Results-Based Protection
Field mission to document results-based protection in practice

Trip Report

May 2017

Strengthening humanitarian action to address protection issues in Rakhine, Myanmar: Human Trafficking, a case example[1]

Background
Human trafficking is of significant concern in Myanmar. In 2007, the Myanmar Government demonstrated its commitment to addressing the problem by developing a Five Year National Plan of Action to Combat Human Trafficking, followed by a second plan continuing through the end of 2017. As part of this effort, the Government established a Central Body for the Suppression of Trafficking in Persons (CBTIP) under the Ministry of Home Affairs, anti-trafficking units throughout each state, and created an Anti-Trafficking in Persons Division under the CBTIP in 2013. Despite these efforts, human trafficking continues to be an issue due, in part, to poor socio-economic conditions, high levels of migration, and internal strife in places like Kachin and Rakhine States.[2]

The 2017 Humanitarian Response Plan (HRP) identified human trafficking as one of the top five protection issues in Rakhine State. After the crackdown in the Bay of Bengal in 2015, where over a thousand Rohingya identified as human trafficking victims were rescued at sea,[3] humanitarians and other actors, such as local civil society organizations and the Myanmar Government, initiated a series of awareness-raising activities with vulnerable populations to warn about the risks of migration and human trafficking. While there are other initiatives underway, humanitarians have made little effort to monitor the situation in Rakhine following this crackdown to determine whether or not human trafficking has reduced due to these efforts, or whether the threat has shifted, creating new vulnerabilities and risks. The HRP and strategic work plans of the protection cluster do not include any specific pathways for addressing or continuously monitoring human trafficking.

With a focus on human trafficking in Rakhine, InterAction's mission sought to understand whether or how working towards protection outcomes could be strengthened using results-based approaches to

---

[1] The purpose of the missions was to examine the potential for results-based approaches to protection to support protection outcomes, using issues and responses to human trafficking as an example. The findings and recommendations highlighted in this report are applicable to many protection issues in the Myanmar context. The mission was carried out by Jessica Lenz, Senior Program Manager – Protection, and Kelsey Hampton, Policy Coordinator – Protection. The mission ToR can be found in the annex and here: https://protection.interaction.org/wp-content/uploads/2017/04/InterAction_Myanmar-Missions_TOR_RBP-PIM-Mission_Updated-March-2017-1.pdf
[2] See Annex for a chart of actions and timeline of milestones leading to change in policy, practice, attitudes, and behavior.
[3] Amnesty International (2015), Deadly Journeys: the refugee and trafficking crisis in Southeast Asia

protection. For more details on the breakdown of programs and approaches addressing human trafficking identified in this mission, please see the Annex.

Overall Findings[4]
The Myanmar context is an excellent example of the importance of designing for contribution. Protection issues, including human trafficking,[5] often require multiple actors working across multiple disciplines to achieve a protection outcome. Fortunately, actors within the humanitarian, peacebuilding, and development communities are engaged and working to leverage and shape various influencing factors that contribute to human trafficking. These actors are well-positioned and resourced to support the achievement of protection outcomes. The challenge, however, is a lack of a cohesive strategy among these actors and context-specific causal logic underpinning the response. While there are good examples of efforts to address change in policy, practice, and behavior, there is a lack of awareness among actors about the collective roles they could play to reduce the risk of human trafficking (or other protection issues). Developing their collective roles will require: 1) robust context-specific protection analysis; 2) breaking out of operational silos; and 3) overcoming issues of trust across actors/disciplines. Protection Information Management (PIM) can help organizations strengthen data collection, identify information needs, promote the sharing of relevant data and information in a safe manner, and conduct comprehensive analyses oriented towards the support of protection outcomes.

　　1. Context-Specific Protection Analysis
Facilitating a process where multiple actors across disciplines come together to address a protection concern requires first, a commitment to undertaking a comprehensive, context-specific and continuous analysis of the issue. As much as possible, this analysis should begin from the perspective of the affected population. In the case of Rakhine, only a few organizations are investing in analysis and even fewer undertaking continuous analysis.

The strongest example we identified was one organization's recent establishment of a strategic analysis unit covering the Asian region.[6] The regional analytical unit is comprised of dedicated analysts tasked with exploring transnational issues like human trafficking. Following the collection of findings, analysts engage country-teams with a scenario-based workshop to consider the issue's strategic implications for programs and across the organization's core sector areas. While human trafficking is not an issue this organization typically addresses, the significance of human trafficking in the regional findings caused the organization to reflect and consider its strategic contribution, alongside others, towards reducing this risk.

Although the unit is still exploring how to ensure the analysis is conducted continuously (e.g., country-based focal points who would coordinate monitoring and liaise with the regional analysts), better linked to program design, and contributes to joint analytical efforts, the dedicated analytical attention within the organization is significant. While it is still in its infancy, this analytical unit is an excellent example of

---

[4] See the Annex for a chart of actions and timeline of milestones leading to change in policy, practice, attitudes, and behavior.
[5] See human trafficking definition within: ILO (2015), "International Labour Migration in Myanmar: Building an evidence-base on patterns in migration, human trafficking and forced labour," found here: http://www.ilo.org/wcmsp5/groups/public/---asia/---ro-bangkok/---ilo-yangon/documents/publication/wcms_440076.pdf
[6] Action Against Hunger (ACF) hosts the operational component of the Inter-Agency Regional Analysts Network (IARAN). The IARAN operating model is to create an analytical capacity in humanitarian organizations that can exploit both qualitative and quantitative methods, tools and approaches to drive strategic foresight for the sector. Further information can be found here: http://www.iris-france.org/iaran/

how protection analysis can be systematized, strengthened, and streamlined across an entire organization. Their prioritization of analysis demonstrates an organization-wide commitment towards improving its strategic options and contributions to address regional and/or global risk patterns.

The example above, unfortunately, was the exception when it came to analyzing human trafficking—and protection in general. For the most part, organizations use standardized data and information collection methods at the level of the individual or household as a means to explore risk and subsequently inform a response, but face challenges in subsequently aggregating the data and information to identify patterns of risk and analyze broader trends. While data and information is collected via assessments, protection monitoring, and case management systems, organizations have invested little in the analysis of data (including ensuring that the right data is collected in the first place) and how to ensure multiple perspectives are brought to bear within the process—including the perspective of the population. There have been initial discussions among interested organizations to explore information sharing protocols, but there still seem to be a range of difficulties and organizational impediments that prevent genuine sharing and collaboration.

One of the first steps to improve continuous analysis efforts is to map what data and information is being collected. The PIM Matrix can support this step by assisting in identifying data and information gaps and in determining potential sources for missing data and information. Importantly, for the case of Rakhine, this would also include identifying what data and information other sectoral information systems are collecting. In addition, the PIM process[7] and PIM Principles[8] can help ensure that data and information collection, as well as analysis, corresponds to the defined purpose of the PIM system, is proportional to the intended outcome, and applies a principled approach.

A second factor relating to protection analysis relates to ensuring that analysis begins from the perspective of the affected population. Populations in Rakhine State (both ethnic Rakhine and minorities) face difficulty elaborating on the issues and concerns they encounter due to historic oppression and a lack of familiarity with identification of these types of issues; this significant finding emerged from our engagement with affected populations and through bilateral conversations with humanitarian actors. As all populations in Rakhine state have been historically marginalized and suppressed, it was challenging to gather information using simple surveys and/or focus group discussions (methods predominately used among humanitarians) to explore issues such as human trafficking. More participatory approaches and tools of engagement are certainly needed across humanitarian action. Organizations focused on building leadership, community mobilization, critical thinking, and action-planning often employ participatory appraisal methods. While this type of engagement was happening, it did not come from the humanitarian community. Rather, actors engaged in peacebuilding and/or partnerships with local civil society for social cohesion and capacity building tend to be more equipped and skilled in this domain. This type of engagement lays the groundwork for peacebuilding efforts, while simultaneously helping populations gain skills that could help them contribute more meaningfully to analysis of problems and to real solutions.

This illustrates a need to better collaborate with actors outside of the humanitarian realm (more on this below) while undertaking a protection analysis, but it also points to the need to assess whether and how

---

[7] See the annexes or http://pim.guide/wp-content/uploads/2017/04/Quick-Reference-Flyer_Principles_Matrix_Process.pdf
[8] See: https://docs.google.com/document/d/1SY-xGjTpQDsS6xOjhqU4VEp2u9KBdDxmP0KX-vPLdXY/edit

the perspective of the affected population is meaningfully included in the analysis. It is often not enough to simply conduct a focus group discussion, for example.

A third factor impacting protection analysis relates to humanitarian and development actors alike. The protection equation (Risk = Threat x Vulnerability + Capacity) is well known to most actors addressing protection issues like human trafficking. While vulnerability factors, and some capacity of populations, are certainly identified, humanitarian and development actors often missed a critical factor—unpacking the threat component of the risk that people face.[9]

Very little attention was given to understanding the drivers and motivations of those committing acts associated with trafficking. Given that human trafficking often involves a long chain of events that may start within the family, be facilitated through a smuggler, and/or involve different intermediaries or brokers, the threat component of human trafficking can be quite complex and diverse in its manifestation in each community. Failure to understand key motivations, decision-making processes, leadership or persons of influence, and/or factors such as community/family dynamics, will not only undermine a comprehensive analysis, but arguably distorts our understanding of actual vulnerabilities and capacities.

Most humanitarian actors explained the lack of threat analysis by arguing that addressing the threat is not their direct responsibility or saying the issue is too sensitive to discuss in data or information gathering. Unfortunately, these justifications only weaken an appropriate response. The complexity surrounding the threat should not be used to rationalize a lack of threat analysis. Ensuring an analysis is done comprehensively and a response is designed appropriately and effectively requires that we understand each component of risk, not only the issues we are already addressing in programs and feel comfortable addressing. Although there are potential risks to various stakeholders in the collection and management of sensitive data and information, it is important for perceptions around sensitivities and risks be discussed and explored – in consultation with communities – to determine the most appropriate method for potential data and information collection, including whether primary data collection is needed at all.

