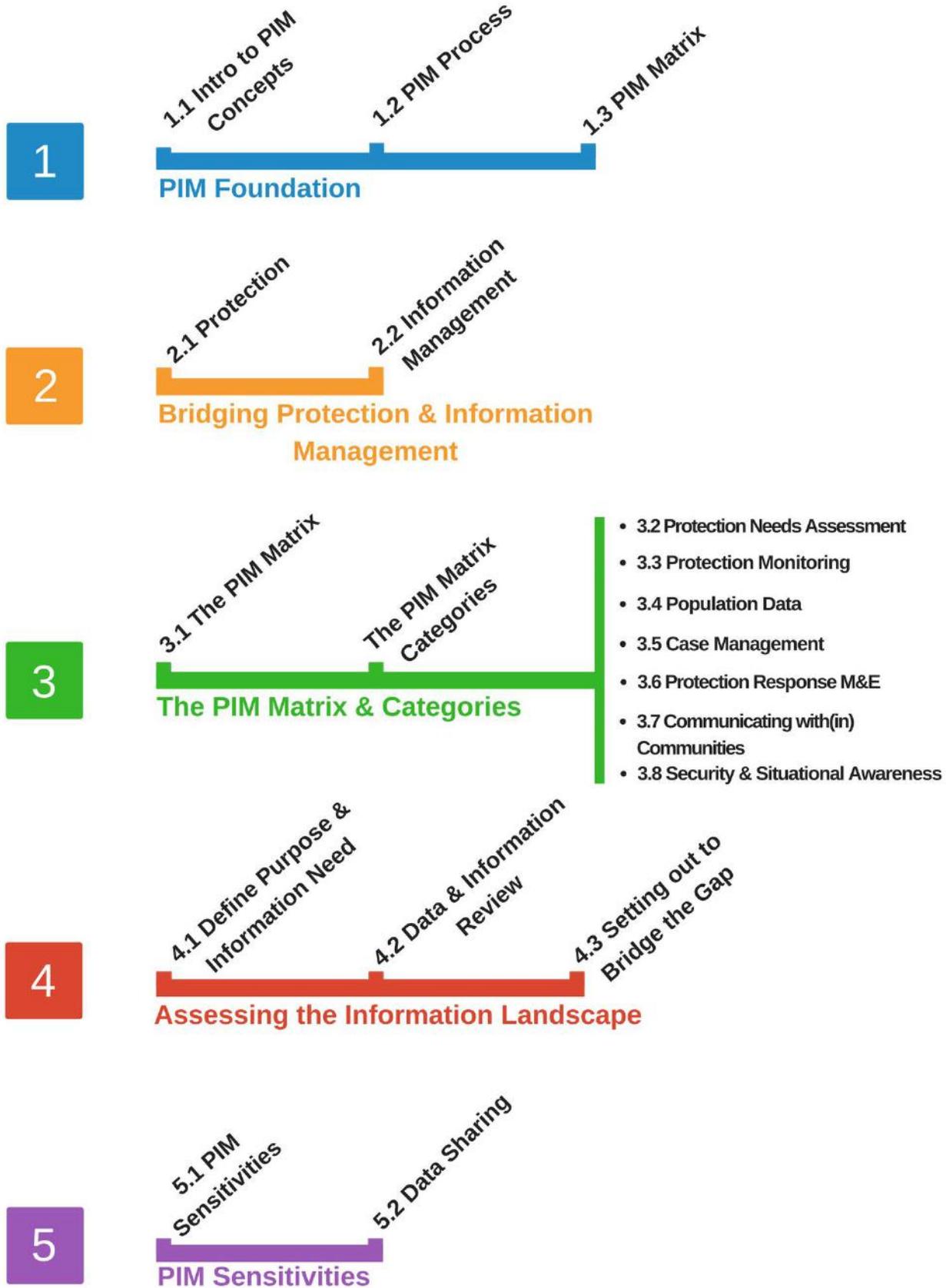


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1.1 Intro to PIM
Concepts

1.2 PIM Process

1.3 PIM Matrix

PIM Foundation

Package 1:

PIM Foundation

What this package offers:

This package introduces protection information management as a discipline, and through the exploration of the components of the PIM conceptual framework, builds foundational attitudes, skills and knowledge for principled, systematized and collaborative PIM work.

Content:

Module 1.1: Introduction to PIM concepts (1 hour and 25 minutes)

Module 1.2: The PIM Process (35 minutes)

Module 1.3: The PIM Matrix (1 hour and 40 minutes)

Target group: The target group for this package is participant groups of 10-28 persons. This training package is suitable both for participants with no or very little prior knowledge of PIM, as well as for participant-groups already familiar with PIM as a discipline and its components. This training package will enable participants with diverse experiences and functional expertise to arrive at a shared understanding of PIM fundamentals, which will serve as a basis for enhanced collaboration. It also provides the basics that allow for the further exploration of PIM through the other Packages of the PIM Training Resource Pack.

Instructions for delivery: While the 3 modules of this training package are designed to be delivered together in one learning event, they are also suitable for stand-alone delivery, depending on the context and the target group's prior level of PIM awareness.

Please note that the PIM Matrix module (1.3) is also part of PIM training package 4, where it serves as framework for the delivery of the PIM Matrix category modules (3.1 – 3.8). Of course, if a PIM learning event includes both package 1 and package 4, then the module on the PIM Matrix should only be delivered once.

Time and preparation required: The preparation required for each module is specified in the module descriptions. A common point for all three modules of this training package is that the facilitator should ensure that participants have been exposed to the PIM definition prior to the training event. This could be done through mention in the training event invitation sent to participants and/or through advance circulation of the 'PIM Quick Reference Flyer'⁸.

⁸ The PIM Quick Reference Flyer' is available at: http://pim.guide/wp-content/uploads/2018/04/Quick-Reference-Flyer_Principles_Matrix_Process_2018-1.pdf

MODULE 1.1 - Introduction to PIM concepts

Core competencies –

Attitude: Support an inclusive and transparent approach to PIM.

Skill: Able to develop a principled PIM plan.

Module objectives	Module learning outcomes
<p><u>The session will:</u></p> <ul style="list-style-type: none">• Introduce the PIM Initiative.• Define PIM as a discipline.• Recall PIM core competencies.• Explain why PIM is important to the humanitarian community.• Explain PIM Principles and relate them to current humanitarian work.	<p><u>After the session participants will be able to:</u></p> <ul style="list-style-type: none">• Recall the background for the PIM Initiative.• State the PIM definition.• Recall inter-disciplinary nature of PIM core competencies required to do PIM work.• Resonate why PIM is important.• Provide a practical example of PIM Principle application.

Key messages:

1. The PIM Initiative was started in 2015 as a multi-stakeholder initiative with the vision of to working together to develop, consolidate, and disseminate a conceptual framework for protection information management, to be used to achieve better protection outcomes for affected people in displacement situations.
2. PIM is important (to the humanitarian community) because it serves as a basis for principled, systematized and collaborative processes to enable evidence-informed action for protection outcomes.
3. As a discipline, PIM supports and facilitates our ability to manage and provide protection data and information in a safe, responsible, and purposeful manner.
4. PIM competencies combine the key skills, attitudes and knowledge of protection and IM, and thereby serve as a basis for breaking down discipline siloes and fostering dialogue and collaboration.
5. The PIM Principles do not introduce new concepts and values. They reflect the consensus in the PIM community (in both protection and IM) about the key principles that should be followed by practitioners to ensure safe, responsible, and meaningful PIM work. These principles underlie and characterize all PIM work and systems, regardless of their specific purposes, methods, or outputs.

Duration: 1 hour + 25 min

Reference: [PPT](#): Module 1.1 Intro to PIM Concepts, [Module learning sheet content](#): PIM definition; List of PIM core competencies; List of PIM Principles + collection of links for relevant further reading. See Annex 1.1.c for details.

Facilitator preparation:

- Review of the recommended resources listed in Facilitator note 1.
- Participants should have been exposed to the PIM definition prior to the training (e.g. through mention in the training event invitation sent to participants ahead of the session, or distribution of the PIM Quick Reference Flyer).
- Plan for how to split participants into pair for the exercise “You and PIM Principles”: print, cut and tape a business card (Annex 1.1.b) to the name stand/under the chair of each of the participants. Matches will be made based on principle heading and matching definition (if more than 16 participants have some of the principles given to more than one group).

Room set-up:

- Tables of maximum 5 persons at each: no assigned seats.
- Open space – for a moving activity.
- Space in the room where two concentric circles of chairs (matching the number of participants) have been organized ahead of the session or can be organized during the session.

Prints and handouts:

- 1) 1 x “PIM definition”, 23 printed A4 sheets (Annex 1.1.a).
- 2) “Breakout cards” for splitting participants into groups for the activity “You and PIM Principles” (Annex 1.1.b).
- 3) Module learning sheet (Annex 1.1.c). Print one for each participant.
- 4) Module feedback form (Annex 1.1.d). Print one for each participant.

Time	Activity	Resources
5 min	Introduction. Plenary (listening) @tables	
	<p>Introduce the module objectives and learning outcomes.</p> <p>Distribute the Module learning sheet to each participant, and explain that it can serve as a reference throughout this module.</p> <p>Explain the history and background of PIM Initiative (See Facilitator note 2).</p> <p>Answer any questions which participants may have about the PIM Initiative, and explain that the PIM learning events (such as the present) relates to the “capacity building and learning’ element of the PIM Initiative.</p>	PPT,p.1-4
15 min	PIM definition. Activity (all) @open space	
	<p>Ask participants to stand at the front of the room. Remind them that they familiarized themselves with the PIM definition ahead of the training.</p> <p>Hand out the printed A4 sheets of the PIM definition among the participants. Explain that when combined, the sheets make up the PIM definition. As a group, they need to line up the definition in the correct order, each holding a sheet – this should be done in silence (no use of words)!</p> <p>Check that participants correctly line up the definition (See Facilitator note 3), and ask them to reflect whether the definition is correct, or incorrect.</p> <p>Instruct participants to hang the sheets in the correct order on the wall in the main training room, so it is visible for the entire training event.</p> <p>Once participants have put up the PIM definition, ask someone to read it out loud.</p> <p>Give participants a moment to return to their seats and to write the definition in their Module Learning sheet.</p>	<p>PPT,p.5-6</p> <p>Space to stand in line</p> <p>PIM definition/ 23 A4 sheets (Annex 1.1.a)</p> <p>Sticky tack</p>
10 min	Which competencies. Plenary (discussions) @tables	
	<p>Ask participants to find the core competencies document in their Module learning sheet.</p> <p>Give participants one minute to circle the listed competencies that they think are especially key for PIM work.</p> <p>Explain that this list of 32 PIM competencies (defined as a set of skills, attributes and behaviours which are related to the successful performance for PIM) is an outcome of a review done (in a PIM Working Meeting) of required competencies in typical Information Management and Protection functional profiles. As a collaborative process, PIM necessitates the recognition and mastery of cross-disciplinary competencies. Mastery of all 32 competencies is not a pre-requisite for PIM work. The PIM Training Resource Pack offers modules (such as this one) which set out to enhance capacity of participants on 15 of the core competencies.</p>	<p>Module learning sheet</p> <p>PPT,p.7</p>

	In plenary, ensure that the competencies that are covered in the present training event (this module as well as others which it may be delivered in conjunction with) are read aloud and understood by all.	
25 min	Why is PIM important? Activity (all) @ concentric circles	
	<p>Ask the participants to sit in the concentric circles of chairs (bringing pen and their Module learning sheet which contains space for taking notes during this activity).</p> <p>Explain the exercise: You and the person in front of you constitute a conversation-pair and have 2 minutes to come up with as many reasons as possible for why PIM is important for the humanitarian community. After 2 minutes, the persons sitting in the outer circle must move one space to the left; the people on the inside remain seated. The new pairs continue the conversation trying to grow their lists.</p> <p>Announce every time 2 minutes have passed, ensuring that the outer circle moves left. After 5 rotations, ask everyone to merge the two circles into one large centre-facing circle.</p> <p>Identify a participant to start the debriefing (for suggestions as to how, see Facilitator note 3) by reading one reason from their conversation notes about why PIM is important. Continue around the circle, giving everyone at least one chance to name a reason (avoiding repetition).</p> <p>Encourage participants to write down all the reasons on their Module learning sheet.</p> <p>You may also probe as to whether the reasons listed by participants stem from an experience of situations where a lack of PIM awareness had a negative impact, to illustrate the importance of PIM.</p>	Set-up of chairs in two concentric circles
25 min	You and PIM Principles. Activity (pairs) + debrief in plenary	
	<p>Give participants the opportunity to individually read the PIM Principles (see Facilitator note 5) on their module learning sheet and ask questions as needed.</p> <p>Explain that the principles are not new to the humanitarian community as such, but were agreed to and endorsed at the first PIM Working Meeting (May 2015) – not with the intent of imposing new values or tools, but to establish a common understanding of the principles that are essential to guide all PIM work (see Facilitator note 6).</p> <p>Ask participants to locate the business-card sized note that is taped to their name stand/under their chair, and to find their match among the other participants (matching in pairs a principle heading and the corresponding principle definition). In their pair, they should discuss for 10 minutes about a challenge they have personally experienced (or know of) in relation to the specific PIM principle.</p> <p>Debrief by having a couple of pairs briefly explain the key challenge they discussed related to applying different PIM Principles in practice (for possible examples of application of the principles in practice, please refer to the PIM Principles in Action document (See Facilitator note 1).</p> <p>The facilitator should circulate in order to listen in on the discussions of the participants in order to be aware of the points of discussion.</p> <p>Point out that there is a hyperlink on the Module learning sheet to a guidance document (PIM Principles in Action) for applying PIM Principles, which contains examples of practical actions to take at each of the 4 steps of the PIM Process in order</p>	<p>PPT,p.9-12</p> <p>PIM Definition Breakout group cards (Annex 1.1.b)</p>

	<p>to uphold the principles (if participants are not familiar with the ‘PIM Process’, proceed to explain that the 4 steps are: Assessing Information Landscape, Designing IM Systems, Implementing IM systems, and Evaluating Impact).</p> <p>Summarize by pointing to commonalities in the experiences, highlighting that PIM Principles are not only about theory but about practice. Emphasize that the PIM Principles guide, underlie, and characterize all PIM systems, regardless of their specific purposes, methods, or products.</p>	
5 min	Closure. Plenary	
	<p>Give participants a couple of minutes to note their thoughts on their Module learning sheet.</p> <p>Summarize the module’s key messages in relation to the exchanges and examples shared by participants.</p> <p>NB: Participants often ask for tools to operationalize PIM. In this regard, it is important to emphasize that PIM is not an IM system with one set of tools, but rather a discipline with cross-cutting relevance (across systems). You may reference the discussions of participants concerning challenges implementing the PIM Principles, which should illustrate the context specific challenges call for context specific adaptations. As a further example, you may also explain that protection monitoring is a PIM activity (category of the PIM Matrix) which will be done differently in different contexts and depending on the defined purpose. Possessing PIM competencies by the responsible staff will ensure the quality of the activity’s process and outcome, and PIM Principles provide the overarching credo that guide the work from start to finish. But protection monitoring would not be confined to a specific PIM protection monitoring tool, since there is no one-size-fits-all set of PIM tools.</p> <p>In case of interest in practical examples, the online GPC Community of Practice is a space in which one can ask questions and provide answers to others’ questions about PIM in cluster contexts.</p> <p>Explain that we will close this module by watching a short video which illustrates one of the PIM Principles. Project video illustrating a PIM principle (“Tea Consent”, duration 2:50min) www.youtube.com/watch?v=oQbei5JGt8</p> <p>Distribute module feedback form (one per participant) and collect the filled in version from participants before module closure.</p>	<p>PPT,p.13-14</p> <p>Module learning sheet</p> <p>Projector, speakers and internet</p> <p>Module feedback form (Annex 1.1.d).</p>

Facilitator note 1) Resources

WEBSITES

Global Protection Cluster online ‘Community of Practice’: <http://www.globalprotectioncluster.org/en/tools-and-guidance/protection-cluster-coordination-toolbox/community-of-practice.html>

PIM Website: www.pim.guide

RESOURCES

PIM Core Competencies, available at: http://pim.guide/wp-content/uploads/2017/01/PIM-Core-Competencies-Framework_v4.pdf

[PIM Principles in Action](http://pim.guide/wp-content/uploads/2017/01/PIM-Principles-in-Action-2017.pdf) document, available at: <http://pim.guide/wp-content/uploads/2017/01/PIM-Principles-in-Action-2017.pdf>

PIM Working Group Meeting #1 (May 2015): Meeting Outcome document available at: http://www.globalprotectioncluster.org/assets/files/tools_and_guidance/info_data_management/protection-information-management-working-meeting-outcome-document-may-2015.pdf

PIM Working Group Meeting #2 (Dec 2015): Meeting Outcome document available at: <http://pim.guide/wp-content/uploads/2016/10/Protection-Information-Management-Working-Meeting-Outcome-Documents-December-2015.pdf>

PIM Working Group Meeting #3 (Sep 2016): Meeting Outcome document available at: <http://pim.guide/wp-content/uploads/2017/01/Protection-Information-Management-Working-Meeting-Outcome-Documents-September-2016.pdf>

PIM Common Terminology (2018 ed.), available at: <http://pim.guide/wp-content/uploads/2018/04/Protection-Information-Management-Terminology-Revised-Edition-April-2018.pdf>

Facilitator note 2) Summary background of PIM Initiative

Why:

- *The vision is to work together to develop, consolidate, and disseminate a conceptual framework for protection information management, to be used to achieve better protection outcomes for affected people in displacement situations.*
- *The core objective of PIM is to provide quality information and data on the protection of displaced individuals and groups, in all types of situations and in all phases of a response, and to do so in a safe, reliable, and meaningful way.*

How:

- *The PIM Initiative is a collaborative project, bringing together UN, NGO, and other protection and IM partners working to respond to protection needs in situations of displacement.*
- *It began in 2015 and is led by UNHCR and DRC.*
- *The PIM Initiative has been collectively developed by colleagues who participated PIM Working Meetings, and in the PIM Reference Group.*

What: *PIM Stakeholders are working together to develop and advance:*

- *PIM conceptual framework: Principles, standards, and guidance are developed and shared.*
- *Capacity-building and learning: Materials for training and skills development on PIM are disseminated.*
- *Community of practice: A platform for regular exchanges and learning between PIM users is maintained.*
- *Tools and advice: Tools and advice on how to use the PIM framework and supporting concepts are developed and disseminated.*

Facilitator note 3) PIM definition

Protection/information/ management/ refers to/ principled,/ systematized,/and collaborative/ processes/ to collect,/process,/analyse,/store,/share,/and use/data/ and information/ to enable/evidence-informed/action/ for quality/protection/ outcomes.

(Source: PIM Working Group Meeting #1 (May 2015), available at: <http://pim.guide/guidance-and-products/>)

Facilitator note 4) Identifying someone to start the exercise: Ask “Who has been to all seven continents?”. If someone has been to all seven continents, this individual will start. If no one has been to all seven, ask if someone has been to six, five, etc. Continue until you find someone to start. If multiple people have been to the same number of continents, the first person to raise her/his hand goes first.

Facilitator note 5) PIM Principles

Based on the agreed PIM definition, stakeholders in the first PIM Working Meeting (in Copenhagen, May 2015), agreed to and endorsed the following core guiding principles when engaging in PIM:

People-centred and inclusive: Data and information activities must be guided by the interests, well-being, and rights of the affected population and their hosts, which must participate and be included in all relevant phases.

Do no harm: Data and information activities must include a risk assessment and take steps, if necessary, to mitigate identified risks. The risk assessment must look at negative consequences that may result from data collection and subsequent actions or service delivery for as long as the data and information activity is carried out

Defined purpose: Given the sensitive and often personal nature of protection information, data and information activities must serve specific information needs and purposes. The purpose must be clearly defined and communicated; proportional to both the identified risk and costs vis-à-vis the expected response; and aimed at action for protection outcomes, including the sharing and coordination of protection data and information.

Informed consent and confidentiality: Personal information may be collected only after informed consent has been provided by the individual in question, and that individual must be aware of the purpose of the collection. Further, confidentiality must be clearly explained to the individual before the information may be collected.

Data responsibility, protection, and security: Data responsibility goes beyond data privacy and data protection. It entails a set of principles, purposes, and processes that seek to guide humanitarian work and leverage data to improve affected populations and their hosts' lives in a responsible manner while adhering to international standards of data protection and data security. Data and information activities must adhere to international law and standards of data protection and data security. Persons of concern have a right to have their data protected according to international data protection standards.

Competency and capacity: Actors engaging in data and information activities are accountable for ensuring that data and information activities are carried out by information management and protection staff who have been equipped with data and information core competencies and have been trained appropriately.

Impartiality: All steps of the data and information cycle must be undertaken in an objective, impartial, and transparent manner while identifying and minimizing bias.

Coordination and collaboration: All actors implementing data and information activities must adhere to the principles noted above and promote the broadest collaboration and coordination of data and information internally between humanitarian actors and externally, with and among other stakeholders. To the extent possible, data and information activities must avoid the duplication of other data and information activities and instead build upon existing efforts and mechanisms.

(Source: PIM Working Group Meeting #1 (May 2015): [Meeting Outcome document, available at: http://pim.guide/guidance-and-products/](http://pim.guide/guidance-and-products/))

Facilitator note 6) Summary background on PIM Principles

The PIM Principles underlie and characterize all PIM systems and activities, regardless of their specific purposes, methods, or products. They are not new, but rather are built on or pulled from the existing principles of humanitarian action. Agreed to and endorsed by participants in the first PIM Working Meeting (Copenhagen, 26-29 May, 2015), the PIM Principles are aligned with the 'Principles of Humanitarian Information Management and Exchange', endorsed by the Global Symposium +5 in Geneva (2007) and the International Committee of the Red Cross's 'Professional Standards for Protection Work, Managing Sensitive Protection Data', Chapter 6 (2013).

(Source: PIM Working Group Meeting #1 (May 2015): [Meeting Outcome document, available at: http://www.globalprotectioncluster.org/assets/files/tools_and_guidance/info_data_management/protection-information-management-working-meeting-outcome-document-may-2015.pdf](http://www.globalprotectioncluster.org/assets/files/tools_and_guidance/info_data_management/protection-information-management-working-meeting-outcome-document-may-2015.pdf))

ANNEXES TO MODULE 1.1

Annex 1.1.a) PIM definition

Part of module: 1.1 Introduction to PIM concepts

Instructions for production and use: Print out the PIM definition with words split on different pages in order to hand them out a different part of the definition to different participants, who are then tasked with combining the parts into a whole definition in the correct order. The current layout includes 23 different sheets. If participants are more or less in number it is recommended to adjust the layout accordingly, so the number of sheets matches the number of participants.

Print out available: https://drive.google.com/file/d/1VqX5gPSr4UV6EybsYY_jp_M1IFM64axt/view?usp=sharing

Annex 1.1.b) PIM principle “Breakout cards”

Part of module: 1.1 Introduction to PIM concepts

Instructions for production and use: print, cut and tape a business card (Annex 1.1.b) to the name stand/under the chair of each of the participants. You may try to ensure that the pairs represent diverse experience (based on answers from participant’s profile). Matches will be made based on principle heading and matching definition. If more than 16 participants, have some of the principles given to more than one group).

Print out available:

https://docs.google.com/document/d/1Ds7W9bQjJHMoUQF2UJKagtYo8ejnAXewhISQvM_cGBY/edit?usp=sharing

Annex 1.1.c) Module learning sheet: Intro to PIM

Part of module: 1.1 Introduction to PIM concepts

Instructions for production and use: Print to distribute to each participant at the beginning of the module. This Module learning sheet should serve as learning reference point for the participants throughout and after the module. It contains structured space for note taking on key concepts introduced, contains reference tools, definitions and a list of recommended resources for further learning.

Print out available:

https://docs.google.com/document/d/1XOCqV8ljoTJxgqLcD82JKm_vvrfwzYCW4Y_GZ2kfQ/edit?usp=sharing

Annex 1.1.d) Feedback form: 1.1 Introduction to PIM concepts

Part of module: 1.1 Introduction to PIM concepts

Instructions for production and use: The standardized and anonymous feedback form should be handed to participants after completion of the training module (one for each) for immediate completion and return to the facilitator, in order to be used by the facilitator to evaluate the extent to which the module learning objectives have been met through realization of the module learning outcomes. The form will take 3-5 minutes to complete.

Print out available:

https://drive.google.com/file/d/1XyAe_rVeRcxRS-8Pm37-EVegr4w4-gcP/view?usp=sharing

Annex 1.1.e) Power point presentation

Part of module: 1.1 Introduction to PIM concepts

Instructions for production and use: This power point presentation may serve as visual reference during delivery of this module. Please note that facilitators are discouraged from rely sole on the power point presentation as visual reference during module delivery, as this is not compatible with the participatory design of the PIM training modules.

Available at:

https://www.dropbox.com/s/2s2tiq7v9aujo01/PPT_Package%201_Module%201.1_Introduction%20to%20PIM%20concepts.pptx?dl=0

MODULE 1.2 - The PIM Process

Core competencies –

Attitude: Is able to set clear PIM milestones and organizing work accordingly

Skill: Able to develop a principled PIM plan.

Module objectives	Module learning outcomes
<ul style="list-style-type: none">● Explain the PIM Process as guidance on steps to be undertaken when developing, implementing, or revising PIM activities.● Describe the main steps of the PIM Process and their associated sub-steps.● Show how the steps of the PIM Process relate to protection analysis, strategy, and response.	<p><u>After the session participants will be able to:</u></p> <ul style="list-style-type: none">● Use the PIM Process as guidance when developing, implementing, or revising PIM activities.● Recognize the main steps of the PIM Process and their associated sub-steps.● Relate the steps of the PIM Process to protection analysis, strategy, and response.

Key messages:

1. Like the PIM Principles, the “PIM Process” is not a “new approach”, but rather a reflection of the consensus in the PIM community about the basic key steps that are required to ensure a sound technical and coordinated approach to PIM activities. It is generic, i.e., applicable to any PIM activity or system.
2. Working through the PIM Process allows colleagues to ensure that the development/design, implementation, review, and coordination of PIM work has taken into consideration the necessary steps to ensure the best possible result.
3. The four higher-level steps of the PIM Process (Assess information landscape, Design IM systems, Implement IM systems, and Evaluate Impact) are prescriptive and should be implemented in sequential order, i.e., one after the other. The sub-steps under these do not necessarily require step-by-step (sequential) implementation – but they are never to be skipped. For example, designing with affected communities and establishing data-sharing networks should always be done during the phase “Design IM system”.
4. In line with the PIM Principle “Defined Purpose”, the PIM Process emphasizes the importance of defining the purpose from the outset (Step 1), and of communicating it throughout.
5. With Step 4, the PIM Process also points to the important practice of evaluating the impact of a given PIM activity, both as it pertains to the protection impact and the information management components.

Duration: 35 minutes

Reference: PPT: 1.2 PIM Process, Module learning sheet: PIM Process illustration (linear and circular), list of recommended resources.

Facilitator preparation: No specific requirements.

Room set-up:

- Participants should be seated at tables in groups of 4-5 persons.
- A printed and cut-out PIM process puzzle should be placed on each table.
- To printed or drawn and hung on the wall ahead of participants’ arrival, and be covered with flip-chart paper for the first part of the session (both can be found in Annex 1.2.b):
 - One A0-sized poster/drawing of linear PIM Process (to reveal after puzzle completion).
 - One A0-sized poster/drawing of circular PIM Process in the Protection Cycle (to reveal only after linear PIM Process has been introduced).

Prints and handouts:

- Printed and cut-out PIM Process puzzle. One for each table/team (Annex 1.2.a).
- PIM process illustrations (circular and linear) (Annex 1.2.b).
- Module learning sheet. One for each participant (Annex 1.2.c).
- Module feedback form (Annex 1.2.d). Print one for each participant.

Time	Activity	Resources
5 min	<p>Why a PIM Process. Plenary (listening) @tables</p> <p>Explain the module objectives. (Do not yet hand out the Module learning sheet to participants because the information on it pre-empts the following exercise).</p> <p>Explain the background to the PIM Process and why participants with any experience implementing PIM systems will likely recognize the PIM Process steps:</p> <ul style="list-style-type: none"> - <i>The “PIM Process” is not a “new approach” but rather a reflection of the consensus in the PIM community about the basic key steps that are required for a sound technical and coordinated approach;</i> - <i>The PIM Process promotes adherence to the PIM Principles for quality protection outcomes.</i> - <i>It aims to ensure that the development/design, implementation, review, and coordination of any PIM activity/approach/system has taken into consideration all the necessary steps, for the best possible result.</i> - <i>It is the result of a consultative process with PIM stakeholders during PIM Working Group Meetings in Dec 2015 and Sep 2016 (see Working Group Meeting #3 document) (Link in Facilitator note 1 and also available on participants’ Module learning sheet for further reference).</i> <p>The PIM Process is different from a general IM process in that it specifically relates to protection information. Management of protection information is important because it serves the purpose of informing, facilitating and supporting protection results and outcomes. We will be returning to this point after this module’s exercise.</p> <p>The PIM Process is generic, i.e., it can be used for any PIM-related activity or category. (Participants may or not be familiar with the PIM Matrix, so you may need to present examples of PIM categories, e.g., protection monitoring and case management and seek to relate these to pre-existing experience of the participants).</p> <p>Present the four main steps of the PIM Process in sequential order, emphasizing that they are prescriptive (See Facilitator’s note 2).</p> <p>The 4 main steps of the PIM Process may seem simple, but too often we start with the 3rd step (Implement IM systems). The PIM Process steps help us to think through the key steps that we need to take place before any IM system or activity is rolled-out, or any data-collection tool developed.</p> <p>Answer any questions to clarify terminology or meaning.</p>	PPT,p.1-4
20 min	<p>Steps of the PIM Process. Groups@tables (with debriefing in plenary)</p> <p>Explain the activity: For 10 minutes, each group will put together the PIM Process puzzle by putting the 4 main steps in the correct order/sequence, and putting the associated sub-steps underneath. In so doing, participants should reflect about how their previous experience working with developing, implementing, revising or coordinating a PIM activity fits into the PIM Process.</p> <p>Debrief by asking if there were any of the steps which the participants found challenging to situate in the puzzle, and set out to clarify as required.</p>	PPT,p.5-6 PIM Process puzzles (Annex 1.2.a)

	<p>Debrief in plenary by asking a representative from each group to briefly present the puzzle result (for one of the 4 steps). In case of incorrect matches, ask if the group had a discussion on the matching.</p> <p>Correct any errors to ensure a shared understanding of what is involved in the main steps (which are fixed and sequential) and in the sub-steps (which have no fixed sequence under the associated main step) (For details see Facilitator note 2).</p> <p>Conclude that working through the PIM Process steps allows colleagues to ensure that the design/development, implementation, revision, and coordination of a PIM category (any PIM category from the PIM matrix – mention examples as required), has taken into consideration the necessary steps, to ensure the best possible result. In the protection sector this means managing protection information to inform, facilitate and support quality protection results and outcomes.</p> <p>Hand out the module learning sheet which includes the PIM Process illustration, and encourage participants to note their observations from the module on the sheet.</p>	
5 min	Linking PIM Process to the Protection Cycle. Plenary (listening) @tables	
	<p>Explain that the specific results and outputs of the PIM Process will vary, depending on which PIM activity or category is being implemented. However, through the PIM process steps, each PIM activity generates information that can be used to support the development of protection analysis, strategy and response.</p> <p>Reveal the A0 circular PIM Process on the wall from under the cover, explaining how the PIM Process steps fit into the Protection Cycle (Facilitator note 3).</p> <p>Ask if one of the participants can explain the 3 phases of the protection cycle: <i>Based on a <u>protection analysis</u>, you develop a <u>strategy</u>, on the basis of which you <u>design and implement the response</u>. That response, in turn, will generate more information for analysis.</i></p> <p>Drawing on explanation shared, explain that the image illustrates the link between the four main steps of the PIM Process and the protection cycle: <i>The purpose is to illustrate how the PIM Process serves to inform an evidence-based protection analysis (of data and information generated through the PIM Process), strategy (based on the analysis) and response (including collection and dissemination of data and information).</i></p>	<p>PPT,p.7</p> <p>Covered A0 PIM process +Protection Cycle poster/ Drawing (Annex 1.2.b)</p>
5 min	Summary. Plenary (listening) @tables	
	<p>Refer to the “PIM Principles in Action” document as a resource for guidance on how to apply the PIM Principles in action throughout the steps of the PIM Process (Facilitator note 4).</p> <p>Inform the participants that more information about the PIM Process is available in the Module learning sheet.</p> <p>Recall the module key messages, revisit the module learning outcomes, and answer any further questions on the PIM Process in order to ensure that participants’ learning outcomes are realized.</p> <p>Show the “Moment of Zen” video (2 min): ALNAP “Humanitarian Heroes?” https://www.youtube.com/watch?v=WLGtVuOi0sw</p> <p>Distribute module feedback form (one per participant) and collect the filled in version from participants before module closure.</p>	<p>PPT,p.8-10</p> <p>Projector, speakers and internet</p> <p>Module feedback form (Annex 1.2.d)</p>

Facilitator note 1) Recommended resources

Office for the Coordination of Humanitarian Affairs, the Humanitarian Programme Cycle, available at: <https://www.humanitarianresponse.info/en/programme-cycle/space>

PIM Process, available at: <http://pim.guide/guidance-and-products/product/pim-process/>

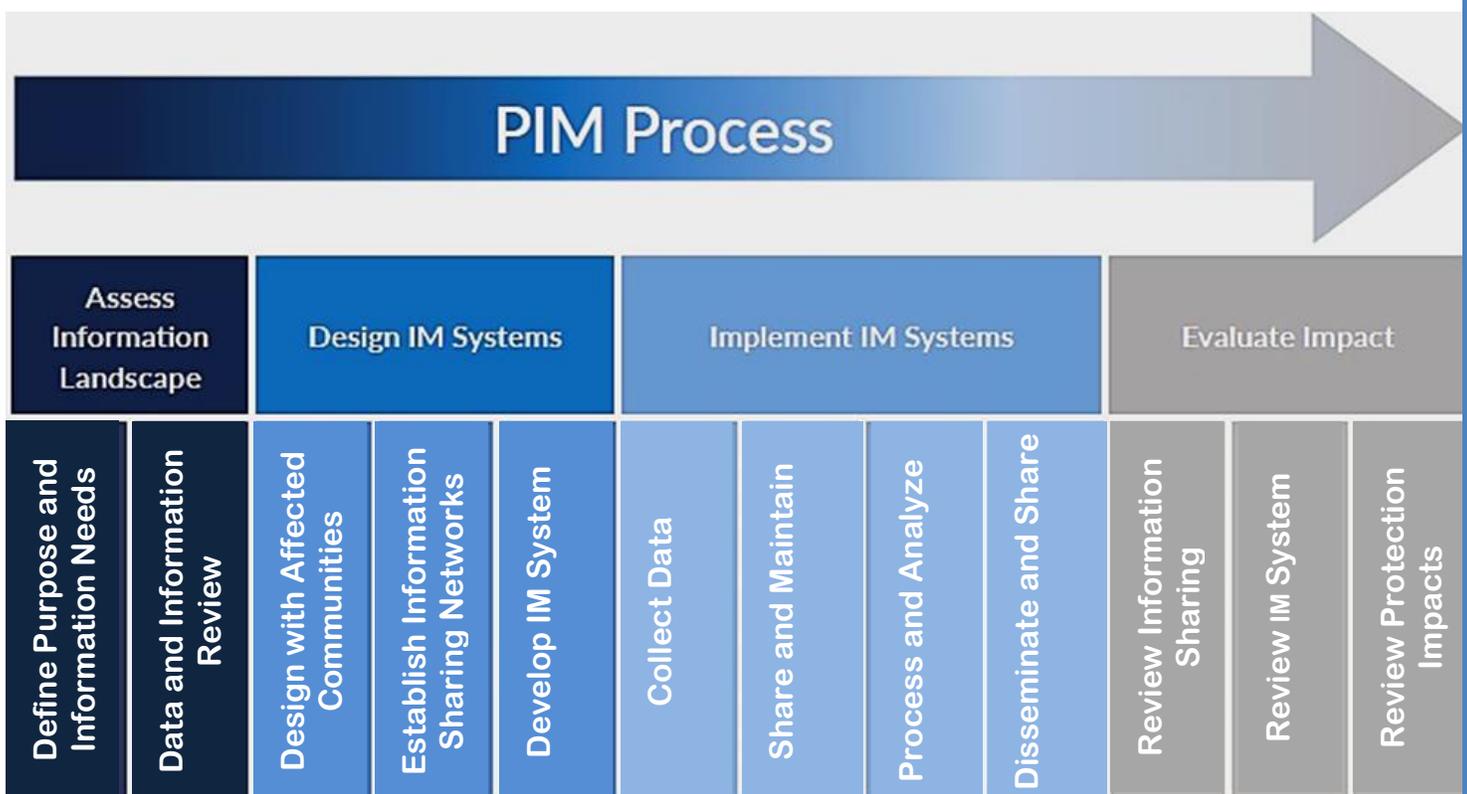
PIM Working Group #2 (Dec 2015): Available at: <http://pim.guide/wp-content/uploads/2016/10/Protection-Information-Management-Working-Meeting-Outcome-Documents-Dec-2015.pdf>

PIM Working Group #3 (Sep 2016): [Meeting Outcome document](http://pim.guide/wp-content/uploads/2017/01/Protection-Information-Management-Working-Meeting-Outcome-Documents-September-2016.pdf), available at: <http://pim.guide/wp-content/uploads/2017/01/Protection-Information-Management-Working-Meeting-Outcome-Documents-September-2016.pdf>

PIM Principles in Action document, available at: <http://pim.guide/wp-content/uploads/2017/01/PIM-Principles-in-Action-2017.pdf>

Facilitator note 2) The PIM Process

The PIM Process provides guidance on the steps to take when developing, implementing, or revising a protection information management activity. It is an organic and sometimes iterative process. While the four higher-level steps of the PIM Process — Assess Information Landscape, Design IM Systems, Implement IM Systems, and Evaluate Impact— are prescriptive and should be followed in this sequence, the sub-steps under each do not necessarily have to be followed in sequence, but should fall under the overall step with which it is associated.



(Source: PIM Working Group Meeting #3 (Sep 2016). See the PIM website: <http://pim.guide/guidance-and-products/product/pim-process/>).

The PIM Process illustration brings the following added value:

- While engaging with the affected people and communities, cuts across all steps of the process, it is included and given particular emphasis in the ‘Design IM Systems’ step with the intention of fulfilling several requirements. It emphasizes the importance of ongoing communication and meaningful collaboration with affected people to not only identify their protection concerns, but also inform the design, implementation and evaluation of the PIM activity. It would also ensure that affected people engage as protection actors in their own rights and receive the information they need to make timely decisions about the issues that affect their lives.
- The PIM Process further emphasizes the need and importance of deliberately and explicitly defining the purpose of the activity from the outset (in line with the PIM Principle “Defined Purpose”) – and of communicating it throughout – all the while recognizing the need to revisit the purpose and possibly adjust it along the way, should the situation change, or based on what you learn as you apply the PIM Process in your context.
- Moreover, the PIM Process points to the importance of identifying and establishing coordination and sharing modalities or networks in a safe, responsible, and meaningful way from the outset. This will enhance the effectiveness of the overall response, both at the organizational and community level.
- Lastly, the PIM Process points to the important practice of evaluating the impact of a given PIM activity, from both the information management and protection perspective. This includes assessing the extent and effectiveness of data sharing, and evaluating the protection outcomes / impact of the activity, including with regards to possible risks and unintended consequences.

Explanation of the PIM Process steps:

1) Assess information landscape: When undertaking any PIM activity, the first task is to define the specific purpose, and the data and information that are needed to meet that purpose. This is directly aligned with the PIM Principle of “Defined purpose” because it requires you to not jump straight to implementation, but rather to first define your purpose(s): What do you need to achieve? And then: What do you need to know to do so?

To meet the identified information needs, colleagues would then conduct a data and information review. This includes identifying existing information through a secondary data review (SDR), i.e., identify, compile, organize, and analyse reliable and credible data and information from other (external) sources to understand the context, refine information needs, and identify information gaps. This is essential to ensure that available existing information is used rather than collected again, and to identify information gaps. The secondary data review links to the PIM Principle on “Coordination and Collaboration”, which calls on PIM activities to avoid the duplication of other PIM activities/mechanisms/systems, and instead build on existing ones. The SDR is also aligned with the PIM Principles of “Do no Harm” and “People-Centered and Inclusive”: Making good use of available data means that we do not expose people to potential harm through our uncoordinated and duplicative data collection activities, and avoid wasting resources.

2) Design IM systems: This step includes three sub-steps, namely setting-up information-sharing and coordination networks, working with affected populations to ensure valid design parameters (noting that this is not the only time we consult with and seek participation from affected communities) and designing IM system. Remember that the design decisions should be directly informed by defined purpose and information needs that were identified at Step 1.

The sub-steps are:

- Design with affected communities: This is not about asking them for feedback post facto, once an activity has already been implemented. Accountability to affected populations principles call on us to include them at the outset, notably to ask them about their preferred communication channels, reliable information sources, and key protection risks, and to design the feedback and complaints mechanisms. As per PIM Principles, affected persons should also be involved in all the other steps of the PIM Process, including in the analysis and evaluation phases.
- Establish information-sharing networks: Decisions such as who to involve, what to share, at which levels of aggregation, with which vectors of disaggregation, how, and how often are to be made at the design stage, not when you are sitting with data, or faced with an urgent request for data to be shared.
- Develop IM system: Based on the above information, decisions can be made about the appropriate methodology, tools, and processes required to collect, process, analyse, share, store, use, and disseminate data and information -- based on the defined purpose that was specified at Step 1. This is often where we start when we have an information need, but the PIM Process points to the many steps that should happen before this.

3) Implement IM systems: The specific IM system that is implemented will vary depending on the PIM activity it supports, the context (including regarding available resources and time), and the specified purpose. From collecting to storing, analysing, sharing and disseminating, collaboration within and across organizations and sectors is important.

The sub-steps are:

- Collect and collate data and information based on the defined purpose, based on the secondary data review, and in accordance with responsible data principles in protection and humanitarian settings
- Store, maintain and decommission or archive the data and its related components, such as secondary data reviews, information-sharing protocols, and reports.
- Process and analyse data and information to inform protection strategy and response.
- Safely disseminate and share the data and/or the findings in accordance with the defined purpose (i.e., ensure the link to decision-makers) and the information-sharing approach developed at Step 2.

4) Evaluate impact: As per the best practice illustrated in the Humanitarian Programme Cycle (HPC) and the IM cycle, evaluation is an essential step in any project implementation, and provides a critical opportunity to learn and improve.

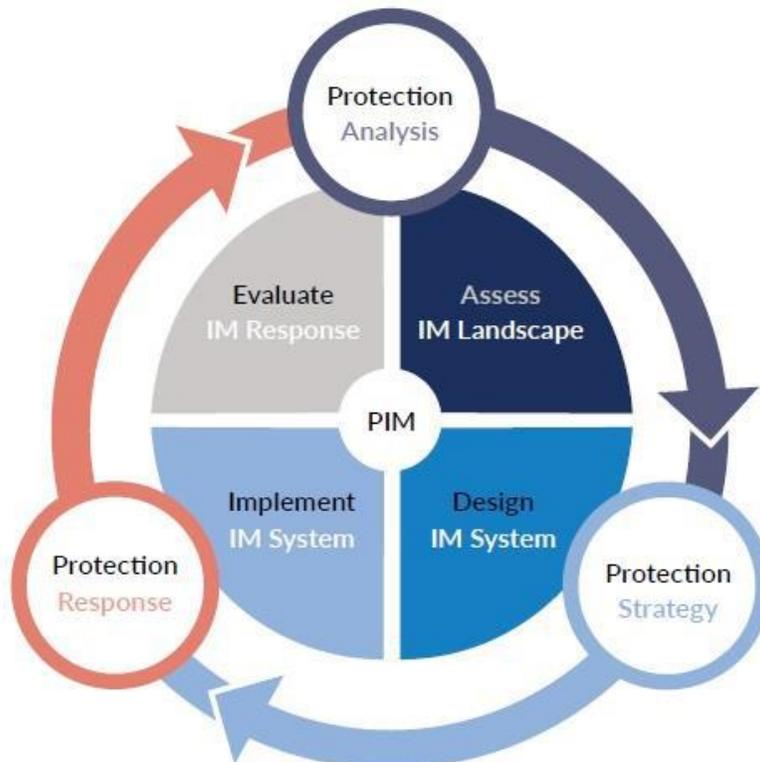
The sub-steps are:

- (Identify and) review the protection impacts of the activity in terms of its defined purpose. Has the activity had the intended impact? Has it created new protection risks, weakened coping mechanisms, expose affected persons to new harms, or have other unintended consequences - be they positive or negative? What action is required to inform future activities, or to strengthen the positive impacts and mitigate or remedy the negative ones created by this activity?
- Review data and information systems to determine if they correspond to the defined purpose, and are proportional to the outcomes. Have the systems - in their design, processes, and associated tools -- delivered the outputs that were needed?
- Review information sharing and maintain compliance with data-sharing protocols, procedures, networks, and agreements. Was the selected information-sharing approach fit-for-purpose? Did it effectively support the defined purpose, apply responsible data practices, and adhere to the PIM Principles?

Facilitator note 3) PIM Process links with Protection Cycle

Protection information is important because it serves the purpose of informing, facilitating and supporting protection results and outcomes. The PIM Process illustrates the key steps to follow to adopt a principled, systematized and collaborative approach to PIM activities from defining purpose to evaluation. The specific results and outputs of the PIM Process will vary, depending on which PIM activity or category is being implemented. However, each PIM activity generates information that can be used to support the development of protection analysis, strategy and response.

This image illustrates the link between the four main steps of the PIM Process and the Protection Cycle. The Protection Cycle has three steps: Based on 1) analysis, you develop 2) a strategy, on the basis of which you design and implement 3) the response - which in turn generates more information for analysis.



(Source: PIM Working Group Meeting #3 (Sep 2016): [Meeting Outcome document, available at: http://pim.guide/wp-content/uploads/2017/01/Protection-Information-Management-Working-Meeting-Outcome-Documents-September-2016.pdf](http://pim.guide/wp-content/uploads/2017/01/Protection-Information-Management-Working-Meeting-Outcome-Documents-September-2016.pdf))

Facilitator note 4) PIM Principles in Action

The “PIM Principles in Action” document provides practical guidance about how to operationalize the PIM Principles at each step of the PIM Process. It gives practical examples of how each of the 8 PIM Principles can be applied *in practice* during the PIM Process, including for each sub-step.

Example: What it means in practice to do “Do no harm” when we...

- *Assess*: Information needs should be relevant to the purpose and proportional to the risks
- *Design*: The decision to share should be based on a benefit and risk analysis
- *Implement*: Monitor the data collection exercise to ensure early identification of fear, discrimination or other threats/risks created
- *Evaluate*: Review datasets to identify data that was not used, for removal in future exercises

(Source: PIM Principles in Action (2017) is available here: <http://pim.guide/wp-content/uploads/2017/01/PIM-Principles-in-Action-2017.pdf>)

ANNEXES TO MODULE 1.2

Annex 1.2.a) PIM process puzzle

Part of module: 1.2 PIM Process

Instructions for production and use: To be printed and cut-out. One for each table/team.

Print out available: <https://drive.google.com/file/d/1LzFdvN5YwrnydJCon7TgJVVEtnwAXYc9/view?usp=sharing>

Annex 1.2.b) PIM process (linear and circular) illustrations

Part of module: 1.2 PIM Process

Instructions for production and use: To be printed or drawn in A0-size. To be hung wall ahead of participants' arrival, and be covered with flip-chart paper for first part of session.

Image available: <https://drive.google.com/file/d/1rc8HD-s4QihQo6GK3LCQ1qJgleN6QIDj/view?usp=sharing>

Annex 1.2.c) Module learning sheet: PIM Process

Part of module: 1.2 PIM Process

Instructions for production and use: The module learning sheet should be printed one for each participant. It serves as learning reference point for the participants throughout and after the module. It contains structured space for note taking on key concepts introduced, contains reference tools, definitions and a list of recommended resources for further learning.

Print out available: https://docs.google.com/document/d/1QgslRKNdPxFG9csKj0w0Vsz4_mgr-hCB1t47Tk8zLK4/edit?usp=sharing

Annex 1.2.d) Feedback form: 1.2 PIM Process

Part of module: 1.2 PIM Process

Instructions for production and use: The standardized and anonymous feedback form should be handed to participants after completion of the training module (one for each) for immediate completion and return to the facilitator, in order to be used by the facilitator to evaluate the extent to which the module learning objectives have been met through realization of the module learning outcomes. The form will take 3-5 minutes to complete.

Print out available:

<https://docs.google.com/document/d/1b9HNUjNhnOTUXWOfctjIR8i6np4duaB4DONMgt3qDSE/edit?usp=sharing>

Annex 1.2.e) Power point presentation

Part of module: 1.2 PIM Process

Instructions for production and use: This power point presentation may serve as visual reference during delivery of this module. Please note that facilitators are discouraged from rely sole on the power point presentation as visual reference during module delivery, as this is not compatible with the participatory design of the PIM training modules.

Available at:

https://www.dropbox.com/s/kp399ive0016cd9/PPT_Package%201_Module%201.2_PIM%20Process.pptx?dl=0

MODULE 1.3 - The PIM Matrix

Core competency – **Skills:**

- 1) Analyses IM environment to inform methodology design and operational planning.
- 2) Makes informed decisions on which systems are needed based on a comprehensive analysis of information requirements.

Module objectives	Module learning outcomes
<p><u>The session will:</u></p> <ul style="list-style-type: none">• Explain the background and purpose of the PIM Matrix.• Differentiate between different PIM categories that can be used to inform humanitarian action for protection outcomes.• Explain how the PIM Matrix provides a framework for a standardized understanding of PIM categories (of systems, tools, and approaches).	<p><u>After the session participants will be able to:</u></p> <ul style="list-style-type: none">• Understand the relevance and utility of the PIM Matrix for own work.• Classify PIM activities using the PIM Matrix.• Use the PIM Matrix to help identify which category (of systems, tools, and approaches) is best-suited to meet a particular information need and inform action for protection outcomes.

Key messages:

- 1) Protection data and information can come from different types of systems, and practitioners need to know which systems exist in an operation in order to make informed decisions and determine how information needs can be met.
- 2) The PIM Matrix helps us to:
 - Enable a common understanding of the PIM categories, and thereby facilitate dialogue between Protection and IM colleagues;
 - Identify the relevant and appropriate PIM category that will generate the information needs for a specified purpose and outcome.
- 3) The PIM Matrix presents 8 categories, which are distinguished as a set of systems, tools, and approaches. They were selected by the PIM community because they generate information that is used to enable evidence-based action for protection outcomes.
- 4) The PIM Matrix includes 5 ‘nuclear’ categories which are those most often used in and owned by protection, and 3 ‘cousin’ categories which are not protection specific, but which generate information that is relevant to protection.
- 5) The PIM Matrix categories are not mutually exclusive. They can be interdependent, as one category can be informed by generate outputs (data and information) that is used by and useful to others.

Duration: 1 hour and 40 minutes

Reference: PPT: 1.3 PIM Matrix, Module learning sheet: Matrix un-wrapping; Link to 1st, 2nd and 3rd PIM Working Group Meeting Outcome Documents (2015 and 2016).

Facilitator preparation:

- Review participants’ responses to the pre-training survey regarding their experience with implementing the PIM Matrix categories.
- Review the PIM materials listed in Facilitator note 1.
- The facilitator may require support to populate the Matrix outline on the wall, i.e., a co-facilitator should be available to hang the sheets on the empty Matrix on the wall.

Room set-up:

- Pre-positioned chairs of participants in semi-circle facing the wall area of the PIM Matrix (facilitator sitting in front of the matrix) – NO TABLES.
- Set up the outline of the PIM Matrix on the wall (Annex 1.4.b) with string/tape or another marker (but only hang up the category headings - definition and output will be populated during the module).

- Attach the 16, A4 pieces of paper (print-outs with the PIM Matrix definitions and outputs respectively – see Annex 1.4.a) individually under the participant chairs (outputs) and behind the back of their chairs (definitions) (this must be completed ahead of their arrival in the room).
- Have post-its and pens available for participants to use.
- Please note that although the PPT exists as visual reference for this module, delivery of this module does not require use of PPT, and facilitator should primarily focus on the matrix wall.

Prints and handouts:

- A4 print-outs of PIM Matrix component headings, category headings, definitions and output descriptions for the PIM Matrix wall (Annex 1.3.a).
- Print-out of the PIM Quick Reference Flyer (with populated Matrix) for each participant (Annex 1.3.b) -- to be handed out towards the end of the module.
- Module learning sheet. Print one for each participant (Annex 1.3.c).
- Module feedback form (Annex 1.3.d). Print one for each participant.

Time	Activity	Resources
5 min	Introduction. Plenary (listening) @semi-circle	
	<p>Introduce the learning objectives and module structure.</p> <p>Recall the PIM definition – and explain that this module’s focus is on what the “systematized and collaborative processes” are. The “PIM matrix” is a tool that identifies those processes. It is part of the PIM conceptual framework. The PIM Matrix defines 8 PIM categories, and in so doing, enables common understanding across and within IM and Protection functions.</p> <p>Explain that the full PIM Matrix will be shared at the end of the module, but that before this we will jointly explore what the PIM Matrix is and can offer.</p>	PPT,p.1-3
10 min	What is the PIM Matrix? Plenary (listening) @semi-circle	
	<p>Explain the PIM Matrix to participants:</p> <ul style="list-style-type: none"> ● Why a PIM Matrix: <ul style="list-style-type: none"> - <i>Guidance tool developed by the PIM community during 2015 and 2016 Working Meetings (outcome documents in Facilitator note 1) with stakeholders from UN agencies, international NGOs, academia, and other protection and IM partners (See Facilitator note 2)</i> - <i>The result of efforts to map and organize the many PIM systems that are used in humanitarian responses, so they could be systematically defined and differentiated from one another.</i> - <i>Seen as key step towards enabling dialogue between Protection and IM colleagues through a shared understanding of available systems before discussion of which system is needed.</i> ● What the PIM Matrix is: <ul style="list-style-type: none"> - <i>A tool to map, organize, and define the PIM categories, so they can be clearly distinguished from one another and commonly understood.</i> - <i>A ‘PIM category’ is defined as a specific combination of systems, tools, and approaches.</i> - <i>Each category can be implemented by protection and/or IM colleagues, and aim to enable evidence-informed action for quality protection outcomes.</i> - <i>The content of the Matrix ‘definition’ and ‘output’ rows is fixed (i.e., cannot be changed) because they define characteristics that allow for the categories to be distinguished from one another.</i> - <i>Content of other provides examples and is not fixed as it may evolve over time.</i> 	PPT,p.4-6

	<ul style="list-style-type: none"> - <i>(The content of the cells of the Matrix is non-exhaustive. It is intended to provide the core elements to facilitate understanding of the categories and enable Matrix users to make informed decisions in their context).</i> ● How the PIM Matrix is used – as a tool for: <ul style="list-style-type: none"> - <u>Reference</u>: <i>To create a common understanding of the PIM categories and thereby facilitate dialogue between protection and IM colleagues, within and across different sectors and organizations.</i> - <u>Decision-making</u>: <i>To organize thinking and provide guidance to help identify which PIM category is best suited to meet a particular information need.</i> - <u>Planning</u>: <i>Users can remove the information in all rows except from ‘Definition’ and ‘Output’, and ‘re-populate’ the empty cell of the Matrix based on the PIM categories that exist in their own organization or in the humanitarian community responding to a specific situation. This exercise will enable mapping and tracking, and will likely lead to identification of information gaps, and serve as first step towards an IM strategy.</i> - <u>Other</u>: <i>Note that the PIM Matrix can be adapted to meet particular needs. For example, if the PIM Matrix is used as a planning tool, a team may wish to add a row to list the partners that are implementing activities under each category. Other rows could be added to track focal points and data flows.</i> 	
5 min	What are the PIM Matrix categories? Plenary (listening) @semi-circle	
	<p>Explain that we will now proceed to look at the categories of the PIM Matrix. Show the blank PIM Matrix outline on the wall and explain that the purpose of the categories is to:</p> <ol style="list-style-type: none"> 1) <i>Assist in identifying the right tools, systems, and approaches for a particular result or output (in terms of information and data);</i> 2) <i>Reinforce a common understanding of protection information concepts in order to facilitate accurate protection dialogue;</i> 3) <i>Help refine the overall quality of PIM activities, those undertaken both individually and as a community of responders.</i> <p>There are two types of categories (point them out on the Matrix outline as you mention them):</p> <ul style="list-style-type: none"> ● <i>‘Nuclear family’ (5) are categories that are most often used in and owned by protection (Prot. Needs Assessment, Prot. Monitoring, Population Data, Prot. Response Monitoring and Evaluation, and Case Management –</i> ● <i>‘Cousins’ (3) are categories that are not conducted or owned by protection, but which nonetheless generate information that is relevant and of use to protection (Communicating with(in) Communities, Other Sectoral Systems, and Security and Situational Awareness).</i> <p>Explain that each category represents a different PIM system that can be used to enable evidence-informed action for protection outcomes.</p> <p>Explain that the full Matrix distinguishes the 8 PIM categories along 7 components which serve as criteria (vectors) of comparison (Facilitator note 3) and to refer participants to the forthcoming handout (PIM Quick Reference Flyer).</p>	PPT,p.7
30 min	Category definitions. Plenary (listening+exercise) @semi-circle	
	Recall that a PIM Matrix category is defined as <i>a specific combination of systems, tools, and approaches.</i>	A4 pieces of paper from Annex 1.3.c

	<p>Instruct participants to look at the back of their chairs and to see if they find one of ‘definitions’ of the PIM Matrix categories underneath (See Facilitator note 4 for full list of definitions).</p> <p>Ask the participants who found papers, if anyone can guess which PIM Matrix category heading their definition matches. Have them read the definition out loud and explain their rationale for the suggested match. Facilitate dialogue in plenary in case of questions and comments, in order to ensure that all participants reach a shared understanding of each category definition and potentially can relate it to their own experience. Once a category definition has been explained, proceed to hang it in the designated spot on the matrix outline on the wall.</p> <p>In this manner, go through the category definitions one by one (3 min per definition).</p> <p>Clarify if participants find that some words require further explanation.</p> <p>Explain that the next exercises will explain the categories by “outputs”.</p>	(on chairs backs)
5 min	Who has done what? Activity (all) @PIM matrix wall	
	<p>Ask participants to take post-its on the table and go to the PIM Matrix wall and to:</p> <ol style="list-style-type: none"> 1. <i>Look at the eight categories</i> 2. <i>Think, ‘Which of these have I done?’</i> 3. <i>Take a post-it</i> 4. <i>Write: (1) your name; (2) the activity done; and (3) where you implemented it (country)</i> 5. <i>Use one post-it for one experience on the matching category</i> 6. <i>Put up AS MANY post-its as you want</i> <p>As facilitator, you can demonstrate the activity by doing it yourself, i.e., put a post-it on your own experience too.</p>	<p>PIM matrix on the wall</p> <p>Post-its</p>
10 min	Break	
	Facilitator should use the break to review the post-its put up by participants, in order to know what experience can be drawn on during the next exercise.	
30 min	Category outputs. Plenary (discussion) @semi-circle	
	<p>Ask participants to look under their chairs and see if they find a matrix category output description there. Give them a minute to read it individually and in silence (See Facilitator note 3 for the summary output text placed behind their chairs – which is shorter than that in the matrix).</p> <p>Recall that the data and information output of a PIM category is <i>the data and information that is produced or comes out of the implementation of a specific PIM category</i>.</p> <p>Allocating 3 minutes to each category, proceed to first call out for a concrete example from a participant who has indicated with post-it’s to have experience with the category, asking them to briefly state:</p> <ol style="list-style-type: none"> a. What type of data and information was produced when you worked with this category? b. How did you use it - what was the outcome or impact? <p>Ensure that the examples shared are correct examples of the category output.</p> <p>For each category and example, proceed to ask if any of the participants who have found paper under their chairs, if any of them think that the found output description matches the matrix category from which an example has been given.</p>	A4 pieces of paper from Annex 1.3.c (under chairs)

	<p>For each match, proceed to hang the output description under the correct category description.</p> <p>Conclude by explaining that the categories are distinguished in the PIM Matrix, but that they are often inter-related and interdependent, for example one category will generate outputs (information) that is used by and useful to other categories. This is the case for Protection Needs Assessments, Case Management, and Protection Monitoring. In another example, Population Data generates information outputs that are essential data for most of the other categories (e.g., by establishing baseline figures and providing demographic information that allows for planning and response).</p>	
5 min	<p>Module conclusion. Plenary (listening) @semi-circle</p>	
	<p><i>(If this training is delivered as stand-alone, and in case of questions which go beyond the objectives of this module, inform participants that a separate PIM training package (no. 3) contains separate modules going into depth with each of the 8 categories, and for training of more than 1 day modules of relevance to the target group can be incorporated).</i></p> <p>Having now jointly build and gone through the full matrix on the wall, proceed to hand-out the Module learning sheet as well as the populated A3 PIM matrix to all participants (one for each), and explain that it contains further details which allows ones to have a closer look the definitions of the listed categories further breaking them down for digestion.</p> <p>Explain that there are several different ways that you can find entry points <u>into the matrix</u> to better understand what data, information or analysis you have or you need, or where there may already be multiple systems operating collecting or providing the same type of data or information:</p> <ul style="list-style-type: none"> a) <i>You can look at the types of methodologies that you have and organize them by category, which can highlight areas in which data, information or analysis is needed, or adequately covered.</i> b) <i>You can use the matrix by asking what type of data, information or analysis you need; and looking at the ‘Output’ by category, identify the systems, approaches or tools that might be needed to plan or deliver your response</i> c) <i>You may also use the matrix to map and categorize the types of systems that are being used by colleagues within your operation or context – this may help you to be able to identify what organization could be the source of data or information which you are looking for.</i> <p>Conclude that this exercise has introduced the PIM matrix categories and associated outputs. As can be seen on the A3 print out, more guidance on the categories is available, which can help participants to use the matrix after the training in order to:</p> <ul style="list-style-type: none"> 1) <i>Reinforce a common understanding and facilitate accurate protection dialogue between both protection and IM colleagues, as well as internally and externally</i> 2) <i>Classify protection information management activities using the PIM matrix categories.</i> 3) <i>To identify the right systems, tools, and approaches/methodologies for a particular result to inform action for protection outcomes.</i> <p>Recall the module learning objectives, repeat the module key messages and answer any questions necessary to ensure fulfilment of learning outcomes.</p>	<p>PPT,p.8-9</p> <p>A3 prints of PIM matrix Module learning sheet</p> <p>Projector, speakers and internet</p>

	<p>Project “Moment of Zen” - stop at 1:05 min (Matrix – “The Matrix is Everywhere”) https://www.youtube.com/watch?v=qedAzTA8nY8</p> <p>Distribute module feedback form (one per participant) and collect the filled in version from participants before module closure.</p>	<p>Module feedback form (Annex 1.3.d)</p>
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Facilitator note 1) Relevant resources

Prior to delivering this module, it is recommended that the facilitators familiarize themselves with the below listed resources, all of which are available on the PIM website (<http://pim.guide/guidance-and-products/>):

PIM Matrix, available at:

https://docs.google.com/document/d/1xNV_3yvcw6i6jZKuliUmTkqRBRGWbMASsR9BFydS4To/edit

PIM Matrix cover page (explanatory breakdown), available at:

<https://drive.google.com/file/d/0BzY6xxaSOIO3UkQ5a1BWd0xIOVkv/view>

PIM Quick Reference Flyer (with the PIM Principles, Matrix, and Process), available at: http://pim.guide/wp-content/uploads/2018/04/Quick-Reference-Flyer_Principles_Matrix_Process_2018-1.pdf

PIM Working Group #1 (May 2015): [Meeting Outcome document, available at: http://pim.guide/wp-content/uploads/2016/10/Protection-Information-Management-Working-Meeting-Outcome-Document-May-2015.pdf](http://pim.guide/wp-content/uploads/2016/10/Protection-Information-Management-Working-Meeting-Outcome-Document-May-2015.pdf)

PIM Working Group #2 (Dec 2015): [Meeting Outcome document, available at: http://pim.guide/wp-content/uploads/2016/10/Protection-Information-Management-Working-Meeting-Outcome-Document_Dec-2015.pdf](http://pim.guide/wp-content/uploads/2016/10/Protection-Information-Management-Working-Meeting-Outcome-Document_Dec-2015.pdf)

PIM Working Group #3 (Sep 2016): [Meeting Outcome document, available at: http://pim.guide/wp-content/uploads/2017/01/Protection-Information-Management-Working-Meeting-Outcome-Document_September-2016.pdf](http://pim.guide/wp-content/uploads/2017/01/Protection-Information-Management-Working-Meeting-Outcome-Document_September-2016.pdf)

Facilitator note 2) Participation in PIM Working meetings

The PIM Matrix was developed and finally endorsed by stakeholders in the PIM community during three [global PIM Working meetings](#) (outcome documents details listed in Facilitator note 1). Participants include several international NGOs, UN agencies, other UN entities, such as DRC, ICRC, ICT4Peace Foundation, Impact Initiatives, IOM, IRC, JIPS, NRC, OCHA, OHCHR, UNHCR, Oxfam, UNDPKO, UNFPA, UNICEF, and WFP as well as academia. Additional feedback is welcomed, please reach out via the details provided on: <http://pim.guide/contact-us/>

Facilitator note 3) PIM category components

The PIM categories are defined in the PIM Matrix using 7 components serving as comparison criteria, namely:

- i. Definition
- ii. Sub-category examples
- iii. Methods
- iv. Specific Examples
- v. Output (data and information)
- vi. Shared data
- vii. Sources

Facilitator note 4) PIM category definitions and output descriptions

To serve as overview and quick reference for the facilitator, the below listed **PIM category definitions and output descriptions** lists the summaries of the full text of the populated PIM Matrix, which participants will be working with (discovered on their chairs) during the course of this module (an overview version of the text available for print in Annex 1.3.a).

