CPA

**COMMUNITY
PROTECTION
APPROACH**

GUIDELINES

COMMUNITY PROTECTION
APPROACH **HANDBOOK**

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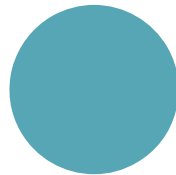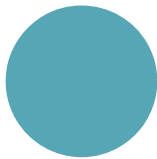The research Project has been financed by:

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Community protection Approch Handbook

1 Overview

1.1 Introduction

1.1.1 Purpose of the document

The Overview introduces the **Community Protection Approach (CPA) Handbook** and is a guide to understanding the research methodology used for its design and development. It aims to **set out the general logic of the CPA in order to identify its application opportunities in different contexts**. It targets both the specialized and general audience by using non-technical terminology as far as possible.

The Overview targets the following audiences:

OVERVIEW TARGETS

Humanitarian and Development Practitioners

Researchers

Members of Public Authorities

Policy-makers

Field Staff of INGOs, NGOs, CBOs and UN Agencies

Members of Multilateral Bodies and Agencies
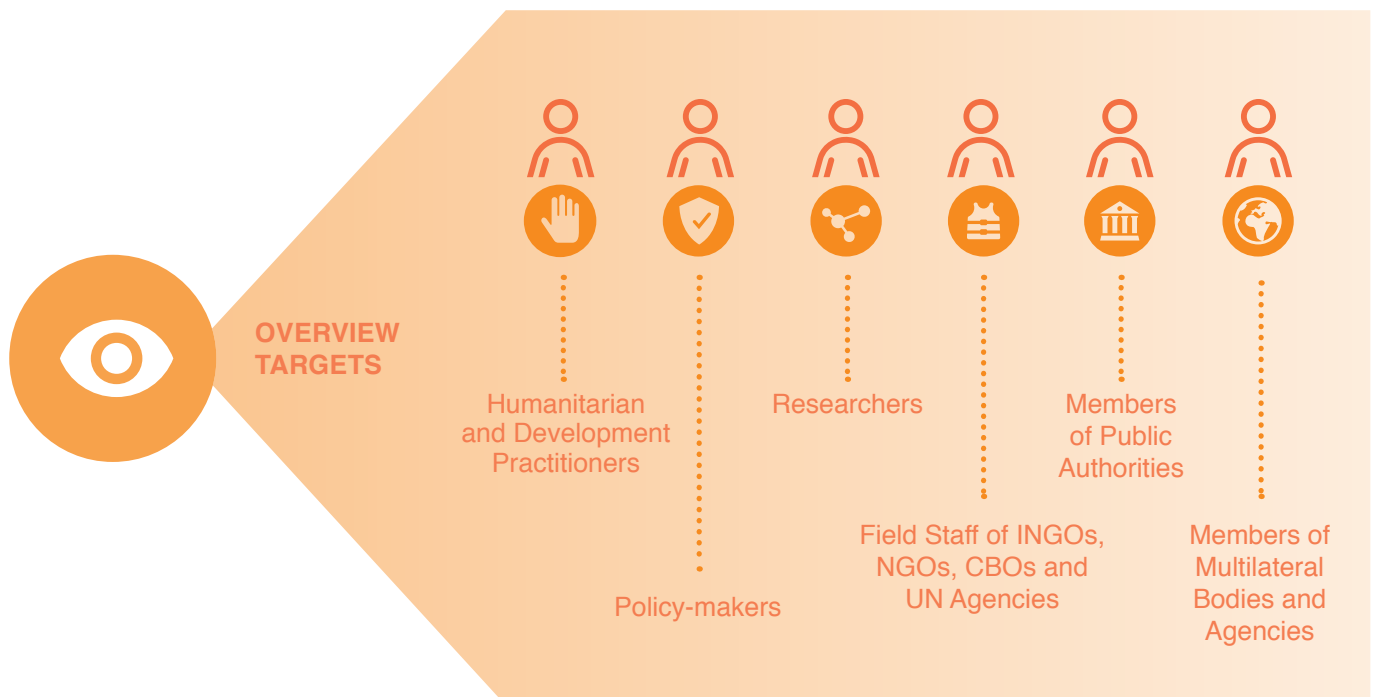
1.1.2 How to use the Handbook

The Handbook includes different modules openly available to any organization, individual or institution interested in studying or applying the CPA. The CPA is proposed by GVC to be replicated, further developed or used in the design of derivative mechanisms.
GVC has developed **CPA web-based Platform** to automate a set of complex quantitative and qualitative techniques used in the analysis involved in the methodology. The aim is to simplify field implementation while ensuring exactness in analysis systematization. For this purpose, GVC is available to provide support and further information to guide appropriate use of the tools proposed.

Requests should be addressed to:

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The Handbook Modules are the following:

OVERVIEW

Presentation of the method and research used to develop the CPA, as well as its general logic and modules.

PUBLIC

INDIVIDUAL PROTECTION APPROACH

Specific compendium of guidance and tools to establish and structure the Individual Protection Approach.

UPON REQUEST

GUIDELINES

A core document in the handbook. It provides a detailed description of all the CPA phases and steps, as well as examples and snapshots of the tools.

PUBLIC

C P A

COMMUNITY
PROTECTION
APPROACH

CONTEXTUALIZATION

Specific and detailed criteria and guidance on how to adapt the CPA in a given context.

UPON REQUEST

TRAINING PACKAGE

A structured package to train field and management staff on the use and application of the CPA and its components.