Incorporating the threat component into analysis underscores the importance for a continuous analysis—a fourth factor that is often neglected when it comes to protection analysis. Shifts in threat patterns will likely have a direct impact on vulnerabilities and capacities and, therefore, the options for action to reduce the risk. In the case of Rakhine, the crackdown on migration in 2015 in the Bay of Bengal has had a significant impact on how individuals migrate and/or are smuggled out of the area. The crackdown, coupled with persecution and restriction of movement after the events of October 9, 2016, also resulted in changes to the tactics and routes of smugglers, brokers, and other individuals linked to human trafficking and/or extortion practices. Even the practice of illegal mining in Kachin state have resulted in changes in the key actors involved, methods of coercion used, who is targeted and who is doing the targeting.

A lack of investment in continuous analysis on the threat component of risk leads agencies to overly rely on assumptions and generalizations when designing a response, which often results in little change to the broader patterns of risk or may even mean that the actions taken to address trafficking will trigger greater vulnerability and harm to affected people.

---

[9] For more detail on actions addressing trafficking and how they correspond to the components of risk, see the Annex.

2. *Breaking out of Operational Silos*

As is the case in many contexts, humanitarian, development, peacebuilding, and other actors tend to operate in their own bubbles and silos. This is to be expected given a range of factors, such as discomfort in not knowing the "language" or conceptual frameworks of other actors.

In the case of human trafficking, particularly in Rakhine – where historical grievances, conflict, economic instability, and political dynamics play a role in the drivers of trafficking – breaking out of these silos is necessary to achieve meaningful reduction in the risk factors. The complex situation of Rakhine state in particular, and Myanmar in general, requires diverse, adaptive, and contextualized responses on the part of all actors. With citizenship, governance, security, legal, and political issues affecting every aspect of protection and responses to protection concerns in Myanmar, it is impossible for one actor to solve any one problem on their own.

Engagement with local civil society is a case in point. There are far too many assumptions at work—particularly within the humanitarian community—about local civil society and their ability and/or willingness to work on issues like human trafficking. The narrative, and perhaps a genuine belief, maintains that there are few civil society organizations in Rakhine state, and those that do exist focus their activities predominately with and for the Rakhine population only. Humanitarian actors are about to embark on an exercise to better map the local civil society actors in Rakhine and establish mechanisms for collective engagement. This should be recognized as a positive move in the right direction. However, what humanitarian actors seem to be unaware of is that this mapping has already been done.

Actors focused on conflict resolution, peacebuilding, and human rights are often closest to affected populations and those working with local civil society. Having identified well over 30 civil society organizations (CSOs), these actors are well positioned to understand key dynamics and how best to engage with CSOs. To date, these actors have already supported the formation of a network of CSOs and are working with actors seeking to strengthen the moderate voice as a counter to fundamentalist and radical messages undermining peacebuilding efforts. Given the negative relationship and narrative surrounding international NGOs and humanitarian action in general across both the Rakhine and Muslim communities, humanitarians risk exacerbating this negative narrative and undermining efforts already underway by other actors if parallel or duplicative activities are pursued.

This illustrates not only the importance of engaging with other actors, but working to create partnerships where mutually reinforcing objectives can be pursued. Putting PIM systems in place would also help take into account data and information from other sectoral information systems that could inform protection analysis and support protection outcomes. As noted above, using the PIM Matrix to identify existing data and information collection efforts would help prevent duplication and identify opportunities for collaboration.

Given the multiple risk factors that give rise to human trafficking, deliberate efforts must be made to reach out to other sectors and disciplines to find opportunities for collaboration. Humanitarian actors have an opportunity to build on existing development initiatives—such as economic/livelihood activities

or education initiatives—or to find opportunities for collaboration with peacebuilding actors working on community cohesion and/or conflict resolution. While not necessarily universal, development and peacebuilding actors tend to demonstrate stronger articulation of the logic behind their responses and were able to pinpoint specific milestones of change. The more clearly articulated the causal logic or theory of change underpinning an intervention strategy, the easier it is to identify entry points for collaboration and design a collective response involving the unique contributions of diverse actors.

3. Trust

The unspoken narrative driving so many of the issues in Rakhine stems from overwhelming feelings of mistrust within every community. This was not simply an issue of trust between Rakhine and minority populations, it extended to relationships and ties between humanitarian and development actors, civil society actors and affected populations, the media and the INGOs, the UN and the military, the police and the humanitarians, and so forth. The illustration[10] at right details the multiple dynamics and relationships where trust, or the lack thereof, has played a critical role in change at one time or another.
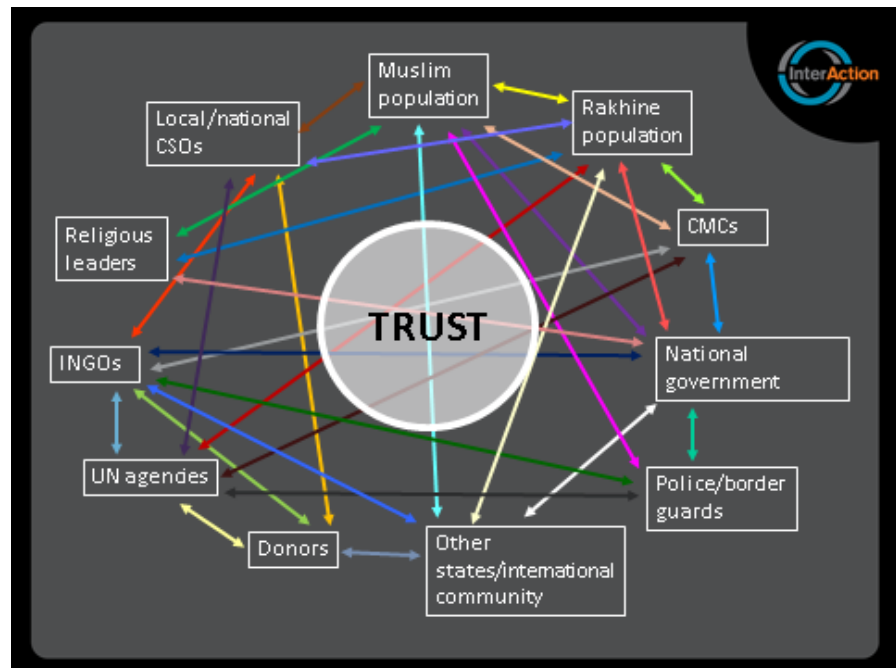
Even with strengthened protection analysis and collaboration across disciplines, efforts to effectively address human trafficking in Rakhine will falter if we fail to fully understand and acknowledge the issues driving mistrust in the design of a response.

If development INGOs are working with the police to disseminate anti-trafficking messaging via radio within the Rakhine population, but the population most vulnerable to trafficking mistrusts the source of this information and does not listen to the radio, how likely is it that messages will reach the most vulnerable people and be trusted in the first place? If local civil society is regarded as biased by the humanitarian community, even though affected communities consider civil society to be more trustworthy than humanitarian actors, how likely is it that humanitarians will engage in collaborative problem-solving?

---

[10] This illustration is a mock relationship map between different actors within Myanmar; therefore the colors do not represent any specific type of relationship within this map. However, relationship mapping should illustrate the existing relationships, where relationships have been broken or mended, whether there is an open and trustworthy relationship or negative, skeptical, or fragmented relationships.

Lack of trust with one actor can indirectly affect how our response will impact the people we aim to help. An actor mapping and relationship exercise, such as a spider-web participatory approach[11], could clarify issues of perception and trust and help to identify opportunities for rebuilding relationships. This kind of activity should help articulate points of leverage and directly influence how programs are designed in order to achieve a protection outcome.

One organization recently undertook an analysis to assess how populations receive and use information. Findings revealed how different members of the population receive information, how information flows between people, what sources of information are trusted, and how it is used, conveyed, and manipulated. One important finding of this analysis was that people throughout Rakhine state's diverse demographic groups use informal methods of information gathering and sharing through social media, tea shop conversations, and phone calls with family and friends to share news and updates. Much of this informal information sharing contributes to the polarization of narratives and entrenchment of group identities, causing people to only trust information coming from members of their group. These findings also highlight the importance for actors to acknowledge and identify the PIM Matrix category "Communicating with(in) Communities" – taking into consideration communication between, among, and with communities.

The findings from this study are helpful in better understanding factors contributing to mistrust by and within populations, but the conclusions also have a significant bearing on the response to human trafficking. If populations do not trust the message-bearer, they are less likely to believe the messages. A failure to understand how information is received, used, and perceived will weaken response efforts, particularly where responses depend in part on awareness-raising of the risks of human trafficking.

Analyzing information as part of a comprehensive analysis not only serves to better understand the factors influencing human trafficking, it also provides a critical element to think through a causal logic, including points of influence and leverage that may positively or negatively contribute to response efforts.

Strengthening Results-Based Protection

While there are positive examples that demonstrate how humanitarian actors are addressing human trafficking, the response can be significantly enhanced by incorporating a results-based approach to protection. The points below highlight both opportunities and recommendations based on the key elements of results-based protection.

Element 1: Context-Specific Protection Analysis

- **Opportunities**
  - o Recognition by many humanitarian actors that state-wide, disaggregated profiling is necessary to understand specific dynamics and trends (including migration patterns within each

---

[11] The Spider Web participatory tool is often used for participatory engagement within a community or program. This exercise can be adapted to explore the dynamics between relationships that exist between actors. This guidance provides a step-by-step process to use the tool with children: C. Feinstein & C. O'Kane (2005), "Spider Tool: A self-assessment and planning tool for child led initiatives and organizations," Save the Children, found here: http://www.ungei.org/resources/files/SCS_Spider_Tool_Final_2.pdf

camp/community) shows a commitment to understand the risk patterns and experiences of affected populations.

- o Many non-humanitarian actors incorporate conflict analysis and a nuanced understanding of conflict dynamics into their broader analysis, which allows for a more thorough contextual grasp of the situation.
- o Recognition by the humanitarian community of the need to map the CSO/community-based organizations (CBOs) reflects an interest in better engaging with local actors.
- o Good examples of non-humanitarian actors working closely with civil society or local organizations and undertaking CSO/CBO mapping to understand the perspective of affected populations and existing capacities.
- o Recognition of the need to understand the use of secondary information for protection analysis and outcomes.
- o Some agencies are prioritizing protection analysis (e.g., through a dedicated Analytical Unit, using continuous analysis, etc.), showing a commitment to these capacities within their organizations.
- o Several agencies are collecting and sharing protection-related data on a regular basis, highlighting a collaborative approach to data sharing, which should continue to be supported and strengthened.