Category	Definition	Output (Summary)
Population data	Record the number and characteristics, disaggregated by sex, age, demographics and diversity, of a population in a specific place and time period, for the purpose of programming effective prevention and response.	Snapshot or reoccurring information on population figures, preferably disaggregated by age, sex and location (where people are or were located). It can also include: humanitarian profile typology, specific needs, vulnerabilities or other demographic characteristics including education, skills, occupation, and living conditions.
Protection needs assessment	Data-collection exercise usually conducted at a single point in time to gain an understanding of the protection issues, availability of resources, sources of problems and their impact on the affected population ('snapshot'). Done in order to identify protection needs, risks, and solutions, and to inform programme interventions and response activities that are complementary with positive community coping mechanisms. To be carried out periodically and after substantial changes in the context.	Quantitative and qualitative data and information on the protection situation (threats, capacity, vulnerabilities) at a specific time and place (as defined by the scope and scale of the assessment), providing info on: <ul style="list-style-type: none"> • Protection risks • Protection needs • Capacities and coping strategies • Life-saving assistance or immediate support needed
Protection monitoring	Systematically and regularly collecting, verifying and analysing information over an extended period of time in order to identify violations of rights and protection risks for populations of concern for the purpose of informing effective responses.	Quantitative and qualitative data and information on the protection environment, protection trends over time, rights violations, and / or risks - threats, vulnerabilities, and capacities - of the affected population.
Case management	Systems support the provision of protection and/or targeted interventions to identified individuals or groups through the management of data – from case identification to case closure – related to a specific case.	Information on protection needs, risks and incidents at the individual level protection response, and the corresponding actions needed and taken by whom, and when, subject to the principles of confidentiality and consent.
Protection response monitoring and evaluation	Continuous and coordinated review of implementation of response to measure whether planned activities deliver the expected outputs and protection outcomes and impact, both positive and negative. Evaluation is distinct, but compliments monitoring, in that it asks questions around causal linkages, looking at intended and unintended results. Evaluation is not continuous, but rather periodic and targeted.	Qualitative and quantitative data and information related to the actual outcomes and outputs of the protection response against the planned activities/ expectations.
Security and situational awareness	These IM systems monitor both the affected population and the ability of humanitarian actors to physically and securely reach people affected by crisis. They would make available information on the overall security situation, issues of humanitarian space and access (including the safety of staff), and other concerns. A key difference between these systems and protection monitoring is in this aspect of humanitarian access.	Qualitative and quantitative data and information on the overall security situation and operational environment. Including info on humanitarian access, security for all stakeholders, context and conflict analysis, risk indicators, and the country's political, military, social and economic information.

Sectoral IM systems	Information management systems that support assessment, monitoring and reporting on services, infrastructure, material, and physical support that support legal and physical protection outcomes, but are not managed directly or solely by protection actors.	Data which pertains directly to the sector’s operational data requirements and can provide protection specific/relevant data on needs, protection risks, vulnerability, required response in requisite sectors (for example: indicators used in sector information systems which provide critical protection information).
Communicating with(in) affected Communities	Communication between, among, and with communities and/or community members with the aim of supporting participation, decision-making, access to services, feedback/complaints, transparency, monitoring and evaluation, and leadership/community capacities.	Data and information on: <ul style="list-style-type: none"> • Common and appropriate sources of information and communication within communities; • Community capacities, resources, skills; • Local contextual information (e.g. cultural sensitivities, languages used by affected populations); • Priority information needs and concerns of affected populations; • Updates on factors which affect the protection nature of the response (such as context, logistics, political, social and economic information).

ANNEXES TO MODULE 1.3

Annex 1.3.a) PIM matrix headings, category definitions and output descriptions

Part of module: 1.3 PIM matrix

Instructions for production and use: Print out on A4 sized paper (single paged). This document contains the following elements of the PIM Matrix: 1) 8 Category headings, 2) 2 Category criteria (headings ‘Definition’ and ‘Output’), 3) category definitions and 3) category output descriptions. 1 + 2 are to be hung on the wall in the matrix outline prior to the session. 3 are to be hung on the back of the participants’ chairs. 4 are to be hung (with take or sticky tack) underneath the chairs of the participants. 3 + 4 are only to be hung up on the pre-assigned spots on the matrix outline on the wall once discovered by participants as per facilitator’s instructions.

Print out available: <https://docs.google.com/document/d/1VuN74idb1mbiIMNVQ-B5sLH-97n-OsSXH8obZlIFxss/edit?usp=sharing>

Annex 1.3.b) PIM Quick Reference Flyer (with populated matrix)

Part of module: 1.3 PIM matrix

Instructions for production and use: To be printed out for each participant (A3 size recommended due to small font size).

Downloadable from: http://pim.guide/wp-content/uploads/2018/04/Quick-Reference-Flyer_Principles_Matrix_Process_2018-1.pdf

Annex 1.3.c) Module learning sheet – PIM matrix

Part of module: 1.3 PIM matrix

Instructions for production and use: The module learning sheet should be printed out one for each participant and serve as learning reference point for the participants throughout and after the module. It contains structured space for note taking on key concepts introduced, contains reference tools, definitions and a list of recommended resources for further learning.

Print out available: https://docs.google.com/document/d/1n-KKEZyBh3C_KZcL1In35chnGsR2rwOQmC6X506lwQ/edit?usp=sharing

Annex 1.3.d) Feedback form: module 1.3 PIM Matrix

Part of module: 1.3 PIM Matrix

Instructions for production and use: The standardized and anonymous feedback form should be handed to participants after completion of the training module (one for each) for immediate completion and return to the facilitator, in order to be used by the facilitator to evaluate the extent to which the module learning objectives have been met through realization of the module learning outcomes. The form will take 3-5 minutes to complete.

Print out available:

https://docs.google.com/document/d/1VF68zySbjlj78bC37AEyeWzWikl8kdgCx3sUsCs_Ddw/edit?usp=sharing

Annex 1.3.e) Power point presentation

Part of module: 1.3 PIM Matrix

Instructions for production and use: This power point presentation may serve as visual reference during delivery of this module. Please note that facilitators are discouraged from relying solely on the power point presentation as visual reference during module delivery, as this is not compatible with the participatory design of the PIM training modules.

Available at:

https://www.dropbox.com/s/7vebnshlmqeack/PPT_Package%203_Module%203.1_PIM%20Matrix.pptx?dl=0

2

2.1 Protection

2.2 Information
Management

**Bridging Protection & Information
Management**

Package 2:

Bridging Protection and Information Management

What this package offers: This package sets out to facilitate dialogue and collaboration between protection and IM, by offering an introduction to both disciplines, and explaining how their collaboration in principled, systematized, and collaborative processes to collect, process, analyse, store, share, and use data and information enables evidence-informed action for quality protection outcomes.

Delivered as a package, the two modules introduce the disciplines of protection and information management in humanitarian response, facilitate exploration of their inter-sections and explore the way in which collaboration between IM and protection can serve to ensure the quality of the evidence-basis, on which to base a protection response.

Content:

Module 2.1: Protection (1 hour and 35 minutes)

Module 2.2: Information Management (2 hours and 30 minutes)

Target group: This training package is suitable for groups of 12 – 28 participants with mixed functional profiles, who through their work have been exposed to the inter-sections between protection and information management.

Instructions for delivery: While designed to be delivered as a package, the two modules may also be delivered in isolation, for target groups with a specific learning and interest in PIM through either a protection or an information management lens.

Time and preparation required: The preparation required by the facilitator for delivery of the modules themselves is specified under the respective module descriptions. In addition, as a prerequisite for the successful delivery of these modules, the facilitator should be aware of the functional profiles and level experience of all participants prior to deliver (through pre-training event survey or registration questions). Having this knowledge will enable the facilitator, during the planning and deliver phases, to compose groups for group work and to facilitate plenary discussion, which can be dynamic and enable the participants to reflect on their prior experience in relation to the subject matter discussed.

MODULE 2.1 – Protection

Core competency –

Knowledge of key protection norms and standards and holistic approach of protection.

Module objectives	Module learning outcomes
<p>The session will:</p> <ul style="list-style-type: none">● Review the rights-based definition of protection.● Explain the three main spheres of protective action.● Recall the Centrality of Protection, and under this distinguish 1) Protection mainstreaming; 2) Protection integration and 3) Protection specific programmes.● Reflect on challenges and responsibilities in relation to working evidence-based for quality protection outcomes.	<p>After the session participants will be able to:</p> <ul style="list-style-type: none">● Recall the IASC definition of protection.● Distinguish responsive, remedial and environment building spheres of protective actions.● Point to the forms which humanitarian work for protection outcomes can take under the Centrality of Protection.● Argue for the importance of collaboration between protection and IM for evidence-informed action for quality protection outcomes.

Key messages:

- 1) The humanitarian community has adopted the Inter-Agency Standing Committee (IASC) common definition of protection as all activities aimed at obtaining respect for the rights of the individual in accordance/ with the letter and the spirit of relevant bodies of law.
- 2) There are three types of protection activities that can be carried out concurrently to reduce exposure to risks of violence, coercion and deliberate deprivation of rights: responsive, remedial, and environment-building.
- 3) The Centrality of Protection (IASC 2013 Statement and 2016 Protection Policy) recognizes that protection is the purpose and intended outcome of all humanitarian action and shared responsibility of all.
- 4) Across the different forms which protection activities and programmes can take, collaboration between IM and protection is key to ensuring the quality of the evidence-basis on which to base protection interventions.

Duration: 1 hour and 35 minutes

Reference: PPT: 2.1 Protection, Module learning sheet: Excerpts from: GPC (2010): Handbook for the Protection of Internally Displaced Persons; GPC and Global Protection Task Team on Protection Mainstreaming (2016): Protection Mainstreaming Toolkit; IASC: Statement on Centrality of Protection (2013); IASC (2015): Reference Module for the Implementation of the Humanitarian Programme Cycle v. 2.0; IASC (2016): Policy on Protection in Humanitarian Action.

Facilitator preparation:

- Review participants' answers to protection related questions in pre-training survey.
- Compose pairs of two for "Protection in Practice"-activity in order to for diversity of experience in the assigned groups, and place the grouping "Breakout group cards" (Annex 2.1.c) on the name stands/chairs of the participants ahead of module delivery.

Room set-up:

- Open space – For a moving activity (making of the Protection definition).
- A training room in which it will be possible for all of the visuals for the 'protection graffiti wall', 'protection definition wall' and the breakdown of 'protection definition' to be visible for the participants at all times throughout the module.
- A 'protection definition wall' with colour codes (Annex 2.1.a). Cover before participants arrive in the room (e.g. with flipchart paper). Post-its (four colours that match the colours of the idea windows).
- Large paper for protection graffiti wall (in case of a large participant group, you will want to construct the 'graffiti wall' out of several sheets of paper – the purpose is that the wall is large enough that participants can all write at the same time, and do not have to wait in line).

- A flip chart paper with the PIM definition⁹ written on it should be hung on the wall prior to session start, for ease of visual referencing during module.
- Flip-chart stand with paper and markers.

Print-outs and handouts:

- Protection definition pre-made wall (Annex 2.1.a). A3 required.
- Protection definition for participant line up (Annex 2.1.b).
- Breakout group cards for activity “Evidence for quality protection outcomes”). Annex 2.1.c.
- Module learning sheet Annex 2.1.d). One should be printed for each participant, and distributed during the activity “Evidence-informed humanitarian action”.
- Module feedback form (Annex 2.1.e). Print one for each participant.

Time	Activity	Resources
10 min	What does protection mean to you? Activity (all) @protection graffiti wall	
	<p>Introduce the module and the learning objectives.</p> <p>Show participants the graffiti wall:</p> <p>Ask participants to reflect on ‘What does protection mean to you?’ and in silence to go to the graffiti wall and spend 5 minutes answering the question (e.g. through writing a word, a phrase or drawing).</p> <p>Tell participants to take a look at the completed graffiti, and as facilitator call out for elaborations on points made as necessary, in order to collective gauge how the participants understand ‘protection’ (as facilitator you want to ensure that a common shared baseline understanding of protection is established, which can be cross-referenced throughout this module).</p>	<p>PPT, p.1-3</p> <p>Protection graffiti wall</p> <p>Markers for graffiti wall</p>
15 min	What is the protection definition? Activity (all) @open space	
	<p>Explain that through this activity we will analyse the Inter-Agency Standing Committee (IASC) protection definition (2016 Policy on Protection in Humanitarian Action) adopted by humanitarian actors.</p> <p>Ask participants to come to the largest space in the room. Distribute the printed A4 sheets amongst them. Explain that together the A4s make the IASC definition of protection, and that as a group, they need to put the definition together by lining up next to each.</p> <p>Once participants have made a line with the protection definition, ask someone to read out the definition, and ensure that it is correct.</p> <p><i>All/ activities/ aimed/at/obtaining/ respect/ for/ the/ rights/ of/ the/individual/ in/ accordance/ with/ the/ letter/ and/ the/ spirit/ of/ relevant/ bodies/of/ law</i></p> <p>The correctly ordered definition should be hung on the wall in the front of the room.</p> <p>Ask participants to sit at their tables and turn around to face the back of the room, and reveal the ‘pre-made’ wall of the protection definition.</p>	<p>PPT, p.4-5</p> <p>Protection definition Annex 2.1.b)</p> <p>Tape/sticky tack</p>
15 min	Protection definition in depth. Activity (all) @protection wall	
	<p>Re-read the definition and bring participants’ attention to the parts in the coloured windows:</p>	<p>PPT, p.6-7</p>

⁹ Protection information management refers to principled, systematized, and collaborative processes to collect, process, analyze, store, share, and use data and information to enable evidence-informed action for quality protection outcomes.

	<p>Instruct participants to take post-it notes matching the colours of the windows, and that they have 3 minutes to write and put up their answers quickly - the first thing that comes to their mind) to the following questions (also listed on the PPT):</p> <ul style="list-style-type: none"> ● <i>BLUE – ‘All activities’ - What are ‘All the activities’? Can we have a comprehensive list of ‘ALL?’</i> ● <i>PURPLE – ‘Obtaining’ - How do you ‘obtain’?</i> ● <i>WHITE – ‘Rights of the individual’ - What are the ‘rights of the individual’?</i> ● <i>GREEN – ‘Relevant bodies of law’ - What are they?’ Is there something that is not relevant?</i> <p>Once done, participants should stay by at this wall of the ‘protection definition breakdown’.</p> <p>Explain the protection definition in ‘reverse’ order by un-packing the definition by: For each coloured window spend 2 minutes to (approach and guiding questions in Facilitator note 2):</p> <ul style="list-style-type: none"> - Read at least three post-it notes - Ask participants if they see similarities <ul style="list-style-type: none"> ● <i>In line with Facilitator note 2 guidance, ensure that the layers of the “Protection Egg model” is introduced and referenced in relation to the breakdown of the protection definition.</i> - Ask PIM participants if they notice any outstanding points - Ask participants if there are any questions - Stress that what you are breaking down is exceptionally important to communicating the work of protection – note big efforts taken in the past couple of years to communicate the work of protection actors: <ul style="list-style-type: none"> ● <i>The GPC (and other actors) have been working hard to ensure that work of protection actors is understood – and by ‘unpacking’ this definition, we truly begin to see how protection relates to work done by every humanitarian actor, in every context, in every type of emergency;</i> ● <i>The PIM training focuses on improving communication between protection actors and IM actors – which means that both actors must be extremely clear on ‘all’ the aspects of protection.</i> <p>Wrapping up the exchange and drawing on examples raised, make the point that protection is an objective, a legal responsibility and a multi-sector activity to (1) prevent or stop violations of rights, (2) ensure a remedy to violations- including the delivery of life-saving goods and services- and (3) promote respect for rights and the rule of law and to create early warning systems.</p>	<p>Pre-made protection definition wall</p> <p>Post-its (4 colours)</p> <p>Tape</p> <p>Flipchart</p>
15 min	<p>Protection: Whose responsibility and how? Plenary (discussion) @tables</p>	
	<p>Building on the preceding discussion on what protection is, it now time to look at who does it and how (See Facilitator note 3 for further details). Encourage participants to use the Module learning sheet for notes.</p> <p>Ask participants, who is responsible for protection activities, and build on the answers provided to establish that:</p> <ul style="list-style-type: none"> ● <i>As per the IASC Principals in 2013 Centrality of Protection statement, everyone in the humanitarian community is responsible for working towards protection as the purpose and intended outcome of humanitarian action by under the leadership of the HCs, HCTs and Clusters in collaboration with states.</i> 	<p>PPT, p.8-14</p>

	<p>Explain that this can take different (not mutually exclusive) forms:</p> <ul style="list-style-type: none"> a) <u>Protection mainstreaming</u>: The responsibility of all humanitarian actors, it is the process of incorporating protection principles and incorporation of four key elements in humanitarian aid: a) Prioritize safety and dignity, b) Avoid causing harm; c) Meaningful Access; Accountability; and d) Participation and Empowerment. Example: The WaSH sector mainstreaming age, gender and diversity considerations throughout the programme cycle. b) <u>Protection integration</u>: The design of humanitarian activities to support both protection and assistance objectives, and to actively contribute to reduce the risk and exposure of the affected population. It requires sector specialist and protection specialist staff to work together. Example: Livelihoods activities with both economic (increase income) and protection objectives (prevent negative coping mechanisms including transactional and survival sex, exploitative/ hazardous labour, child labour). Each case requires GBV and/or child protection expertise in addition to livelihoods expertise. c) <u>Stand-alone protection program and projects with specific protection objectives</u> are the responsibility of the protection sector in addition to being a part of the above listed protection mainstreaming and integration, offering protection expertise). Examples: Monitoring compliance with International Humanitarian Law; Rule of Law programs; Registering refugees; medical, legal and psychosocial care for survivors of sexual violence. <p>Explain that participants will now be introduced to different examples of protection work, and should categorize whether it is an example of protection mainstreaming, stand-alone programming or integration.</p> <p>Firstly, explain the background, and then proceed to display the 3 cases on PPT one by one (Facilitator note 4). Ask participants if it is an example of protection mainstreaming, protection integration or of a stand-alone protection programme. (If the participant group is large, you may want to ask participants to discuss the cases one-by-one at their tables/pairs for a couple of minutes in order to internally agree to an answer as a group/pair, before you proceed to facilitate the plenary exchange about the correct answer).</p> <p>Use answers given as a point of departure for plenary discussion in case of misunderstandings, and ensure that a shared understanding of the concepts is reached.</p>	
10 min	<p>Evidence-informed humanitarian action. Presentation (all) @plenary</p>	
	<p>Distribute the Module learning sheet (one per participant).</p> <p>Recall the PIM definition referencing the written definition on the wall. Encourage participants to reflect on the part of the definition “<i>data and information to enable evidence-informed action for quality protection outcomes</i>” – asking them to share reflections on what it means that action for protection outcomes is evidence-informed, and if they are familiar with processes through which evidence is generated and absorbed as a basis for collaborate planning of a humanitarian response?</p> <p>Building on the answers provided by participants, proceed to introduce the Humanitarian Programme Cycle (visually presenting it on poster or PPT, see Facilitator note 5 for reference). Explain:</p>	<p>PIM definition pre-written on wall</p> <p>HPC illustration on wall or in PPT</p>

	<ul style="list-style-type: none"> ● <i>From a PIM-perspective the HPC is interesting because it is designed to enable informed decision-making on collectively-owned and evidence-based plans for results. The HPC is overseen by the Humanitarian Coordinator and Humanitarian Country Team, and requires all organizations to act with the collective in mind, to collaborate, share information and hold each other accountable for working towards better decisions and improved outcomes at the field level.</i> ● <i>For protection response, the Humanitarian Programme Cycle is not the only determining factor for when evidence is generated and informs action, but that it is the collective framework for planning delivery of aid to meet the needs of affected people quickly, effectively and in a principled manner.</i> ● <i>The HPC requires organizations to plan based on joint risk analysis and evidence, by collecting, analysing and sharing information and by undertaking joint needs assessments, taking into account new information and updating plans, and ensuring that decisions are evidence-based.</i> ● <i>Concrete outcomes of the HPC process are the Humanitarian Needs Overview (HNO) and the Humanitarian Response Plan (HRP) aimed at joint strategic planning and mobilization of resources for implementation of planned action.</i> <p>Gauge the experience among the participants, asking if anyone has experience from involvement in HNO and/or HRP and from where.</p> <p>Answer any questions which participants may have on the HPC. <i>(Depending on the combination in which this module is delivered, you may wish to point out that the HPC will be a revolving element also in the IM and in the PIM matrix package modules).</i></p>	
20 min	<p>Evidence for quality protection outcomes. Activity (groups/pairs) + (all) @plenary)</p>	
	<p>Instruct participants to find their group (everyone is divided accordingly international declaration/convention/covenant. Reference: facilitator coding for activities in facilitator guide and Excel sheet which needs to be populated in advance based on answers from participants’ application in order to ensure diversity of experience within each group).</p> <p>Instruct participants within their groups to have a 10-minute conversation about (Outline for notes available in Module learning sheet):</p> <ul style="list-style-type: none"> ● A project or programme which they have been involved in which has relied on pre-existing evidence or which has set out to generate new evidence in order to serve as a basis for action for quality protection outcomes? ● What role did protection or IM actors play in relation to the generation and use of the evidence? ● What are the challenges associated with working evidence-based for quality protection outcomes in a humanitarian context? <p>Listen in on the groups’ conversations, in order to ensure that support can be offered as necessary.</p> <p>Debrief for 10 minutes in plenary asking groups for examples, while noting conclusions from participants in relation to how the collaboration between and the respective roles of protection and IM functions served to <i>enable evidence-informed action for quality protection outcomes. Note differences caused by the activity being an example of protection mainstreaming, protection integration or of a stand-alone</i></p>	<p>PPT, p.15</p> <p>Breakout group cards</p> <p>Module learning sheet</p>

	<p>protection programme (e.g. availability of designated IM support impacting IM possibilities).</p> <p>Based on examples shared, conclude why collaboration between IM and protection is key to ensuring the quality of the evidence-basis which to base interventions on (drawing up both which competencies and what expertise IM and protection offer respectively, but also how being differently positioned in term of technical responsibility and coordination/inter-sector oversight can have an added value).</p>	
	Closure. All@tables	
10 min	<p>Summarize the module learning objectives, outcomes and key messages, answer any outstanding questions. In case of queries related to protection, the Module learning sheet contains a list of recommended resources and points of contact.</p> <p>Encourage participants to note the protection definition and reflections of relevance to the own operational context in their Module learning sheet.</p> <p>Project the “Moment of Zen” video (GPC and OXFAM about protection, 6.44 min) https://www.youtube.com/watch?time_continue=12&v=T6TLYLQ-vtc</p> <p>Distribute module feedback form (one per participant) and collect the filled in version from participants before module closure.</p>	<p>PPT,p.16-17</p> <p>Projector, speakers and internet</p> <p>Module feedback form (Annex 2.1.e)</p>

Facilitator note 1) Breakdown of protection definition

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

(Excerpt from Handbook for the Protection of Internally Displaced Persons (Global Protection Cluster, 2010), available at: <http://www.refworld.org/docid/4790cbc02.html>)

Facilitator note 2) Guidance for unwrapping the protection definition

The below listed questions and points of discussion may be used by the facilitator to spur discussion in the “unwrapping” of the protection definition as necessary:

1. **Read GREEN – What are the ‘relevant bodies of law’?** Is there something that is not relevant?
 - Highlight that during this training we will not be talking about bodies of law in depth
 - Highlight trainings PIM champions could attend to learn more

Relevant bodies of law include:

‘Customary international law’ is described by the International Court of Justice as “a general practice accepted as law”. This are rules that States apply in practice because they believe that such practice is required or prohibited or allowed, depending on the nature of the rule.

‘International Humanitarian Law’, also known as the law of armed conflict, is a set of rules that seek to limit the effects of armed conflict by protecting those who do not, or no longer, participate in hostilities, and by restricting the means and methods of warfare (ICRC). IHL is found primarily in the 1948 Geneva Conventions, the 1979 Additional Protocols and in Customary International Humanitarian Law.

‘International Human Rights Law’ sets out the legal obligations of Governments to act in certain ways or refrain from certain acts, in order to protect human rights and fundamental freedoms of individuals and groups (OCHCR). For example, Convention on the Rights of the Child (1989) and Convention on the Elimination of Discrimination Against Women (1979) Refugee law is found primarily in the 1951 Convention Relating to the Status of Refugees and the 1967 Additional Protocol.

‘Regional refugee rights regimes’ have established auxiliary rights for refugees in Africa and Latin America. See Organization of African Unity (OAU) Convention 1969, and the Cartagena Declaration 1984.

‘The Guiding Principles on Internal Displacement’ restate and compile human rights and humanitarian law relevant to internally displaced persons.

(Source: *Global Protection Task Team on Protection Mainstreaming (2017): Protection Mainstreaming Toolkit*, available at: http://www.globalprotectioncluster.org/assets/files/aors/protection_mainstreaming/gpc-pm_toolkit-2017.en.pdf)

2. Read WHITE – What are the ‘rights of the individual’?

- Highlight that during this training we will not be talking about specific rights
- Highlight trainings PIM champions could attend to learn more
- Highlight that different states can interpret rights differently

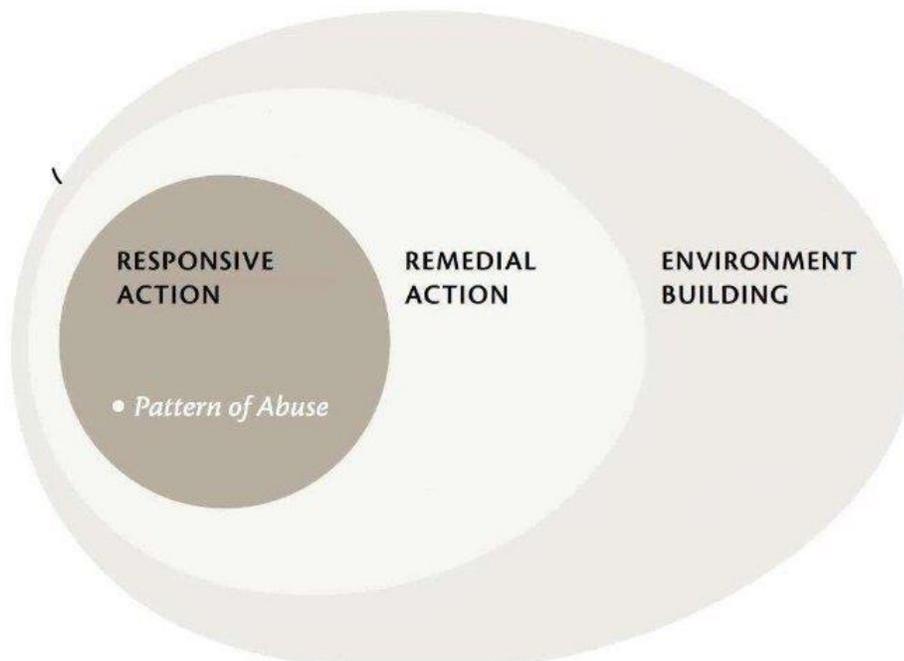
3. Read PURPLE – How do you ‘obtain’?

- In line with the rights-based definition, introduce the human rights language of “*respect, promote and fulfil*” as actions to be taken by states are duty bearers.
- Facilitate exchange to establish what protection sets out to protection persons from (violence, coercion, deliberate deprivation), and to conclude that this is done by achieving a protection outcome which manifests itself in the overall reduced risk to affected persons by decreasing threats, reducing vulnerabilities, and increasing capacities. This can be achieved through changes in behaviour, attitudes, policies, knowledge, and practice on the part of the relevant stakeholder. Refer back to the Protection Egg and the five modes of action: support, substitution, or denunciation, persuasion, mobilisation.
- Highlight examples of how you obtain (prevent violations, stop violations, limit the effects of violations on victims or survivors, and punishing perpetrators).

4. Read BLUE – What are ‘All the activities’?

- Ask participants if it is possible to have a comprehensive list of ‘ALL’
- Ask participants for examples (make sure to highlight if mentioned activities are done by a protection actor, an IM actor or a non-protection specialized actor.
- Highlight if there are different activities based on region
- Highlight if there are activities that would ‘always’ occur
- Ask if participants know the “Egg model”, and based on their level of familiarity draw on flipchart and introduce:

The Egg Protection Framework:



MODES OF PROTECTIVE ACTION

In addition to levels of intervention, there are five main modes of action. These include:

- **Persuasion:** Talking privately to convince your advocacy target to change its policy or practice
- **Mobilization:** Telling other organizations or entities what is happening so that they can influence the authorities or perpetrators to change their policy or practice. Carefully sharing information to bring positive pressure
- **Denunciation:** Making public what is happening in order to put pressure on your advocacy target to change its policy or practice.
- **Support:** Supporting existing structures
- **Substitution:** Direct service provision

(Source: [Inter-Agency Standing Committee \(IASC\) \(2016\) Policy on Protection in Humanitarian Action](https://interagencystandingcommittee.org/system/files/iasc_policy_on_protection_in_humanitarian_action_0.pdf)
https://interagencystandingcommittee.org/system/files/iasc_policy_on_protection_in_humanitarian_action_0.pdf)

Explanatory notes: Three main spheres of protective action gravitate outwards from the point of violation. Responsive, remedial and environment-building actions are sometimes described as short-term, medium-term and longer-term respectively.

1. Responsive action

The most immediate sphere of action is closest to the victims and the pattern of abuse to which they are subjected. This sphere demands a range of responsive action that aims to stop, prevent or alleviate the worst effects of the abuses.

Responsive action is any immediate activity undertaken in connection with an emerging or established pattern of violation and is aimed at preventing its recurrence, putting a stop to it, and/ or alleviating its immediate effects. Responsive activities have a sense of real urgency (but can last for many years) and aim to reach a particular group of civilians suffering the immediate horrors of a violation. They are primarily about stopping, preventing or mitigating a pattern of abuse.

Example: Safely referring a survivor of a human rights abuse to medical services Example: Providing firewood as part of an NFI distribution, so women and adolescent girls do not have to travel outside an IDP camp.

2. Remedial action

Moving further outwards, the second sphere is more restorative and is concerned to assist and support people after violations while they live with the subsequent effects of a particular pattern of abuse. This sphere of action involves a range of remedial action to help people recover.

Remedial action is aimed at restoring people's dignity and ensuring adequate living conditions subsequent to a pattern of violation, through rehabilitation, restitution, compensation and repair. Remedial activities are longer term and aim to assist people living with the effects of abuse. This might include the recuperation of their health, tracing of their families, livelihood support, housing, education, judicial investigation and redress. Example: Education in health centres to prevent stigmatization of survivors of sexual violence.

Example: Vocational training and psychosocial support for former combatants as part of a livelihoods program.

3. Environment-building action

The third sphere of action is further away still from the point of violation and is concerned with moving society as a whole towards protection norms which will prevent or limit current and future violations and abuses. This is the most long-term and structural sphere of action and requires environment-building action that consolidates political, social, cultural and institutional norms conducive to protection.

Environment-building action is aimed at creating and/or consolidating an environment – political, social, cultural, institutional, economic and legal – conducive to full respect for the rights of the individual. Environment-building is a deeper, more structural process that challenges society as a whole by aiming to change policy, attitude, belief and behaviour. It is likely to involve the establishment of more humane political values, improvements in law and legal practice, the training of security forces, and the development of an increasingly non-violent public culture.

Example: Providing information to people within a WASH project about the Code of Conduct by which NGO and UN staff are expected to abide.

Example: Advocating for prohibitions on sexual violence to be included in domestic legislation Example: Advocating for the Guiding Principles on Internal Displacement to be adopted as national policy.

(Source: Global Protection Task Team on Protection Mainstreaming (2017): Protection Mainstreaming Toolkit, available at: http://www.globalprotectioncluster.org/assets/files/aors/protection_mainstreaming/gpc-pm_toolkit-2017.en.pdf)

Facilitator note 3) Protection: Whose responsibility and how?

Centrality of Protection

Inter-Agency Standing Committee (IASC) Principals

“The primary responsibility to protect people in such situations lies with States. In addition, in situations of armed conflict, non-State parties to conflict are obliged to protect persons affected and at risk in accordance with international humanitarian law. The humanitarian community has an essential role to engage with these actors to protect and assist people in need (...) The United Nations “Rights Up Front” Plan of Action emphasizes the imperative for the United Nations to protect people, wherever they may be, in accordance with their human rights and in a manner, that prevents and responds to violations of international human rights and humanitarian law. This same imperative to protect people lies also at the heart of humanitarian action. Protection of all persons affected and at risk must inform humanitarian decision-making and response, including engagement with States and non-State parties to conflict. It must be central to our preparedness efforts, as part of immediate and life-saving activities, and throughout the duration of humanitarian response and beyond (...) It means that HCs, HCTs and Clusters need to develop and implement a comprehensive protection strategy to address these risks and to

prevent and stop the recurrence of violations of international human rights and humanitarian law – a strategy that clearly articulates and identifies the complementary roles and responsibilities among humanitarian actors to contribute to protection outcomes; that identifies and makes use of all available tools to effectively protect those affected by humanitarian crises; that takes into account the role and contribution of other relevant actors, such as peacekeeping and political missions and development actors, to achieve protection goals and develop durable solutions. (...) **It also means that HCs, HCTs and Clusters need to strengthen the collection, management and analysis of information to inform and adjust early warning, preparedness, response, recovery and policy efforts, and support strategic and coordinated advocacy, dialogue and humanitarian negotiations on behalf of persons affected and at risk, and in a manner, that addresses the risks they face in conflict, violence and natural disasters. In this regard, the complementary roles, mandates and means of action of all relevant actors need to be recognized and reinforced.**" (bold emphasis added by PIM training team)

(Source: *The Inter-Agency Standing Committee (IASC) Principals Statement (2013): Centrality of Protection*. Available at: <https://www.humanitarianresponse.info/system/files/documents/files/IASC%20Principals%20Statement%20on%20the%20Centrality%20of%20Protection.pdf>)

Global Protection Cluster

"The centrality of protection means more than protection mainstreaming. It includes ensuring that leadership, coordination, and engagement in protection and all sectors is more strategic, aligned and directed toward a stronger response. While protection of the rights of people is primarily the duty of member states and, in conflict, the parties to a conflict, Humanitarian Coordinators (HCs) and Humanitarian Country Teams (HCTs) are responsible for ensuring that protection is the purpose and intended outcome of humanitarian response. This responsibility cannot be delegated solely to the Protection cluster or taken up by a single agency. Collectively, HCs and HCTs are responsible for ensuring good programming of billions of dollars in humanitarian aid."

(Source: *Global Protection Cluster (GPC): The Centrality of Protection in Humanitarian Action: A review of field and global clusters in 2016*. Available at:

https://reliefweb.int/sites/reliefweb.int/files/resources/the_centrality_of_protection_in_humanitarian_action_-_a_review_of_field_and_global_clusters_in_2016.pdf)

Protection mainstreaming

What? Protection mainstreaming is the process of incorporating protection principles and promoting meaningful access, safety and dignity in humanitarian aid. It focuses not on what we do (the product) but rather on how we do it (the process) and that protection should be mainstreamed through all sectors and all phases of the program/project cycle. The key protection principles that must be taken into account are:

- 1. Avoid causing harm:** prevent and minimize as much as possible any unintended negative effects of your intervention which can increase people's vulnerability to both physical and psychosocial risks.
- 2. Equality:** arrange for people's meaningful access to impartial assistance and services - in proportion to need and without any barriers (i.e. discrimination). Pay special attention to individuals and groups who may be particularly vulnerable or have difficulty accessing assistance and services.
- 3. Accountability to beneficiaries:** set-up appropriate mechanisms through which affected populations can measure the adequacy of interventions, or address concerns and complaints.
- 4. Participation and Empowerment:** support the development of self-protection capacities and assist people to claim their rights, including - but not exclusively - the rights to shelter, food, water and sanitation, health, and education.

Who?

All humanitarian actors share an ethical responsibility for mainstreaming protection across the humanitarian response, including general and sector staff, programming staff, advocacy staff, design, monitoring and evaluation staff, and their managers. Cluster lead agencies and partners are responsible for ensuring that activities within their respective sector are carried out with a "protection lens", and in particular for ensuring that their activities integrate protection principles. Field Protection Clusters can provide advice, guidance and training on protection mainstreaming.

How?

Protection can be mainstreamed:

- By including protection principles in the general project management and as core principles in delivering humanitarian aid;
- By incorporating protection principles into project cycle management through protection mainstreaming indicators for each sector.
- Protection mainstreaming requires concrete, intentional actions that address all four key elements of protection mainstreaming in the design of a sector project.
- The GPC Sector Checklists provide a useful tool to assist with and review design processes. Available at: http://www.globalprotectioncluster.org/assets/files/tools_and_guidance/protection-cluster-coordination-toolbox/gpc-edg-note-checklist-on-incorporating-protection-and-accountability-in-the-hpc.en.pdf

(Source: Global Protection Task Team on Protection Mainstreaming (2017): Protection Mainstreaming Toolkit, available at: http://www.globalprotectioncluster.org/assets/files/aors/protection_mainstreaming/gpc-pm_toolkit-2017.en.pdf)

Facilitator note 4) Mainstreaming, integration or stand-alone program/project?

Before showing the cases, begin by explaining the background: Area X hosts a large IDP population. With few fuel alternatives available in area X, the majority of the population relies on firewood for cooking and heating purposes. A disproportionately high number of reported SGBV incidents involve collection of firewood by women and girls in a particular forested area. Area X hosts a number of humanitarian organizations and programmes.

Case A)

Humanitarian organization X works to establish a platform to support community engagement initiatives which can minimize the risks associated with firewood collection and ensure information dissemination about SGBV response mechanisms. The SGBV team of the organization works closely with community focal points on the project.

(Answer: This is an example of a project which has a specific protection objective and is done by the protection sector alone. It is thus an example of a stand-alone protection project).

Case B)

The energy and environment programme of organization Y, has as its objective to expand the number of households which are able to rely 100% on environmentally friendly and sustainable energy sources for household purposes, while increasing the sense of safety and security reported by girls and women living in these households. Programme implementation requires regular information sharing and planning between the teams responsible for Energy&Environment and SGBV respectively.

(Answer: This is an example of a humanitarian activity which supports both protection and assistance objectives, and which actively contributes to a reduction of the risks and exposure to same by the affected population. This is thus an example of protection integration.)

Case C)

During the Basic Assistance annual planning meeting, the sector focal point introduces the SPHERE protection principles (do no harm, non-discrimination/impartial assistance, safety&vulnerability and empowerment/rights/participation) and facilitates a self-assessment process through which colleagues take stock of the extent to which the current programmes comply with and give adequate consideration of these.

(Answer: The SPHERE protection principles list minimum requirements for incorporating protection analysis and response in humanitarian response throughout the programme/project cycle. By introducing these as a basis for sectoral planning, the sector focal point is initiating a protection mainstreaming exercise).

Facilitator note 5) Humanitarian programme cycle

Under the IASC Transformative Agenda, the IASC Principals committed to the ultimate objective of accountability to affected people by ensuring that the humanitarian response delivers assistance to those in need as the result of effective and timely decision-making and planning. In December 2011, IASC Principals agreed to a set of actions that collectively represent a substantive improvement to the humanitarian response model. This is captured in the Humanitarian Programme Cycle (HPC), to replace the Consolidated Appeal Process (CAP) which had until then been the organizing model for humanitarian response.



The above illustration is a simplified version of the more detailed HPC outlined by the IASC. The HPC provides a framework for the delivery of aid to meet the needs of affected people quickly, effectively and in a principled manner. This framework applies to all humanitarian crises but the process, timeline, tools and documents can be used flexibly.

The Humanitarian Programme Cycle consists of a set of inter-linked tools to assist the Humanitarian Coordinator and Humanitarian Country Team to improve the delivery of humanitarian assistance and protection through better preparing, prioritizing, steering and monitoring the collective response through informed decision-making. This requires each organization to change its practices, but also its mind-set and institutional culture to focus on the collective response and not simply on the individual organization's corporate priorities, mandate or fundraising concerns. Each individual organization's piece of the response must fit together and contribute to the overall expected results. The focus is on collectively-owned and evidence-based plans to ensure increased HCT accountability for results. The HPC should influence programming and resource allocations of all actors – including United Nations (UN) agencies, non-governmental organizations (NGOs), civil society and governments. Organizations are required to act with the collective in mind, to collaborate together, share information and hold each other accountable for working toward better decisions and improved outcomes at the field level.

The Humanitarian Programme Cycle allows humanitarian actors to jointly define the overall shape of the response, position their role in relation to other organizations, and understand what needs to be done at a given moment in line with agreed objectives in order to ensure a more coherent, effective and accountable response.

The Humanitarian Programme Cycle highlights the need to (...) Plan based on joint risk analysis and evidence. Organizations need to collect, analyse and share information in advance of, and during, crises; undertake joint risk analysis and needs assessments, where possible in partnership with national authorities and development actors; take new information into account to adapt and update plans; and ensure that decisions are evidence-based.

*(Source: Inter-Agency Standing Committee (2015): Reference Module for the Implementation of the Humanitarian Programme Cycle v. 2.0, available at:
https://interagencystandingcommittee.org/system/files/hpc_reference_module_2015_final_.pdf)*

ANNEXES TO MODULE 2.1

Annex 2.1.a) Protection definition pre-made wall

Part of module: 2.1 Protection

Instructions for production and use: Print or write on an A3 or A0 sized sheet and hang on the wall in the back of the room (covered during first part of the exercise).

Print out available:

https://drive.google.com/file/d/1BHH8pvehtfBWx_OT3nqa1X2leaHBWcZF/view?usp=sharing

Annex 2.1.b) Protection definition for participant line-up

Part of module: 2.1 Protection

Instructions for production and use: Print the broken-up protection definition on A4 paper – 25 sheets total, if less than 25 participants, adjust so more than one word is on a sheet in order that the total number of sheets matches the number of participants.

Print out available: <https://drive.google.com/file/d/1P9Rvy33ZTFi0Vzv3kmhaRMz0Yt2udivg/view?usp=sharing>

Annex 2.1.c) Breakout group cards (human rights conventions)

Part of module: 2.1 Protection

Instructions for production and use: Cut out and distribute to participants according to pre-assigned group planning (for diversity in experience amongst participants). The print out allows for creation of 8 groups of 3 (to find their match based on human rights convention/its content/year of creation), but can be adjusted to fit other group compositions depending on need.

Print out available: <https://drive.google.com/file/d/1rPHEqmiPBOylguxJLo4Mk4oKHtzYRXYy/view?usp=sharing>

Annex 2.1.d) Module learning sheet: Protection

Part of module: 2.1 Protection

Instructions for production and use: The module learning sheet should serve as learning reference point for the participants throughout and after the module. It contains structured space for note taking on key concepts introduced, contains reference tools, definitions and a list of recommended resources for further learning. One per participant.

Print out available:

<https://docs.google.com/document/d/13NbuFKDkpBOyYSVvrNVaJE2aTse8WHRqN7Z5CQKSmck/edit?usp=sharing>

Annex 2.1.e) Feedback form: 2.1 Protection

Part of module: 2.1 Protection

Instructions for production and use: The standardized and anonymous feedback form should be handed to participants after completion of the training module (one for each) for immediate completion and return to the

facilitator, in order be used by the facilitator to evaluate the extent to which the module learning objectives have been met through realization of the module learning outcomes. The form will take 3-5 minutes to complete.

Print out available:

https://docs.google.com/document/d/16orBG6rmLJ_AxoNUQX6hDNwNjRQtK9_hzWp9bPmTVG0/edit?usp=sharing

Annex 2.1.f) Power point presentation

Part of module: 2.1 Protection

Instructions for production and use: This power point presentation may serve as visual reference during delivery of this module. Please note that facilitators are discouraged from rely sole on the power point presentation as visual reference during module delivery, as this is not compatible with the participatory design of the PIM training modules.

Available at:

https://www.dropbox.com/s/mjxkq3rtag99nek/PPT_Package%202_Module%202.1_Protection.pptx?dl=0

MODULE 2.2 - Information Management

Core competency –

Attitude: Able to scope and manage expectations of IM

Module objectives	Module learning outcomes
<p><u>The session will:</u></p> <ul style="list-style-type: none">• Explain the difference between data, information, and knowledge.• List the steps in the IM Cycle and associated challenges and solutions of each.• Explain modalities of collaboration through which IM supports protection clusters and sectors to develop a more informed protection response.	<p><u>After the session participants will be able to:</u></p> <ul style="list-style-type: none">• Participants can state how data leads to information and both lead to knowledge.• Participants can list the steps in the IM Cycle including key challenges and solutions/ tips for each.• Examine IM and protection collaboration modalities for informed protection response in own operational context.

Key messages:

1. The overall objective of IM in a humanitarian response is to generate quality and timely data, information, and/or knowledge in order to lead to better-informed decisions for better protection outcomes.
2. IM refers to the collection, analysis, reporting, storage and sharing of humanitarian information in a coordinated, systematic, and transparent way. When done for protection use and objectives this is Protection Information Management.
3. While the set-up for collaboration between IM and protection varies across response contexts, division of responsibilities outlined by the IASC give direction to IM work at intra and inter-sector/cluster levels.
4. Dialogue and close collaboration between protection and IM colleagues is essential to enable evidence-informed action for quality protection outcomes.

Duration: 2 hours and 30 minutes

Reference: PPT: 2.2 IM, Module learning sheet content: Structured note-taking space, Illustration of Humanitarian Programme Cycle, generic IM profiles.

Facilitator preparation:

- Creation of 6 groups (size to depend on number of participants) ensuring that each group has diverse participant backgrounds and both IM and protection staff. Coding for splitting the participants into 6 groups by cluster and cluster lead match, see (Annex 2.2.d) to be taped inside/behind the participant name tags prior to the module.
- In the preparation and delivery of this module, it is important for the facilitator to be cautious that their articulation of the need for collaboration and a shared understanding between IM and protection, is presented in an inclusive way which does not serve to polarize (avoid language which can reinforce a “them” versus “us” divide).

Room set-up:

- Separate tables – one per team of participants (one team should not consist of more than 5 persons).
- 6 flip charts hung around the room (titles: 1) Collect – Challenges and Solutions, 2) Process – Challenges and Solutions, 3) Analyse – Challenges and Solutions, 4) Store – Challenges and Solutions, 5) Share – Challenges and Solutions, 6) Use – Challenges and Solutions).
- IM definition to be written on the wall at the back of the room (covered, for uncovering during module).
- 3 idea bubble-shaped flipchart sized papers, should be up on the wall, each with a different heading written on it (“Data”, “Information”, “Knowledge”).
- Post-its in 3 colours (1 colour to be used for each idea bubble) should be placed on each team table.
- Packets of pre-made signs placed on each table (1 package for each table):
 - Yes/No cards in every packet, one pair for every participant (see below)
- “What do we know?”-package (see below) one for each table.

Prints and handouts:

- Printed A4 sheets for each table of the words (1) Aleppo, 2) Latrines, 3) Schools, 4) 12,846, 5) School Bus) (“What do we know?”, Annex 2.2.a).
- 1 A4 print-out (“Additional information”, Annex 2.2.b) out with the text “When there are no female latrines we generally see a significant drop in girls’ attendance rates at school”.
- “YES/NO” card (Annex 2.2.c): 1 collection of pre-made signs placed on each table (1 of each sign per participant).
- Break-out cards per cluster/lead (Annex 2.2.d)
- Module learning sheet (Annex 2.2.e). Print-out for each participant.
- Module feedback form (Annex 2.2.f). Print one for each participant.
- Ball (or other tossable object).

Time	Activity	Resources						
5 min	PIM definition. Plenary (listening) @tables							
	<p>Explain that the module objectives.</p> <p>Distribute the Module learning sheet (one for each participant).</p> <table border="1"> <tr> <td><i>If this module is delivered in conjunction with the session “Intro to PIM concepts”...</i></td> <td><i>If this module is NOT delivered in conjunction with the session “Intro to PIM concepts”...</i></td> </tr> <tr> <td>Show participants the PIM definition hanging on the wall</td> <td>Show participants the PIM definition</td> </tr> <tr> <td>Encourage participants to reflect on the notes they took during the Intro to PIM concepts session.</td> <td>Ask if a participant can read aloud the definition for the plenary.</td> </tr> </table> <p>Point to the fact that the PIM definition includes the key steps of the IM cycle: “...collect, process, analyse, store, share, and use ...” (participants may not be familiar with the IM cycle – in that case explain that we will review further into this module).</p> <p>Explain to participants that this will be the focus of the session</p> <p><i>(Proceed to the below...)</i></p>	<i>If this module is delivered in conjunction with the session “Intro to PIM concepts”...</i>	<i>If this module is NOT delivered in conjunction with the session “Intro to PIM concepts”...</i>	Show participants the PIM definition hanging on the wall	Show participants the PIM definition	Encourage participants to reflect on the notes they took during the Intro to PIM concepts session.	Ask if a participant can read aloud the definition for the plenary.	PPT, p.1-3
<i>If this module is delivered in conjunction with the session “Intro to PIM concepts”...</i>	<i>If this module is NOT delivered in conjunction with the session “Intro to PIM concepts”...</i>							
Show participants the PIM definition hanging on the wall	Show participants the PIM definition							
Encourage participants to reflect on the notes they took during the Intro to PIM concepts session.	Ask if a participant can read aloud the definition for the plenary.							
10 min	What is needed to make informed response plans? Plenary (discussion) @tables							
	<p>Ask “What do we need to make informed decisions”. As the words “Data”, “Information”, “Knowledge” are used, write each as idea bubble-heading on the wall.</p> <p>Instruct participants to think about what the three words mean (rhetorical), writing their answers on a post-it note in matching colour of the ‘heading idea bubble’.</p> <p>Inform them (while they are writing) that “Data”, “Information” and “Knowledge” are the building blocks for making better informed decisions.</p> <p>Instruct the participants to place their post-its on the matching “ideas bubbles” on the wall, and tell them that these notes will be used later in this session.</p>	PPT, p.4 PIM definition wall/projection Idea bubbles Post-its						
20 min	What is Data? Activity in plenary (discussion) @tables							
	<p>Explain what data is (See Facilitator note 1 for reference).</p> <p>Instruct participants to locate the packet of pre-made signs on the table and to jointly pick the words which they think present ‘data’ from amongst the options (1. Aleppo, 2. Latrines, 3. Schools, 4. 12,846, 5. School bus photo).</p> <p>Ask a participant from each table to sticky tack/tape the paper with the examples they believe are correct on the wall below the “Data idea bubble” (on the wall).</p>	PPT, p.5-7 Pre-made sign packets						

	<p>Ask each group to hold up ‘yes’ or ‘no’ signs according to whether they would want to change the decision. State aloud the number of groups who would and would not want to change their decision.</p> <p>Explain what “knowledge” is (See Facilitator note 3 for reference). Summarize the key concepts:</p> <ul style="list-style-type: none"> ● <i>Answers the ‘why’.</i> ● <i>Knowledge is what we know – and also contains our beliefs and expectations.</i> ● <i>Knowledge is the data, information, and skills acquired through experience and education.</i> ● <i>Knowledge is created when information is learned, applied and understood.</i> <p>Ask a participant to explain, in their own words, the relationship between data, information and knowledge.</p>	
5 min	What is IM in humanitarian settings? Plenary (discussion) @tables	
	<p>Instruct participants to look up the definition of ‘Information Management’ on the Module learning sheet. Remove the sheet that was covering the definition hung on the wall of the room:</p> <p><i>“Information management means the collection, analysis, reporting, storage and sharing of humanitarian information in a coordinated, systematic, and transparent way”. [Gavin Woods/UNICEF, 2016]</i></p> <p>Ask participants to explain to the plenary ‘Why is IM important?’ (For Possible answer options see Facilitator note 4). Ensure that the following conclusions can be drawn from input provided by participants:</p> <ul style="list-style-type: none"> ● <i>Humanitarian situations are complex and humanitarian actors require significant amounts of information about the crisis itself, the populations affected, and the response to the crisis. IM is the enabling support to meet those information needs in a timely, effective, and responsible manner.</i> ● <i>Beyond an emergency: The proper collection, management and sharing of data during emergencies is to the benefit of early recovery, recovery, development and disaster preparedness activities.</i> <p>Explain that IM is not an isolated step but at the centre of the Humanitarian Programme Cycle as ‘Enabler’ (See Facilitator note 5).</p> <p>Conclude by stating why IM is important and explain that the overall objective of IM in a humanitarian operation is to generate knowledge that is usable and used for better-informed decisions. Stress how important it is for IMOs and protection officers to have a dialogue in order to establish the information needs in a specific context (guided by the steps of the PIM Process).</p>	PPT, p.14-16
50 min	IM and PIM. Activity (6 groups) @flip chart space	
	<p>Ask the plenary ‘What are the steps of an IM cycle?’ and solicit a few answers before proceeding to display it (on the PPT).</p> <p>Explain the IM cycle steps by soliciting input and explanations from the participants and (Facilitator note 6 for reference).</p> <p>Inform participants that you will be examining the IM cycle and its steps more closely in relation to PIM actions (collect, store, analyse, report, share, use). Point out that</p>	PPT, p.17-18

<p>“design” and “evaluation” are also inherent steps of the PIM process, but that these will not be covered the purpose of this exercise.</p> <p>For awareness, add the point that the IM cycle steps reviewed in this exercise do not reflect the full life cycle of data – and that an important and final step is to decide what to do with data once it has been used – should it be retained, destructed or archived (See Facilitator note 7)? (Further discussion on the decision-making on this is beyond the scope of this module, but a topic in module 5.1 ‘PIM Sensitivities’).</p> <p>Explain the relationship between IM and informed protection decision-making:</p> <ul style="list-style-type: none"> ● <i>Based on the decisions to be informed, IMOs design, implement and review IM systems to meet specific information needs i.e., to support evidence-informed decision-making process.</i> ● <i>The specific outputs of an IM system will vary, depending on the information need, the system developed, context, etc. For example, the specific components of an IM system for protection monitoring are different from those for a needs assessment - even though an IMO would be guided by the PIM Process and go through the IM cycle for both</i> ● <i>A well-designed ‘system’ (note: what a system is, is not defined - but usually includes a standardized process and specific tools) is fit-for-purpose, i.e., provides the right kind and amount of information as specified for the defined purpose, within the required timeframe and resources allocated. An IM system should not be more complex or collect more data beyond what is needed.</i> <p>Instruct participants to look inside their name tag to find a note indicating either a cluster or a UN agency cluster lead. Inform them that they are divided into pairs of two based on the match. Tell them to stand up to find their group based on the match.</p> <p>Direct each team to one of the six pre-hung “Challenge/Solution” flip-charts.</p> <p>Instruct in plenary, that groups will have 5 minutes by each flip-chart to discuss and identify the challenges and solutions in each of the stages of the IM cycle, and write these on the flip chart. After 5 minutes, they must rotate left to the next flip-chart.</p> <p>Discretely walk around the room while groups are discussing, and mark correct 'solutions' on the flips charts (with stickers or by drawing a small cross).</p> <p>Keep track of time, and announce every time 5 minutes pass and it is time to rotate and for the groups to move on to a new flipchart and discuss challenges and solutions of a new step of the IM cycle.</p> <p>Debrief by the flipcharts, by throwing a ball first to one group asking them to summarize in 2 minutes their discussion. After 2 minutes, they pass the turn and throw the ball to the next group.</p> <p>Summarize the commonalities in the presentations by the groups, highlight the “correct solutions” and proceed to ask what the role a protection/IM respectively is in relation to the solutions discussed.</p> <p>Based on answers provided, establish the interdependency of protection and IM, and that dialogue and collaboration between protection and IM colleagues is key for evidence-informed action for quality protection outcomes. Note that (in line with protection mainstreaming) the importance of collaboration for protection outcomes is not isolated to protection and IM, but also encompasses other sectors.</p>	<p>Breakout group cards (Annex 2.2.d)</p> <p>Flip charts (pre-made)</p> <p>Flip chart pens</p> <p>Stickers or marker</p> <p>Ball (or other tossable object)</p>
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	Give participants a moment to sit back down and to make notes in their Module learning sheet.	
15 min	Activity: Information Management & Protection Plenary (listening)@tables+discussion in groups	
	<p>Inform that you will now proceed to examine the modality of collaboration through which IM supports protection clusters and sectors develop a more informed protection response.</p> <p>Recap the process of generating knowledge to inform action: <i>Knowledge must be generated to lead to informed decisions. This process involves using data collected from within the humanitarian community (both within and across clusters) in order to produce 'information' and ultimately a higher level of understanding or 'knowledge'. This knowledge-generating function leading to better-informed decisions is the overall objective of the information management (IM) function of a humanitarian operation.</i></p> <p>Ask participants to team up in pairs with the person sitting next to them and for 8 minutes in these pairs discuss an IM activity that they are currently working with or previously did in the field. Concrete pointers for discussion should be:</p> <ul style="list-style-type: none"> • What was the IM activity (which data, information and knowledge did it involve)? • Who was involved, and responsible for what (IM and Protection parties respectively). 	PPT, p.19
10 min	Activity debrief: Information Management & Protection: Roles and Responsibilities. Plenary (listening)@tables	
	<p>Debrief with on the preceding exercise by asking a couple of the groups to present the main points of their discussion. Note key points on flipchart (in terms of roles and responsibilities of Protection and IM, and the type of IM activities or products given as examples).</p> <p>Relate outcome of the pairs' discussions with the previous IM points made:</p> <ul style="list-style-type: none"> • <i>IM systems, activities, and outputs (products) can take many different shapes. Although there are standard/general processes to follow (e.g., the PIM Process, the IM Cycle) and a pool of technical tools (e.g., for mobile data collection, for analysis, for activity tracking), there is variation because Information Management Officers (IMOs) design IM systems and activities <u>to meet defined purposes</u> in a specific context.</i> • <i>Remember that given the diversity of their activities, IMOs also come in different shapes and backgrounds, and may be specialized in data administration, data management, web management, mapping, coordination, analysis, reporting, or data visualization. It is therefore important to be clear about both what type of IM support is needed, and also on roles and responsibilities.</i> <p>Point out that an overview of some typical IM profiles is available in the Module learning sheet.</p> <p>Ask if participants with IM profiles wish to supplement with their experience.</p>	PPT, p.20-22 Flip chart

	<p>State that while IM support set-up within and for the protection sector varies across different operational set-ups, the Inter Agency Standing Committee (IASC) has issued operational guidance to clarify the IM responsibilities of Cluster/Sector leads vs. OCHA at the country level (2008; See Facilitator note 8 for reference). Explain that the goal is to ensure an effective and coordinated response in emergencies (as per the IASC Guidance):</p> <ul style="list-style-type: none"> ○ <u>Within cluster:</u> <i>The Cluster/Sector Agency/leads are responsible i.e. for:</i> <ul style="list-style-type: none"> - <i>Allocating the necessary human and financial resources for IM, and appoint an IM focal point;</i> - <i>Generating and sharing up-to-date cluster information;</i> - <i>Contributing to OCHA-led inter-cluster IM coordination to ensure overall coherence and coordination</i> ○ <u>Between clusters:</u> <i>OCHA is responsible i.e. for:</i> <ul style="list-style-type: none"> - <i>Provision of standard IM products and core services to the clusters/sectors and the wider humanitarian community.</i> - <i>Allocation of appropriate IM resources, according to the nature and scope of the emergency.</i> - <i>Proposing standards for datasets and databases to support the interoperability of data.</i> <p>Encourage reflection: Do you know who is your IM or Protection counter-part? Who is responsible for IM within the protection sector in your operational context? What is the profile of these IM resource persons?</p> <p>Provide some tips about when/how IM and protection can collaborate. Ask participants for their suggestions, and supplement as necessary (Facilitator note 9 for reference).</p> <p>Give participants 2 minutes to write notes in their Module learning sheet who is responsible for what in their work context or guiding questions for their follow-up post-training to identify who holds responsibility for what (including to address gaps if any?).</p> <p>Note that the PIM core competencies (introduced in the “Introduction to PIM module”), which participants are strengthening by participating in this training have been formulated based on an exercise to compare and bring together IM and protection functional profiles, exactly with a view to breaking down the silos of the distinct disciplines.</p>	
	<p>Module conclusion. Plenary (listening)@tables</p>	
5 min	<p>Summarize the module’s key messages and answer any outstanding questions.</p> <p>Refer to the fact that the Module learning sheet includes relevant links (e.g. to the IASC Guidance and to typical IM profiles).</p> <p>Project “Moment of Zen” video (7.11 min, only play up until 4:00): https://www.youtube.com/watch?v=7QNff7bAzHc (ALNAP: “How to make the most IM in humanitarian coordination”).</p> <p>Distribute module feedback form (one per participant) and collect the filled in version from participants before module closure.</p>	<p>PPT, p.23-24</p> <p>Projector, speakers and internet</p> <p>Module feedback form (Annex 2.2.f)</p>

Facilitator note 1) What is data?

- *Data is all around us.*
- *It can exist in any form, usable or not.*
- *It is the representation of qualitative or quantitative material such as text, numbers, graphs, or images, which we interpret to create information.*
- *It simply exists and has no significance beyond its existence (in and of itself) because it is raw material that has not yet been interpreted in context to give it meaning.*
- *Data is the foundation of information and knowledge, and ultimately informed decision making*
- *To be a solid basis for information, data should be assessed for its accuracy, comprehensiveness, relevance (to the specified purpose), reliability, and limitations (What is the data going to be used for, who is it relevant to, how is it connected?).*

Facilitator note 2) What is information?

- *Information refers to data that has been given meaning by way of a relational connection (which is one type of analysis).*
- *Data becomes information when we add meaning.*
- *Information Management Officers(IMOs) add meaning by providing a context to the data (i.e., by combining data together in a way that creates a statement (information) that is about a specific “what” or information need)*
- *These information needs in the humanitarian community most often pertain to:*
 - *The crisis itself (the why, where, who, what, and when of the humanitarian crisis)*
 - *The populations that are affected by the crisis (who is affected, where, when/since when, how)*
 - *The response to the crisis (who is responding, how, where, when/for how long/, who is targeted)*

Facilitator note 3) What is knowledge?

- *Knowledge is information in perspective – for example integrated into a view point based on recognition and interpretation of patterns including based on our beliefs, experiences, and expectations.*
- *Example: “If I do this, I will probably get that.” This expectation is based on knowledge.*
- *Answering the ‘how’ and ‘why’ questions (about what is happening or what to do about it) requires knowledge.*
- *Operationally in the field, knowledge management can for example focus on providing an accessible system for making the explicit knowledge produced by Clusters/AoR Coordinators and Partners (through IMOs) available e.g. through exchange at relevant meetings in the form of printed reports, presentations, etc. Country Cluster web platform.*

Facilitator note 4) Why is Information Management important in a humanitarian response?

Below list of non-exhaustive possible answers may serve to guide the module facilitator on the question “Why IM is important in a humanitarian response”:

- *Ensures that quality data, information and/or knowledge is available in a timely manner to enable and support evidence-informed decision-making.*
- *Is key for collection or collation of data and information which exists “out there”, and for ensuring that it is compiled, processed, analysed, stored, shared, and disseminated in a way that makes it useful to decision-makers and used for decisions - including in analysis, planning, budgeting, prioritization, communications, and advocacy.*
- *The data and information managed pertains to all key aspects of a response, including:*
 - *Assessments: Provide guidance survey design and implementation and other data collection methodologies as well as technical advice on data (ownership, management, processing, sharing) to build a common understanding of disaster impact and needs.*

- *Strategy development and response planning: to help inform discussions about the setting priorities, allocating resources, and undertaking strategic planning based on evidence.*
- *Response implementation and monitoring: Develop common indicators and standards to effectively track progress, identify gaps, improve coverage, track and results, and report on the same.*
 - *The establishment of shared datasets (CODs, FODs, GIS), definitions, terminologies, indicators, and definitions facilitate response planning, implementation, monitoring and evaluation.*
 - *Efficiencies are created when all relevant actors in the response are working with the same or complementary information and baseline data: time, money and other resources are saved, and affected populations are less affected by our data-related activities.*
- *In short: Humanitarian situations are complex and humanitarian actors require significant amounts of information about the crisis itself, the populations affected, and the response to the crisis. IM is the enabling support to meet those information needs in a timely, effective, and responsible manner.*
- *Beyond an emergency: The proper collection, management and sharing of data during emergencies is to the benefit of early recovery, recovery, development and disaster preparedness activities.*

Facilitator note 5) Information Management in the Humanitarian Programme Cycle

As seen in the figure below, Information Management (IM) is at the CENTER of the Humanitarian Programme Cycle (HPC). Along with Coordination, Information Management (IM) is referenced as an “enabler” of the phases of the Humanitarian Programme Cycle, and its role described as: *“...the systematic process of collecting, collating, storing, processing, verifying, and analysing data and information, and disseminating it to humanitarian stakeholders. Information management underpins each element of the programme cycle and helps connect them by carrying information from one to another. In order for the programme cycle to function properly, data must be shared and collected in a timely manner to inform decision-making and analysis. Sufficient information management capacity and the use of common tools – such as the humanitarianresponse.info website, Common Operational Datasets, Fundamental Operational Datasets, a reasonably complete and up-to-date ‘who does what where’ database (3Ws), list of contacts and assessment registry – are critical elements to the successful implementation of the programme cycle.”*

“OCHA supports the planning process by consolidating data, agreeing planning figures, preparing a draft plan, and facilitating the plan’s finalization. If present, an inter-cluster coordination group supports these efforts. Humanitarian responders at the subnational level should be engaged throughout”.