UPON REQUEST

TOOLKIT

The compendium of tools to fully apply the CPA in a context. The tools are referenced to each section of the Guidelines.

UPON REQUEST

1.2 Overview of the CPA approach

1.2.1 Why apply an Integrated Protection Approach?

The design of approaches to perform people-centered vulnerability and risk analysis is one of the relentless interests and commitments of the international aid community. In particular, this involves approaches capable of forming complementary strategies of prevention measures and early recovery, of building self-reliance and reducing risks at the community level. Efforts to achieve this have intensified since the **World Humanitarian Summit of 2016**, as have subsequent commitments[1] to finding better coherence between humanitarian and development assistance.

The International Committee of the Red Cross[2] proposed the **"Egg" Protection Framework in 2001** as a model to channel the identity and way of working of different actors towards a single shared goal of ensuring protection of the population. This model is widely recognized and deemed functional in reconciling humanitarian and development work. It also stands as a broad framework that requires operationalization. What is probably its most challenging aspect regards the need to incorporate it within community-driven processes enabling populations to lead their own strategies to re-address the protection environment.

In 2010 Action Aid designed the *Safety with Dignity* approach to integrate community-based protection across humanitarian programs. The model is an essential contribution to the operationalization of a community-driven approach and has paved the way to further studying the inclusion of communities in modalities of protection analysis.

The centrality of protection offers the advantage of relating needs and vulnerabilities to duties and responsibilities, and ensures needs assessment alignment with International Humanitarian Law, International Human Rights Law and International Refugee Law provisions. This aspect becomes even more relevant in the presence of an **increasing number of complex emergencies and contexts**. However, there is an inherent challenge in incorporating an approach to identify vulnerabilities and risks within protection, and this concerns the intrinsic difficulties in evaluating protection. As the Whole of System Review reports[3], protection evaluation still lags behind in several aspects, and there is a recognized need for innovative and mixed-method approaches.

Within the same analysis, the results of the work of the **InterAction Result-Based Protection initiative are** presented in outlining a series of key factors *conducive to protection programming that delivers results*[4]:

- *Robust and comprehensive protection analysis of threats, vulnerabilities and capacities;*

- *Starting with the affected populations through identifying their individual and community coping strategies;*

- *Theories of change based on context and the specific protection issue; and flexibility (conducive funding cycles and contextual rather than predefined activities, for example, predetermining Child and Women Friendly Spaces).*

Even though there is a wide consensus on these key factors, the reality of programming on the ground presents **several challenges** that have hindered the capacity of the international community to find a systematic approach that is applicable in different contexts:

Multi-sector or system-wide assessments often need to be tailored to specific humanitarian or development programming needs. Moreover, they are often limited to stand-alone exercises that are difficult to replicate over the years due to the amount of resources and time required.

As a consequence, presentation of the **results is often only useful and informative to a restricted range of actors** (e.g. the humanitarian community). Furthermore, it does not fully inform other mechanisms (such as development programs) essential to ensuring complementarity and coordination to address the multidimensional causes of a population's vulnerabilities and risks.

The different program cycles of key actors (humanitarian, developmental and institutional entities) vary and are bound to their own different administrative and financial needs. This recognized idiosyncrasy, currently under widespread discussion and the object of international commitments (e.g. Grand Bargain), limits the capacities and possibilities of engagement of the community and population. **The community and population are often only involved in one or a few phases** of the cycle of detecting needs, prioritizing, providing a response and monitoring results, unless they are involved in programs specifically tailored to their empowerment.

International standards (such as SPHERE) are effective in guiding the actions of multiple actors and ensure levels of wellbeing for the population. However, these standards, insofar as they are usable to understand contextual aspects, **present limitations**: the understanding of underlying causes, of communities and/or of individual coping strategies, as well as the impact of external factors on people's lives. These aspects require the application of methods, such as qualitative or outcome analysis, which are not fully embedded in the current identification and analysis systems.

1.2.2 Why and how the Community Protection Approach (CPA) has been developed?

GVC is an Italian NGO that has been working on humanitarian and development programs for over 30 years. Communities and individuals have always been placed at the center of its interventions through locally driven projects and strategies. The increasing workload dictated by protracted and complex crises has nonetheless led the organization to review its standard approaches. To ensure a more grounded and systematic model, GVC decided to focus on an **Integrated Protection Approach**, purposely enabling more effective and lasting strategies to reduce aid dependence, by placing the affected populations self-reliance at its core.

An initial model was designed as part of GVC operations in the Occupied Palestinian Territory, thanks to the support of European Commission (DG ECHO) and various European Union Member States. Positive preliminary results, along with a set of recommendations and limitations, were collected and studied thanks to joint application of the model and collaboration with Norwegian Refugee Council (NRC), Action Against Hunger (AAH), Premiere Urgence Internationale (PUI) and Agency for Technical Cooperation and Development (ACTED) in the country.

Given these initial results, GVC decided to invest in the in-depth study of CPA application in other contexts and to verify its feasibility as a systematic approach. In January 2018, GVC established a dedicated multi-disciplinary Task Force[5], which has been working in collaboration with university partners and external experts since. The Task Force looked at four specific macro-objectives for development of the CPA:

- Ensure its applicability within humanitarian and development project cycles

- Investigate the effectiveness of its people-centered and empowerment approach

- Verify its actual added value to reduce the "assessment-fatigue" of the population

- Understand whether it could have a flexible modular approach applicable in different contexts.