- **Recommendations**

Context and definitions
- o Better disaggregated analysis is needed to understand community-specific patterns of threats, vulnerabilities, and capacities. There is a significant gap in analyzing the threat component of risk, which leads to misunderstandings and gaps in responses. For example, organizations did not seem to be targeting interventions at the family level, which is often where the risk of trafficking begins.
- o Similarly, there is a lack of understanding and awareness about what human trafficking means. While ILO sets out a definition on human trafficking[12], it is either unknown by many actors in Myanmar, or local perspectives differ from international definitions. UNHCR[13] and others also have their own definitions. With no clear and shared definitional understanding it is very difficult to mobilize actions and responses in a comprehensive manner.
- o Bringing in conflict analysis and/or an awareness of conflict dynamics can contribute to a broader understanding of the historical context and environment of risks people face.

Data collection and information sharing
- o There is a need to understand communication and information flows between, among, and with affected populations. One way to do so is to refer to the PIM Matrix category "Communicating with(in) Communities" and identify the various pathways and methods.
- o Actors should map what data and information already exists as well as the existing PIM systems (from the protection sector, from other sectors, and taking into consideration the PIM category "Communicating with(in) Communities") currently being used, detailing the data and

---

[12] See human trafficking definition in:ILO (2015), "International Labour Migration in Myanmar: Building an evidence-base on patterns in migration, human trafficking and forced labour," found here: http://www.ilo.org/wcmsp5/groups/public/---asia/---ro-bangkok/---ilo-yangon/documents/publication/wcms_440076.pdf
[13] See human trafficking definition in UNHCR's handbook on the "Protection of Internally Displaced Persons Action Sheet 7: Human Trafficking," found here: http://www.unhcr.org/4794b4322.pdf

information outputs for each system. The PIM Matrix is a useful tool to operationalize this exercise.

- o Actors should continually reflect on and evaluate if data collection efforts are based on a defined purpose and is proportional to the outcome being pursued.
- o Actors should reflect upon data collection methodologies to ensure that data collection efforts elicit the data that was intended, as well as assist in identifying information gaps for further inquiry.
- o Data collection efforts should ensure that sufficient analytical resources (human, systems, and financial) are planned for and in place to match the scope and scale of data collection efforts.
- o With the aim of strengthening a principled approach, actors implementing a PIM system should reflect on the PIM Principles in Action to assist in determining if their respective PIM system is applying protection and information management values and best practices.
- o To strengthen the management and best use of sensitive data in a safe and responsible manner it is important that actors identify – in consultation with communities – what data is sensitive and any associated risks, design PIM systems with affected communities, establish data and information sharing networks at the front end, and evaluate impact throughout the PIM process (from collection, analysis, sharing, and use).

Adaptive methods for continuous analysis
- o Actors should identify methods and approaches that will enable them to analyze risk patterns on a continuous basis. While few actors are doing continuous analysis, many donors are willing and able to fund more comprehensive analysis processes.
- o While doing an analysis, actors should make the space to question assumptions and critically reflect on the findings before making programmatic decisions.
- o It is critical to articulate the desired changes in policy, practice, attitude, and behavior expected result from the intervention undertaken as a basis for ongoing monitoring and adaptation of the logic behind the response.

Element 2: Outcome-Oriented Methods

- **Opportunities**
  - o Good examples of integrated protection being used across sectors to strengthen referral pathways in pursuit of protection outcomes.
  - o Some actors are using context-specific indicators; for example, noting when families build more permanent houses or plant different crops as a way to understand perceptions of security.
  - o Some flexibility from at least one donor to fund analysis; for example, allowing for a six month analysis phase before actual programming began.
  - o Some actors' methods to strengthen community skills, including leadership, community mobilization, critical thinking, and action planning, support the capacity of affected populations to contribute to analysis and problem-solving.
  - o Development and peacebuilding actors have a good understanding of the value of establishing milestones of changes within some sort of causal logic or theory of change.

- **Recommendations**

- There is a need for humanitarian actors to develop a causal logic[14] underpinning any response strategy (including for human trafficking), which will allow actors to be more explicit in addressing risks by mapping out the steps and milestones needed to address a given issue.
- Use the PIM matrix to map information gaps and potential sources as a means to assess the information landscape and contribute to a more comprehensive analysis and understanding of the situation.
- With much of the humanitarian response focused on activities and outputs related to service delivery, there is a need to shift toward methods which enable a program orientation towards outcomes. A response should arise out of methods that inform the appropriate action to reduce risk, not designed based on pre-defined activities or pre-determined vulnerabilities. Results-based methods are characterized by high adaptability and enable multiple actors, including affected people, to inform and shape the response.
- Opportunities should be prioritized to strengthen integrated protection[15] and link it to measurable protection outcomes. For example, investments in livelihoods may be a critical component of reducing the risk of human trafficking. Unfortunately, most current protection programs in Myanmar do not track whether or not these activities help change vulnerabilities or capacities vis-à-vis the threat.
- Addressing complicated protection problems like human trafficking requires considering a multitude of factors and breaking these factors down into manageable pieces. Actors should employ aspects of systems-thinking[16] to manage complexity; for example, tracking the indirect impacts of interventions, adapting programs in an iterative manner, and integrating diverse voices in program design.
- Actors should incorporate methods of reflection into program implementation as a way to revisit assumptions and patterns of risk. These methods could include individual reflective monitoring of situations, regular group analysis of recent trends, and a collective effort to identify and discuss assumptions being made in analysis and programming.
- As noted in InterAction's previous mission to Myanmar, there is an over-reliance on public and/or traditional forms of advocacy as a method to bring about change. Actors should critically analyze their methods to determine the most effective means for addressing change.

Element 3: Designing for Contribution
- **Opportunities**
  - Recognition among multiple actors of the need for joined-up advocacy efforts based on evidence, which can then be employed for stronger messaging.
  - CSOs are more likely to take a multi-disciplinary approach – including peacebuilding, humanitarian, and development – to address problems. This allows for more adaptive and diverse responses.

---

[14] A causal logic exercise was introduced in the workshop in Rakhine. See Annex on a basic list of questions that can be used to explore the initial steps to a causal logic.
[15] According to the European Commission's office for European Civil Protection and Humanitarian Aid Operations (ECHO), "protection integration refers to sector work that aims to prevent and respond to violence or threat of violence; coercion and exploitation; deliberate deprivation, neglect or discrimination, and supporting people to enjoy their rights in safety and with dignity, through sector specific work." For more, see:
http://ec.europa.eu/echo/files/funding/decisions/2015/Integrated_FA_Protection_Programming_en.pdf
[16] Systems thinking is an approach and/or an underlying philosophy that helps to bring clarity to complex problems. See the Omidyar Group Workbook on Systems-Practice to learn more.

- CSOs are taking the initiative to organize themselves in a network, with a steering group, to discuss and respond to issues collectively. CSOs are also working to strengthen the moderate voice as a driving narrative to counter hardliners.

- **Recommendations**
  - There is a need for all actors to recognize existing operational silos and identify ways to work collectively to solve problems.
  - Inter-agency strategies should recognize and include the contribution of, and roles for, local civil society organizations, peacebuilding and development actors, and relevant government authorities. Strengthening diverse voices and contributions allows for creativity, adaptability, and better problem-solving.
  - Responses can be strengthened and adapted continuously throughout a response when actions by other actors are tracked to understand their contribution towards an outcome, whether positive or negative.
  - There is a need to establish inter-agency protocols for information management, so that agencies are able to share data, information, and analysis with the goal of achieving protection outcomes. Actors could build upon current efforts at the global level where PIM and OCHA are defining the core elements of a Framework for Data Sharing in Practice.
  - There is a need to understand information flows and how information is perceived and interpreted, positively or negatively, as well as how this impacts levels of trust between and among individuals and groups.
  - There is a need to recognize the role of trust in designing for contribution. Mapping relationships and trust between individuals and groups could help identify situational trends and ways that different actors can contribute to protection outcomes.

<p align="center">**Results-Based Protection**</p>
<p align="center">**Workshop: The Key Elements in Practice**</p>
<p align="center">**Yangon, Myanmar**</p>