(Source: Inter-Agency Standing Committee (IASC) (2015): Reference module for the implementation of the Humanitarian Programme Cycle version 2.0, available at:

https://interagencystandingcommittee.org/system/files/hpc_reference_module_2015_final_.pdf)

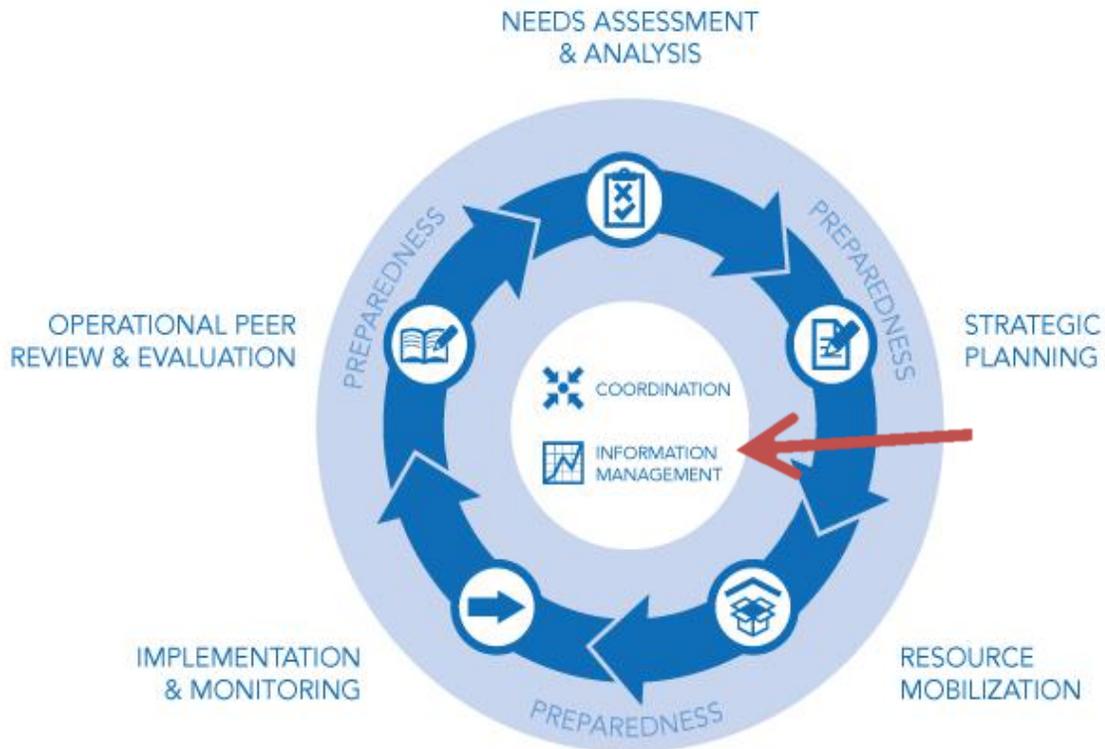


Figure: The humanitarian program cycle

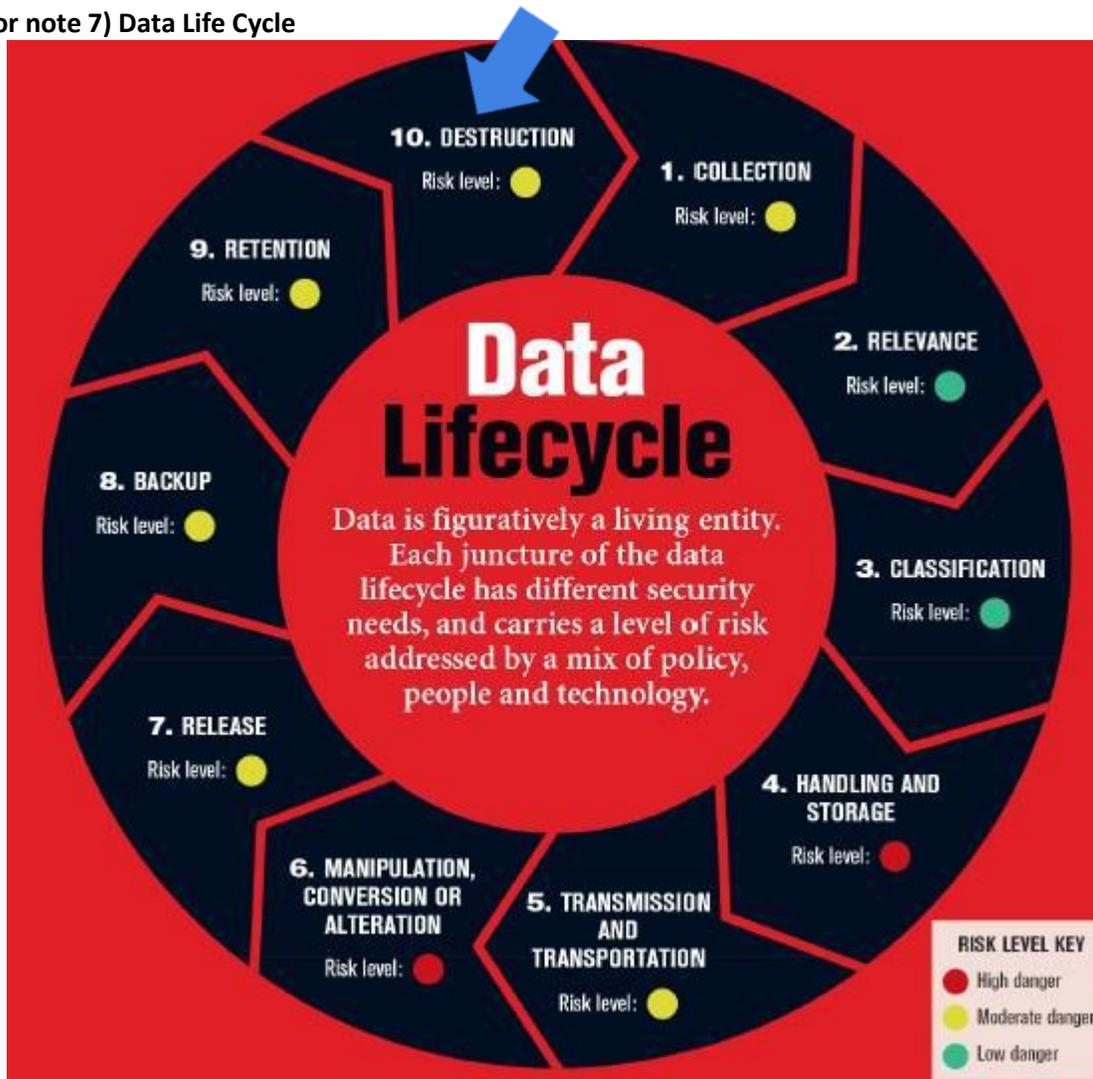
(Source: United Nations Office for the Coordination of Humanitarian Affairs (OCHA) (2016), available at: www.humanitarianresponse.info/en/programme-cycle/space www.humanitarianresponse.info/en/system/files/documents/files/hpc_reference_module_2015_final_.pdf)

Facilitator note 6) The Information Management Cycle



(Source: Office for Coordination of Humanitarian Affairs (OCHA), available at: <https://www.humanitarianresponse.info/en/applications/tools/category/im-cycle>)

Facilitator note 7) Data Life Cycle



(Source: TechTarget, available at: http://cdn.ttqmedia.com/informationsecurity/images/vol4iss7/ism_v4i7_f4_DataLifecycle.pdf)

The above 'data life cycle' illustrates a key consideration of the Professional Standard for Protection Work (Data Retention, 6.13) which requires that 'In order to ensure that personal data and sensitive data are not kept longer than necessary, a minimum retention period must be set, at the end of which a review must be carried out to determine whether the retention period should be extended renewed or the data erased or archived'.

(Source: *Professional Standards for Protection Work (2018 ed.)* forthcoming)

Facilitator note 8) IASC Guidance on the Information Management roles of Clusters/Sectors and OCHA

According to the IASC -- which is primary mechanism for inter-agency coordination of humanitarian assistance that is i.e. responsible for allocating responsibilities amongst agencies in humanitarian programmes - the division of responsibility for ensuring appropriate IM needed for an effective and coordinated response in emergencies is the following:

- Within cluster, the Cluster/Sector Agency/leads are responsible including for:
 - Allocating the necessary human and financial resources for IM
 - Appointing one IM focal point, all the while sharing IM resources and capacities within and across clusters at the country level where appropriate to promote harmonization and economies of scale

- Generating up-to-date cluster information (e.g. datasets, needs/gaps analysis etc.) and sharing it with OCHA in order to support coherence and coordination in the response;
- Between clusters: OCHA is responsible, including for:
 - Producing a minimum set of predictable standardized information products in collaboration with clusters/sectors and ensuring they are made available to all (includes e.g., contact directories, 3W databases and associated products, inventory of common datasets, situation reports, and a country-specific humanitarian web portal).
 - Providing or ensuring the availability of minimum services to the clusters/sectors and wider humanitarian community, including e.g. maintaining common datasets, conducting geospatial analysis, managing the collection and dissemination of all inter-cluster information, and providing IM technical advice to the clusters/sectors.

(Source: Inter-Agency Standing Committee (2008) Operational Guidance on Responsibilities of Cluster/Sector leads and OCHA in Information Management., available at: https://www.humanitarianresponse.info/system/files/documents/files/IASC_operational_guidance_on_information_management.pdf)

Facilitator note 9) Tips for IM and protection collaboration

Information Management Officers:

- Upon arriving, meet the protection officers to obtain the protection strategy, to map current or planned data collection activities, and to clearly define what types of information are sensitive in the context.
- Consult widely with Protection and other sectoral senior management to develop the IM strategy (re: its vision, scope, objectives, products), and include Protection in the list of technical experts that underpin the IM strategy.
- Work with Protection staff (and others in a multi-functional team) to support the collation analysis of secondary data and produce a situational analysis.
- Consult protection and other staff to compile a survey of surveys and assessments.
- Work closely with Protection and other subject-matter experts to help them clearly define their purposes, information needs, and desired outputs/deliverables, as these will guide all decisions about the design and implementation of IM systems.
- Ensure the transfer of IM-related skills, attitudes, knowledge and competencies, to ensure that protection staff and other colleagues in the cluster/sector/operation is more data-literate and aware of the role and value of IM.

Protection Officers:

- Ask the IMO in your operation for the IM strategy, and explore together if/where/how protection can or should be included for better results.
- Involve IM staff at the beginning of any data collection exercise (i.e., as soon as a data collection exercise is envisaged. The IMO will help you start with the secondary data review, on the basis of which you can determine if a data collection exercise is actually necessary to meet your information needs).
- Ask for technical advice on collation, collection, processing, analysis, storage, destruction, sharing, and dissemination of data in your operation, including in relation to data protection and security.
- Involve IMO staff when considering any new systems or tools, e.g., for a needs assessment, protection monitoring, case management, response monitoring, etc.
- Ensure the transfer of protection-related skills, attitudes, knowledge and competencies to IM staff, to ensure that the latter's work is informed by protection standards, aligned with protection objectives, and done in a protection-sensitive manner.

(Source: United Nations High Commissioner for Refugees (UNHCR) (2011): [Emergency Handbook, "Emergency IM strategy" chapter](https://emergency.unhcr.org/entry/95683/emergency-information-management-strategy), available at: <https://emergency.unhcr.org/entry/95683/emergency-information-management-strategy>)

ANNEXES TO MODULE 2.2

Annex 2.2.a) “What do we know?”

Part of module: 2.2 Information Management

Instructions for production and use: Prepare a packet for each group/table, each set should contain one of each (1) Aleppo, 2) Latrines, 3) Schools, 4) 12,846, 5) School Bus).

Print out available: <https://drive.google.com/file/d/1Wp34SiFEGFkpmCKwB3cbf3kJ6-17QAX/view?usp=sharing>

Annex 2.2.b) “Additional information”

Part of module: 2.2 Information Management

Instructions for production and use: Print out 1 A4 print out with the text “When there are no female latrines we generally see a significant drop in girls’ attendance rates at school”. To be hung on wall by facilitator during exercise.

Print out available: <https://drive.google.com/file/d/1mOiatvXrclfvbiKyMubFrJJ-pHJXjwnR/view?usp=sharing>

Annex 2.2.c) “YES/NO” cards

Part of module: 2.2 Information Management

Instructions for production and use: Packets of pre-made signs placed on each table (1 package for each team). Make stick with signs saying ‘YES’ and ‘NO’ respectively. Suggested to tape to cardboard or popsicle or barbecue sticks.

Print out available:

<https://drive.google.com/file/d/1nqbC1d2WIGoDa3GG0Ej6CPHIhwwlcwD/view?usp=sharing>

Annex 2.2.d) Break-out cards per cluster/lead

Part of module: 2.2 Information Management

Instructions for production and use: For creation of 6 groups (which should have a diversity in backgrounds, and both IM and protection staff). Print out card with a cluster or lead to be taped inside/behind the participant name tags/under chair, prior to the module. The participants will be linked up by cluster and cluster-lead match. The below link contains breakout cards, which can be adjusted to match the number of participants for creation of the six groups required.

Print out available:

<https://drive.google.com/file/d/1TapbB4m2zD1oPOa8S0xf-OQiW0hFw5O/view?usp=sharing>

Annex 2.2.e) Module learning sheet: Information Management

Part of module: 2.2 Information Management

Instructions for production and use: The module learning sheet should be printed one per each participant, handed out at the beginning of the module and serve as a learning reference point for the participants throughout and after the module. It contains a structured space for note taking on key concepts introduced, reference tools, definitions and a list of recommended resources for further learning.

Print out available:

<https://docs.google.com/document/d/1R2DrURkMZsY77yqAgeIUV3P3I4WpZQ6V18nXQUvn2al/edit?usp=sharing>

Annex 2.2.f) Feedback form: 2.2 Information Management

Part of module: 2.1 Information Management

Instructions for production and use: The standardized and anonymous feedback form should be handed to participants after completion of the training module (one for each) for immediate completion and return to the facilitator, in order to be used by the facilitator to evaluate the extent to which the module learning objectives have been met through realization of the module learning outcomes. The form will take 3-5 minutes to complete.

Print out available:

https://docs.google.com/document/d/1qX8za5SxIw_mMIWjdYvypz6zW6Ftt9LKh6DmaklFI-k/edit?usp=sharing

Annex 2.2.g) Power point presentation

Part of module: 2.2 Information Management

Instructions for production and use: This power point presentation may serve as visual reference during delivery of this module. Please note that facilitators are discouraged from rely sole on the power point presentation as visual reference during module delivery, as this is not compatible with the participatory design of the PIM training modules.

Available at: https://www.dropbox.com/s/0y1zird8ud04qlc/PPT_Package%202_Module%202.2_IM.pptx?dl=0

3

3.1 The PIM Matrix

The PIM Matrix
Categories

The PIM Matrix & Categories

- 3.2 Protection Needs Assessment
- 3.3 Protection Monitoring
- 3.4 Population Data
- 3.5 Case Management
- 3.6 Protection Response M&E
- 3.7 Communicating with(in) Communities
- 3.8 Security & Situational Awareness

Package 3: The PIM Matrix and Categories

What this package offers: Through the framework of the PIM Matrix, this package sets out to strengthen analytical skills to inform protection Information management system and methodology design and operational planning. Through exploration of different paths to generate data and information, participants will be equipped with knowledge for decision making on which systems are needed based on a comprehensive analysis.

Content:

Module 3.1: The PIM Matrix (1 hour and 40 min)

Module 3.2: Protection Needs Assessment (1 hour)

Module 3.3: Protection Monitoring (1 hour and 5 min)

Module 3.4: Population Data (1 hour)

Module 3.5: Case Management (1 hour)

Module 3.6: Protection Response Monitoring & Evaluation (1 hour)

Module 3.7: Communicating with(in) Affected Communities (1 hour)

Module 3.8: Security and Situational Awareness (1 hour)

Target group: This training package is suitable for groups of 10 – 28 participants with mixed functional profiles. Participation does not require a specific level of knowledge, but participants with prior experience from involvement in exercises for collection of data and information to inform a protection response are most likely to benefit. The modules may also serve as points of introduction to information management within the protection sector, for non-protection actors.

Prior knowledge of PIM (principles and process as offered in package 1 of this PIM Training Resource Pack) is necessary in order for participants to benefit fully from the modules of this package.

Instructions for delivery: This package is not meant to be delivered in its entirety in one training event. Module 3.1 ‘The PIM Matrix’ serves as the frame for this learning package, and the other modules must be delivered along with this. Facilitators are advised to select among the modules 3.2 – 3.8, the modules most relevant to their participant target group.

Depending on the combination of matrix categories selected, the modules are listed above in the chronological order proposed (meaning – if the modules 3.2 and 3.3 are selected, module 3.2 should be delivered before module 3.3 in the planned learning event).

Time and preparation required: The preparation required by the facilitator for delivery of the modules themselves is specified under the respective module descriptions. In addition, as a prerequisite for the successful delivery of these modules, the facilitator should be aware of the functional profiles and level experience of all participants prior to deliver (through pre-training event survey or registration questions). Having this knowledge will enable the facilitator, during the planning and deliver phases, to compose groups for group work and to facilitate plenary discussion, which can be dynamic and enable the participants to reflect on their prior experience in relation to the subject matter discussed.

MODULE 3.1 - The PIM Matrix

Core competency – **Skills:**

- 1) Analyses IM environment to inform methodology design and operational planning.
- 2) Makes informed decisions on which systems are needed based on a comprehensive analysis of information requirements.

Module objectives	Module learning outcomes
<p><u>The session will:</u></p> <ul style="list-style-type: none">• Explain the background and purpose of the PIM Matrix.• Differentiate between different PIM categories that can be used to inform humanitarian action for protection outcomes.• Explain how the PIM Matrix provides a framework for a standardized understanding of PIM categories (of systems, tools, and approaches).	<p><u>After the session participants will be able to:</u></p> <ul style="list-style-type: none">• Understand the relevance and utility of the PIM Matrix for own work.• Classify PIM activities using the PIM Matrix.• Use the PIM Matrix to help identify which category (of systems, tools, and approaches) is best-suited to meet a particular information need and inform action for protection outcomes.

Key messages:

- 1) Protection data and information can come from different types of systems, and practitioners need to know which systems exist in an operation in order to make informed decisions and determine how information needs can be met.
- 2) The PIM Matrix helps us to:
 - Enable a common understanding of the PIM categories, and thereby facilitate dialogue between Protection and IM colleagues;
 - Identify the relevant and appropriate PIM category that will generate the information needs for a specified purpose and outcome.
- 3) The PIM Matrix presents 8 categories, which are distinguished as a set of systems, tools, and approaches. They were selected by the PIM community because they generate information that is used to enable evidence-based action for protection outcomes.
- 4) The PIM Matrix includes 5 ‘nuclear’ categories which are those most often used in and owned by protection, and 3 ‘cousin’ categories which are not protection specific, but which generate information that is relevant to protection.
- 5) The PIM Matrix categories are not mutually exclusive. They can be interdependent, as one category can be informed by generate outputs (data and information) that is used by and useful to others.

Duration: 1 hour and 40 minutes

Reference: [PPT: 3.1 PIM Matrix](#), [Module learning sheet: Matrix un-wrapping](#); Link to First, Second and Third PIM Working Group Meeting Outcome Documents (2015 and 2016).

Facilitator preparation:

- Review participants’ responses to the pre-training survey regarding their experience with implementing the PIM Matrix categories.
- Review the PIM materials listed in Facilitator note 1.
- The facilitator may require support to populate the Matrix outline on the wall, i.e., a co-facilitator should be available to hang the sheets on the empty Matrix on the wall.

Room set-up:

- Pre-positioned chairs of participants in semi-circle facing the wall area of the PIM Matrix (facilitator sitting in front of the matrix) – NO TABLES.
- Set up the outline of the PIM Matrix on the wall (Annex 1.4.b) with string/tape or another marker (but only hang up the category headings - definition and output will be populated during the module).

- Attach the 16, A4 pieces of paper (print-outs with the PIM Matrix definitions and outputs respectively – see Annex 1.4.a) individually under the participant chairs (outputs) and behind the back of their chairs (definitions) (this must be completed ahead of their arrival in the room).
- Have post-its and pens available for participants to use.
- Please note that although the PPT exists as visual reference for this module, delivery of this module does not require use of PPT, and facilitator should primarily focus on the matrix wall.

Prints and handouts:

- A4 print-outs of PIM Matrix component headings, category headings, definitions and output descriptions for the PIM Matrix wall (Annex 3.1.a).
- Print-out of the PIM Quick Reference Flyer (with populated Matrix) for each participant (Annex 3.1.b) -- to be handed out towards the end of the module.
- Module learning sheet. Print one for each participant (Annex 3.1.c).
- Module feedback form (Annex 3.1.d).

Time	Activity	Resources
5 min	Introduction. Plenary (listening) @semi-circle	
	<p>Introduce the learning objectives and module structure.</p> <p>Recall the PIM definition – and explain that this module’s focus is on what the “systematized and collaborative processes” are. The “PIM matrix” is a tool that identifies those processes. It is part of the PIM conceptual framework. The PIM Matrix defines 8 PIM categories, and in so doing, enables common understanding across and within IM and Protection functions.</p> <p>Explain that the full PIM Matrix will be shared at the end of the module, but that before this we will jointly explore what the PIM Matrix is and can offer.</p>	PPT, p.1-3
10 min	What is the PIM Matrix? Plenary (listening) @semi-circle	
	<p>Explain the PIM Matrix to participants:</p> <ul style="list-style-type: none"> ● Why a PIM Matrix: <ul style="list-style-type: none"> - <i>Guidance tool developed by the PIM community during 2015 and 2016 Working Meetings (outcome documents in Facilitator note 1) with stakeholders from UN agencies, international NGOs, academia, and other protection and IM partners (See Facilitator note 2)</i> - <i>The result of efforts to map and organize the many PIM systems that are used in humanitarian responses, so they could be systematically defined and differentiated from one another.</i> - <i>Seen as key step towards enabling dialogue between Protection and IM colleagues through a shared understanding of available systems before discussion of which system is needed.</i> ● What the PIM Matrix is: <ul style="list-style-type: none"> - <i>A tool to map, organize, and define the PIM categories, so they can be clearly distinguished from one another and commonly understood.</i> - <i>A ‘PIM category’ is defined as a specific combination of systems, tools, and approaches.</i> - <i>Each category can be implemented by protection and/or IM colleagues, and aim to enable evidence-informed action for quality protection outcomes.</i> - <i>The content of the Matrix ‘definition’ and ‘output’ rows is fixed (i.e., cannot be changed) because they define characteristics that allow for the categories to be distinguished from one another.</i> 	PPT, p.4-6

	<ul style="list-style-type: none"> - Content of other provides examples and is not fixed as it may evolve over time. - (The content of the cells of the Matrix is non-exhaustive. It is intended to provide the core elements to facilitate understanding of the categories and enable Matrix users to make informed decisions in their context). ● How the PIM Matrix is used – as a tool for: <ul style="list-style-type: none"> - <u>Reference</u>: To create a common understanding of the PIM categories and thereby facilitate dialogue between protection and IM colleagues, within and across different sectors and organizations. - <u>Decision-making</u>: To organize thinking and provide guidance to help identify which PIM category is best suited to meet a particular information need. - <u>Planning</u>: Users can remove the information in all rows except from ‘Definition’ and ‘Output’, and ‘re-populate’ the empty cell of the Matrix based on the PIM categories that exist in their own organization or in the humanitarian community responding to a specific situation. This exercise will enable mapping and tracking, and will likely lead to identification of information gaps, and serve as first step towards an IM strategy. - <u>Other</u>: Note that the PIM Matrix can be adapted to meet particular needs. For example, if the PIM Matrix is used as a planning tool, a team may wish to add a row to list the partners that are implementing activities under each category. Other rows could be added to track focal points and data flows. 	
5 min	What are the PIM Matrix categories? Plenary (listening) @semi-circle	
	<p>Explain that we will now proceed to look at the categories of the PIM Matrix. Show the blank PIM Matrix outline on the wall and explain that the purpose of the categories is to:</p> <ol style="list-style-type: none"> 4) Assist in identifying the right tools, systems, and approaches for a particular result or output (in terms of information and data); 5) Reinforce a common understanding of protection information concepts in order to facilitate accurate protection dialogue; 6) Help refine the overall quality of PIM activities, those undertaken both individually and as a community of responders. <p>There are two types of categories (point them out on the Matrix outline as you mention them):</p> <ul style="list-style-type: none"> ● ‘Nuclear family’ (5) are categories that are most often used in and owned by protection (Prot. Needs Assessment, Prot. Monitoring, Population Data, Prot. Response Monitoring and Evaluation, and Case Management – ● ‘Cousins’ (3) are categories that are not conducted or owned by protection, but which nonetheless generate information that is relevant and of use to protection (Communicating with(in) Communities, Other Sectoral Systems, and Security and Situational Awareness). <p>Explain that each category represents a different PIM system that can be used to enable evidence-informed action for protection outcomes.</p> <p>Explain that the full Matrix distinguishes the 8 PIM categories along 7 components which serve as criteria (vectors) of comparison (Facilitator note 3) and to refer participants to the forthcoming handout (PIM Quick Reference Flyer).</p>	PPT, p.7
30 min	Category definitions. Plenary (listening+exercise) @semi-circle	
	Recall that a PIM Matrix category is defined as <i>a specific combination of systems, tools, and approaches.</i>	

	<p>Instruct participants to look at the back of their chairs and to see if they find one of ‘definitions’ of the PIM Matrix categories underneath (See Facilitator note 4 for full list of definitions).</p> <p>Ask the participants who found papers, if anyone can guess which PIM Matrix category heading their definition matches. Have them read the definition out loud and explain their rationale for the suggested match. Facilitate dialogue in plenary in case of questions and comments, in order to ensure that all participants reach a shared understanding of each category definition and potentially can relate it to their own experience. Once a category definition has been explained, proceed to hang it in the designated spot on the matrix outline on the wall.</p> <p>In this manner, go through the category definitions one by one (3 min per definition).</p> <p>Clarify if participants find that some words require further explanation.</p> <p>Explain that the next exercises will explain the categories by “outputs”.</p>	<p>A4 pieces of paper from Annex 3.1.c (on chairs backs)</p>
5 min	Who has done what? Activity (all) @PIM matrix wall	
	<p>Ask participants to take post-its on the table and go to the PIM Matrix wall and to:</p> <ol style="list-style-type: none"> 7. <i>Look at the eight categories</i> 8. <i>Think, ‘Which of these have I done?’</i> 9. <i>Take a post-it</i> 10. <i>Write: (1) your name; (2) the activity done; and (3) where you implemented it (country)</i> 11. <i>Use one post-it for one experience on the matching category</i> 12. <i>Put up AS MANY post-its as you want</i> <p>As facilitator, you can demonstrate the activity by doing it yourself, i.e., put a post-it on your own experience too.</p>	<p>PIM matrix on the wall</p> <p>Post-its</p>
10 min	Break	
	Facilitator should use the break to review the post-its put up by participants, in order to know what experience can be drawn on during the next exercise.	
30 min	Category outputs. Plenary (discussion) @semi-circle	

	<p>Ask participants to look under their chairs and see if they find a matrix category output description there. Give them a minute to read it individually and in silence (See Facilitator note 3 for the summary output text placed behind their chairs – which is shorter than that in the matrix).</p> <p>Recall that the data and information output of a PIM category is <i>the data and information that is produced or comes out of the implementation of a specific PIM category</i>.</p> <p>Allocating 3 minutes to each category, proceed to first call out for a concrete example from a participant who has indicated with post-it's to have experience with the category, asking them to briefly state:</p> <ol style="list-style-type: none"> a. What type of data and information was produced when you worked with this category? b. How did you use it - what was the outcome or impact? <p>Ensure that the examples shared are correct examples of the category output.</p> <p>For each category and example, proceed to ask if any of the participants who have found paper under their chairs, if any of them think that the found output description matches the matrix category from which an example has been given.</p> <p>For each match, proceed to hang the output description under the correct category description.</p> <p>Conclude by explaining that the categories are distinguished in the PIM Matrix, but that they are often inter-related and interdependent, for example one category will generate outputs (information) that is used by and useful to other categories. This is the case for Protection Needs Assessments, Case Management, and Protection Monitoring. In another example, Population Data generates information outputs that are essential data for most of the other categories (e.g., by establishing baseline figures and providing demographic information that allows for planning and response).</p>	<p>A4 pieces of paper from Annex 3.1.c (under chairs)</p>
<p>5 min</p>	<p>Module conclusion. Plenary (listening) @semi-circle</p>	
	<p><i>(If this training is delivered as stand-alone, and in case of questions which go beyond the objectives of this module, inform participants that a separate PIM training package (no. 3) contains separate modules going into depth with each of the 8 categories, and for training of more than 1 day modules of relevance to the target group can be incorporated).</i></p> <p>Having now jointly build and gone through the full matrix on the wall, proceed to hand-out the Module learning sheet as well as the populated A3 PIM matrix to all participants (one for each), and explain that it contains further details which allows ones to have a closer look the definitions of the listed categories further breaking them down for digestion.</p> <p>Explain that there are several different ways that you can find entry points <u>into the matrix</u> to better understand what data, information or analysis you have or you need, or where there may already be multiple systems operating collecting or providing the same type of data or information:</p> <ol style="list-style-type: none"> d) <i>You can look at the types of methodologies that you have and organize them by category, which can highlight areas in which data, information or analysis is needed, or adequately covered.</i> 	<p>PPT, p.8-9</p> <p>A3 prints of PIM matrix Module learning sheet</p>

	<p>e) You can use the matrix by asking what type of data, information or analysis you need; and looking at the ‘Output’ by category, identify the systems, approaches or tools that might be needed to plan or deliver your response</p> <p>f) You may also use the matrix to map and categorize the types of systems that are being used by colleagues within your operation or context – this may help you to be able to identify what organization could be the source of data or information which you are looking for.</p> <p>Conclude that this exercise has introduced the PIM matrix categories and associated outputs. As can be seen on the A3 print out, more guidance on the categories is available, which can help participants to use the matrix after the training in order to:</p> <ol style="list-style-type: none"> 4) Reinforce a common understanding and facilitate accurate protection dialogue between both protection and IM colleagues, as well as internally and externally 5) Classify protection information management activities using the PIM matrix categories. 6) To identify the right systems, tools, and approaches/methodologies for a particular result to inform action for protection outcomes. <p>Recall the module learning objectives, repeat the module key messages and answer any questions necessary to ensure fulfilment of learning outcomes.</p> <p>Project “Moment of Zen” - stop at 1:05 min (Matrix – “The Matrix is Everywhere”) https://www.youtube.com/watch?v=qedAzTA8nY8</p> <p>Distribute module feedback form (one per participant) and collect the filled in version from participants before module closure.</p>	<p>Projector, speakers and internet</p> <p>Module feedback form (Annex 3.1.d)</p>
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Facilitator note 1) Relevant resources

Prior to delivering this module, it is recommended that the facilitators familiarize themselves with the below listed resources, all of which are available on the PIM website (<http://pim.guide/guidance-and-products/>):

PIM Matrix, available at:

https://docs.google.com/document/d/1xNV_3yvcw6i6jZKuliUmTkqRBRGWbMASsR9BFydS4To/edit

PIM Matrix cover page (explanatory breakdown), available at:

<https://drive.google.com/file/d/0BzY6xxaS0lO3UkQ5a1BWd0xlOVk/view>

PIM Quick Reference Flyer (with the PIM Principles, Matrix, and Process), available at:

http://pim.guide/wp-content/uploads/2018/04/Quick-Reference-Flyer_Principles_Matrix_Process_2018-1.pdf

PIM Working Group #1 (May 2015): [Meeting Outcome document](http://pim.guide/wp-content/uploads/2016/10/Protection-Information-Management-Working-Meeting-Outcome-Documents-May-2015.pdf), available at: <http://pim.guide/wp-content/uploads/2016/10/Protection-Information-Management-Working-Meeting-Outcome-Documents-May-2015.pdf>

<http://pim.guide/wp-content/uploads/2016/10/Protection-Information-Management-Working-Meeting-Outcome-Documents-May-2015.pdf>

PIM Working Group #2 (Dec 2015): [Meeting Outcome document](http://pim.guide/wp-content/uploads/2016/10/Protection-Information-Management-Working-Meeting-Outcome-Documents-Dec-2015.pdf), available at: <http://pim.guide/wp-content/uploads/2016/10/Protection-Information-Management-Working-Meeting-Outcome-Documents-Dec-2015.pdf>

<http://pim.guide/wp-content/uploads/2016/10/Protection-Information-Management-Working-Meeting-Outcome-Documents-Dec-2015.pdf>

PIM Working Group #3 (Sep 2016): [Meeting Outcome document](http://pim.guide/wp-content/uploads/2017/01/Protection-Information-Management-Working-Meeting-Outcome-Documents-September-2016.pdf), available at: <http://pim.guide/wp-content/uploads/2017/01/Protection-Information-Management-Working-Meeting-Outcome-Documents-September-2016.pdf>

<http://pim.guide/wp-content/uploads/2017/01/Protection-Information-Management-Working-Meeting-Outcome-Documents-September-2016.pdf>

Facilitator note 2) Participation in PIM Working meetings

The PIM Matrix was developed and finally endorsed by stakeholders in the PIM community during three [global PIM Working meetings](#) (outcome documents details listed in Facilitator note 1). Participants include several international NGOs, UN agencies, other UN entities, such as DRC, ICRC, ICT4Peace Foundation, Impact Initiatives, IOM, IRC, JIPS, NRC, OCHA, OHCHR, UNHCR, Oxfam, UNDPKO, UNFPA, UNICEF, and WFP as well as academia. Additional feedback is welcomed, please reach out via the details provided on: <http://pim.guide/contact-us/>

Facilitator note 3) PIM category components

The PIM categories are defined in the PIM Matrix using 7 components serving as comparison criteria, namely:

- i. Definition
- ii. Sub-category examples
- iii. Methods
- iv. Specific Examples
- v. Output (data and information)
- vi. Shared data
- vii. Sources

Facilitator note 4) PIM category definitions and output descriptions

To serve as overview and quick reference for the facilitator, the below listed **PIM category definitions and output descriptions** lists the summaries of the full text of the populated PIM Matrix, which participants will be working with (discovered on their chairs) during the course of this module (an overview version of the text available for print in Annex 3.1.a).

Category	Definition	Output (Summary)
Population data	Record the number and characteristics, disaggregated by sex, age, demographics and diversity, of a population in a specific place and time period, for the purpose of programming effective prevention and response.	Snapshot or reoccurring information on population figures, preferably disaggregated by age, sex and location (where people are or were located). It can also include: humanitarian profile typology, specific needs, vulnerabilities or other demographic characteristics including education, skills, occupation, and living conditions.
Protection needs assessment	Data-collection exercise usually conducted at a single point in time to gain an understanding of the protection issues, availability of resources, sources of problems and their impact on the affected population ('snapshot'). Done in order to identify protection needs, risks, and solutions, and to inform programme interventions and response activities that are complementary with positive community coping mechanisms. To be carried out periodically and after substantial changes in the context.	Quantitative and qualitative data and information on the protection situation (threats, capacity, vulnerabilities) at a specific time and place (as defined by the scope and scale of the assessment), providing info on: <ul style="list-style-type: none"> • Protection risks • Protection needs • Capacities and coping strategies • Life-saving assistance or immediate support needed
Protection monitoring	Systematically and regularly collecting, verifying and analysing information over an extended period of time in order to identify violations of rights and protection risks for populations of concern for the purpose of informing effective responses.	Quantitative and qualitative data and information on the protection environment, protection trends over time, rights violations, and / or risks - threats, vulnerabilities, and capacities - of the affected population.
Case management	Systems support the provision of protection and/or targeted interventions to identified individuals or groups through the management of data – from case identification to case closure – related to a specific case.	Information on protection needs, risks and incidents at the individual level protection response, and the corresponding actions needed and taken by whom, and when, subject to the principles of confidentiality and consent.
Protection response monitoring and evaluation	Continuous and coordinated review of implementation of response to measure whether planned activities deliver the expected outputs and protection outcomes and impact, both positive and negative. Evaluation is distinct, but compliments monitoring, in that it asks questions around causal linkages, looking at intended and unintended results. Evaluation is not continuous, but rather periodic and targeted.	Qualitative and quantitative data and information related to the actual outcomes and outputs of the protection response against the planned activities/ expectations.
Security and situational awareness	These IM systems monitor both the affected population and the ability of humanitarian actors to physically and securely reach people affected by crisis. They would make available information on the overall security situation, issues of humanitarian space and access (including the safety of staff), and other concerns. A key difference between these systems and protection monitoring is in this aspect of humanitarian access.	Qualitative and quantitative data and information on the overall security situation and operational environment. Including info on humanitarian access, security for all stakeholders, context and conflict analysis, risk indicators, and the country's political, military, social and economic information.

Sectoral IM systems	Information management systems that support assessment, monitoring and reporting on services, infrastructure, material, and physical support that support legal and physical protection outcomes, but are not managed directly or solely by protection actors.	Data which pertains directly to the sector’s operational data requirements and can provide protection specific/relevant data on needs, protection risks, vulnerability, required response in requisite sectors (for example: indicators used in sector information systems which provide critical protection information).
Communicating with(in) affected Communities	Communication between, among, and with communities and/or community members with the aim of supporting participation, decision-making, access to services, feedback/complaints, transparency, monitoring and evaluation, and leadership/community capacities.	Data and information on: <ul style="list-style-type: none"> • Common and appropriate sources of information and communication within communities; • Community capacities, resources, skills; • Local contextual information (e.g. cultural sensitivities, languages used by affected populations); • Priority information needs and concerns of affected populations; • Updates on factors which affect the protection nature of the response (such as context, logistics, political, social and economic information).

ANNEXES TO MODULE 3.1

Annex 3.1.a) PIM matrix headings, category definitions and output descriptions

Part of module: 3.1 PIM matrix

Instructions for production and use: Print out on A4 sized paper (single paged). This document contains the following elements of the PIM Matrix: 1) 8 Category headings, 2) 2 Category criteria (headings ‘Definition’ and ‘Output’), 3) category definitions and 3) category output descriptions. 1 + 2 are to be hung on the wall in the matrix outline prior to the session. 3 are to be hung on the back of the participants’ chairs. 4 are to be hung (with take or sticky tack) underneath the chairs of the participants. 3 + 4 are only to be hung up on the pre-assigned spots on the matrix outline on the wall once discovered by participants as per facilitator’s instructions.

Print out available:

https://drive.google.com/file/d/1Nv-g_63GT5oxgJFPHgHuLftLeiCQzwz/view?usp=sharing

Annex 3.1.b) PIM Quick Reference Flyer (with populated matrix)

Part of module: 3.1 PIM matrix

Instructions for production and use: Print the PIM Quick Reference Flyer in A3, and fold in half to create the flyer (it becomes an A4). One for each participant (A3 size recommended due to small font size).

Downloadable from: <http://pim.guide/wp-content/uploads/2018/04/Quick-Reference-Flyer-Principles-Matrix-Process-2018-1.pdf>

Annex 3.1.c) Module learning sheet – PIM matrix

Part of module: 3.1 PIM matrix

Instructions for production and use: The module learning sheet should be printed out one for each participant and serve as learning reference point for the participants throughout and after the module. It contains structured space for note taking on key concepts introduced, contains reference tools, definitions and a list of recommended resources for further learning.

Print out available:

<https://docs.google.com/document/d/1wURpGBAMkeRk1uhqr3J76L94I3PxeY9Kaba6c7QX9V8/edit?usp=sharing>

Annex 3.1.d) Feedback form: module 3.1 PIM Matrix

Part of module: 3.1 PIM Matrix

Instructions for production and use: The standardized and anonymous feedback form should be handed to participants after completion of the training module (one for each) for immediate completion and return to the facilitator, in order to be used by the facilitator to evaluate the extent to which the module learning objectives have been met through realization of the module learning outcomes. The form will take 3-5 minutes to complete.

Print out available:

https://docs.google.com/document/d/1VF68zySbjlj78bC37AEyeWzWikl8kdgCx3sUsCs_Ddw/edit?usp=sharing

Annex 3.1.e) Power point presentation

Part of module: 3.1 PIM Matrix

Instructions for production and use: This power point presentation may serve as visual reference during delivery of this module. Please note that facilitators are discouraged from relying solely on the power point presentation as visual reference during module delivery, as this is not compatible with the participatory design of the PIM training modules.

Available at:

https://www.dropbox.com/s/7vebnshlmqeack/PPT_Package%203_Module%203.1_PIM%20Matrix.pptx?dl=0

MODULE 3.2 - Protection Needs Assessment

Core competency –

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

Module objectives	Module learning outcomes
<p><u>The session will:</u></p> <ul style="list-style-type: none">Recall protection needs assessment as a category (definition/purpose and output).List triggers for a protection needs assessment.Define distinct protection needs assessment types (timing, duration and level of coordination).Outline where a protection needs assessment occurs in the Humanitarian Programme Cycle.	<p><u>After the session participants will be able to:</u></p> <ul style="list-style-type: none">State that a protection needs assessment is a 'snapshot' and 'conducted at a single point'.Recall examples that would trigger a protection needs assessment.Differentiate between protection needs assessment types (timing, duration and level of coordination).Identify where protection needs assessment fits in the Humanitarian Programme Cycle.

Key messages:

- Protection needs assessment is a data collection exercise conducted at a single point in time ('snapshot').
- Protection needs assessment may be triggered by a number of circumstances which give rise for a need for specific information to:
 - Identify sources of problems, needs, risks and solutions (for affected populations);
 - Estimate impact scale and severity;
 - Estimate impact across diversity factors;
 - Identify existing capacities and coping mechanisms (of affected populations).
- Coordination and harmonization of needs assessments is key during all phases of the PIM Process, and a commitment under the 2016 Grand Bargain, because it can prevent duplication, wasting of resources and burdening affected populations, by maximizing cross-fertilization and impact across the humanitarian sector.

Duration: 1 hour (60 minutes)

Reference: PPT: 3.2 Protection Needs Assessment, Module learning sheet: 'Protection needs assessment' definition and outcome description from PIM Matrix, Worksheet for case review, Grand Bargain explanation, reference list of relevant resources.

Facilitator preparation:

- Pre-reading (Facilitator note 1).
- Split participants into groups in advance, ensuring that there is someone with protection needs assessment experience in each group (based on answers to the pre-training survey questions).

Room set-up:

- Table set-up to enable grouping of participants as per facilitator preparation (see above).
- Spacious area in which there is room for all participants to stand in a circle.
- A0 Humanitarian Programme Cycle illustration hung on wall.

Prints and handouts:

- 1 A4 print out of "Protection needs assessment" sign for humanitarian program cycle wall (Annex 3.2.a)
- Module learning sheet (Annex 3.2.b). Print one per participant for handout.
- Module feedback form (Annex 3.2.c). Print one per participant.

Time	Activity	Resources
15 min	<p>Introduction. Plenary (presentation) @table</p> <p>Ask if a willing participant can read aloud the introductory quote of the NRC Secretary General Jan Egeland (“<i>When crisis, strife and misery are at their worst we need to know what is needed to start saving lives and help people help themselves</i>”). Emphasize the ‘we need to know what is needed’, which is the focus of this module.</p> <p>Introduce module learning objectives.</p> <p>Facilitate initial introductory exchange in plenary, by asking participants “What is a protection needs assessment?” (PNA). Summarize answers given and emphasize the elements of correct answers which relate to the PIM Matrix definition of PNA as a category.</p> <p>Explain and show the PNA definition as per the PIM Matrix (Facilitator note 2). <i>“Protection needs assessment = a data-collection exercise conducted at a single point in time (‘snapshot’) to gain an understanding of the protection issues, availability of resources, sources of problems and their impact on the affected population”</i></p> <p><i>To explain “need” - note that a “need” is a gap between a current situation and an agreed-upon standard, and that not everyone that is “affected” by a crisis will necessarily be “in need” or “targeted” in the response (as per the Humanitarian Population Profile). This is why we need PNA.</i></p> <p>Proceed to address the output components of PNA as per the PIM Matrix, by asking participants “Why would we want a “snap-shot?”, and collect their input with a view to bringing out the points:</p> <ul style="list-style-type: none"> ● <i>To identify protection issues, needs, risks and solutions of specific populations (defined based on status, vulnerabilities, and/or diversity), at a given time and place;</i> ● <i>To estimate the impact, scale and severity of a crisis (noting that this may differ for different groups and locations);</i> ● <i>To know how a change in situation has affected the population, and whether this requires a change in programing and should inform a response,</i> ● <i>To estimate severity across diversity factors and potentially adverse impact on specifically vulnerable groups of persons (this may require specifically tailored methodological measures to solicit through assessment);</i> ● <i>To identify existing capacities and coping mechanisms:</i> <ul style="list-style-type: none"> ○ <i>The affected populations’ capacities, including social norms, attitude and beliefs (often good proxy indicators for many protection issues - especially on CP and SGBV.</i> ● <i>Overall: Timely and accurate information on these issues is needed to inform decisions about the response (e.g., the planning, budgeting, prioritization, targeting).</i> <p>Highlight that although a PNA is a ‘snapshot’ done at a specific moment in time, this does not mean that it should necessarily only be done once – depending on situation, it should be done periodically and after substantial changes in the context.</p>	PPT,p.1-5

	<p>Ask participants what the output of a PNA is in very concrete terms? Solicit a few different explanations, and summarize correct elements in order to conclude:</p> <ul style="list-style-type: none"> ● PNA output is ‘qualitative and quantitative data and information’ which can be used as evidence-basis (in order to inform decision-making for quality actions for protection outcomes). More specifically, this information is on the protection situation at a specific time and place (as defined by the scope and scale of the assessment), including about: <ul style="list-style-type: none"> ○ Protection risks, threats, vulnerabilities ○ Protection needs ○ Capacities and coping strategies ○ Life-saving assistance or immediate support needed <p>Recall the PIM Principle ‘Defined purpose’ (“<i>PIM must serve specific information needs and purposes. The purpose must be clearly defined, communicated and be proportional both to the identified risk and cost and risks vis-à-vis the expected response, and be aimed at protection outcomes, including the sharing and coordination of protection data and information</i>”) and its significance in relation to PNA – we should not embark on an assessment without a clearly defined purpose, because this will be the point of departure for determining how we should conduct the assessment. [Noting that of course this is the case for all PIM Categories, and that all the other PIM Principles are relevant to and apply at all steps of the PNA].</p> <p>Proceed to review in plenary the data collection techniques through which qualitative and quantitative data and information relevant to a PNA can be derived (See Facilitator note 3).</p> <p>Emphasize that the defined purpose, the extent and nature of information gaps, the context (e.g., in terms of operational and political environment), the potential risks to data subjects and collectors, and available resources (including time and human) will determine whether a PNA should be conducted at all and guide the choice of methods:</p> <ul style="list-style-type: none"> ● Availability of data: <i>If you have concluded that secondary data is not available, and no other actor is in process of collecting it, then consider which primary data collection methods could generate the needed data. It is important avoid over-assessing populations, as this may expose them to harm, reduce their willingness to provide information (or reduce their willingness to provide accurate information), or create hostility.</i> ● Risk: <i>Even if there is a lack of data, primary data should not be collected if this might unduly expose respondents and/or collectors to risks and threats, or reduce the former’s coping mechanisms. The expected benefit should always be proportional to the potential harm. Any potential risks should be addressed by prevention and mitigation measures.</i> ● Resources: <i>Depending on the methodology, primary data collection may require significant resources in terms of time, people, money, and skills. s. Be realistic and prioritize how to use available resources.</i> 	
15 min	Review of a PNA example. Activity (groups) @tables+plenary	
	Participants should be seated in groups at separate tables (split as per facilitator’s prior planning in order to ensure that there is at least person with PNA experience in each group).	PPT,p.6

	<p>Ask participants to use the “template for PNA review” in the Module learning sheet (heading: Group assignment), and instruct them to do the following:</p> <ul style="list-style-type: none"> ● Identify who has conducted a protection needs assessment ● Pick one example of a protection needs assessment ● Populate the Word document based on that example, answering the questions in the “template for PNA review” (see Facilitator note 6). <p>Check in on groups while they are working, to ensure that everyone is one track.</p>	PNA review template (in Module learning sheet)
15 min	<p>Triggers: When to do a ‘protection needs assessment’? Plenary (discussion)@Humanitarian Programme Cycle wall</p>	
	<p>Call attention back to plenary from the group work.</p> <p>Referencing the cases reviewed in the groups, ask what situation had triggered the need for a PNA in each case (<i>in order to shed light on different situations in which a needs assessment is required to better understand a particular situation and the conditions faced by affected populations.</i>)</p> <ul style="list-style-type: none"> ● Ask someone in each group to explain the reason why the actors who had carried out the PNA, had chosen PNA as category for satisfying the data and information needs in that particular situation – what triggered it (template question 5)? [Note that the participant should not go into detail, but only focus on the trigger for now] ● Reflecting the examples shared, write the following trigger headings on a flipchart/project on PPT (expand on additional triggers if not mentioned by participants themselves): <ul style="list-style-type: none"> i. <i>A new emergency (i.e., at the beginning of an emergency);</i> ii. <i>When there is a significant change in an existing/ongoing/protracted situation (e.g. an influx or return of displaced populations);</i> iii. <i>As a regular/scheduled part of the humanitarian programming cycle, to inform response planning and appeals (e.g. for end of year or flash appeals, or to inform the HRP (via an HNO);</i> iv. <i>When there is a change in the broader environment (unrelated to the crisis itself), such as a change in policy, political environment, donors, or funding levels, which may create new information needs to support programming design or revisions);</i> v. <i>When not enough information [pertaining to the information outputs of PNA] is available to enable decision making.</i> <p>Recall the Humanitarian Programme Cycle (HPC) as a common organizing framework for the delivery of aid to meet the needs of affected people quickly, effectively and in a principled manner. Recall the ‘Humanitarian Needs Overview’ (in IDP and mixed situations contexts) , which establishes a shared understanding of the impact of a crisis in terms of needs) and a ‘Humanitarian Response Plan’, which outlines how the humanitarian community and the government will address the needs from a multi-sectoral perspective with due consideration to the centrality of protection. These two processes are led by OCHA. In refugee situations, similar processes are led by UNHCR.</p> <p>Gather participants by the wall-hung illustration of the Humanitarian Programme Cycle.</p>	<p>PPT,p.7</p> <p>Flipchart</p> <p>Humanitarian Programme Cycle hung on wall</p> <p>A4 Protection needs assessment sign</p>

	<p>Ask if a participant would like to put up the ‘protection needs assessment’ by the place in the hum. programme cycle where it occurs, and explaining their rationale).</p> <p>Ensure that the group agrees that “Needs assessment phase” is the correct answer, and understand that PNA provides the evidence base for strategic planning, as well as the baseline information upon which situation and response monitoring systems will rely.</p>	
10 min	<p>Needs assessment types. Plenary (discussion) @table</p>	
	<p>Explain that we will now proceed to define different protection needs assessment types, differentiating across parameters of timing, duration and level of coordination (reference the cases discussed in the groups, and ask participants to elaborate on each of the PNA types as relevant):</p> <ul style="list-style-type: none"> ● <u>Types by timing and duration:</u> (Facilitator note 4) <ul style="list-style-type: none"> - <u>Initial</u> - <u>Rapid</u> - <u>In-depth</u> ● <u>Types by level of coordination:</u> (Facilitator note 5) <ul style="list-style-type: none"> - <u>Coordinated</u> - <u>Uncoordinated</u> <ol style="list-style-type: none"> i. Distinguish between protection needs assessments conducted exclusively by the protection cluster/sector, and multi-sectoral assessments that are done jointly by protection and other sectors (noting that protection would be mainstreamed in both cases) ii. An <i>uncoordinated assessment</i> is conducted without the knowledge of or consideration for other ongoing or existing assessment activities, which results in duplication, wasted resources, lack of joint analysis and common understanding, and potential harm. iii. By contrast, there are <i>coordinated assessments</i>. Sectoral assessments may be coordinated within one sector or by multiple sectors (i.e., a multi-sectoral assessment) to assess the humanitarian situation and to identify the needs of the affected population. There are two types of coordinated assessments: <ol style="list-style-type: none"> a) <u>Joint needs assessments:</u> All steps of the assessment are undertaken by multiple actors in partnership and coordination. b) <u>Harmonized needs assessments:</u> Assessments are done by individual actors but they agree to adhere to common standards and/or definitions in order to facilitate joint analysis. - <u>The Grand Bargain</u>, which is an outcome of the 2016 World Humanitarian Summit, commits humanitarian actors to “improving joint and impartial needs assessments”, more specifically, “to provide a single, comprehensive, cross-sectoral, methodologically sound and impartial overall assessment of needs for each crisis to inform strategic decisions on how to respond and fund”. <ul style="list-style-type: none"> ▪ This clearly commits humanitarian actors to move away from the practice of conducting single-sector assessments ▪ It also positions protection both as a sector that participates in multi-sectoral (joint and comprehensive) needs 	PPT,p.8-10

	<p>assessment, and as a ‘lens’ to be mainstreamed in all the other sectors (it points towards a "protection within" needs assessment).</p> <ul style="list-style-type: none"> - SPHERE Core Standard 3, in the same spirit (but less ambitiously), includes key action “Share assessment data in a timely manner and in a format, that is accessible to other humanitarian agencies”. <p>iv.</p> <p>Explain that there standardized assessment tools have been developed and should be considered before new tools are developed, to save time and resources and to create opportunities for data or system inter-operationability (For overview, please refer to page 108-110 of the UNHCR (2017) Needs Assessment Handbook, available at: http://needsassessment.unhcr.org/).</p> <p>Point to the existence of the needs assessments resources and guidance to can guide decision-making on overall assessment methodology and development of data collection methods (See Facilitator note 2). Point to the different considerations to be had depending on the crisis, and whether the assessment is initial, rapid or in-depth (refer to collection of resources listed by assessment type in Facilitator note 1).</p>	
5 min	Conclusion. Plenary (listening)	
	<p>Directly drawing on the debriefing from previous exercise to recall the module’s key messages.</p> <p>Summarize module outcome and learning objectives, and answer any outstanding questions.</p> <p>Project moment of Moment of Zen (2.09 min): https://www.youtube.com/watch?v=nTEDv7Fm1aw (Source: ICVA Network. Message: The Grand Bargain in a nutshell).</p> <p>Distribute module feedback form (one per participant) and collect the filled in version from participants before module closure.</p>	<p>PPT,p.11</p> <p>Projector, speakers and internet</p> <p>Module feedback form (Annex 3.2.c).</p>

Facilitator note 1) Recommended resources

Databases/Tools

Joint IDP Profiling Service (JIPS): Profiling and Assessment Resource Kit ([PARK](http://www.parkdatabase.org/)) Database, available at: <http://www.parkdatabase.org/>

Office for the Coordination of Humanitarian Affairs (OCHA) (2013): [Humanitarian Dashboard toolkit](https://www.humanitarianresponse.info/programme-cycle/space/document/humanitarian-dashboard-toolkit), available at: <https://www.humanitarianresponse.info/programme-cycle/space/document/humanitarian-dashboard-toolkit>

Global Child Protection Working Group (2014): [Child Protection Rapid Assessment Toolkit](https://resourcecentre.savethechildren.net/library/child-protection-rapid-assessment-toolkit), available at: <https://resourcecentre.savethechildren.net/library/child-protection-rapid-assessment-toolkit>

Global Protection Cluster (GPC) Rapid Protection Assessment Tool, available at: http://www.globalprotectioncluster.org/assets/files/tools_and_guidance/RPAT_v_5July-EN.zip

Office for the Coordination of Humanitarian Affairs (OCHA) (2014): [Situational Analysis template](https://www.humanitarianresponse.info/programme-cycle/space/document/situational-analysis-template%C2%A0word-version), available at: <https://www.humanitarianresponse.info/programme-cycle/space/document/situational-analysis-template%C2%A0word-version>

Office for the Coordination of Humanitarian Affairs

(OCHA) (2015): [Humanitarian Needs Overview: Humanitarian Needs Comparison Tool](https://www.humanitarianresponse.info/en/programme-cycle/space/document/humanitarian-needs-comparison-tool-guidance), available at:

<https://www.humanitarianresponse.info/en/programme-cycle/space/document/humanitarian-needs-comparison-tool-guidance>

United Nations High Commissioner for Refugees (UNHCR): Needs Assessment Handbook (2017), “Tools & Templates”, available at : <http://needsassessment.unhcr.org/tools-and-templates/>

United Nations High Commissioner for Refugees (UNHCR) (2017): Integrated Framework for Household Survey, available at: <https://unhcr.github.io/Integrated-framework-household-survey/index.html>

Guidance

Assessment Capacities Project (ACAPS) (2012) [Assessment resource “Qualitative and Quantitative Research Techniques Research for Humanitarian Needs Assessment – An Introductory Brief”](https://www.acaps.org/qualitative-and-quantitative-research-techniques), available at: <https://www.acaps.org/qualitative-and-quantitative-research-techniques>

Assessment Capacities Project (ACAPS) (2014): [Humanitarian Needs Assessments – The Good Enough Guide](https://www.acaps.org/sites/acaps/files/resources/files/humanitarian_needs_assessment-the_good_enough_guide_2014.pdf), available at: https://www.acaps.org/sites/acaps/files/resources/files/humanitarian_needs_assessment-the_good_enough_guide_2014.pdf

Assessment Capacities Project (ACAPS): [Questionnaire Design for Needs Assessments in Humanitarian Emergencies](https://www.acaps.org/questionnaire-design-needs-assessments-humanitarian-emergencies-summary), available at: <https://www.acaps.org/questionnaire-design-needs-assessments-humanitarian-emergencies-summary>

Inter-Agency Standing Committee (IASC) (2012): [Operational Guidance on Coordinated Assessments in Humanitarian Crises](http://www.unocha.org/sites/dms/CAP/ops_guidance_finalversion2012.pdf), available at: http://www.unocha.org/sites/dms/CAP/ops_guidance_finalversion2012.pdf

Inter-Agency Standing Committee (IASC) (2015): [The Multi Cluster/Sector Initial Rapid Assessment \(MIRA\) Manual](https://interagencystandingcommittee.org/iasc-transformative-agenda/documents-public/multi-clustersector-initial-rapid-assessment-mira-manual), available at: <https://interagencystandingcommittee.org/iasc-transformative-agenda/documents-public/multi-clustersector-initial-rapid-assessment-mira-manual>

Inter-Agency Standing Committee Information Management Working Group (2016): Humanitarian Profile Support Guidance – Humanitarian Population Figures, available at: <https://www.humanitarianresponse.info/en/programme-cycle/space/document/humanitarian-profile-support-guidance>

Office for the Coordination of Humanitarian Affairs

(OCHA) (2016): [The HPC and protection needs assessment](https://www.humanitarianresponse.info/en/programme-cycle/space), available at:

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

[SPHERE Core Standard 3: Assessments](http://www.spherehandbook.org/en/core-standard-3-assessment/), available at: <http://www.spherehandbook.org/en/core-standard-3-assessment/>

United Nations High Commissioner for Refugees (UNHCR) (2017): [Needs Assessment Handbook](http://needsassessment.unhcr.org/) available at: [http://needsassessment.unhcr.org/.](http://needsassessment.unhcr.org/)

United Nations High Commissioner for Refugees (UNHCR) (2016): Needs Assessment Handbook (2017), “Guidance and Resource Documents”, available at: [http://needsassessment.unhcr.org/guidance-and-resource-documents/.](http://needsassessment.unhcr.org/guidance-and-resource-documents/)

United Nations High Commissioner for Refugees (UNHCR): [Needs Assessment in Refugee Emergencies Checklist \(NARE\)](https://cms.emergency.unhcr.org/documents/11982/50204/UNHCR%2C+NARE+Full+Version/1b59a63a-ade8-4129-a4fc-30bc0cddaf89), available at: <https://cms.emergency.unhcr.org/documents/11982/50204/UNHCR%2C+NARE+Full+Version/1b59a63a-ade8-4129-a4fc-30bc0cddaf89>

World Humanitarian Summit (2016): [The Grand Bargain – A Shared Commitment to Better Serve People in Need](https://reliefweb.int/report/world/grand-bargain-shared-commitment-better-serve-people-need), available at: <https://reliefweb.int/report/world/grand-bargain-shared-commitment-better-serve-people-need>

Facilitator note 2) What is a Protection Needs Assessment

PNA definition in PIM Matrix: “A **data-collection exercise** usually conducted at a **single point in time** to gain an understanding of the protection issues, availability of resources, sources of problems and their impact on the affected population (**‘snapshot’**). This is done in order to identify protection needs, risks, and solutions, and to **inform programme interventions and response activities** that are complementary with positive community coping mechanisms. Protection needs assessment should be carried out periodically and after substantial changes in the context.”

- “Data collection exercise” = this is an activity that actors should be conducted in collaboration or coordination.
- “A single point” = when a protection needs assessment is done, it will capture a situation at that point in time. Note: another protection needs assessment could be done periodically or at a later date, if needed [refer to the list of triggers].
- “Snapshot” = a protection needs assessment captures an image of the protection needs for ‘that’ specific moment (time, location, and population group(s)).
- **“inform programme interventions and response activities”** = a protection needs assessment provides qualitative and quantitative information on all the elements above - and always to inform the design and implementation of responses and interventions that are complementary with positive community coping mechanisms.

To be effective, assessments must be coordinated (i.e., joint or harmonized), and engage all relevant actors in a sustained multi-stakeholder collaboration, from planning to analysis to dissemination. In addition, they must build on existing knowledge and data to avoid duplication and reduce the risks and burdens to those involved.

Needs assessments are key to ensuring:

- Humanitarian assistance and protection is both rights-based and needs-based.
- Humanitarian assistance and protection promotes and does not undermine safe local coping mechanisms and capacities.
- The respective needs of different population groups are identified and understood (for example: age, sex to socio-economic factors and other issues).
- Decisions regarding humanitarian assistance and protection are based on verifiable information.

Note: Although information and data may be complementary, needs assessments are different from (protection) monitoring systems: the latter aim to continuously collect information on affected areas and people to track changes and trends over time.

Needs assessments gather and analyse both quantitative and qualitative information on the condition of the affected population (protection threats, capacity, vulnerabilities) at a specific time and place (as defined by the scope and scale of the assessment) and provide info on:

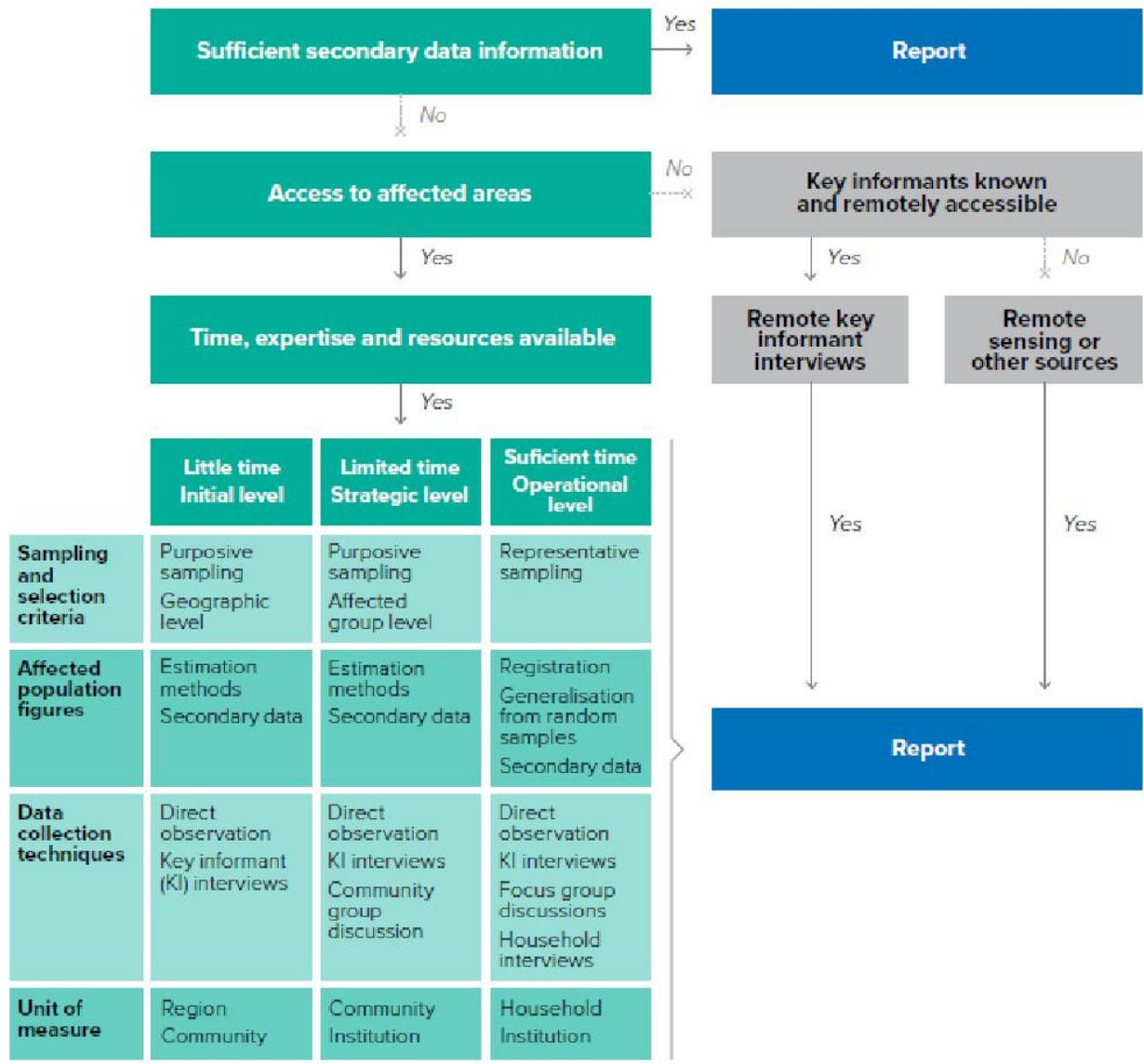
- Protection risks, threats, and vulnerabilities.
- Needs related to the condition of the affected populations.
- Existing capacities and coping strategies.
- Severity of conditions faced by different groups within the population.”