The GVC Task Force applied a **participatory-action research approach**[6] to develop the CPA, which ensured that application of the findings and evaluation of their impact on practice became part of the research cycle. After a review of the design and the lessons learned in the OPT over a period of three years, the CPA was methodologically developed and piloted in Lebanon. The GVC Task Force and GVC missions in the OPT and Lebanon held several workshops with partners. The results were studied and further discussed in several workshops with university partners and external experts. The action-research approach will continue with field testing in other GVC missions to update the model in the future.

2013-2016
Design and testing of the approach

2016-2018
Adaptation and elaboration

2018-2019
Capitalization and Consolidation

2013 - OPT
Field Test on 6 Communities

2014-2019 - OPT
Adaptation and Elaboration within Consortium of AAH, ACTED, GVC, NRC, PUI (4th year of implementation, covering an average of 50,000 people)

2016-2017 - Lebanon
Field Test on 150 Informal Refugee Settlements

2018-2019 - Lebanon
Implementation within Consortium of ACF, NRC, GVC (1st year of implementation covering an estimated 320,016 refugees)

2018
Creation of a dedicated Task Force and Research Design

2018-2019
Comparative Research by University of Pavia and External Experts

2019
First Module of Handbook and Training Package

2018-2019
Libya/ Central America Test Pilot Projects

1.2.3 Objectives and Study Questions

The CPA has two specific objectives:

Increase the **capacities of communities and individuals to make informed decisions** about their **safety**, to organize their resources and efforts to **reduce exposure to harm,** and to develop **local strategies** to increase protection from hindered access to safe and dignified living.

Support the **coordinated mobilization of multi-stakeholder and multi-sector efforts** to **prevent and respond** to the most serious protection threats, to **reduce risk** of harm and rights violations, and to **enable opportunities** to ensure safety and dignity of people.

These objectives are the result of discussions carried out between 2014 and 2017 at field mission level on how to develop a more solid approach during protracted and complex crisis.

Design of the CPA to achieve the two objectives has been based on a set of research questions:

1 What is the prevalence of threats, vulnerabilities and capacities in determining the coercive environment for a given population?

2 How can we undertake risk and vulnerability analysis given project and time constraints?

3 How can we elaborate regular, contextualized and easy-to-use monitoring of the multi-sector needs and problems of a given population?

4 What are the composition and dynamics of the population in designing an engagement and empowerment process that places the people at the centre of the vulnerability and risk analysis?

5 How can we detect sensitive protection problems in complex contexts?

6 What combination of complementary actions by different actors can address the causal factors behind a given population's needs and problems?

The CPA aims to answer the six study questions through a modular approach, which is adaptable to the specific conditions of multiple contexts, and operationally feasibly independent from the program timelines and objectives of an organization or group of organizations.

1 It applies a multi-level mixed-method approach combining qualitative and quantitative analysis capturing single levels (e.g. household, individual) or multiple levels (e.g. institutional, coordination structures).

1 **2** The CPA allows firstly the identification of threats, vulnerabilities and capacities from a set of quantitative indicators assigned to one or another aspect. This initial identification is qualified through population engagement in isolate causes, consequences, coping strategies, and other dynamics not captured by the quantitative data. A wide range of engagement modalities is provided to adapt the approach to the given conditions of risks in the targeted areas.

3 **4** **5** Population engagement is designed as a process of empowerment, following the *Ladder of Citizen Participation*[7] and is adaptable to each context. The initial engagement step is low-risk and tailored to identify aspects influencing and biasing data and information; this profiling, along with safe communication channels created with the community, is used to establish a mechanism continuously monitoring the changes in the population's needs and problems. The monitoring uses digital tools returning automatic analysis of the quantitative and qualitative data, in forms tailored to existing humanitarian and development sector standards.

A mechanism for identification, assessment and referral of families and individuals ensures additionally meaningful access to assistance and services for these people.

It pays special attention to individuals and groups who may be particularly vulnerable or facing difficulties accessing assistance and services.

[6] Overall, the CPA tools for engagement and data collection are based on basic multi-sector needs. The need-based data is gradually transferred to right-based and protection analysis by an automated system processing the data through the Risk Protection Equation. The results are provided in shareable documentation and contain: multi-sector indicators, categories showing a community's status for safety and dignity, and operational plans encompassing short-to-long-term actions.

1.2.4 How the CPA operationalizes Integrated Protection?

Integrated Protection Programming *refers to different sectors, such as Water, Sanitation and Hygiene (WASH), Shelter or Health, undertaking a combined approach in order to achieve protection outcomes* (NRC, 2015).

....

The community protection approach (CPA) is a community[8] **engagement and empowerment instrument** to design Integrated Protection Programs (IPP) and provide operational tools to facilitate coordination and complementarity between different foreign and national aid instruments in order to find sustainable solutions to a given population's needs and problems.

....