<p align="center">**Thursday, June 1, 2017**</p>
<p align="center">**Time: 9:00am – 3:00pm**</p>
<p align="center">**Location: Reno Hotel** (No.123, Kaba Aye Pagoda Road, Bahan Township)</p>
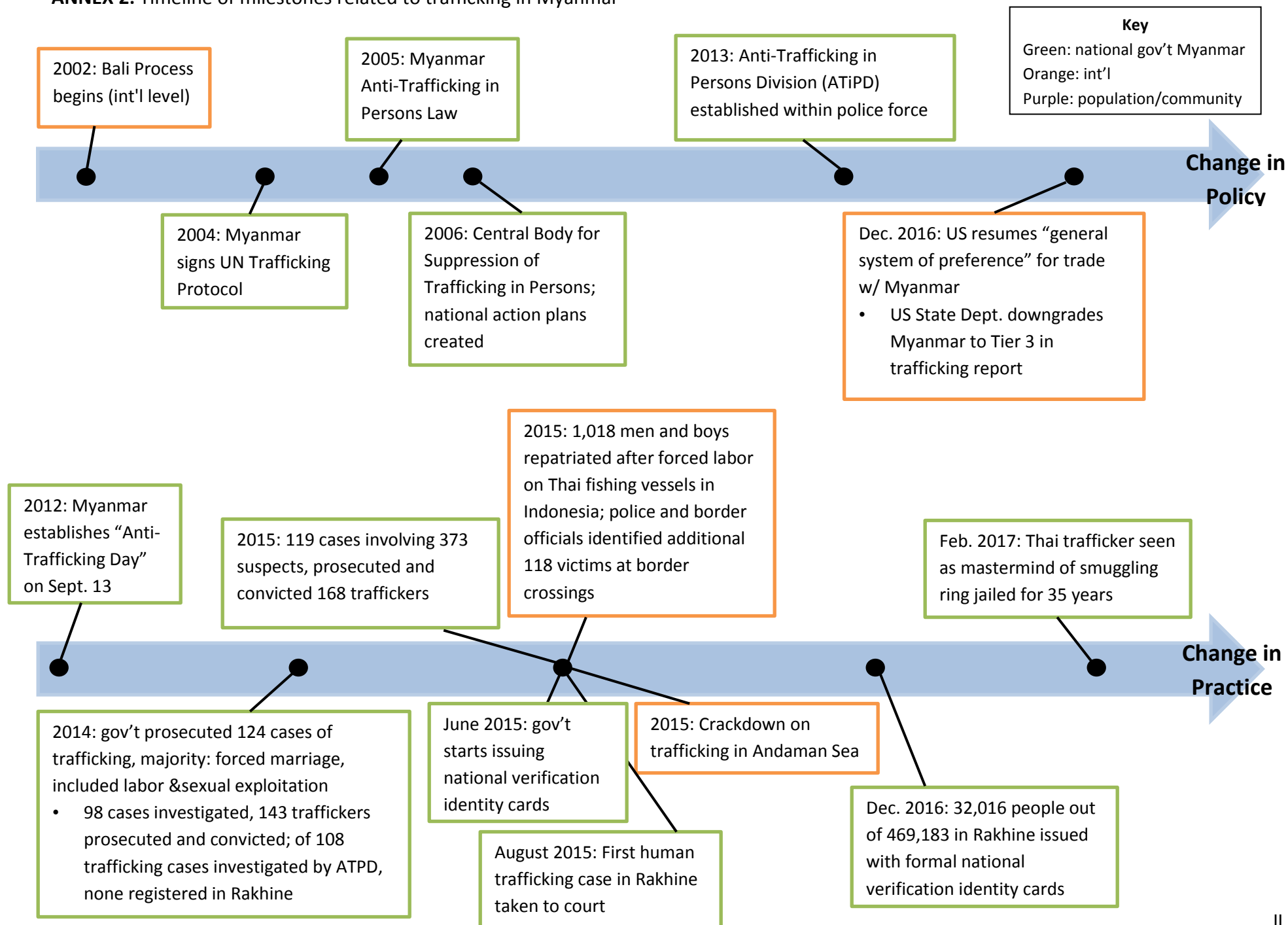
<p align="center">**Convened by: InterAction**</p>
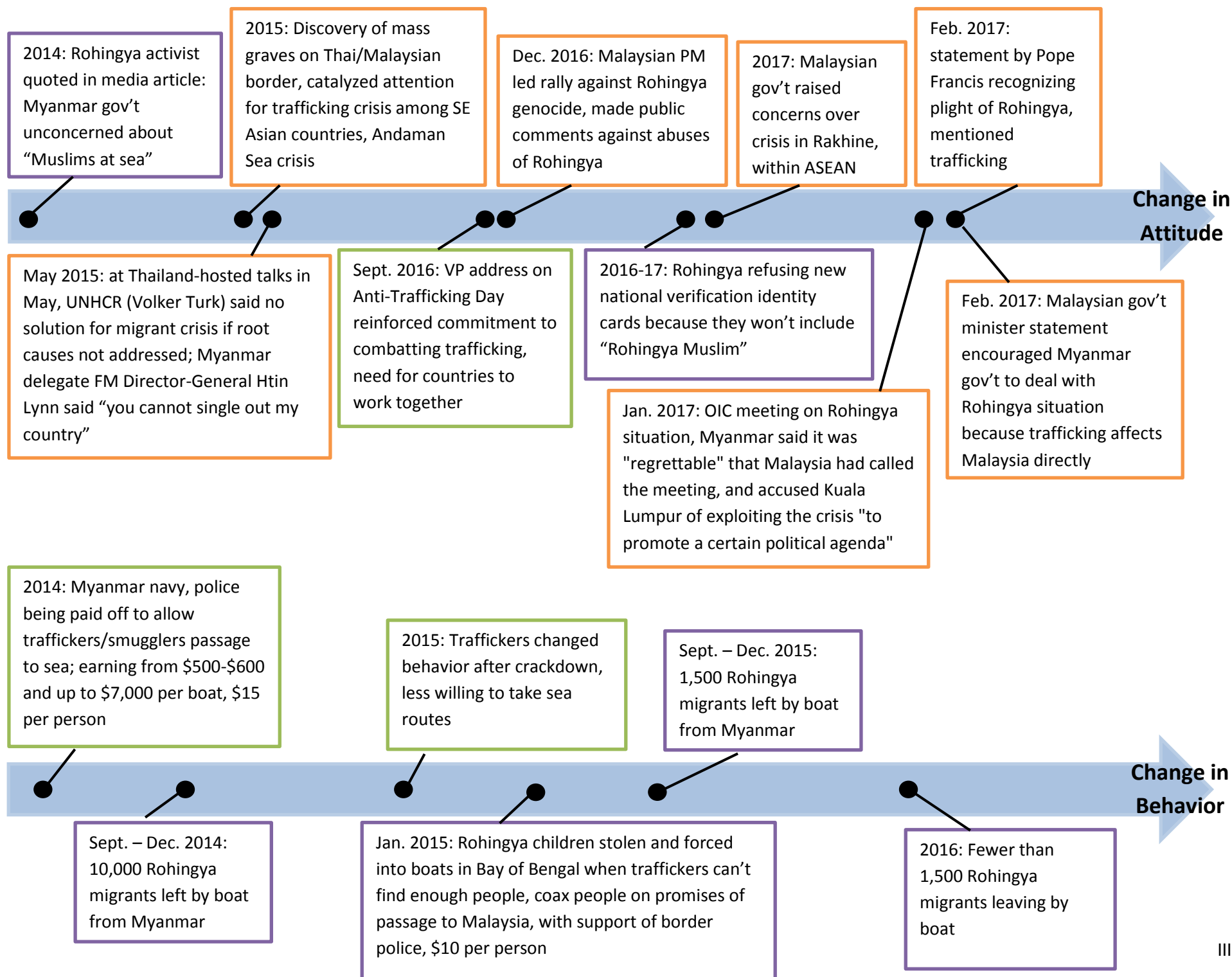
Objectives:

- Reflect on the context specific issues within Myanmar and identify opportunities to strengthen results-based protection to address protection issues (e.g. human trafficking)
- Articulate how multiple actors at multiple levels across multiple disciplines can contribute to the achievement of protection outcomes
- Explore how results-based protection can support the development of national strategies and contingency planning

Agenda:

Time	Session
9:00am	**Welcome/Introduction** Jessica Lenz-Sr. Program Manager-Protection at InterAction Kelsey Hampton-Policy Coordinator-Protection, InterAction
9:15am-9:45am	**Session 1: Simple vs Complex Problems** Exploring a Systems-Practice and how it relates to Results-Based Protection

9:45am-10:45am	**Session 2: Results-Based Protection**
	• Background
	• A Framework
	  • Key Element 1: Continuous Context-Specific Protection Analysis
	  • Key Element 2: Outcome-Oriented Methods
	  • Key Element 3: Design for Contribution

10:45am-11:00am	**Tea Break**
11:00am-12:30pm	**Session 3: Applying a Results-Based Approach: Human Trafficking in Rakhine** • Exploring the use of the key elements of RBP to achieve a protection outcome
12:30pm-1:30pm	**Lunch**
1:30pm-2:30pm	**Session 4: Designing for Contribution & Exploring how results-based protection can support national protection strategies**
2:30pm-2:50pm	**Reflection and comments**
2:50pm-3:00pm	**Conclusion**

ANNEX 2: Timeline of milestones related to trafficking in Myanmar

Change in Policy

2002: Bali Process begins (int'l level)

2004: Myanmar signs UN Trafficking Protocol

2005: Myanmar Anti-Trafficking in Persons Law

2006: Central Body for Suppression of Trafficking in Persons; national action plans created

2013: Anti-Trafficking in Persons Division (ATiPD) established within police force

Dec. 2016: US resumes "general system of preference" for trade w/ Myanmar
- US State Dept. downgrades Myanmar to Tier 3 in trafficking report

Change in Practice

2012: Myanmar establishes "Anti-Trafficking Day" on Sept. 13

2015: 119 cases involving 373 suspects, prosecuted and convicted 168 traffickers

2015: 1,018 men and boys repatriated after forced labor on Thai fishing vessels in Indonesia; police and border officials identified additional 118 victims at border crossings

Feb. 2017: Thai trafficker seen as mastermind of smuggling ring jailed for 35 years

2014: gov't prosecuted 124 cases of trafficking, majority: forced marriage, included labor &sexual exploitation
- 98 cases investigated, 143 traffickers prosecuted and convicted; of 108 trafficking cases investigated by ATPD, none registered in Rakhine

June 2015: gov't starts issuing national verification identity cards

2015: Crackdown on trafficking in Andaman Sea

August 2015: First human trafficking case in Rakhine taken to court

Dec. 2016: 32,016 people out of 469,183 in Rakhine issued with formal national verification identity cards

II

Change in Attitude

2014: Rohingya activist quoted in media article: Myanmar gov't unconcerned about "Muslims at sea"

2015: Discovery of mass graves on Thai/Malaysian border, catalyzed attention for trafficking crisis among SE Asian countries, Andaman Sea crisis

Dec. 2016: Malaysian PM led rally against Rohingya genocide, made public comments against abuses of Rohingya

2017: Malaysian gov't raised concerns over crisis in Rakhine, within ASEAN

Feb. 2017: statement by Pope Francis recognizing plight of Rohingya, mentioned trafficking

May 2015: at Thailand-hosted talks in May, UNHCR (Volker Turk) said no solution for migrant crisis if root causes not addressed; Myanmar delegate FM Director-General Htin Lynn said "you cannot single out my country"

Sept. 2016: VP address on Anti-Trafficking Day reinforced commitment to combatting trafficking, need for countries to work together

2016-17: Rohingya refusing new national verification identity cards because they won't include "Rohingya Muslim"

Jan. 2017: OIC meeting on Rohingya situation, Myanmar said it was "regrettable" that Malaysia had called the meeting, and accused Kuala Lumpur of exploiting the crisis "to promote a certain political agenda"

Feb. 2017: Malaysian gov't minister statement encouraged Myanmar gov't to deal with Rohingya situation because trafficking affects Malaysia directly