(Source: UNHCR IM Toolkit, Needs Assessment Chapter, available at:

<http://data.unhcr.org/imtoolkit/chapters/view/needs-assessments/lang:eng>. Refer to UNHCR Needs Assessment Handbook (2017) for the latest guidance and tools: <http://needsassessment.unhcr.org/>.)

Facilitator note 3) PNA data collection techniques

The appropriateness and feasibility of using specific methodologies will depend on the objectives (i.e., the key questions to be answered), constraints (such as time, resources, access), and expected benefits and costs (e.g., in terms of protection outcomes and security risks). The main contextual elements to consider include the scale of the emergency, the stability of the crisis (i.e., the frequency and size of changes in the operational environment), the security context, the value and importance of the information to be collected, etc. The figure below is a decision-tree to help you select a methodology for primary data collection.



There are different methods for collecting primary data in the context of needs assessments. Each has advantages and disadvantages, and each provides qualitative and quantitative data in different proportions. Often techniques are combined to strengthen the analysis (i.e. make it more comprehensive) and look at the information from different points of view. The table below summarizes the most commonly used techniques for different types of needs assessments.

(Source: Text and Table: Decision tree to select methodology for primary data collection, page 78-80 of the UNHCR (2017): Needs Assessment Handbook, available at: <http://needsassessment.unhcr.org/>)

Type	Means of collection	Respondent group	Purpose	Initial	Rapid	In-depth	Monitoring
Key informant interviews	Structured or semi-structured questionnaire adapted to respondent's expected knowledge	Individuals with prior and specific knowledge on an issue, situation, group, or location	<ul style="list-style-type: none"> Gather information about the impact of the crisis among different population groups, protection risks, challenges, opportunities, and resilience 	X	X	X	X
Direct observation	Structured (looking for) and unstructured (looking at) observation (sounds, smells, visual impressions, for instance the presence and absence of things and people, taste, touch)	N/A	<ul style="list-style-type: none"> Discover conditions and specific features of an affected site or a population Discover what is or is not there, or what is/feels abnormal Triangulate data obtained through other techniques 	X	X	X	X
Focus group discussions¹²	Semi-structured interview with a group of individuals to gain information on conditions, situations, experience, expectations, or perceptions through group interaction	Small population groups sharing certain characteristics (e.g. age, sex, diversity factors, economic status)	<ul style="list-style-type: none"> Listen to affected population Record priorities, needs, capacities, and protection risks identified by specific groups Understand underlying factors, risks, threats, and causes Deepen knowledge gained from other techniques 			X	X
Community group discussions	Discussion with a diverse group of individuals from a specific community	Diverse groups of individuals from the selected community representing different groups, household situations, and characteristics	<ul style="list-style-type: none"> Gain information on conditions, experience, expectations, or perceptions to ensure different points of view Record priorities, needs, and protection risks identified by the community Deepen knowledge gained from other techniques 		X		X
Household visits	Structured interviews with members of households to gain information on conditions, situations, experience, expectations, or perceptions. Teams observe the living conditions of these households	Female and male heads of household (or other representatives of the households, e.g. caregivers, including where these are single women or children)	<ul style="list-style-type: none"> Understand the condition and situation based on pre-defined indicators Record priorities, needs, and protection risks identified by household representatives 			X	X

(Source: Text and Table: Data collection techniques and appropriate use for each technique, pages 80-81 in UNHCR (2017): Needs Assessment Handbook, available at: <http://needsassessment.unhcr.org/>)

Facilitator note 4) PNA types by timing and duration

Criteria	Initial Assessment	Rapid Assessment	In-depth Assessment
Objectives	<ul style="list-style-type: none"> Define scale and severity of the crisis. Estimate women, men, girls, and boys in need. Identify and locate affected populations and groups considering age, gender, and diversity. Establish key priorities. Define access constraints. 	<ul style="list-style-type: none"> Define impact of crisis. Estimate women, men, girls, and boys in need by population groups of concern. Assess severity of needs of affected groups and areas. Capture views of different groups of affected populations through consultation. Establish key priorities with affected populations. Identify information gaps. 	<ul style="list-style-type: none"> Envision comprehensive, durable solutions that inform needs assessment. Define and quantify needs including more in-depth sectoral and operational information. Provide detailed and statistically representative data. Capture representative views of affected populations through joint consultation with them. Establish baseline for needs and response monitoring.
Type of decisions to inform	<ul style="list-style-type: none"> Initial response decisions. Rapid assessment design. Emergency funding appeals. 	<ul style="list-style-type: none"> Initial planning of humanitarian response. Define focus for subsequent in-depth assessments. Provide recommendations for strategic planning. 	<ul style="list-style-type: none"> Inform detailed planning and scope of humanitarian relief, early recovery, and durable solutions. Adjust ongoing response. Provide recommendations for programme and operational planning.
Timeframe	3-5 days	2-4 weeks	1-4 months
Design	<ul style="list-style-type: none"> Secondary data analysis only. Small number of field visits, if feasible. 	<ul style="list-style-type: none"> Secondary and primary data analysis. Primary data is gathered at the community level. Qualitative research methods. 	<ul style="list-style-type: none"> Secondary and primary data analysis. Primary data is gathered at the community, institution, household, or individual level. Quantitative and qualitative research methods.
Sampling strategy	Convenience/ purposive sampling	Purposive sampling	Representative sampling
Data collection techniques	Flyover, direct observations, key informant interviews. <i>Field tool:</i> Checklist	Community group discussion, key informant interviews, direct observation, focus group discussion (in some instances). <i>Field tool:</i> Semi-structured questionnaire	Household/individual interviews, highly stratified focus group discussions, direct observation. <i>Field tool:</i> Structured questionnaire
Unit of measurement	Province, district, or sub-district; community or village	Community or institution	Community, household, individual
Resources	Very limited time and resources	Limited time and resources	Sufficient time and resources
Cost	\$	\$\$	\$\$\$
Outputs	Secondary data review report. Emergency call or appeal.	Sector/multi-overview reports. Prioritization of needs and responses, geographic locations, and population sub-groups.	Detailed thematic/multi-thematic assessment reports

(Source: Table of Types of needs assessments, page 16 of the UNHCR (2017): Needs Assessment Handbook, available at: <http://needsassessment.unhcr.org/>)

Facilitator note 5) Coordination of assessments

- v. Distinguish between protection needs assessments conducted exclusively by the protection cluster/sector, and multi-sectoral assessments that are done jointly by protection and other sectors (noting that protection would be mainstreamed in both cases).
- vi. *Uncoordinated assessments*: are conducted without coordination (and accordingly without the knowledge of or consideration for other ongoing or existing assessment activities), which results in duplication, wasted resources, lack of joint analysis and common understanding, and potential harm.
- vii.
- viii. *Coordinated assessments*: Sectoral assessments may be coordinated within one sector or by multiple sectors (i.e., a multi-sectoral assessment) to assess the humanitarian situation and to identify the needs of the affected population. There are two types of coordinated assessments:
 - c) Joint needs assessments: All steps of the assessment are undertaken by multiple actors in partnership and coordination.
 - d) Harmonized needs assessments: Assessments are done by individual actors but they agree to adhere to common standards and/or definitions in order to facilitate joint analysis.
- ix. The Grand Bargain, which is an outcome of the 2016 World Humanitarian Summit, commits humanitarian actors to “improving joint and impartial needs assessments”, more specifically, “to provide a single, comprehensive, cross-sectoral, methodologically sound and impartial overall assessment of needs for each crisis to inform strategic decisions on how to respond and fund”.
 - This clearly commits humanitarian actors to move away from the practice of conducting single-sector assessments.
 - It also positions protection both as a sector that participates in multi-sectoral (joint and comprehensive) needs assessment, and as a ‘lens’ to be mainstreamed in all the other sectors (it points towards a "protection within" needs assessment).

From IASC [and therefore focused on non-refugee settings]:

- *“**Coordinated** assessments are those planned and carried out in partnership by humanitarian actors, and of which the results are shared with the broader humanitarian community to identify the needs of affected populations.*
 - *Such assessments range from inter- and intra-cluster/sector joint assessments to harmonized single agency assessments.*
 - *Harmonized assessments occur when agencies collect, process and analyse data separately, but where the collected data is sufficiently comparable (because of the use of common operational data sets, key indicators, and geographical and temporal synchronization) to be compiled into a single database and used in a shared analysis.*
 - *Joint assessments occur when data collection, processing and analysis form one single process among agencies within and between clusters/sectors, and lead to the production of a single report. This is sometimes also referred to as a “common assessment”.*
- *In contrast, **uncoordinated** assessments are those in which data sets are not interoperable, and results cannot be used to inform the overall analysis.”*

“...there is not so much a lack of assessment information as a lack of capacity to validate and analyse the information necessary to determine priorities and guide planning of the humanitarian response. Likewise, certain populations or situations are over-assessed while others are never measured at all. Also, assessment data is all too often insufficiently shared or used, and data sets from different assessments are not comparable. Finally, there is insufficient time to aggregate data from multiple assessments, information needs are not sufficiently prioritized and data collection processes are cumbersome. The benefits are enormous if organizations coordinate assessments and use shared information management systems. In particular, the coordination of assessments is crucial to ensuring solid inter-sectoral analysis during humanitarian crises and therefore better decision-making and planning.”

“A shared commitment to coordinated assessment: The IASC promotes the coordination of needs assessments to enhance the quality of humanitarian response. Its Members endeavour to prepare, lead and implement coordinated assessments, as described in the Operational Guidance. The Guidance makes the following recommendations:

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

(Source: Inter-Agency Standing Committee (IASC) (2012) Operational Guidance on Coordinated Assessments in Humanitarian Crises, available at: https://www.humanitarianresponse.info/system/files/documents/files/ops_guidance_finalversion2012_1.pdf)

Note: Grand Bargain - Commitment #5: Improve joint and impartial needs assessments

- *Provide a **single, comprehensive, cross-sectoral, methodologically sound and impartial overall assessment of needs** for each crisis to inform strategic decisions on how to respond and fund...*
- *... conduct the **overall assessment** in a transparent, **collaborative** process*
- *... ensure sector-specific assessments for operational planning are undertaken under the **umbrella of a coordinated plan** of assessments at inter-cluster/sector level*
- *... **jointly decide on assumptions and analytical methods** used for projections and estimates.*
- *... dedicate resources and involve independent specialists within the clusters to strengthen **data collection and analysis in a fully transparent, collaborative process***
- *... conduct **risk and vulnerability analysis with development partners and local authorities***

(Source: World Humanitarian Summit (2016): [The Grand Bargain – A Shared Commitment to Better Serve People in Need](https://reliefweb.int/sites/reliefweb.int/files/resources/Grand_Bargain_final_22_May_FINAL-2.pdf), available at: [https://reliefweb.int/sites/reliefweb.int/files/resources/Grand Bargain final 22 May FINAL-2.pdf](https://reliefweb.int/sites/reliefweb.int/files/resources/Grand_Bargain_final_22_May_FINAL-2.pdf))

Facilitator note 6) PNA analysis review sheet (available in the ‘Module learning sheet’)

1. Where (country/area) did this case study take place in?
2. Who was assessed (refugees, IDPs, mixed, returnees, stateless...)?
3. When did the case study occur? (Months/Years)
4. Which organizations and sectors were relevant to and involved in this case study? (Ensure to include your own)
5. Why did the actors (mentioned above) choose to implement this particular category?
6. What methodology did you use?
7. How was the collected information analysed?
8. What were the outcomes of the protection needs assessment?
9. How did implementing this category influence the development of protection strategy/response?
10. What were the challenges of conducting the protection needs assessment?
11. How were these challenges overcome? (In other words, what were the solutions to overcoming the challenges)
12. Was the data and information generated through the protection needs assessment shared with the wider humanitarian community? (how, why/not?)

ANNEXES TO MODULE 3.2

Annex 3.2.a) Protection Needs Assessment sign

Part of module: 3.2 Protection Needs Assessment

Instructions for production and use: Print the “protection needs assessment” sign in A4 and use for hanging on the humanitarian program cycle wall and hang it by the step at which it occurs.

Downloadable from: https://docs.google.com/document/d/10_QOWf6KAT9VQ6BLZB9jP0UqC8voeBdbpV-iV4C9Lik/edit?usp=sharing

Annex 3.2.b) Module learning sheet: Protection Needs Assessment

Part of module: 3.2 Protection Needs Assessment

Instructions for production and use: The module learning sheet should serve as a learning reference point for the participants throughout and after the module. It contains a structured space for note taking on key concepts introduced, reference tools, definitions and a list of recommended resources for further learning. One per participant.

Print out available: <https://docs.google.com/document/d/1fqCl8Vcc8TfHdJM7ys1zbsmyljFN1TOb2rwcIMpL1-Q/edit?usp=sharing>

Annex 3.2.c) Feedback form: module 3.2 Protection Needs Assessment

Part of module: 3.2 Protection Needs Assessment

Instructions for production and use: The standardized and anonymous feedback form should be handed to participants after completion of the training module (one for each) for immediate completion and return to the facilitator, in order to be used by the facilitator to evaluate the extent to which the module learning objectives have been met through realization of the module learning outcomes. The form will take 3-5 minutes to complete.

Print out available:

https://docs.google.com/document/d/1mZCmHuv_vVVHgO8g6vbw7yiZ6_qPdw2r64ydWJVE_xE/edit?usp=sharing

Annex 3.2.d) Power point presentation

Part of module: 3.2 Protection Needs Assessment

Instructions for production and use: This power point presentation may serve as visual reference during delivery of this module. Please note that facilitators are discouraged from rely sole on the power point presentation as visual reference during module delivery, as this is not compatible with the participatory design of the PIM training modules.

Available at:

https://www.dropbox.com/s/ylnath0x7k0kdim/PPT_Package%203_Module%203.2_Protection%20Needs%20Assessment.pptx?dl=0

MODULE 3.3 - Protection Monitoring

Core competency –

Skills: Makes informed decisions on which systems are needed based on a comprehensive analysis of information requirements (and over time).

Module objectives	Module learning outcomes
<p><u>The session will:</u></p> <ul style="list-style-type: none">Recall protection monitoring as a category (definition/purpose and outputs).Explain which information needs may be met by protection monitoring outputs.Identify PIM protection monitoring challenges and solutions.Outline protection monitoring linkages with other categories of the PIM Matrix and to the Humanitarian Programme Cycle.	<p><u>After the session participants will be able to:</u></p> <ul style="list-style-type: none">Outline protection monitoring as a PIM category.Explain what data and information needs may trigger protection monitoring as a category.Know which solutions may be applied to overcome challenges associated with protection monitoring.Identify protection monitoring linkages with other categories of the PIM Matrix and to the Humanitarian Programme Cycle.

Key messages:

- Protection monitoring may be triggered by the need for data and information on the outputs of this category, namely about protection issues, risks, threats, vulnerabilities; protection incidents; human rights violations and abuses; capacities and coping mechanisms; and trends in the protection environment.
- Protection monitoring is the act of systematically and regularly collecting, verifying and analysing protection information over an extended period of time.
- Protection monitoring challenges may be mitigated through sound protection monitoring design (i.e., deliberate decisions about who, what, when, where and how to monitor, and standardized/formal data collection/collation, analysis, reporting, and dissemination processes).
- Regardless of the specific design, the protection monitoring system should always be linked to the broader strategic environment, i.e., it should be informed by existing strategies (notably for the “who/what/where” to monitor), and also inform/feed future strategies and responses.

Duration: 1 hour + 5 min (65 minutes)

Reference: PPT: 3.3 Protection Monitoring, Module learning sheet: PIM Matrix outline of Protection Monitoring category, guiding questions for group work, list of references to protection monitoring resources with further guidance.

Facilitator preparation:

- Familiarization with recommended resources (Facilitator note 1) and content of Module Learning Sheet.
- Grouping into four groups to be done through facilitator pre-design in consideration of the responses of the participants to the pre-training survey, in order to ensure that each group contains a diversity of experience in relation to protection monitoring (as this will be beneficial for the group exercise).
- 4 flipcharts with different headings (Individual concerned; Community concerned; Humanitarian professional; Humanitarian organization) and under heading two pillars – one titled “Challenges” the other “Solutions”.
- Review PIM Principles for ease of recall and reference, since many are directly relevant to this Category.

Room set-up:

- Table set-up to allow for grouping of participants (4 groups).
- One A0 sized poster/drawing of Humanitarian Programme Cycle on hanging on wall (Facilitator note 3).
- Markers (for 4 groups).

Prints and handouts:

- One A4 with “Protection Monitoring” heading written across, to be hung on the Humanitarian Programme Cycle (Annex 3.3.a).
- Module learning sheet (Annex 3.3.b). One per participant.
- Module feedback form (Annex 3.3.c). One per participant.

Time	Activity	Resources
5 min	Introduction. Plenary (presentation)@tables	
	<p>Outline the module objectives and learning outcomes, and distribute the module learning sheet (one per participant).</p> <p>Explain protection monitoring as a category in the PIM Matrix and a source of data and information which enables evidence-informed action for quality protection outcomes.</p>	PPT, p.1-2
10 min	Protection monitoring as category. Plenary (presentation)@tables	
	<p>Recall the definition of protection by referring to the session on “Protection” (module 2.1, if preceded by this), or from this module state the IASC protection definition (<i>...all activities aimed at obtaining full respect for the rights of the individual in accordance with the letter and the spirit of relevant bodies of law</i>) and briefly state the 3 modes of protective action (the ‘Egg model’).</p> <p>Recall the definition of Protection Monitoring (as per the PIM Matrix) dwelling on the highlighted elements (see Facilitator note 2).</p> <p>As per responses to pre-training survey, ask some participants to share examples of protection monitoring activities which they have undertaken or been engaged in, prioritizing examples from different sub-clusters. Examples of types of protection monitoring to be highlighted include:</p> <ul style="list-style-type: none"> ● <i>Thematic (e.g., GBV, HLP)</i> ● <i>Population characteristics (e.g., child protection monitoring, refugee returnee monitoring)</i> ● <i>Location (e.g., detention monitoring, border monitoring)</i> ● <i>Incident monitoring</i> ● <i>Situation monitoring</i> <p>Based on the examples shared, emphasize that there is no formal typology and no “one”, “standard” or “right” protection monitoring system – it all depends on your defined purpose and the associated information needs, and the overall context (including the operational and political environment, available resources, timelines, etc.).</p> <p>Ask participant if they know examples of data and information outputs which protection monitoring can produce. Conclude exchange summarizing that protection monitoring outputs are:</p> <p><i>Quantitative and qualitative data and information on the protection environment, protection trends over time, human rights violations and abuses, and / or protection issues, incidents, risks, threats, vulnerabilities, and the capacities and coping strategies of the affected populations.</i></p> <p>Ask participants what kind of situations or circumstances might lead an organization or operation to decide that protection monitoring is an appropriate system through which to obtain data and information to inform a protection response? Conclude the exchange by summarizing that protection monitoring is done in situations where:</p>	PPT,p.3-7

	<ul style="list-style-type: none"> ○ <i>A more in-depth understanding of the protection environment is needed, with regular updates to identify trends [on the information outputs of protection monitoring systems, see below]</i> ● ... <i>Within the limits and constraints of</i> <ul style="list-style-type: none"> ○ <i>the operational environment (security, access, political space, etc.)</i> ○ <i>the organizational environment (human resources (staff number and skills), financial, and technological resources, available partners, etc.)</i> <p>Ask the participants to spend 3 minutes discussing with the person sitting next to them, where in the Humanitarian Programme Cycle (HPC) (Facilitator note 3) protection monitoring as an <i>activity</i> occurs.</p> <p>Ask someone to share their conclusion, ensure consensus amongst participants, and hang the printed heading underneath the HPC (to indicate that it occurs throughout). Emphasize that protection monitoring is not about monitoring the outputs or outcomes of protection response, but rather about monitoring the protection environment. Ensure that this difference between protection response monitoring and protection monitoring is clearly understood as per the PIM Matrix categories.</p>	<p>A4 sheet with "Protection Monitoring" heading</p> <p>Hum. Prog. cycle on wall</p>
10 min	<p>How to generate the information you need from protection monitoring. Plenary (presentation)@tables</p>	
	<p>Explain that once the decision is made that protection monitoring is the right system to meet your information needs, further design decisions are necessary.</p> <p>In line with the PIM Process (See Facilitator note 4) – as a prerequisite ahead of entering a design process – one should firstly assess the information landscape, i.e., clearly specify the purpose and associated information needs, and conduct a secondary data review. The secondary data review may find information outputs from protection needs assessments or other PIM matrix categories that can offer a baseline against which to monitor an issue over time).</p> <p>Discussions about the design (PIM Process Step 2) can be guided by a series of basic questions to answer (regarding the ‘who’, ‘what’, ‘where’, ‘when’ and ‘how’ - further guidance in Facilitator note 5). The resulting decisions should be formally documented, e.g., in a concept note or Standard Operating Procedures for protection monitoring.</p> <p>Conclude that in all cases, protection monitoring systems should be linked to the wider strategic environment. On the one hand (a), the purposes of the protection monitoring system should be anchored in and geared towards achieving the objectives of strategies/response plans. On the other (b), the protection monitoring system will generate information that should be used to inform strategies/plans.</p> <ul style="list-style-type: none"> - <i>Example (a): Cluster A may have prioritized the objective of strengthening its response to child recruitment. A PM system can support this objective by prioritizing the monitoring of this issue and systematically providing information to decision-makers as to inform programme response and advocacy messages.</i> - <i>Example (b): The PM system of Operation B has found that the number of unaccompanied children in a certain region has been consistently rising in the last reporting periods. Given this information, the operation decided to revise its Protection Strategy in order to prioritize this issue.</i> <p>Point out that as is the case for all PIM categories, the PIM Principles should guide us in all the design decisions, as well as in all the other steps (Assess, Implement, Review). (If this module is not delivered in conjunction with Training Package 1, proceed to explain PIM Principles in more depth and reference the "PIM Principles in Action" document as a resource in the Module learning sheet:</p>	<p>PPT, p.8-17</p>

	<ul style="list-style-type: none"> - Evaluation of benefits and risks of implementing a PM system (Do no harm) - Effective use of reliable and relevant secondary data (Coordination and collaboration; Do no harm) - Meaningful consultations with affected populations at all steps (People centered and inclusive) - Etc. 	
30 min	Protection Monitoring challenges and solutions. Activity (groups) + debrief in plenary	
	<p>Instruct participants to break into 4 groups (assign each group a focus on a specific entity: a) Individual concerned, b) community concerned, c) humanitarian professional, d) humanitarian organization). Instruct the groups to spend the next 15 minutes discussing the following, while documenting their discussion on a flipchart:</p> <ol style="list-style-type: none"> 1) What is the role of the individual/entity in relation to protection monitoring activity? (groups should not allocate too much time to this question, but discuss in order to reach agreement as a basis for the other two questions) 2) Which challenges and risks could be associated with the individual/entity's engagement in protection monitoring? 3) What solutions could address the challenges or mitigate the risks? <p>Convene in plenary for debriefing, giving each group 3 minutes to present the outcome of their discussions (for possible challenges and solutions refer to Facilitator note 4). [Moving group to group, ask each to debrief only on new issues, i.e., those that have not been yet mentioned, to avoid repetition - or ask them to pick one top Challenge-Solution pair]. Note the presented solutions as recommendations on a flipchart, and relate these to the direction set out by the PIM Principles.</p> <p>Drawing on the feedback points shared by the groups, ensure that the below are made in the debriefing:</p> <ul style="list-style-type: none"> ● Protection monitoring has specific data and information outputs, but should be informed by and linked to other PIM systems as appropriate (notably to Protection Needs Assessments, Case Management systems, and Security and Situational Awareness systems). It may also be possible to cross-fertilize indicators, definitions, and standards. ● Many protection monitoring challenges can be prevented by ensuring that deliberate decisions are made at the design phase about the purpose, the associated information needs, the key design questions (who, what, where, when, and how to monitor) - and the data process flows, and formally documenting these. ● Regardless of the specific design, the protection monitoring system should always be linked to the broader strategic environment, i.e., it should be informed by existing strategies, and inform/feed future strategies and responses. 	<p>PPT,p.18</p> <p>Pre-made flipchart for each group</p> <p>Markers</p>
10 min	Conclusion. Plenary	
	<p>Summarize discussion points in relation to module key messages, review module learning objectives and answer any outstanding questions.</p> <p>Screen Moment of Zen (1.11 min): https://www.youtube.com/watch?v=DyhPtI4GHGE&index=2&list=PLUm8zu1CbL74zFEy6uHTz2h4bupXzImd ("Monitoring and Reporting Human Rights" by the Danish Institute for Human Rights". Distribute module feedback form (one per participant) and collect the filled in version from participants before module closure.</p>	<p>PPT,p.19-20</p> <p>Projector, speakers and internet</p> <p>Module feedback form (Annex 3.3.c)</p>

Facilitator note 1) Recommended readings

Databases/Tools

UNICEF: PRIMERO, <https://www.primero.org/>

Geneva International Centre for Humanitarian Demining: Information management system for mine action (IMSMA), available at: <https://www.gichd.org/topics/information-management/information-management-system-for-mine-action-imsma#.WoMssJ3waUk>

Resources

Danish Refugee Council (DRC) (2016): Protection Analysis Guidance, available at: <https://drive.google.com/file/d/1BTAyclZbqXppvNsiHt9I04t44cZ90qcn/view?usp=sharing>

Gender-Based Violence Information Management System (2015) [Provisional Guidance Note on the intersections between the GBVIMS and the Monitoring and Analysis Reporting Arrangements \(MARA\)](#).

Global Protection Cluster (GPC) (2010): [Handbook for the Protection of Internally Displaced Persons](#)

Global Public Policy Institute(2016), The Use of third-party monitoring in insecure contexts: Lessons from Afghanistan, Somalia and Syria, available at: http://www.gppi.net/fileadmin/user_upload/media/pub/2016/SAVE_2016_The_use_of_third-party_monitoring_in_insecure_contexts.pdf

International Detention Coalition, [Detention monitoring checklist](#): Checklist for monitoring places of immigration detention, available at: https://www.scribd.com/fullscreen/55084721?access_key=key-12imeupcxiryf0mdio55

Iraq Protection Cluster (2016): Protection monitoring report, available at: https://www.humanitarianresponse.info/system/files/documents/files/irq_idp_protmonitoring_aug2016_all_iraq_28092_016.pdf

PIM Quick Reference Flyer, available at: http://pim.guide/wp-content/uploads/2018/04/Quick-Reference-Flyer_Principles_Matrix_Process_2018-1.pdf

PIM Working Group (2017): PIM Principles in Action, available at: http://pim.guide/wp-content/uploads/2017/01/PIM-Principles-in-Action_-2017.pdf

PIM Process illustration, available at: <http://pim.guide/guidance-and-products/product/pim-process/>

United Nations Office of the High Commissioner for Refugees (OHCHR) (2017): Training Manual on Human Rights Monitoring, available at: <http://www.ohchr.org/EN/PublicationsResources/Pages/MethodologicalMaterials.aspx>.

Facilitator note 2) PIM Matrix breakdown of “Protection Monitoring”

Definition: Protection monitoring is defined as *systematically and regularly collecting, verifying and analysing information over an extended period of time in order to identify violations of rights and/or protection risks for populations of concern for the purpose of informing effective responses*”

Key words:

- **“systematically; regularly; over extended period of time”:** *This means that:*
 - *It is not a one-off assessment because it implies trends analysis*
 - *It is not an end in itself: the purpose is effective responses)*
- **“identify violations of rights and/or protection risks”:** *This encompasses:*
 - *Protection issues, risks, threats, vulnerabilities*
 - *Protection incidents*
 - *Human rights violations and abuses*
 - *Capacities and coping mechanisms of affected populations*
 - *Trends in the protection environment*

Output (data and information):

The output of protection monitoring systems are: Quantitative and qualitative data and information on the protection environment, protection trends over time, rights violations, and / or risks (threats, vulnerabilities, and capacities) of the affected populations.

Data needed for decision-making:

- Protection risks
- Protection needs
- Capacities and coping strategies
- Life-saving assistance or immediate support needed
- Trends for what the monitoring systems is designed for

Common units of analysis:

Location; protection risk; population group; community; time.

Sub-category examples:

- Legal, Material and Physical Protection Needs Monitoring
- Detention Monitoring
- Durable Solutions Monitoring
- Housing, Land and Property Rights Monitoring
- Return Monitoring
- Border Monitoring
- Child Protection Monitoring
- Gender Based Violence Monitoring
- Situation Monitoring

Methods:

- Observation
- Key informant interview
- Focus group discussion
- Individual / household interview
- Profiling
- Survey
- Referrals

Specific examples:

- PRIMERO
- Information management system for mine action (IMSMA)
- Human Rights Case Database (confidential) (OHCHR)
- Human rights monitoring systems

Sources:

- Community
- IDP leaders
- Refugee leaders
- Other protection agencies
- Government
- National protection organizations
- International protection organizations
- Social media

Facilitator note 3) Humanitarian Programme Cycle (HPC)

From the UNHCR Emergency Handbook (2015) about the HPC: “The Humanitarian Programme Cycle (HPC) is an operational framework developed by the IASC in the context of the [Transformative Agenda](#). It sets out the sequence of actions that should be taken to prepare for, plan, manage, deliver and monitor collective humanitarian responses. It applies directly to inter-agency responses in IDP situations and in emergencies linked to natural disasters, including system-wide Level 3 emergencies.

The HPC has five elements, coordinated in a seamless manner: each step builds logically on the previous step and leads to the next. Its successful implementation depends on emergency preparedness, effective coordination between national and local authorities and humanitarian actors, and information management.

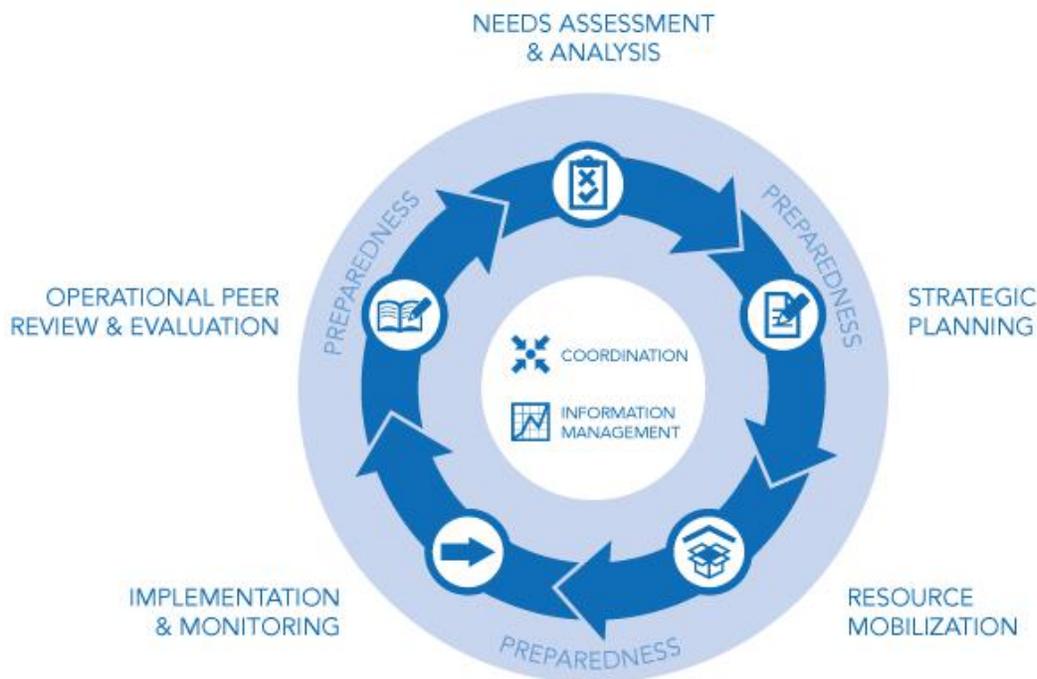


Figure: The humanitarian program cycle

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

Copyright reserved to OCHA, 2016

For more information:

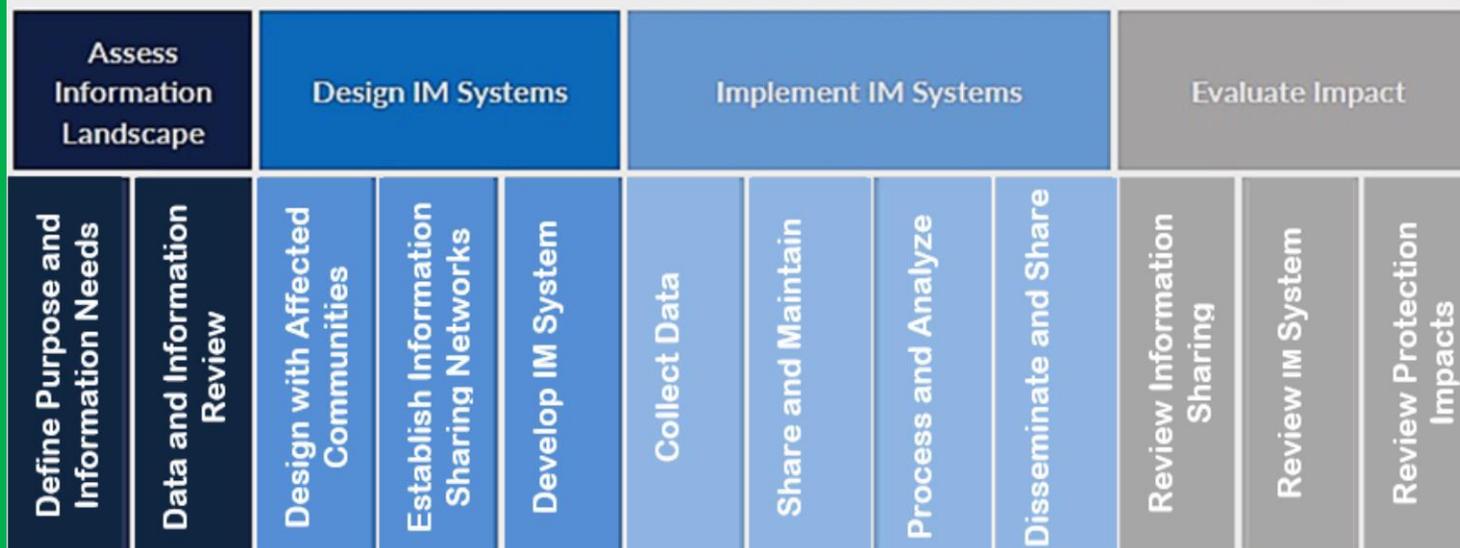
www.humanitarianresponse.info/en/programme-cycle/space

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

Facilitator note 4) PIM Process

The PIM Process provides guidance on steps to be undertaken when developing, implementing or renewing a protection information management response / set of activities. While the four higher-level steps of the PIM Process — Assess Information Landscape, Design IM Systems, Implement IM Systems, Evaluate Impact— are prescriptive and should be followed in this sequence, the sub-steps under these do not necessarily have to be done in the order in which they appear (although each should take place).

PIM Process



(Source: PIM Working Group Meeting # 3, Outcome Document, , September 2016, available at: http://pim.guide/wp-content/uploads/2017/01/Protection-Information-Management-Working-Meeting-Outcome-Documents_September-2016.pdf)

Facilitator note 5) Protection monitoring design – guiding questions

The below list of questions can guide discussions about the design of the protection monitoring system (during Step 2 of the PIM Process - Design IM systems). Step 2 'Design IM systems' includes two sub-steps, namely setting-up information-sharing and coordination networks, and working with affected populations to ensure valid design parameters (noting that this is not the only time we consult with and seek participation from affected communities). The design discussions should be informed by decisions taken at Step 1 (Assess Information Landscape), regarding the defined purpose and associated information needs, and the available data and information.

1. Who to monitor?

- By status (IDPs, refugees, returnees, stateless, migrants...)
- By identity/characteristics
 - Children (all vs. only UASC?)
 - Women (all vs. only single female-HH?)
 - Persons with disabilities (all or some?)
 - SGBV survivors (all or some?)
 - Prisoners/detainees (in all locations?)

2. Where to monitor?

- Location A, B, C (city, village, IDP site, refugee camp, rural, urban...)
- Border crossing A, B, C
- Checkpoint A, B, C
- Detention centre A, B, C

- Hotspot A, B, C
- *As importantly: Which criteria will guide your selection /targeting of A, B, C?*

3. What to monitor?

- *What scope? (How big is the “what”?)*
 - Comprehensive: Multiple issues
 - Focused: One or two issues? (e.g., focus on HLP, on GBV)
- *Which criteria should inform the selection of issues?*
 - Severity of impact
 - Severity of risk
 - Scope re: # of people affected
 - Scope re: # of areas affected
 - Etc.
- *Which indicators for each issue? From which data sources?*

4. When to monitoring? At which moment(s) in the displacement cycle

- Emergency/initial displacement
- Protracted
- Return
- Reintegration
- ...?

5. Frequency: How often to monitor?

- Daily
- Weekly
- Monthly
- Quarterly
- Yearly?
- ... and until when? (When do you know if you should stop monitoring?)

6. How to monitor?

- *Which methods?*
 - Observation (e.g., with checklist)
 - Key informant interviews
 - Focus group discussions
 - Surveys / Questionnaires
 - Desk review (secondary data review)
- *Which tools?*
 - [KoBo](#) ToolBox (mobile data collection tool)
 - Excel
 - Paper
 - Email
 - Memory
 - Secondary data collation

7. How to report?

- Focal points and clear data flow from collection/collation to analysis to reporting to dissemination
- Reporting
 - Standard templates
 - Predictable reporting lines/processes
 - Clear timelines
- Analysis

- Clear workflow and process
- Clarity on the type of analysis to be done, its participants, and its outputs -- and what will be shared with whom
- [PowerBi](#) (data visualization to facilitate analysis)
- Dissemination
 - Specified dissemination lists, channels, platforms
 - Clear timeline

Facilitator note 6) Possible challenges and solutions associated with protection monitoring

The below list is not exhaustive but meant to serve as illustrative guidance for the facilitator in the debriefing on the group exercise of discussing protection monitoring implementation challenges and solutions in relation to the 4 distinct entities of a) Individual concerned, b) Community concerned, c) Humanitarian professional and d) Humanitarian organization.

One challenges may be countered by one or more of the solutions listed, and solutions may address more than one challenge.

a) Individual concerned

Challenges

- Safety and dignity of both data subjects (as per Do no Harm Principle)
- Risk of exploitation and violation of rights by humanitarian staff (in case of lack of competency and CoC).
- Risk of exposure to harm when sharing sensitive data and information.

Solutions

- Consulting widely with experts and affected populations to ensure that all components of the protection monitoring system, such as the questionnaire, are appropriate for the local context.
- Ensuring that staff training is included in the project timeline, and that sufficient time and resources are allocated to this task, along with clear monitoring and follow-up measures to prevent or mitigate harm.
- Support awareness raising on rights, including to information and consent.

Challenges

- Reinforcement of harmful power relationships (if monitoring methodology does not adequate account for the existence of these).
- Assessment fatigue.
- Frustration due to lack of accountability and transparency around how collected data and information is used and has an impact.
- Risk of exposure to harm when sharing sensitive data and information.

Solutions

- Consulting widely with experts and affected populations to ensure that all components of the protection monitoring system, such as the questionnaire, are appropriate for the local context.
- Collaborating with other actors in order to increase access to locations, populations, and/or information, e.g., by doing joint data collection activities or committing to systematic data-sharing.
- Adopting a comprehensive approach to accountability to affected populations (i.e., one that ensures their meaningful participation at all stages, not just at the feedback and complaints stage after an activity has been implemented).
- Communicate the purpose of the activity and responsibly refer cases.
- Consulting technical experts on the appropriate technical and organizational measures that can be taken to ensure data protection and security.

Challenges

- Engaging with and ensuring the participation of vulnerable, affected individuals and groups in a meaningful and responsible manner
- Safety and dignity of data collectors (as per Do no Harm Principle).
- Managing expectations of affected populations in the referral and follow up processes.
- Gaining access to the same locations and/or populations (at the frequency required by the protection monitoring system) in order to collect the same data points over time (this is often difficult due to insecurity or bureaucratic impediments).
- Building trust within affected communities.

Challenges

- Obtaining consensus and clarity within all relevant actors in the operation or cluster as to the specific purpose and desired outputs of the protection monitoring system, and the associated information needs.
- Formulating indicators that are relevant to the information needs and can actually be collated or collected (feasibility issue given the operational context).
- Adapting standard or global tools to local contexts (e.g., for language, cultural appropriateness, etc.).
- Ensuring that staff are adequately trained and equipped to deal with a variety of actors and situations, such as armed groups/forces, vulnerable children, SGBV survivors, etc.
- Engaging with and ensuring the participation of vulnerable, affected individuals and groups in a meaningful and responsible manner.
- Conducting protection monitoring remotely (when there is no access to the location or populations).
- Managing expectations of affected populations in the referral and follow up processes.
- Ensuring that staff, money and other resources are available over the longer term in order for data to be analysed in a way that actually generates information about trends over time [sustainability of the system issue].
- Ensuring that the outputs are effectively used to inform programming, planning, advocacy, strategies, and responses as reliable, accurate and up-to date information.
- Ensuring informed consent for the collection, storage, sharing, and/or use of information

Solutions

- Adhering to the PIM Principles and referring to the “PIM Principles in Action” document.
- Ensuring that staff training is included in the project timeline, and that sufficient time and resources are allocated to this task, along with clear monitoring and follow-up measures to prevent or mitigate harm.
- Communicate the purpose of the activity and responsibly refer cases.
- Collaborating with other actors in order to increase access to locations, populations, and/or information, e.g., by doing joint data collection activities or committing to systematic data-sharing.

Solutions

- Adhering to the PIM Principles and referring to the “PIM Principles in Action” document.
- Adopting a comprehensive approach to accountability to affected populations (i.e., one that ensures their meaningful participation at all stages, not just at the feedback and complaints stage after an activity has been implemented).
- Consulting widely with experts and affected populations to ensure that all components of the protection monitoring system, such as the questionnaire, are appropriate for the local context.
- Ensuring that staff training is included in the project timeline, and that sufficient time and resources are allocated to this task, along with clear monitoring and follow-up measures to prevent or mitigate harm.
- Following the PIM Process (after a decision has been made that protection monitoring outputs will meet the information need).
- Bringing together IM, protection and other relevant colleagues at the earliest stages of the project.
- Collaborating with other actors in order to increase access to locations, populations, and/or information, e.g., by doing joint data collection activities or committing to systematic data-sharing.
- Consulting technical experts on the appropriate technical and organizational measures that can be taken to ensure data protection and security.
- Identifying and implementing feasible and appropriate and data protection and security measures.

ANNEXES TO MODULE 3.3

Annex 3.3.a) Protection Monitoring sign

Part of module: 3.3 Protection Monitoring

Instructions for production and use: Print the “protection needs assessment” sign in A4 and use for hanging on the Humanitarian Program Cycle wall – underneath the cycle.

Downloadable from:

<https://docs.google.com/document/d/1spTlq0MdU34XGhHHEO5oGSyrMsT1Uomn4M0kPyT0i7A/edit?usp=sharing>

Annex 3.3.b) Module learning sheet: Protection Monitoring

Part of module: 3.3 Protection Monitoring

Instructions for production and use: The module learning sheet should serve as learning reference point for the participants throughout and after the module. It contains structured space for note taking on key concepts introduced, contains reference tools, definitions and a list of recommended resources for further learning.

Downloadable from: https://docs.google.com/document/d/1DMorsWpPhx58VihdZtm8-ynC8HSI_2ljjadNxHPI_Tg/edit?usp=sharing

Annex 3.3.c) Feedback form: 3.3 Protection Monitoring

Part of module: 3.3 Protection Monitoring

Instructions for production and use: The standardized and anonymous feedback form should be handed to participants after completion of the training module (one for each) for immediate completion and return to the facilitator, in order to be used by the facilitator to evaluate the extent to which the module learning objectives have been met through realization of the module learning outcomes. The form will take 3-5 minutes to complete.

Print out available: <https://docs.google.com/document/d/1fNZrZiy5--ZAeN7dm02GtIYJESmaxVX3-0cO0hoQfU/edit?usp=sharing>

Annex 3.3.d) Power point presentation

Part of module: 3.3 Protection Monitoring

Instructions for production and use: This power point presentation may serve as visual reference during delivery of this module. Please note that facilitators are discouraged from relying solely on the power point presentation as visual reference during module delivery, as this is not compatible with the participatory design of the PIM training modules.

Available at:

https://www.dropbox.com/s/kdmeopfws83hiop/PPT_Package%203_Module%203.3_Protection%20Monitoring.pptx?dl=0

MODULE 3.4 - Population Data

Core competency –

Skill: Makes informed decisions about which systems are needed based on a comprehensive analysis of information requirements (and over time).

Module objectives	Module learning outcomes
<p><u>The session will:</u></p> <ul style="list-style-type: none">• Recall population data as a category (definition/purpose & outputs);• Identify the information needs which can be met through population data;• Explore challenges to implementing population data activity and mitigation measures;• Outline where population data fits in the Humanitarian Programme Cycle.	<p><u>After the session participants will be able to:</u></p> <ul style="list-style-type: none">• Explain that population data systems ‘record a number’ and characteristics of a population in a ‘specific place and time’;• Reflect on how data and information needs can be met by population data in own context;• Recall possible mitigation measure through which challenges to population data activity implementation can be overcome;• Identify where population data systems fit in the Humanitarian Programme Cycle.

Key messages:

1. Population data provides a snapshot of population figures and characteristics (disaggregated by sex, age, diversity and other whenever possible).
2. Population data should be updated as often as is necessary to be useful for planning and delivery in a given context.
3. Population data systems are crucial in all phases of the Humanitarian Programme Cycle because population data is required for most (if not all) humanitarian activities.
4. Given its importance for operational planning and delivery across activities and sectors, population data management should be centrally coordinated whenever possible.

Duration: 1 hour (60 minutes)

Reference: PPT: 3.4 Population Data, Module learning sheet: Population data definition outline, IASC Humanitarian population figures, instructions for group work ‘A deeper look at population data’, terminology guidance and workspace for module exercises and list of recommended resources.

Facilitator preparation:

- Familiarization with recommended resources (Facilitator note 1) and content of Module Learning Sheet.
- Review participants’ answers to pre-training survey question on experience with population data.
- Compose groups of maximum 5 participants each (for the group activity “A deeper look at population data”) with diversity of experience working with population data in each group), and distribute groups codes (e.g. candy or a note with a number – in name tag, in chair, on Module Learning Sheet) to participants ahead of module delivery.
- Pre-prepared flipcharts for each of the groups (Layout: on top page: heading “Population Data” – below 2 adjacent pillars with the headings “Challenge” – “Solution” respectively).

Room set-up:

- One plenary space with seating space for all.
- Space for group break-out (for the group activity “A deeper look at population data”).
- Open space for a “gallery walk”.
- A0 Humanitarian Programme Cycle illustration hanging on wall.
- PIM matrix wall (from preceding module 3.1 “PIM Matrix”)/or PIM matrix handout (PIM Quick Reference Flyer) in A3.
- Flipchart paper and markers in different colours.

Prints and handouts:

- A4 prints of the UNHCR Emergency Registration Form (Annex 3.4.a) – one per every 3 participant.
- Module learning sheet (Annex 3.4.b) for each participant.
- (If no PIM matrix on wall from module 3.1:) A3 PIM matrix handouts (PIM Quick Reference Flyer) (Annex 3.4.c) for each participant.
- 1 A4 “Population Data” sign for Humanitarian Programme Cycle wall (Annex 3.4.d).
- Module feedback form (Annex 3.4.e). One per participant.

Time	Activity	Resources
10 min	<p>Introduction to population data. Plenary (interactive presentation)@tables</p>	
	<p>Introduce the module learning objectives, and recall the PIM matrix definition of population data: <i>“Population data systems record the number and characteristics, disaggregated by sex, age, demographics and diversity, of a population in a specific place and time period, for the purpose of programming effective prevention and response”.</i></p> <p>Circulate among the participants a couple of print-outs of the UNHCR Registration Form (See Facilitator note 2 for background info), without explaining what it is. Give participants a few minutes to pass the prints of the form around and to review it.</p> <p>Ask participants if they can see what it is. Solicit a few answers and then proceed to very briefly explain (or confirm):</p> <ul style="list-style-type: none"> ● <i>This is a form for individual registration in emergencies (from UNHCR 2014) for use in country of arrival.</i> <p>Ask participants – what data set is captured in this form, and how this individual and household level data relates to the ‘Population Data’ category definition? Draw the conclusion that:</p> <ul style="list-style-type: none"> ● <i>This form captures at the individual and household level the same type of data as those of the PD category definition;</i> ● <i>Individuals in sum constitute a population, and that the sum of the individual registration data is accordingly ‘population data’ output:</i> <ul style="list-style-type: none"> - <i>Quantitative data.</i> - <i>A snapshot or reoccurring information on population figures.</i> - <i>(Preferably) disaggregated by sex, age, diversity and other whenever possible (so it can better inform the response).</i> - <i>As on the registration form, it can also include: humanitarian profile typology, specific needs, vulnerabilities or other demographic characteristics including education, skills, occupation, and living conditions.</i> <p>Explain that the circulated registration form illustrates one of the many points through data on a population is obtained. Registration is however not the only method. Ask participants if they know of others. Solicit input and ensure that the following examples are covered (See Facilitator note 3 for reference):</p> <ul style="list-style-type: none"> ● <i>Secondary data review</i> ● <i>Census</i> ● <i>Estimations (via flow monitoring, KII, FGDs, counting (shelters or people))</i> ● <i>Area-based sampling</i> ● <i>Remote sensing)</i> ● <i>Profiling (via KII, FGDs, surveys)</i> 	<p>PPT,p.1-5</p> <p>PIM matrix wall</p>

	Ask if participants have any questions on how population is distinct from other PIM Matrix categories, and clarify as required.	
10 min	Humanitarian population typology. Plenary (interactive presentation)@tables	
	<p>Ask “When do we need population data”?</p> <p>Explain that situations in which there will be a need for population data including:</p> <ul style="list-style-type: none"> - <i>Preparedness phase (i.e., baseline or pre-crisis pop data should always be updated and available).</i> - <i>New emergency.</i> - <i>Significant change(s) within existing emergency or protracted situation (e.g., new population movements due to resumed violence or violence in new areas, or natural disaster occurring within an armed conflict).</i> - <i>Ahead of a planning or programming activity (e.g., to provide information to plan a needs assessment).</i> - <i>Whenever an information-need can be met by the outputs of the Population Data category.</i> <p>Explain that a detailed breakdown of humanitarian population figures is the most commonly requested information in humanitarian crises and provides the backbone to any humanitarian operation. It is essential for planning, supporting appeal documents, as well as for monitoring, evaluation and contingency purposes.</p> <p>Introduce the IASC concentric circle illustration of population figures categories (Facilitator note 4), and breakdown the categories in relation to each other.</p> <p>Point to the advantage of operating with shared terminology, and point out that while population figure categories presented in this illustration, can appear to be quite straightforward to work with, the processes of arriving at the numbers is not (challenge and solutions to working with this category will be explored now).</p>	PPT,p.6
30 min	A deeper look at population data. Activity (into groups) @group work space	
	<p>Instruct participants for activity (instructions also in Module learning sheet):</p> <ul style="list-style-type: none"> ● Find your group. ● As a group find your flip chart. ● Spend 15 minutes discussing challenges and solutions to population data: Write a challenge on the 'challenge' pillar of the flip chart and a solution to that challenge on the 'solutions' pillar of your flip chart. ● In the solution pillar, specifically identify the role of Protection and IM actors (using a different coloured marker) ● We will then move the flip charts together and discuss as a group. <p>After 15 minutes, convene groups to plenary again. Debrief for 10 minutes in plenary (“gallery walk”) giving each group an opportunity to present one key point (challenge + solution) from their discussion (for possible answers to questions please see Facilitator note 5).</p>	<p>PPT,p.7</p> <p>Flip chart paper (pre-made)</p> <p>Markers in different colours</p>
10 min	Conclusion. Individual @tables	
	<p>Inform participants that we will wrap up by reviewing population data in relation to the wider PIM Matrix (other categories) and the Humanitarian Programme Cycle (See Facilitator note 6 for explanation).</p> <p>Ask participants to point to the concrete inter-linkages between population data as a category and other categories of the PIM matrix. Based on examples shared, ensure that the following points are made:</p>	<p>PPT,p.8-11</p> <p>PIM matrix on wall or handout</p>

	<ul style="list-style-type: none"> - <i>Population data has strong links with all other PIM matrix categories, because population figures are used by most other categories, and provide the denominators. (For example, it is impossible to plan a Protection Needs Assessment without knowing who is affected and where).</i> - <i>Like all PIM categories, population data activities should be conducted in accordance with the PIM Principles.</i> <p>Ask participants where in the Humanitarian Programme Cycle population data activities occur, and put up the “Population data” sign in the centre of the Humanitarian Programme Cycle on the wall.</p> <ul style="list-style-type: none"> - <i>Population data is crucial in <u>all phases</u> of the Humanitarian Programme Cycle because population data is required for most (if not all) humanitarian activities.</i> - <i>Given its importance for operational planning and delivery across activities and sectors, population data management activities and systems should be centrally coordinated whenever possible.</i> <p>Summarize discussion points, recap module objectives and learning outcomes and answer any outstanding questions.</p> <p>Watch the Moment of Zen (4.37 min, IriTechInc, Biometric Identification for Refugees in Thailand, https://www.youtube.com/watch?v=ckZa-Xx_aeq). Message: Accurate and reliable data is a prerequisite for protection).</p> <p>Distribute module feedback form (one per participant) and collect the filled in version from participants before module closure.</p>	<p>Humanitarian Programme Cycle illustration on wall</p> <p>Population data heading</p> <p>Projector, speakers and internet</p> <p>Module feedback form (Annex 3.4.e).</p>
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Facilitator note 1) Recommended resources

DATABASES/IM SYSTEMS

International Organization of Migration (IOM): Displacement Tracking Matrix (DTM), available at: <http://www.globaldtm.info/>

Internal Displacement Monitoring Centre (IDMC): [Global International Displacement Database](http://www.internal-displacement.org/database) (GIDD), available at: <http://www.internal-displacement.org/database>

WEBPAGES

Internal Displacement Monitoring Centre (IDMC) [Country Profiles](http://www.internal-displacement.org/countries/), available at: <http://www.internal-displacement.org/countries/>

Joint IDP Profiling Service (JIPS): JIPS [Essential Toolkit](https://jet.jips.org/about-the-jet/) (JET), available at: <https://jet.jips.org/about-the-jet/>

Joint IDP Profiling Service (JIPS), Profiling and Assessment Resource Kit (PARK), available at: <http://www.parkdatabase.org/>

United Nations Statistical Commission: [International Expert Group on Refugee and IDP Statistics](http://ec.europa.eu/eurostat/web/expert-group-on-refugee-statistics/home) (EGRIS), available at: <http://ec.europa.eu/eurostat/web/expert-group-on-refugee-statistics/home>

READINGS

Assessment Capacities Project (ACAPS) (2012): Rapid estimation of affected population figures: Desk Review, available at: https://www.acaps.org/sites/acaps/files/resources/files/rapid_estimation_of_affected_population_figures_may_2012.pdf

Assessment Capacities Project (ACAPS) (2012): Technical Brief: Estimation of affected population figures, available at: https://www.acaps.org/sites/acaps/files/resources/files/estimation_of_affected_population_figures_october_2012.pdf

Inter-Agency Standing Committee Framework on Durable Solutions for Internally Displaced Persons (2010): available at: https://www.brookings.edu/wp-content/uploads/2016/06/04_durable_solutions.pdf

Inter-Agency Standing Committee Information Management Working Group (2016): Humanitarian Profile Support Guidance – Humanitarian Population Figures, available at: <https://www.humanitarianresponse.info/en/programme-cycle/space/document/humanitarian-profile-support-guidance>

Internal Displacement Monitoring Centre (IDMC) and Office for the Coordination of Humanitarian Affairs (OCHA) (2008): “Guidance on profiling internally displaced persons”, available at: http://www.iips.org/system/cms/attachments/455/original_IDP_Profiling_Guidance_2008.pdf

Joint IDP Profiling Service (JIPS) (2016): [Forced Displacement: Go Figure! Shaking the box of profiling IDP situations](http://www.iips.org/system/cms/attachments/1174/original_2016-08_Forced_Displacement_WEB.pdf), available at: http://www.iips.org/system/cms/attachments/1174/original_2016-08_Forced_Displacement_WEB.pdf

Office for the Coordination of Humanitarian Affairs (OCHA) (2016): [The Humanitarian Programme Cycle version 2.0](https://interagencystandingcommittee.org/system/files/hpc_reference_module_2015_final_.pdf), available at: https://interagencystandingcommittee.org/system/files/hpc_reference_module_2015_final_.pdf

United Nations High Commissioner for Refugees (UNHCR) (2003): [Handbook for Registration](http://www.refworld.org/pdfid/3f967dc14.pdf), available at: <http://www.refworld.org/pdfid/3f967dc14.pdf>

United Nations High Commissioner for Refugees (UNHCR): [IM Toolkit, Chapter on Rapid Population Estimation Methods](http://data.unhcr.org/imtoolkit/chapters/view/rapid-population-estimation-methods/lang:eng), available at: <http://data.unhcr.org/imtoolkit/chapters/view/rapid-population-estimation-methods/lang:eng>

United Nations High Commissioner for Refugees (UNHCR): [IM Toolkit, Chapter on Population Statistics](http://data.unhcr.org/imtoolkit/chapters/view/population-statistics/lang:eng), available at: <http://data.unhcr.org/imtoolkit/chapters/view/population-statistics/lang:eng>

United Nations High Commissioner for Refugees (UNHCR) [IM Toolkit, Chapter on Registration in Emergencies](http://data.unhcr.org/imtoolkit/chapters/view/registration-in-emergencies/lang:eng), available at: <http://data.unhcr.org/imtoolkit/chapters/view/registration-in-emergencies/lang:eng>

United Nations High Commissioner for Refugees (UNHCR) (2017): Needs Assessment Handbook, Section “Population Data Management and Needs Assessments”, p. 34-40, available at: <http://needsassessment.unhcr.org/>

United Nations Statistical Commission (2017): [International Expert Group on Refugee and IDP Statistics](http://ec.europa.eu/eurostat/documents/7723677/8307029/International-Recommendations-on-Refugee-Statistics.pdf/4c2fdd5c-abd1-4960-a89b-09f06fec9d64) (EGRIS) (draft), available at: <http://ec.europa.eu/eurostat/documents/7723677/8307029/International-Recommendations-on-Refugee-Statistics.pdf/4c2fdd5c-abd1-4960-a89b-09f06fec9d64>

Facilitator note 2) UNHCR Emergency Registration Form

If the technical infrastructure is in place, registration in country of arrival will be done electronically on the UNHCR ProGres database. This may however not always be possible in emergency settings. This alternative form is listed as a tool by UNHCR for alternative use for individual registration and to collect a minimum data set of all individuals in a household in an emergency setting.

A principal objective of registration in emergencies, is to identify and assist persons with specific needs who require targeted interventions. It is among others used to establish basic distribution lists, identify and record persons with specific needs, and issue documentation or ration cards at the household level in order to facilitate the delivery of life-saving aid and services.

Emergency registration also establishes the population baseline for the delivery of protection, assistance, programming and planning. The fundamental objectives for UNHCR during emergency registration are to:

- Establish a reliable population baseline for planning purposes;

- Effectively deliver protection and assistance;
- Identify the most vulnerable persons in need of specific protection.

(Source: United Nations High Commissioner for Refugees: Registration Checklist in Refugee Emergencies, available at: https://docs.google.com/document/d/1heyKM9v7TJDV_MmOh2gcbuC-V9MDV-68iHX63L1F1LY/edit)

Facilitator note 3) How to generate population data?

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

(Source: PIM Working Group Meeting #1, [Outcome Document](http://pim.guide/wp-content/uploads/2016/10/Protection-Information-Management-Working-Meeting-Outcome-Documents-May-2015.pdf), May 2015, available at: <http://pim.guide/wp-content/uploads/2016/10/Protection-Information-Management-Working-Meeting-Outcome-Documents-May-2015.pdf>).

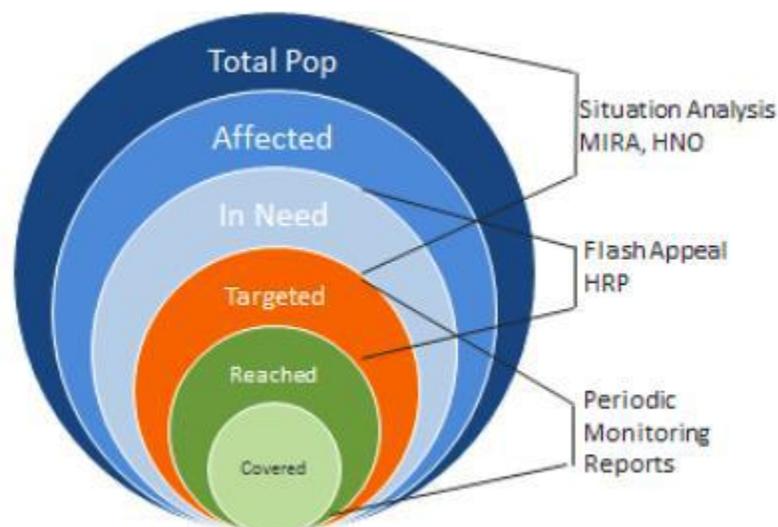
A review of available methodologies to generate population figures and of their relative accuracy has been performed by ACAPS in 2012. Approaches to be considered for triangulation can be based on:

1. Counting (registration, head count, habitation count, beneficiaries list, etc.)
2. Site Estimation (Key informant, Drive through/walk through, Flow monitoring, etc.)
3. Sampling (cluster sample, Quadrat, Transect walk, T-square, etc.)
4. Remote observation (Aerial survey, satellite imagery, mobile phone network data, etc.)

(Source: ACAPS (2012): Technical Brief: Estimation of affected population figures, available at: https://www.acaps.org/sites/acaps/files/resources/files/estimation_of_affected_population_figures_october_2012.pdf)

Facilitator note 4) Humanitarian population figures categories

The figure below shows the relationship between sets of the total population of a given territory in an emergency response: ‘Total’, ‘Affected’, ‘In Need’, ‘Targeted’, ‘Reached’ and ‘Covered’. Each of these sub-sets can be further broken down as required.



Humanitarian Population Figures” is the term used in this document to describe all figures used at different phases of a humanitarian crisis to describe the size/magnitude of a population from those affected and those in need, right through to population numbers used for planning and in monitoring the numbers reached by the response. Humanitarian Population Figures answer the questions “how many” and “how much” in the phases of needs identification, planning and monitoring.

The terminology of the figure is defined as follows:

1. Total Population includes all people living within the administrative boundaries of a nation state. Note there can be a crisis-specific strategic decision to calculate the total population looking only at a sub-national level, i.e. total population living in Nigeria's northern states affected by conflict.

2. People Affected includes all those whose lives have been impacted as a direct result of the crisis. This figure is often the first available after a sudden onset emergency and often defines the scope or boundary of a needs assessment. It does not, however, necessarily equate to the number of people in need of humanitarian aid; it should not be confused or used interchangeably with the category People in Need. Characteristics of the category People Affected must include:

- Being in close geographical proximity to a crisis;
- Physically or emotionally impacted, including exposed to a human rights violation/protection incident;
- Experiencing personal loss or loss of capital and assets as a direct result of the crisis (family member, house/roof, livestock or any other asset);
- Being faced with an immediate threat from a crisis.

3. People in Need are a sub-set of the Population Affected and are defined as those members:

- Whose physical security, basic rights, dignity, living conditions or livelihoods are threatened or have been disrupted, AND
- Whose current level of access to basic services, goods and social protection is inadequate to re-establish normal living conditions with their accustomed means in a timely manner without additional assistance.

This category is further broken down into sub-categories or by sector/cluster to provide additional detail about the intensity, severity or type of need (e.g., need of urgent life-saving assistance, food insecure population, people in need of shelter). The definition of People in Need will need to be monitored and adjusted over time.