Localized **monitoring** of risks and coping capacities (quantitative and qualitative)

! **Risks** of invidivuals and communities

Identification of associated **needs and coping capacities**

Elaboration of **short-to-long-term plan** (from prevention to response)

Complementary use of **humanitarian and development programming**
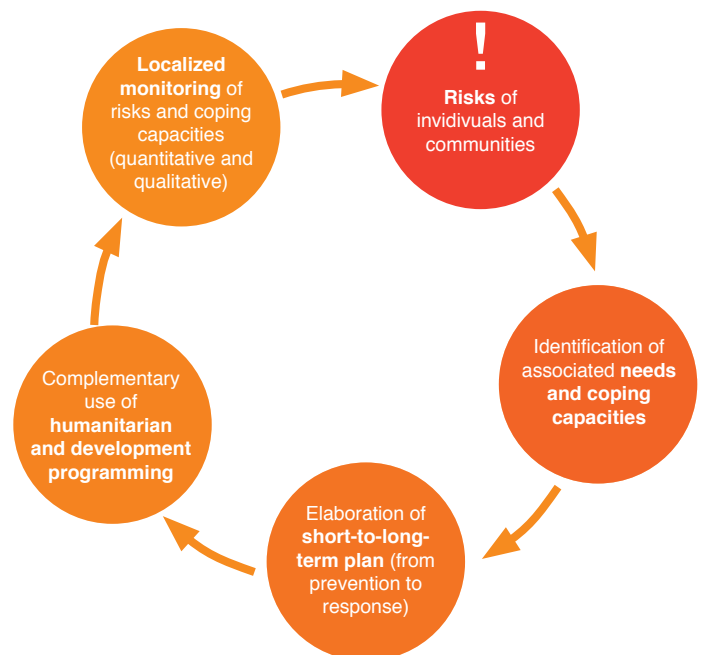
The CPA provides a people-centered system of analysis, programming and monitoring of the causal factors of a population's needs and problems. It is based on the Protection Egg and Protection Risk Equation. The initial design was shaped by the Action Aid Safety with Dignity (2009) and other participatory approaches used in development programming. This research led to definition of a **set of principles governing the CPA**:

Territorial Approach: with the CPA approach "territory" becomes a dynamic entity made of formal and informal interactions. The CPA promotes a systemic method that understands root causes, maps and supports diversity of response capacities and reduces risks, and related needs, faced by population groups in the territory.

Empowerment at the center: the system of identification, planning and monitoring is built upon the aim of reducing aid dependency and increasing the population's agency[9]. It provides effective guidance and instruments to ensure a continuous process of empowerment to reduce aid dependency, while providing assistance.

Centrality of protection: protection is not only mainstreamed but used as the analysis framework. It supports organizations in streamlining protection risk analysis in standard phases of projects and programs and ensures proper identification of the real drivers of a population's vulnerabilities and social problems. It also provides analysis and plans abiding with International Humanitarian Law, International Human Rights Law and Refugee Law.

Self-reliance and localized approach of the humanitarian and development Nexus: It offers context specific multi-sector planning and analyses. Outputs are designed to facilitate the inclusion of affected populations within national and/or external aid strategies. Analysis and plans are multi-sector and multi-year to foster coordination and complementarity and to reinforce the role of the affected population in decision-making mechanisms.

Structured but modular: it is a systematized approach in terms of steps and tools, supported by tailored guidance. It is however modular and offers the possibility of adapting one or multiple parts or methods to the context as well as the level of access to the population.

The CPA therefore aims to establish a conducive environment for the active empowerment of a target population, including the most vulnerable and excluded groups, in the cyclical process of: detecting needs, finding shared solutions and translating these into action plans, and continuously monitoring the evolving context in order to reshape the initial strategy. The approach adapts to existing project cycles and stands as the grounds to elaborating a context-based transition from assistance provision, guaranteeing the population's dignity and safety.

1.2.5 How does it compare to other methods?

The CPA presents similarities with system-wide assessments or community-driven participatory processes to define local management and planning strategies. The similarities are a natural consequence of the CPA being built on lessons learned from different existing approaches.

At continuation a selection of existing approaches, their goals and complementarities with the CPA is presented.

As a general point, it is worth clarifying **what the CPA is not**:

It is not a "one-shot" quick method. The CPA is not an activity that is exhausted in a single project cycle. It is an engagement and empowerment mechanism and requires an appropriate timescale for it to be planned in parallel to or within standard programs.

It is not a humanitarian multi-sector need assessment.

- It purposely uses data and adapts to existing assessments in the target country, and provides multi-sector data usable by humanitarian and other aid coordination mechanisms. It is however more than an assessment, as it creates a localized continuous process of analysis and monitoring of the threats, vulnerabilities and capacities of a given population.

- The multi-sector questionnaire is designed to be operationally feasible in a wide array of humanitarian contexts. The system of indicators and triggers to identify specific vulnerable groups facing protection risks and the gaps in essential services provision offers an initial indication for humanitarian programming. However, the qualitative enquiry is essential to generating protection analysis and to providing an accurate account of causal factors of threats, vulnerabilities and capacities.

It is not a household survey. The CPA analysis focuses on the community level. The definition of community in terms of composition, size of population and type of area is based on a set of given principles and is adaptable to different contexts. Investigation of the most vulnerable and the protection cases is triggered by composite processing of the data showing the presence of possible risks needing immediate attention.

It is neither a pure community-driven development nor a community-based protection approach. The CPA is designed to generate a localized system of monitoring and analysis, as well as to support right-holders in engaging with power-holders and duty-bearers. It does not seek the creation of local or decentralized management units embedded in the community, nor groups of representatives to work with. It builds upon the existing social or cultural systems. It does not focus only on defining a set of activities to ensure protection, but outlines a strategy to ensure complementarity and coordination between different actors, with the population at its center.

It is not a system for measuring project or program outputs. The quantitative and qualitative monitoring is carried out on a yearly basis, within the framework of existing projects and programs, to measure concrete evidence of positive and negative changes in sector vulnerabilities and related protection problems. It captures the impact of the activities of specific projects as well as factors external to the projects and related to events in the context. The CPA therefore allows analysis of outcomes that can provide information on how far specific interventions have contributed to changing the causes of vulnerabilities and protection problems.