Change in Behavior

2014: Myanmar navy, police being paid off to allow traffickers/smugglers passage to sea; earning from $500-$600 and up to $7,000 per boat, $15 per person

2015: Traffickers changed behavior after crackdown, less willing to take sea routes

Sept. – Dec. 2015: 1,500 Rohingya migrants left by boat from Myanmar

Sept. – Dec. 2014: 10,000 Rohingya migrants left by boat from Myanmar

Jan. 2015: Rohingya children stolen and forced into boats in Bay of Bengal when traffickers can't find enough people, coax people on promises of passage to Malaysia, with support of border police, $10 per person

2016: Fewer than 1,500 Rohingya migrants leaving by boat

III

Annex 3: Chart of responses to trafficking/general programming in Rakhine State

Activities could contribute to reducing risk of human trafficking, however not all of these actors are thinking about addressing human trafficking as an outcome – identified as possibly contributing to protective environment (those activities that specifically target trafficking are highlighted in blue)

- *Based on our analysis of issues contributing to risks of human trafficking: lack of livelihoods, lack of documentation/citizenship/access to state, perceptions of future, intercommunal violence and conflict, poverty, lack of freedom of movement*

Humanitarian actors/inter-agency

Action	Threat/Vulnerability/Capacity	Level/Target	Change in…
Strengthening community protection, establishing community committees	Capacity	Community	Attitude Behavior
Empowerment and raising voices of those trafficked – survivor gathering event every year	Capacity	Individual	Attitude Behavior
Establishing child protection groups in camps	Capacity	Community	Attitude Behavior
Establishing children's groups in camps	Capacity	Community	Attitude Behavior
Establishing peer to peer groups	Capacity	Individual	Attitude Behavior
Legal awareness raising, assessment to prepare for HLP and legal assistance which will include migration questions and other protection issues	Vulnerability	Individual	Attitude Behavior
Awareness raising and information sharing on risks of trafficking	Vulnerability	Individual	Behavior
Training civil society groups, women's organizations on labor, migration, trafficking	Capacity	Community	Behavior
Safe migration module for youth	Vulnerability	Individual	Behavior
Advocacy with authorities on protection issues	Vulnerability	Sub-national	Behavior Practice
Advocate for policies that increase protection of victims and vulnerable people	Vulnerability	Sub-national, National	Policy
Working with civil society organizations on messaging & advocacy strategies	Capacity	Community	Practice
Strengthening coordination and functioning of NGO and government responses to trafficking	Capacity	Sub-national, National	Practice
Supporting national government in developing cross-border and national referral mechanisms	Capacity	Sub-national, National, International	Practice
Child protection information management system	Capacity	Sub-national, National	Practice

Contributing to CCCM's work on CMC reform	Threat	Sub-national	Practice
Establishing civil society working group of CSOs in Sittwe, to include mapping of CSOs	Capacity	Sub-national	Practice
Survey and analysis of 6,000 households, including migration issues, livelihoods, etc. that could help understand motivations and patterns of trafficking issues	Threat, Vulnerability, Capacity	Sub-national, National	Practice
Linking referral pathways across sectors for protection issues	Vulnerability	Community, Sub-national	Practice
Trafficking identified as one of top 5 priorities within interagency protection work	Threat, Vulnerability, Capacity	National	Practice
Study on youth patterns of movement, informal movement	Threat, Vulnerability, Capacity	Sub-national, National	Practice
Reintegrating victims, providing psychosocial services	Vulnerability	Individual	Practice/well-being
Support victims in giving court evidence, going through with prosecution	Vulnerability	Individual	Practice/well-being
Rehabilitation and reintegration programming for victims of trafficking in Bay of Bengal (past, early 2015)	Vulnerability	Individual	Practice/well-being
Case management	Vulnerability	Individual	Practice/well-being
GBV services for women in Bay of Bengal crisis in 2015	Vulnerability	Individual	Practice/well-being
Vocational and life skills training – effects of alcohol, small skills for men (machine maintenance), food preservation for women, small business basics for youth, tailoring (young women) - Also building trust and communication through joint activities - Receive startup kit at the end of livelihoods training	Vulnerability	Individual	Practice/well-being
Emergency response school programs for children who are out of school due to flooding, building school structures and providing furniture	Vulnerability	Individual	Practice/well-being
Family tracing activities that could identify children unaccompanied or possibly trafficked	Vulnerability	Individual	Practice/well-being

Civil society organizations

Action	Threat/Vulnerability/Capacity	Level/Target	Change in…
Trainings/education for Rakhine and Muslim populations on social sciences, dialogue, professional development; includes peacebuilding, respect for diversity messages, reflecting on participation in conflict	Vulnerability	Individual	Attitude Behavior
Trainings on project design, vocational skills, income generation for both Rakhine and Muslim populations	Vulnerability	Individual	Attitude Behavior
Building capacity of local CSOs on livelihoods, organizational skills, vocational training, etc.	Capacity	Community	Attitude Practice
Establishing resource center on social progress, peacebuilding	Vulnerability	Community	Attitude
Social cohesion, interfaith dialogue between Rakhine and Muslim youth, working with other ethnic minorities	Capacity	Community	Attitude Behavior
Trainings on conflict analysis, negotiation skills, trust building, cultural sharing	Capacity	Individual	Attitude Behavior
Women's empowerment, livelihoods trainings	Vulnerability, Capacity	Individual	Attitude Behavior
Leadership building, promote diversity and pluralism, empowerment, self-protection, conflict mitigation – goal is to have unified voice, shared value and message, leadership, community change agents	Capacity	Individual	Attitude Behavior
Training police on trafficking risks	Capacity	Sub-national	Behavior Practice
Establish emergency hotline for reporting trafficking cases	Vulnerability	Individual	Behavior Practice
Coordinating local CSOs in Sittwe, advising on coordinated responses	Capacity	Community	Practice
Coordination/network building of Rohingya in Yangon to discuss long term strategy and contributions to society	Capacity	Community, Sub-national	Practice
Shelter construction and food distribution	Vulnerability	Family	Practice/well-being

Myanmar government, police – state/local and national

Action	Threat/Vulnerability/Capacity	Level/Target	Change in…
Awareness raising on risks of trafficking for youth, children through partnerships with NGOs - Through posters, billboards, trainings, workshops, education sessions in schools	Vulnerability	Individual	Behavior

	Capacity	Sub-national, National	Practice
- Sometimes direct engagement in camps, with those looking for work - Annual anti-trafficking day			
Documenting trafficking issues	Capacity	Sub-national, National	Practice
Improving efficiency and information during prosecution of trafficking cases	Capacity	Sub-national, National	Practice
Strengthening cooperation among actors for stronger criminal cases/prosecution	Capacity	Sub-national, National	Practice
Investigating smugglers	Threat	Sub-national	Practice
Investigate and make arrests of perpetrators – responding to reports/allegations	Threat	Sub-national	Practice
Developing code of conduct and ToR for CMCs	Threat	Sub-national	Practice
Increase economic opportunities for vulnerable people	Vulnerability	Family, Community	Practice/well-being
Service provision to victims, reintegration, support from government for victims – referrals to other organizations	Vulnerability	Individual	Practice/well-being

Peacebuilding/development actors

Action	Threat/Vulnerability/Capacity	Level/Target	Change in…
Dialogue and discussions with communities on peaceful coexistence, cultural programs for intercommunal harmony	Capacity	Individual, Community	Attitude Behavior
Awareness raising and prevention through radio programs and comic books – not in Rakhine	Vulnerability	Individual	Behavior
Complaints mechanism for trafficking and forced labor	Vulnerability	Community, Sub-national, National	Behavior Practice
Conflict sensitivity in humanitarian response	Capacity	Sub-national	Practice
Community-based approaches to resilience in fragile settings – co-developed methodology between 3 INGOs	Vulnerability, Capacity	Sub-national	Practice
Safe migration KAP surveys	Threat, Vulnerability, Capacity	Sub-national, National	Practice
Market development programming	Vulnerability	Individual	Practice/well-being

Assessing threat, vulnerability, & capacity in relation to human trafficking

- Threat
- Vulnerability
- Capacity

Threat 11%
Vulnerability 42%
Capacity 47%
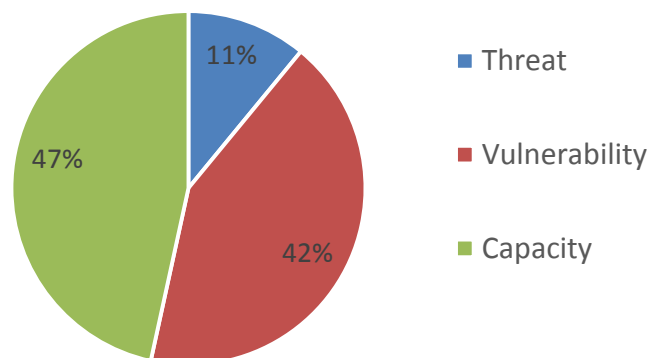
Levels/targets of actions

- Individual
- Family
- Community
- Sub-national
- National
- International

International 1%
National 18%
Individual 31%
Family 3%
Community 18%
Sub-national 29%
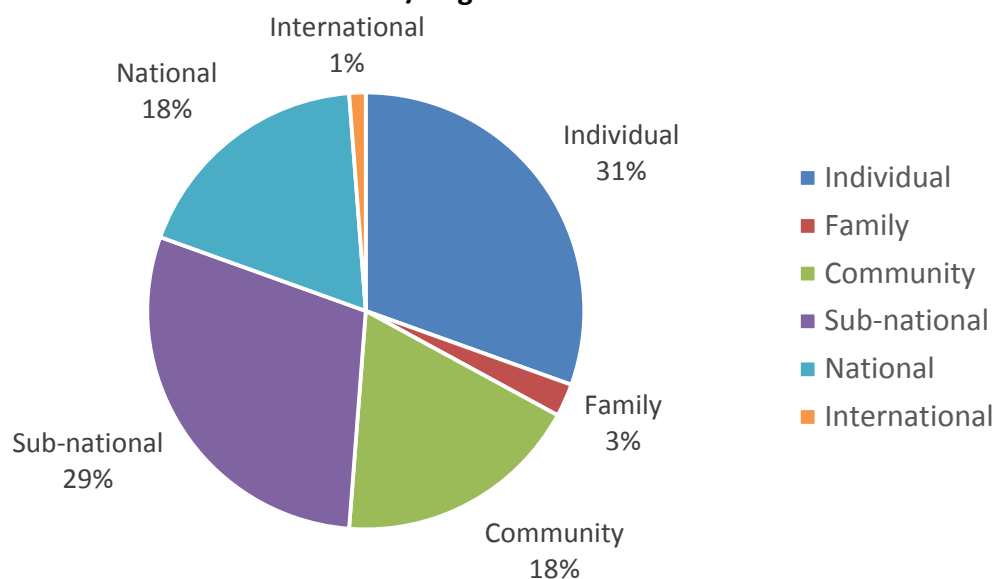
Looking at change within threat, vulnerability, & capacity

