Results-Based Protection Practitioners' Roundtable

Summary Report

June 2013

Acknowledgements

InterAction would like to thank the Task Team of the Results-Based Protection initiative for their time and commitment to reviewing key documents, supporting the preparation and facilitation of the Roundtable, and providing valuable feedback and recommendations on the overall direction and strategy of the Results-Based Protection initiative.

The Results-Based Protection Task Team members are:
- Andrea Lari and Caelin Briggs, Refugees International
- Mike Hayes, ChildFund
- David Glendinning, International Rescue Committee
- Carrie Santos, American Red Cross

We would also like to thank all participants in the Roundtable, especially everyone who prepared and delivered presentations, for their active contribution providing both critical reflection and recommendations that led to a valuable and rich discussion around the proposed Results-Based Protection Framework and moving the initiative forward.

I. Background

There is increasing recognition among humanitarian actors of the need to enhance and demonstrate the impact through protection programming to achieve actual change in people's lives in terms of reduced risks of violence, coercion, exploitation and deprivation.

Achieving and demonstrating such impact requires better analysis of risk patterns, and better diagnosis of the roles of different actors, in order to undertake context-specific problem-solving, outcome-orientated program design, including advocacy, complementarity among actors, and measurable indicators. In doing so, a *results-based approach* to protection builds on an evidence-informed framework which enables a focus on outcomes, rather than simply outputs and activities. In addition, a focus on results encourages robust monitoring and evaluation of the impact on people's lives and, therefore, better fine-tuning of programs and greater overall impact.

Despite extensive literature on results-based approaches, there remains a gap as to what elements are required for results-based *protection* programming and what methods and tools support the process. While there are examples of effective results-based approaches within the humanitarian community, they are scattered across organizations. There is no coordinated effort to gather good practice and develop relevant guidance to systematize a results-based approach to protection. Practitioners need to grapple with some fundamental questions:

- **What do "results" look like for protection?**
- **What makes a result *protective*?**
- **What key elements are necessary to ensure that efforts to enhance protection are results-based?**
- **What methods support a results-based approach?**
- **How might a results-based approach achieve short, medium and long-term protection outcomes?**

These questions are more critical now than ever due to the challenging funding environment and the pressure on humanitarian actors and donors to demonstrate program results to defend and maintain protection funding.

II. Development and Promotion of a Results-Based Approach to Protection

In early 2012, **InterAction's Protection Working Group** launched a program to develop and promote good practice for results-based approaches to protection. This endeavor will engage humanitarian actors, most notably field practitioners, to share, develop, test and pilot, and evaluate a framework for results-based protection, including guidance, methods and tools to design results-based programs for protective impact.

From the fall of 2012 through the spring of 2013 initial first steps were taken to explore the issue further.

1. Through a **Call for Examples**, InterAction solicited field practitioners' knowledge and experience with real successes and challenges seen at each stage of program design, including the conception, assessment and analysis processes that lead to defining objectives and indicators, as well as steps taken to implement, monitor and evaluate the entire program. InterAction

requested organizations to submit examples of their results-based protection work, including logframes, assessment models, guidebooks, tools, reports, indicators, and monitoring plans.

2. Through a series of in-depth **consultations**, InterAction started a dialogue with NGOs, donors and other stakeholders on results-based approaches to protection to both explore the challenges of measuring protection but also to allow practitioners to showcase best practice, address gaps, and inform how these should be resourced and supported in donor policy.

3. Drawing on the findings of the above activities, InterAction developed a **"Framework for Results-Based Protection"** which sought to organize the critical elements of a results-based approach to protection into a logical framework.

4. InterAction subsequently organized a two-day **Practitioners' Roundtable** on April 23-24th, 2013 to share the results of the Call for Examples and Consultations, to invite experienced practitioners to critique and refine the key elements of the proposed "Framework for Results-Based Protection" and to share lessons learned and good practice from their own experience.

III.   Results of Call for Examples and Consultations[1]

InterAction received 183 submissions in response to its Call for Examples, mostly from NGOs, involving a range of tools they use in results-based protection. The majority of these examples focused on assessment and analysis tools for results-based protection.
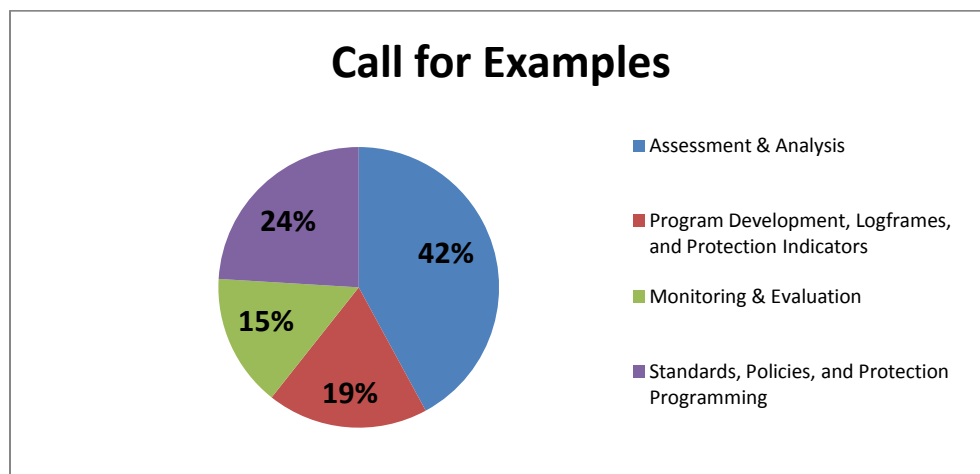
In addition, it conducted consultations with 23 NGOs. Of these, nine were field-based, 16 at headquarters level (some organizations were consulted at both levels). In addition, three consultations were conducted with bi-lateral donor organizations. Efforts were made to reach many others, but timing and coordinating team members was difficult at times. Several interviews also took place with key individuals when full consultations were not possible.

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[1] To view the full findings, please refer to the **InterAction NGO and Donor Consultations on Results-Based Protection Summary Findings,** April 2013 included as a supplementary document to this report

InterAction staff led each group through a discussion by first identifying a challenging protection issue in their work and subsequently led teams through a series of questions that helped to logically explore the programming for results, with a focus on how results are measured. The questions explored around each protection issue included:

- **What change needs to be brought about?**
- **What should be measured to see this change?**
- **Which of these are difficult to measure? Why?**
- **What are the implications of our inability to measure this issue?**
- **What practices do we want to see in order to measure this change more effectively?**
- **What is needed to do this?**
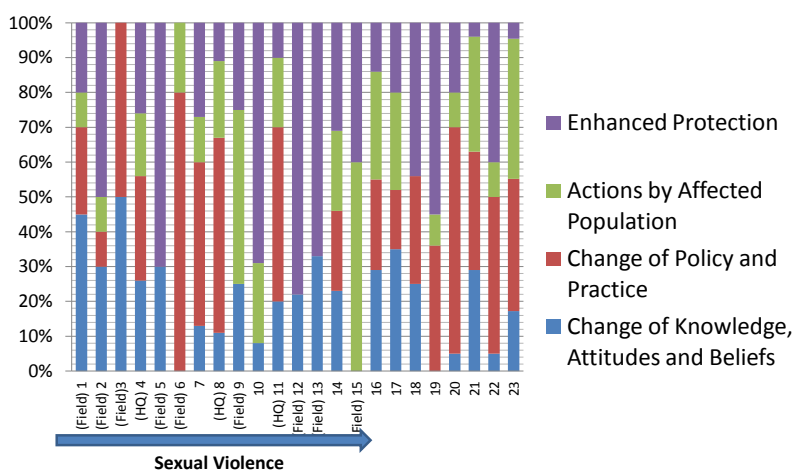- **What tools within the program cycle would support better results?**

The consultations illustrate an understanding of results brought about by protection programming in four main ways, with each group identifying a different mix of results yielded by their programming:

1. A Change in Knowledge, Attitudes, Beliefs
2. A Change in Policy and Practice
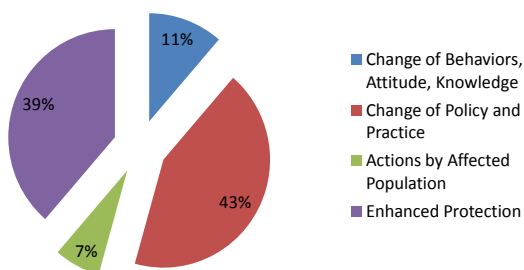3. Actions by Affected Populations
4. Enhanced Protection

It is also worth noting that, of the organizations interviewed, there was a heavy emphasis on sexual violence as being one of the most difficult protection issues to measure (15 of 23 focused their discussion on this issue).

How do NGOs understand results?
(in terms of change to be brought about through protection programming)

Sexual Violence

Legend:
- Enhanced Protection
- Actions by Affected Population
- Change of Policy and Practice
- Change of Knowledge, Attitudes and Beliefs

Combined Donor Understanding of Results

- Change of Behaviors, Attitude, Knowledge — 11%
- Change of Policy and Practice — 43%
- Actions by Affected Population — 7%
- Enhanced Protection — 39%

Combined NGO Understanding of Results

- Change of Knowledge, Attitudes and Beliefs — 21%
- Change of Policy and Practice — 29%
- Actions by Affected Population — 18%
- Enhanced Protection — 32%
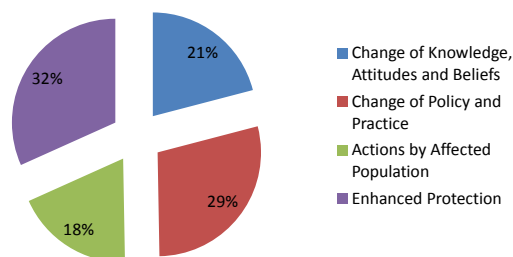
It is notable that field-based personnel tended to be more focused on work that would enhance protection of affected populations, whereas headquarters staff focused on changes in policy that would increase protection. There was also a key difference in the discussions with donors in comparison to NGOs: NGOs put a high priority on seeing changes in knowledge, attitudes and beliefs, whereas donors understood increased protection as a change in policy and practice.