4. People Targeted is a sub-set of People in Need and represents the number of people humanitarian actors aim or plan to assist. This projected number is typically smaller than the number of People in Need, given: (a) it is rare that international humanitarian actors can meet all needs; (b) needs are also being addressed by actors not participating in the joint plan, including national Governments; and (c) people in need are not always accessible. The number of people targeted is usually defined once there is some idea of available resources and access constraints.

5. People Reached includes those who have received some form of assistance. Without any additional information, this figure says little about how long and how well this assistance covers the needs of the affected population. Very often the term “people reached with assistance” is used interchangeably with “people’s needs covered by assistance”. A more meaningful picture is provided through the estimate of people covered as it clarifies the type and duration of assistance received. (e.g., 1,000 people received enough water to cover their needs of 15 litres per person, per day for the months of January, February and March. This will vary as per the agreed in-country target).

(Source: Inter-Agency Standing Committee Information Management Working Group (2016): Humanitarian Profile Support Guidance – Humanitarian Population Figures, available at:

file:///C:/Users/reoc/Desktop/HumanitarianProfileSupportGuidance_Final_May2016.pdf)

Facilitator note 5) Population Data: Challenges and Solutions

Possible answers in the group activity (list not exhaustive, but to serve as guidance only)

- Challenges:

- In many disaster-prone countries population data is not available, or outdated and inaccurate.
- Geographic information systems and population databases may not be available or known by the teams sent for the assessment.
- Crises often involve secondary and ongoing population movements, that can be temporary, permanent or back and-forth, so pre-existing demographic data will not represent the current situation.
- Crises seldom occur within an entire administrative boundary, so area-based population figures may provide an incomplete picture.
- Crises sometimes affect “hard-to-reach populations” such as nomads or pastoralists, for which reliable or current population data is sometimes difficult to access.
- The disaster-affected regions may be inaccessible due to insecurity (e.g., due to violent conflict or the risk thereof), physical barriers (e.g., swamps, mountains, impassable roads), or deliberate obstructionism (e.g., through bureaucratic requirements, refusal of flight safety assurances, or physically blocking access with military equipment or personnel) The reported population figures (size, locations, and characteristics) may be inaccurate because of political influence or considerations (e.g., a government does not want to acknowledge that persons have been displaced by a conflict they have yet to acknowledge is happening).
- Low or difficult coordination with actors involved in population data activities (both government and non-government) to reach a consensus.
- Challenges around the safe collection, management, storage, dissemination, and use of population data (as per Do no Harm and other PIM and humanitarian principles).
- Identifying the right method to obtain the required data, for each context and type of humanitarian crisis: Each type of crisis affects the impacted area and the population living in that area differently. An earthquake or flood may cause significant destruction and many deaths, but may not result in large or long-term population movements. In contrast, complex emergencies and slow-onset disasters such as food security crises or drought generally produce large and long-term population displacement. Choosing a suitable method also depends on the time and resources available, the availability of pre-disaster information, and the accessibility to the affected area.
- Lack of standardized definitions of population groups, which often vary depending on the organization/actor, and may be disputed: This is especially challenging for IDP situations IDP and/or refugee returnees, since it is not obvious when displacement ends. Often this issue is either solved by not including people who for example have returned to their place of origin, even if it is obvious that they may still have displacement-related needs, or at the other extreme, by cumulating the numbers forever. Both result in population data that is difficult to use as a reliable basis for joint/coordinated response, and may be problematic from a protection-perspective.

- Solutions:

- Collect (identify, prioritize and compile), collate (reconcile and order), store and maintain demographic data in advance (during the preparedness phase)
- Build consensus on methodology and terminology at the earliest stage of the crisis
- Work continuously to build trust between the actors involved in population data: As an example, when engaging in a profiling exercise, Joint IDP Profiling Service (JIPS) invests a lot of time in building trust within the partners, both through bilateral and multilateral meetings.
- Conducting rapid population estimations requires time and resources that are often scarce immediately following a disaster. Preparedness measures should ensure that expertise in several population estimations methods is available and dedicated to this task, and that arrangements for

other resources (e.g. maps, satellite imagery, human resources for data collection and analysis) are in place.

- Chose the method best suited to the context, and time and resources available.

- Role of IM and Protection

(With everyone adhering to PIM Principles and ensuring the participation of affected populations as required/appropriate)

- IM:

- Maintain CODs, FODs, GIS, and baseline (pre-crisis) population data.
- Establish and coordinate a Population Data working group, under the Information Management Working Group (IMWG), as required.
- Lead the development of methodology and standard terminology for population data systems.
- Ensure the establishment of a population tracking tool (for flows), and a site or area-based monitoring system (for stocks), as appropriate.
- Support the consolidation of population figures, and agreement on the same.
- Disseminate population figures as appropriate on relevant platforms.

- Protection

- Provide information about protection issues, risks, threats, and vulnerabilities that should inform the design, implementation and monitoring of population data activities, notably at the collection phase (i.e., ensure that population data activities are done in a protection-sensitive way).
- Lead protection risk assessments and identify and implement mitigation and remedial measures as needed.
- Ensure the effective and responsible use of population figures for decision-making (e.g., for budgeting, prioritization, planning, advocacy, responses, etc.).
- Communicate with IM staff if/when the need for updated population figures arise.

Sources:

Assessment Capacities Project (ACAPS) (2012): Technical Brief: Estimation of affected population figures, available at: https://www.acaps.org/sites/acaps/files/resources/files/estimation_of_affected_population_figures_october_2012.pdf

Joint IDP Profiling Service (JIPS) (2016): Informing responses to support durable solutions, available at: <http://www.jips.org/en/profiling/durable-solutions/measuring-progress-towards-solutions>

Facilitator note 6) Population Data linkages

The below list is not exhaustive, but meant to serve as inspiration and guidance for the facilitator.

What are the limitations to population data?

- Population data does not explain:
 - The priority needs of an affected population
 - The 'how' or 'why' questions about a humanitarian need
 - The priority humanitarian interventions needed (i.e., what response is required)
 - An in-depth understanding of a specific issue
 - A comprehensive analysis of the humanitarian situation

How can population data feed off and into other categories?

- Population figures are used by most other PIM categories. It is unlikely that any humanitarian action in any sector can be taken without population figures.
- Population figures are a basis for needs assessments design, implementation and analysis: For example, when planning needs assessments, population figures – disaggregated by age, sex, and other demographic data, as well as location data – help to identify targeted population groups and to determine the appropriate geographical coverage of a needs assessment exercise. [It would be very difficult to plan a PNA without knowing who is affected and where]
- Population data activities can lead to the identification of individual or group cases that require referrals and Case management
- Population data activities can provide information that indicate that a Protection Monitoring system is required (e.g., if a large number of UASC is identified in an area).
- Needs assessment may include population data management activities, in particular geographic areas or for specific groups of displaced persons.
- Population data is also regularly required by the needs assessment process to evaluate the scale and severity of humanitarian crises and to prioritize what populations need.

Source: 'United Nations High Commissioner for Refugees (UNHCR (2017): Needs Assessment Handbook, Section "Population Data Management and Needs Assessments", available at: <http://needsassessment.unhcr.org/>)

Links to the Humanitarian Programme Cycle

Population data management and needs assessment systems are crucial to generate information that support decision-making and to help structure evidence-based operation plans. Population data is often the denominator and baseline for humanitarian indicators that serve as a basis for comparison and analysis over time.

Population data systems are crucial in all phases of the Humanitarian Programme Cycle.

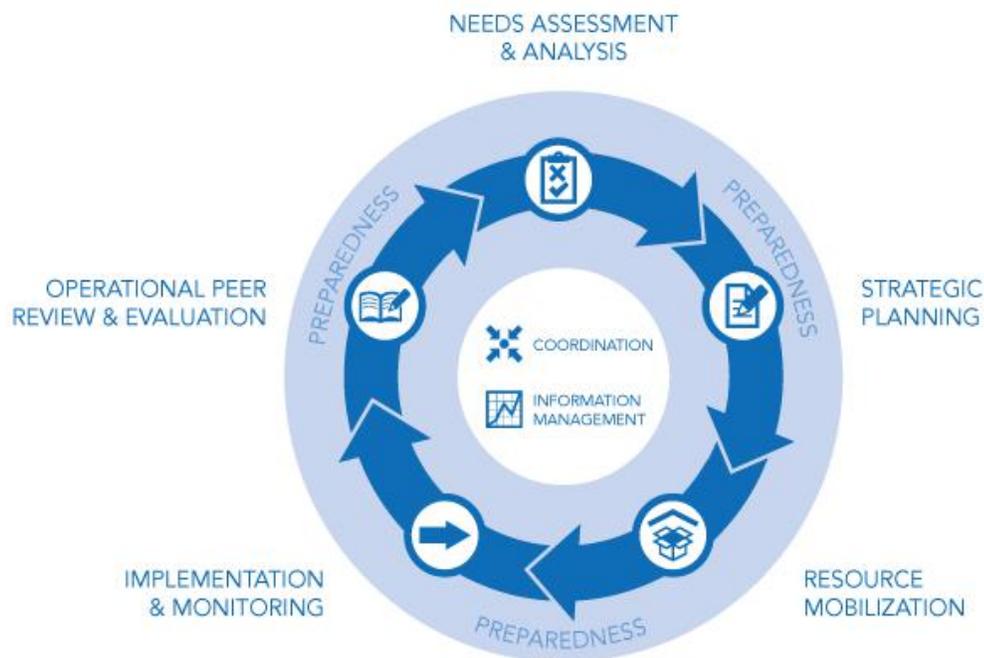


Figure:
The Humanitarian Programme Cycle

(Source: United Nations Office for the Coordination of Humanitarian Affairs (OCHA), available at: www.humanitarianresponse.info/en/programme-cycle/space
www.humanitarianresponse.info/en/system/files/documents/files/hpc_reference_module_2015_final_.pdf)

ANNEXES TO MODULE 3.4

Annex 3.4.a) Emergency Registration Form

Part of module: 3.4 Population Data

Instructions for production and use: Print this form on A4 in a quantity based on number of participants (print one for every 3 participants, as participants are expected to circulate the prints and jointly review them).

Downloadable from: https://docs.google.com/spreadsheets/d/1SYdcQ4OPwG1f0pgiHMtG-DuwzVLyaAZLi1G40oH_dro/edit?usp=sharing

Annex 3.4.b) Module learning sheet: Population Data

Part of module: 3.4 Population Data

Instructions for production and use: The module learning sheet should serve as a learning reference point for participants throughout and after the module. It contains a structured space for note taking on key concepts introduced, contains reference tools, definitions, and a list of recommended resources for further learning.

Downloadable from:

<https://docs.google.com/document/d/1xIKmx6BvjSwzr64JHsknQjMRaMiQbIE1dfv2W2EeP8k/edit?usp=sharing>

Annex 3.4.c) PIM matrix overview

Part of module: 3.4 Population Data

Instructions for production and use: Print the PIM Quick Reference Flyer in A3, and fold in half to create the flyer (it becomes an A4). One for each participant. To be used a point of reference in participants' discussion of interlinkages between PIM matrix categories.

Downloadable from: http://pim.guide/wp-content/uploads/2018/04/Quick-Reference-Flyer_Principles_Matrix_Process_2018-1.pdf

Annex 3.4.d) Population Data sign

Part of module: 3.4 Population Data

Instructions for production and use: Print the "population data" sign in A4 and use for hanging on the humanitarian program cycle wall and connecting to the steps of the Humanitarian Programme Cycle where this category occurs.

Print out available:

<https://docs.google.com/document/d/1kSkvG13fSxplZOjFzg2FtDgHOblR7kaX6OC433EbAl/edit?usp=sharing>

Annex 3.4.e) Feedback form: 3.4 Population Data

Part of module: 3.4 Population Data

Instructions for production and use: The standardized and anonymous feedback form should be handed to participants after completion of the training module (one for each) for immediate completion and return to the facilitator, in order to be used by the facilitator to evaluate the extent to which the module learning objectives have been met through realization of the module learning outcomes. The form will take 3-5 minutes to complete.

Print out available: https://docs.google.com/document/d/1gRZ6Nn3SI_M9BW-SlxgH93HsshCYP90CebDaLRt4xHQ/edit?usp=sharing

Annex 3.4.f) Power point presentation

Part of module: 3.4 Population Data

Instructions for production and use: This power point presentation may serve as visual reference during delivery of this module. Please note that facilitators are discouraged from rely sole on the power point presentation as visual reference during module delivery, as this is not compatible with the participatory design of the PIM training modules.

Available at:

https://www.dropbox.com/s/oodpy07ngb02l4s/PPT_Package%203_Module%203.4_Population%20Data.pptx?dl=0

MODULE 3.5 - Case Management

Core competency –

Skills: Makes informed decisions on which systems are needed based on a comprehensive analysis of information requirements (and over time).

Module objectives	Module learning outcomes
<p><u>The session will:</u></p> <ul style="list-style-type: none">Recall case management as a category (definition/purpose and outputs).Review examples of case management data and information and how it relates to other PIM categories.Explain how case management data and information can serve as evidence which can inform a protection response.	<p><u>After the session participants will be able to:</u></p> <ul style="list-style-type: none">Explain that case management is for “targeted interventions”.Infer how case management outputs relate to other PIM categories.Infer how case management data and information can serve as evidence which can inform a protection response.

Key messages:

1. Protection case management information systems support the provision of protection and/or targeted interventions to identified individuals or groups, from case identification to case closure;
2. The implementation of effective case management response activity is often associated with the utilization of an information management system;
3. Case management data and information outputs can inform a protection response both at the individual or group case level (collecting information about the situation and needs of an individual or group, including access to assistance or support) and programmatic levels (monitoring specific protection trends among persons being tracked within a case management system);
4. Case management data is often sensitive data. Typically, there are protocols for sharing this data. The data shared is often limited, anonymized, and aggregated -- and only shared with informed consent.

Duration: 1 hour (60 minutes)

Reference: PPT: 3.5 Case Management, Module learning sheet: Description of “Case Management” as PIM matrix category + list of recommended resources.

Facilitator preparation:

- Familiarization with recommended resources (Facilitator note 1) and content of Module learning sheet.
- Review participants’ answers to pre-training survey questions in relation to case management, in order to know what experience is in the room and who can be called upon during discussions.
- Review PIM Principles for ease of recall and illustration, since many are directly and essentially relevant to this Category.

Room set-up:

- Space for moving activity with 5-meter-long straight line of masking tape on the floor (for “What is case management” activity) and writing at either side of the line (in masking tape or on paper (“TRUE” and “FALSE” respectively)).
- A0 sized Humanitarian Programme Cycle illustration on wall.

Prints and handouts:

- A4 print out “Case Management” sign for Humanitarian Programme Cycle illustration on wall (Annex 3.5, a).
- A3 PIM matrix overview sheet handouts (PIM Quick Reference Flyer). One for each participant (Annex 3.5.b).
- Module learning sheet (Annex 3.5.c). Print out one for each participant.
- Module feedback form (Annex 3.5.d). Print out one for each participant.

Time	Activity	Resources
5 min	Introduction. Plenary (discussion) @tables	
	<p>Explain learning objectives, and distribute the Module learning sheet.</p> <p>Ask participants working for an organization which has a protection case management system in place to stand up, and ask those standing, what type of protection case management their organization does (without disclosing any details of cases. Individuals should only be talking about the PROCESS of implementing case management). Depending on examples shared by participants, proceed to name and explain some case management systems commonly used in the humanitarian sector (Facilitator note 2, under “Specific examples”).</p> <p>Recall or outline the “Case management” category definition of the PIM matrix (See Facilitator note 2 and 3), and elaborate on the following elements:</p> <ul style="list-style-type: none"> ● <i>“Provision of protection and/or targeted interventions”</i>: The overarching objective of case management is to enable targeted follow-up to affected individuals or groups. ● <i>“...management of data (...) related to a specific case”</i>: <ul style="list-style-type: none"> - The specific data obtained will typically depend on the need identified and the profile of the case managing organization. - While case management is essentially an activity that leads to the delivery protection interventions, it also generates information which can be of relevance and use to other activities and actors (beyond the targeted interventions). ● <i>It is focused on persons/groups affected/survivors, and on providing a service/response to their individual needs;</i> ● <i>“...from case identification to case closure”</i>: The protection case management cycle is linked to a specific need for support, access to services or provision of protection in both immediate and longer term. ● <i>Incident monitoring should include referral pathways if a need is identified, in order to ensure that it can be followed up with case management.</i> 	<p>PPT,p.1-3</p> <p>Visual reference point containing case management definition</p>
30 min	What is case management? Activity (all) @Open space with “Case management line”	
	<p>Invite participants to come to the masking tape line and instruct them that they are going to play a “True – False” game: that you will be reading a statement aloud and that they should physically move the side of the line on the floor which represents “TRUE” or “FALSE” in accordance with what they believe the statement to be. Depending on how the debriefing on the statements plays out, the facilitator may choose to limit the number of statements to two, in order to stick to the time allocated.</p> <p>Read the statements one by one, and allow participants time to choose side and move accordingly and inquire with a few of the moved participants about their decision. For facilitation of debriefing on each statement, the facilitator should be aware that there are not <u>absolute</u> answers to the statements – the purpose of the exercise is for participants to choose a position, based on which the facilitator can facilitate dialogue on the differences in chosen positions, and set out to elaborate on the nuances which should shape our decision-making – for example on statement 1 – the statement does not contain info about whether the use of case management data could be in aggregated and anonymized form – if that were the case, then the answer should be</p>	<p>PPT,4-6</p> <p>True/False masking tape line</p>

	<p>'yes' the data from case management can be used. Participants should be the ones to point out this nuance based on facilitator-led debriefing on the exercise.</p> <p>Statement #1: "Data from protection case management is inherently sensitive, so it should not be used beyond the purpose of managing the concerned (targeted) case"</p> <p><i>i. Mostly false – while raw data from protection case management is always sensitive, protection case management data can be aggregated and anonymized as to provide information about trends that can be used by other actors and for other activities. If shared safely for a defined purpose and with due consideration for data protection and informed consent, aggregated protection case management data can be used to inform other PIM matrix categories and a wider protection response.</i></p> <p>Statement #2: "For any data collection activity involving direct contact with the affected population, we are also responsible for case management referrals".</p> <p><i>True – data collection across any of the PIM matrix categories, should be undertaken responsibly with a referral structure in place which can enable the data collectors to refer onward, should a suspected protection need be identified.</i></p> <p><i>This does not mean that data collectors should view themselves as case workers, or collect more information than that which they are tasked with (case management should only be performed by designated and trained case workers), but they should be aware of the referral system in place in order to be able to communicate accordingly.</i></p> <p>Statement #3: "Because it is response specific, the data and information output of the Case Management category of the PIM Matrix can only inform a few of the other PIM matrix categories".</p> <p><i>False: As long as the raw data is anonymized and aggregated, and shared purposefully, responsibly and safely and with informed consent, the data and information output of the Case Management category can inform all of the other PIM Matrix categories. (Do not elaborate further on these links specifically, but explain that these linkages will be explored in the next activity).</i></p>	
15 min	<p>Case management data and information for evidence-informed action Plenary (discussion) @tables</p>	
	<p>Inform participants that we will now proceed to look at how case management data and information can serve as evidence which can inform a protection response.</p> <p>Recall the PIM matrix formulation of the "information and data output" of case management.</p> <p>Ask participants to turn to the person sitting next to them and spend the next 5 minutes discussing with their neighbour how the case management output inter-links with other PIM matrix categories – and to list those which they think there are linkages to. Remind participants that they can use the PIM Quick Reference Flyer to support their reflection.</p> <p>After 5 minutes, call out for different examples from the pairs. Ask the pairs to not only list the linkages but to elaborate on them. Ensure that the correct connections</p>	<p>PIM matrix overview sheet handouts</p>

	<p>are made, and that a diversity of examples are given in both directions (i.e., to and from case management to other categories) (see Facilitator Note 4).</p> <p>Based on the examples shared, conclude that although it is important to distinguish them (using the PIM Matrix), most of the PIM categories are often interrelated (i.e., generate information that can be used by other categories).</p> <p>Point out that as for all protection information management, working with case management data and information requires specific considerations due to:</p> <p><u>Sensitivities</u></p> <ul style="list-style-type: none"> • <i>Data related to protection case management is inherently sensitive and must be managed in a safe, responsible, and purposeful way.</i> • <i>Recall the PIM Principle “Data Protection and security” which calls for appropriate data protection and security measures to be implemented throughout all steps of the PIM Process. Point out that the document “PIM Principles in Action” summarizes a list of recommended ways in which this can be ensured.</i> • <i>Recall that the PIM Principle of “Informed Consent and Confidentiality”, and “Do no harm” are also especially relevant here.</i> <p><u>What CM data represents</u></p> <ul style="list-style-type: none"> • <i>Data and information related to case management is ‘service-based data’ in that it is collected at the point of and in connection with the provision of services and interventions. As such, this data must be understood to be reflect what an organization is doing, and not what the prevailing general conditions are.</i> • <i>If the information need is to understand trends or prevailing general conditions, case management data must be used along with (many) other data sources.</i> 	
5 min	Closure. Plenary @tables	
	<p>Ask participants if based on this module anyone has a suggestion for where “Case Management” occurs in the Humanitarian Programme Cycle (HPC). Put the sign up beneath the HPC to illustrate the point that case management is not tied to a specific step in the HPC, but rather can happen whenever the need to provide targeted interventions arises.</p> <p>Summarize discussion points, recap module objectives and learning outcomes and answer any outstanding questions.</p> <p>Project the “Moment of Zen” (play up until 6.40) (“Key Intersection of IM and GBV Case Management” by GBVIMS): https://www.youtube.com/watch?v=KQXKa_RZnwg (message: consent is key for safe and ethical information management related to GBV cases).</p> <p>Distribute module feedback form (one per participant) and collect the filled in version from participants before module closure.</p>	<p>PPT,p.8-10</p> <p>“Case management” sign</p> <p>HPC wall</p> <p>Projector, speakers and internet</p> <p>Module feedback form (Annex 3.5.d)</p>

Facilitator note 1) Recommended reading

Software/Databases/IM systems

Gender-Based Violence Information Management System: <http://www.gbvims.com/>

Child Protection Information Management System: <http://www.cpims.org/>

Legal case management software: <https://www.capterra.com/legal-case-management-software/>

Protection case management platform (open source): [PRIMERO](https://www.primero.org/), <https://www.primero.org/>

Resources

[Child Protection Working Group: Inter-Agency Guidelines on child protection and case management \(2014\), available at: http://www.cpcnetwork.org/wp-content/uploads/2014/08/CM_guidelines_ENG_.pdf](http://www.cpcnetwork.org/wp-content/uploads/2014/08/CM_guidelines_ENG_.pdf)

[Inter-Agency Standing Committee \(IASC\) \(2017\) GBV case management guidelines, available at: http://gbvresponders.org/wp-content/uploads/2017/04/Interagency-GBV-Case-Management-Guidelines_Final_2017.pdf](http://gbvresponders.org/wp-content/uploads/2017/04/Interagency-GBV-Case-Management-Guidelines_Final_2017.pdf)

[Office for the Coordination of Humanitarian Affairs \(OCHA\) \(2016\): The Humanitarian Programme Cycle version 2.0, available at: https://interagencystandingcommittee.org/system/files/hpc_reference_module_2015_final_.pdf](https://interagencystandingcommittee.org/system/files/hpc_reference_module_2015_final_.pdf)

[PIM Working Group \(2017\): PIM Principles in Action, available at: http://pim.guide/guidance-and-products/product/pim-principles-action/](http://pim.guide/guidance-and-products/product/pim-principles-action/)

United Nations High Commissioner for Refugees (UNHCR):(2003): Handbook for Registration, available at: <http://www.refworld.org/docid/3f967dc14.html>

Facilitator note 2) PIM matrix “Case Management” components

The below listed outlines the components of the ‘case management’ category of the PIM matrix. Please note that the content under ‘Definition’ and ‘Output’ is fixed (based on PIM Working Meeting consensus), whereas the content of other components is not exhaustive and may be subject to change over time.

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

Output (data and information):

The output of case management systems is: Information on protection needs, risks and incidents at the individual level protection response, and the corresponding actions needed and taken by whom, and when, subject to the principles of confidentiality and consent.

Data needed to inform decision-making:

- Information on case management activities, disaggregated by age and sex, as related to purpose and per informed consent (anonymous v. personally identifiable data)
- Trends for those within the case mgmt. system
- Statistics about populations (vulnerabilities, age, gender, locations, risks)
- life-saving assistance or immediate support

Common units of analysis: Individual, case, risk / need, response / action, partner / actor, time.

Sub-category examples:

- Incident management
- Assistance and service management
- Registration and status determination case management
- Provision of solutions (return, integration, resettlement)
- Tracing and family reunification

- Support for vulnerable individuals (children, women, persons with physical or mental disabilities, survivors of torture and gender-based violence)
- Fraud management systems
- Human rights case management (includes urgent action requests)
- Legal case management (includes HLP)

Methods:

- Observation
- Individual / household interview
- Incident / case report
- Focus group discussion
- Referral

Specific examples:

- Human Rights Case Database, HRDB (confidential) (OHCHR)
- Comc (IRC)
- Inter-Agency Child Protection Database (UNICEF)
- Primero (UNICEF)
- CPIMS+ (UNICEF)
- GBVIMS (UNICEF/IRC/ UNHCR)
- Tracing Database (ICRC)
- ProGres and RAIS (UNHCR)
- Prot6 (ICRC)

Shared data:

- Population figures disaggregated by age and gender, related to case management and its purpose, as well as substantive information on collected data to identify protection trends and human rights violations.
- Statistics on vulnerabilities.
- Bio data, in specific cases where case management sharing protocols have been established, (depending on the use of the data and existing SOPs) (anonymous v. personalized data).

Sources:

- Case management partners (including implementing partners)
- Affected populations and host communities
- Sectoral partners

Facilitator note 3) Understanding protection case management as a PIM category

Protection case management systems can differ in what constitutes a ‘case’. Some systems treat individuals or groups of individuals as cases, while others treat identified human rights violations in this way. In both types of system, even though the definition of case is different, the overarching objective is to enable targeted follow-up to those affected individuals or groups. The former can be a reliable source of disaggregated population data when coverage is (close to) exhaustive of the population concerned. The latter is distinguished from protection monitoring or protection incident monitoring systems based on the nature and treatment of a ‘case’ – which is seen through to closure – compared to an ‘incident’, which is merely monitored or referred to a relevant actor for response. Protection case management information systems may be inter-agency processes; this should be pursued where possible, due to the likelihood of reducing the risk of doing harm during the implementation process. Collaborative systems may also help alleviate the burden of these resource-intensive initiatives, which need to be sustained over a long period to be effective. Compared to other PIM systems, however, inter-agency collaboration is particularly challenging due to issues surrounding confidentiality of data and consent, variations between units of measurement, taxonomy, and validation processes. Nonetheless, ongoing attempts to increase inter-agency collaboration around protection case management systems should be further supported.

(Source: PIM Working Group Meeting #1 (May 2015): Meeting Outcome document, available at: <http://pim.guide/wp-content/uploads/2016/10/Protection-Information-Management-Working-Meeting-Outcome-Document-May-2015.pdf>)

Facilitator note 4) Linkages between Case Management and other PIM Categories

Bearing in mind the need to anonymize and aggregate raw case management data (unless the data is shared with actors who are involved in the targeted interventions and in accordance with relevant information-sharing protocols), the Case Management category may be linked to the other categories as follows:

- To Population Data: But only as one of many sources for population data. Only a fraction of the affected population would be a “case” in a Case Management system, so the population figures that result from totalling the number of persons in the system would be a very small sub-set of the total humanitarian profile.
- To Protection Monitoring: When aggregated, case management data can generate information about protection trends, vulnerabilities, incidents, and patterns of human rights violations. This information can be used as one source for Protection Monitoring systems, or indicate that a Protection Monitoring system is required. Conversely, Protection Monitoring activities may lead to the identification of individuals or groups that require targeted interventions, and will be referred to case management actors.
- To Protection Needs Assessments: When aggregated, case management data can generate information about patterns and trends in needs and risks. This information can be used as one source for Protection Needs Assessment systems. Conversely, Protection Needs Assessments activities may lead to the identification of individuals or groups that require targeted interventions, and will be referred to case management actors.
- To Protection Response Monitoring & Evaluation: When aggregated, case management data can generate information that may be indicative as to whether or not protection activities are having the expected output and impact. For example, if protection programming is largely targeted towards preventing GBV incidents but the number of GBV-related cases increase, this can indicate that the programming is not delivering on its intended outcome and impact.
- To Communication with(in) Communities: Information about the communication channels within a community, can inform protection actions in terms of how to best disseminate information about available targeted services (such as a case management) to the target group. Furthermore, information about coping mechanism and social support structures within a community, for example obtained through the ‘Communication with(in) Communities’ category should inform the humanitarian response, ensuring complementarity with and positive enhancement of community capacities.
- To Security and Situational Awareness: When aggregated, case management data can generate information that can be useful to these systems. For example, incident data may show a pattern in the location, time, victim profile, and/or perpetrator profile of certain types of incidents. This can then inform conflict analysis, situational analysis, security risk assessments and community safety assessments.
- To Sectoral Systems: Many Sectoral systems include referral pathways when sectoral activities lead to the identification of survivors, vulnerable individuals or groups, or any other person/group requiring targeted interventions. Examples include referral pathways for health, nutrition, WASH, NFI/CRI assistance, and shelter activities.

ANNEXES TO MODULE 3.5

Annex 3.5.a) Case Management sign

Part of module: 3.5 Case Management

Instructions for production and use: Print the “Case Management” sign in A4 and use for hanging on the humanitarian program cycle wall and hang underneath it to indicate that it occurs throughout.

Downloadable from:

https://drive.google.com/file/d/1rOpStGTtVb1jVfWBy9PTHf_VOBNBA2N/view?usp=sharing

Annex 3.5.b) PIM matrix overview

Part of module: 3.5 Case Management

Instructions for production and use: Print the PIM Quick Reference Flyer in A3, and fold in half to create the flyer (it becomes an A4). One for each participant. To be used as a point of reference in participants’ discussion on the linkages between Case Management and other PIM matrix categories.

Downloadable from: http://pim.guide/wp-content/uploads/2018/04/Quick-Reference-Flyer_Principles_Matrix_Process_2018-1.pdf

Annex 3.5.c) Module learning sheet: Case Management

Part of module: 3.5 Case Management

Instructions for production and use: The module learning sheet should serve as a learning reference point for participants throughout and after the module. It contains a structured space for note taking on key concepts introduced, reference tools, definitions and a list of recommended resources for further learning.

Downloadable from:

<https://docs.google.com/document/d/1FnGxHBROVOWIV0hK7UVJaax5VJ7n5ScrRXOQNQ6dyTc/edit?usp=sharing>

Annex 3.5.d) Feedback form: 3.5 Case Management

Part of module: 3.5 Case Management

Instructions for production and use: The standardized and anonymous feedback form should be handed to participants after completion of the training module (one for each) for immediate completion and return to the facilitator, in order to be used by the facilitator to evaluate the extent to which the module learning objectives have been met through realization of the module learning outcomes. The form will take 3-5 minutes to complete.

Print out available:

<https://docs.google.com/document/d/15pJwJElcPXT1O6fhLXe73vjGZ3CndsefLa4uyHWksZ8/edit?usp=sharing>

Annex 3.5.e) Power point presentation

Part of module: 3.5 Case Management

Instructions for production and use: This power point presentation may serve as visual reference during delivery of this module. Please note that facilitators are discouraged from rely sole on the power point presentation as visual reference during module delivery, as this is not compatible with the participatory design of the PIM training modules.

Available at:

https://www.dropbox.com/s/49stqpud501ylbi/PPT_Package_3_Module%203.5_Case%20Management.pptx?dl=0

MODULE 3.6 – Protection Response Monitoring and Evaluation

Core competencies –

Skill: Makes informed decisions on which systems are needed based on a comprehensive analysis of information requirements (and over time);

Knowledge: Has knowledge and understanding of monitoring and evaluation techniques – including different types of indicators and how to apply them to PIM.

Module objectives	Module learning outcomes
<p><u>The session will:</u></p> <ul style="list-style-type: none"> Recall Protection Response Monitoring and Evaluation (“PRM&E”) as a category. Identify the data and information associated with PRM&E distinctly and how it relates to other categories. Highlight PRM&E to be a required aspect of protection programming. Outline where PRM&E occurs in the Humanitarian Program Cycle and relates to programme/project cycle management of protection partners in a coordinated response. 	<p><u>After the session participants will be able to:</u></p> <ul style="list-style-type: none"> Understand Protection Response Monitoring and Evaluation (“PRM&E”) as programmatic review of implementation of a response to measure delivery against expected outputs, outcomes, impact and intended and unintended results. Point to how PRM&E data and information can also inform other categories. Explain PRM&E as a required aspect of protection programming. Identify distinctions and inter-linkages of PRM&E implemented during “Implementation and Monitoring” and “Review and Evaluation” phases of Humanitarian Program Cycle and related project based M&E stages.

Key messages:

1. Protection Response Monitoring and Evaluation (“PRM&E”) systems produce qualitative and quantitative data and information related to a protection response’s planned versus actual outputs and outcomes, by assessing progress and impact, identifying intended and unintended results, and informing situational analysis, as well as to identifying challenges and best practices.
2. Response ‘monitoring’ and response ‘evaluation’ are complementary activities which differ in terms of scope and focus. Monitoring is a continuing function that uses systematic collection of data on specified indicators, primarily focused on inputs, outputs and outcomes. Evaluation is a systematic and objective assessment of protection response primarily concerned with outcomes and impacts. Combination of the two processes helps to use the monitoring data as evidence that supports evaluation, while evaluations help to summarize and interpret monitoring data and assess the response.
3. Common for the output of PRM&E is that it relates to indicators, which are concrete measures for progress and impact of actions planned and implemented in pursuit of particular objective. Different techniques can be applied to obtain PRM&E indicator data, and in line with the PIM Process, assessing the information landscape to determine whether/which relevant data and information sources already exist, and should be the first step before designing a M&E system.
4. PRM&E data and information output is linked to all other categories of the PIM Matrix – informed by other categories because PRM&E it is designed to measure the response to the protection situation (which other categories provided data and information on through the Humanitarian Needs Overview and Humanitarian Response Plan), and informs other categories because data and information about response demonstrates the extent to which the protection response is effective.
5. PRM&E during “Implementation and Monitoring” and “Review and Evaluation” steps of the Humanitarian Program Cycle should be undertaken in a coordinated manner through the clusters facilitated by OCHA under the overall leadership of the Humanitarian Coordinator and Humanitarian Country Team. At the intra-cluster level, on project or programme level, PRM&E is fully integrated in the programming/project cycle of the protection response delivered by cluster partners.

Duration: 60 minutes

Reference: PPT: 3.6 PRM+E, Module learning sheet: PRM&E definition and output, the Results Chain illustration, the pyramid illustration of M&E levels, indicator example from Humanitarian Indicator Registry, list of recommended resources.

Facilitator preparation:

- Read participants profiles (to detect prior experience related to PRM&E).
- Familiarization with recommended resources for this module (in order to be able to reference and guide on use accordingly).
- Print the materials listed below, and cut out the “Indicator types” paper slips.
- Required material: flip-chart paper, flip chart stand, marker.

Room set-up:

- Table set-up: Participants to sit around tables in groups of 4-5 or to be seated in a horseshoe shape. Cut out and place on each table, a handful of paper slips (indicators) to be used for the activity “PRM&E outputs”, as well as A3 prints of the PIM Quick Reference Flyer (1 for every two participants).
- 2 flipcharts with the respective titles of “Monitoring” and “Evaluation” (hung on wall or flipchart stands) for simultaneous viewing and note taking on participants comments.
- Visual representation of the “Results Chain” (drawn on flipchart or printed on A0) (See list of print outs below).
- Visual representation of the Humanitarian Programme Cycle (drawn on a flipchart or printed on A0) (See list of print outs below).
- Line of PIM Matrix category headings hung on wall in vertical line (written on flipchart or print from annex in list of print outs below).

Prints and handouts:

- Module learning sheet (Annex 3.6.a).
- Results chain (Annex 3.6.b).
- “Indicator type” paper slips (Annex 3.6.c)
- PIM Matrix (Annex 3.6.d)
- Feedback form (Annex 3.6.e)

Time	Activity	Resources
5 min	Introduction. Plenary (presentation) @tables	
	Proceed to explain that this session is about the “protection response monitoring and evaluation” (PRM&M) category of the PIM matrix. Introduce the module objectives and learning outcomes. Hand out the module learning sheets (one per participant). Ask how many of the participants (by raise of hands) have been directly or indirectly involved in PRM&E before (do not inquire about the details at this point – this should only be done later in the module).	PPT, p.1-3
10 min	PRM&E as PIM Matrix category. Plenary (discussion) @tables	
	Explain that to deliver protection, we are working to achieve desired outcomes (or impact) in terms of reduced risk of violations or abuse (in the short, medium and long term). PRM&E is about how we measure the changes brought about by our interventions, for example:	PPT, p.4-10

- *The extent of the protection response contributing to changes in specific risk factors, i.e. the threat, the vulnerability vis-à-vis a threat, capacities vis-à-vis the threat; and/or*
- *Milestones (to be) achieved in order to change these risk factors – for example, in the form of the expected changes in behaviour, attitude, policy, practices or decisions of the duty bearers or other relevant stakeholders;*
- *The extent to which the basis for our response in the form of protection analysis and casual logic (a sequence of actions required to achieve an intended protection outcome (based on analysis of context) is adequate (See Facilitator note 2).*

Explain that for the purpose of exploring the matrix category PRM&E – ‘protection response’ should be understood as it relates to programming under the Humanitarian Response Cycle (HPC) (under which, on project or programme level, PRM&E should be fully integrated in the programming/project cycle of the protection response delivered by cluster partners in coordination).

Ask how many of the participants are familiar with the HPC (by raise of hands). As necessary, briefly explain the HPC purpose and structure (Facilitator note 3), referencing the HPC illustration on the wall. Emphasize that this is important baseline knowledge for the further exploration of the PRM&E category, because the HPC frames the humanitarian community’s work:

- *A product of the HPC, a Humanitarian Response Plan outlines a response action is planned based on identified needs (Humanitarian Needs Overview);*
- *Humanitarian actors, when implementing projects, establish systems and procedures that measure and examine what is implemented and delivered, the results achieved, the quality and the significance;*
- *Such systems are referred to as “Monitoring and Evaluation systems” and they enable us to know what concretely has been delivered, and what the effect and resulting impact and significance has been;*
- *The purpose of PRM&E is both accountability and learning, and PRM&E data is key for reporting results, fundraising, coordination, advocacy and decision-making (learning/gathering evidence to inform a future response).*

Explain that like other categories of the PIM Matrix, PRM&E is a specific approach/system intended to generate specific information which can inform our action for quality protection outcomes.

Display and give participants 2 minutes to read in silence through the definition of PRM&E as a category of the PIM Matrix (Facilitator note 4) and available in module learning sheet.

After 2 minutes, **explain** that you will now proceed to jointly break down the definition (click on the PPT to gradually disclose the color coding of the definition as you break it down. Facilitator note 4 contains guidance):

- **Green** indicates the information purpose of the action (the ‘why’): PRM&E is about the outputs, outcomes, impact and result of a response.
- **Blue** indicates the action (the ‘how’): Review, Measure, Asking questions around casual linkages).
- **Yellow** indicates periodicity (the ‘when’): Continuous, periodic

HPC illustration

2 flipcharts with “Monitoring”

	<ul style="list-style-type: none"> - <i>Accounts for how the combination of resources, (inputs and activities), produce results, the delivery of goods, or services (outputs), which over time leads to short or medium-term effects (outcomes), and ultimately could affect a change in the humanitarian situation (impact);</i> - <i>Gives a visual overview of where M and E occurs respectively:</i> - <i>M occurs at the Inputs, Outputs and Outcomes of the Results Chain.</i> - <i>E occurs at the Outcomes and Impact links).</i> <p>Highlight with marker where in the results chain response monitoring and evaluation occur respectively.</p> <p>Conclude by asking if there are any questions about the PRM&E definition for now, and take note of any questions there may be – ensuring that all participants share a conceptual clarity of the PRM&E definition before the next step of the module.</p> <p>Point out that two of the PIM matrix categories relate to “monitoring”. Ask if one of the participants would like to explain the difference between “Protection Monitoring” (PM) and “Protection Response Monitoring and Evaluation” (“PRM&E”).</p> <p>Ensure that the conclusion is reached that: The categories are different because:</p> <ul style="list-style-type: none"> - <i>PM is about identifying violations of rights and protection risks for populations of concern for the purpose of informing effective responses.</i> - <i>PRM&E is about continuous and coordinated review of implementation of the <u>response</u> in terms of delivery of expected outputs and outcomes.</i> <p>Leave the flipcharts, and the notes made on them, visible as point of reference for the remainder of the module.</p>	
15 min	PRM&E outputs. Activity in plenary (discussion) @tables	
	<p>(if module is delivered in conjunction with PIM Matrix module, then recall the output of PRM&E from the PIM Matrix and otherwise introduce).</p> <p>Display and facilitate review of the information outputs of PRM&E (as per the PIM Matrix) (NB. The definition is also available in the Module learning sheet): <i>“Qualitative and quantitative data and information related to the actual outcomes and outputs of the protection response against the planned activities/expectations”</i></p> <p>Explain that when discussing data and information outputs under the PRM&E category, we must distinguish between use of the term “output” in relation to the information outputs associated with the PIM Matrix categories, and with the use of the term “output” as used for monitoring purposes to mean effects of an intervention’s outputs e.g. products, capital goods or services which result from an intervention. We will now be focusing on the former – what data and information outputs of the PRM&E category looks like.</p> <p>Ask participants “Who is responsible for producing PRM&E data? (Is it protection, IM, programme or MEAL/M&E?)”. Ensure that the conclusion is made that involvement and collaboration of all is required, as well as typically of other colleagues (such as Field).</p>	PPT, p.11-13

	<p>Ask if participants can share concrete examples of PRM&E data and information outputs (as per the PIM Matrix definition). Solicit a few examples (to serve as a basis for further joint exploration), based on examples shared, point to the “Results Chain” illustration (Facilitator note 5) to show to which chain link the example is tied. Conclude that common for the output of PRM&E is that it relates to indicators, which are concrete measures for progress and impact of actions planned and implemented in pursuit of particular objectives (as per the Humanitarian Response Plan).</p> <p>Recall the steps of the Results Chain, and that monitoring is tied to the first 3 steps, whereas evaluation is tied to the 4th and 5th steps.</p> <p>Instruct participants to look at the paper slips on their tables and to determine which steps of the Results Chain they link to (are they indicators for output, outcome or impact)?</p> <p>Give participants one minute to read the slips. Facilitate the participants’ sharing of their reflections on the categorization of the indicators in front of them, and help to answer point 1 and 2 for each example shared:</p> <p>1. “At which step of the Results Chain does this indicator belong?” Make sure that at least one indicator is discussed per step of the Results Chain (see Facilitator note 4):</p> <ul style="list-style-type: none"> • <i>Outputs: Output monitoring measures the delivery of goods and/or services to a targeted population, (e.g. % of persons registered) for example the products, capital goods and services which result from an intervention and may also include changes which are relevant to the achievement of outcomes (Source OECD DAC).</i> • <i>Outcomes: The likely or achieved short-term and medium-term effects of an intervention’s outputs. Outcomes can be intra-cluster, requiring multiple outputs from one cluster, (e.g.) or inter-cluster, requiring outputs from multiple clusters, (e.g. Decreased incidence rate of Cholera.)</i> • <i>Impact: The positive and negative, primary and secondary long-term effects produced by a development or humanitarian intervention, directly or indirectly, intended or unintended. OECD DAC defines an impact as “positive and negative, primary and secondary <u>long-term</u> effects produced by a development intervention, directly or indirectly, intended or unintended”.</i> <p>2. “How could we collect data on this indicator (for M or E respectively)? Which data sources and methodologies could we utilize?”. Encourage participants to share examples from their own work experience.</p> <p>Wrap up the exchange, and explain that in order to ensure that the indicator which we work with to monitor and evaluate humanitarian response appropriately answer the questions which we want answered, indicators should be SMART:</p> <ul style="list-style-type: none"> • <i>Indicators should be: Specific, Measurable, Achievable, Relevant and Time-bound;</i> • <i>How is the indicator linked to the question you are trying to answer? Which is the information gap to fill? Example: if you want to know why girls are dropping out of school, the indicator “# of girls attending primary education” will not answer this question. Rather multiple indicators might have to be</i> 	<p>“Indicator type” cut-out slips of paper on tables</p> <p>Tape (to stick indicators under the correct step of the visual representation of the Results Chain)</p>
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	<p><i>measured such wealth and location (rural, urban) of the household, mother's education, livelihoods and security in the measured area etc.;</i></p> <ul style="list-style-type: none"> • <i>Who will collect the data and how often do you need the information updated? Point to the importance of a baseline against which observations can be tracked (and point to the linkages to other categories of the PIM matrix such as PNA). Are you able to collect the data? What are the resources required (human, material, financial)? What are the potential risks associated with collecting the data?</i> • <i>Is there an existing data source for the information you are looking at? (Different techniques can be applied to obtain PRM&E data, and in line with the PIM Process, assessing the information landscape to determine whether/which relevant data and information sources already exist, before designing an M&E system).</i> 	
10 min	Links to other PIM Matrix categories. Buzz pairs+Plenary (discussion) @tables	
	<p>Ensure that all participants have a version of the PIM Matrix in front on them.</p> <p>Instruct participants to turn to the person next to them, and to break into “buzz-pairs” of 2-3 persons. In their buzz-pairs, participants will now have 4 minutes to discuss how PRM+E links with other categories of the PIM Matrix (Which categories can it be informed by, and which categories can it inform?). Each buzz-pair should identify at least 2 linkages, and discuss examples, which they may have of these linkages.</p> <p>After 4 minutes, call attention back to plenary and debrief, by asking groups to share which links they have identified in their discussions (for inspiration on possible linkages, see Facilitator note 6). Mark the linkages explained by the groups, by placing a cross on the heading of the Matrix to which a linkage has been identified.</p> <p>Conclude that PRM&E data and information output is linked to all other categories of the PIM Matrix – informed by other categories because PRM&E it is designed to measure the response to the protection situation (which other categories provided data and information on through the Humanitarian Needs Overview and Humanitarian Response Plan), and informs other categories because data and information about response demonstrates the extent to which the protection response is effective.</p>	<p>PPT, p.14</p> <p>Visual Line of PIM Matrix category headings</p>
10 min	A coordinated approach. Plenary (discussion) @tables	
	<p>Ask participants whom amongst them is responsible for PRM&E, and ask a couple of those with raised hands whether they do M&E at project, programme, strategy or global levels) and in what capacity. Based on types of responsibility present, proceed to make the point that PRM&E is done at all of these different levels (by IM, protection, MEAL/M&E and programme colleagues).</p> <p>Relate the experience of the participants to the levels under the “Humanitarian Response Monitoring Framework Pyramid” (Facilitator note 7) (while showing the pyramid). Make the point that:</p> <ul style="list-style-type: none"> - <i>Monitoring can happen at all of these levels, which are interconnected;</i> - <i>The Transformative Agenda (Facilitator note 8) commitment to coordination and leadership (in the humanitarian system as essential for timely, needs-based, life-saving assistance) also concerns monitoring and evaluating the collective response in humanitarian crisis;</i> 	<p>PPT, p.15-16</p> <p>Humanitarian Response Monitoring Framework Pyramid Illustration (available in PPT)</p>

	<p>Display the “Moment of Zen” (3.04 minutes, Ignacio León Garcia, OCHA Chief of Planning and Monitoring Section of the Programme Support Branch for Harvard Humanitarian (2018) “Field Perspectives: Impact of the Humanitarian Programme Cycle”, available at: https://www.youtube.com/watch?v=tHFztNvD7yk.</p> <p>While displaying the video, distribute the module feedback form (one per participant) and collect the filled-in version from participants before module end.</p>	<p>Projector, speakers and internet</p> <p>Module feedback form (Annex 3.6.f).</p>
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Facilitator note 1) Recommended resources

Essential readings

Inter-Agency Standing Committee (IASC) (2016): Humanitarian Response Monitoring Guidance, available at: <https://www.humanitarianresponse.info/en/programme-cycle/space/document/humanitarian-response-monitoring-guidance>

Inter-Agency Standing Committee (IASC): Humanitarian Indicator Registry, available at: <https://ir.hpc.tools/>

International Federation of Red Cross and Red Crescent Societies Project (2018): Professional Standards for Protection Work (3rd edition), Chapter 2 “Managing Protection Strategies”, available at: https://shop.icrc.org/professional-standards-for-protection-work-carried-out-by-humanitarian-and-human-rights-actors-in-armed-conflict-and-other-situations-of-violence-2512.html?_store=default

Sphere Project (2015): Sphere Monitoring and Evaluation, available at: <http://www.sphereproject.org/news/sphere-for-monitoring-and-evaluation/>

Other resources

Active Learning Network For Accountability and Performance in humanitarian Action (ALNAP) (2014): Evaluating protection in humanitarian action: Issues and challenges, available at: https://www.alnap.org/system/files/content/resource/files/main/ALNAP%20Evaluation%20of%20Protection%20guide_0.pdf

Active Learning Network For Accountability and Performance in humanitarian Action (ALNAP) (2016): Evaluation of Humanitarian Action Guide, available at: <https://www.alnap.org/system/files/content/resource/files/main/alnap-evaluation-humanitarian-action-2016.pdf>

Inter-Action (2018): Results-Based Protection Tip Sheet: Iterative Evaluation Practice for Protection, available at: <https://protection.interaction.org/rbp-tip-sheet-iterative-evaluation-practice-for-protection-tip-sheet-2/>

Inter-Agency Standing Committee (IASC) (2015) Key messages on the Transformative Agenda, available at: <https://www.alnap.org/help-library/key-messages-the-iasc-transformative-agenda>

International Federation of Red Cross and Red Crescent Societies Project (2011): Programme monitoring and evaluation guide, available at: <http://www.ifrc.org/Global/Publications/monitoring/IFRC-ME-Guide-8-2011.pdf>

OECD (2002): Glossary of Key Terms in Evaluation and Results Based Management (English/French/Spanish), available at: <https://www.oecd.org/dac/evaluation/2754804.pdf>

Warner, A, T. (2017) ‘What is monitoring in humanitarian action? Describing practice and identifying challenges’. ALNAP Scoping Paper. London: ALNAP/ODI, available at:

<https://www.alnap.org/system/files/content/resource/files/main/monitoring-of-humanitarian-action-scoping-paper-%5Bweb%5D.pdf>

Facilitator note 2) Professional Standard for Protection Work: Standards on PRM&E

Chapter 2 of the Professional Standards for Protection Work “Managing Protection Strategies” includes the following standards related to PRM&E:

Continual analysis of risk patterns (including existing or potential violations and abuses) in combination with monitoring of the programmatic response enables the periodic capture and possible measurement of the intended – and unintended – results achieved. It supports the proper implementation of the strategy chosen, allowing for sound decision-making processes that enable the chosen strategies to be adapted to the fast-changing environment in which protection work often takes place. The Standards outline a common basis from which to conduct this analysis and monitoring.

Monitoring — 2.3. Protection actors must carry out continual analysis of changes in risk patterns and undertake continual programme monitoring in order to adjust strategies and activities as required.

Evaluation and learning — 2.4. Protection actors must seek to learn from their strategies to enhance protection, including by carrying out evaluations of ongoing and completed programmes, with a view to ensuring accountability for the actions taken to address protection concerns and incorporating what they have learnt in the implementation of their strategies.

For more information about the Standards, please read International Federation of Red Cross and Red Crescent Societies Project (2018): Professional Standards for Protection Work (3rd edition), Chapter 2 “Managing Protection Strategies”, available at: <https://shop.icrc.org/professional-standards-for-protection-work-carried-out-by-humanitarian-and-human-rights-actors-in-armed-conflict-and-other-situations-of-violence-2512.html?store=default>

Facilitator note 3) The Humanitarian Programme Cycle (HPC)

The HPC consists of a set of inter-linked tools to assist the Humanitarian Coordinator and Humanitarian Country Team to improve the delivery of humanitarian assistance and protection through better preparing, prioritizing, steering and monitoring the collective response through informed decision-making. This requires each organization to change its practices, but also its mind-set and institutional culture to focus on the collective response and not simply on the individual organization’s corporate priorities, mandate or fundraising concerns. Each individual organization’s piece of the response must fit together and contribute to the overall expected results. Collectively-owned and evidence-based plans are required to ensure increased HCT accountability for results.

Periodic monitoring and regular evaluation of the response delivered are two distinct and integral HRC elements:

Response monitoring is a continuous process that tracks the humanitarian assistance delivered to affected populations compared to targets set out in the humanitarian response plan (HRP). Monitoring tracks the inputs, and the outputs resulting from interventions to affected populations, charts the outcomes of cluster activities, and measures progress towards the strategic objectives of the HRP, while considering the diversity of the affected population and their perspectives of the response. It is a key step in the programme cycle as it seeks to determine if the humanitarian community is doing what it has committed to doing in the HRP.

Response evaluation is an assessment of whether collective results achieved in responding to an emergency meet the objectives stated in the humanitarian response plan and the needs of affected people. It can be conducted at the inter-agency or agency levels. The step “Operational peer review & evaluation” refers to an inter-agency humanitarian evaluation (IAHE), which is an independent assessment of results of the collective humanitarian response by IASC partners to a specific crisis. It is an exercise undertaken by a team of independent

evaluation experts over a 10-12 months period managed by the Inter-Agency Humanitarian Evaluation Steering Group, chaired by OCHA.

(Source: IASC (2015): *IASC Reference Module for the Implementation of The Humanitarian Programme Cycle (Version 2.0)*, available at: <https://interagencystandingcommittee.org/iasc-transformative-agenda/documents-public/iasc-reference-module-implementation-humanitarian>)



Figure: The Humanitarian Programme Cycle

(Source: United Nations Office for the Coordination of Humanitarian Affairs (OCHA), available at: www.humanitarianresponse.info/en/programme-cycle/space www.humanitarianresponse.info/en/system/files/documents/files/hpc_reference_module_2015_final_.pdf)

Facilitator note 4) Breaking down the PRM&E definition

Continuous and **coordinated review of implementation of response** to **measure whether planned activities deliver the expected outputs [outcomes] and protection outcomes and impact [response + environment]**, both positive and negative. Evaluation is distinct, but compliments monitoring by **asking questions around causal linkages**, looking **at intended and unintended results**. Evaluation is not continuous, but rather **periodic** and targeted.

Text highlighted in **green** indicates the information purpose of the action (the ‘why’): PRM&E generates data and information on the outputs, outcomes, impact and results¹⁰ of a response:

- **Outputs:** The products, capital goods and services which result from an intervention and may also include changes which are relevant to the achievement of outcomes (Source OECD DAC). Output monitoring measures the delivery of goods and/or services to a targeted population, (e.g. % of people who need tents that receive them).
- **Outcomes:** The likely or achieved short-term and medium-term effects of an intervention’s outputs. Outcomes can be intra-cluster, requiring multiple outputs from one cluster, (e.g. Defecation free environment) or inter-cluster, requiring outputs from multiple clusters, (e.g. Decreased incidence rate of Cholera.)

¹⁰ Different protection actors may use the terms “outcome” and “impact” in different ways. Regardless of preferences in terminology, managing protection strategies requires an orientation towards the reduction of risk, supported by an analysis, an articulated causal logic and SMART objectives (ICRC (2018): International Standards for Protection Work, Chapter 2).

- **Impact:** The positive and negative, primary and secondary long-term effects produced by a development or humanitarian intervention, directly or indirectly, intended or unintended.
- **Results:** The output, outcome or impact (intended or unintended, positive and/or negative) of a development or humanitarian intervention.

Text highlighted in **blue** indicates the type of action undertaken to generate the data and information (the ‘how’ PRM&E is done):

- **Coordinated review:** To ‘review’ requires that there is baseline in place - coordinated means that it is done in coordination w a wider field of stakeholders.
- **Measure:** Requires that indicators are in place -
- Asking questions around “casual linkages”¹¹:

Text highlighted in **yellow** indicates periodicity (when):

- **Continuous:** Refers to monitoring.
- **Periodic:** Refers to evaluation, and means that in humanitarian action, evaluations can take place at various times. The most common are:
 - **Real-Time Evaluation:** An evaluation undertaken soon after the operation begins which aims to provide feedback to operational managers in real time and to ensure that the operation is ‘on track’.
 - **Mid-Term Evaluation:** An evaluation process that takes place around the middle of the planned operational period. Mid-term evaluations tend to be used in larger or longer responses.
 - **Final Evaluation:** A final evaluation takes place at the end of the implementation period or after the operation has closed. These evaluations are often used to capture learning and identify gap areas that can inform future programming and evaluations.

(Sources: *Inter-Agency Standing Committee (IASC) (2016): Humanitarian Response Monitoring Guidance*, available at: <https://www.humanitarianresponse.info/en/programme-cycle/space/document/humanitarian-response-monitoring-guidance>, *PIM Matrix*, available at: http://pim.guide/wp-content/uploads/2018/04/Quick-Reference-Flyer_Principles_Matrix_Process_2018-1.pdf)

Source: *The Sphere Project (2015): Sphere Monitoring and Evaluation*, available at: <http://www.sphereproject.org/news/sphere-for-monitoring-and-evaluation/>

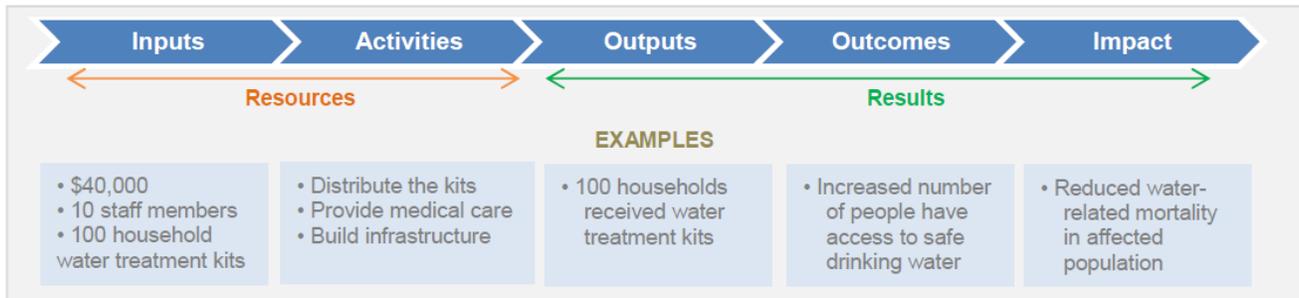
Facilitator note 5) Results chain

The interlinked results chain demonstrates how the combination of resources, (inputs and activities), produce results, the delivery of goods, or services (outputs), which over time leads to short or medium-term effects (outcomes), and ultimately could affect a change in the humanitarian situation (impact).

Response monitoring focuses on three links in the results chain - inputs, outputs and outcomes. Inputs refer to the financial, human and material resources that go into projects. Outputs refer to the delivery of goods and services to a targeted population. Outcomes refer to the likely or achieved short and medium-term effects of an intervention’s outputs. Outcomes are often built on multiple outputs. They can be intra-cluster, requiring multiple outputs from one cluster (e.g. defecation free environment) or inter-cluster requiring outputs from multiple clusters (e.g. decreased incidence rate of cholera).

¹¹ “Casual linkage”, by some referred to as a “Theory of Change”, is a sequence of actions required to achieve an intended protection outcome (based on analysis of context). Achieving a protection outcome, or ultimate impact, of reduced risk means that the component parts contributing to risk must be addressed. In other words, efforts should be oriented towards reducing the threats that people face, reducing people’s vulnerabilities to these threats, and enhancing the relevant capacities in relation to these threats. (Source: International Federation of Red Cross and Red Crescent Societies Project (2018): *Professional Standards for Protection Work* (3rd edition), Chapter 2 “Managing Protection Strategies”, available at: https://shop.icrc.org/professional-standards-for-protection-work-carried-out-by-humanitarian-and-human-rights-actors-in-armed-conflict-and-other-situations-of-violence-2512.html?_store=default).

Response evaluation occurs at the 4th and 5th links of chain, and document impact (meaning the positive and negative, primary and secondary long-term effects produced by a development or humanitarian intervention, directly or indirectly, intended or unintended). Please note that as per the “Sphere Monitoring and Evaluation” guide, not only monitoring but also evaluation can focus on the output link because consideration of this is necessary in order to assess the contribution to wider changes, including outcomes and impacts (see illustration available on page 8 of ‘Sphere Monitoring and Evaluation’ (Sphere Project (2015), available at: <http://www.sphereproject.org/news/sphere-for-monitoring-and-evaluation/>)



(Source: IASC (2016) Humanitarian Response Monitoring Guidance:

<https://www.humanitarianresponse.info/en/programme-cycle/space/document/humanitarian-response-monitoring-guidance>)

Facilitator note 6) PRM&E category links to other PIM Matrix categories

- Population Data: In order to be able to measure progress and impact of activities implemented to affect change, we need to know the population reached versus the population targeted. This is impossible without population data.
- Protection Monitoring: The quantitative and qualitative data and information derived through protection monitoring will inform the development protection response priorities and the resulting development of a response and M&E indicators. Protection monitoring activities can also use data from protection response monitoring systems as secondary data. Protection monitoring data can also be used as part of a larger programme evaluation process.
- Protection Needs Assessment: Needs assessment activities can inform the development of indicators and the identification of protection response priorities. Using existing information from M&E sources will assist in the design of any needs assessment and avoid duplication of work. PNA may serve as a baseline for monitoring and evaluation purposes, against which observations can be tracked. Needs assessment activities can also use data from protection response monitoring systems as secondary data. Needs assessment data can also be used as part of a larger programme evaluation process.
- Case Management: When aggregated, case management data can generate information that may be indicative as to whether or not protection activities are having the expected output and impact. For example, if protection programming is largely targeted towards preventing GBV incidents but the number of GBV-related cases increase, this can indicate that the programming is not delivering on its intended outcome and impact.
- Security and Situational Awareness: Security and Situational Awareness information should inform both the development of a protection response and the resulting development of M&E indicators, and should also inform the methodology chosen for conducting the M&E in practice. M&E activities may indirectly inform Security and Situational Awareness by uncovering impact of security and situational issues, such as lack of access to services due to restrictions on movement.
- ‘Other sectoral systems’: In line with protection mainstreaming, PRM&E data may also be derived under non-protection sector programmes, and PRM&E should not focus on protection activities under the protection sector alone.

- 'Communicating with(in) Affected Communities: Feedback from the targeted population is a key information source for PRM&E, and community communication channels can be used for communicating PRM&E information to the communities in need for accountability purposes.

Facilitator note 7) Monitoring levels (under the Humanitarian Response Monitoring Framework)

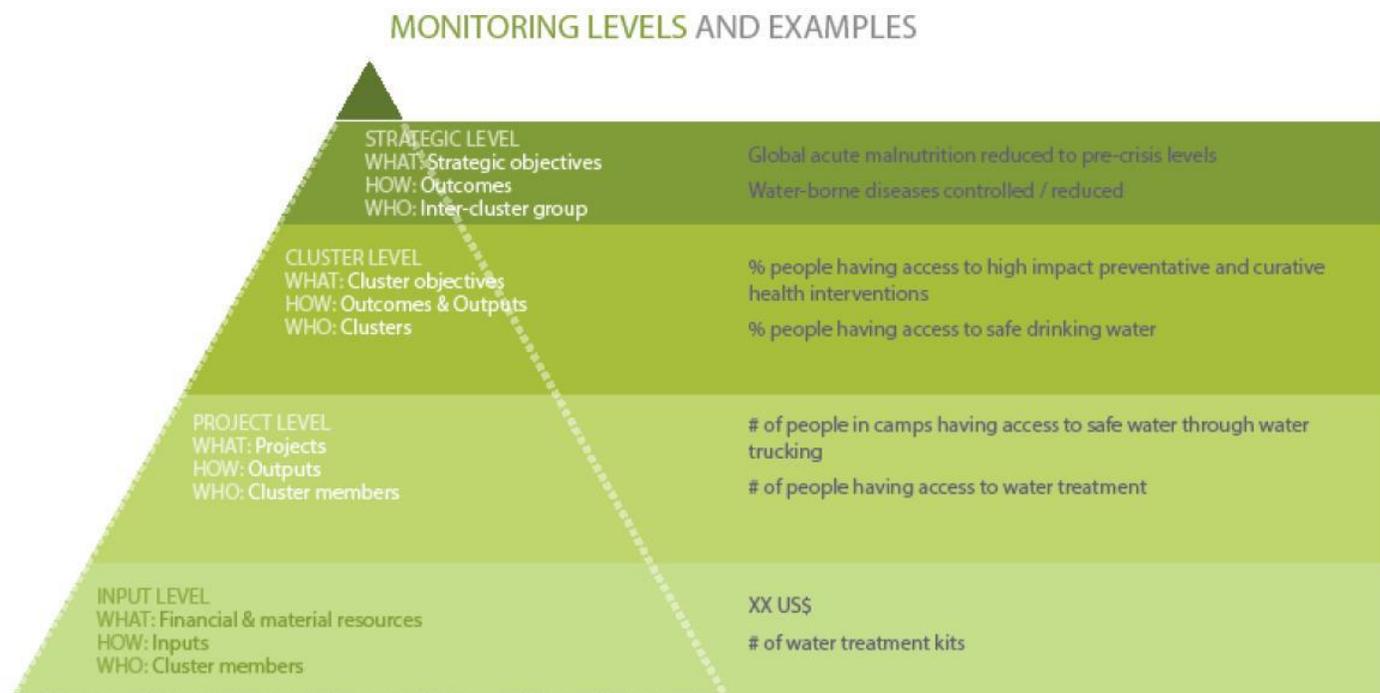


Figure: Monitoring levels and examples (Source: IASC (2016) Humanitarian Response Monitoring Guidance: <https://www.humanitarianresponse.info/en/programme-cycle/space/document/humanitarian-response-monitoring-guidance>)

While all protection response actors are invited/ expected to share and collaborate, the four monitoring levels of the pyramid illustration above, outline the focus of protection stakeholders within the Humanitarian Programme Cycle. The pyramid explained through protection examples:

Strategic level

What: Strategic objective: Support life-saving activities and alleviate suffering through integrated and coordinated humanitarian response focusing on the most vulnerable people.