This table presents a selection of existing approaches and their goals, and briefly outlines some complementarities.

METHOD	OBJECTIVE	POSSIBLE COMPLEMENTARITY
PARTICIPATORY ASSESSMENT IN OPERATIONS *UNHCR*	Is a process of building partnerships with refugee women and men of all ages and backgrounds by promoting meaningful participation through structured dialogue.	THE APPROACHES PRESENT SEVERAL SIMILARITIES. THE CPA CAN BENEFIT FROM THE SAME PARTICIPATORY PROCESS AND PROVIDE ADDITIONAL QUANTITATIVE AND QUALITATIVE MONITORING ON THE EVOLUTION OF PROTECTION RISKS AND RELATED MULTI-SECTOR NEEDS.
INDEX FOR RISK MANAGEMENT *INFORM* *IASC, EC*	It is a composite indicator that identifies countries at risk from humanitarian emergencies and disasters that could overwhelm current national response capacity, and therefore lead to a need for international assistance	*INFORM* **IS PART OF THE SECONDARY DATA ANALYSIS OF THE CPA.** THE CPA CAN FURTHER SUPPORT THE REPRESENTATIVENESS OF CERTAIN PHENOMENA IN SPECIFIC GEOGRAPHIC AREAS. IT CAN PROVIDE A STATUS OF SPECIFIC NOT-UP-TO-DATE SECONDARY DATA.
VULNERABILITY AND CAPACITY ASSESSMENT *IFRC*	This is investigation that uses various participatory tools in order to understand the level of people's exposure to (and capacity to resist) natural hazards at the grass-roots level.	THE APPROACHES PRESENT SEVERAL SIMILARITIES. THE CPA CAN OFFSET VCA ASSESSMENT CARRIED OUT BY IFRC NATIONAL SOCIETIES. THE QUANTITATIVE AND QUALITATIVE MONITORING OF THE EVOLUTION OF PROTECTION RISKS AND RELATED MULTI-SECTOR NEEDS CAN FEED VCA ASSESSMENTS.
SAFETY WITH DIGNITY *ActionAid*	Integration of a community-based protection approach within programs across diverse sectors and contexts.	THE CPA STARTED AS A GVC TRIAL TO OPERATIONALIZE THE APPROACH. EVEN THOUGH THE CPA HAS EVOLVED IN TERMS OF COMMUNITY ENGAGEMENT, ANALYSIS AND MONITORING, **THE OUTPUTS AND OUTCOMES OF THE CPA CAN COMPLEMENT THE APPROACH.**
NATION-SPECIFIC MULTI-SECTOR HUMANITARIAN ASSESSMENTS *VASyR in Lebanon, RAIS in Lebanon, VPP in the OPT, MIRA, and others.*		THE QUESTIONNAIRE USED FOR QUANTITATIVE ANALYSIS CAN BE TAILORED TO INCLUDE KEY DATA, TO PROVIDE ONGOING MONITORING AND UPDATING, AS WELL AS COMPOSITE ANALYSIS, OF PROTECTION RISKS BY BUILDING ON MULTI-SECTOR DATA.

1.2.6 Steps

The CPA analysis system works as an encompassing process of participation and empowerment for communities and individuals. It runs in parallel to project and program cycles in each given context. Figure 1 sets out the different phases. Phase 0 and Phase 1 are performed only once, while Phases 2 and 3 are repeated on a yearly basis to monitor the results of the actions in the targeted communities and to provide corrections to projects and programs. The CPA is a modular approach that can be applied in its entirety or only through specific components, depending on context conditions.

Figure 1

CPA PROCESS

Trigger CPA

E.g.: Gaps in the response provided to vulnerable population

E.g.: Need of multi-sector need assessment to design complementary programs

PHASE **0** **PREPARATION**

Other method may be appropriate

PHASE **1** **ASSESSMENT AND CONTEXT PROFILE**

STEP 1
Analysis of bias and exclusion

SECONDARY DATA
MULTI-SECTOR QUESTIONNAIRE
PARTICIPATORY ENQUIRY

STEP 2
Context profiling

PARTICIPATORY ENQUIRY
RISKS AND RESOURCES MAPPING

PHASE **2** **PROTECTION RISK ANALYSIS AND FACILITATION OF LOCAL RESPONSE PLAN**

Implementation of multi-Actor Humanitarian and Developmental programs and advocacy

Individual and household physiological, safety and dignity needs identification and referral

PHASE **3** **MONITORING AND TIME ANALISYS**

The CPA activities are organized into four different phases:

0 Preparation

Is the CPA needed and applicable?

Staff and experts in an organization or group of organizations identify whether multi-sector analysis is needed to provide more accurate information regarding projects or programs in an area. If the result is positive, they analyze the cost opportunity of running the CPA, looking at the corresponding applicability, resources needed and time-frame. This feasibility includes determining the size and composition of the population and communities to be targeted. Feasibility analysis takes only a few days and is facilitated by a set of guiding criteria. Assuming that the CPA is applicable and feasible, the staff in charge determines whether to apply the full CPA or only specific components. Once the CPA mode is agreed upon, the planning includes timeline, actors and resources analysis. The *Guidelines* provide a detailed description of all the steps.

1 Assessment and Context Profile

What are the social dynamics, power and interactions of the community/ies?
What are the threats, vulnerabilities, capacities and coping strategies of the community/ies and what are the causes and consequences of these?