While the consultations yielded a diversity of perspectives and expected results from protection programming, it should be recognized that there is no single "right answer". A combination of different kinds of results is often needed to bring about enhanced protection. However, with such a diverse range of results sought from protection programming, there may not be common understanding within individual organizations and among different actors as to precisely what results are sought in a given context. It will be important going forward for practitioners to acknowledge this diversity in desired results and engage in meaningful discussions with donors and in inter-agency fora. Explicit articulation of expectations, assumptions and clarity of objectives within organizations and among different actors will be essential.

The consultations also revealed several key obstacles to measuring the results of protection. The main obstacles included:
- Projects focus on sensitive issues that make it difficult to report or share information
- Poor staff capacity due to high turnover rates
- Weak understanding of local context
- Difficulties in measuring attitudes and behavior change
- Reliability of data

IV.   Proposed framework for Results-Based Protection from Findings and Consultations[2]

As a result of the consultations and review of examples received, it became clear that results-based protection needs a rigorous enough approach that:
- Aims for definitive outcomes in terms of reduced violence, coercion and deprivation experienced by individuals.
- Enables us to make informed decisions in a timely manner about how to mitigate threats, reduce vulnerabilities and enhance capacities in order to reduce risks, making course corrections along the way.
- Allows us to measure changes in the threats, vulnerabilities and capacities as reasonable proxy indicators of the component factors of risk and/or as interim milestones contributing to protection outcomes.
- Supports collaboration and complementarity among relevant actors contributing to desired outcomes.

The essential and indispensable element of a results-based approach is robust and detailed risk analysis which disaggregates threats and then the vulnerabilities and capacities of individuals vis-a-vis these threats in order to identify the most severe and prevalent risk patterns.

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[2] A draft diagram of the **Results-Based Framework and a Background Note to the Framework** are included in the Annex 1. The main elements of this framework were widely agreed upon in the Practitioners' Roundtable and the framework is currently being modified to take into account various recommendations and feedback from Roundtable participants to strengthen individual components of the framework. .

When the elements of risk are sufficiently disaggregated, the component parts of risk patterns can be more readily measured as proxy indicators of the overall risk. This information then provides the starting point for problem-solving, designing interventions and monitoring.

Additional success factors and operational requirements for this approach include:

- Using the experience of the affected population as the starting point of analysis lends itself directly to program design, starting with the most local possible solutions and actors first.

- Undertaking an analysis that involves very detailed, granular analysis of threats, vulnerabilities and capacities/resilience as a problem-solving approach to avoid assumptions and generalizations for entire communities or the type of problem being faced. **Different risk patterns demand different solutions.**

- Empowering managers to problem-solve by using risk analysis versus relying on checklists to design programs.

- Disaggregating vulnerabilities beyond age and sex to include gender, disability, political, social, religious, ethnic group, location, time of day/year, affiliation in a given context in relation to a specific threat.

- Historical and broader contextual analysis to lend greater insight into the dynamics where people are at risk and protection programming is being undertaken.

- Continuous risk analysis throughout the program cycle to continually test the logic and assumptions of the intervention and to detect potential new risks.

- Sustained competencies and relevant skill set among implementing staff.

- Results will often require multi-year program strategies to achieve meaningful impact and outcomes.

- Organization-wide policies which establish expectations and guidance for results-based approaches in practice.

- Ensuring that the donor's approach and understanding of results is compatible with the organization's approach and understanding.

Key Discussions from the Practitioners' Roundtable

V. Participants, Objectives and Agenda of the Results-Based Practitioners' Roundtable

The Results-Based Protection Practitioners' Roundtable brought together 36 practitioners who were identified during the consultations and call for examples as key individuals working on various aspects of the identified key elements of results-based protection programming.

Participants of the Roundtable included both NGO practitioners from the field working on protection issues as well as colleagues at headquarter levels managing and providing technical advice for protection programming. Organizations working on child protection, gender-based violence, and broader protection issues were included. Also present were several donor agencies, academic, and representatives from the Global Protection Cluster (GPC).

Objectives of the Practitioners' Roundtable on Results Based Protection
- Create an opportunity for experienced practitioners to explore the need for, and key requirements of, results-based protection
- Report back on InterAction's findings resulting from the collection of examples and consultations
- Examine some existing practice in order to review, test and develop a proposed framework
- Identify and agree some next steps to collaborate on the further development and promotion of results-based protection, including links to other initiatives

The two-day Roundtable began with a review of the findings from the consultations and the literature review from the Call for Examples, and was framed with a discussion around the 'evidence debate' to set the tone and purpose of the need to look at results-based approaches to protection programming.

This foundational background led to an introduction of a proposed Framework for Results-Based Protection and the background supporting this Framework. The discussion following the proposed Framework was built around several organizational case studies that engaged participants to explore key elements of the program cycle through a more results-orientated lens and approach to protection programming. Interactive focus groups enabled participants to dialogue on the Framework, the elements supporting the Framework, and key challenges and gaps of the Framework.[3]

At the end of the Roundtable, participants were able to explore priorities for furthering the development of the Framework and commit to actions that each organization could take up to move the initiative forward.

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[3] See Annex 2 for the Results-Based Practitioners' Agenda

VI.   Obstacles to Measuring the Impact of Protection

With the increasing expectations and demand from donors for evidence and evidence-based programming, there is a need to explore the challenges and limitations that obtaining evidence has on protection programming.

Evidence in itself does not exist. What does exist is the information or data we are collecting to prove or disprove a proposition in order to help us make programming decisions. Evidence-based programming comes from a long history of using rigorous methods for evaluating programme effectiveness and accountability.   There are limits to the application of an evidence-based approach in humanitarian programming.

An evidence-base often relies heavily on quantifiable data limiting the importance and use of qualitative information. Within the humanitarian context, especially with protection, data is not always found or available. Rigorous methods to evaluate and understand impact are not always possible. With certain limitations and challenges, we can better understand and program for protection if we adapt and apply what works for our context. Therefore, our efforts should be focused on ***evidence-informed*** approaches to programming to yield better results and provide a stronger foundation for protection programming.

What does evidence-informed look like?

There are some inherent limits in measuring the impact of protection work, given the significant time and financial resources for program evaluations, particularly the evaluation of impact. Alternative good practice was shared when the resources for impact evaluations are not available. Evidence should be collected that will address three key aspects of our work:
1.   Do we need to intervene?
2.   Will our intervention work?
3.   Is our approach the best to address the problem?

Practitioners need to inject qualitative data into their quantitative analysis to get the best picture of the impact they are having on the ground. This "mixed methods" approach is best for understanding the complexity of protection work. There is a perceived tension between NGOs' information needs and donors' information needs regarding the results achieved in protection programs and, therefore, a particular need to discuss these measurement dilemmas and establish clear expectations in this relationship.

In addition, there is a need to dialogue with donors on the limits of attributing results to particular protection interventions. Given the wide-ranging nature of protection problems being addressed and the multiple factors that affect a population's exposure to threats, abuse and violence, organizations aiming to contribute to results need to develop a solid and informed statement of *contribution*, rather than statements of attribution.

Moreover, an important consideration is that we may expose affected populations to risks by collecting data. It is essential to only to collect data that is needed to support decision-making about our interventions. Greater collaboration and sharing of data among organizations will help fill gaps where it is too dangerous to gather data and will minimize subjecting at-risk individuals to repeated data gathering.

VII.   Discussion and Feedback on Proposed Framework for Results-Based Protection

See Annex 1 for the proposed Framework and Background Note.

As background to the introduction of the proposed Framework for Results-Based Protection, InterAction emphasized:

- Many of the key elements of the proposed Framework for Results-Based Protection does not represent new insight -- many of these success factors have been emphasized for years. However, this good practice is not systemically implemented. The purpose of proposing the Framework is to confirm common understanding of how the pieces fit together.

- Many existing tools and standards either lend themselves directly to a results-based approach or can be applied to such an approach.

- There is no need or desire to replace or duplicate what already exists. The aim is to help pull things together and provide a logical framework that strengthens and refines various tools, standards, methods

- Whether acute or protracted, the focus is on the fundamental goals of humanitarian programming -- to save lives and alleviate suffering in the context of crises -- while acknowledging that good practice approaches, tools, and methods may be found in development and transition programming

Overall Feedback

Over the course of two days participants examined each segment of the proposed Framework for Results-Based Protection. Overall participants felt that the draft Framework captured the approach to analysis and program planning their organizations use – or aim to use -- in their protection work. The Framework helps achieve an important goal of capturing the approaches of different organizations engaged in different aspects of protection work into a single framework in a way that can help promote a common understanding of the results desired from protection programming.