■ Attitude ■ Behavior ■ Practice ■ Practice/well-being ■ Policy

Threat: Practice 6

Vulnerability: Attitude 5, Behavior 11, Practice 9, Practice/well-being 12, Policy 1

Capacity: Attitude 13, Behavior 12, Practice 19, Policy 1
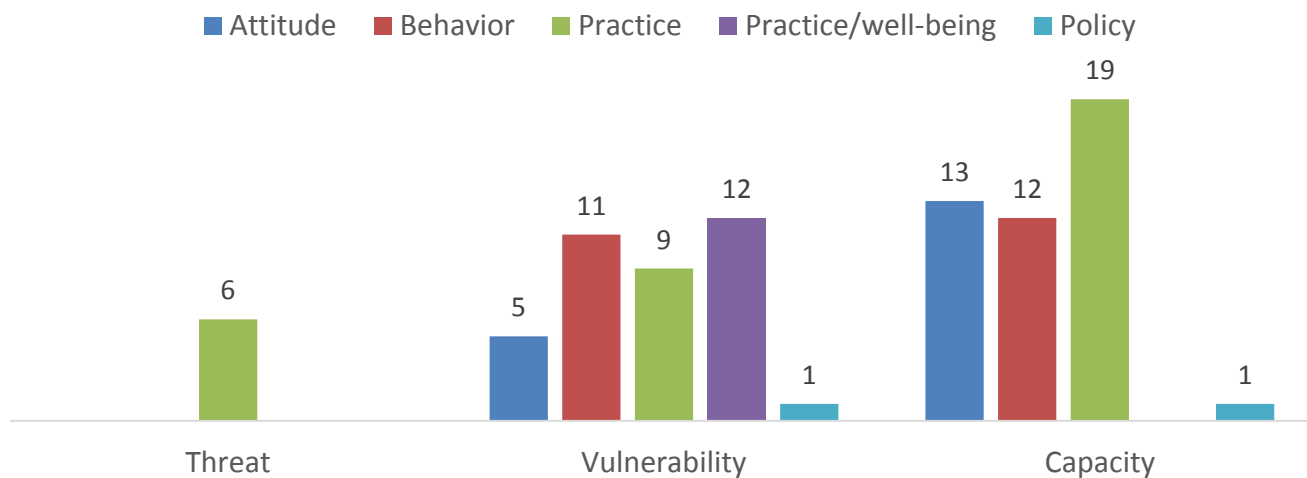
Annex 5: Workshop group exercise on articulating a causal logic

Breakout Group: **Articulating the causal logic that underpins the response to prevent human trafficking (of men, women, boys, girls) in Rakhine, Myanmar**

Instructions:
To think through a theory of change/causal logic, discuss within your group each of the following questions. Using a visual diagram as illustrated in the example, highlight the key steps and assumptions in your theory of change.

(Disaggregated)Protection Issue: Human Trafficking (be specific)

Step 1: What is the protection standard you are trying to address? (refer to International Humanitarian Law, National Law, Human Rights Law; i.e. Palermo Protocol)— (est. 3 mins)

Step 2: On a flip chart paper, break down the threat, vulnerability, and capacity for this risk. Use an ecological framework (individual, family, community, national, etc.) to explore these factors. – (est. 15 mins)

Step 3: Based on the analysis above, using a diagram, illustrate what changes are needed in terms of policy, practice, behavior, and attitudes. – (est. 20 mins)

Step 4: On flip chart paper describe what assumptions you are making about the changes (policy, practice, behavior, and attitudes)—(est. 15 mins)

Step 5: Using post-it papers, what are the actions needed that can influence the change? (as seen at multiple levels)— (est. 20 mins)

Step 6: List the assumptions about your proposed actions. — (est. 15 mins)