STEP 1: Analysis of Bias and Exclusion

The process starts with the collection of secondary data. The program staff and the CPA specialists assess whether further data collection is needed. The dedicated team consequently plans visits and communication with the community and/or key local stakeholders. Initial discussion focuses on multi-sector needs through a questionnaire and qualitative enquiry. The questionnaire data feeds a system of indicators automatically generating an index of risk severity in multiple sectors. Community engagement includes focus groups to start the qualitative enquiry and verify the quantitative data collected. The CPA specialist and field staff analyze participation by groups and individuals to identify biases in the provision of information, power and/or coercive dynamics, and gaps in information.

PROGRAMMING OUTPUT:

- The indicators automatically generate triggers showing particularly vulnerable groups and potential protection risks. These can be used to start identification and referral of families and individuals.

STEP 2: Context Profiling

The field team and the CPA Specialists review the index of risks, the representation of population groups and the risk analysis to determine the best do not harm approach. They define steps of qualitative enquiry tailored to each community through a range of proposed techniques based on different risk scenarios. The field staff is guided by topics of inquiry generated automatically by the indicators. At this stage, the community consultation focuses on: causes and consequences of a detected problem or need; vulnerabilities, capacities or threats causing the problem or need; and existing coping strategies and solutions implemented and/or proposed by the community.

PROGRAMMING OUTPUT:

- The indicators system can be used for programming and advocacy objectives. The data is triangulated through community engagement. A quality criteria system ensures data reliability.

2 Protection Risk Analysis and Facilitation of Local Response Plan

What combination of projects and programs can be implemented to act?

Field team(s) and the CPA specialists systematize the quantitative and qualitative data in an analysis based on the Protection Equation[10]. A profile of multi-sector needs is outlined and supported by an Operational Plan following an Integrated Protection Approach[11]. The staff responsible organizes the structured process of participatory revision with community and actors to ensure the right contextual overview of identified problems and solutions. Consequently, these staff members identify the best approach to disseminate the Plan and ensure that the community is at the center of its initiative. A dedicated online web-based platform can be provided to support the dissemination and monitoring of complementary actions in the targeted area.

PROGRAMMING OUTPUTS:

- The Plan and the Profile can be used to shape the design and prioritization of sector-specific programs.
- The Plan and Profile can be used to facilitate the complementarity of and coordination between different non-institutional and institutional actors.
- The indicators system can be used for any other programming or advocacy purpose.

3 Monitoring and Time Analysis

The CPA specialists and key field staff explore the Guidelines to analyze indicators and qualitative coded analysis. The timing of the monitoring is agreed, to suit recurrences of shocks and/or project or program timelines. The multi-sector questionnaire is then collected parallel to field sessions to capture concrete evidence of change. The identification and monitoring system is designed to be embedded in existing projects and to be gradually transferred to the local community or actors. The field tools are simplified to allow the coaching of local actors in the framework of existing projects. The Guidelines provide a set of criteria and principles for establishing the most appropriate theory of change for the transition.

PROGRAMMING OUTPUTS:

- Quantitative and qualitative yearly monitoring provides a continuous account of conditions in the community.
- The monitoring system of the Plan shows complementary activities from multiple actors to identify gaps and responses.

1.2.7 Resources requirements

Implementation of the CPA varies in terms of timing and resources, depending on the scope of the objective set by the implementing actors. Figure 2 below shows an estimation of timescales and resources based on a sample of five communities for a total population of 15,000 people. The estimation is based on the average time and resources invested in carrying out the CPA on a total of 207 communities, in Lebanon and the Occupied Palestinian Territory.

The time and targeted population shown represent the broadest scale, yet these may be reduced on the basis of previous knowledge of the area and existing secondary data. In addition, the CPA allows an economy of scale by which the timescale presented does not vary considerably by increasing the number of targeted communities.

Figure 2

CPA RESOURCES
Sample for 5 communities
population: everage 3000 people per community

PHASE 1

QUANTITATIVE DATA COLLECTION
20 PEOPLE
4 PER COMMUNITY
TIME / OFFICE AND FIELD
1 WEEK

QUALITATIVE COMMUNITY ENGAGEMENT
TIME / OFFICE AND FIELD
3 WEEKS
130 PEOPLE
26 PER COMMUNITY

MINIMUM HR NEEDED AND SUPPORT
1 CPA SPECIALIST
2 FIELD STAFF

MINIMUM LOGISTICS NEEDED
1 CAR FOR 4 WEEKS
1 TABLET

PHASE 2

ANALYSIS AND DESIGN OF LOCAL RESPONSE PLAN
TIME / OFFICE AND FIELD
1 1/2 WEEKS

MINIMUM HR NEEDED AND SUPPORT
1 CPA SPECIALIST
2 FIELD STAFF

MINIMUM LOGISTICS NEEDED
1 CAR FOR 1 + 1/2 WEEKS

PHASE 3

DATA COLLECTION QUANTITATIVE AND QUALITATIVE
25 PEOPLE
TIME / OFFICE AND FIELD
2 1/2 WEEKS

ANALYSIS AND OUTPUTS ELABORATION

MINIMUM HR NEEDED AND SUPPORT
1 CPA SPECIALIST
2 FIELD STAFF

MINIMUM LOGISTICS NEEDED
1 CAR FOR 1 + 1/2 WEEKS
1 TABLET

1.3 Outputs

The CPA is able to produce several output representation modalities that are useful for analysis. The field design and testing looked specifically into ensuring that the outputs could contribute to the following:

Effectively support the population in engaging actors in their own local strategies to address problems and needs.