Specific Feedback[4]

1. Iterative vs. Linear

The diagram should indicate that this Framework is meant to be iterative and not linear. Risk analysis must be continuous, repeated, and used to adapt the program design again and again. While this is reflected at the bottom of the Framework in the phrase, "continuous risk analysis: monitoring and adaption," practitioners noted repeated risk analysis needed to be emphasized for the Framework to be successful in practice. Humanitarian crises are contexts of constant change and practitioners must maintain ongoing analysis of the risks they seek to address and the context in which they are working.

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[4] A full list of feedback emerging from discussions is provided in Annex 5: List of Recommended Revisions for the Framework

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2. Analysis Paralysis

Practitioners pointed out consistently that there is always a dilemma about conducting thorough analysis in advance of program planning, but needing to know at what point the analysis is "good enough" to make choices about priorities and begin addressing them. The Framework is helpful in capturing all the analytical steps needed to design protection programs, but some feared it could overwhelm practitioners and result in "analysis paralysis." A results-based framework should empower practitioners to use information for practical problem-solving and not discourage them with the complexity of the task. Continuous risk analysis should enable responses to be undertaken while undertaking adjustments, as needed, along the way.

3. Time-consuming

Similarly, there is a concern that disaggregated analysis against all threats may be too time-consuming. It will be important to enable prioritization based on the <u>most severe and prevalent threats</u> faced by affected populations in a given area. Training should include real-world examples and a guidance document to help practitioners understand methods for prioritizing analysis of risk patterns without compiling unmanageable lists of potential threats.

4. Close link between Vulnerability and Capacity/Resilience

Participants suggested linking the boxes on the left, labeled, "Vulnerability" and "Capacity," to show how the two components of analysis are closely related. It is also important to highlight that reducing one vulnerability can increase exposure to a new threat, and again, the need to keep reanalyzing the situation.

5. Community Participation

Participants frequently noted the need for affected communities to actively participate in risk assessments and the need for their perceptions to be at the center of these analyses. At the same time, harmful traditional practices and customs which may be difficult for communities to critically reflect on must also be analyzed.

6. Vulnerability Analysis

Many participants offered more detail on what types of vulnerability should be considered, that could be provided in an annex or guidance. Additional types of vulnerability include restricted mobility, displacement, disrupted social structures, psychological and other non-visible vulnerabilities.

7. Risk vs. an Asset-Based Approach

Participants also discussed the relative merits of a risk-based approach to an assets-based approach. Most agreed that the Results-Based Protection Framework was flexible enough to encompass either approach and/or that certain donors would be more amenable to one or the other.

8. Elements for a Historical-Contextual Analysis

Participants suggested the need to elaborate an essential list of elements needed to conduct historical and contextual analysis. These include power dynamics, religion, culture, ethnic groups, social capital, resilience/coping mechanisms, gender dynamics, politics/government, civil society, media, legal framework and the human rights record in the country or region.

9. Responsibilization vs. Substitution

Participants felt that the authorities (or the "duty-bearers") need to meet their obligations and their role to ensure the protection of vulnerable populations. Authorities need to be continually reminded of their obligations and humanitarians must remain alert that their activities do not unnecessarily substitute for the authorities in a way that diminishes their ultimate responsibility. The Framework does include "responsibilization vs. substitution" in the "mode of action" bullet point on the right-hand side, but this may need to be given greater weight.

10. Using the Framework for interagency protection strategies and to inform overall humanitarian response

To have a broader impact, participants overwhelmingly agreed that the Framework should be used to formulate an interagency strategy on protection in a given humanitarian crisis. It was suggested that two frameworks should be developed addressing both organizational programming as well as collaborative inter-agency protection strategies.

It was suggested that the protection cluster in a given country/context use this Framework to more comprehensively address a range of protection concerns, facilitate complementarity among organizations and help to coordinate a range of responses by implementing agencies. Others suggested the entire country team, led by the Humanitarian Coordinator, should conduct a joint risks analysis, to ensure that a protection lens is applied across all sectors and informs the overall the humanitarian response. It was suggested that donors encourage the use of this analysis in Humanitarian Action Plans and Consolidated Appeals. In some instances, it may be appropriate to include local and national authorities in the analysis, to ensure the maximum buy-in and sustainability of protection programming. The protection cluster, the country team and the Humanitarian Action Plan development process were also identified as key fora for developing and sharing the historical and contextual analysis that underpins the Results-Based Protection Framework.

VIII.   Next Steps

InterAction will modify the Framework based on the feedback received during the Roundtable.

In addition, participants highlighted a number of steps to further develop the Results-Based Protection Framework and to support its dissemination and use in practice. Several of these recommendations are listed below. InterAction will prioritize among these and formulate a plan of action in response to these recommendations. All Roundtable participants, and other individuals and organizations who become involved through consultations, will be invited to contribute to this work.

1.   Further consultations with a wide-range of stakeholders

A large number of diverse actors were identified to solicit input on the Framework, establish dialogue, inform strategy and cultivate buy-in for a results-based approach to protection. A first step to this process was linking with the Global Protection Cluster (GPC), each of the Areas of Responsibility (AoRs) under the GPC, and field level Protection Clusters to explore the Framework further.

Participants listed the following additional stakeholders for both dialogue and for promotion of the Framework:

- o Protection mainstreaming GPC-Task Team
- o ICRC
- o ICVA
- o Donors (as well as non-traditional donors)

- o Affected authorities
- o Other sectors/clusters to discuss mainstreaming
- o Child Protection in Crisis Network
- o OECD
- o UN Agencies Academia
- o "Digital humanitarians"
- o Information management colleagues
- o In-country coordination infrastructure
- o For Office/Ministry of Foreign Affairs
- o Diplomatic representatives in-country
- o Special Representative to the Secretary General (SRSGs)
- o UN political and peacekeeping missions
- o Research institutions/think tanks
- o Humanitarian Coordinators
- o Agencies in conflict prevention/peace building
- o Individual experts
- o Local civil society

➢ **InterAction will continue to convene meetings, consultations, and other workshops to further solicit input, develop and promote results-based protection and this Framework.**
➢ **All participants of the Practitioners' Roundtable are encouraged to engage in dialogue on results-based protection with their key interlocutors as well and to share the results of dialogue with InterAction and fellow practitioners.**

2. **Develop a Framework that can be used at an inter-agency strategic level**

Participants discussed the need to develop a more stream-lined version of the Framework at a higher strategic level that would facilitate discussion with senior level leadership in the humanitarian system, including the Humanitarian Coordinator and the Humanitarian Country Team. A strategic version of the Framework could also be used at the cluster level (including GBV, Child Protection, and other sub-clusters) or among a group of NGOs to devise inter-agency strategies on protection for specific contexts which could then feed into the work of the HC and HCTs.

➢ **The revision of the Framework will include a version for inter-agency use.**

3. **Develop a narrative and other tools to accompany the Framework**

Building on the Background Note, participants highlighted the need for a narrative document to accompany the diagram of the Framework. The narrative should emphasize the above listed key success factors and important lessons discussed at the Roundtable.

➢ **InterAction will take the lead to start to develop a narrative of the Framework and to identify and prioritize tools that could accompany it.**

4. **Pilot Elements of the Framework and Document as Case Studies**

Practitioners recommended that each stage of the Framework (i.e. the program cycle, including the risk analysis process) be piloted in a few contexts while documenting case studies to help illustrate and identify successes, challenges and gaps. This process should be piloted in both protracted and sudden on-set and/or early stage emergencies to identify differences and similarities in its use, the challenges and gaps within the Framework given different stages of an emergency and to explore the benefits and good practice that can come from using an inter-agency and/or organizational version of the Framework.

Another dimension of testing elements of the Framework will be to identify how the Framework is used and adapted with different protection issues (child protection; gender-based violence; mine action; housing, land and property) as well as to test its use as a strategic tool for a comprehensive inter-agency strategic plan for addressing protection concerns.

➢ **Several organizations at the Roundtable identified themselves as willing to test elements of the Framework. InterAction will follow-up with those identified in order to support a process of documentation and learning during each step of a pilot.**

5. **Create a Results-Based Protection Repository**

Participants highlighted the need for a repository where key results-based protection tools could be collected and shared. For example, there is a need to develop and share protection indicators, including interim milestones, as they are developed across the humanitarian community. In particular, participants highlighted the dilemmas of global indicators which can be contextualized in order to be locally relevant. The goal of the repository would be to help build up a body of practice on results-based protection programming, including the outcomes of piloting and testing. Again, as gaps are identified in this collection of good practice, agencies could seek to collaborate to fill those gaps.

> **InterAction will help facilitate such a repository online by identifying what already exists and where such a repository would be most useful (i.e., Protection Cluster Website, others).**

6. **Conduct field and regional-based workshops on the Framework**

Another proposal was to organize and facilitate regional workshops that would bring together several agencies working in a particular context in order to both introduce the Framework but also to ensure field practitioners are part of the dialogue and inputting into the development process.

> **InterAction will explore one or two regional workshops to further the dialogue and promotion of the Framework.**

7. **Write a Blog to promote Results-Based Protection**

Several participants agreed to write blogs about the Practitioners' Roundtable and the framework to begin sharing the initiative more broadly.

> **InterAction and participants identified at the Roundtable will write blogs on Results-Based Protection over the next couple of months. InterAction will lead in identifying key Blog sites to post to and will mobilize communication and action around the Blogs.**

8. **Action by participants following the Roundtable**

Many workshop participants made pledges to share the Framework with colleagues in the field and in their organization's leadership. In addition, participants committed to several action steps (see table below) following the Roundtable in order to advance and support the Results-Based Protection initiative over the next year.