How: Outcomes: Support life-saving activities and alleviate suffering through integrated and coordinated humanitarian response focusing on the most vulnerable people.

Who: Inter-cluster group (represented by leads) based on contributions from cluster level.

Cluster-level

What: Cluster objectives: Unaccompanied and separated children, and other children with protection concerns are assessed and receive holistic support through case management and referrals to specialized services.

How: Outcomes and outputs:

% of unaccompanied and separated children at risk supported through the inter-agency case management system

Who: Clusters (led by cluster lead) with involvement of partners active in cluster/sector.

Project level

What: Projects: Case management, Community Centers w. child friendly spaces

How: Outputs

of unaccompanied and separated children referred for specialized services

of unaccompanied and separated children reunified

Who: Cluster members

(Source: IASC (2016) *Humanitarian Response Monitoring Guidance*:

<https://www.humanitarianresponse.info/en/programme-cycle/space/document/humanitarian-response-monitoring-guidance>)

Facilitator note 8) Transformative Agenda

In 2005, by the Emergency Relief Coordinator, together with the Inter-Agency Standing Committee (IASC) initiated the Humanitarian Reform process in order to improve the effectiveness of humanitarian response through greater predictability, accountability, responsibility and partnership. Based on an analysis of current challenges to leadership and coordination, the IASC Principals agreed in December 2011 to a set of actions that collectively represent a substantive improvement to the current humanitarian response model (the “Transformative Agenda”). Under this, concrete priority actions to strengthen all humanitarian operations include (but is not limited to):

- Strengthened needs assessments, information management, planning, monitoring and evaluation for a more effective and strategic response.
- Improved cluster coordination, performance and participation, as well as a more clearly defined cluster-activation procedure.
- Enhanced accountability for the achievement of collective results, based on an agreed performance and monitoring framework linked to the strategic plan.

The Transformative Agenda affirms that coordination and leadership in the humanitarian system are essential to ensure that populations affected by conflict or disasters are provided with timely, needs-based, life-saving assistance. Strengthening coordination and leadership calls for commitment through all steps of the Humanitarian Programme Cycle (HPC) to jointly assess the situation; elaborate operational plans to cover prioritized humanitarian needs; mobilize and allocate resources in-line with the priorities; monitor progress; evaluate whether it is having the expected, sufficient effect for the diverse, affected populations; adjust the strategy and plans accordingly; and document how this is being done to support accountability and transparency.

According to ALNAP, these system level discussions as well as the commitments following the World Humanitarian Summit and the signing of the Grand Bargain (for coordination and accountability) are likely to result in an increase in demands on monitoring in coming years.

(Sources: IASC (2015) *Key messages on the Transformative Agenda*, available at: <https://www.alnap.org/help-library/key-messages-the-iasc-transformative-agenda>

ALNAP (2016) *Evaluation of Humanitarian Action (EHA) Guide*, available at: <https://www.alnap.org/help-library/evaluation-of-humanitarian-action-guide>)

Facilitator note 9) Humanitarian Indicator Registry

The Humanitarian Indicator Registry is complimentary to the Inter-Agency Standing Committee (IASC) Humanitarian Programme Cycle (HPC) reference module. The indicators listed in the registry have been developed by the global clusters.

The registry is a guidance tool for countries to select indicators, and where possible seek standard definitions and applications of those indicators. It lists the principal needs and response monitoring indicators for each cluster and provides a unique identifier, similar to a p-code, for every indicator. The registry does not feature input or impact indicators, only on baseline, outcome and output indicators. The indicators may be used to track needs over time and to support monitoring along the programme cycle. They can be used for analysis and reporting and may feature in humanitarian needs overviews, strategic planning and monitoring documents, humanitarian dashboards and bulletins.

This registry is a point of reference for Humanitarian Country Teams and clusters at the country level for indicators which are recommended for monitoring the humanitarian situation, needs and the humanitarian response. To see more, please visit the Humanitarian Indicator Registry, available at: <https://ir.hpc.tools/>

ANNEXES TO MODULE 3.6

Annex 3.6.a) Module learning sheet: Protection Response Monitoring and Evaluation

Part of module: 3.6 Protection Response Monitoring and Evaluation

Instructions for production and use: Print to distribute to each participant at the beginning of the module. This Module learning sheet should serve as learning reference point for the participants throughout and after the module. It contains structured space for note taking on key concepts introduced, contains reference tools, definitions and a list of recommended resources for further learning.

Print out available: https://docs.google.com/document/d/1-B9O4uRzOkEkl-ca5YYe8SPqMOMWWR9AAo0_T8R4Mqk/edit?usp=sharing

Annex 3.6.b) The results chain

Part of module: 3.6 Protection Response Monitoring and Evaluation

Instructions for production and use: Draw on flipchart or print on A0 sized paper, the below results chain illustration from the IASC (2016) Humanitarian Response Monitoring Guidance for use during the “PRM&E as PIM Matrix category” element of the training module.

Print out available: https://drive.google.com/file/d/1uO_FrNwAYtHzmv49clTntNpoXNiiJaic/view?usp=sharing

Annex 3.6.c) Indicator types

Part of module: 3.6 Protection Response Monitoring and Evaluation

Instructions for production and use:

For each 4 participants, print this page and cut out each of the text boxes in which the text appears in blue. The cut-out paper slips should be placed (a handful) on the tables in front of the participants for their review during the activity “PRM&E outputs”.

Print out available:

<https://docs.google.com/document/d/1cFYVRaNoAW6NyDbvjAAD33HqP9qirCowK9Y8KV6NUSU/edit?usp=sharing>

Annex 3.6.d) PIM Quick Reference Flyer (with populated PIM Matrix)

Part of module: 3.6 Protection Response Monitoring and Evaluation

Instructions for production and use: To be printed out (one for every two participants) (A3 size recommended due to small font size). Place print outs on tables so participants can join up in pairs with the person sitting next to them, and jointly review a PIM Matrix.

Downloadable from: <http://pim.guide/wp-content/uploads/2018/04/Quick-Reference-Flyer-Principles-Matrix-Process-2018-1.pdf>

Annex 3.6.e) Feedback form: 3.6 Protection Response Monitoring and Evaluation

Part of module: 3.6 Protection Response Monitoring and Evaluation

Instructions for production and use: The standardized and anonymous feedback form should be handed to participants after completion of the training module (one for each) for immediate completion and return to the facilitator, in order to be used by the facilitator to evaluate the extent to which the module learning objectives have been met through realization of the module learning outcomes. The form will take 3-5 minutes to complete.

Print out available:

https://drive.google.com/file/d/17pc73efSHfeI53vADYuJJ_TE3XGUTA2q/view?usp=sharing

Annex 3.6.f) Power point presentation

Part of module: 3.6 Protection Response Monitoring and Evaluation

Instructions for production and use: This power point presentation may serve as visual reference during delivery of this module. Please note that facilitators are discouraged from rely sole on the power point presentation as visual reference during module delivery, as this is not compatible with the participatory design of the PIM training modules.

Available at:

https://www.dropbox.com/s/7j3atwtciqeill4/PPT_Package%203_Module%203.6_Protection%20Response%20M%26E.pptx?dl=0

MODULE 3.7 - Communicating with(in) Communities

Core competencies –

Attitude: Effectively engages and communicates with communities in a responsible manner and is aware of Accountability to Affected Populations (AAP) principles.

Skills: Makes informed decisions on which systems are needed based on a comprehensive analysis of information requirements (and over time); and understands and is able to apply a community- and rights-based and participatory approach.

Module objectives	Module learning outcomes
<p><u>The session will:</u></p> <ul style="list-style-type: none">Recall Communicating with(in) Communities as a category to be both linked into other systems (including via the PIM Principles) and a distinct means to understand and mechanism to support communities for quality protection outcomes.Identify the data and information outputs associated with the PIM matrix category Communicating with(in) Communities.On the basis of a community-based approach and accountability principles, give examples of Communicating with(in) Communities throughout the phases of the Humanitarian Programme Cycle.	<p><u>After the session participants will be able to:</u></p> <ul style="list-style-type: none">Identify how Communicating with(in) Communities is currently or can be linked with other categories and a distinct means to understand and mechanism to support communities for quality protection outcomes.Give examples of data and information outputs associated with the PIM matrix category Communicating with(in) Communities.On the basis of principles of accountability and participation, explain how Communicating with(in) Communities can be incorporated throughout the phases of the Humanitarian Programme Cycle.

Key messages:

1. Communities and individuals are agents of their own coping, resilience and recovery irrespective of humanitarian objectives;
2. It is important that communities have access to the information they need through the most appropriate and trusted channels possible, for their informed decision making to protect themselves and each other in a fully participatory process throughout the Humanitarian Programme Cycle;
3. Working through existing communities IM/ communication mechanisms enhances protection response and outcomes, in turn strengthening communities;
4. Communicating with(in) affected Communities should be both be linked into other systems/PIM categories and serve as a distinct mechanism to support communities with the protection information they need to make decisions for themselves, in line with, and irrespective of our humanitarian objectives;
5. Humanitarian organizations must take particular measures to not approach communities as uniform entities, but as consisting of individuals whose characteristics position them differently in relation to access to information and communication flows.

Duration: 1 hour (60 minutes)

Reference: PPT: 3.7 Cw.in.C, Module learning sheet: Space for note taking, the 'Onion diagram', excerpts of Core Humanitarian Standard on Accountability (4 + 5), list of recommended resources.

Facilitator preparation:

- Familiarization with UNHCR Lebanon CwC report (see prints and handouts point below).
- Familiarization with resources on list of recommended readings.
- Review participant answers to pre-training survey questions in relation to existing knowledge of and experience with the Communicating with(in) Communities category, in order to know what experience is in the room and can be called upon during discussions.

Room set-up:

- Table set-up groups (ideally 4 and maximum 5 participants by each).
- Humanitarian Programme Cycle illustration on wall.

Prints and handouts:

- Module learning sheet. Print one per participant (Annex 3.7.a).
- UNHCR Lebanon CwC report. Print one for circulating in hard copy (Annex 3.7.b).
- Print sign 'Communication with(in) Communities to hang by the HPC (Annex 3.7.c).
- Print the module feedback form (Annex 3.7.d). One per participant.

Time	Activity	Resources
5 min	<p>Introduction. Plenary (discussion) @tables</p> <p>Introduce the category which this module is about and the module learning objectives. Distribute the Module learning sheet.</p> <p>Circulate one-by-one the single pages of the UNHCR Lebanon CwC report (pages 5, 6, 10, 12, 14, 15, 16) which relate to social media monitoring.</p> <p>Ask participants to have a look at the pages (at their tables). Once they have a chance to read the content, proceed to ask the plenary:</p> <ul style="list-style-type: none"> ● <i>Whose communication is documented here?</i> ● <i>What is the communication about?</i> <p>Proceed to explain that the pages reviewed are from a report by UNHCR Lebanon's Communicating with Communities Unit, which among other activities monitors communication on social media by refugees in Lebanon.</p>	<p>PPT,p.1-3</p> <p>Hard copy of pages from UNHCR Lebanon CwC report</p>
5 min	<p>Communication channels. Plenary (presentation) @tables</p> <p>Referencing the category title's '<i>with(in)</i>' - bring attention to the fact that the Cw(in)C definition encompasses communication (and flow of data and information) through multiple channels in several directions. It is not just about communicating <u>to</u> communities.</p> <p>Present the 4 channels, and ask if participants have illustrative examples of outputs of each from the contexts in which they are working. Ensure that below points are made under each channel:</p> <ul style="list-style-type: none"> ● Communication <u>between</u> affected populations; <ul style="list-style-type: none"> - <i>Social networks serve as communication channels and are often perceived to be trusted sources of information.</i> - <i>Within any community, unreal expectations and rumours are normal, and flourish only when they are not challenged by other sources of information (e.g. responders proactively providing factual and verifiable information) through trusted communication channels.</i> ● Communication <u>from</u> affected populations (to humanitarian actors); <ul style="list-style-type: none"> - <i>Emergency responders need to understand the information needs of different groups and individuals and the views of communities should inform humanitarian decision making.</i> - <i>Feedback (including comments, suggestions, and complaints) can serve to inform of performance, gaps and impact of a response.</i> ● Communication <u>to</u> affected populations (from humanitarian actors); <ul style="list-style-type: none"> - <i>Emergency responders need to understand the information needs of different groups and individuals, as well as their preferred channels of communication and most trusted sources;</i> - <i>It is important that communities have access to the information they need through the most appropriate and trusted channels possible, for their informed decision making to protect themselves.</i> 	<p>PPT,p.4</p>

	<ul style="list-style-type: none"> ● Information about affected populations (e.g. held by an external expert who is not a members or representative of the community). <ul style="list-style-type: none"> - <i>Can be used to inform a response as secondary data.</i> 	
10 min	Who is the “community”? Plenary (discussion)+pairs of two @tables	
	<p>Explain that before we proceed to explore this category further, it is helpful to have conceptual clarity around what we mean by the term “community/ties”. Ask participants to turn to the person sitting next to them to form a pair, and to spend 3 minutes jointly formulating a self-made definition of what constitutes a “community”.</p> <p>After 3 minutes, debrief by asking some of the pairs to share the outcomes of their talk. Ensure that following points are made (and noted down on flipchart for common visual reference):</p> <ul style="list-style-type: none"> ● <i>A sense of common identity, language, characteristics or social organization.</i> ● <i>Includes individuals, families, social networks (friends, neighbours and colleagues), local organizations/ charities and civil society (including social movements, local media and activists).</i> ● <i>We cannot assume homogeneity, unity and common identity which may not in fact exist.</i> <p>Conclude that when working with the category Communicating with(in) Communities, we must take particular measures to not assume communities to be uniform entities (<i>for example, humanitarian organizations often refer to the ‘refugee camp community’ or a ‘local community’ to describe a population in a geographic area, yet these people may not in fact share a common identity or have any organized network</i>), but as consisting of individuals whose characteristics position them differently in relation to information needs, access to information and communication flows.</p> <p>Ensure that all participants are aware of what Age, Gender and Diversity Mainstreaming is (See link for further reading in Facilitator note 1).</p>	<p>PPT,p.5-6</p> <p>Flipchart</p>
15 min	Community-based protection and Cw(in)C. Plenary (presentation) @tables	
	<p>If this module is delivered in conjunction with module 2.1 Protection, then recall – or otherwise take 5 minutes to introduce (See Facilitator note 2) - the IASC definition of protection reviewed in that module, and reference the rights-based approach, pointing to the duty-bearer and rights-holder dichotomy. Point out that although the responsibility for protection of rights is held by states, and humanitarian organizations may assist in time of crisis, the crisis-affected populations engage in their own protection every day.</p> <p>The humanitarian community knows that communities and individuals are agents of their own coping, resilience and recovery irrespective of humanitarian objectives. We as humanitarians do not own a ‘communities’ communication channel’.</p> <p>Introduce and reference the “Onion Diagram” and point out the social layers of the protection environment between the individual rights-holder and the state as duty-bearer (Facilitator note 3). Applying a community-based approach and working with community-based protection sets out to ensure that the link between communities and protection is mutually reinforcing – through all layers of the onion – communication is instrumental for this:</p> <ul style="list-style-type: none"> ● <i>Access to quality and timely information is key a community’s or individuals’ ability to protect themselves through informed decision-making;</i> ● <i>Supporting communication within a community and among communities may assist with the establishment and reforming of community networks or</i> 	PPT,p.7-10

	<p><i>protection structures (which may have been fractured or weakened as a result of displacement;</i></p> <ul style="list-style-type: none"> ● <i>It is important that communities have access to the information they need through the most appropriate and trusted channels possible.</i> <p>Proceed to introduce the Cw(in)C definition of the PIM matrix (See Facilitator note 5 outlines of all components of this category from the matrix) and jointly review the data and information outputs of the category.</p>	
10 min	Accountability to Affected Populations. Plenary (presentation) @tables	
	<p>Point out that the humanitarian community’s commitment to community participation is recognized in humanitarian driven communication objectives and accountability feedback loops.</p> <p>Communication with communities is approached as a measure towards enhancing accountability (and figures as a cross-cutting element in the 2015 IASC Taskforce on Accountability to Affected Populations ‘Operational Framework for Accountability to Affected Populations, which was presented under the Transformative Agenda’s commitment to enhancing accountability. See link in Facilitator note 1).</p> <p>Introduce that the Core Humanitarian Standard on Quality and Accountability (CHS) (See Facilitator note 4) introduces standards in relation to communication with and within affected communities – including in relation to the responsibility of humanitarian actors to ensure that affected communities know their rights and entitlements, have access to information and participate in decisions that affect them.</p> <p>Depending on prior knowledge of the participants about the CHS, you may want to give them a few minutes to read through commitments 4 and 5 which can be found on the Module Learning Sheet.</p> <p>Summarize CHS commitments 4 and 5 (Facilitator note 4) highlighting the quality criterion (“Humanitarian response is based on communication, participation and feedback” and “Complaints are welcomed and addressed”).</p> <p>Emphasize that accountability is about more than communication, and that the category Cw(in)C is also about more than mass information campaigns and installing feedback mechanisms.</p> <p>Point out that the CHS commitments and the fact that working through community mechanisms can enhance protection, is also reflected in the PIM principle “<i>people centered and inclusive</i>” (which i.e. stipulates that affected populations “<i>must participate and be included in all relevant phases of PIM</i>” (See Facilitator note 5). Point out that community participation is also explicitly mentioned in the PIM process step “Design with Affected Communities”.</p> <p>Call for reflection, by asking participants “If community participation is a PIM Principle (to be considered across all categories) and community involvement is also included as specific sub-step PIM process steps – then why does there also need to be Cw(in)C category in the PIM matrix? Seek a few opinions from participants, and ensure that the following conclusions are drawn:</p> <ul style="list-style-type: none"> ● <i>The Cw(in)C category is a PIM matrix category because communities themselves generate and device responses around a body of data and information (and output);</i> 	PPT,p.11-12

	<ul style="list-style-type: none"> • Working with, tapping into, feeding into and positively reinforcing the generation of data and information under this category can strengthen the protection response; • This category is a distinct means to understand and mechanism to support communities for quality protection outcomes; • This is a “cousin” category within the PIM matrix – because we (protection cluster and humanitarians generally) do not own a community’s communication modalities, methods or objectives. They will have communication platforms and objectives irrespective of our protection specific and cross-sectoral humanitarian objectives. 	
10 min	Linking Cw(in)C with the HPC. Plenary (discussion) @tables	
	<p>Recall the data and info outputs of the Cw(in)C category and reference the Humanitarian Programme Cycle (HPC) – ask where in this cycle the output of this category is relevant source of evidence to inform a protection response?</p> <p>Starting with “Needs Assessment and Analysis” go through the steps one by one calling out for opinions and examples from participants (you want to showcase how Communicating with(in) Communities is relevant throughout the phases of the humanitarian program cycle):</p> <ul style="list-style-type: none"> - Is Cw(in)C a relevant category under this step of the HPC? (the answer should be affirmative under all of the steps) - Do you have any examples of utilization of Cw(in)C data and information output under this step? (firstly, seek examples from participants – one per step - and if there are none to share, then proceed to use the examples listed under Facilitator note 7). <p>In the review of the steps it is important to get across the point that Cw(in)C not only about feedback mechanisms at the end of programme implementation, but about considering the output of the Cw(in)C as an important source of protection evidence, data and information throughout all steps of the cycle.</p> <p>Conclude by having someone hang the Cw(in)C category sign on next to the HPC to indicate the link.</p>	<p>PPT,p.13</p> <p>“Cw(in)C” sign</p> <p>HPC wall</p>
5 min	Closure. Plenary (presentation) @tables	
	<p>Recap the module key message answer any outstanding questions.</p> <p>Show the moment of Zen – “Communication is Aid” (2.22 min, by Infoasaid), available at: https://www.youtube.com/watch?v=ZDmKLcY7Nis</p> <p>Distribute module feedback form (one per participant) and collect the filled in version from participants before module closure.</p>	<p>PPT, p.14-15</p> <p>Projector, speakers and internet</p> <p>Feedback form (Annex 3.7.d)</p>

Facilitator note 1) Recommended resources

WEBPAGES

ALNAP: Thematic resources on [Engagement with Affected People](https://www.alnap.org/our-topics/engagement-with-affected-people), available at: <https://www.alnap.org/our-topics/engagement-with-affected-people>

READINGS

Community-based approach

ActionAid (2010): [Safety with Dignity: A field manual for integrating community-based protection across humanitarian programmes](http://www.actionaid.org/publications/safety-dignity-field-based-manual-integrating-community-based-protection-across-humanit), available at: <http://www.actionaid.org/publications/safety-dignity-field-based-manual-integrating-community-based-protection-across-humanit>

Global Food Security Cluster (2017): [People-Centred Approach and Cross-Cutting Dimensions: Best Practices from Food Security Clusters/Sectors](http://fscluster.org/document/people-centred-approach-and-cross), available at: <http://fscluster.org/document/people-centred-approach-and-cross>

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Humanitarian Programme Cycle

Global Protection Cluster: [Checklist on incorporating Protection and Accountability to Affected Populations in the Humanitarian Programme Cycle](http://www.globalprotectioncluster.org/assets/files/tools_and_guidance/protection-cluster-coordination-toolbox/gpc-edg-note-checklist-on-incorporating-protection-and-accountability-in-the-hpc.en.pdf), available at:

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Facilitator note 2) Protection definition

IASC definition

The IASC defines protection as: ***“... 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. International Human Rights Law (IHRL), International Humanitarian Law, International Refugee law (IRL).”*** This definition is comprehensive in scope, both in terms of the legal framework for protection (“full respect”) and in terms of the strategies and methods by which protection can be achieved (“all activities”). Fundamentally, protection encompasses efforts pursued by humanitarian actors in all sectors to ensure that the rights of affected persons and the obligations of duty bearers under international law are understood, respected, protected and fulfilled without discrimination.” (bold emphasis added by PIM training team)

(Source: Inter-Agency Standing Committee (IASC) (2016) Policy on Protection in Humanitarian Action, available at:

https://interagencystandingcommittee.org/system/files/iasc_policy_on_protection_in_humanitarian_action_0.pdf)

Humanitarian responsibility for protection

“The primary responsibility to protect people in such situations lies with States. In addition, in situations of armed conflict, non-State parties to conflict are obliged to protect persons affected and at risk in accordance with international humanitarian law. The humanitarian community has an essential role to engage with these actors to protect and assist people in need (...) The United Nations “Rights Up Front” Plan of Action emphasizes the imperative for the United Nations to protect people, wherever they may be, in accordance with their human rights and in a manner, that prevents and responds to violations of international human rights and humanitarian law. This same imperative to protect people lies also at the heart of humanitarian action. Protection of all persons affected and at risk must inform humanitarian decision-making and response, including engagement with States and non-State parties to conflict. It must be central to our preparedness efforts, as part of immediate and life-saving activities, and throughout the duration of humanitarian response and beyond (...) It means that HCs, HCTs and Clusters need to develop and implement a comprehensive protection strategy to address these risks and to prevent and stop the recurrence of violations of international human rights and humanitarian law – a strategy that clearly articulates and identifies the complementary roles and responsibilities among humanitarian actors

to contribute to protection outcomes; that identifies and makes use of all available tools to effectively protect those affected by humanitarian crises; that takes into account the role and contribution of other relevant actors, such as peacekeeping and political missions and development actors, to achieve protection goals and develop durable solutions. (...) **It also means that HCs, HCTs and Clusters need to strengthen the collection, management and analysis of information to inform and adjust early warning, preparedness, response, recovery and policy efforts, and support strategic and coordinated advocacy, dialogue and humanitarian negotiations on behalf of persons affected and at risk, and in a manner, that addresses the risks they face in conflict, violence and natural disasters. In this regard, the complementary roles, mandates and means of action of all relevant actors need to be recognized and reinforced.**" (bold emphasis added by PIM training team)

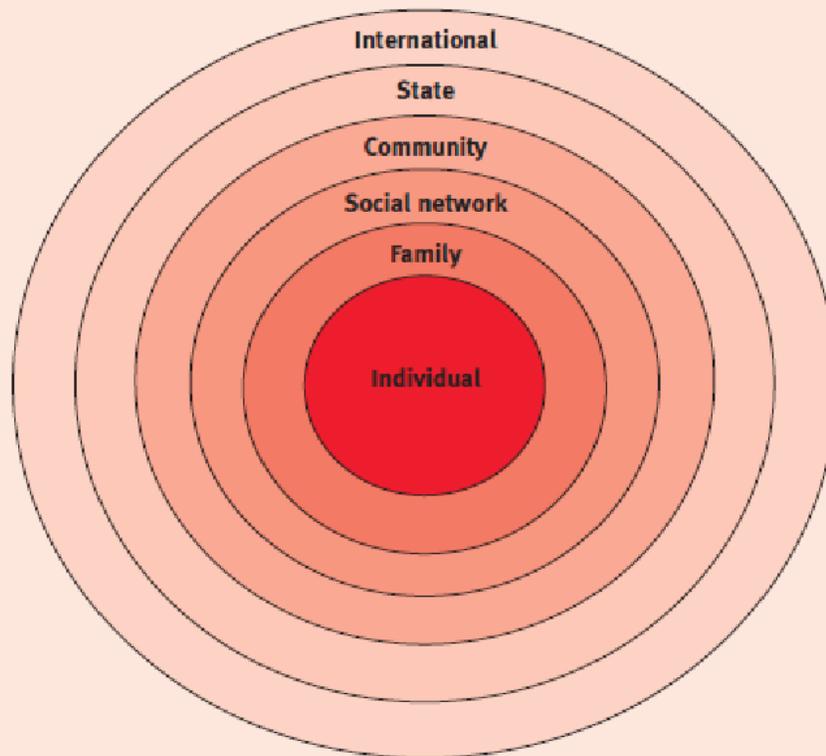
(Source: *The Inter-Agency Standing Committee (IASC) Principals Statement (2013): Centrality of Protection*. Available at: <https://www.humanitarianresponse.info/system/files/documents/files/IASC%20Principals%20Statement%20on%20the%20Centrality%20of%20Protection.pdf>)

Facilitator note 3) The onion diagram

The Onion diagram illustrates the various actors involved in protection. People can best access their rights in safety and dignity when all actors fulfil their responsibilities to build and maintain a protective environment. The actors within the onion layers can also coerce, deprive and harm the vulnerable individual or group at its core. With limited protection and assistance, vulnerable individuals or groups are less able to resist, recover from and prevent future protection problems. When multiple actors in different layers harm or fail to assist those in need of protection, vulnerable individuals or groups can be at greater risk. An onion model is also used in violence prevention literature to illustrate how layers may also cause harm.

Key message of the onion diagram in relation to Cw(in)C:

- Communities and individuals are agents of their own coping, resilience and recovery irrespective of humanitarian objectives;
- The most immediate layers of protection around an individual is the family, social and community networks!



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

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

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

Social network: Friends, neighbours, clan/tribe, ethnic, language, religious groups, colleagues.

Family: Immediate and extended family, husband/wife.

Individual: Individual skills, knowledge and health.

(Source: Humanitarian Practice Network Paper 68 (2010): *Safety with dignity - Integrating community-based protection into humanitarian programming*, available at: <https://www.files.ethz.ch/isn/114954/networkpaper068.pdf>)

Facilitator note 4) Core Humanitarian Standard on Quality and Accountability

Led by the Humanitarian Accountability Partnership (HAP) International, People In Aid and the Sphere Project, the Core Humanitarian Standard on Quality and Accountability (CHS) is the outcome of a 12-month consultative process to seek greater coherence for users of humanitarian standards.

CHS draws together key elements of existing humanitarian standards and commitments, in nine Commitments that organisations and individuals involved in humanitarian response can use to improve the quality and effectiveness of the assistance they provide. It also facilitates greater accountability to communities and people affected by crisis: knowing what humanitarian organisations have committed to will enable them to hold those organisations to account. The CHS places communities and people affected by crisis at the centre of humanitarian action and promotes respect for their fundamental human rights.

As a core standard, the CHS describes the essential elements of principled, accountable and high-quality humanitarian action. Humanitarian organisations may use it as a voluntary code with which to align their own internal procedures. It can also be used as a basis for verification of performance, for which a specific framework and associated indicators have been developed to ensure relevance to different contexts and types of organisation.

Commitment 4: Communities and people affected by crisis know their rights and entitlements, have access to information and participate in decisions that affect them.

Quality Criterion: Humanitarian response is based on communication, participation and feedback.

Key Actions

- 4.1 Provide information to communities and people affected by crisis about the organisation, the principles it adheres to, how it expects its staff to behave, the programmes it is implementing and what they intend to deliver.
- 4.2 Communicate in languages, formats and media that are easily understood, respectful and culturally appropriate for different members of the community, especially vulnerable and marginalised groups.
- 4.3 Ensure representation is inclusive, involving the participation and engagement of communities and people affected by crisis at all stages of the work.
- 4.4 Encourage and facilitate communities and people affected by crisis to provide feedback on their level of satisfaction with the quality and effectiveness of the assistance received, paying particular attention to the gender, age and diversity of those giving feedback.

Organisational Responsibilities

- 4.5 Policies for information-sharing are in place, and promote a culture of open communication.
- 4.6 Policies are in place for engaging communities and people affected by crisis, reflecting the priorities and risks they identify in all stages of the work.
- 4.7 External communications, including those used for fundraising purposes, are accurate, ethical and respectful, presenting communities and people affected by crisis as dignified human beings.

Commitment 5: Communities and people affected by crisis have access to safe and responsive mechanisms to handle complaints.

Quality Criterion: Complaints are welcomed and addressed.

Key Actions

- 5.1 Consult with communities and people affected by crisis on the design, implementation and monitoring of complaints-handling processes.
- 5.2 Welcome and accept complaints, and communicate how the mechanism can be accessed and the scope of issues it can address.
- 5.3 Manage complaints in a timely, fair and appropriate manner that prioritises the safety of the complainant and those affected at all stages.

Organisational Responsibilities

- 5.4 The complaints-handling process for communities and people affected by crisis is documented and in place. The process should cover programming, sexual exploitation and abuse, and other abuses of power.
- 5.5 An organisational culture in which complaints are taken seriously and acted upon according to defined policies and processes has been established.
- 5.6 Communities and people affected by crisis are fully aware of the expected behaviour of humanitarian staff, including organisational commitments made on the prevention of sexual exploitation and abuse.
- 5.7 Complaints that do not fall within the scope of the organisation are referred to a relevant party in a manner consistent with good practice.

Facilitator note 5) PIM principle ‘people-centred and inclusive

The PIM principle ‘People-centred and inclusive’ means that “PIM activities will be guided by the interests and well-being of the population, which must participate and be included in all relevant phases of PIM. PIM activities must be sensitive to age, gender, and other issues of diversity”.

(Source: *PIM Principles in Action (2017)*, available at: http://pim.guide/wp-content/uploads/2017/01/PIM-Principles-in-Action_-2017.pdf)

Facilitator note 6) PIM matrix components of the category “Communicating with(in) Communities” components

Definition: Communicating with(in) communities refers to communication between, among, and with communities and/or community members with the aim of supporting participation, decision-making, access to services, feedback/complaints, transparency, monitoring and evaluation, and leadership/community capacities.

Sub-category examples:

a. Humanitarian systems (owned and operated by humanitarians)

- Accountability humanitarian activities: complaints and feedback, services, activities
- Fraud reporting and tracking systems (humanitarians’ or community members)
- General information systems (on humanitarian objectives or activities)
- Security & safety systems (operated by humanitarians or governments)

b. Community systems (owned and operated by the community)

- Facebook, Twitter, etc.
- Misc. apps developed by the community, for community or individual decision-making

Methods:

a) Humanitarian methods

- Observation
- Profiling or Survey
- Reports
- Referrals
- Focus group discussions
- Interview: Key informant, individual or household
- Monitoring: internet, media, or social platforms used by the affected population or communities

b) Community methods

- Observation or face to face communication

Monitoring: internet, media, or social platforms used by humanitarians or affected population or communities

Specific examples:

- Internet: YouTube, Facebook, Twitter etc.
- Telephone (hotlines, direct calls, SMS)
- Broadcasts: radio or tv
- Print media: leaflets, posters

Output (data and information):

The output of communicating with(in) affected communities’ systems are: Data and information on:

- Common and appropriate sources of information and communication channels within communities;
- Community capacities, needs, resources, skills;
- Local contextual information (e.g. cultural sensitivities, languages used);
- Priority information needs and concerns of the affected populations;
- Updates on factors which affect the protection nature of the response (such as context, logistics, political, social and economic information)

Data needed to inform decision-making:

- Situational awareness
- Understanding, tracking and possibly responding to community-driven data and info needs

Common units of analysis: Location, population group, information needs partners / actors.

Shared data:

- Situational awareness (feeding into Protection Monitoring for example e.g. about which information could cause anxiety / panic / psycho-logical harm to individuals or compromise humanitarian corridors and access)
- Priority data and information needs of affected populations, and their preferred communication channels and modalities
- Community-identified protection priorities & concerns, incl. their data & information needs

Sources:

- Communities (individuals, households, specific groups)
- Established committees, incl. groups of community leaders
- Community-Based Organizations, civil society and local NGOs
- National social networks (e.g., youth groups; scouting groups)
- Private sector (e.g., media and telecommunication companies)
- Social media/news media

Facilitator note 7) Humanitarian Programme Cycle (HPC)

The below listed examples of Cw(in)C links to the HPC are not fully exhaustive, but meant to serve as inspiration for the facilitator during the exchange with participants on examples of Cw(in)C links to the HPC.

NEEDS ASSESSMENT AND ANALYSIS

Coordinated assessments are carried out in partnership with all humanitarian actors in order to assess the humanitarian situation and to identify the needs of the affected population. Local and national authorities, civil society and affected communities are encouraged to participate in this process, the output of which is a humanitarian needs overview (HNO). The Cw(in)C category may be applied through the following examples:

- Participatory assessment (beyond consultation).
- Assessing community communication channels and decision-making processes to can inform development of programmes which can actively integrate these.

STRATEGIC RESPONSE PLANNING

Humanitarian response plans (HRPs) are required for any humanitarian crisis requiring the support of more than one agency, and are prepared by humanitarian country teams (HCTs) based on a humanitarian needs overview. Humanitarian response plans are primarily management tools for the humanitarian coordinator (HC) and HCT. In addition, however they can be used to communicate the scope of the response to an emergency to donors and the public, and thus serve a secondary purpose for resource mobilization. Response monitoring in turn follows the strategic plan, as it seeks to determine whether the goals and targets set in the HRP are actually achieved. The Cw(in)C category may be applied through the following examples:

- Ensure that contextual information is taken into consideration.
- Involvement of affected population in strategic planning (among final steps of a participatory assessment process).
- Ensure participation of communities and those humanitarian actors with the closest contact/proximity to communities in programmatic decision-making and priority setting, including the development of the HRP and monitoring, evaluation and reporting.
- Explore ways to involve (where possible) representatives from a cross section (with respect to age, gender and diversity) of the community in identifying HRP priorities.

RESOURCE MOBILIZATION

The Financial Tracking Service (FTS) provides the humanitarian community with a data aggregation and curation service for funding in response to humanitarian emergencies. The Cw(in)C category may be applied through the following examples:

- Keep communities informed of resource allocation.
- Involve communities in decision making on action to follow from resource allocation.

IMPLEMENTATION AND MONITORING

Response monitoring is a continuous process that tracks the humanitarian assistance delivered to affected populations compared to targets set out in the humanitarian response plan (HRP). Monitoring tracks the inputs, and the outputs resulting from interventions to affected populations, charts the outcomes of cluster activities, and measures progress towards the strategic objectives of the HRP, while considering the diversity of the affected population and their perspectives of the response. It is a key step in the programme cycle as it seeks to determine if the humanitarian community is doing what it has committed to doing in the HRP. The Cw(in)C category may be applied through the following examples:

- Ensure development of a culturally appropriate and protection sensitive strategy for two-way communication with communities in a manner that enables access to information and direct engagement by/with a range of different groups within the communities.
- Ensure that information dissemination includes, as a minimum, accessible and timely information on cluster/sector strategies, targeting criteria, geographical focus, services provided and entitlements, programmatic changes, and community feedback and complaints mechanisms.
- Translate messages into local languages and deliver them through context-appropriate, protection sensitive methods and channels such as, face-to-face meetings, notice boards, radio, television, mobile phones, email, internet, call-in centres and public fora, community outreach workers, religious leaders, training and awareness-raising sessions, social groups and community centres.
- Explore creative ways to enable representatives from a cross section (with respect to age, gender and diversity) of the community to participate in the monitoring and evaluation of results.
- Rely on community communication systems to identify the needs to respond and connect to the available services.
- Working through existing community IM / communication mechanisms enhances protection response and outcomes, in turn strengthening communities.

OPERATIONAL PEER REVIEW AND EVALUATION

An operational peer review is forwarding looking, helping Humanitarian Coordinators (HCs) and Humanitarian Country Teams (HCTs) determine whether they need to adjust or improve the collective humanitarian response in order to meet its objectives or reduce gaps. Generally, the review focuses on four areas including mechanisms of accountability to affected people, which should entail ensuring that sectors/clusters have:

- Identified practical entry points for improving accountability to affected populations.
- Are systematically communicating with affected populations using relevant feedback and communications mechanisms.

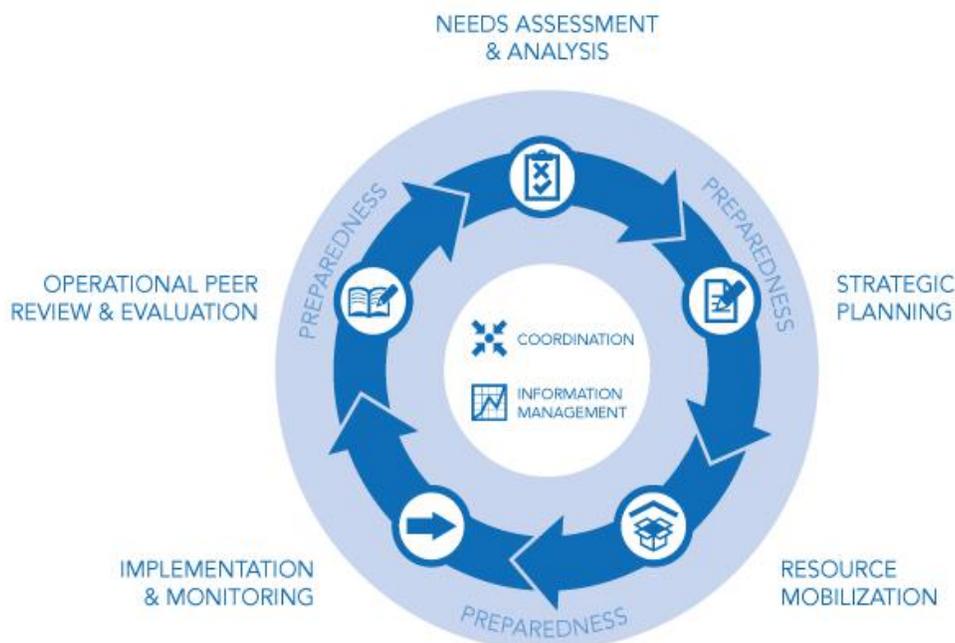


Figure: The Humanitarian Programme Cycle (Source: United Nations Office for the Coordination of Humanitarian Affairs (OCHA), available at:

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

www.humanitarianresponse.info/en/system/files/documents/files/hpc_reference_module_2015_fin_al_.pdf)

ANNEXES TO MODULE 3.7

Annex 3.7.a) Module learning sheet: Communication with(in) Communities

Part of module: 3.7 Communication with(in) Communities

Instructions for production and use: The module learning sheet should serve as learning reference point for the participants throughout and after the module. It contains structured space for note taking on key concepts introduced, contains reference tools, definitions and a list of recommended resources for further learning.

Downloadable from: https://docs.google.com/document/d/11ZaAkgP_j0B5_83c2tnIAKfu8RGJOqNgJP-XnwNtz1c/edit?usp=sharing

Annex 3.7.b) UNHCR Lebanon CwC report

Part of module: 3.7 Communication with(in) Communities

Instructions for production and use: Print one for circulating the single pages specified in the module description in print version during module introduction.

Downloadable from:

https://drive.google.com/file/d/1bQFAIXXig24YCc1UZpW_UhCdxDuWv8yJ/view?usp=sharing

Annex 3.7.c) Communication with(in) Communities sign

Part of module: 3.7 Communication with(in) Communities

Instructions for production and use: Print the “Communication with(in) Communities” sign in A4 and use for hanging on the humanitarian program cycle wall underneath it to indicate that it occurs throughout.

Downloadable from: <https://docs.google.com/document/d/17Oa4nCl-Nliq5Aac8VaANsAnOLPng3zmv6WbXKKyrM8/edit?usp=sharing>

Annex 3.7.d) Feedback form: 3.7 Communication with(in) Communities

Part of module: 3.7 Communication with(in) Communities

Instructions for production and use: The standardized and anonymous feedback form should be handed to participants after completion of the training module (one for each) for immediate completion and return to the facilitator, in order to be used by the facilitator to evaluate the extent to which the module learning objectives have been met through realization of the module learning outcomes. The form will take 3-5 minutes to complete.

Print out available: <https://docs.google.com/document/d/1xNf0jg-VoFkeAWIHXXgQ9To2JhdzwY2er5aNrteMkM/edit?usp=sharing>

Annex 3.7.e) Power point presentation

Part of module: 3.7 Communication with(in) Communities

Instructions for production and use: This power point presentation may serve as visual reference during delivery of this module. Please note that facilitators are discouraged from rely sole on the power point presentation as visual reference during module delivery, as this is not compatible with the participatory design of the PIM training modules.

Available at:

https://www.dropbox.com/s/7b0jlpdx5o2u814/PPT_Package%20Module%203.7_Communication%20with.in.%20Communities.pptx?dl=0

MODULE 3.8 - Security & Situational Awareness

Core competencies – Skills:

- Makes informed decisions on which systems are needed based on a comprehensive analysis of information requirements (and over time):
- Proactively, critically and collaboratively assesses various stakeholders and initiatives to identify information requirements and to spot linkages.

Module objectives	Module learning outcomes
<p><u>The session will:</u></p> <ul style="list-style-type: none">• Explain security and situational awareness as a PIM category.• Outline where security and situational awareness fits in the Humanitarian Programme Cycle.• Identify the data and information outputs associated with this PIM category.	<p><u>After the session participants will be able to:</u></p> <ul style="list-style-type: none">• Explain security and situational awareness as a source of data and protection relevant information.• Explain security and situational awareness in relation to the Humanitarian Programme Cycle.• Understand how security and situational awareness can serve to meet data and information needs to enable evidence informed action for protection outcomes.

Key messages:

1. Security and incident systems that monitor both the affected population and the ability of humanitarian actors to physically and securely reach people affected by crisis. Such systems would make available information on the overall security situation, issues of humanitarian space and access (including the safety of staff), and other concerns.
2. The output of security and situational awareness systems are: Qualitative and quantitative data and information on the overall security situation and operational environment. Including on humanitarian access, security for all stakeholders, context and conflict analysis, risk indicators, and information on the country's political, military, social and economic information.
3. Protection and interagency decision-making and coordination fora can benefit from systematic absorption of information related to situational awareness, because it enables preventive and proactive actions, both during the preparedness phase of the Humanitarian Programme Cycle and throughout.

Duration: 45 min

Reference: PPT: 3.8 Sec&Sit.Awareness, Module learning sheet: List of recommended resources.

Facilitator preparation:

- Review participants answers to pre-training survey question on experience with Security and Situational Awareness.
- Compose 5 groups (for the group activity “Breaking-down Security and Situational Analysis”) with diversity of experience working with Security and Situational Analysis in each group), and distribute groups codes (e.g. candy or a note with a number – in name tag, in chair, or on Module learning sheet) to participants ahead of module delivery.
- Pre-prepared flipcharts for the 5 group (headings: 1: The Definition, 2: Explanation of the category, 3: Situations in which the output of this category is needed (to inform action for protection outcomes), 4: Why do you need to share this information?, 5: Where do you find sources for information on security?)

Room set-up:

- One plenary space with seating space for all.
- Hang the flip-charts on the walls of a room in which there is space for participants to circulate around (for the group activity “Breaking-down Security and Situational Analysis”).
- A0 Humanitarian Programme Cycle illustration hanging on wall.
- PIM matrix wall (from preceding module 3.1 “PIM Matrix”).

Prints and handouts:

- A4 print out “Security and Situational Awareness” sign for Humanitarian Programme Cycle illustration on wall (Annex 3.8.a).
- Module learning sheet (Annex 3.8.b). Print one per participant for handout.
- Module feedback form (Annex 3.8.c). Print one per participant for handout.

Time	Activity	Resources
10 min	Introduction Plenary (discussion) @table	
	<p>Explain learning objectives.</p> <p>Introduce “Security and Situational Awareness” as a ‘cousin’ category within the PIM matrix:</p> <ul style="list-style-type: none"> ● <i>Not generally performed by humanitarian actors in depth, but of relevance to protection and can enable evidence-informed action or decision making for protection outcomes.</i> <p>Recall the category definition and outputs as per the PIM Matrix (Facilitator note 2).</p> <p>Ask participants to raise hands, “Who has experience in security and situational analysis?”, and whether one of them wants to share their experience around security and situational analysis (non-confidential or sensitive).</p> <p>Based on the examples share, recap components of security and situational awareness as a PIM category (see Facilitator note 1).</p>	PPT,p.1-3
25 min	Breaking-down Security and Situational Awareness. Activity (in five groups) @ large space	
	<p>Split the room into five groups working with the assigned questions (direct them to the pre-hung flip charts on the wall with pre-written titles for them to write their notes on. Each group will have 3 minutes by each flip-chart and should them circulate right to the next one):</p> <ul style="list-style-type: none"> ○ Flipchart 1: Will look at the definition the category (what does this mean to you?) ○ Flipchart 2: Will explain why they think it is a category (explain why/how this category is different from others and thus it’s importance?) ○ Flipchart 2: Will identify in which situations there can be need for data or information produced from this category (specific situations and/or certain places?) ○ Flipchart 4: Will identify why we need to share information on this category (what happens if you don’t share?) ○ Flipchart 5: Will identify the sources of information for this category (If you need to know about the security situation, where will you find this data, information or analysis?) <p>While groups circulate, the facilitator should move around the room to take note of the points written on the flipcharts.</p> <p>Debrief for 10 minutes, by leading the groups from flipchart to flipchart, and striking down on key points noted on the charts, asking participants to elaborate as necessary. Points to be made:</p>	PPT,p.4 Pre-made flipcharts

	<ul style="list-style-type: none"> • <i>Security and incident systems may monitor both the affected population and the ability of humanitarian actors to physically and securely reach people affected by crisis.</i> • <i>Such systems would make available information on the overall security situation, issues of humanitarian space and access (including the safety of staff), and other concerns.</i> • <i>The output of security and situational awareness systems are: Qualitative and quantitative data and information on the overall security situation and operational environment. Including on humanitarian access, security for all stakeholders, context and conflict analysis, risk indicators, and information on the country's political, military, social and economic information.</i> • <i>Protection and Interagency decision-making and coordination fora can benefit from systematic absorption of information related to situational awareness, because it enables enable preventive and proactive actions.</i> • <i>Obtaining information to maintain security and situational awareness, may depending on context, be key for planning and delivering protection response (Facilitator note 2).</i> 	
5 min	Security and Situational Awareness in the Humanitarian Programme Cycle Plenary @tables + HPC wall	
	<p>Explain and put up the “Security and Situational Awareness” by the relevant parts of Humanitarian Programme Cycle on the wall, explaining:</p> <ul style="list-style-type: none"> • Security and Situational Awareness activity typically falls in the ‘Preparedness’ phase of the Humanitarian Programme Cycle. In an emergency response context in the form of Emergency Response Preparedness (ERP), otherwise in the form of contingency planning (See Facilitator note 4). • Data and information derived under this category may however serve as a prerequisite for all phase of the HTC, as it can serve to ensure access to the affected population in unstable security environments. • It may also serve to inform other PIM categories which are cross-cutting throughout the HTC such as protection monitoring. 	<p>PPT,p.5</p> <p>“Situational awareness” sign</p> <p>HPC wall</p>
5 min	Conclusion. Plenary @tables	
	<p>Summarize discussion points, recap module objectives and learning outcomes and answer any outstanding questions.</p> <p>Project moment of Zen video https://www.youtube.com/watch?v=0FVlgSTJK6I (“Englishmen going to Italy”. Full duration 7:04min. Only necessary to show the first 3-4 minutes. Message: Basically... if you don’t understand or are not able to communicate about security risk, then you are in trouble....)</p> <p>Distribute module feedback form (one per participant) and collect the filled in version from participants before module closure.</p>	<p>PPT,p.6-7</p> <p>Projector, speakers and internet</p> <p>Module feedback form (Annex 3.8.c)</p>

Facilitator note 1) Recommended resources

Webpages

Office for the Coordination of Humanitarian Affairs

(OCHA): Thematic Areas: [Humanitarian Access](#), available at:

http://www.unocha.org/sites/dms/Documents/OOM_HumAccess_English.pdf

United Nations System: [Inter-Agency Security Management Network \(IASMN\)](http://www.unsystem.org/content/inter-agency-security-management-network), available at: <http://www.unsystem.org/content/inter-agency-security-management-network>

Tools and templates

Office for the Coordination of Humanitarian Affairs

(OCHA) (2014): [Situational Analysis template](https://www.humanitarianresponse.info/programme-cycle/space/document/situational-analysis-template%C2%A0word-version), available at: <https://www.humanitarianresponse.info/programme-cycle/space/document/situational-analysis-template%C2%A0word-version>

Mercy Corps (2017): [Context, Conflict, and Do No Harm Analysis Worksheet](https://protection.interaction.org/wp-content/uploads/2017/06/Context-Conflict-and-DNH-Analysis-Worksheet-v8.docx), available at:

<https://protection.interaction.org/wp-content/uploads/2017/06/Context-Conflict-and-DNH-Analysis-Worksheet-v8.docx>

Readings

InterAction: [Continuous Context-Specific Protection Analysis](https://protection.interaction.org/elements-of-rbp/continuous-context-specific-protection-analysis/), available at: <https://protection.interaction.org/elements-of-rbp/continuous-context-specific-protection-analysis/>

Inter-Agency Standing Committee (IASC) (2012): Transformative Agenda Reference Document 5. Responding to Level 3 Emergencies: The Humanitarian Programme Cycle, available at:

https://interagencystandingcommittee.org/system/files/legacy_files/5.%20Humanitarian%20Programme%20Cycle%20November%202012.pdf

Office for the Coordination of Humanitarian Affairs (OCHA) (2012): [Access Monitoring and Reporting Framework](https://www.humanitarianresponse.info/en/operations/afghanistan/document/ocha-access-monitoring-reporting-framework), available at: <https://www.humanitarianresponse.info/en/operations/afghanistan/document/ocha-access-monitoring-reporting-framework>

PIM Working Group (2017): [PIM Principles in Action](http://pim.guide/guidance-and-products/product/pim-principles-action/), available at: <http://pim.guide/guidance-and-products/product/pim-principles-action/>

Mercy Corps (2017): [Guidance on Access Negotiations with Armed Groups](https://protection.interaction.org/wp-content/uploads/2017/06/GuidanceAccessNegotiationsWithArmedGroups.pdf), available at:

<https://protection.interaction.org/wp-content/uploads/2017/06/GuidanceAccessNegotiationsWithArmedGroups.pdf>

Stimson Center (2017): [Improving UN Situational Awareness](https://www.stimson.org/NODE/28746): Enhancing the UN's Ability to Prevent and Respond to Mass Human Suffering and to Ensure the Safety and Security of Its Personnel, available at:

<https://www.stimson.org/NODE/28746>

United Nations Office for the Coordination of Humanitarian Affairs (OCHA) (2016): [The Humanitarian Programme Cycle version 2.0](https://interagencystandingcommittee.org/system/files/hpc_reference_module_2015_final_.pdf), available at: https://interagencystandingcommittee.org/system/files/hpc_reference_module_2015_final_.pdf

Facilitator note 2) PIM matrix “Security and Situational Awareness” components

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

Sub-category examples:

- Conflict analysis & assessments (e.g. Sit Reps)
- Situational monitoring & contextual analysis (social, political, economic analysis, incl. scenario building & contingency planning)
- Security risk assessment & security incident reporting / updates, incl. hotspot mapping and mine and UXO surveys / assessments
- Small arms & light weapons (SALW) assessment
- Actor mapping (incl. parties to the conflict), areas of control of armed elements, locations, movements, numbers, configurations, clashes and other security incidents
- Staff safety (attacks on or threats against staff)

- Analysis / update on status of humanitarian or community infrastructure and physical access of humanitarian actors and/ or peacekeeping forces
- Community safety assessment

Methods:

- Observation
- Key informant Interview
- Focus group discussion
- Individual /household interview
- Social media
- News media
- Open and closed sources
- Remote sensing

Specific examples:

- Security Database (UNMAS)
- Information Management System for Mine Action (IMSMA) Database (UNMAS)
- Security incidents & humanitarian access database (OCHA)
- Early warning systems (Govt, UN, NGOs, community level)
- Systems tracking security, access and safety (UNDSS)
- Early warning matrices (UN DPKO)
- Geographic Information Systems (GIS)

Output (data and information):

The output of security and situational awareness systems are: Qualitative and quantitative data and information on the overall security situation and operational environment.

Including information on humanitarian access, security for all stakeholders, context and conflict analysis, risk indicators, and information on the country's political, military, social and economic information.

Data needed to inform decision-making:

- Context analysis
- Conflict analysis
- Statistics about security incidents
- Physical access to areas
- Mines locations and demined areas
- Status of humanitarian or community infrastructures
- Locations of presence of armed elements
- Staff security, safety, and access reporting (incl. stats on staff threats/attacks)

Common units of analysis: Location, time, incident type, sector, actor

Shared data:

- Context analysis
- Conflict analysis
- Statistics about security incidents
- Physical access to areas
- Mine locations and demined areas
- Status of humanitarian or community infrastructures
- Locations or presence of armed elements
- Staff security, safety, and access reporting (incl. statistics on staff threats/attacks)

Sources:

- Affected populations and host communities
- National and local civilian authorities, police, military

- Humanitarian actors
- Peace-keeping forces, incl. international police forces
- Research institutions, academia
- Development actors
- Staff of respective organizations and agencies

Facilitator note 3) Security and situational awareness in relation to protection

- i. A security situation, including access of humanitarian groups to populations of concern
- ii. This is an area where protection interfaces with other capacities in the humanitarian or non-humanitarian (peacekeeping) system and is also about information over which we have no control
- iii. This category touches on freedom of movement of the humanitarian worker
- iv. This category also describes factors in the environment that have an impact on our ability to effectively deliver services in response to whatever is taking place in the local context that hinders or enables our work, wherever we are engaged
- v. This has to do with context analysis, the need to understand a population's, location, size in relation to as well as the source of the conflict, including cause, parties, and interests in order to define where you can and cannot go
- vi. A contextual risk analysis is needed even before the start of any type of protection work or humanitarian response in order to define what the risks are and what response is possible. This provides some of the very first data on a situation, often making information from this category a precondition to response planning
- vii. Unexploded ordnance (UXO) and explosive remnants of war (ERW) belong in this category
- viii. Humanitarian access of actors to affected population variable: Impediments to entry into country (bureaucratic and administrative); and Restriction of movement (impediments to freedom of movement and/or administrative restrictions); and violence against personnel, facilities, and assets
- ix. Access of affected populations to humanitarian actors variables: Denial of needs or entitlements and restriction and obstruction of access to aid
- x. Physical/security-related constraints variables: Active hostilities (impeding humanitarian operations and movement/access of affected population to aid); Presence of mines and improvised explosive devices; and physical environment (obstacles related to terrain, climate, lack of infrastructure)

Facilitator note 4) Security and Situational Awareness in the Humanitarian Programme Cycle

“Preparedness: Preparedness in the context of the Humanitarian Programme Cycle refers primarily to actions taken to enhance the readiness of humanitarian actors, both national and international, to respond to a crisis by implementing the component parts of the cycle. To better enable this, the IASC SWG on Preparedness has developed an approach entitled Emergency Response Preparedness (ERP). ERP comprises: Risk Assessment and Monitoring; Minimum Preparedness Actions (including identification of coordination arrangements); and Contingency Response Planning (including identification of priority early actions to further strengthen readiness). These actions could include prepositioning. They should also include training and simulations to “stress test” plans and familiarize all potential responders, but in particular HCs, HCT, and cluster leads, with their roles and tasks, especially in relation to the cycle. ERP action prior to a crisis assists in identifying constraints and focuses on operational issues; establishes working relationships that are critical in a crisis; reinforces coordination structures and determines what additional structures could be needed, as well as clarifying roles and responsibilities, including the leadership of sector/cluster groups. The ERP approach assumes that plans developed in the response phase (i.e. the Strategic Response Plan) are based on Contingency Response Plans, updated with information on the actual situation (e.g. through elements of the MIRA). In addition, to promote coherence, the ERP also contains a replication of the response checklist in the IASC Handbook for RCs and HCs on Emergency Preparedness and Response.” (Source: *Inter-Agency Standing Committee (IASC) (2012): Transformative Agenda Reference Document 5. Responding to Level 3 Emergencies: The Humanitarian Programme Cycle*, available at: https://interagencystandingcommittee.org/system/files/legacy_files/5.%20Humanitarian%20Programme%20Cycle%20November%202012.pdf)

ANNEXES TO MODULE 3.8

Annex 3.8.a) Security and Situational Awareness sign

Part of module: 3.8 Security and Situational Awareness

Instructions for production and use: Print the “Case Management” sign in A4 and use for hanging on the humanitarian program cycle wall.

Downloadable from: <https://drive.google.com/file/d/1S3Un-EVjm3pwsKdB-NASN1c58iSQCxIZ/view?usp=sharing>

Annex 3.8.b) Module learning sheet: Security and Situational Awareness

Part of module: 3.8 Security and Situational Awareness

Instructions for production and use: The module learning sheet should serve as learning reference point for the participants throughout and after the module. It contains structured space for note taking on key concepts introduced, contains reference tools, definitions and a list of recommended resources for further learning.

Print out available:

<https://docs.google.com/document/d/186QXufkoI5dVNVnnullzWqgNHSM43H2j6kFF73gSC4pk/edit?usp=sharing>

Annex 3.8.c) Feedback form: 3.8 Security and Situational Awareness

Part of module: 3.8 Security and Situational Awareness

Instructions for production and use: The standardized and anonymous feedback form should be handed to participants after completion of the training module (one for each) for immediate completion and return to the facilitator, in order to be used by the facilitator to evaluate the extent to which the module learning objectives have been met through realization of the module learning outcomes. The form will take 3-5 minutes to complete.

Print out available:

<https://docs.google.com/document/d/1zKt4UsVYSwPWsYDAuQSHfPHG4jeXvjnC4LbQAvJnw5M/edit?usp=sharing>

Annex 3.8.d) Power point presentation

Part of module: 3.8 Security and Situational Awareness

Instructions for production and use: This power point presentation may serve as visual reference during delivery of this module. Please note that facilitators are discouraged from rely sole on the power point presentation as visual reference during module delivery, as this is not compatible with the participatory design of the PIM training modules.

Available at:

https://www.dropbox.com/s/3gnwoxn47khtzi7/PPT_Package_3_Module%203.8_Security%20and%20Situational%20Awareness.pptx?dl=0

4



Package 4:

Assessing the Information Landscape

What this package offers:

By providing a process for the guided review of the information landscape in the participant's own operational context, this package sets out to build participants' skills for identifying their information needs for specified purposes, thereby enhancing their ability for informed decisions making on what and how to collect and/or collate data that enables evidence-informed action for quality protection outcomes.

Content:

Module 4.1 – Define Purpose and Information needs (Part I) (2 hours and 20 minutes)

Module 4.2 – Data and Information Review (Part II) (1 hour and 25 minutes)

Module 4.3 – Bridge the gap to meet information needs (Part III) (1 hour and 35 minutes)

Target group: The target group for this package is participant groups of 3-28 persons, which collectively represent intra-organizational teams, and inter-organizational coordination fora – such as a protection cluster and sub-clusters working in the same operational context. The training modules facilitate the assessment of the information landscape in the context in which the participants are working. As such it is pre-requisite for successful module delivery that the participants be deployed in an operational context which they wish to subject to assessment.

Participants in these modules should be familiar with the PIM Process and PIM Principles for example through prior participation in PIM Training Resource Pack package 1.

Instructions for delivery: This package requires delivery in full, i.e., it cannot be split or delivered as isolated modules. It is furthermore essential for the learning stream offered by these modules, that the modules be delivered in sequential order (i.e., start with 4.1, then 4.2, and then 4.3), since each module will generate outputs that will be used at the one that follows.

Delivery of these modules, requires that participants have access to one laptop per group, as well as considerations in advance by facilitator about the most effective way of organizing the groups' work to review documents and to work on a template over the course of the 3 modules (whether online or using USB would be the most favourable depending on the infrastructure available).

Time and preparation required: In addition to the preparation required by the facilitator for delivery of the modules themselves, this module package requires that preparation by the participants – in that they must compile and share documents from/on their operational context prior to the beginning of the PIM training. Materials should be placed in a shared online folder to be created by the facilitator (e.g., with Dropbox). It is advised to inform participants of this task at least 2 weeks prior to the actual module session, with a clear deadline for uploading well in advance.

MODULE 4.1 – Define Purpose and Information needs (Part I)

Core competency – Skills:

- 1) Analyse IM environment to inform methodology design and operational planning;
- 2) Ability to establish partnerships with other sectors and to spot linkages and synergies for PIM systems with other processes;
- 3) Proactively, critically, and collaboratively assesses various stakeholders and initiatives to identify information requires and to spot linkages.

Module objectives	Module learning outcomes
<p><u>The session will:</u></p> <ul style="list-style-type: none">• Describe how the assessment of the information landscape in a specific operational context is the first step towards creating an evidence base for protection analysis, strategy and response• Distinguish information needs, data needs, and purpose in a data plan.	<p><u>After the session participants will be able to:</u></p> <ul style="list-style-type: none">• Relate the PIM Process step of “Assess information landscape” to creating an evidence base for protection analysis, strategy and response;• Identify the purposes of specific information needs in a data plan for own context.

Key messages:

1. Assessing the information landscape i.e., clearly identifying what information is needed for defined purpose(s) and what information is available - is the first step towards designing and implementing any PIM activity (category) or system, including protection analysis, strategy, and response (What do we need? → What do we have? → Where are the gaps and how do we fill them?).
2. Formally identifying information and data needs and purpose in a data plan will help a team identify and prioritize what it needs to know (compared to what would be “nice” to know) and to link this explicitly to specified purpose(s) and use.
3. Information needs should be tied to a purpose (who will use the information and why), be anchored in the broader strategic environment, and be specific (to who and where).

Duration: 2 hours and 20 minutes (140 minutes)

Reference: PPT: 4.1 AIL_Part I, Module learning sheet: Instructions for group work, Instructions for compilation of documents for analysis (for reference only, as should have been completed prior to the module), “Roadmap” template for assessment of information landscape (Part I), note taking space for ‘Protection & IM collaboration’ exercise.

Facilitator preparation:

- Review relevant resources listed in Facilitator note 1.
- Ensure that participants are familiar with the PIM Process ahead of the training event (for example through circulation as preparatory reading).
- Establish a shared online workspace (Dropbox or Google folder – in low connectivity environments, USB keys may be an alternative):
 - a) For these modules, it is a pre-requisite that participants have shared documents from/on their operational context prior to the training (see Annex 4.1.b for an example of a request). The facilitator should have read these materials prior to the modules. It is advised to inform participants of this task at least 2 weeks prior to the actual module session, with deadline for uploading well in advance.
 - b) Soft copy of “Roadmap” template (Part I, Annex 4.1.d) should also be available in the online folder (i.e. Google sheet) prior to module delivery.
- Split participants into groups of maximum 5, based on operational or cluster or AoR affiliation (ensure that at least 1 person in each group has actual affiliation with the forum which the group is assigned). Each group should have a laptop to work with.

Room set-up:

- Plenary and opportunity for group break-outs into separate spaces/group rooms.
- Flipchart for each group to facilitate their discussions.
- Access to internet (in order to access shared online workspace with resources to be used during session. USB may be used as alternative in low connectivity environments).
- Projector and sound system.
- A0 sized illustration of PIM Process should be up on the wall.

Prints and handouts:

- Module learning sheet (Annex 4.1.a). One per participant.
- Instructions for compilation of documents for analysis (Annex 4.1.b). Should be shared with participants ahead of the training (see Facilitator preparation instructions above).
- Group instructions for Assessing the Information Landscape (Annex 4.1.c). One per participant.
- “Roadmap” template for assessment of information landscape, Part I (Annex 4.1.d). Should be placed in Google sheet for participants to access (see Facilitator preparation instructions above).
- Module feedback form (Annex 4.1.d). One per participant.