PROTECTION INFORMATION MANAGEMENT MATRIX

	POPULATION DATA	PROTECTION NEEDS ASSESSMENTS	PROTECTION MONITORING	CASE MANAGEMENT	PROTECTION RESPONSE MONITORING AND EVALUATION	SECURITY & SITUATIONAL AWARENESS	SECTORAL SYSTEMS / OTHER	COMMUNICATING WITH (in) AFFECTED COMMUNITIES
DEFINITION *Row can not be modified*	Population data systems record the number and characteristics, disaggregated by sex, age, demographics and diversity, of a population in a specific place and time period, for the purpose of programming effective prevention and response.	A data-collection exercise usually conducted at a single point in time to gain an understanding of the protection issues, availability of resources, sources of problems and their impact on the affected population ('snapshot'). This is in order to identify protection needs, risks, and solutions, and to inform programme interventions and response activities that are complementary with positive community coping mechanisms. Protection needs assessment should be carried out periodically and after substantial changes in the context.	Protection monitoring is defined as 'systematically and regularly collecting, verifying and analyzing information over an extended period of time in order to identify violations of rights and protection risks for populations of concern for the purpose of informing effective responses.'	Protection case management information systems support the provision of protection and/or targeted interventions to identified individuals or groups through the management of data – from case identification to case closure – related to a specific case	Continuous and coordinated review of implementation of response to measure whether planned activities deliver the expected outputs and protection outcomes and impact, both positive and negative. Evaluation is distinct, but compliments monitoring by asking questions around causal linkages, looking at intended and unintended results. Evaluation is not continues, but rather periodic and targeted.	Security and incident systems that monitor both the affected population and the ability of humanitarian actors to physically and securely reach people affected by crisis. Such systems would make available information on the overall security situation, issues of humanitarian space and access (including the safety of staff), and other concerns. A key difference between these systems and protection monitoring is in this aspect of humanitarian access.	Sectoral IM Systems/ Other are information management systems that support assessment, monitoring and reporting on services, infrastructure, material, and physical support that support legal and physical protection outcomes, but are not managed directly or solely by protection actors.	Communicating with(in) communities refers to communication between, among, and with communities and/or community members with the aim of supporting participation, decision-making, access to services, feedback/com-plaints, transparency, monitoring and evaluation, and leadership/com-munity capacities.
SUB-CATEGORY EXAMPLES	There are no sub-categories for this, there is only one system in this category - 'population data management'	• Rapid protection assessments • In-depth protection assessments • Specialized protection assessments • Coordinated needs assessments (joint, harmonized) • Uncoordinated assessments	• Legal, Material and Physical Protection Needs Monitoring • Detention Monitoring • Durable Solutions Monitoring • Housing, Land and Property Rights Monitoring • Return Monitoring • Border Monitoring • Child Protection Monitoring • Gender Based Violence Monitoring • Situation Monitoring	• Incident management • Assistance and service management • Registration and status determination case management • Provision of solutions (return, integration, resettlement) • Tracing and family unification • Support for vulnerable individuals (children, women, persons with physical or mental disabilities, survivors of torture and gender based violence) • Fraud management systems • Human rights case management (includes urgent action requests) • Legal case management (includes HLP)	• Programme / Response/ Results monitoring • Process monitoring • Evaluation (summative, formative)	• Conflict, situational analysis & assessment/ Sit Reps • Situational monitoring & context analysis (social, political economic analysis, incl. scenario building & contingency planning) • Security risk assessment & security incident reporting / updates incl. hotspot mapping; mine and UXO survey / assessment (number of mines & UXOs, known and / or reported locations, demined areas, mine incidents) • Small arms & light weapons (SALW) assessment • Actor mapping (incl. parties to the conflict) areas of control of armed elements, locations, movements, numbers, configurations, clashes and other security incidents) • Safety (attacks on or threats against staff) • Analysis / update on status of humanitarian or community infrastructure and physical access of humanitarian actors and/ or peacekeeping forces • Community safety assessment	• Health • WASH • Core Relief Items/ Material Assistance • Food and supplementary feeding • Shelter • Camp Coordination and Camp Management	**a. Humanitarian systems (owned and operated by Humanitarians)** • Accountability humanitarian- an activities: complaints and feed-back (positive/negative feedback), services, activities • Fraud reporting and tracking systems (humanitarians or com-munity members) • General information systems (on humanitarian objectives or activities) • Security & safety systems (operated by humanitarians or gov't) **b. Community systems (owned and operated by the community)** • Facebook, Twitter etc. • Misc. apps developed by the community, for community/individual decision-making
METHODS	• Estimation - remote (satellite, aerial, key informant, social media, communications data, statistical projections, delphi method) • Estimation - on site (flow-monitoring & movement tracking, headcount, shelter count, key informant, community lists) • Registration (prima facie, household or individual) or Census/population registers • Profiling • Survey • Triangulation of sectoral and other data sources	• Primary data collection at individual, household, community and institution level • Observation • Key informant interviews • Focus group discussions • Profiling • Survey • Participatory assessment methods	• Observation • Key informant interview • Focus group discussion • Individual / household interview • Profiling • Survey • Referrals	• Observation • Individual / household interview • Incident / case report • Focus group discussion • Referral	• Observation • Survey • Key informants interview • Focus groups discussions • Pre and post action / activity/assistance monitoring • Iterative review • Logic models and frame-works	• Observation • Key informant Interview • Focus group discussion • Individual /household interview • Social media • News media • Open and closed sources • Remote sensing	• Referral system • Profiling/ Survey • Observation • Key informant interview • Focus group discussion • Individual / household interview	**a. Humanitarian methods** • Observation • Profiling/survey • Reports and referrals • Focus group discussions • Interview: Key informant, individual or household • Monitoring: internet, media, or social platforms used by the affected population or communities **b. Community methods** • Observation or face to face communication • Monitoring: internet, media, or social platforms used by the affected population or communities
SPECIFIC EXAMPLES	• Displacement Tracking Matrix (IOM) • SCOPE (WFP) • Operational Webportals (UNHCR)	• Child Protection Rapid Assessment • Protection Cluster RPAT (Rapid Protection Assessment Tool) • MIRA (OCHA) • NARE (UNHCR)	• GBVIMS (UNICEF/IRC/ UNHCR) • CPIMS (UNICEF) • Human Rights Case Database (confidential) (OHCHR) • Human rights monitoring systems	• Human Rights Case Database, HRDB (confidential - OHCHR) • Comc (IRC) • Inter-Agency Child Protection Database (UNICEF) • Primero (UNICEF) • Tracing Database (ICRC) • ProGres and RAIS (UNHCR) • Prot6 (ICRC)	• ActivityInfo (inter-agency) • 3, 4, and 5 Ws (why, what, where, when, with whom, how) • Agency and Inter-Agency monitoring systems	• Security Database UNMAS • Information Management System for Mine Action (IMSMA) Database UNMAS • Security incidents & humanitarian access database OCHA • Early warning systems (Govt, UN, NGOs, community level) • Systems tracking security, access and safety, early warning matrices, UN DPKO • Global Information Systems (GIS)	• NFI and Core Relief Supply and Distribution Systems • TWINE (UNHCR and partners) • Global Health Observatory Data (WHO) • Mortality Database (WHO) • PAHO Regional Core Health Data Initiative • SCOPE (WFP) • LENS (various partners)	• Internet: YouTube, Facebook etc. • Telephone (hotlines, direct calls, SMS) • Broadcasts: radio or tv • Print media: leaflets, posters
OUTPUT (DATA AND INFORMATION) *Row can not be modified*	**The outputs of population data systems are:** Snapshot or reoccurring information on population figures, preferably disaggregated by age, sex and location (where people are or were located). It can also include: humanitarian profile typology, specific needs, vulnerabilities or other demographic characteristics including education, skills, occupation, and living conditions. **Data needed for decision-making:** • Population figures (demo-graphics of those affected) • Age and sex disaggregation (including as of date) • Location • Sources of and methodologies used for gathering population figures • Life-saving assistance or support needed **Common units of analysis:** Population groups, locations, time.	**The output of protection needs assessment systems are:** Quantitative and qualitative data and information on the protection situation (threats, capacity, vulnerabilities) at a specific time and place (as defined by the scope and scale of the assessment), providing info on: • Protection risks • Protection needs • Capacities and coping strategies • Life-saving assistance or immediate support needed **Data needed for decision-making:** As much data as possible from any primary data collection should be shared in a structured format, removing personally identifiable information. This may include priorities for response (remove this- as this is Process/Analysis). **Common units of analysis:** Specific population groups; locations; sectoral/sub-sectors, time and the focus/purpose of the assessment.	**The output of protection monitoring systems are:** quantitative and qualitative data and information on the protection environment, protection trends over time, rights violations, and / or risks, threats, vulnerabilities, and capacities - of the affected population. **Data needed for decision-making:** • Protection risks • Protection needs • Capacities and coping strategies • Life-saving assistance or immediate support needed • Trends for what the monitoring systems is designed for **Common units of analysis:** Location; protection risk; population group; community, time.	**The output of case management systems are:** Information on protection needs, risks and incidents at the individual level protection response, and the corresponding actions needed and taken by whom, and when, subject to the principles of confidentiality and consent. **Data needed to inform decision-making:** • Information on case management activities, disaggregated by age and sex, as related to purpose and per informed consent (anonymous v. personally identifiable data) • Trends for those within the case mgmt. system • Statistics about populations (vulnerabilities, age, gender, locations, risks) • life-saving assistance or immediate support **Common units of analysis:** Individual, case, risk / need, response / action, partner / actor, time.	**The output of response monitoring and evaluation systems are:** Qualitative and quantitative data and information related to the actual outcomes and outputs of the protection response against the planned activities/expectations. **Data needed to inform decision-making:** • Data on specific output (performance) and outcome (impact) indicators. **Common units of analysis:** Location, operation, time, response objective, analytical framework (delete?)	**The output of security and situational awareness systems are:** Qualitative and quantitative data and information on the overall security situation and operational environment. Including information on humanitarian access, security for all stakeholders, context and conflict analysis, risk indicators, and information on the country's political, military, social and economic information. **Data needed to inform decision-making:** • Context analysis • Conflict analysis • Statistics about security incidents • Physical access to areas • Mines locations and demined areas • Status of humanitarian or community infrastructures • Locations of presence of armed elements • Staff security, safety, and access reporting (incl. stats on staff threats/attacks) **Common units of analysis:** Location, time, incident type, sector, actor	**The output of sectoral IM systems are:** Data which pertains directly to the sector's operational data requirements and can provide protection specific/relevant data on needs, protection risks, vulnerability, required response in requisite sectors (for ex: indicators used in sector information systems which provide critical protection information). **Data needed to inform decision-making:** • Data for prioritizing and coordinating life-saving protection support amongst partners, by location, type and need. • Fundamental Operational Data Sets (FODS) (delete?) **Common units of analysis:** Location, sector, actor, populations groups, priority, time.	**The output of communicating with(in) affected communities' systems are:** Data and information on: • Common and appropriate sources of information and communication within communities; • Community capacities, re-sources, skills; • Local contextual information (e.g. cultural sensitivities, languages used by affected populations); • Priority information needs and concerns of the affected populations; • Updates on factors which affect the protection nature of the response (such as context, logistics, political, social and economic information) **Data needed to inform decision-making:** • Situational awareness • Understanding, tracking and possibly responding to community driven data and info needs **Common units of analysis:** Location, population group, information needs, community engagements, partners / actors.
SHARED DATA	• Population figures (demo-graphics of those affected) • Age and sex disaggregation and 'as of date' • Location • Sources of and methodologies used for gathering population figures	Based on the assessment & analysis of protection needs should be shared with the humanitarian community. As much data should be shared in a structured format (with per-son-ally identifiable information removed).	• Information on need of life-saving assistance or immediate support • Protection trends • Population's coping mechanisms & capacities	• Population figures disaggregated by age and gender, related to case management and its purpose. But also substantive information on collected data to help identify protection trends and human rights violations. • Statistics on vulnerabilities. • In specific cases where case management sharing proto-cols have been established person of concern bio data could be shared (dependent on the use of the data and existing SOPs between the partners. (anonymous v. personalized data)	• Data on specific output (performance) and outcome (impact) indicators.	• Statistic about security incidents • Statistic about attacks on or threats to staff • Physical access to areas • Mines locations and demined areas • Status of humanitarian or community infrastructures • Locations of presence of armed elements • Staff security, safety, and access reporting • Context analysis • Conflict analysis	• Prioritizing and coordinating life-saving protection support among partners, by location, type and need *FOD's	• Situational awareness (feeding into Protection Monitoring for example) which information could cause anxiety / panic / psycho-logical well-being of individuals or compromise humanitarian corridors and access • Community identified protection priorities & concerns, incl. data & info needs
SOURCES	• Population census / national registries • National and local government • Affected and host populations	• Community leaders • Affected and host populations • National and local government • National protection actors and civil society • International protection organizations • International protection agencies • UN agencies and organizations • Social media/news media	• Community • IDP leaders • Refugee leaders • Other protection agencies • Government • National protection organizations • International protection organizations • Social media	• Case management partners (IP's) • Affected people • Sectoral partners	• Any person targeted by the protection response • People not targeted by the response but affected by it, directly or indirectly (e.g., local communities) • Staff • Implementing partners • Government	• Communities, affected people • Authorities, police, military • Humanitarian actors • Peace-keeping forces, international police • Research institutions, academia • Development actors • Staff of respective organizations and agencies	• Sectoral programmes and interventions	• Community (individual, house-hold, specific groups) • Established committees- including refugee/IDP leaders • Community Based Organizations, civil society and NGOs • National networks (for example youth groups; Scouting groups) • Business (particularly media and telecommunication companies) • Local media - newspaper radio, television, online • Social Media

X

PIM Process

The PIM Process captures the overview of the steps to be followed when implementing a PIM system or following a PIM cycle.

PIM PROCESS

| Assess Information Landscape | Design IM Systems | Implement IM Systems | Evaluate Impact |

Define Purpose and Information · Data and Information Review · Design with Affected Communities · Establish Information Sharing Networks · Develop IM System · Collect Data · Store and Maintain · Process and Analyze · Disseminate and Share · Review Information Sharing · Review IM System · Review Protection Impacts

Assess Information Landscape

Define purpose and information needs: Define the purpose of the information system and related information needs (assess and organize information on and understand your environment, sources of info and specific context)

Data and information review: Undertake a secondary data review/desk review (an analysis of existing data which will inform and build upon context, sources, objectives, further articulate information needs)

Design IM Systems

Design with affected communities: Work with the community to identify, gather and understand protection priorities

Establish information sharing networks: Establish and maintain a coordination and information sharing network with stakeholders

Develop IM system: Design methodology to collect, analyse, share, store and disseminate protection data and information based on the defined purpose and proportionality

Implement IM Systems

Collect data: Collect data based on defined purpose

Store and maintain: Store, maintain and decommission or archive protection data and other components, such as secondary data reviews, information sharing protocols and reports

Process and analyze: Interpret, analyze and review data and information to inform planning, response and strategy development

Disseminate and share: Safely disseminate findings, data and methods in accordance with information sharing approach and the project design, in accordance with protection data guidance

Evaluate Impact

Review protection impacts: Consider and review protection impacts in terms of informed decision-making, and advocacy

Review IM system: Review data and information to determine if it corresponds to defined purpose, and is proportional to outcomes

Review information-sharing: Review and maintain compliance with data-sharing protocols, procedures, networks, and agreements

It is important to note that the higher-level steps of the PIM Process - assess information landscape, design IM systems, implement IM systems, evaluate impact - are prescriptive. The sub-steps falling under these steps may be followed in a prescriptive or a non-prescriptive manner, however, and may not necessarily require step-by-step implementation/adherence.