> **InterAction will follow-up with Roundtable participants to encourage, support and collaborate with these initiatives to further develop, pilot, and promote a results-based approach to protection within their own organizations and in joint inter-agency initiatives, both at a headquarter and field level.**

FOLLOW UP INITIATIVES IDENTIFIED BY PARTICIPANTS AT RBP ROUNDTABLE

What specific initiatives can be done by you/your organization to develop, test, promote Results-Based Protection?	
Initiative	**Organization/Individual Timeframe**
• While doing field assessments and speaking to organizations in country, explore to what extent RBP has been adopted by organizations responding to an emergency.	Refugees International
• Integrate the RBP Framework into on-going programs	ChildFund
• Report out on a pilot project exploring "What Works" in Child Protection to inform RBP	ChildFund

• Report out on impact evaluation in West Timor protection work (8-10 years ago) with ALNAP to look at 1) Longer-term impact; 2) Test appropriate methodologies/evaluations • Repeat same impact evaluation for Goma Emergency Protection program to capture key learning and to test the methodology	Oxfam and ALNAP *(subject to funding)*
• Share learning from "signature programs" to inform RBP	Save the Children
• Write a Blog on RBP	InterAction (Jessica Lenz); Nora Niland, Refugees International (Caelin Briggs) and ALNAP
• Share evaluations, learning	Columbia University; CPC Network

• Test and Pilot the revised RBP Framework in several emergencies:
   o through protection and analysis/assessment phase;
   o during new project adjustments phases;
   o through evaluation of protection interventions;
   o by incorporating into current or new protection training
	Oxfam
	DRC
	NRC
	Others

• While developing indictors for programs in emergencies to determine whether RBP add value. Document the experience	Oxfam
• Share RBP internally (HQ and country level) and assess how to integrate and include "do no harm" and conflict analysis into programs	Cord (Globally) and ARC (Haiti)
• Present RBP to Protection Cluster (Geneva level and then at field level clusters)	InterAction
• Presentation on RBP	Danish Refugee Commission, Norwegian Refugee Commission, Refugees International
• Share with local partners	HelpAge
• Share learning from threat assessment (location?)	DRC
• Can encourage (or require) use of Framework for RBP for protection funding in 4 years	OFDA (Need increased buy-in from other NGOs)
• Use framework to develop a protection strategy for one country/emergency to test "is it possible?" and to share experiences	Donor
• Act as convener and active lead role in bringing and keeping together this initiative	InterAction

Additional Recommended Action for InterAction and other Actors
• Create a virtual platform for tools/guidance/learning and sharing
• Present CEOs and Presidents of NGOs the value of this approach
• High level dissemination to IASC, UN Agencies heads
• Bring together protection practitioners and academics and M& E community for dialogue on protection evaluation
• Identify and train facilitators to use the Framework in context
• Repeat this Roundtable in one year to focus on progress, learning and measure our own progress against indicators

Annex

1. Draft Proposed Framework for Results-Based Protection and Background Note
2. Practitioners' Roundtable Agenda
3. Case Studies and Questions Explored on Results-Based Protection
4. List of Participants
5. List of Recommended Revisions for the Framework
6. Results of the Roundtable Evaluation
7. InterAction (2013, April). *NGO and Donor Consultations on Results-Based Protection Summary Report*. InterAction. (Included as additional document to Roundtable report).

Annex 1:

Draft Proposed Framework for

Results-Based Protection and Background Note

![InterAction - A United Voice for Global Change]

Proposed Framework for Results-Based Protection

Risk Analysis

Identify
- Violence
- Coercion
- Deprivation

Break down risk patterns

Impact indicators

Evaluation

Desired Results: Reduced levels of violence, coercion deprivation experienced

Programme Design

Objectives:
Change in:
- Manifestation of the threat, vulnerability and capacity
- Change in the driving factors: policies, practices, attitudes, beliefs

Articulate
- Logic
- Assumptions
- Programmatic risks

Historical & Contextual Analysis

Threat
- What is the type, frequency and area of the threat?
- Which actors are responsible for the threat?
- What are the main factors driving their behaviour?
- What is their will and capacity to comply with norms?
- What are the main sources of resources, influence and leverage? What are possible incentives and disincentives to change behaviour?

Vulnerability
- Who are the individuals vulnerable vis a vis this threat?
- Why are they vulnerable?
- How – what impact/consequences?

Capacity
- What capacity exists to cope with and overcome the threat?
- What capacity exists to cope with and overcome the consequences?

Proxy indicators

Interim Milestones

Objective 1:
Change in the threat or driving factors

Objective 2:
Change in the factors of vulnerability

Objective 3:
Change in the factors of capacity

Activities
- *Purpose of action*: Responsive, remedial. environment building
- *Mode of action*: Responsibilisation vs substitution (denunciation, persuasion, capacity building, direct services)
- *Types of action*: technical sectors / inputs required
- *Coordination & complementarity of actors*

Output Indicators

ORGANISATIONAL POLICY

Continuous risk analysis: monitoring and adaptation

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Needed

A rigorous enough approach that

- aims for definitive outcomes in terms of reduced violence, coercion and deprivation experienced by individuals
- enables us to make informed decisions in a timely manner about how to mitigate threats, reduce vulnerabilities and enhance capacities in order to reduce risks, making course corrections along the way
- allows us to measure changes in the threats, vulnerabilities and capacities as reasonable proxy indicators of the component factors of risk and/or as interim milestones contributing to protection outcomes
- supports collaboration and complementarity among relevant actors contributing to desired outcomes

Assumptions

- Most of this is not new insight. Many success factors are things we've all emphasized over the years. But not being systematically done. The purpose of proposing this framework is to confirm common understanding of how the pieces fit together.
- Many existing tools and standards either lend themselves directly to a results-based approach or can be applied to such an approach.
- There is no need or desire to replace or duplicate what's already there (in particular, existing standards for specialized areas of humanitarian action, such as child protection and GBV prevention and response) but, rather, to help it all hang together better and potentially provide a logical framework which may help to strengthen or refine these
- Whether acute or protracted, the focus is saving lives and alleviating suffering in the context of crises (recognizing that good practice approaches, tools and methods may be found in development and transition programming)

What is impact and how will we know?

Protective impact for individuals means reduced risk

Risk refers to:

- The ongoing severity and prevalence of violence, coercion and deprivation
- The impact / consequences of violence, coercion and deprivation for individuals

Measuring risk

There has been a tendency to assume that "protection incidents" must be monitored. However, incidents and their impact are often difficult to count, for reasons we know well:

- Cannot accurately count and fully document and monitor all incidents in a crisis
- People will not report for lack of knowledge of how to report, shame, lack of confidence that any action will be taken, fear of retribution or other negative consequences
- High risk of misinterpretation – taking a slice as indicative of the whole and inability to compensate for missing information

- Not all protection concerns are manifested through "incidents" –
  - for example, a policy/practice to restrict freedom of movement may inhibit people's ability to secure their land and property, access safe areas, services, or assistance. But restrictions on freedom of movement is not itself an "incident". We need to understand how such a policy/practice is part of the threat environment for affected populations (or exacerbates their vulnerability) but we won't be able to understand this by counting "incidents".

Therefore, while we may be able to undertake *some* reliable measurements based on counting incidents, this should be undertaken based on **clear objectives for how the information will be used** and, therefore, what information should be collected.

And we need to find **other things to measure** when assessing protection and assessing the impact of our interventions.

Proposition –what we can measure

We *can*
1. Understand the *risk patterns* – *indicative* of the overall prevalence and severity of impact
2. Understand the component parts giving rise to risk – **threat and vulnerability/capacity.**
   - When information is sufficiently detailed, the component parts of risks patterns can be more readily measured as proxy indicators of the overall risk.
   - This information also provides the raw material for problem-solving, designing interventions.

Some key success factors/operational requirements for this approach

1. Important to use **the experience of the affected population as the starting point** of analysis.
   - including to ensure understanding of relevant traditional and social norms that may support problem-solving
   - At the same time, it is noted that when people face extreme continuous extreme violence, this will limit possibilities for consultation. In addition, even under better circumstances, earning community trust to support full consultation takes time.

2. Analysis needs to involve **very detailed, granular analysis of threats, vulnerabilities and capacities**. It is essential to break down the problem in order to undertake problem-solving.
   - Not enough to generalize for entire communities or the type of problem being faced. Different risk patterns demand different solutions.
   - Essential to look at each of these components – not enough just to assess vulnerability or just threats.

- ➢ **Disaggregated data** is an essential part of this – but not only gender, age and disability.
  - Vulnerability is also a function of location, activity, time of day/year, political/social/ethnic/religious profile/affiliation in a given context and *in relation to a specific threat.*
  - Vulnerabilities vis a vis specific threats may therefore shift over time.
  - A combination of **different kinds of quantitative and qualitative data and different collection methods** is required.

3. Diagnosis and problem-solving therefore needs to be **context-specific**.

4. While risk analysis is the essential piece for results-based programming, **historical and broader contextual analysis** should also be undertaken to lend greater insight into the dynamics where people are at risk and protection programming is being undertaken.