Provide data, in line with international standards, for INGOs, NGOs, CBOs and UN Agencies that are sector-specific for identification and monitoring.

Provide automatic evidence-based maps, situation analyses, situation reports and status updates.

Provide actors, including donors, with continuous situation and progress analyses. In particular, yearly monitoring of effects of planning, programs and strategies on a population, in order to apply corrections and ensure their relevancy.

The outputs are therefore multi-level and can be made available on an online web-based platform designed by GVC and optimized for multi-actor access. The platform is customizable to grant tailored access to different actors and ensure protection standards in data and information sharing. They are also available as static tools that can be further elaborated to suit specific contexts and needs. The following outputs are produced:

The Integrated Protection System of Indicators (IPSI)

The IPSI is a set of indicators representing reliable, relevant and timely information on the Protection Risk of targeted areas. It presents the results organized into different sectors, and shows what the prevalence is of Vulnerabilities, Capacities and Threats in determining the conditions of a targeted area. It covers the following sectors of action: Access, Access to Services, Demography and Location, Education, Gender, Health, Livelihood, Protection, Shelter and Energy, Stakeholders, Transportation and WASH.

The Protection Response Plans

The Protection Response Plans are a set of multi-sector short-to-long-term activities in the areas of relief, support and actors engagement. The activities are shown as complementary humanitarian and development interventions needed to transition out of the external support provided to a targeted area, and guaranteeing an environment conducive to protection of the affected population.

The Dignity and Safety Profiling

The Dignity and Safety Profiling uses combined quantitative and qualitative results to show the status of a targeted area in terms of: meaningful access to services, accountability, participation and empowerment, individual safety and environmental safety.

The Community Profiles

The Community Profiles include the multi-sector and protection-sensitive analysis behind the design of the Protection Response Plans. They serve the purpose of providing any actor wishing to target an area with a comprehensive report to trigger complementary assessments, investigations or programs.
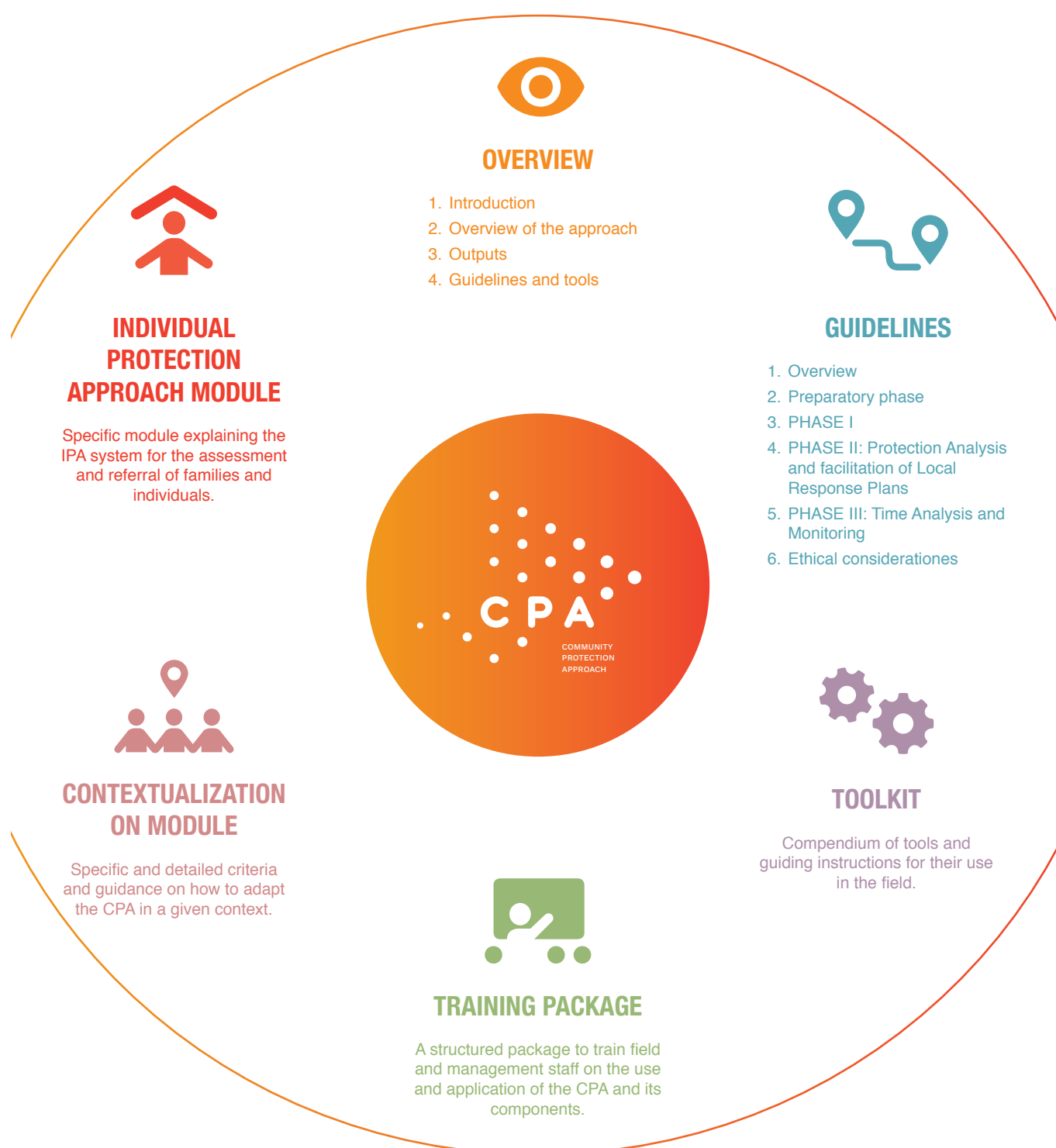
The Trigger Reports

The Trigger Reports for the Individual Protection Approach. These are generated automatically by combining IPSI indicators to show possible risks affecting individuals and families. They aim to provide swift analysis to start targeted actions in identification and referral for acute and unmet needs.