Time	Introduction Presentation@plenary	Resources
5 min	<p>Distribute the Module learning sheet (one per participant) and (based on the target group) also the group instructions for Assessing the Information Landscape (one per participant).</p> <p>Explain module objectives and the logical sequencing and analytical progression throughout the three “Assess Information Landscape” modules (What do we need? → What do we have? → Where are the gaps and how do we fill them?).</p> <p>Specify that the 3 ‘Assess Information Landscape’ modules:</p> <ul style="list-style-type: none"> ● <i>Carefully unpack the actions to take under Step 1 of the PIM Process</i> ● <i>Are not revolutionary, but rather represent best practice about key actions that should be done systematically, collaboratively and in a principled way (like all other PIM work);</i> ● <i>Will introduce a “Roadmap” template for assessing the information landscape that is focused on the process steps rather than the recommendation of specific tools;</i> ● <i>Do not set out to build capacity on how to do a full protection analysis, but rather focus on the foundational elements that are necessary to assessing the information landscape, as one step in the PIM Process</i> <p>Explain the module objectives and learning outcomes.</p>	PPT p. 1-2
10 min	<p>Towards an evidence basis for protection analysis, strategy and response Presentation@plenary</p>	

	<p>Referring to the title of this module, open an exchange among participants and explain what is meant by “your information landscape”:</p> <ul style="list-style-type: none"> • <i>Your “information landscape or ecosystem”: this is the information that is ‘out there’ on your operational environment (the crisis, the affected persons, and the response), regardless of its source or the methodologies used. It encompasses not just the information and data itself but also the data subjects, the data providers, and the data users, as well as the ways in which the data is processed, analysed, stored, and shared.</i> <p>Humanitarians enter a setting and they want to do “something”. But what? And how? What we want is a more effective protection response, for better protection outcomes. The question is how we get there. Recall the steps of the PIM Process, and explain how these Assessing Information Landscape modules represent Step 1.</p> <p>The process for development of a protection response, has 4 steps:</p> <ol style="list-style-type: none"> 1. Assess your information landscape (i.e. mapping your own data and info needs and those of other stakeholders against your defined purpose) in order to be able to gather the information you need to analyse the situation or design a PIM system- This is the evidence base on which you base your planning and response. 2. Obtain and analyse evidence. 3. Develop a Humanitarian Needs Overview and Humanitarian Response Plan or a specific protection strategy that includes prioritized response areas and the activities required (and which should inform the formulation of protection priorities and expected outputs). 4. Implement (inclusive of response monitoring and evaluation) <p>THEREFORE</p> <ol style="list-style-type: none"> 1. Assess information landscape: the process that generates a shared understanding of the purpose(s) (what are we trying to achieve?) and the associated information needs (what do we need to know to achieve it?) - and one step towards developing an evidence basis; 2. Analysis of data which generates findings and conclusions; 3. Protection strategy: Type of response plan; 4. Protection response: The activities that implement the vision and actions set out in the strategy. <p>In this module, we will look at how we go from wanting to do something to implementing an effective protection response - From “We need to do something” to “I now have an informed response plan”.</p> <p><u>The Roadmap is the process that allows you to assess your information landscape:</u></p> <p>1. What do we need to know and why: The first step is to identify what you need to know and why, i.e., your information needs and their associated purposes (or your purposes and their associated information needs).</p> <ul style="list-style-type: none"> - Purpose specification is a key step. It is not possible to think about tools (even though the discussion often starts with tools) without clarity about the purpose and the information that is needed to support that purpose. Only then is it possible to identify the right system and tools that will generate the information that is needed. <p>2. What do we have: Once you know what information you need, you can compile everything you have. This includes both the information that you generate (primary</p>	<p>PPT p. 3-12</p> <p>PIM Process visual reference</p>
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	<p>data) and the information produced by others (secondary data) (We will address this in the second module of this package). You have to systematically sort, store, and organize it so you can make sense of what you have.</p> <p>3. What is the gap: You can then assess the extent to which there is a match between what you have and what you need. Is there a gap? There are two possible answers:</p> <p>A: Yes, I have the information I need! Great!</p> <ul style="list-style-type: none"> In that case, does anyone else need the data, too? Think about the information needs of the wider humanitarian community, not just your own... You may need protocols to share the data responsibly and safely. <p>B: No, I don't have the information I need = there is an information gap.</p> <ul style="list-style-type: none"> The obvious question that follows? (ASK PARTICIPANTS): How can you fill the gap? (We will address gaps in the final and third module of this package). 	
15 min	<p>How to identify information needs for specified purposes? All@plenary</p>	
	<p>Show the Roadmap template Part I (which is used in this module and available in the PPT and in the Module learning sheet).</p> <p>Explain that one way to systematically go through the steps in the Roadmap described above is to use a 'Data Plan' (a simple Excel spreadsheet) (Facilitator note 3). The template helps you structure a conversation in the team about your specific information needs for a defined purpose, the associated data needs, to review available data, and to assess the existence of information gaps. In this module 4.1, we will focus on the first sub-step of the PIM Process, namely "Define Purpose and information". Recall as necessary what the PIM Process and its steps are.</p> <p>The template also helps you be very specific about the information need, via columns that allow you to specify the population characteristics (who) and geographic characteristics(when) to which the information need is attached:</p> <ul style="list-style-type: none"> "Who": You have an information need, but about 'who' exactly? Can you specify that information need to certain groups within an affected population (e.g., by status (IDPs, refugees, returnees), IDPs displaced prior to X, or refugees from country of origin A), to certain profiles (e.g., in relation to age, gender, ethnicity, religion, political affiliation, occupation, education, etc.), or to certain vulnerability groups (based on your organization's typology)? ; "Where": You have an information need, but about something that is happening or some people who are 'where', exactly? Do you need to know about something in urban and/or/vs. rural areas, in coastal and/or/vs. inland areas, in locations that are closer and/or/vs. further from the crisis zone? Is the information need tied to a location, such as border crossings, reception centres, checkpoints, debarkation points, or detention centres? <p>The template also helps you think about the 'data needs' that are associated with the information need:</p> <ul style="list-style-type: none"> For example, if you need to know about adolescents' negative coping mechanisms, you may require the following to meet that information need: a standard list (typology) of coping mechanisms, a classification of age brackets used in the context, and a list of actors who are working on these issues. 	<p>PPT p. 13-21</p> <p>Roadmap template (Part I)</p> <p>PIM Process visual reference</p>

5 min	Debriefing. All@plenary	
	Repeat the module key messages, recap the module learning objectives, and answer any outstanding questions required to ensure that participants walk away with the intend module learning outcomes.	PPT, p. 23-24
	Project the “Moment of Zen”: https://www.youtube.com/watch?v=Ahg6qcgoay4 (“Test your awareness”, duration: 1.08 min, message: When identifying your information needs, it is easy to be (too) focused on the details and to lose sight of the bigger picture -- and miss important things).	Projector, speakers and internet
	Distribute module feedback form (one per participant) and collect the filled in version from participants before module closure.	Module feedback form (Annex 4.1.d)

Facilitator note 1) Relevant resources

Prior to delivering this module, it is recommended that the facilitator familiarize themselves with the below listed resources which are referenced during the module and/or listed in the Module learning sheet:

PIM resources

PIM Process, available at: <http://pim.guide/guidance-and-products/product/pim-process/>

PIM Principles in Action (2017), available at: <http://pim.guide/guidance-and-products/product/pim-principles-action/>

PIM Matrix, available at: <http://pim.guide/guidance-and-products/product/pim-matrix-cover-page/>

Other guidance

Global Protection Cluster: [Protection Cluster Coordination Toolbox](http://www.globalprotectioncluster.org/en/tools-and-guidance/protection-cluster-coordination-toolbox.html) (online repository of resources), available at: <http://www.globalprotectioncluster.org/en/tools-and-guidance/protection-cluster-coordination-toolbox.html>

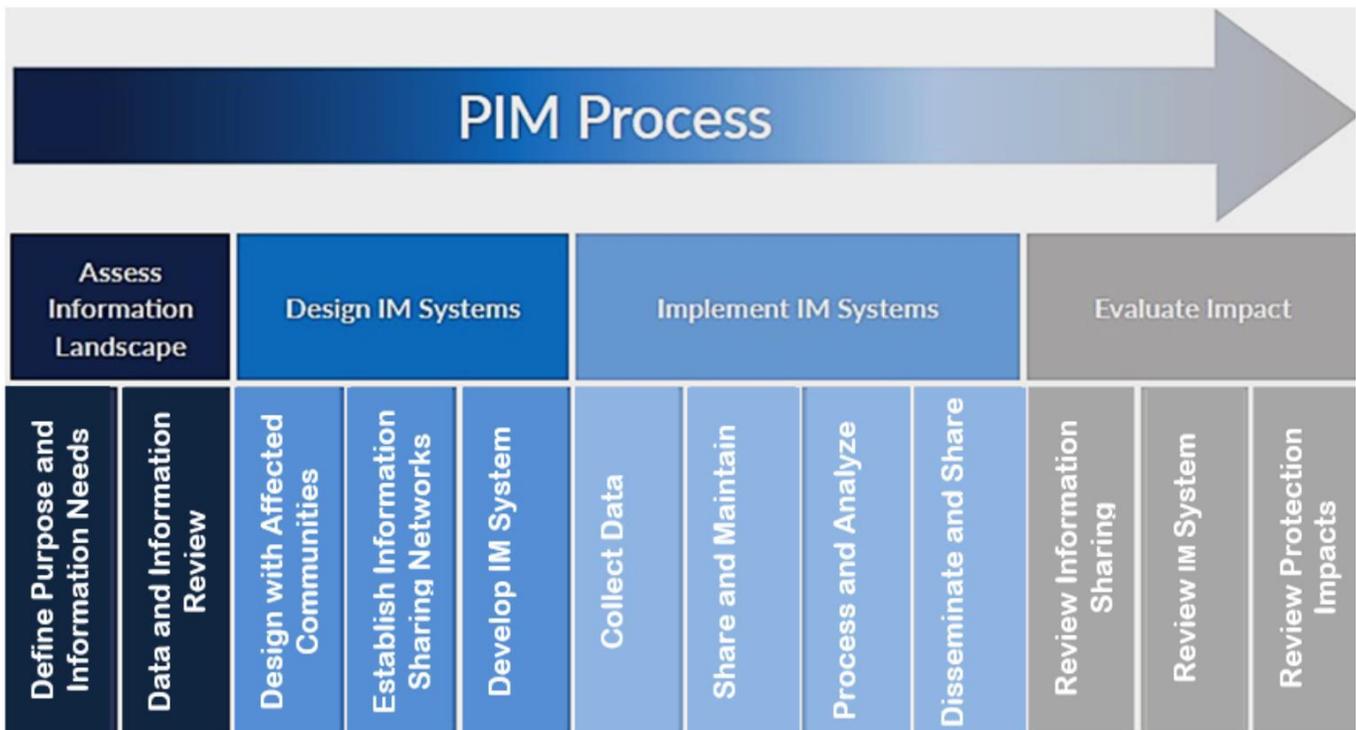
Global Protection Cluster (2016): “Humanitarian Country Team Protection Strategy: Provisional Guidance Note”, available at: http://www.globalprotectioncluster.org/assets/files/news_and_publications/hct-protection-strategies-provisional-guidance-final-september-2016.pdf

InterAction: [Continuous Context-Specific Protection Analysis](https://protection.interaction.org/elements-of-rbp/continuous-context-specific-protection-analysis/), available at: <https://protection.interaction.org/elements-of-rbp/continuous-context-specific-protection-analysis/>

Inter-Agency Standing Committee (IASC) (2016): [Policy on Protection in Humanitarian Action](https://interagencystandingcommittee.org/protection-priority-global-protection-cluster/documents/inter-agency-standing-committee-policy), available at: <https://interagencystandingcommittee.org/protection-priority-global-protection-cluster/documents/inter-agency-standing-committee-policy>

Facilitator note 2) PIM Process

The PIM Process provides guidance on the steps to be undertaken when developing, implementing or renewing a protection information management response / set of activities. While the four higher-level steps — Assess Information Landscape, Design IM Systems, Implement IM Systems, and Evaluate Impact are prescriptive and should be followed in this sequence, the sub-steps under these do not have to be done in the sequence in which they are presented.



(Source: *PIM Working Meeting, September 2016*, available at: http://pim.guide/wp-content/uploads/2017/01/Protection-Information-Management-Working-Meeting-Outcome-Document_September-2016.pdf)

Facilitator note 3) “Roadmap” template for assessment of information landscape – Part I

PART I					
#	What do we need?	Why do we need it?	What do we need? -- in Detail		
	Identify the Information Needs	Define the Specific Purpose(s)	Identify the Specific Information Needs		Identify the Associated Data Needs
	<i>Information about what?</i>	<i>Why do we need it? Who will use it? For what?</i>	<i>... info about who, exactly? (Population Characteristics)</i>	<i>... info about where, exactly? (Geographic Characteristics)</i>	<i>What data do we need to meet the information need?</i>
1					
2					
3					

Facilitator note 4) Guiding instructions for using the “Roadmap” template

To ensure that the participants understand of the data plan template before they work with it in groups, the facilitator may want to explain it drawing on the below listed explanations and examples:

- 1) Anchors to guide (*but not constrain*) the process of completing the template (by defining the priority focus areas):
 - 2018 HRP
 - Protection Sector Strategy

- Sub-cluster specific strategies
 - Other relevant strategic or response documents uploaded by participants onto the shared drive
- 2) In the groups, you should have a conversation about WHY something is an information need (not the “nice” or “interesting” to know, but what you NEED to meet the objective (and overall, achieve better protection outcomes, within your mandate). Each information need can have many purposes, e.g. the below listed:
- Identify protection issues
 - Identify information gaps
 - Identify response gaps
 - Design programmes
 - Monitor programmes
 - Create evidence base for advocacy
 - Prioritize advocacy interventions
 - Select partners
 - Report against HRP indicators
 - Report on protection issues identified in our strategy
- 3) Be specific and think in terms of modularised analytical topics rather than narrative questions (i.e., avoid getting stuck trying to formulate a question, as if it was a questionnaire)
- Ex (avoid): “Are GBV survivors satisfied with the specialized psycho-social services they received from identified service providers in the context of the humanitarian response in locations where GBVIMS is implemented?”
 - Vs. (recommended): GBV-PSS-Satisfaction
 - i. Or, you may also want to know about ...
 1. GBV-PSS-Existence of
 2. GBV-PSS-Existence of-Pre-conflict
 3. GBV-PSS-Existence of-Post-conflict
 4. GBV-PSS-Extent to which child-friendly
 5. GBV-PSS-Access-Levels of
 6. GBV-PSS-Access-Barriers to
- 4) Specify **whom** you need to know something about? (“What do I need to know... about who exactly?”). Define the population characteristics (also known as one type of analytical category)
- ii. POC groups:
 - 1) IDPs
 - 2) IDP-returnees
 - 3) Refugees
 - 4) Refugee-returnees
 - 5) Migrants
 - 6) Host communities
 - 7) Non-displaced population
 - 8) Everyone
 - iii. Profile (e.g., by gender, age, ethnicity, religion, etc.)
 - iv. Socio-economic groups (e.g., by education or occupation)
 - v. Vulnerability groups
- 5) Specify the where you need to know something about (“What do I need to know about who... and where exactly? Define the **geographic characteristics** (also known as one type of analytical category)
- a. Urban vs. rural
 - b. Camp vs. non-camp

- c. Inland vs. coastal
- d. Distance from fighting
- e. Detention centres
- f. Debarkation sites
- g. Border crossings
- h. Check points

6) Once you have defined your information needs – then set out to define what DATA you require to support/meet that information need?

- i. Example
 - i. Information Need: Child Protection-Negative Coping Mechanisms
 - ii. Who: Adolescent Girls
 - iii. Where: Detention Centers
 - iv. Data Needs (examples)
 - Standard (agreed-upon) list of negative coping mechanisms
 - Standard (agreed-upon) classification for “adolescence” age bracket
 - List of detention centres with locations
 - List of partners and other actors present in those locations

ANNEXES TO MODULE 4.1

Annex 4.1.a) Module learning sheet: Define Purpose and Information needs

Part of module: 4.1 Assessing the Information Landscape (Part I): Define Purpose and Information needs

Instructions for production and use: The module learning sheet should serve as a learning reference point for the participants throughout and after the module. It contains a structured space for note taking on key concepts introduced, reference tools, definitions and a list of recommended resources for further learning.

Print out available: <https://docs.google.com/document/d/1VyN-u4AI1bvlLRDuRSPoWvAlovd6kali9V6qmislZ1d4/edit?usp=sharing>

Annex 4.1.b) Instructions for compilation of documents

Part of module: 4.1 Assessing the Information Landscape (Part I): Define Purpose and Information needs

Instructions for production and use: This document should be circulated to participants before the training event. For these modules, it is a pre-requisite that participants have shared documents from/on their operational context prior to the training, and the facilitator should have read them as well. Materials should be placed in a shared folder such as Dropbox/Google (to be set up by the facilitator for the training). It is advised to inform participants of this task at least 2 weeks prior to the date of the module delivery, with deadline for uploading well in advance.

Print out available:

https://docs.google.com/document/d/1Q8vje1zoK1Y94_A8obdKxI9m3BPxoUks9ARxiG7IRV4/edit?usp=sharing

Annex 4.1.c) Group instructions for Assessing the Information Landscape

Part of module: 4.1.c Assessing the Information Landscape (Part I): Define Purpose and Information needs

Instructions for production and use: Depending on who the training targets, the participants should either be divided into groups as 1) per their operation (if the training brings together participations from several operations) or 2) based on the coordination fora in the targeted operation which they represent (if training brings together only participants from one operation). If the training brings together participants without common denominators in relation to operation or coordination forum in the same operation, then the facilitator should split the participants into 5 groups by assigning a coordination forum based on generic areas of responsibility as per the IASC Protection Policy on Protection in Humanitarian Action (2016) – the instructions in this document will serve as guidance for participants.

Print out available: https://drive.google.com/file/d/14-7ZFta3XR_EuUwyPtp2ndjZ0vfsGxq7/view?usp=sharing

Annex 4.1.d) Road map template (Part I)

Part of module: 4.1 Assessing the Information Landscape (Part I): Define Purpose and Information needs

Instructions for production and use: As per module instructions.

Print out available: <https://docs.google.com/spreadsheets/d/160pG-K8Dprt9jD35hG9ROmnRpQbP1DvbidqmvgrtGzE/edit?usp=sharing>

Annex 4.1.e) Feedback form: 4.1 Assessing the Information Landscape (Part I)

Part of module: 4.1 Assessing the Information Landscape (Part I): Define Purpose and Information needs

Instructions for production and use: The standardized and anonymous feedback form should be handed to participants after completion of the training module (one for each) for immediate completion and return to the facilitator, in order to be used by the facilitator to evaluate the extent to which the module learning objectives have been met through realization of the module learning outcomes. The form will take 3-5 minutes to complete.

Print out available: https://docs.google.com/document/d/1kAu4RPq-q_kKhEgsaflubnmMYQRCjCjLn2bOwyflgoQ/edit?usp=sharing

Annex 4.1.f) Power point presentation

Part of module: 4.1 Assessing the Information Landscape (Part I): Define Purpose and Information needs

Instructions for production and use: This power point presentation may serve as visual reference during delivery of this module. Please note that facilitators are discouraged from relying solely on the power point presentation as visual reference during module delivery, as this is not compatible with the participatory design of the PIM training modules.

Available at:

https://www.dropbox.com/s/c94ujv5760pt99y/PPT_Package%204_Module%204.1_AIL_Part%20I.pptx?dl=0

MODULE 4.2 – Data and Information Review (Part II)

Core competency – **Skills:**

- 1) Analyse IM environment to inform methodology design and operational planning;
- 2) Ability to establish partnerships with other sectors and to spot linkages and synergies for PIM systems with other processes;
- 3) Proactively, critically, and collaboratively assesses various stakeholders and initiatives to identify information requires and to spot linkages.

Module objectives	Module learning outcomes
<p><u>The session will:</u></p> <ul style="list-style-type: none">• Explain the purpose of secondary data reviews (SDR) (what, why, when);• Discover how existing data sources may meet information needs.	<p><u>After the session participants will be able to:</u></p> <ul style="list-style-type: none">• Describe the purpose of secondary data reviews (SDR) (what, why, when);• Discover how existing data sources may meet the information needs identified in own operational context.

Key messages:

1. Assessment of the information landscape is a key step of the PIM Process, and helps you start developing the evidence basis for your defined purposes (including protection analysis and strategy).
2. A secondary data review (SDR) is the rigorous and systematic process of identifying, collating, organizing, summarizing, assessing, and analysing relevant information that is available from different sources.
3. The SDR should be guided by the findings of and decisions made in the first sub-step of “Assess information landscape”, namely the specified information needs and their purpose(s).
4. It is important to develop the habit of conducting SDRs and using secondary data (after first identifying and assessing it for reliability and accessibility), and of exploring data sharing options if data is not public rather than collect information ourselves to meet our information needs – to avoid harm to /burden on data subjects and collectors, and to avoid wasting resources (as per PIM Principles of Do no Harm and Coordination & Collaboration).

Duration: 1 hour and 25 minutes (85 minutes)

Reference: PPT: 4.2 AIL_Part II, Module learning sheet; SDR definition, Roadmap template template Part II, recommended resources for further reading.

Facilitator preparation:

- Review the relevant resources listed in Facilitator note 1.
- Preparations for this module should be completed prior to delivery of preceding module 4.1 (See instructions in 4.1 module description above).

Room set-up:

- Participants to be seated in groups (based on the split prepared by facilitator for preceding module 4.1).
- Plenary room and separate spaces/rooms for group work.
- Projector and sound system.
- A0 sized illustration of PIM Process illustration up on wall (from preceding module).

Prints and handouts:

- Module learning sheet (Annex 4.2.a). Print one for each participant.
- Road map template Part I+II should be available (in softcopy – on USD/Google sheet/Dropbox). (*Participants will be building on their work from module 4.1 by extending their assessment to SDR-related issues via new columns in the template*).
- Module feedback form (Annex 4.2.c). One per participant.

Time	Introduction All@plenary	Resources
5 min	<p>Explain the module objectives, and handout the Module learning sheet.</p> <p>Explain that participants will remain in their groups from module 4.1, and continue to work on their template (completed in module 4.1 with the information needs specific to who and where, the associated data needs, and the purpose) by moving to the next step of looking at “information haves” through a secondary data review.</p>	<p>PPT,p.1-4</p> <p>Module learning sheet</p>
10 min	<p>Secondary data review All@plenary</p> <p>Ask a participant to read out the “secondary data review” (SDR) definition: <i>A rigorous and systematic process of identifying, collating, organizing, summarizing, assessing, and analysing relevant information that is available from different sources.</i></p> <p>Ask if any of the participants can explain what “Secondary data” is? Ensure that the conclusion is drawn that it is: <i>data that has been collected by another actor for another purpose, whereas primary data is data we have collected ourselves for a defined purpose (to meet a specific information need).</i></p> <p>Lead a brief exchange on the what, why and when of SDR:</p> <p>WHAT (what are the ‘different sources?’):</p> <ul style="list-style-type: none"> ● <i>External (secondary) sources, such as from governments, international and national NGOs, UN agencies, media, academic journals, etc.</i> ● <i>A full review would also include internal (primary) sources.</i> ● <i>A full review of the ‘information landscape’ (rather than ‘just’ the available information) would also include a mapping of the systems that exist in the context (owners, locations, levels and types of data, and outputs)</i> ● <i>NB: Some sources are more reliable than others. We have a responsibility to be critical users of the information that is out there.</i> <p>WHY:</p> <ul style="list-style-type: none"> ● <i>The specific purposes will vary, but the general goal (and benefit!) of an SDR is to make good use of available information rather than go out and collect primary data ourselves. Someone else may have already generated the information you require to meet your defined purpose and information needs.</i> ● <i>As per the good practice of the PIM Process, we need to get into the habit of first assessing the data landscape, <u>collating</u> available data, assessing it for reliability, exploring data sharing options if data is not public, and using it – rather than collecting primary ourselves every time we have an information need to avoid potential harm to burden on data subjects and collectors (also in line with PIM Principles).</i> <p>WHEN:</p> <ul style="list-style-type: none"> ● <i>In the preparedness phase: Collate all known information about key country data (by sector if possible), in order to facilitate the comparison of pre- and post-crisis indicators and the analysis of crisis impact.</i> ● <i>Anytime you have an information need: The information might be out there, you don’t need to rush out and collect it yourself). Refer to the first step of the PIM Process (“Assess information landscape”) – to illustrate that the secondary data review needs to take place before Design and Implementation.</i> 	<p>PPT,p.5-7</p> <p>PIM Process visual reference</p>

5 min	Sources which can meet information needs All@plenary	
	<p>Preparing the groups to continue the exercise with the roadmap template (begun during module 4.1), introduce in plenary the pillars (columns) that have been added to the Roadmap template for Part II:</p> <ul style="list-style-type: none"> ● <i>In this module, the groups will continue to work on the template, by exploring what is out there to meet the information needs identified in preceding module.</i> ● <i>Recall that participants populated the Dropbox/Google drive prior to the training – there may be valuable information in it! During this session, you must use this!</i> ● <i>Explain the new elements of part II of the Roadmap template (See Facilitator notes 2 and 3 below).</i> ● TIP: Groups should focus on identifying the source(s), and then move to the columns that assess the source(s) to avoid getting stuck. Each source should be assessed separately (add rows as necessary). 	<p>PPT,p.8-9</p> <p>Road map template (Part II) (link to electronic version)</p> <p>Link to Dropbox/Google drive populated prior to training</p>
55 min	Group work @break-out rooms	
	<p>Groups move into separate work spaces and proceed to assessing the information landscape based on the instructions and guidance provided (adding content to the Part II columns in the roadmap template).</p> <p>Throughout the group work, the facilitator should move around to listen in on the conversations, and to offer guidance as required.</p> <p>Before reconvening in plenary, groups should save the updated template on the USB/Dropbox/Google folder with reference to the group title.</p>	<p>PPT,.10</p> <p>Link to Dropbox/Google drive populated prior to training</p>
5 min	Wrapping up secondary data review @plenary in main room	
	<p>Explain that the final debriefing on this group work with the template will take place in the next module (4.3).</p> <p>Explain that: You have now completed a secondary data review (SDR) based on your operational context. We will now take a minute to introduce an important resource for SDRs in emergency context which is designed to identify strategic humanitarian priorities during the first weeks following an emergency: The Multi-Cluster Rapid Needs Assessment (MIRA) (See Facilitator note 4).</p> <ul style="list-style-type: none"> - <i>As an analytical framework, the MIRA helps you both to identify the ‘what’ you need to know (Module 4.1), and to organize your secondary data review along pre-defined categories (this module).</i> <p>Conclude by relating the SDR exercise back to the PIM Process and Principles (SDRs are part of responsible data practices. They ensure we make the best use of available information and responsibly share information, and thereby reduce duplication, wasted resources, and the potential burden on and harm to both data subjects and collectors, as per PIM Principles of Do no Harm, and Coordination and Collaboration).</p>	<p>PPT,p.11</p>
5 min	Closure @plenary in main room	
	<p>Repeat the module key messages, recap the module learning objectives, and answer any outstanding questions required to ensure that participants walk away with the intended module learning outcomes.</p> <p>Project the “Moment of Zen” video (0:42 sec, “The X-files intro opening theme”, https://www.youtube.com/watch?v=rbBX6aEzEz8, message: Like the truth, information is out there...)</p> <p>Distribute module feedback form (one per participant) and collect the filled in version from participants before module closure.</p>	<p>PPT,p.12-13</p> <p>Projector, speakers and internet</p> <p>Module feedback form (Annex 4.2.c).</p>

Facilitator note 1) Relevant resources

Prior to delivering this module, it is recommended that the facilitator familiarize themselves with the below listed resources which are referenced during the module and/or listed in the Module learning sheet:

Assessment Capacities Project (ACAPS): Spotting Dubious Data (poster), available at: <https://www.acaps.org/spotting-dubious-data-illustration-poster>

Assessment Capacities Project (ACAPS) (2014): Humanitarian Needs Assessment – The Good Enough Guide, available at: https://www.acaps.org/sites/acaps/files/resources/files/humanitarian_needs_assessment-the_good_enough_guide_2014.pdf

Assessment Capacities Project (ACAPS) (2014): [Technical Brief - Secondary Data Review: Sudden Onset Natural Disasters](https://www.acaps.org/sites/acaps/files/resources/files/secondary_data_review-sudden_onset_natural_disasters_may_2014.pdf), available at: https://www.acaps.org/sites/acaps/files/resources/files/secondary_data_review-sudden_onset_natural_disasters_may_2014.pdf

Assessment Capacities Project (ACAPS) (2017): Expert Judgement: The use of expert judgement in humanitarian analysis – Theory, methods and applications, available at: https://www.acaps.org/sites/acaps/files/resources/files/acaps_expert_judgment_-_summary_august_2017.pdf

Danish Refugee Council (DRC) (2016): Protection Analysis Guidance (Protection in DRC), available at: <https://drive.google.com/file/d/1BTAYcLZbqXppvNslHt9I04t44cZ90qcn/view?usp=sharing>

InterAction: Continuous Context-Specific Protection Analysis, available at: <https://protection.interaction.org/elements-of-rbp/continuous-context-specific-protection-analysis/>

Inter-Agency Standing Committee (IASC) (2015) Multi-Sector Initial Rapid Needs Assessment Guidance, available at: <https://www.humanitarianresponse.info/en/programme-cycle/space/document/multi-sector-initial-rapid-assessment-guidance-revision-july-2015>

United Nations High Commissioner for Refugees (UNHCR): Needs Assessment for Refugee Emergencies Checklist [v. 1.0](https://cms.emergency.unhcr.org/documents/11982/50204/UNHCR%2C+NARE+Full+Version/1b59a63a-ade8-4129-a4fc-30bc0cddaf89), available at: <https://cms.emergency.unhcr.org/documents/11982/50204/UNHCR%2C+NARE+Full+Version/1b59a63a-ade8-4129-a4fc-30bc0cddaf89>

United Nations Children’s Fund & Assessment Capacities Project (ACAPS) (2015): A Guidance Note: The multi-sector analytical framework for secondary data reviews in emergencies, available at: <http://nutritioncluster.net/wp-content/uploads/sites/4/2016/07/160406-Guidance-Note-UNICEF-Final.pdf>

Facilitator note 2) Roadmap template for assessing information landscape – additional pillars for Part II

PART II				
What do we have?				
Sources	Type	Reliability	Accessibility	Frequency
<i>Where can we find the information?</i>	<i>Primary Secondary</i>	<i>Bad Good Unsure</i>	<i>Bad Good Unsure</i>	<i>Daily, Weekly, Bi-weekly, Monthly Quarterly, ...</i>

Facilitator note 3) Guiding instructions for using the Roadmap template (Part II)

Preparing the groups to embark on working with part II of the roadmap template, the facilitator may want to present it drawing on the following explanations and examples:

- **Sources:**
 - Review the resources (reports, datasets) uploaded to the Dropbox/Google drive ahead of the training – they may be sources to meet your defined information needs!
 - Think about the sources suggested by the elements you put in the column ‘Associated data needs’
 - Think beyond your sector!
- **Type:**
 - Primary data: Data we have collected ourselves for our specified purpose, e.g.: through focus group discussions, surveys, data from databases such as UNHCR’s ProGres, observations, KII, household-level surveys, etc.
 - Secondary: Data others have collected, likely for another purpose, e.g. Government and NGO reports, think tank reports, survey data, best practice reports, census data, academic papers, media reports.
- **Reliability**
 - How reliable is the source?
 - If low reliability: Do we have alternatives? Or is it “good enough”? Or better than nothing?
- **Frequency**
 - How often is the source made available?
- **Accessibility**
 - How good is our access to the source?

Facilitator note 4) Multi-Sector Initial Rapid Needs Assessment (MIRA) Guidance

(Source: *Inter-Agency Standing Committee (IASC) (2015): Multi-Sector Rapid Needs Assessment – Guidance, Available at: <http://cpwg.net/wp-content/uploads/sites/2/2015/03/MIRA-2015-final.pdf>*)

Excerpts:

The IASC Transformative Agenda recognized the critical role of needs assessment as a basis for overall and cluster strategy development; agreed that needs assessment should be well coordinated, rapid and repeated/reviewed as necessary to reflect the changing dynamics, drivers and needs in each country and agreed that the results of needs assessments should inform the overall strategic planning and prioritization process.

Needs assessment represents one step in the Humanitarian Programme Cycle (HPC) [...]and supports the response analysis conducted for strategic response planning.

The Multi-Cluster/Sector Initial Rapid Assessment (MIRA) is a joint needs assessment tool that can be used in sudden onset emergencies, including IASC System-Wide Level 3 Emergency Responses (L3 Responses).

The MIRA is implemented through a phased process of secondary and primary data collection, joint analysis and reporting. It takes place in the first two weeks following a disaster. Having a contextualized and adapted MIRA preparedness package in place before a crisis strikes will help ensure a successful MIRA exercise.

What the MIRA can deliver

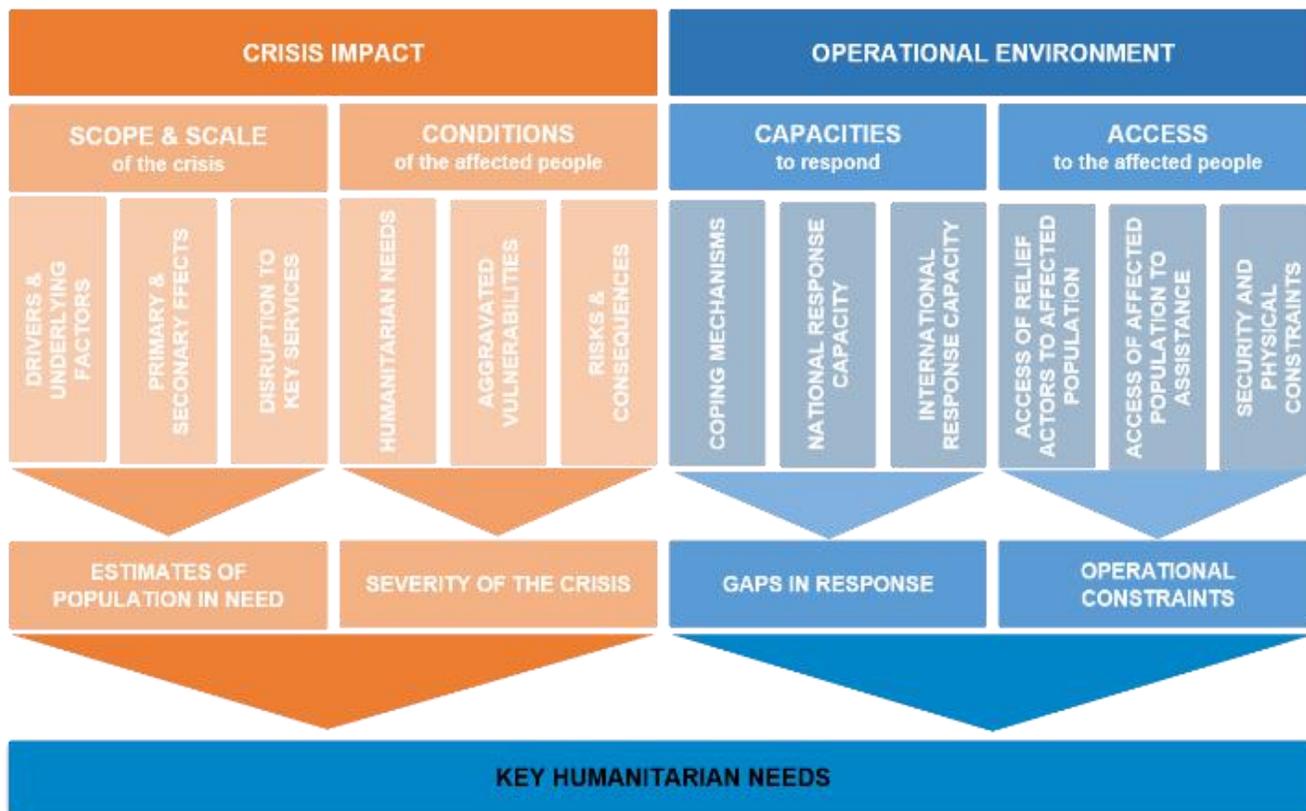
- An initial common understanding of the most pressing needs affected areas, and groups
- A voice for the affected population
- Information to help guide the planning of subsequent assessments which are more detailed and operationally specific
- An evidence base for response planning

- A light, fast inter-agency process based on global best practices in rapid needs assessment

What the MIRA does not provide

- Information to directly inform the design of specific and localized humanitarian interventions
- Statistically representative primary data for quantitative analysis on humanitarian needs
- A substitute for detailed or in-depth sectoral assessments

Figure: The MIRA diagram



Explanatory notes:

The MIRA underpins and guides the collection, collation and analysis of secondary and primary data. Its purpose is to ensure that assessment planning and execution are conducted comprehensively and that key concerns are not overlooked.

In the context of an emergency, the MIRA diagram provides a framework with pre-defined categories to:

1. Help you identify the ‘what’ you need to know to generate an overview of key humanitarian needs (i.e. each box is a topic that can be understood as an information-need pertaining to needs)
2. Map out the information that you find during your SDR. When you find information, you can tag/label/categorize the information along these two main dimensions and their respective sub-components.

ANNEXES TO MODULE 4.2

Annex 4.2.a) Module learning sheet: Assessing the Information Landscape (Part II)

Part of module: 4.2 Assessing the Information Landscape (Part II): Data and Information Review

Instructions for production and use: The module learning sheet should serve as a learning reference point for the participants throughout and after the module. It contains a structured space for note taking on key concepts introduced, reference tools, definitions and a list of recommended resources for further learning.

Print out available: <https://docs.google.com/document/d/1knouKELytBGSqta9p497vC9WgRI3naL6zQ7eay9Uv-M/edit?usp=sharing>

Annex 4.2.b) Roadmap template (Part II)

Part of module: 4.2 Assessing the Information Landscape (Part II): Data and Information Review

Instructions for production and use: As per module instructions.

Print out available: <https://drive.google.com/file/d/1PYfSak0ykp-WXH90gCbUuQ5DT1EoXhOT/view?usp=sharing>

Annex 4.2.c) Feedback form: Assessing the Information Landscape (Part II)

Part of module: 4.2 Assessing the Information Landscape (Part II): Data and Information Review

Instructions for production and use: The standardized and anonymous feedback form should be handed to participants after completion of the training module (one for each) for immediate completion and return to the facilitator, in order to be used by the facilitator to evaluate the extent to which the module learning objectives have been met through realization of the module learning outcomes. The form will take 3-5 minutes to complete.

Print out available: https://docs.google.com/document/d/1EE6uVIC_tUWazwnqYYgmXI5GIid1-T75N2ypNPCLx_I/edit?usp=sharing

Annex 4.2.d) Power point presentation

Part of module: 4.2 Assessing the Information Landscape (Part II): Data and Information Review

Instructions for production and use: This power point presentation may serve as visual reference during delivery of this module. Please note that facilitators are discouraged from rely sole on the power point presentation as visual reference during module delivery, as this is not compatible with the participatory design of the PIM training modules.

Available at:

https://www.dropbox.com/s/v57mmrv5cns9gdx/PPT_Package%204_Module%204.2_AIL_Part%20II.pptx?dl=0

MODULE 4.3 – Bridge the gap to meet information needs (Part III)

Core competency – Skills:

- 1) Analyse IM environment to inform methodology design and operational planning;
- 2) Ability to establish partnerships with other sectors and to spot linkages and synergies for PIM systems with other processes;
- 3) Proactively, critically, and collaboratively assesses various stakeholders and initiatives to identify information requires and to spot linkages.

Module objectives	Module learning outcomes
<p>The session will:</p> <ul style="list-style-type: none">• Identify gaps between needed and available information (based on module 4.2);• Formulate actions to bridge gaps between needed and available information.	<p><u>After the session participants will be able to:</u></p> <ul style="list-style-type: none">• Identify gaps between needed and available information in own operational context to inform the protection analysis, strategy, and response (based on module 4.2);• Formulate actions to bridge gaps between needed and available information, moving forward in own operational context.

Key messages:

1. This step of the “assessing your information landscape” process is when you determine the extent to which there is gap between the information you need for your defined purpose(s) and the information that is available, and you identify the actions to take to bridge that gap and successfully inform your protection analysis, strategy and response.
2. Think outside of your own organization, sector and usual sharing networks when setting out to meet protection information needs – someone else may have what you need!
3. One way to bridge an information gap is to deploy or review a PIM system/category. Use the PIM Matrix to guide decision-making as to which category is best suited to meet the specified information needs (see especially the outputs row).

Duration: 1 hour and 35 minutes (95 minutes)

Reference: PPT: 4.3 AIL_Part III, Module learning sheet; PIM matrix; Third section of road map/assessment matrix.

Room set-up:

- Participants to be seated in groups (based on the split prepared by facilitator for the delivery of this Package).
- Plenary and separate spaces for group work
- Access to internet (in order to access Dropbox/Google folder with documents), alternatively use USBs.
- Projector and sound system.

Facilitator preparation:

- Preparations should be completed prior to delivery of preceding module 4.2 (See instructions above).
- Review the relevant resources listed in Facilitator note 1.

Prints and handouts:

- Module learning sheet (Annex 4.3.a). One print-out for each participant.
- Road map template for assessment of information landscape (Part I+II+III) (Annex 4.3.b) should be available on USB/shared drive and hard copy.
- A3 print-outs of PIM Matrix (via PIM Quick Reference Flyer) (Annex 4.3.c). One per participant.
- Module feedback form (Annex 4.3.d). One per participant.

Time	Introduction. Plenary (presentation) @tables	Resources
5 min	<p>Introduce learning objectives, and hand out the Module learning sheet to each participant.</p> <p>Recall the learning of the two preceding modules about what we need for a specific purpose (4.1) and what we have at our disposition (4.2). We will now move to Part 3, wherein we assess the extent to which there is a gap between the information ‘need’ and the information ‘have’, and identify actions to take to bridge that gap. ,</p> <p>Introduce part 3 of the Roadmap template (Facilitator note 2), which the groups will add to their completed templates from the previous two modules (Facilitator note 3).</p>	<p>PPT,p.1-4</p> <p>Module learning sheet</p> <p>Road map template (Part III)</p> <p>Link to Dropbox/Google drive populated prior to training.</p>
10 min	<p>Identifying and bridging information gaps. Plenary (presentation) @tables</p> <p>Recall that in Module 4.2, each group conducted a secondary data review (however quickly and partially) to identify potential sources for the information needs associated to defined purposes they identified at Module 4.1. It is not time to assess the extent to which there is a gap. There are three possible answers (for each information need that is assessed):</p> <ol style="list-style-type: none"> 1. <i>No</i>, there is no gap (I have what I require to meet my information need) 2. <i>Yes</i>, there is a gap (I do not have what I require to meet my information need) 3. I’m <i>unsure</i> if there is a gap (Based on the information that is currently available, I am unable to assess if I have what I require to meet my information need) <p>If the answer is 1 (No): This is great news, and you can proceed to ensuring that the information is used to inform decisions as per its defined purpose (module 4.1) and to exploring if other actors may need this information (especially your primary data), too.</p> <p>If the answer is 2 (Yes) or 3 (Unsure): There is a confirmed or potential gap between what you need and what you have. You now have to identify the action you will take to bridge that gap (or clarify if the gap exists).</p> <p>There are a number of ways to bridge information gaps. ASK participants for some ideas, and then make sure that the key solutions are mentioned (See Facilitator note 3).</p>	<p>PPT,p.5-6</p>
55 min	<p>Assessing your information landscape. Activity @group work spaces</p> <p>Remind participants that they continue to work in the groups that were assigned for this Package (i.e., for Modules 4.1 and 4.2).</p> <p>Provide instructions for group work before participants move into their separate workspaces:</p> <ul style="list-style-type: none"> ● Find the Road map template Part III template on the USB/shared drive ● Copy-paste your work from Part II ● Fill in the new columns ● TIP: If you are finished, revise the coherence of the information you have (row by row), or add new rows <p>Throughout the group work, the facilitator should move around to listen in on the conversations, and to offer guidance as required.</p>	<p>PPT,p.7-8</p>

	Before reconvening in plenary, groups should save the updated template on the Dropbox/Google folder with reference to the group title.	
20 min	Roadmap debrief. Plenary (discussions) @tables	
	<p>Lead the debriefing in plenary about the three exercises with the roadmap template, i.e., the work in 4.1, 4.2 and 4.3. Ensuring that each group gets a chance to share, and capture key conclusions which can be of value for participant’s future work on this process on a flip chart). Personal reflection and plenary discussion can be facilitated by using the following guidance questions:</p> <ul style="list-style-type: none"> ○ How easy was it to: <ul style="list-style-type: none"> ▪ identify the information needs ▪ link information needs to purpose(s) ▪ identify (reliable) sources to meet the needs? ○ How big is the gap between your information needs and have? ○ How would you describe your information landscape/ecosystem? <ul style="list-style-type: none"> ▪ Bigger/smaller, more/less diverse than you thought? ○ What surprised you vs. what confirmed your prior thoughts/views? ○ What did you learn from your colleagues? <p>Ensure that the point is made that as per the PIM Process, primary data collection (which is Step 3 - Implement) should always be preceded by the other steps, notably the ones that are the topic of this Package: Define information needs and purposes, and review information and data. Primary data should never (or very rarely) be collected without a secondary data review having been conducted first. If there is a gap between your information ‘need’ and your information ‘have’, the PIM Matrix can help you identify which PIM category (system) will generate the information you need (see “Outputs” row).</p> <p>Conclude the debriefing by pointing out that the outputs of this group work can inform the work of participants upon return, and that it is encouraged that they include the findings of these modules in their presentations of the training to the counterparts in their operation and/or coordination forum.</p>	<p>PPT,p.9</p> <p>Flipchart stand+ paper</p> <p>PIM Matrix print-outs</p>
5 min	Closing. Plenary (discussions) @tables	
	<p>Repeat the module key messages, recap the module learning objectives, and answer any outstanding questions required to ensure that participants walk away with the intended module learning outcomes.</p> <p>Project the “Moment of Zen” video (1:51 min, “The jar of life”, https://www.youtube.com/watch?v=Lpau5YXk46Y, message: We need to prioritize our information needs to the essential, since it is not usually possible (in terms of time and resources) to collate/collect everything (notably the ‘nice-to-have’ or the ‘it-would-be-interesting-to-know’).</p> <p>Distribute module feedback form (one per participant) and collect the filled in version from participants before module closure.</p>	<p>PPT,p.10-11</p> <p>Projector, speakers and internet</p> <p>Module feedback form (Annex 4.3.d)</p>

Facilitator note 1) Relevant resources

Prior to delivering this module, it is recommended that the facilitator familiarize themselves with the below listed resources (which are the same as those for module 4.2) which are referenced during the module and/or listed in the Module learning sheet:

Assessment Capacities Project (ACAPS): Spotting Dubious Data (poster), available at: <https://www.acaps.org/spotting-dubious-data-illustration-poster>

Assessment Capacities Project (ACAPS) (2014): Humanitarian Needs Assessment – The Good Enough Guide, available at: https://www.acaps.org/sites/acaps/files/resources/files/humanitarian_needs_assessment-the_good_enough_guide_2014.pdf

Assessment Capacities Project (ACAPS) (2014): [Technical Brief - Secondary Data Review: Sudden Onset Natural Disasters](https://www.acaps.org/sites/acaps/files/resources/files/secondary_data_review-sudden_onset_natural_disasters_may_2014.pdf), available at: https://www.acaps.org/sites/acaps/files/resources/files/secondary_data_review-sudden_onset_natural_disasters_may_2014.pdf

Assessment Capacities Project (ACAPS) (2017): Expert Judgement: The use of expert judgement in humanitarian analysis – Theory, methods and applications, available at: https://www.acaps.org/sites/acaps/files/resources/files/acaps_expert_judgment_-_summary_august_2017.pdf

Danish Refugee Council (DRC) (2016): Protection Analysis Guidance (Protection in DRC), available at: <https://drive.google.com/file/d/1BTAyclZbqXppvNsiHt9I04t44cZ90qcn/view?usp=sharing>

InterAction: Continuous Context-Specific Protection Analysis, available at: <https://protection.interaction.org/elements-of-rbp/continuous-context-specific-protection-analysis/>

Inter-Agency Standing Committee (IASC) (2015) Multi-Sector Initial Rapid Needs Assessment Guidance, available at: <https://www.humanitarianresponse.info/en/programme-cycle/space/document/multi-sector-initial-rapid-assessment-guidance-revision-july-2015>

United Nations High Commissioner for Refugees (UNHCR): Needs Assessment for Refugee Emergencies Checklist v. 1.0, available at: <https://cms.emergency.unhcr.org/documents/11982/50204/UNHCR%2C+NARE+Full+Version/1b59a63a-ade8-4129-a4fc-30bc0cddaf89>

United Nations Children's Fund & Assessment Capacities Project (ACAPS) (2015): A Guidance Note: The multi-sector analytical framework for secondary data reviews in emergencies, available at: <http://nutritioncluster.net/wp-content/uploads/sites/4/2016/07/160406-Guidance-Note-UNICEF-Final.pdf>

Facilitator note 2) Roadmap template for Assessing your information landscape– additional pillars for part III

PART III		
What are the gaps?		Notes
Gap Assessment	Gap Solution	Notes to remember
<i>Is there a gap between what we need and what we have? (Yes/No/Unsure)</i>	<i>If Yes or Unsure: How will we fill the gap?</i>	

Facilitator note 3) Guiding instructions for using the Roadmap template (Part III)

Preparing the groups to embark on working with part III of the roadmap template, the facilitator may want to present it drawing on the following explanations:

How to fill the gap?

There are many ways (solutions) to meet information needs when there is a gap. There is no correct or standard answer -- it depends on your context, available resources and timelines, inter alia. Some ideas include:

- Think outside the box = outside your sector!
 - What protection-relevant data and information are other sectors collecting that you could use? [Ex: Bangladesh, see below]
 - What data collection activities or IM systems do other sectors have that you could tap into / tag along with? (Ex: Ukraine, see below)
- Outreach to possible data-holders who are not making the data public
- Data sharing agreements and information-sharing networks
- SOPs to allow for more predictable, structured and systematic data *collation, analysis, dissemination...*
- Consultations with affected populations (and their hosts)
- Formal or more extensive secondary data review
- Creation of a centralized repository/registry of reports
- Design and implementation of a new PIM category system, or revision to an existing one
 - Which one is fit-for-purpose? Refer to the PIM Matrix

Ex: Bangladesh: Influx of Rohingya refugees as of late Aug 2017. Huge pressure for protection information. No time or resources to set up a new system. So staff went knocking on the doors of all the sectors to understand the *protection-relevant* information they were collecting. Colleagues agreed on a process to share that information with the IMO of the coordination forum. Collaboration made it possible to meet the information needs without creating a new system.

Ex: Ukraine: IOM had a national-level statistically-representative survey being done on a quarterly basis. Instead of trying to roll-out its own survey (for which it had no resources), a UN agency explored options to see how it could 'tag on' two questions to the IOM survey to meet its information needs.

ANNEXES TO MODULE 4.3

Annex 4.3.a) Module learning sheet: Assessing the Information Landscape (Part III)

Part of module: 4.3 Assessing the Information Landscape (Part III): Bridge the gap to meet information needs

Instructions for production and use: The module learning sheet should serve as a learning reference point for the participants throughout and after the module. It contains a structured space for note taking on key concepts introduced, reference tools, definitions and a list of recommended resources for further learning.

Print out available: <https://drive.google.com/file/d/1QDxbb1ofgLhCgSwEeX8rUD58-RlmqoLN/view?usp=sharing>

Annex 4.3.b) Roadmap template (Part I+II+III)

Part of module: 4.3 Assessing the Information Landscape (Part III): Bridge the gap to meet information needs

Instructions for production and use: As per module instructions.

Print out available: <https://drive.google.com/file/d/1jtW66F5IC67Br8lLvtWWA1CawttkaPCu/view?usp=sharing>

Annex 4.3.c) PIM Quick Reference Flyer (with populated matrix)

Part of module: 4.3 Assessing the Information Landscape (Part III): Bridge the gap to meet information needs

Instructions for production and use: To be printed out for each participant (A3 size recommended due to small font size).

Downloadable from: [http://pim.guide/wp-content/uploads/2018/04/Quick-Reference-Flyer Principles Matrix Process 2018-1.pdf](http://pim.guide/wp-content/uploads/2018/04/Quick-Reference-Flyer_Principles_Matrix_Process_2018-1.pdf)

Annex 4.3.d) Feedback form: Assessing the Information Landscape (Part III)

Part of module: 4.3 Assessing the Information Landscape (Part III): Bridge the gap to meet information needs

Instructions for production and use: The standardized and anonymous feedback form should be handed to participants after completion of the training module (one for each) for immediate completion and return to the facilitator, in order to be used by the facilitator to evaluate the extent to which the module learning objectives have been met through realization of the module learning outcomes. The form will take 3-5 minutes to complete.

Print out available: https://docs.google.com/document/d/1N2sxxh-ztXPA7CLZsoGasS3yg6YQE3w7gVSwNT_FS8o/edit?usp=sharing

Annex 4.3.e) Power point presentation

Part of module: 4.3 Assessing the Information Landscape (Part III): Bridge the gap to meet information needs

Instructions for production and use: This power point presentation may serve as visual reference during delivery of this module. Please note that facilitators are discouraged from relying solely on the power point presentation as visual reference during module delivery, as this is not compatible with the participatory design of the PIM training modules.

Available at:

https://www.dropbox.com/s/ho9g9omr46vjcih/PPT_Package%204_Module%204.3_AIL_Part%20III.pptx?dl=0

5

5.1 PIM
Sensitivities

5.2 Data Sharing

PIM Sensitivities

Package 5:

PIM Sensitivities and Data Sharing

What this package offers: This package sets out to improve participants' understanding of PIM sensitivities, and to strengthen their ability to manage and share data and information in a safe, responsible and purposeful manner in line with international norms and standards with regard to data protection.

Content:

Module 5.1: PIM Sensitivities (1 hour)

Module 5.2: Data Sharing (1 hour and 20 min)

Target group: This training package is suitable for groups of 10 – 28 participants with mixed functional profiles, with prior hands-on experience implementing and protection response and/or working with data and information for protection outcomes.

If delivered to a target group with no prior knowledge of PIM, it is highly recommended that this training package be delivered in conjunction with and after PIM training package 1 (PIM Foundation) or module 1.1 (Introduction to PIM Concepts).

Instructions for delivery:

While module 5.1 'PIM Sensitivities' can be delivered without module 5.2 'Data Sharing', the latter should always be preceded by module 5.1. Delivered as a package, the sequencing is that module 5.1 'PIM sensitivities' is delivered first, in order to equip the participants with a shared understanding the sensitivities around confidential information being handled. Module 5.2 'Data sharing' should be delivered afterwards, building off the knowledge acquired in module 5.1, by introducing international norms and standards with regard to data protection and exploring solutions to overcoming data sharing challenges within own operations.

While designed to be delivered as a package, the two modules may also be delivered in isolation, for target groups with a specific learning and interest in PIM sensitivities or data sharing respectively.

Time and preparation required: The preparation required by the facilitator for delivery of the modules themselves is specified under the respective module descriptions. In addition, as a prerequisite for the successful delivery of these modules, the facilitator should organize and request for participants to complete a pre-training survey, which the facilitator will use for the following:

- Be aware of the functional profiles and level experience of all participants prior to deliver (through pre-training event survey or registration questions).
- Be aware of participants experiences working with PIM Sensitivities to Data Sharing challenges and solutions.

Having knowledge of the above, will enable the facilitator, during the planning and deliver phases, to facilitate plenary discussion, which can be dynamic and enable the participants to reflect on their prior experience in relation to the subject matter discussed.

MODULE 5.1 - PIM Sensitivities

Core competency –

Knowledge: Understands the sensitivities around confidential information being handled.

Module objectives	Module learning outcomes
<p><u>The session will:</u></p> <ul style="list-style-type: none">• Explain why data and information could be sensitive;• Explain what types of data and information could be sensitive;• Explain who could be at risk when managing (throughout the PIM Process) with sensitive data;• Discuss organizational and technical measures to address/mitigate risks associated with managing sensitive protection data and information	<p><u>After the session participants will be able to:</u></p> <ul style="list-style-type: none">• Understand factors that could make data and information sensitive;• Distinguish between different data types, while detecting what could be sensitive data and information;• List who could be at risk in managing (throughout the PIM Process) sensitive data and information;• Relate organizational and technical measures to address/mitigate risks associated with managing sensitive protection data and information.

Key messages:

1. Sensitive protection data and information are data or information that, if disclosed or accessed without proper authorization, are likely to cause:

- Harm (such as sanctions, discrimination, retaliation) to any person, including the source of the information or other identifiable persons or groups; or ^{L}_{SEP}
- A negative impact on an organization's capacity to carry out its activities or on public perceptions of that organization. ^{L}_{SEP}

2. PIM sensitivities are contextual, temporal and relational. This also requires humanitarian practitioners to distinguish between different data types (i.e. personal and non-personal) and assess their sensitivities in an ongoing manner when there are changes in the situation or context).

3. When working with data and information, humanitarian practitioners must set out to understand, identify and mitigate the sensitivities and risk associated with collecting, processing, analysing, storing and sharing data and information.

Duration: 1 hour

Reference: PPT: 5.1 PIM Sensitivities, Module learning sheet content: Data and information typology; Diagram on sensitivity of data and information; ICRC Professional Standards for Managing Data and Information for Protection Outcomes; list of key resources.

Facilitator preparation:

- Familiarization with resources listed in Facilitator note 1.
- Reminders of participants' responses in pre-training survey.

Room set-up:

- Tables of maximum 5 persons by each: no assigned seats, individuals can choose.
- PIM sensitivities "graffiti wall" (blank board or connected flip chart papers).
- Markers or crayons (enough for all participants to be able to use simultaneously).
- Diagram on sensitivity of data and information (projected or drawn on flipchart/white board) (See facilitator note 4).
- Flip chart/board for note taking during session.

Prints and handouts:

- Stickers (any colour, at least 5 for each participant).
- Module learning sheet (Annex 5.1.a). One for each participant.
- Module feedback form (Annex 5.1.a). One for each participant.

Time	Activity	Resources
20 min	PIM sensitivities. Activity (all) @tables → graffiti wall	
	<p>Introduce module learning objectives, and distribute Module learning sheet.</p> <p>Recall that management of protection data and information often involves dealing with a number of sensitivities that are in the nature of protection work. Note that the objective of PIM is to <i>“Strengthen our ability to provide data and information on persons or groups in displacement situation in a safe, reliable, and meaningful way for evidence-informed action and quality protection outcomes” and point out that this session will exploring the “safe” element of this objective.</i></p> <p>Ask participants to go to the blank “graffiti wall” and for the next 5 minutes to (without speaking amongst each other) populate it with words, images, and expressions of why they think PIM is ‘sensitive’.</p> <p>Hand out stickers and ask participants to spend 5 minutes individually reviewing the wall and to put the stickers on the words, images, or expressions they believe are the five biggest concerns which their colleagues have identified.</p> <p>Debrief for 5 minutes, by asking why they chose the words that they did. Have a discussion on the reasons which stand out as most important.</p>	<p>PPT,p.1-3</p> <p>Module learning sheet</p> <p>Graffiti wall</p> <p>Markers</p> <p>Stickers</p>
10 min	What makes data and information sensitive? Plenary (listening+discussing) @tables	
	<p>Explain that what makes data sensitive is not a universal given, but always depends on other factors. Sensitivity is:</p> <ol style="list-style-type: none"> 1) <u>Contextual</u>: Depends on operational context, levels of aggregation, etc.; Same data may not be sensitive in one context, but may be in another. (e.g., ethnicity data in South Sudan (where conflict is along ethnic lines) vs. Honduras (where there is no ethnicity dimension to the conflict. What may not constitute sensitive data and information in one context may be sensitive in another). 2) <u>Temporal</u>: Data may not be sensitive now, but can become so later in the future, depending on changes in the situation.... 3) <u>Relational</u>: One data piece in and of itself may not be sensitive, but it can become so when it is combined with other data. Think about how data may be combined resulting in potential harm or increased sensitivity. <p>Referencing the points brought out by participants in the graffiti wall, explain data and information typologies in relation to sensitivities (Facilitator note 2).</p> <p>Conclude with the message that defining what is sensitive data and information will always be contextual, temporal and relational. Therefore it is important that in each operation, colleagues determine what information can be sensitive and should be subject to heightened protection measures in its use and processing.</p>	<p>PPT,p.4</p> <p>Flipchart</p>
10 min	Data and Information Typology. Plenary (listening+discussing) @tables	
	<p>Personal data, meaning data that can be used to identify a person may be pre-labelled by an organizational Data Protection Policy as “confidential data” and is bound by the individual’s right to privacy in addition to risks of un-authorized sharing of such data. This term should however not be confused with the term “data sensitivity” (the more contextual and relative term worked with in this module), because personal data is not the only type of data which may be sensitive.</p>	PPT,p.5-6

	<p>In reality, because we are dealing with human data, it may all carry the risk of being personally identifiable and/or sensitive.</p> <p>Before collecting data or designing a protection information management system, humanitarian actors must determine what data will be required for a specific and defined purpose and what the level of sensitivity is around that data.</p> <p>Ask if any of the participants have experience conducting such assessment to determine data and information sensitivities (i.e. as a part of a Data Protection Impact Assessment or 'DPIA')? If yes, then ask the participant/s about whether they operated with any fixed data and information typologies in that process (soliciting examples)?</p> <p>Explain that several broad categories of data and information can be identified, which have different levels of sensitivity in general and depending on context (See Facilitator note 3 for details) (Write or have pre-written the headings on a flipchart where they can be seen by the participants).</p> <ul style="list-style-type: none"> ● Protection data and information (hereunder distinguishing PII, CII and DII) ● Personal data ● Sensitive data and information ● Sensitive personal data ● Confidential data (pre-labelled categories) <p>Conclude that in order to determine the sensitivity level of a data or information type, it is necessary to conduct a risk and benefit assessment and review it on a regular basis throughout the project or programme cycle, or when there is a significant change in the situation or context.</p> <p>Introduce and explain the diagram on sensitivity levels across data and information types (See Facilitator note 4).</p> <p>Explain that the more sensitive the data and information, the stricter the data protection rules and standards that will have to be applied, as illustrated in the diagram (categories of data often overlap).</p>	<p>Flipchart stand/paper/ marker (for use during delivery or with headings pre-written).</p> <p>Diagram on sensitivity of data and information (projected or drawn on flipchart/white board)</p>
10 min	<p>Who can be at risk when managing sensitive data? Plenary (listening+discussing) @tables</p>	
	<p>Ask participants 'Who can be at risk when managing data that is sensitive?' and facilitate the sharing of insights by participants.</p> <p>Summarize the discussion and conclude who can be at risk:</p> <ul style="list-style-type: none"> - <i>The individual(s) whose data is collected.</i> - <i>The survivors or witnesses, for example reporting or recounting human rights abuses.</i> - <i>The communities being monitored using community-level needs assessments or reporting methods.</i> - <i>Other communities of persons of concern (there is a risk that if communities hear about service providers disregarding confidentiality or consent, it will disrupt help-seeking behaviour of others).</i> - <i>The humanitarian staff and/or organizations (for example <u>Monitors</u> obtaining and managing data and other staff in their organizations such as humanitarians in Rakhine state, Myanmar going in to do monitoring brought no pen or notepads, but had to remember their observations rather than to note them down, because it was too risky to be seen performing their work).</i> 	PPT,p.7

	<p>Highlight that data sensitivity and risk may be different in other steps of the PIM process, and that reflection and context-specific risk and benefit assessment is encouraged for each step of the PIM process.</p> <p>The document “PIM Principles in Action” developed by the PIM Working Group contains a number of recommended PIM principled actions for protection at large as well as data protection (Facilitator note 5).</p>	
5 min	<p>Data protection & security measures. Plenary (listening + discussing) @tables</p>	
	<p>Note that being aware of the risks associated with handling of sensitive data, begs the question: What can we do to mitigate or prevent the risks?</p> <p>Explain that we can distinguish between technical and organizational measures (see Facilitator note 6).</p> <p>If time allows: Ask if anyone has other examples?</p> <p>Conclude that appropriateness of measures depends on many things, e.g.:</p> <ul style="list-style-type: none"> ● <i>Balance of risks vs benefits</i> ● <i>The sensitivity of the information</i> ● <i>Availability and cost of the required equipment</i> ● <i>Operational feasibility of implementing the measure(s)</i> ● <i>Etc.</i> <p>Ask if participants are familiar with the ICRC “Professional Standards for Protection Work” (3rd ed. 2018) and explain that these contain general and specific standards for the management of personal data and sensitive data and protection information. These are listed on the Module learning sheet.</p> <p>Ask participants at which step of the process should measures be put in place to protect sensitive data? Based on answers provided, conclude and explain:</p> <ul style="list-style-type: none"> ● <i>Measures should be in place before any data collection or sharing at the DESIGN stage (Step 2 of PIM Process), along with the identification of what data is sensitive in the context of the activity.</i> ● <i>More about how to actually do this will be covered in the Module on Data Sharing, in particular with respect to the steps for conducting the benefit and risk assessment.</i> 	PPT,p.8-10
5 min	<p>Summary. Plenary (listening) @tables.</p>	
	<p>Summarize the module key messages (see module description) by reference back to the issues that came up during the Graffiti Wall exercise, and answer any questions necessary to ensure that module learning objectives have been met.</p> <p>Instruct participants that their Module learning sheet contains space on which they can add their notes and check out the list of resources.</p> <p>Project the “Moment of Zen” (2:10 min, “Do you know what happens your sensitive data?” by European Digital Rights: https://www.youtube.com/watch?v=GsfHfmJQjA).</p> <p>Distribute module feedback form (one per participant) and collect the filled in version from participants before module closure.</p>	<p>PPT,p.11-12</p> <p>Projector, speakers and internet</p> <p>Module feedback form (Annex 5.1.a)</p>

Facilitator note 1) Recommended readings

GovLab (2016): [Mapping and Comparing Responsible Data Approaches](http://www.thegovlab.org/static/files/publications/ocha.pdf), available at: <http://www.thegovlab.org/static/files/publications/ocha.pdf>

Harvard Humanitarian Initiative: [Signal Code, A Rights-Based Approach to Information in Crisis](https://signalcode.org/), available at: <https://signalcode.org/>

Terre des Hommes (TdH) and CartONG (2018), “Data Protection Starter Kit”, available at: <https://www.mdc-toolkit.org/data-protection-starter-kit/>

International Committee of the Red Cross (2013, 3rd edition forthcoming in 2018): Professional Standards for Protection Work, Chapter 6 “Managing Data and Information for Protection Outcomes”, available at: <https://www.icrc.org/en/publication/0999-professional-standards-protection-work-carried-out-humanitarian-and-human-rights>

International Committee of the Red Cross and Brussels Privacy Hub (2017): Handbook on Data Protection in Humanitarian Action, available at: https://shop.icrc.org/handbook-on-data-protection-in-humanitarian-action.html?__store=default

Office for the Coordination of Humanitarian Affairs (OCHA) (2016): Building data responsibility into humanitarian action, available at: https://reliefweb.int/sites/reliefweb.int/files/resources/TB18_Data%20Responsibility_Online.pdf

PIM Common Terminology (2018 ed.), available at: http://pim.guide/wp-content/uploads/2018/04/Protection-Information-Management-Terminology_Revised-Edition-April-2018.pdf

[PIM Working Group \(2017\): PIM Principles in Action](http://pim.guide/guidance-and-products/product/pim-principles-action/), available at: <http://pim.guide/guidance-and-products/product/pim-principles-action/>

PIM (2018): A Framework for Data Sharing in Practice: <http://pim.guide/wp-content/uploads/2018/05/Framework-for-Data-Sharing-in-Practice.pdf>

Responsible Data Forum (2016): The Handbook of the Modern Development Specialist – Being a Complete Illustrated Guide to Responsible Data Usage, Manners and General Department, available at: <https://responsibledata.io/resources/handbook/>

Tactical Technology Collective (TTC) and Front Line Defenders (2016): Security-in-a-Box, available at: <https://securityinabox.org/en/>

United Nations High Commissioner for Refugees (UNHCR) (2015): Policy on the Protection of Personal Data of Persons of Concern to UNHCR, available at: <http://www.refworld.org/docid/55643c1d4.html>

WHO (2007): Ethical and safety recommendations for researching, documenting and monitoring sexual violence in emergencies, available at: http://www.who.int/gender/documents/OMS_Ethics&Safety10Aug07.pdf

Facilitator note 2) What is “sensitive data and information”?