5. A robust risk analysis **lends itself directly to programme design**, starting with the most local possible solution and actors first.
   - Changed risk patterns = desired results
   - Changes in the threats, vulnerabilities and capacities and/or the factors driving them (i.e. changes in policies, practices, behaviour, attitudes, etc) = objectives, proxy indicators and interim milestones
   - International and domestic legal frameworks, and other norms (social, informal) with potential protective value, serve to articulate <u>what should be happening</u> and <u>the role of different actors</u> in this regard. This in turn helps shape the objectives and expected interim outcomes leading towards the desired results.
   - Undertaking risk analysis in **close collaboration with affected individuals** enables their central role in problem-solving and implementation, including continual monitoring and adaptation.
   - Bringing about changes in threats, vulnerabilities and capacities may involve a **wide variety of sectoral / technical programme areas** as well as **different modes of action**, including but not limited to service provision and material assistance, as relevant to the problem-solving needs.
   - More than one actor may be needed to bring about change. Overall programme design and achieving the desired results may depend on **complementarity between actors**. While not always possible, every effort should be made for collaboration and complementarity from the start of initial risk analysis.

➢ Programme implementation should be continually informed by **continuous risk analysis**
   - Risk analysis should not be treated as a one-off exercise at the beginning of a programme or project cycle, but **a continuous process** of tracking risk patterns and engagement with affected individuals and other stakeholders **which enables decision-making and adaptation in real time**.
   - The disaggregated analysis of risk patterns lends itself to **indicators for monitoring**, using a limited number of prioritized indicators.
   - Programme design needs to articulate of the **logic and assumptions** about the intervention – i.e. how change will be brought about. The **potential new risks** arising from the intervention also need to be anticipated and articulated. The **logic, assumptions and potential new risks then also need to be continually monitored**, with the logic and assumptions tested, and the **programme adjusted** as necessary.

➢ Meaningful impact and outcomes often necessitate a multi-year programme strategy.

➢ Continuous pursuit of a results-based approach requires supporting **organization-wide policies and their reinforcement in practice**.

➢ It is important to know the **donor's approach** and whether it is compatible with your own.

Dilemmas and tensions

- Standardized global outcomes and indicators are desirable in support of system-wide good practice, efficiency and progress towards common goals. *But* it is context-specific diagnosis and problem-solving which seem to yield results.
- Does an investment in context-specific approaches mean that each context needs its own specific tools?
- There is a *perceived* tension between information needs for our own programme design and decision-making versus donors' information needs.
- "Good enough" information to make decisions versus the need/desire for comprehensive analysis.
- Is it still worth trying to establish complete and comprehensive documentation of incidents – at least as indicative of the bigger picture?
- A results-based approach avoids detailed checklists and prescriptive instructions about what to do in response to a given protection issue. Instead, a results-based approach requires empowered local managers who can lead problem-solving in conjunction with local actors. But not all organizations work this way.

Risk Analysis

Threat	Vulnerability	Capacity

• Main characteristics of the threat
  ▪ Type / manifestation: violence, coercion, deprivation
  ▪ Frequency / prevalence
  ▪ Geographic area
• What are the main characteristics of the actors responsible for the threat?
  ▪ Individual actor vs group actor and behaviour
  ▪ What is their relationship to the affected individual/population?
  ▪ What is their structure and where does decision-making power lie?
  ▪ Where relevant, is their chain of command ambiguous or clear / loose or tight?
• What are the main factors driving their behaviour?
  ▪ Motivations to mistreat the individual/population: Economic, Political, Legal, Social
  ▪ Formal and informal policies and practices, or absence thereof
  ▪ Relevance of governing norms – social, religious, legal (domestic, international)
  ▪ Attitudes, ideas and beliefs driving behaviour
• What is their will *and* capacity to comply with IHL, HRL, Refugee Law and other protective norms?
• What are the main sources of resources, influence, pressure and leverage? (Economic, Political, Legal, Social)
• What are possible incentives to change their policy, practice, attitudes and beliefs?
• What are the disincentives to comply with norms/make the desired behaviour change?
	• Who are the individuals vulnerable vis a vis <u>this threat</u>? Why are they vulnerable?
	  ▪ Location
	  ▪ Time
	  ▪ Activity
	  ▪ Access to resources
	  ▪ Gender
	  ▪ Age
	  ▪ Disability
	  ▪ Social, religious, economic or political group or identity
	  ▪ Other?
	• How – what impact/consequences of <u>this threat</u>?
	  ▪ Life-threatening
	  ▪ Permanent injury or disability
	  ▪ Non-life threatening injury
	  ▪ Loss of property/assets/livelihood
	  ▪ Loss of access to life-sustaining resources
	  ▪ Loss of access to essential services
	  ▪ Loss of ability to sustain life and health
	  ▪ Marginalization/exclusion
	  ▪ Separation from family
		• What resources and capacity exists to <u>cope with and/or mitigate</u> <u>this threat</u>?
		  ▪ Human, economic, social, religious, legal, material, etc
		  ▪ Internal and external to the affected individual, including traditional or social norms
		    ○ Status of the capacity: nascent, partly functioning, full functioning
		    ○ At what level or component of a local to global 'protective system'
		  ▪ Accessibility of these resources and capacity for the affected individual
		• What resources and capacity exists to <u>cope with and/or overcome the consequences of this threat</u>?
		  ▪ Human, economic, social, religious, legal, material, etc
		  ▪ Internal and external to the affected individual, including traditional or social norms
		    ○ Status of the capacity: nascent, partly functioning, full functioning
		    ○ At what level or component of a local to global 'protective system'
		  ▪ Accessibility of these resources and capacity for the affected individual

Annex 2:

Practitioners' Roundtable Agenda

Practitioners' Roundtable
on Results-Based Protection*
InterAction

23 – 24 April, 2013
Carnegie Endowment for International Peace
1779 Massachusetts Ave NW
Washington, DC 20036

Objectives

- Create an opportunity for experienced practitioners to explore the need for, and key requirements of, results-based protection
- Report back on InterAction's findings resulting from the collection of examples and consultations
- Examine some existing practice in order to review, test and develop a proposed framework
- Identify and agree some next steps to collaborate on the further development and promotion of results-based protection, including links to other initiatives

23 April

08:30   **Arrival and registration**

09:00 – 09:30   **Welcome and introductions**
Review and discuss objectives and agenda

09:30 – 9:50   **Why do we need a results-based approach to protection?**
Introductory presentation by Jenny McAvoy, InterAction

09:50 – 10:45   **InterAction's findings thus far**
Presentation by Jessica Lenz, InterAction
Plenary discussion

10:45 – 11:00   Coffee Break

11:00 – 11:45   **The Evidence Debate**
Presentation by Francesca Bonino, ALNAP
- What do we mean by evidence?
- What do we need it for?
- What are they key issues around quality of evidence?
- How can we tell if our information is turning into quality evidence?

Plenary discussion

11: 45 – 12:30   **A proposed framework for Results-Based Protection**
Presentation by Jenny McAvoy, InterAction
Plenary Discussion

12:30 – 13:20   Lunch

*** This InterAction program is generously supported by USAID/OFDA.**

13:20 – 14:20   **Assessment and analysis**
Case study presentations
- Child Protection Rapid Assessment Tool – Janis Ridsdel (CPWG/Plan-UK) –via Skype
- An Ethnographic Study Engaging Community Participation- Timothy Opobo (ChildFund)
- Solar Cooker Project in Farchana Refugee Camp-Chad- Kevin Adou (Cord UK)

14:20 – 15:20   **Breakout Group Discussion**

15:20 - 15:40   Coffee Break

15:40 – 16:45   **Key requirements for assessment and analysis**
- Report back from breakout groups
- Plenary discussion

16:45 – 17:00   Summarize Day 1
Reminder of Day 2 agenda

17:30—20:00   Cocktails

24 April

09:00 – 10:20   **Programme design, implementation and monitoring**
Case study presentations
- Humanitarian Assistance and Protection for the Population affected by the internal conflict in Colombia Amandine Allaire and Maria Alejandra Torres (HelpAge)
- Reduction of civilian casualties: evidence-based action, Afghanistan Norah Niland (The Graduate Institute)
- Global Child Protection Indicators Solome Tsereteli-Stephens and Besnik Kadesha (Save the Children)
- Community-Based Protection in DRC and Yemen Rachel Hastie and Gilles-Philippe Page (Oxfam)

10:20 – 10:30   Coffee break

10:30 – 11:30   **Breakout groups**

11:30 – 12:30   **Key requirements for programme design, implementation and monitoring**
- Report back from breakout groups
- Plenary discussion

12:30 – 13:20   Lunch

13:20 – 14:00   **Evidential challenges in evaluation**
Presentation by Francesca Bonino, ALNAP
- Specific evidential challenges in evaluation of protection
- Consideration on possible areas for future work

Plenary discussion

14:00 – 14:50	**Organizational policies, approach and capacity** Case study presentations

- Adaptation of Organizational Approach- Katherine Kramer (Geneva Call) –via Skype
- Building Internal Organizational Capacity to Prevent Violence and Enhance Sustainability- Gurvinder Singh (Canadian Red Cross)
- Community Security and Results- Ed Hughes and Tom Donnelly (SaferWorld)

Plenary discussion

14:50 – 15:00	Coffee Break

15:00 – 16:30	**Now what?**

- Revisit proposed framework for Results-Based Protection
- Identify priorities for the future – who, what, when, where and how?