What is PIM

"Principled, systematized, and collaborative processes to collect, process, analyze, store, share and use data and information to enable evidence-informed action for quality protection outcomes."

PIM Principles

The below principles underlie and characterize all PIM systems, regardless of their purposes, methods, or products:

People-centred and inclusive: PIM activities will be guided by the interests and well-being of the population, which must participate and be included in all relevant phases of PIM. PIM activities must be sensitive to age, gender, and other issues of diversity.

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

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

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

Data protection and security: PIM activities must adhere to international law and standards of data protection and data security.4 Persons of concern have a right to have their data protected according to international data protection standards.

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

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

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

How to use the PIM Matrix

The PIM Matrix can be used by anyone who is seeking to map, understand, or identify PIM systems, either in general or for a specific operation. This includes protection officers, IMOs, registration officers, senior management, implementing partners, and more. The PIM Matrix also can be used at any phase of the response, from preparedness to solutions.

There are a number of ways to get started using the Matrix:

- You can start at the top with a PIM category, reading through the definition and explanations.

- You can start at the left with a criteria, in the rows. If you are interested in learning more about the different methods that can be used to collect data in PIM systems, you can start with that row and read about which methods are used for each PIM category.

- You also can start specifically with the Output row. This is especially helpful if you know what you need (as an output) but you do not know which PIM system would be best suited to achieve the objective. Likewise, if you have used the Matrix to map and categorize the types of systems that are being used by colleagues within your operation or context, you may be able to identify what organization could be a source for the data or information you are looking for.

You may customize the PIM Matrix to map or track the PIM systems that exist in your operation of context. The Definition and Outputs rows will not change, since these are characteristics that distinguish the PIM categories from each other. For all other rows in the PIM Matrix, colleagues may adapt, add to, or remove existing examples to reflect their content.

Additional resources can be found online at: pim.guide

ANNEX 7: Myanmar Missions Terms of Reference

<div align="center">

InterAction Missions to Myanmar
February & April 2017
Terms of Reference

</div>

Background

In Myanmar, the 2017 Humanitarian Response Plan (HRP) highlights the 244,336 people specifically in need of protection support across Kachin, Shan and Rakhine[1], and one of the four objectives of the HRP is focused on ensuring the protection of civilians. This objective states that the HCT will 'contribute to the protection of civilians from violence and abuse by reducing exposure to harm, mitigating its negative impact and responding to serious protection needs; and advocate for full respect for the rights of individuals in accordance with international humanitarian and human rights law.'[2]

InterAction protection missions seek to examine critical protection issues and trends, and how they are being addressed by humanitarian actors, in order to highlight key issues and recommend possible strategies and measures to address them to practitioners, policymakers, donor governments, and humanitarian leaders. In particular, InterAction seeks to support the increased emphasis throughout the humanitarian community on the centrality of protection in humanitarian action, more outcome-oriented and results-based approaches to protection, including collective outcomes.

For example, the Inter-Agency Standing Committee (IASC) Policy on Protection in Humanitarian Action, endorsed by the IASC Principals in October 2016, sets out how the 2013 IASC Principals Statement on the Centrality of Protection in Humanitarian Action will be fulfilled in practice. The policy seeks to address the multi-faceted character of protection in crisis and provides an overarching framework for a multi-disciplinary response to achieve protection outcomes. The Global Protection Cluster Guidance Note on HCT Protection Strategy complements the IASC Protection Policy with guidance for Humanitarian Coordinators (HCs) and Humanitarian Country Teams (HCTs) to develop a comprehensive and humanitarian system-wide protection strategy in a manner that is light and enhances the effectiveness and performance of country-level humanitarian responses.

Complementing these, InterAction's work on results-based protection has resulted in the identification of three key elements that support the achievement of measurable results and protection outcomes manifested as reduced risk:

1) Continuous context-specific protection analysis;
2) Designing for the contributions of multiple actors, at multiple levels, and through multiple sectors and disciplines;
3) Outcome-oriented methods[3].

---

[1] Ibid.
[2] Ibid: 15.
[3] Further information on the key elements that support a results-based approach to protection can be found on http://protection.interaction.org

A critical component of results-based protection and collective efforts to achieve protection outcomes is strong protection information management (PIM). Designing information management systems, the collection, analysis and use of quality protection data and information is a pre-requisite to the strategic and iterative design of strategies to reduce risk, adaptive management, and measurable results.

Purpose

InterAction is undertaking two complementary missions in support of humanitarian NGOs protection strategies in Myanmar. The first mission in March, focused on NGO roles in relation to the overall protection leadership, coordination, and strategies while the second taking place in April, will focus on critical methods and approaches actors can use to achieve protection outcomes.

Building on the recommendations coming from the first mission (more information on this mission can be found at the end of this document), the second mission[4] in May 2017(22 May – 2 June 2017) will prioritize Rakhine state and will:

- Retrace the analysis, decisions, and actions undertaken in assessment, design, implementation, and monitoring from the perspective of implementing organizations to achieve a protection outcome.
- Retrace the logic and steps from the perspective of the affected population in order to test the assumptions underpinning the programs and the relevance to the affected population's own assessment of their threat environment.
- Identify and document the practical application of the key elements of results-based protection.
- Document and support humanitarian actors' use of protection information management (PIM) for continuous protection analysis, development of strategies, and monitoring.
- Provide recommendations to strengthen the use of the key elements of results-based protection and PIM to enhance sub-national and national protection strategies to achieve protection outcomes.

Methodology & Outputs

Mission 2 [5]

The following methods will be used to document how the elements of a results-based approach to protection have been applied in practice:

1. **Pre-trip desk review and outreach:** Prior to the trip, InterAction will reach out to key actors to obtain and review relevant protection strategy and program materials. Additional, more general background materials will be reviewed that include historical and context specific analysis of the protection issue within Myanmar. Findings and recommendations coming from the first mission will further inform the understanding of the context, core challenges and gaps, and specific opportunities.

2. **Recreate the causal logic:** Based on current protection strategy/work plans and relevant programming, the RBP Program team will:
   - Rebuild a causal logic for one protection issue;

---

[4] Jessica Lenz (Senior Program Manager – Protection at InterAction), Kelsey Hampton (Policy Coordinator – Protection at InterAction), and Brennan Webert (Protection Advisor at Danish Refugee Council).
[5] The methodology used for this mission is based on the methods and approach of InterAction's support mission to Colombia (May 2016).

- Use the PIM Principles to assess how data was / is being collected and used;
- Use the PIM matrix to determine how data is being used /collected;
- Use the PIM Process to explore what steps have been undertaken to inform the information requirements of the protection analysis;
- Map and identify pathways, linkages and gaps within the response;
- Establish where various actors contribute to achieving the desired outcome.

The causal logic and use of PIM will also be explored with actors in Rakhine, Myanmar to understand their logic behind the response. A **meeting on Thursday May 25th** at the beginning of the visit will take place with key actors of the protection cluster at the sub-national level in addition to a **full day meeting/workshop on Monday May 29th**. This information will be cross-checked and analyzed against the reconstructed causal logic. Additional questions, challenges, and issues the protection cluster members raise will be used to help refine a more complete picture of the causal logic and use of PIM.

3. **Key stakeholder consultations:** Meetings will take place with a range of actors to explore multiple perspectives on how the results-based approach has been applied in practice:
   - Bi-lateral meetings: to explore how individuals are contributing to the outcome;
   - Stakeholder focus groups: to gather the perspective from the affected population;
   - Community **PRA exercises** to help retrace the causal logic from the perspective of the affected population.

A range of techniques will be used to build an illustrative case study, including (as/if security and sensitivities allows) audio recordings, videos, and photographs. Engagement with affected populations and the use of any content will follow strict ethical procedures including informed consent, confidentiality, and security protocols.

4. **End of trip meeting with key stakeholders:** A meeting will be convened with key actors in-country (Yangon) on **Wednesday May 31st** to share key findings on positive steps already being taken to achieve protection outcomes.

The end of trip meeting will be done in conjunction with a workshop on results-based protection to provide an overview of the key elements and how results-based protection can be used to achieve protection outcomes. The meeting will use the findings from the Kachin documentation process to illustrate how agencies are applying results-based approaches and how they can further strengthen these efforts to better support protection outcomes.

5. The **expected outputs** of Mission 2 include:
   - A written report highlighting recommendations for strengthening and incorporating the key elements of results-based protection and the use of PIM to support in-country protection strategies;
   - Several documented examples, utilizing different media (including voice recordings, video and photographs) to illustrate the practical application of key elements of a results-based approach to protection.

Mission 1 overview

The objectives of the <u>first mission</u>[6] <u>from 24 February - 9 March 2017 were</u>:

- Develop an understanding of context-specific risk patterns in Myanmar, including particularly threats facing civilian populations, people's vulnerabilities and capacities in relation to these threats, and NGO strategies to reduce these risks.
- Examine and make recommendations on the implementation of the recently endorsed *HCT Statement of Commitment on Protection*, including opportunities to increase awareness of protection amongst non-protection actors and expand engagement to all sectors and clusters, with particular focus on the NGO role in this process*;*
- Discuss with NGOs how new tools, such as the IASC Protection Policy and Global Protection Cluster Guidance Note on HCT Protection Strategy, could be implemented in support of achieving protection outcomes;
- Provide observations, reflections and recommendations to donor governments, diplomatic missions and the humanitarian community on the response to critical protection issues and the collective achievement of protection outcomes.

<u>Preliminary Recommendations from Mission 1</u> (24 February - 9 March 2017)

- Build a **common sense of purpose** on the positioning of protection within the humanitarian response
- Establish **dynamic mechanisms** for generating options, making decisions and providing feedback
- Clarify what **information and analysis the HCT needs and expects** by sending clear demand signals
- **Deepen protection analysis** and fully **consider the range of options** to address a problem that will open up as a result of strengthened analysis
- **Empower field colleagues** and communicate to the field that they are expected and encouraged to take initiative
- Adopt an iterative approach and move away from **binary success/failure thinking**
- **Discuss concerns relating to local/national actors and take steps** to address or mitigate
- Design and implement an **HCT Protection Strategy**

---

[6] Jenny McAvoy (Director of Protection at InterAction) and Liz Bloomfield (Program Manager–Protection at InterAction).