- *Sensitive protection data and information are data or information that, if disclosed or accessed without proper authorization, may cause:*
 - *Harm (such as sanctions, discrimination) to any person, including the source of the information or other identifiable persons or groups; or ^{[[L]]}_{[[SEP]]}*
 - *A negative impact on an organization’s capacity to carry out its activities or on public perceptions of that organization. ^{[[L]]}_{[[SEP]]}*
- **Disclosure** could be through voluntary or involuntary un-authorized misuse e.g. through accidental or unlawful/illegitimate destruction, loss, theft, disclosure alteration, copying, unauthorized used or misuse, use, modification/contamination, and unauthorized access, use or disclosure.
- **Harm/Risk:** Can be created by both action and inaction. Results in:
 - *Aggravate existing threats, or create new ones;*

- Increase existing vulnerabilities, or create new ones;
- Weaken existing capacities, coping mechanisms and/or self-protection strategies;
- Trigger the resort to negative coping mechanisms;
- Diffuse the threats to new groups/communities who were previously not at risk.

Facilitator note 3) Data and information typologies

a. Data and information

‘Data’ means a collection of facts, such as numbers, measurements, or observations, whereas ‘information’ means facts or details about a subject.

(Source: PIM (2016): *Commonly used Protection Information Management Terminology*, available at: http://pim.guide/wp-content/uploads/2017/01/Commonly-used-Protection-Information-Management-Terminology_June-16.pdf)

b. Protection data and information

Data and information pertaining to protection risks/issues and situation of specific individuals/groups.¹²

We can largely distinguish between:

- Personal Identifiable Information (PII): which can lead to identification of an individual.
- Community identifiable information (CII): which can lead to identification of a community.
- Demographically identifiable information (DII): which can lead to identification of specific demographic entity.

(Source: PIM (2016): *Commonly used Protection Information Management Terminology*, available at: http://pim.guide/wp-content/uploads/2017/01/Commonly-used-Protection-Information-Management-Terminology_June-16.pdf)

What is personally identifiable data vs. non-personally identifiable data?

The current definitions of personally and non-personally identifiable data continue to be challenged by modern technology. Because we are dealing with human data, it may all carry the risk of being personally identifiable. It is recommended to instead focus on how to prevent harmful use and how to assess risk through the operationalization of a shared risk and benefit assessment. Doing so can clarify the actions needed to assess or prevent risk, based on a series of steps. The shared analysis of the risks and benefits for a particular data sharing process would then be the component of this process that is shared.

(Source: PIM (2018): *A Framework for Data Sharing in Practice*, available here: <http://pim.guide/wp-content/uploads/2018/05/Framework-for-Data-Sharing-in-Practice.pdf>)

c. Sensitive protection data and information

Sensitive protection data and information is data or information whose disclosure or unauthorized access is likely to cause:

- harm (such as sanctions, discrimination, repression or stigma) to any person, including the source of the information or other identifiable persons or groups; or
- a negative impact on an organization’s capacity to carry out its activities, including due to reputational damage.

Sensitivity of data is defined in relation to the particular context, and the level of aggregation and may change over time. Therefore, the same data may not have the same level of sensitivity in different contexts. Protection data and information that does not contain personal data may nevertheless be sensitive. It may relate to communities and other groups, to anonymous individuals, or to specific events or issues. In armed conflicts and other situations of violence, various aspects relating to the humanitarian, human rights, political or security situation may exacerbate the risks to people.

¹² Commonly used Protection Information Management Terminology; p. 42, available online here: http://pim.guide/wp-content/uploads/2017/01/Commonly-used-Protection-Information-Management-Terminology_June-16.pdf, accessed 5 March 2018.

Likewise, aggregated or pseudonymized data may still be sensitive. Individuals or groups may still be identifiable, especially depending on the location and sample size, and thus may be exposed to harm if data about them is disclosed. It is therefore not possible to propose a definitive list of what types of data or information constitute sensitive information. However, some key types of information may belong to this category, including information about the nature of violations affecting specific individuals or groups, details about victims and witnesses, the affiliation of perpetrators, operational details related to military operations or security, etc.

Recognizing that the privacy, security and integrity of individuals or groups may be put at risk even if no personal data is collected and processed, protection actors as a matter of best practice apply the standards derived from the principles of data protection to sensitive data and information used for protection purposes, to the extent that it is necessary given the particular sensitivity of the data.

(Sources: International Committee of the Red Cross (2018, 3rd edition forthcoming): Professional Standards for Protection Work, Chapter 6 “Managing Data and Information for Protection Outcomes”).

d. Personal data

Personal data, also known as personally identifiable information (PII), is data relating to an identified individual or to a person that can be identified from that data, from other information or by means reasonably likely to be used related to that data. This could include, for instance, an identifier such as a name, an identification number, location data, audio-visual material, or an online identifier. Personal data also include: country of asylum, individual registration number, occupation, status, religion and ethnicity. And it includes biometric data such as a photograph, fingerprint, facial or iris image, as well as any expression of opinion about the individual, such as an assessment of their legal status and/or specific needs.

(Source: PIM (2018): A Framework for Data Sharing in Practice, available here: <http://pim.guide/wp-content/uploads/2018/05/Framework-for-Data-Sharing-in-Practice.pdf>)

e. Sensitive personal data

Sensitive personal data are personal data that, if disclosed, are likely to result in harm (such as discrimination) for the individual concerned. As a result, many of the international instruments on data protection mentioned in this chapter include stricter rules for the processing of sensitive personal data. Given the specific situations in which protection actors work, and the possibility that some data could give rise to discrimination, setting out a definitive list of categories of sensitive personal data in protection contexts is not meaningful. Sensitivity of data and appropriate safeguards (e.g. technical and organizational security measures) will be context-dependent and may change over time within a given context; therefore, they need to be considered on a case-by-case basis. Data relating to health, race or ethnicity, religious/political/armed group affiliation, and genetic and biometric data are considered to be sensitive personal data at all times. The nature of violations and abuses affecting specific individuals or groups, and the identity of perpetrators and witnesses, also fall into this category. All sensitive personal data require additional protection even though different types of data falling within the scope of sensitive data (e.g. different types of biometric data) may present different levels of sensitivity.

(Sources: International Committee of the Red Cross (2018, 3rd edition forthcoming): Professional Standards for Protection Work, Chapter 6 “Managing Data and Information for Protection Outcomes”).

f. Confidential data (pre-labelled categories)

Confidential data is data for which will not be disclosed or otherwise made available to unauthorized persons or entities in ways that are inconsistent with the understanding of the original disclosure or without prior consent. There is an obligation to exercise utmost discretion with regard to all matters. Information known shall not be communicated to any Government, entity, person or any other source, nor made public.’ (UN Staff Rules and Regulations (e.g. Regulation 1.2.g.) Information received from sources and clients will only be used and/or shared for specific purposes only when the person in question has provided specific and informed concern to do so. (OHCHR Code of Conduct). Even if consent for the use of information is given, the potential implications of that action for the safety of the person providing the information and of other people involved in the situation (e.g., the family of witnesses) must be assessed. If there is a risk of endangering any of them, the information should not be disclosed or in a manner that removes the risk. The safety of victims, witnesses and other cooperating

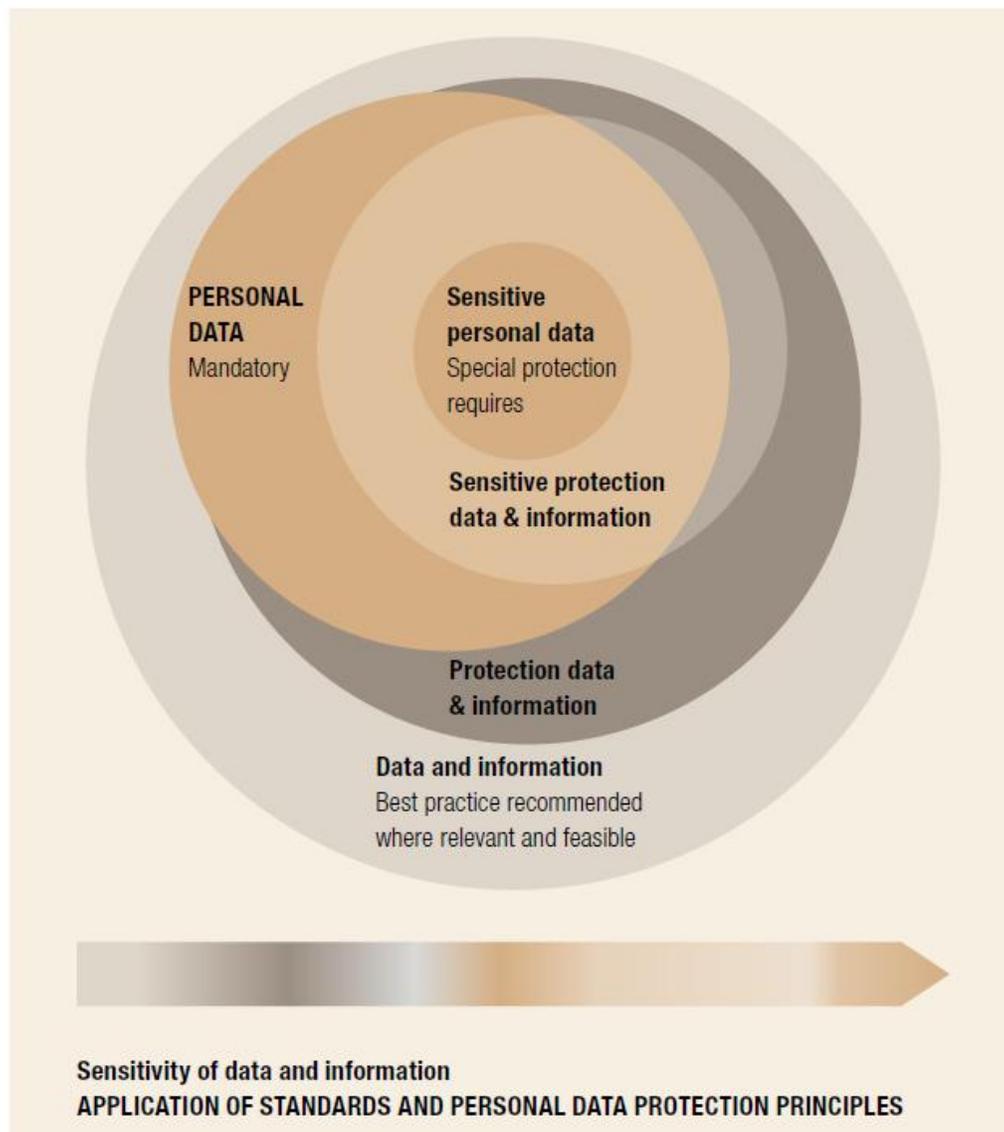
persons must be a paramount concern; confidentiality as a measure to protect their safety should therefore take precedence over other considerations.

(Source: Office of the High Commissioner for Human Rights (2001): *Manual on Human Rights Monitoring*, OHCHR, p. 6, available at: <http://www.ohchr.org/Documents/Publications/Chapter02-MHRM.pdf>).

Facilitator note 4) Diagram on data and information sensitivity

The below diagram from ICRC illustrates sensitivity and the relationships between types of Data and Information explained in the above Facilitator note:

Diagram: Relationships between types of data and information



(Source: International Committee of the Red Cross (2018, 3rd edition – forthcoming): *Professional Standards for Protection Work*, Chapter 6 “Managing Data and Information for Protection Outcomes”)

Facilitator note 5) Principled action for data protection

The “PIM Principles in Action” document provides practical examples of application of the PIM Principles throughout the steps of the PIM Process, including guidance and advice from a protection and IM perspective. It is available here: http://pim.guide/wp-content/uploads/2017/01/PIM-Principles-in-Action_-2017.pdf

Key “Do”-recommendations from the document include:

- Conduct a contextual risk assessment and do-no-harm analysis to identify risks, opportunities, legal and ethical issues related to data collection, processing, analysis and dissemination.
- Only collect and share personally identifiable data if essential to the well-being and protection of the individual concerned, and in consideration for legal and ethical considerations, on the scope of the written consents obtained, and if proportional to the specific purpose for which the data was collected. ^[17] _[SEP]

Example: Before sharing data or information benefit and risk assessment would need to be conducted, only when the benefits outweigh the risk and are proportional to the anticipated outcomes should sensitive data or information be shared. If it is found that sharing it would entail a significant risk, which outweighs the benefit—e.g. in the mixed migration context of Libya – choosing to not record the point of entry into the country of unaccompanied minors).

- Collecting or using data and information only based on informed consent of data subjects, again see the Facilitator note 3 above, which details what informed consent means.
- Include safeguards to preserve the privacy, confidentiality and security of personal information in accordance with data protection and collection standards.

Examples: Coding of data, pseudonymization.

- Brief involved staff to ensure a shared understanding of purpose and risks
- Develop a data storing plan based on protection principles. Dispose of data once consent is expired and there is no longer use.
- Develop data sharing protocols, policies and procedures with a particular focus on protecting personal and sensitive data.

Example: generic email addresses, which do not allow for personal identification of the staff who has communicated (e.g. sharing information about a human rights violation).

Facilitator note 6) Data protection & security measures

Measures should be in place before any collection or sharing of sensitive data, and may include:

1) Technical

- *Changing passwords*
- *File encryption*
- *Data coding, pseudonymization, and anonymization*
- *Offsite servers*
- *Classification systems tailored to sensitivity levels*

2) Organizational

- *Privacy Impact Assessments (PIA) and Data Protection Impact Assessments (DPIA)*
- *Data sharing agreements Policies on data-handling and storage*
- *Data-sharing protocols (and standard templates)*
- *SOPs, checklists and guidance*
- *Governance mechanisms for accountability in responsible data management*
- *Staff capacity*
- *Codes of conduct*

Appropriateness of measures depends on many things, e.g.,

- Balance of risks vs benefits
- The sensitivity of the information
- The availability and cost of the required equipment
- The operational feasibility of implementing the measure(s)

ANNEXES TO MODULE 5.1

Annex 5.1.a) Module learning sheet: PIM sensitivities

Part of module: 5.1 PIM sensitivities

Instructions for production and use: The module learning sheet should be printed one for each participant serve as learning reference point for the participants throughout and after the module. It contains structured space for note taking on key concepts introduced, contains reference tools, definitions and a list of recommended resources for further learning.

Print out available:

<https://drive.google.com/file/d/1WQIRzbBVWLH7i3PAyxohuXpVnaVjtQZY/view?usp=sharing>

Annex 5.1.b) Feedback form: 5.1 PIM Sensitivities

Part of module: 5.1 PIM sensitivities

Instructions for production and use: The standardized and anonymous feedback form should be handed to participants after completion of the training module (one for each) for immediate completion and return to the facilitator, in order be used by the facilitator to evaluate the extent to which the module learning objectives have been met through realization of the module learning outcomes. The form will take 3-5 minutes to complete.

Print out available: https://docs.google.com/document/d/1xw89rIKeatQJWrqspLfn_Yx7R9Doh6LsYZS2aC-j05M/edit?usp=sharing

Annex 5.1.c) Power point presentation

Part of module: 5.1 PIM sensitivities

Instructions for production and use: This power point presentation may serve as visual reference during delivery of this module. Please note that facilitators are discouraged from rely sole on the power point presentation as visual reference during module delivery, as this is not compatible with the participatory design of the PIM training modules.

Available at:

https://www.dropbox.com/s/aou1qzok9frzvxy/PPT_Package%205_Module%205.1_PIM%20Sensitivities.pptx?dl=0

MODULE 5.2 - Data sharing

Core competency –

Knowledge: Is familiar with international norms and standards with regard to data protection.

Module objectives	Module learning outcomes
<p><u>The session will:</u></p> <ul style="list-style-type: none">• Explain why we share, the benefits of sharing (safely, responsibly, and purposefully), and what and when we share;• Examine three spheres of challenges to data sharing through benefit-risk assessment dilemmas;• Explore the '<i>Framework for Data Sharing in Practice</i>' aimed at promoting and facilitating safe, responsible, and purposeful sharing.	<p><u>After the session participants will be able to:</u></p> <ul style="list-style-type: none">• Explain safe, responsible, and purposeful data sharing;• Contrast challenges to data sharing through benefit-risk assessment dilemmas;• Devise solutions to overcoming data sharing challenges by drawing on the '<i>Framework for Data Sharing in Practice</i>'.

Key messages:

1. Safe, responsible and purposeful sharing of data, information, analysis and knowledge, enables stronger, evidence-informed, and comprehensive protection outcomes and humanitarian responses;
2. Information-sharing networks and agreements should be established early *before* any data is collected, shared and used. Colleagues should be looking for, and assessing the needs of key stakeholders and working to proactively share data and information with them in a timely, relevant and appropriate manner;
3. A context specific and joint 'benefit and risk assessment' aims to ensure that the benefits and risks of data sharing have been systematically and deliberately assessed prior to sharing, and that actions have been identified to maximize benefits and minimize risks.
4. The purpose of the *Framework for Data Sharing in Practice*' (hereafter the '*Framework*') is to work toward an overall reduction of risk of sharing or not sharing and to illustrate the benefits of sharing through the use of a shared 'minimum' in terms of concepts, principles, methods and processes which can be built upon by colleagues within their specific context.
5. Establishing a shared minimum in terms of concepts, principles, methods and process. is as important as the final product, because it builds trust between actors while also creating pathways for collaboration and shared analysis.

Duration: 1 hour and 20 minutes (80 minutes)

Reference: [PPT: 5.2 Data Sharing](#), [Participant learning sheet](#): Introduction to OCHA & PIM (2018): *A Framework for Data Sharing in Practice*, links to relevant resources.

Facilitator preparation:

- Familiarization with key resources (Facilitator note 1), the dilemmas for use in the activity and content of the Module learning sheet.
- Ensure that participants are familiar with the PIM Process ahead of learning event attendance (e.g. by sharing it as pre-event reading).
- Summarize findings of pre-training survey for presentation during module: Adjust module content (for activity "Data sharing challenges and solutions") according to participants' responses in pre-training survey to the questions on experiences with data sharing (the results should be presented in anonymized form during the module, and feed into participants exploration of how to promote safe, responsible, and purposeful sharing in their own context. If this module delivered in conjunction with the IM module (2.2), then answers provided during the exercise on "challenges and solutions" under each step of the IM-cycle may also contain relevant answers from which to draw on.

Room set-up:

- Pre-positioned chairs of participants in semi-circle (horse shoe) facing the wall area of the PIM Matrix (facilitator sitting in front of the matrix) – NO TABLES.
- Flip-chart stand and marker (for facilitator).
- Open space for a moving activity (the flipchart should be positioned nearby for debriefing note taking).
- By the open space: Visual reference to guiding questions for dilemma discussion activity (i.e. flipchart or PPT slide).
- PIM Process illustration on wall to serve as visual reference point (poster/drawing) (Facilitator note 4).
- Visual reference to typology of sensitive data and information (left on wall from module 5.1).

Prints and handouts:

- Print outs (cutting into smaller sections required) of “What would you do if?” cards (Annex 5.2.a).
- Module learning sheet (Annex 5.2.b).

Time	Activity	Resources
10 min	Introduction: Why, what and when do we share? Facilitator presentation @plenary	
	<p>Introduce module objectives and learning outcomes.</p> <p>Distribute the Module learning sheet and explain that it contains information, note space and reference points which will be used during throughout this module.</p> <p>As necessary, recap the key learning points from module 5.1 PIM Sensitivities, in order for these to be fresh in the minds of the participants. Then proceed to open exchange on the below:</p> <p>WHY share?</p> <p>Initiate discussion in plenary on the question “Why do we share (data and information in the humanitarian sector)?”. Ensure the conclusion is reached that:</p> <ul style="list-style-type: none"> ● <i>We share in order to improve decision making, in turn strengthening humanitarian responses and enhancing protection outcomes.</i> ● <i>There is an ethical responsibility of data and information holders to share data and information in a safe, purposeful and responsible manner with actors who are in a position or have a responsibility to respond to issues raised.</i> <p>Sharing WHAT?</p> <p>Ask if any of the participants can share an example of the types of data and information of what we (the humanitarian community) share. Ensure the conclusion is reached that:</p> <ul style="list-style-type: none"> ● <i>The humanitarian data which we share fall into three overall categories:</i> <ul style="list-style-type: none"> ○ <i>Context of the humanitarian crisis.</i> ○ <i>People affected by the crisis.</i> ○ <i>Response to the crisis.</i> <p>Reference the data typologies of module 5.1 (Facilitator note 2+3 below) and briefly explain that what we share is:</p> <ul style="list-style-type: none"> ○ <i>Non-personal and non-sensitive data and information, personal data, sensitive personal data, protection data and information, sensitive protection data and information.</i> <p>Note that:</p> <ul style="list-style-type: none"> ● <i>Data and information have different degrees of sensitivity.</i> ● <i>Sensitivity is not universal but is rather determined based on temporal, contextual and relational factors;</i> 	<p>PPT,p.1-9</p> <p>Visual reference to typology data and information (from module 5.1)</p>

	<ul style="list-style-type: none"> Measures for data protection must correspond to the identified level of sensitivity. <p>Sharing WHEN? Ask participants when we share (data and information), and relate the answers given to the steps of the PIM Process (Facilitator note 4):</p> <ul style="list-style-type: none"> Safe, responsible and purposeful sharing of data is not only the transactional act of passing (handing over) data and information. The transactional act of sharing in and of itself is preceded by the establishment of information-sharing networks based on defined purpose(s), and an assessment of the reasons to share, both of which should be done early, before any data is collected, shared and used. Firstly, assess the information landscape, i.e. define the purpose in relation to the data and information we are looking to share or to obtain. Moving through the PIM Process, is an iterative learning process, which helps to ensure that your defined purpose is correct, and that you are asking the right questions around assessing the benefits and risks of sharing as you move through the steps of the PIM process. Conclusion: Sharing should be a point of consideration throughout all steps of the PIM Process (Even though “Establish information-sharing networks” appears once as a sub-step in “Design”, sharing should be a point of consideration throughout all the steps of the PIM Process). <p>Ask if any of the participants are familiar with the PIM Principle “Coordination and collaboration” (and if they can explain in their own words what this principle is about)? Ensure that the following point is made (either by participant or directly by facilitator):</p> <ul style="list-style-type: none"> The PIM Principle “Coordination and collaboration” states that all PIM actors must “promote the broadest collaboration and coordination of data and information” and that “To the extent possible, PIM activities must avoid duplication of other PIM efforts and instead build upon existing efforts and mechanisms”. Sharing serves as an enabling factor for collaboration, avoiding duplication, loss of time, and waste of resources and burden on affected population. Sharing also included the affected population - ensuring that they have the protection data and information that they need to make informed decisions for themselves and their families. <p>While the benefits of sharing in general are clear, it is also associated with both benefits and risks – which places us in dilemmas. The following activity will face us with some of these...</p>	PIM Process visual reference point
15 min	Data sharing ‘benefit and risk’ dilemmas. Activity (Pairs) @open space (standing activity)	
	<p>Ask participants to stand up and to come to the open space, and to line up in two lines facing each other (the number of persons in each line should be the same, in order for each person will face a ‘match’ in the opposite line). Hand every couple of “What would you do if?” cards to each participant in one of the lines. Instruct participants to pair up with the person standing in front of them in the opposite line as a pair. Inform that the pairs now have 10 minutes to discuss their card’s dilemma.</p> <ol style="list-style-type: none"> What was the dilemma? Who were the parties involved? What type of data and information did the dilemma concern? What was the level of sensitivity of the data and information? (referencing the data typologies of module 5.1 PIM Sensitivities)? What would be the benefits of sharing? 	<p>PPT,p.10</p> <p>“What would you do if?” cards (Annex 5.2.a)</p> <p>Visual reference to typology data and informatio</p>

	<p>6. What would be the risks of sharing? 7. Would you share?</p> <p>Call for a 10 minute debrief in plenary (everyone standing in a circle, still in their pairs): Ask for examples from different pairs' dilemmas, debriefing on the questions discussion (devote most of the time and attention to question 5, 6 and 7).</p> <p>During the debriefing, take note of constructive suggestions made for how to tackle the dilemmas (these will be used as a point of reference for the next activity).</p> <p>Conclude by calling for reflection on the risks of not sharing: This is where we see duplication, assessment fatigue at best - and the loss of lives at worst. We have no way to assess how much harm we have actually caused by not sharing; but it is something to think carefully about especially in terms of an underlying ethical responsibility, i.e. how does not sharing critical data or information needed for decision-making caused direct or secondary harm?</p>	<p>n (from module 5.1)</p> <p>Flipchart stand/paper/marker</p>
15 min	Data sharing challenges and solutions. Facilitator presentation @plenary	
	<p>Explain that although there can be risks associated with sharing, awareness of the challenges is the first step towards devising solutions.</p> <p>Explain that the PIM Working Meetings II & III – identified 3 spheres or types of data sharing challenges (See Facilitator note 5 for more details):</p> <ol style="list-style-type: none"> 1. Practical and Procedural 2. Institutional and Structural 3. Mind-set and Trust <p>Present the results of the participants responses to the pre-training survey questions that pertained to their experiences with data sharing challenges and solutions under each of the 3 categories (NB> This must be prepared by the facilitator ahead of the module, see section “Facilitator preparation” above). As relevant also reference the dilemmas discussed in the preceding activity. Identify the challenges most commonly pointed to by the participants, as a point of departure for discussion in the next activity.</p> <p>Refer to the solutions to data sharing challenges previously presented by the participants (<i>If this module is delivered in conjunction with the package the IM module, then recap the solutions to sharing of data identified in that module – otherwise inquire about participants experiences with solutions based on their answers to the pre-training survey – namely with finding solutions to data-sharing challenges (including the data protection and security measures that will have been discussed in Module 5.1 on PIM Sensitivities).</i>)</p> <p>Based on these solutions, the participants may know the way forward on the challenges which they experience in their own contexts.</p> <p>If not mentioned by the groups, point to the following as practices which hold promising potential with relevance for the humanitarian field (and on which participants can find more information in the Module learning sheet):</p> <ul style="list-style-type: none"> - <i>Data Protection Impact Assessments (Facilitator note 6);</i> - <i>Data Transfer Agreements (Facilitator note 7).</i> - <i>A Framework for Data-sharing in Practice – which we will now proceed to explore in more depth...</i> 	<p>PPT,p.11-12</p> <p>Summary overview of participant s’ reply to pre-training survey</p>
10 min	A Framework for Data-sharing in Practice. Facilitator presentation @plenary	

	<p>Present the OCHA-PIM Team Co-led process and outcome for the <i>Framework</i>. Explain the background and purpose of the <i>Framework</i> (See Facilitator note 8).</p> <p>Provide an (introductory) overview (not going into details) of the 5 elements of the <i>Framework</i>. Emphasize links to the existing PIM resources and reference points, and explain that in this module we will be dwelling on the 1st and 5th elements in more detail (you may note that all of the elements are explained in the Module learning sheet):</p> <ol style="list-style-type: none"> 1. Trust Statement <ul style="list-style-type: none"> - An articulation of the elements of a trustworthy and overall better data sharing environment, either within an organization or between organizations (Will be covered in detail next). 2. Shared definitions and concepts: <ul style="list-style-type: none"> - PIM Principles and shared definitions e.g. terminologies and PIM Matrix. 3. Core Competencies: <ul style="list-style-type: none"> - The 32 PIM Core Competencies - generally not present in one person; but should be present when IM and protection colleagues working together. 4. Shared process for the design, handling, sharing and use of data: <ul style="list-style-type: none"> - The PIM Process. 5. Joint Benefit and Risk Assessment <ul style="list-style-type: none"> - Offers an approach for undertaking a joint benefit and risk assessment (operating within the shared minimum principles, competencies, process) (Will be covered in detail next). 	PPT,p.13-14
5 min	The Trust Statement. Facilitator presentation @plenary	
	<p>Proceed to show the ‘Trust Statement’ (See Facilitator note 9), and explain:</p> <ul style="list-style-type: none"> - <i>This is the basis on which the other elements rest, since it sets out to create an environment of minimum shared concepts, competencies, principles and process, from which a shared assessment of benefit and risk may take place between two or more parties for a given data sharing scenario.</i> <p>Call for reflection on each of the paragraphs, ensuring the following points are covered:</p> <ul style="list-style-type: none"> - Sharing in a <u>“responsible, safe, and purposeful manner”</u> – This ties to the PIM Principles and relates to the objective of PIM to <u>“...provide quality data and information on people in displacement in a safe, reliable and meaningful way”</u> and the <u>“defined purpose”</u> PIM principle. As such sharing in a <u>“responsible, safe, and purposeful manner”</u> should be understood to be a prerequisite for PIM. - <u>“We understand the risks of sharing and not sharing”</u> – Why is the risk of not sharing explicitly referenced? We may often decide to not share in order to avoid risks, but we should be aware that not sharing entails risks as well. By not sharing essential data and information, the persons whose protection this relates to can be placed at risk, humanitarian actors may be duplicating efforts to collect data and information on the same issues etc. - <u>“we will help create an enabling environment that enhances coordination and collaboration”</u>- Why is a <i>Framework</i> needed for this, can it not simply be enough that we set out to share in a <u>“responsible, safe, and purposeful manner”</u> by not sharing without prior ‘benefit and risk assessment’? - <i>Highlight that the thinking behind the trust statement is that if there has been a break in trust established under the Framework, then it is up to the stakeholders involved to understand why and the implications of the Framework among them.</i> - <i>The Framework may need to be renegotiated based on whatever those terms are or may no longer exist between the parties.</i> 	PPT,p.15

	<p>Call for reflection by asking participants – ‘why would we need a ‘Trust Statement’ – when there already Data Transfer Agreements out there?’ (). Ensure that conclusion is drawn that:</p> <ul style="list-style-type: none"> - <i>The two are not mutually exclusive.</i> - <i>The Trust Statement creates an enabling environment, whereas a DTA only relates to a specific agreement for directly involved parties.</i> <p>Point out that the Trust Statement text is also available in the Module Learning Sheet for future reference.</p>	
15 min	<p>‘Joint Benefit-Risk Assessment’. Facilitator presentation @plenary</p>	
	<p>Explain the concept of the ‘Joint Benefit and Risk Assessment’ of the <i>Framework</i> (Facilitator note 10), making the below points:</p> <ul style="list-style-type: none"> ● <i>It offers an approach for undertaking a joint benefit and risk assessment (operating within the shared minimum principles, competencies, process);</i> ● <i>“Benefits” refer to the benefits of sharing, i.e. those things we define and jointly agree we can do with the shared data and information, as defined and jointly agreed to;</i> ● <i>The objective is:</i> <ul style="list-style-type: none"> ▪ <i>to ensure that the benefits and risks of data sharing have been systematically and deliberately assessed prior to sharing, and;</i> ▪ <i>that actions have been identified to maximize benefits and minimize risks.</i> ● <i>It consists of 4 steps (assess information landscape, design IM systems, implement IM systems, evaluate impact) and associated questions, which follow the overall PIM Process.</i> ● <i>The listed questions and actions are indicative and descriptive rather than prescriptive.</i> ● <i>It can be undertaken by two or more partners/counterparts – who would then decide to proceed or not (with the shared) based on a shared analysis of benefits and risks.</i> ● <i>Parties do not need to conduct the entire process together, prior to sharing (some of these shared elements are a given, based on a voluntary participation to operate within an environment of trust).</i> <p>Introduce the (overall) questions of the ‘Joint Benefit and Risk Assessment’ (do not go into detail on the guidance for each. As relevant relate the questions of the ‘Joint Benefit and risk Assessment’ to the points made by participants (based on recommendations made during the previous activities throughout this module – refer to the flipchart notes).</p> <p>Ask participants to recall their own experiences with data sharing (as per the results of the pre-training survey) and the dilemma which they discussed earlier in the module. Ask to reflect on whether the outcome of their discussion. Ask them if a Joint Benefit Risk Assessment could have served to enable safe, responsible and purposeful sharing in the case which they reviewed. Invite participants to share their individual reflections in plenary.</p>	<p>PPT,p.16-18</p> <p>Flipcharts (stands+ paper)</p>
5 min	<p>Conclusion. Facilitator presentation @plenary</p>	
	<p>Summarize topics which emerged during the module in relation to the module key messages, review module objectives and answer any outstanding questions.</p> <p>Remind participants to save their notes on the suggestions to take forward to promote safe, responsible, and purposeful sharing of data in own context, and to present these to relevant stakeholders in their own contexts post-training.</p> <p>Recap the module learning objectives and learning outcomes.</p> <p>Refer to the fact that the Module learning sheet includes relevant links (e.g. the <i>Framework</i>).</p>	<p>PPT,p.19-20</p> <p>Projector, speakers</p>

	<p>Project “Moment of Zen” video (2.5 min, Sesame Street ‘Sharing’, message: (Safe, responsible and purposeful) sharing is win-win): https://www.youtube.com/watch?v=YnD1t2O8vAE</p> <p>Distribute module feedback form (one per participant) and collect the filled in version from participants before module closure.</p>	<p>and internet</p> <p>Module feedback form (Annex 5.2.c)</p>
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Facilitator note 1) Recommended resources

ESSENTIAL READING

International Committee of the Red Cross (2013, 3rd edition in 2018, forthcoming): Professional Standards for Protection Work, Chapter 6 “Managing Data and Information for Protection Outcomes”, available at: <https://www.icrc.org/en/publication/0999-professional-standards-protection-work-carried-out-humanitarian-and-human-rights>

Office for the Coordination of Humanitarian Affairs (OCHA) & PIM (2017): A Framework for Data Sharing in Practice: Summary Report, Part I, available at: http://pim.guide/wp-content/uploads/2017/09/OCHA_PIM_Framework-for-Data-Sharing-in-Practice_Part-I.pdf

Office for the Coordination of Humanitarian Affairs (OCHA) & PIM (2018): A Framework for Data Sharing in Practice: Summary Report, Part II, available at: <http://pim.guide/guidance-and-products/ocha-pim-a-framework-for-data-sharing-in-practice-summary-report-part-ii/>

PIM Principles in Action document, available at: http://pim.guide/wp-content/uploads/2017/01/PIM-Principles-in-Action_-2017.pdf

PIM: A Framework for Data Sharing in Practice (2018) available here: <http://pim.guide/wp-content/uploads/2018/05/Framework-for-Data-Sharing-in-Practice.pdf>

WEBSITES

PIM Website (www.pim.guide)

PIM RESOURCES

PIM Core Competencies, available at: http://pim.guide/wp-content/uploads/2017/01/PIM-Core-Competencies-Framework_v4.pdf

PIM Principles, available at: http://pim.guide/wp-content/uploads/2018/04/PIM-Principles_one-pager_2018-1-1.pdf

PIM Process, available at: <http://pim.guide/guidance-and-products/product/pim-process/>

PIM Matrix, available at: <http://pim.guide/guidance-and-products/product/pim-matrix-cover-page/>

PIM Common Terminology (2018 ed.), available at: http://pim.guide/wp-content/uploads/2018/04/Protection-Information-Management-Terminology_Revised-Edition-April-2018.pdf

PIM Working Group Meeting #2 (Dec 2015): Meeting Outcome document available at: http://pim.guide/wp-content/uploads/2016/10/Protection-Information-Management-Working-Meeting-Outcome-Documents_Dec-2015.pdf

PIM Working Group Meeting #3 (Sep 2016): Meeting Outcome document available at: http://pim.guide/wp-content/uploads/2017/01/Protection-Information-Management-Working-Meeting-Outcome-Documents_September-2016.pdf

OTHER RESOURCES

Harvard Humanitarian Initiative (2017), Signal Code: A Human-rights based approach to information during crisis, available at: <https://hhi.harvard.edu/publications/signal-code-human-rights-approach-information-during-crisis>

International Committee of the Red Cross (2013, 3rd edition in 2018, forthcoming): Professional Standards for Protection Work, Chapter 6 “Managing Data and Information for Protection Outcomes”, available at: <https://www.icrc.org/en/publication/0999-professional-standards-protection-work-carried-out-humanitarian-and-human-rights>

International Committee of the Red Cross (ICRC) (2016): Rules on Personal Data Protection, available at: <https://www.icrc.org/en/publication/4261-icrc-rules-on-personal-data-protection>

International Committee of the Red Cross and Brussels Privacy Hub (2017): Handbook on Data Protection in Humanitarian Action, available at: <https://shop.icrc.org/handbook-on-data-protection-in-humanitarian-action.html?store=default>

Oxfam (2017): Responsible Data Management training pack, available at: <https://policy-practice.oxfam.org.uk/publications/responsible-data-management-training-pack-620235>

United Nations High Commissioner for Refugees (UNHCR) (2015): Policy on the Protection of Personal Data of Persons of Concern to UNHCR, available at: <http://www.refworld.org/docid/55643c1d4.html>

Facilitator note 2) Data and information typologies

a. Data and information

‘Data’ means a collection of facts, such as numbers, measurements, or observations, whereas ‘information’ means facts or details about a subject.

(Source: PIM (2016): Commonly used Protection Information Management Terminology, available at: http://pim.guide/wp-content/uploads/2017/01/Commonly-used-Protection-Information-Management-Terminology_June-16.pdf)

b. Protection data and information

Data and information pertaining to protection risks/issues and situation of specific individuals/groups.

We can largely distinguish between:

- Personal Identifiable Information (PII): which can lead to identification of an individual.
- Community identifiable information (CII): which can lead to identification of a community.
- Demographically identifiable information (DII): which can lead to identification of specific demographic entity.

(Source: PIM (2016): Commonly used Protection Information Management Terminology, available at: http://pim.guide/wp-content/uploads/2017/01/Commonly-used-Protection-Information-Management-Terminology_June-16.pdf)

What is personally identifiable data vs. non-personally identifiable data?

The current definitions of personally and non-personally identifiable data continue to be challenged by modern technology. Because we are dealing with human data, it may all carry the risk of being personally identifiable. It is recommended to instead focus on how to prevent harmful use and how to assess risk through the operationalization of a shared risk and benefit assessment. Doing so can clarify the actions needed to assess or prevent risk, based on a series of steps. The shared analysis of the risks and benefits for a particular data sharing process would then be the component of this process that is shared.

(Source: PIM: A Framework for Data Sharing in Practice (2018) available here: <http://pim.guide/wp-content/uploads/2018/05/Framework-for-Data-Sharing-in-Practice.pdf>)

c. Sensitive protection data and information

Sensitive protection data and information is data or information whose disclosure or unauthorized access is likely to cause:

- harm (such as sanctions, discrimination, repression or stigma) to any person, including the source of the information or other identifiable persons or groups; or
- a negative impact on an organization’s capacity to carry out its activities, including due to reputational damage.

Sensitivity of data is defined in relation to the particular context, and the level of aggregation and may change over time. Therefore, the same data may not have the same level of sensitivity in different contexts. Protection data and information that does not contain personal data may nevertheless be sensitive. It may relate to communities and other groups, to anonymous individuals, or to specific events or issues. In armed conflicts and other situations of violence, various aspects relating to the humanitarian, human rights, political or security situation may exacerbate the risks to people.

Likewise, aggregated or pseudonymized data may still be sensitive. Individuals or groups may still be identifiable, especially depending on the location and sample size, and thus may be exposed to harm if data about them is disclosed. It is therefore not possible to propose a definitive list of what types of data or information constitute sensitive information. However, some key types of information may belong to this category, including information about the nature of violations affecting specific individuals or groups, details about victims and witnesses, the affiliation of perpetrators, operational details related to military operations or security, etc.

Recognizing that the privacy, security and integrity of individuals or groups may be put at risk even if no personal data is collected and processed, protection actors as a matter of best practice apply the standards derived from the principles of data protection to sensitive data and information used for protection purposes, to the extent that it is necessary given the particular sensitivity of the data.

(Sources: International Committee of the Red Cross (2018, 3rd edition forthcoming): Professional Standards for Protection Work, Chapter 6 “Managing Data and Information for Protection Outcomes”).

d. Personal data

Personal data, also known as personally identifiable information (PII), is data relating to an identified individual or to a person that can be identified from that data, from other information or by means reasonably likely to be used related to that data. This could include, for instance, an identifier such as a name, an identification number, location data, audio-visual material, or an online identifier. Personal data also include: country of asylum, individual registration number, occupation, status, religion and ethnicity. And it includes biometric data such as a photograph, fingerprint, facial or iris image, as well as any expression of opinion about the individual, such as an assessment of their legal status and/or specific needs.

(Source: Office for the Coordination of Humanitarian Affairs (OCHA) & PIM (2018): A Framework for Data Sharing in Practice, available at: <http://pim.guide/wp-content/uploads/2018/05/Framework-for-Data-Sharing-in-Practice.pdf>).

e. Sensitive personal data

Sensitive personal data are personal data that, if disclosed, are likely to result in harm (such as discrimination) for the individual concerned. As a result, many of the international instruments on data protection mentioned in this chapter include stricter rules for the processing of sensitive personal data. Given the specific situations in which protection actors work, and the possibility that some data could give rise to discrimination, setting out a definitive list of categories of sensitive personal data in protection contexts is not meaningful. Sensitivity of data and appropriate safeguards (e.g. technical and organizational security measures) will be context-dependent and may change over time within a given context; therefore, they need to be considered on a case-by-case basis. Data relating to health, race or ethnicity, religious/political/armed group affiliation, and genetic and biometric data are considered to be sensitive personal data at all times. The nature of violations and abuses affecting specific individuals or groups, and the identity of perpetrators and witnesses, also fall into this category. All sensitive personal data require additional protection even though different types of data falling within the scope of sensitive data (e.g. different types of biometric data) may present different levels of sensitivity.

(Sources: International Committee of the Red Cross (2018, 3rd edition forthcoming): Professional Standards for Protection Work, Chapter 6 “Managing Data and Information for Protection Outcomes”).

f. Confidential data (pre-labelled categories)

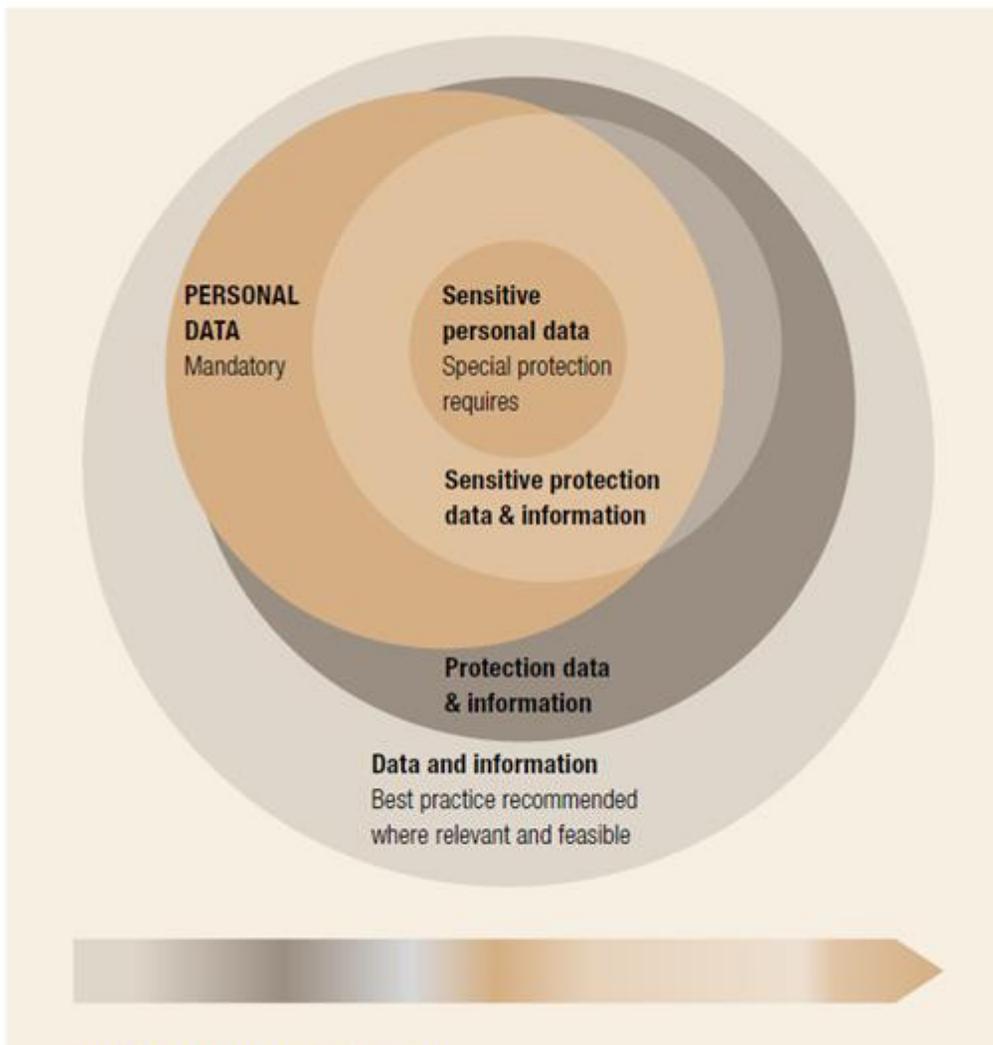
Confidential data is data for which will not be disclosed or otherwise made available to unauthorized persons or entities in ways that are inconsistent with the understanding of the original disclosure or without prior consent. There is an obligation to exercise utmost discretion with regard to all matters. Information known shall not be communicated to any Government, entity, person or any other source, nor made public.' (UN Staff Rules and Regulations (e.g. Regulation 1.2.g.) Information received from sources and clients will only be used and/or shared for specific purposes only when the person in question has provided specific and informed concern to do so. (OHCHR Code of Conduct). Even if consent for the use of information is given, the potential implications of that action for the safety of the person providing the information and of other people involved in the situation (e.g., the family of witnesses) must be assessed. If there is a risk of endangering any of them, the information should not be disclosed or in a manner that removes the risk. The safety of victims, witnesses and other cooperating persons must be a paramount concern; confidentiality as a measure to protect their safety should therefore take precedence over other considerations.

(Source: Office of the High Commissioner for Human Rights (2001): Manual on Human Rights Monitoring, Chapter 2, p. 6, available at: <http://www.ohchr.org/Documents/Publications/Chapter02-MHRM.pdf>).

Facilitator note 3) Diagram: Sensitivity of data and information

The below diagram from ICRC illustrates the relationships between types of Data and Information in relation to sensitivity levels and required measures for protection.

Diagram: Relationships between types of data and information



(Source: International Committee of the Red Cross (2018, 3rd edition): Professional Standards for Protection Work, Chapter 6 “Managing Data and Information for Protection Outcomes”, available at: <https://www.icrc.org/en/publication/0999-professional-standards-protection-work-carried-out-humanitarian-and-human-rights>)

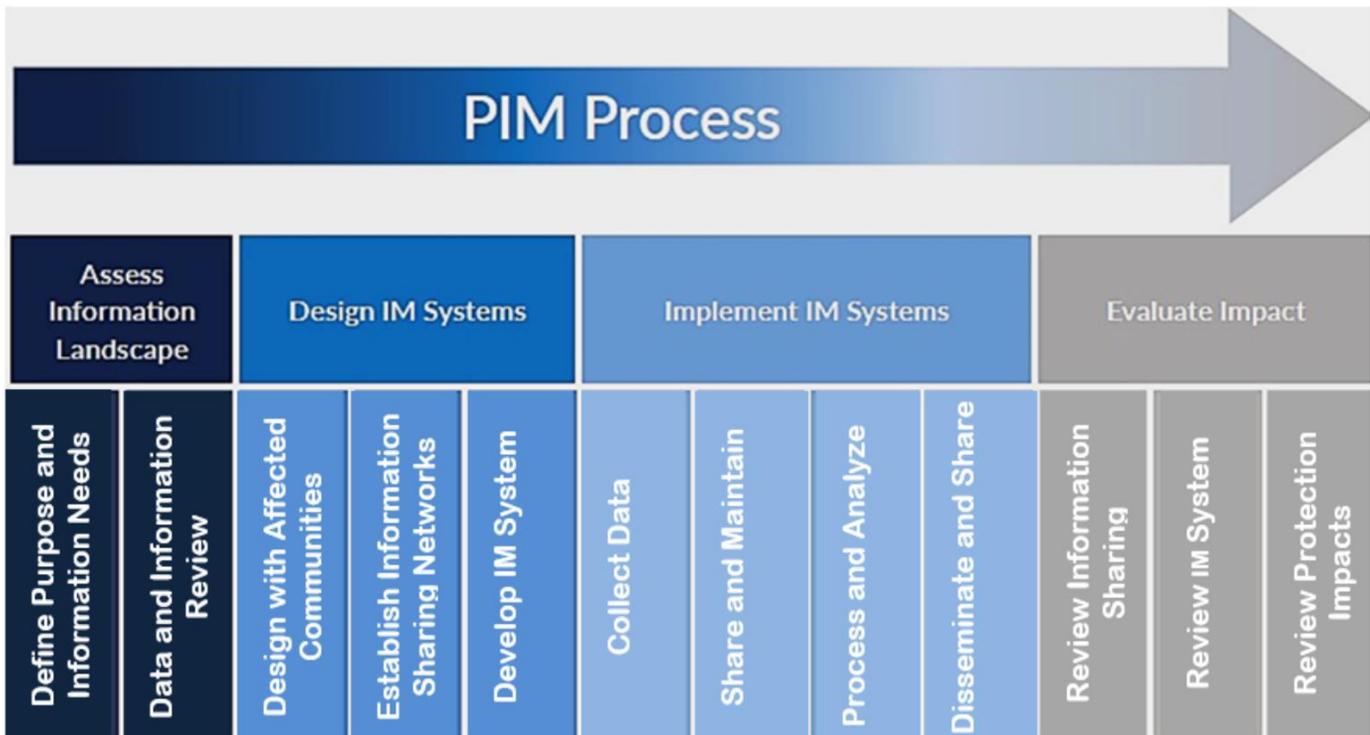
Facilitator note 4) PIM Process

The PIM Process provides guidance on steps to be undertaken when developing, implementing or renewing a protection information management response / set of activities. The PIM Process is an organic and potentially an iterative process. While the four higher-level steps of the PIM Process — Assess Information Landscape, Design IM Systems, Implement IM Systems, Evaluate Impact— are prescriptive and should be followed in this sequence, the sub-steps, however, falling under these may be followed in a prescriptive or a non-prescriptive manner, i.e., they do not necessarily require step-by-step implementation/adherence.

Working with and using the PIM **Process for a given data sharing arrangement or scenario**, is open to two or more parties both inside and outside the humanitarian community (e.g. affected populations, development and peacebuilding actors, academics, private sector, media), based on the needs of a given data sharing situation.

Recognition of a defined process allows for a structured approach and clear communication and understanding regarding what work is being done, while providing a minimum structure from which to assess a request or a given response.

The intent is not to have everyone adapt their entire information management process, but rather for them to share a clearly defined minimum process and approach to support good practice. The shared process is further reflected in the key **questions** to ask and **actions** to take when undertaking a joint benefit and risk assessment for a given data sharing arrangement.



(Source: PIM Working Meeting, September 2016, available at: http://pim.guide/wp-content/uploads/2017/01/Protection-Information-Management-Working-Meeting-Outcome-Documents_September-2016.pdf)

Facilitator note 5) Three Spheres of Data Sharing Challenges

The examples below are illustrative (not comprehensive), and aim to facilitate the discussion. Participants are not expected to list all the items, but rather to understand how their challenges can be organized along these three spheres.

1. Practical & Procedural

- Data protection and security concerns (e.g. lack of ability to identify and implement appropriate data security measures).
- Lack of clear SOPs, reducing predictability (i.e., data holders do not know how to use and share it, when, and why).
- Difficulties in ensuring the quality, validity, and integrity of meta-data.
- Technical issues with hardware, software and tools.
- Inappropriate data sharing and data breaches.
- Lack of standardized formats and processes.
- Multiplicity of platforms.
- Remote environment reduces ability to share (when there is willingness).
- Weak Accountability to Affected Populations (AAP) or communication within(in) communities (e.g., about the data that has been collected and will be shared).

2. Institutional & Structural

- Working with legal and institutional mandates, and country-specific policies.
- Working with existing data protection SOPs and policies (and lack of enforcement for use of outdated SOPs).
- Engaging all clusters to share relevant data.
- Lack of awareness of data-sharing protocols.
- Collaboration with actors outside humanitarian community, e.g. peacekeeping missions and development actors.

3. Mind-set and Trust

- Feeling that humanitarian actors do not want to share.
- Competition between humanitarian actors (information = power & influence).
- Different personal and professional pressures, incentives and sanctions – both to share and to not share.
- Different assumptions and world views (e.g., about what is necessary and appropriate...).

Facilitator note 6) Data Protection Impact Assessment (DPIA)

DPIA is a tool and process for assessing the protection impacts on data subjects in processing their personal data and for identifying remedial actions as necessary in order to avoid or minimize such impacts. It helps organizations identify, assess and mitigate or minimize privacy risks with data processing activities. A DPIA should be conducted where data processing is likely to result in a high risk to the rights and freedoms of natural persons. (Source: ICRC Handbook on Data Protection in Humanitarian Action (2017) contains recommendations for who to conduct DPIAs for specific data types in Chapter 6, p.64-67, available at: <https://shop.icrc.org/handbook-on-data-protection-in-humanitarian-action.html?store=default>)

Facilitator note 7) Data Transfer Agreement (DTA)

A DTA states the terms and conditions around sharing and use of personal data, including which data components are to be shared, the mode of transfer, how the data may be used, data security measures and other related issues. As per the UNHCR Policy on the Protection of Personal Data of Persons of Concern to UNHCR “Data transfer agreements should, *inter alia*: (i) address the purpose(s) for data transfer, specific data elements to be transferred as well as data protection and data security measures to be put in place; (ii) require the third

party to undertake that its data protection and data security measures are in compliance with this Policy; and (iii) stipulate consultation, supervision, accountability and review mechanisms for the oversight of the transfer for the life of the agreement”.

(Source: UNHCR (2015) Policy on the Protection of Personal Data of Persons of Concern to UNHCR: <http://www.refworld.org/pdfid/55643c1d4.pdf>)

Facilitator note 8) A Framework for Data Sharing in Practice

Data is a clear prerequisite for improved humanitarian response. Yet the push for quality data and evidence has not been matched by a similar rise in the sharing and use of data collected. Safe and responsible sharing is challenging. In the present time, we have more ways to collect, store, share, transmit, analyse and publish data than ever before. There is currently no common framework for whether, how, why, and when data is shared in support of humanitarian action and protection response. The absence of a common framework can result in several adverse outcomes, including less or no sharing, irresponsible sharing, or confusion among partners about what can or should be shared. Each of these can result in a loss of the knowledge and evidence needed for decision-making and response, both internally and with operational stakeholders and partners.

The PIM Initiative is setting out to explore ways for collectively facilitating & advancing the safe, responsible & purposeful sharing of data, information and analysis for stronger humanitarian response & protection outcomes.

In 2017, PIM and OCHA initiated a process to identify elements of a *Framework* that may set practical minimums to facilitate the safe, responsible and purposeful sharing of data, information and analysis for stronger humanitarian response and protection outcomes. The *Framework* is not about absolutes but rather about offering practical minimums based on good practice.

The *Framework* starts by setting out a common ‘trust statement’. Above all, this establishes a commitment to work within the *Framework*, in support of responsible data sharing.

The *Framework* articulates a minimum level for shared principles and process open to actors both inside and outside the humanitarian community (e.g. affected populations, development and peacebuilding actors, academics, private sector, media), based on the needs of a given data sharing situation. For any individual data sharing scenario, two or more colleagues would come together and undertake a joint assessment based on their context and situation.

The *Framework* then defines in concrete terms how to undertake a joint benefit and risk assessment in an environment of trust. Such an assessment explores the benefits and risks of sharing specific data or information within a given context, after which stakeholders can make an informed decision on if and how to proceed with the sharing arrangement.

If there has been a violation of the *Framework*, it is up to the stakeholders involved to understand why the violation took place and then to decide whether to continue to share, or any additional ramifications. If the initial trust is broken, the *Framework* would need to be renegotiated, or the *Framework* may no longer exist between the parties

If colleagues are not operating in an environment of trust, it becomes more difficult to assess the risks and benefits of data sharing for any given situation.

(Source: PIM (2018): A Framework for Data Sharing in Practice, available here: <http://pim.guide/wp-content/uploads/2018/05/Framework-for-Data-Sharing-in-Practice.pdf>)

Facilitator note 9) The Framework’s Trust Statement

The Trust Statement indicates a commitment to act in accordance with the *Framework*, signalling that ‘I as a person’ and/or ‘we as an organisation’ will behave in accordance to the trust statement and the minimum standard outlined in the overall *Framework*.

The objective of the trust statement is to articulate the elements of a trustworthy and overall better data sharing environment, either within an organization or between organizations. For example, if you are in the process of negotiating a data sharing agreement you may still need to refer to the *Framework* for steps that may need to be completed or considered in that process and mutually agreed upon.

The trust statement is about establishing an environment of trust and the ways in which trust can be created, maintained, and enhanced requires working in a spirit and practice of trust, with a shared minimum approach to ensure good practice. This approach is outlined in the elements of the *Framework* below.

The Trust Statement will be a statement which two parties will agree to as an indication of their commitment to the *Framework* when sharing data. The statement may also extend to donors, who have the responsibility and leverage to enable data sharing and cooperation among stakeholders.

Text of the Trust Statement:

We recognize the benefits of sharing data in a responsible, safe, and purposeful manner to improve responses that promote safety, dignity, and the rights and capacities of affected populations.

We understand the risks of sharing and not sharing, and we commit to sharing and receiving data, information according to the humanitarian principles and in line with protection and information management [PIM] principles and respective organizational policies on the same.

Equipped with the Framework for Data Sharing in Practice, we will help create an enabling environment that enhances coordination and collaboration within and beyond the humanitarian community for data sharing.

Facilitator note 10) Benefit Risk Assessment – guiding questions

The objective of the joint benefit and risk assessment is to ensure that the benefits and risks of data sharing have been systematically and deliberately assessed prior to sharing, and that actions have been identified to maximize benefits and minimize risks. This is especially important to determine the purpose of the data and the purpose of the data sharing, understanding trust, and understanding characteristics of the data and reasons to share in any given situation.

The element of a/ the data process **that is shared /done jointly** is the benefit and risk assessment. It is important to jointly be able to identify the various sides of the benefit and risk equation, and to put these together for a more complete overview. In turn, this broader understanding can inform the context and temporal conditions around the specific uses of the data sharing, including informing the means, modalities, and frequency of the specific data sharing arrangement.

The Framework outlines key **questions** to ask and key **actions** to take along with supporting guidance, when undertaking a benefit and risk assessment for a given data sharing arrangement.

For ease of reference in conjunction with module delivery, the questions are listed below (for full details of also key actions and guidance you are advised to see the Framework):

Step 1: Assess Information Landscape

Q1. Does the purpose for data sharing benefit the safety and dignity of affected populations? Is it critical? What are the potential negative impacts or harms of not sharing the data?

Q2. Can the data collecting and receiving parties demonstrate the required core competencies and the respect for the minimum Principles and Process?

Step 2: Data and Information Review

Q1. What do we need to know? Does this data need to be shared or is it already public? Have you done a secondary data review?

Q2. Have you clearly defined what is 'sensitive' data in your specific context? What is the level of detail and the type of data to be shared? Consider personal and/or sensitive data, vs. trends, statistics and other analysis? How have you considered context, time, the impact on the individual or community to whom the data belongs and the impact on staff security?

Q3. If personal data is collected/shared, was informed consent obtained (as per international standards), for the intended purpose?

Q4. How can we maximize the benefits of data (collection) and sharing within and beyond the humanitarian sector?

Step 3: Implement IM [Sharing] Systems

Q1. Have new benefits or risks emerged in the implementation stage? If so, have the prevention and mitigation actions identified in Step 2 (under 'Data and Info Review') been successfully implemented?

Q2. Do the users of the data or information demonstrate an understanding of relevant standards (e.g. PIM Principles), procedures, and policies?

Step 4: Evaluate Impact [of Sharing]

Q1. Have you been able to evaluate the data sharing arrangement?

Q2. What were the impacts of the data sharing?

Q3. Was information shared with the affected populations as planned? What was the feedback and how was it considered regarding their use of and access to the information?

Q7. Was the identified information shared as planned? Was it more/less sufficient for the purpose?

ANNEXES TO MODULE 5.2

Annex 5.2.a) "Benefit versus Risk dilemma" cards

Module: 5.2 Data sharing

Instructions for production and delivery: Print and cut the cards (number of cards should match the number of participants). Participants will discuss the dilemmas on the cards in pairs.

Available at: https://docs.google.com/document/d/1vsO_Yfi9grQNNQ_IS7dkgvmLbR--dLpIF1zAnuD6Y/edit?usp=sharing

Annex 5.2.b) Module learning sheet: Data Sharing

Part of module: 5.2 Data Sharing

Instructions for production and use: The Module learning sheet should be printed one for each participant and serve as learning reference point for the participants throughout and after the module. It contains structured space for note taking on key concepts introduced, contains reference tools, definitions and a list of recommended resources for further learning. One per participant.

Print out available: <https://docs.google.com/document/d/14aX-TWSM2kM2kSpGZMxHg-HYvXuKdZ08gXEzN79928k/edit?usp=sharing>

Annex 5.2.c) Feedback form for 5.2 Data Sharing

Part of module: 5.2 Data Sharing

Instructions for production and use: The standardized and anonymous feedback form should be handed to participants after completion of the training module (one for each) for immediate completion and return to the facilitator, in order to be used by the facilitator to evaluate the extent to which the module learning objectives have been met through realization of the module learning outcomes. The form will take 3-5 minutes to complete.

Print out available: https://docs.google.com/document/d/1-nETZIU-MGFtWm-FVCnYx_oFmpwhkvGDsoXBAWjXAVs/edit?usp=sharing

Annex 5.2.d) Power point presentation

Part of module: 5.2 Data Sharing

Instructions for production and use: This power point presentation may serve as visual reference during delivery of this module. Please note that facilitators are discouraged from relying solely on the power point presentation as visual reference during module delivery, as this is not compatible with the participatory design of the PIM training modules.

Available at:

https://www.dropbox.com/s/wymtm9ffngv1wlg/PPT_Packge%205_Module%205.2_Data%20Sharing.pptx?dl=0