16:30 – 17:00	Wrap up/conclusions Evaluation

Annex 3:

Case Studies and Questions Explored on Results-Based Protection

Practitioners' Roundtable on Results-Based Protection

Case Study Presentations and Key Questions to Explore Results-Based Approaches to Protection Programming

Organization	Topic
Plan-UK/CPWG	**CP Rapid Assessment Tool- Janis Ridsdel** Key Questions: - *How does the use of the CPiE Rapid Assessment Tool allow for contextual understanding and analysis of risks faced by the affected population?* - *Based on the current pilot of the tool, are there elements which particularly lend themselves to achieving protection outcomes in terms of overall reduced risk for affected populations?*
ChildFund	**An Ethnographic Study Engaging Community Participation- Timothy Opobo** Key Questions: - *How does participatory assessment and analysis then inform program design and implementation?* - *How does a community-based approach enable better protection outcomes in terms of overall reduced risk for affected populations?*
Cord	**Solar Cooker Project in Farchana Refugee Camp-Chad- Kevin Adou** Key Questions: - *What adjustments were made in the original program that led to a better analysis of the protection concerns and better protection outcomes?* - *What was the manifestation of these results and how are they measured?* - *What key elements were included in the design of the program that enabled these results?*
HelpAge	**Humanitarian Assistance and Protection for the Population affected by the internal conflict in Colombia Amandine Allaire and Maria Alejandra Torres** Key Questions: - *What approach and analysis took place within the initial assessment that led to the use of different modes of action?* - *How has this method enabled the achievement of protection outcomes? What are the manifestations of reduced risk for the affected population?* - *How do these results relate back to the initial assessment and analysis?*
Graduate Institute	**Reduction of civilian casualties: evidence-based action, Afghanistan Norah Niland** Key Questions: - *What results were you trying to achieve? How were these results actually manifested? (e.g. changes in policy and practice, change in civilian casualties)* - *What were the critical choices and assumptions made about information gathering and the civilian casualty M&R activities that were essential to achieving these results?* - *Did you adapt/revise your program assumptions or approach during implementation? What prompted this and what changes*

Organization	Topic
	were made?
Save the Children	**Child Protection in Emergencies Global Indicators- Solome Tsereteli-Stephens and Besnik Kadesha** <u>Key Questions:</u> - *How are these indicators to be used in a context-specific way for risk analysis and the broader program cycle?* - *How will global CPiE indicators support program design and implementation for protection outcomes in terms of overall reduced risk for affected populations?*
Oxfam	**Community-Based Protection in DRC and Yemen Rachel Hastie and Gilles-Philippe** <u>Key Questions:</u> - *What result were you trying to achieve? How were these results manifested?* - *What tools were used for program design and implementation that enabled you to achieve these results?*
Geneva Call	**Adaptation of Organizational Approach- Katherine Kramer** <u>Key Questions:</u> - *What changes in planning methods is Geneva Call undertaking? What prompted this?* - *How are you going about it and what will kind of change to programming and Geneva Call's impact is expected as a result of these changes?*
Canadian Red Cross	**Building Internal Organizational Capacity to Prevent Violence and Enhance Sustainability- Gurvinder Singh** <u>Key Questions:</u> - *How has addressing the capacity of the organization on domestic violence supported better results for protection programming?* - *What structure has been put in place to sustain this capacity despite turnover* and resource gaps?
SaferWorld	**Community Security and Results- Ed Hughes and Tom Donnelly** <u>Key Questions:</u> - *What are the fundamental concepts (organizational mission statement) that support the results you are trying to achieve?* - *How does this inform your approach to programming in terms of context analysis, program design, monitoring and evaluation, and overall implementation?*

Annex 4:

List of Participants

Results-Based Protection Roundtable
InterAction
23 – 24 April 2013

<u>Participants Contact Information</u>

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Annex 5:

List of Recommended Revisions for the Framework

Key aspects/considerations for revising the framework

The following points were taken from plenary discussions and the Roundtable working groups as it related to the Results-Based Protection proposed Framework. These comments, recommendations and questions will be taken into account as part of the revision process for the Framework. We recognize that the material below is dense. It has been organized under sub-categories to provide clarity, but the information is not condensed in order to not lose the substance and key considerations of the discussions.

1. **Plenary Discussion: A proposed Framework for Results-Based Protection**

Comments and questions to be considered as the Framework is revised.

Strategy and Overarching Questions around the Framework	Structure or Element within the Framework	Use of the Framework

• How should the Humanitarian Coordinator (HC) be engaged in order that the risk analysis done on protection feeds into an overarching humanitarian strategic response?
 	
 • Can the Framework be used to challenge humanitarians to come together collectively to analyze the full environment using a protective lens? (Is this what we should mean by mainstreaming?)
 	
 • The Framework does not support prioritization of protection risks. How do we get to prioritization of both risks and indicators for achieving results?
	• Who and where is the duty-bearer within the Framework?
	
	 • The long standing equation of Protection Risk=Threat x Vulnerability includes an element of Time. Should time or exposure be considered as an essential element of risk analysis?
	
	 • How does the Framework both illustrate and support responsibilization?
	
	 • In many protection programming (ie. GBV, CP) we focus on the survivor and not the threat they experience. The approach is centered on beneficiaries, not on perpetrators. How does the Framework account for this?
		• How can we make the Framework useful for both field staff and headquarter staff?
		    o Need for guidelines on the Framework
		    o Need for a narrative of the Framework
		    o Need for background documents that support the purpose of Framework
		
		 • Need for in depth training on:
		    o What the Framework is and is not
		    o How to do a risk analysis
		    o How to use the Framework (organizationally, interagency strategy)
		    o Coordination of the use of the Framework
		
		 • How should the use of the Framework (specifically the risk analysis phase) be coordinated among actors and who should own the process?
		
		 • How in-depth and detailed is necessary and possible?

	• There is a need to better refine how the logic of doing a risk analysis lends itself to developing objectives, and further logic defining how objectives link to the desired result.
	
	• The Framework needs to respond to both risk and risk mitigation.
	
	• Need to better illustrate referral pathways within the Framework.
	
	• Include "Opportunity" within the Framework.
	
	• Risk needs to include not just reduced violence, deprivation, coercion, but also dignity and discrimination.
	
	• Need to articulate that the Framework is for both prevention and response
		o What is the historical range that we need to consider in order to conclude or develop assumptions to start to programme?
		    o How do we disaggregate data down to the level that is needed in order to get results (there will be limitations and challenges to doing this at many levels)?
		    o There will be times when it is too risky to do an in-depth context-specific risk analysis. Will this limit the use or relevance of the Framework if risk analysis is unfeasible?
		    o To do this effectively is time-consuming; how can one do a risk analysis for each and every risk?
		
		• How do we manage the tendency to put in our existing assumptions while doing the risk analysis?
		    o There is a need to test our assumptions and use risk analysis throughout the programme cycle to monitor our assumptions.
		
		• How does the Framework deal with global indicators?
		    o How do we grapple with the tension that global indicators bring when thinking about the prioritization of protection risks if we are to take a more contextual approach to defining those indicators?
		
		• Explore and create complimentarity among agencies especially in terms of prioritization.

2. Breakout Groups: Explore the Key Elements of Risk Analysis as proposed within the Framework

A. Review the questions under **_threat_** in the handout (referring to the Results-Based Protection Background Note) are there things that you would change or add?

Content/Substance
- Opportunity (opposite of vulnerability/exposure) needs to be explored further. We need to understand the extent to which perpetrators have access to vulnerable people. Opportunity includes dimensions of geography, time, and political opportunity as well as the will, capabilities and capacities of those who could intervene. (i.e. other duty bearers or those with specific mandates).
- Actor analysis needs to include duty-bearers (not only when they are perpetrators); their incentives for action/inaction, the reasons for this, and understanding why they act or do not act.
- Need to consider when the perpetrator is not a duty-bearer.
- Threat assessment overlaps with conflict analysis; it lends itself to contextual analysis, political framework, historical background. Threats all have a background, a history to them. Understanding this can help us identify the openings with certain actors.
- Understand the will and motivation, but also how much, how strong is the will, can they be dissuaded? What role does their action vis-à-vis vulnerable populations play in their overall purpose? This has implications for the possibility of dissuading them.
- Explore both formal and informal practices (harmful cultural traditions); there may be abusive practices which are traditions, but communities may seem them as protective. What do we do with information uncovered on harmful practices? What does this mean for programme design?
- Explore the perception of threat. Whose reality really counts in assessment/analysis? For example, forced or early marriage may be seen as a protective measure, if it is stopped it breaks down other mechanisms for protection. There are tradeoffs that need to be better understood.
- Explore accountability. Power analysis is not always included in risk analysis but it is needed. Who do certain actors respond to? What are the power dynamics? We need to understand the relationships between actors, relationships with the civilian population. Under what circumstances can some actors be influenced by other actors?
- Explore further power dynamics. Who has power and what gives them power? What is the relationship between the actor responsible for threats and the affected or targeted individual or populations (economic relationship, political relationship?)?
- Map out barriers to taking action vs. where we can have impact. Threat assessment needs to give us enough information to make programme design choices later.
- To what extent are we ourselves a threat? Do we exacerbate the threat? Practices of our staff? Compliance with internal procedures? Readiness as an institution with policies and compliance practices?
- How are we viewed by actors (perpetrators and duty bearers)? What does that say about what effect we might have on dynamics once we intervene?

Process
- Time is needed for the manager and team to run the process; we often have great strategic thinkers but we don't have time because of other pressing requests/needs. How can we create the space for this to be done?
- Institutionally we have a sense of what we can do, we just need to make the time. The Framework helps us articulate our end goals in terms of how we want to bring about change, how we want to influence the environment. There is an institutional expectation that the change we want to bring about is not an activity.

- We need to understand better who is doing what? Does this come under assessment or under programme design? Knowing whether some effort has already been undertaken and with what results, helps us assess the influence, leverage, and better understand the dynamics.
- Every programme needs a strategic programme document which pulls information together from all of these tools
- There needs to be a step of feeding information back to beneficiaries (ie. A validation step) to help prioritize and capture when priorities change.
- Information on threats coming in is on an on-going basis and this requires adjustments over time. Full protection assessment needs to be done on a yearly basis if not more frequently.

Good Practice for understanding Threat (methods, tools)
- Community engagement and inter-agency collaboration and coordination are both essential.
- Access to information depends on openness of communication and trust. Engage with practitioners that already have a relationship with the information sources.
- Repeat assessment on a regular basis (learn and develop analysis over a process).
- Disaggregate adults/children (men from women, girls from boys, different age groups) threats are experienced by certain groups.
- Explore the literature from other organizations; context reports.
- Protection cluster does quite a lot of protection monitoring but this information is not very well utilized. Tapping into this can help discern trends within a certain time frame.
- Explore attitudes and beliefs through surveys.
- Stakeholder maps are good to explore who is who, compliance aptitude, responsibilization. Reference the Danish Refugee Commission protection analysis toolkit as one good example.
- Convene key informants and local staff to develop the timeline of the evolution of the conflict. This will allow for better understanding of motivations and attitudes.
- We might not have easy access to perpetrators, but dialogue with local authorities for other purposes.
- Linking up with non-operational agencies or other actors who have access to alternative insight, or those that have a longer view.
- Investigate with other actors that know perpetrators well (ie. Talk to AFRICOM about training that has been given to Malian forces)

B. Review the questions under **Vulnerability** in the handout; are there things that you would change or add?

Content/Substance
- Vulnerability should also look at groups, not just individuals.
- Vulnerabilities change overtime, this should be reflected.
- Take into consideration that the reduction of one vulnerability can create a new vulnerability or increase exposure to a new threat. There is a need to illustrate within the Framework a step to go back and do the risk analysis again before finalizing objectives.
- Link vulnerability and capacity better showing the relationship. Need to understand how the group/individual is coping with the threat. The lack of a coping mechanism is a vulnerability.
- When exploring vulnerability, under location add more security categories as power is changing among armed actors and other actors. Need to look at low-intensity vs. frontline. Places where the frontline continually changes has a significant impact on the humanitarian context and therefore vulnerabilities.
- Need to see direct services more prominently placed. A lot of time it is only through service provision that we understand vulnerabilities.
- Need to add restricted mobility as a vulnerability factor.

- Need to add ethnicity, culture, traditions, land and other areas to disaggregate understanding of vulnerability.
- Need to add non-visible vulnerabilities; ie psychosocial vulnerabilities.

Process
- Is it realistic to identify every threat at the field and then to do a thorough risk analysis for each of these threats? How do we prioritize the threats?
- There is a need for the risk analysis to be used at a broader more strategic level and not just at the organizational level. This will help how we address the vulnerabilities.
- Organizations have missions and mandates that lead them to certain groups, for example women and children. They therefore, will focus their programming and risk analysis on these groups. (We may not be able to design programs based on every single threat, but might be able to design programs that deals with a couple different vulnerable groups and pre-existing knowledge about vulnerabilities.) But the risk here is that we end up developing programs on women and children and not assessing true vulnerabilities. There is an assumption that these groups are always vulnerable. We know there are certain threats that always exist (girls are always exposed to sexual violence; but we do not need to analyze this threat to respond). There is a need to avoid writing down anything simply to prioritize women and children; this will make for sloppy analysis. There is a huge diversity in the vulnerability of women and children. Not all are vulnerable. We need to look at specific risk patterns.

Good Practice for understanding Vulnerability (methods, tools)
- CDA (Collaborative Learning Project, home of "do no harm") has developed tools that look at projects that are built bottom up and how communities understand and experience risk. How do communities experience the external agencies that are interacting with them? Safety audits are an observational tool and do not require training or asking people any questions. When done regularly can give good look at risks and patterns. When paired with community mapping can develop very good understanding of risks. (IRC)

C. *Review the questions under __Capacity__ in the handout; are there things that you would change or add?*

Content/Substance
- Better capture existing capacities and protective coping mechanisms the community is already doing. Identify the duty-bearers, key stakeholders, NGOs and INGOs who are responding and how they are linked to current community-based initiatives/protective measures. Need to consider the timeframe; capacity that exists in short, medium, and long term.
- The Framework needs to reflect both about capacities and opportunities. Ideas for partnership and create more options for people. What are the opportunities (entry points) for sustained change? How do we capture resilience? Resilience is a process and moves beyond just capacity. It also is about navigating the capacity.
- Address how to better understand and how to support community assets and skills.

Process
- There needs to be real effort for coordination and understanding capacity in order to work better together as organizations to address the protection risk. Real life pressures do not allow for optimal coordination.

Good Practice for understanding Capacity (methods, tools)
- Community-based information gathering can be used to understand capacity better.
- Need to draw on a wide range of expertise, from faith communities, church capacity.
- Using an ethnographic approach provides a better analysis.

D. *How does a* **_broader historical and contextual analysis_** *provide added value to a risk analysis?*

Content/Substance
- Critical to understand the history and context. If you get it wrong you can do more harm. Understanding the context within a specific community during a specific time is critical for protection programming.
- Important to understand the culture and prior history of humanitarian work (perceptions).
- Need information on trends and trajectories in risk analysis vs. a longer period of time.
- Important to understand and check our assumptions of the history and context. There are different perceptions and how information is interpreted will lead to different responses.
- Framework should illustrate how there is a need to keep challenging the understanding of the information, the history, the context.
- Important to understand the interaction between communities as the context will change again and again.
- Understanding the context and history helps us have an idea of what has happened previously or in neighboring countries.
- Need to analyze context in terms of gender balance. This will also have an impact on how we staff projects. What are the gender dynamics and the challenges that will come with that? Culture might be as important as historical and contextual analysis.
- Contextual analysis should help predict needs. What is normal and acceptable for a community?
- Some key areas to explore: What gave rise to the crisis? Origins or drivers? How has conflict changed over time?
- Understand the power dynamics, religion, culture, ethnic groups, social capital, resilience, coping mechanisms, gender dynamics, politics, key parts of the government, civil society, media, who is shaping the narrative of the crisis, legal framework, human rights record?

Process
- How is this information used in decision-making?
- Need to look at pre and post colonial documents. Use broader sources of information.
- Long-term development actors may have information ready.
- Engage with national and local staff.
- It is important to realize that six organizations can look at the same facts and come up with six different scenarios, however, it may be good to use diverse approaches to explore what works and identify the initiatives that do not.
- Use disaster preparedness to do this analysis in advance and use existing programs (development) to build on.
- Identify key information you need to know so that you do not read books/reports endlessly.
- Need to do contextual analysis before the emergency arrives.
- Need to be part of contingency planning.
- Use multiple sources and authoritative sources. Understand perceptions of humanitarian work and others.
- Demonstrate to staff and partners why doing a historical and contextual analysis is important so they do not feel it is extra work. There is a need for training.

- Historical and contextual analysis needs to be the foundation of the entire Framework. Remember that contextual analysis keeps changing and needs updating consistently.
- Contextual and historical analysis needs to be done before risk analysis. It can inform and shape risk analysis.

3. **Breakout Groups: Programme Design, Implementation and Monitoring**

ALL GROUPS:
Are there components of the proposed RBP framework which should be changed or added in support of programme design, implementation and monitoring?

- Need to reflect continuous risk monitoring. Need to ensure all components of day to day monitoring feed into the key objectives.
- Need to capture a human resource element within the Framework.
- Need to articulate when and where program adaptation should happen.
- Need to determine who is expected to use this chart/Framework? Is this for the field? Headquarters?
- Need to look at alternative layout, circles, spiral.
- Consider changing or including "Risk" to improved protective environment or reduced experience or exposure to violence. The violence, coercion, deprivation language might be too restrictive.
- Need to include both beneficiaries and local authorizes. The desired outcomes box should include "target populations".
- Need to emphasize that impact and indicators are the most important part (currently smallest box).
- There is no link between impact indicators and other parts of the Framework.
- Objectives illustrated as (1, 2, 3) are outcome indicators but this is not clearly articulated.
- Need to emphasize that analysis should be constant.
- Where in the Framework does it show the importance of understanding what others are doing? How does the Framework build on what the community is already doing?
- Need to illustrate that monitoring should use a participatory approach.
- Need to illustrate the importance of flexibility for both donors and organizations to adapt and modify the program.
- There is a need to use the Framework beyond the programme cycle and use it at the strategic level.
- Need to articulate the strategic programmatic risk and how to set priorities. Needs to include a prioritization exercise to determine the main risks.
- Need a simplified version of the Framework to share with different audiences.
- Recognize that longer-term multi-year programming is part of the solution. Consider writing objectives in a long-term manner.
- What is the added value of having this Framework compared to own organizational frameworks? Where is this explained?
- Some sub-clusters (like child protection) are already developing interagency strategies. What is the learning? Can this be adapted to the Framework?
- What is our goal with the Framework? Is it to influence a more cohesive approach? We do not want to appear to be imposing a model.
- What level does the Framework focus on? (National system? Individual? Community?)

- How is time articulated within the Framework? Is this during the first 6 months of the emergency? After?
- Need to develop comprehensive tools that go along side the Framework.
- Need to emphasize that this should be used as a problem solving approach and not a checklist.

Group 1

Where and how in the Framework do we articulate logic, assumptions and programmatic risks?

- Need to use the Framework at an interagency level and not work in a vacuum.
- Need to ensure different organizations, with ideally different strategic frameworks are working in conjunction and complement each other.
- Need to challenge accepted and common narratives
- Need to include clear contribution statements.

Group 2

If we take a step back from measuring incidents, how do we go about developing indicators that can effectively measure the change that we want to see?

- Need to elaborate more on "impact indicators"
- Objectives need to be better connected
- Look at a menu of indicators that field can choose from and adapt vs. standardized indicators.
- It is still important to review indicators in other contexts because it helps to consider indictors for this context.
- Need to triangulate 1) measure assets, 2) knowledge and attitudes 3) behavioral change 4) systems.
- Use locally driven indicators where the community participates and shows what works; use these to drive indicators.
- Need to look at asset indicators

Group 3

What are the most important things to consider for monitoring within a results-based approach?

- Consider activity level
- Consider indicator level
- Relook at risk analysis
- Relook at context
- Consider a joint approach (including beneficiaries)
- Consider how monitoring is supported/accepted/understood in organizations. How is the information shared with beneficiaries, donors, stakeholders? Are agencies willing to accept negative outcomes?
- Look at difference between day to day monitoring and aggregate monitoring
- Need to consider who will make the decision to adapt the program after monitoring data is collected and analyzed.
- Need to revisit our assumptions.

Group 4

What are the key success factors to promote complementarily among actors working towards desired outcome or result?

- Build trust and community structures in terms of capacity and empowerment
- The sustainability of community-based groups
- Not to create dependence/duplication
- Network and engage with all stakeholders and actors
- Building perception will take time in terms of showing patterns vs. incidents
- Need to engage with different groups (ie. Armed opposition) to support change in attitudes and practice
- Create a dialogue with public

Annex 6:

Results of the Roundtable Evaluation

Evaluation

Practitioners' Roundtable on Results Based Protection

April 23-24, 2013

Overall Average: 8.3

1. **On a scale from 1 to 10, did you feel the Roundtable adequately achieved objective 1: Create an opportunity for experienced practitioners to explore the need for, and key requirements of results-based protection?**

Average	8.8
Comments	N/A

2. **On a scale from 1 to 10, did you feel the Roundtable adequately achieved objective 2: Report back on InterAction's findings resulting from the collection of examples and consultations?**

Average	9
Comments	Impressive prep work! Well done!

3. **On a scale from 1-10, did you feel the Roundtable adequately achieved Objective 3: Examine some existing practice in order to review, test and develop a proposed framework.**

Average	7.4
Comments	N/A

4. **On a scale from 1 to 10, did you feel the Roundtable adequately achieved Objective 4: Identify and agree some next steps to collaborate on the further development and promotion of Results-Based Protection, including links to other initiatives?**

Average	8.6
Comments	Could probably have sought more concrete commitments.

5. **On a scale from 1 to 10, how useful was the discussion on Results-Based Protection?**

Average	9

6. **Please provide a few comments as to why or why not the conversation provided clarity of your thinking on Results Based Protection.**

    <u>Positive</u>
    - Great last session; crystallized the conclusions in my mind.
    - Enabled to consider the RBP discussion in context of own framework (sp. on conflict analysis and DNH approaches from a peace-building perspective)
    - In a better position to know what aspects of program design and implementation are aligned in RBP

- Provided good introduction/foundation on how to introduce the approach in our work (x3); opportunity to identify gaps
- Link between the importance of qualitative and quantitative indicators
- A lot of information regarding impact evaluation.
- Useful to make links between theories of change and RBP
- Excellent to go into depth; share ideas and lessons in details; can see some gaps that need work
- Participants' case studies on "organizational policies, approach, and capacity" were very useful to get thinking and discussion going
- It was useful to reflect on the body of existing material and guidance, and identify what still applies (what is used, etc) and where things have evolved.
- Was helpful in emphasizing the importance of setting up the first stages to allow for a better results-based assessment later
- Many opportunities to analyze/discuss the framework

Needs Improvement
- No opportunity to mock test the framework in its current form (lack of practical application)
- More opportunity to frame the issue using a results-based lens.
- more work needed around the design; monitoring; evaluation.
- I'm stuck on including longer-term goals/aims of impact evaluation in tandem with RBP work
- Somewhat. While it is very useful to see the various pieces come together in a framework, it may be challenging to get people to shift from embedded practices (hopefully not too difficult!)
- The graphic model was very useful as a focus – needs some tweaking but basically good and useful
- Still need more on indicators; but we had to build common framework first

7. **What key issues discussed at the roundtable did you find the most important? Why?**

Positive
- Monitoring and evaluation very useful
- Evaluation and ALNAP input was particularly valuable. Helpful in updating all of us with the latest developments in this field
- Next steps/ practical ways forward
- Discussion of threat and vulnerability analysis (because this is the cornerstone of all protection work, and not always clear as a process
- The case studies and indicators and evaluation protection discussion
- Final session on potential future steps
- Role of context analysis, as it underpins decision-making
- The application of the RBP framework as this is an existing gap in programming
- Impact evaluation and criteria for the true evidence
- Issues around risk analysis and its components
- Evaluation of impact
- Vulnerabilities = discussion about priority in the vulnerabilities; (women & children) = PRT practitioners should definitely avoid assumptions at the very first stage/assessment
- Monitoring and evaluation
- M&E because gives us elements to measure impacts of our programs
- Diversity and examples from the field shared openly
- Determining the dual use of the framework for collective strategy as well as individual programs
- Perceptions of what is more needed to move this forward
- Thought it was good that we've spent time going through the framework to try to get it right

Needs Improvement
- Really need to add more on impact/indicators (x2)
- The abundance of vertical thinking, guided notions of collectively and need for the complementarity
- The need/lack for overall protection strategies – shared ones by the humanitarian community, based on proper context analysis
- Need for ToC, context analysis and continual monitoring

8. **On a scale from 1 to 10, did you find the Case Studies helpful to critically reflect on Results Based Protection?**

Average	7.3

Positive
- It allows us to see the application
- Very helpful
- They varied those that were focused, went into detail on covered lessons, and were practical. ALNAP were a highlight
- Yes, very helpful in providing context to the discussion

Needs Improvement
- Little to no processing in small groups
- I'm not sure the case study presenters really embraced using the presentations to illustrate the larger issue – mostly used informational style. I had a hard time understanding the relevance of the framework
- Less case studies and more length
- The case studies were extremely helpful but I'm not sure yet whether helped to critically analyze e.g. the framework. Need more time to digest!
- We saw how each case study included elements of a RBP but not enough information during the short presentation to assess
- 2-3 questions were probably too long to make the presentations clear enough
- Too short/limited time for discussion

9. **Please provide any comments, ideas or advice on the overall Roundtable, the direction moving forward on Results Based Protection, or any other issue you would like to raise?**

Positive
- Thanks for the opportunity to be part of an exciting discussion had lots of energy, was well facilitated and had excellent participation! Thanks to InterAction team in particular. I look forward to being included in the future – Martina Hunt
- Very organized, open, good ambiance, BRAVO!
- A very good way of timing topics with one another and Q&A sessions after each case study. Thank you
- Thanks InterAction for convening and leading forward
- Thank you InterAction for organizing this – very helpful, much learning
- Excellently organized!

- Good approaches in session and diversity of contributions/presentations. Thank you InterAction for taking this important initiative! And I hope continuing to convene this as we move forward together. Look forward to our continuous exchange and discussions.
- Great roundtable – great job getting the right people in the room.
- Very useful to convene this type of meeting
- The networking value is huge as protection people often very isolated I their organizations so nee this kind of opportunity ore than most and reap even more benefit from it. As collaboration and coordination is a key aspect of protection work more inter-agency events are required to make this happen.

Suggestions
- Do not reinvent the wheel
- Keep members of the "peer" group informed on a regular basis to keep actors motivation and organize another roundtable (x4)
- M&E in protection is a major issue and it was very good to have the participation of ALNAP
- The majority of resources going forward should be put into testing the framework with a broad variety of stakeholders. Prioritize stakeholders for testing/consultation who we had buy-in and technical expert advice from.
    o Ensure a balance of international v. national government v. non-government stakeholders.
- Through practical application of framework where this is strong (national/international community - drive to 're-shape' the narrative for political reasons.
- Prioritize contexts where an exercise needs to be done in a safe and confidential way.
- Use input from filed testing to revise framework
- Moving forward best to continue to focus on practical actions and drill down on, in detail, what works, what is promising, and unsure and ineffective. Can start with some focus interventions. Maybe ambitious but would be highly valuable
- This group seems to work well together. While it will be important to expand consultations it would be useful to come back to this small group as well larger can be more difficult in terms of frank discussion

Needs Improvement
- Need to emphasize impact more in framework. Great opportunity to bring like-minded colleagues and such diverse expertise in one room. Thank you and congratulations on a successful event.
- The mix of participants very interesting but I would have liked more weight towards humanitarian delivery organizations
- The writing on flip charts for last exercise was good way to gather our input