4.1 Guidelines and tools

1.4.1 About the handbook: list of resources

The Handbook provides different resources for the study and implementation of the CPA. It is composed of 6 core modules. The present Overview and the Guidelines are public and all the remaining modules are available upon request. A dedicated E-learning platform is available as well to support the understanding and the use of the Handbook.

More information can be found at **www.cpainitiative.com**

OVERVIEW

1. Introduction
2. Overview of the approach
3. Outputs
4. Guidelines and tools

INDIVIDUAL PROTECTION APPROACH MODULE

Specific module explaining the IPA system for the assessment and referral of families and individuals.

GUIDELINES

1. Overview
2. Preparatory phase
3. PHASE I
4. PHASE II: Protection Analysis and facilitation of Local Response Plans
5. PHASE III: Time Analysis and Monitoring
6. Ethical considerationes

CPA
COMMUNITY PROTECTION APPROACH

CONTEXTUALIZATION ON MODULE

Specific and detailed criteria and guidance on how to adapt the CPA in a given context.

TOOLKIT

Compendium of tools and guiding instructions for their use in the field.

TRAINING PACKAGE

A structured package to train field and management staff on the use and application of the CPA and its components.

1.4.2 Planning: How to use the resources

The Handbook and complementary GVC support intend to guide the possible application or learning of the CPA by any organization or institution. The Handbook has been designed particularly for those organizations with few technical and human resources, in an effort to significantly mainstream the good practices and lessons learned developed by GVC.

Each module of the Handbook has been tailored to specific requirements in approaching the CPA:

I want to learn more about the CPA and its application.

I need information about the CPA steps in order to extract lessons learned and shape my current programs or alternative methodologies.

I want to apply the CPA, using the tools proposed, but I will elaborate my own set of indicators and use my own analysis platform.

I want to apply the CPA, using the tools proposed and the system of indicators associated with it.

I want to apply the methodology and I seek technical support and capacity building.

I want to run a multi-sector protection-sensitive assessment.

Endnotes

[1] Point 6, Addis Ababa Action Agenda; Commitment 10, World Humanitarian Summit Grand Bargain, New Way of Working; Principle 9, Good Humanitarian Donorship REVIEW.

[2] ICRC (2001), Strengthening Protection in WAR.

[3] Norah Niland and Riccardo Polastro (co-team leaders), Antonio Donini and Amra Lee (2015), Independent Whole of System Review of Protection in the Context of Humanitarian Action, P.53.

[4] Ibid., P.54.

[5] GVC Protection Task Force comprises a core team including: Policy Specialist, Protection Specialist, Data Analysis Specialist, Programme and Participation Specialist and an Advocacy Specialist. In addition, it includes a team of research officers with different backgrounds, such as: sociology, international relations, gender and empowerment, law, human rights and data analysis.

[6] GVC Missions staff has involved targeted populations in upgrading the tools and methodology. This population involvement was carried out through a non-structured process aimed at elaborating a Participatory Action Research approach: "This process, further, has become associated with a trend towards involving those affected by the research in the design and implementation of the research – to encourage them to participate as collaborators in the research rather than being subjects of it" (Denscombe, 2010 p. 126).

[7] Arnstein Sherry R., "A Ladder of Citizen Participation", JAIP, Vol. 35, No. 4, July 1969, pp. 216-224

[8] Community represents a group of people that may be exposed to similar physical, psychological, and/or social impacts from multiple coercive factors and/or share the same resources, often, but not exclusively, related by place.

[9] Agency can be defined as "what a person is free to do and achieve in pursuit of whatever goals or values he or she regards as important". It can also be expressed as "someone who acts and brings about change, and whose achievements can be judged in terms of her own values and objectives, whether or not we assess them in values and objectives, whether or not we assess them in terms of some external criteria as well". Therefore, agency is the person's ability to act on what they value and have reason to value. (A. Sen, "Well-being Agency and Freedom", J of Philosophy 1985; Development as Freedom. 1999.)

[10] The Protection Risk Equation is not a mathematical equation; it is merely a tool that serves to illustrate that the protection risk faced by a given population is directly proportional to threats and to vulnerabilities, and inversely proportional to capacities. The results of the risk analysis will serve as entry points in order to design interventions. The risk analysis must always be context-specific, examining each situation individually and avoiding generalisations or assumptions. (DG ECHO Thematic Policy Document n° 8, Humanitarian Protection, 2016)

[11] The actions are organized into three interdependent but non-hierarchical families of protection actions (Giossi Caverzasio, 2001: 21-24): **responsive**, any activity undertaken in connection with an emerging or established pattern of abuse and aimed at preventing its recurrence, putting a stop to it, and/or alleviating its immediate effects; **remedial**, any activity aimed at restoring people's dignity and ensuring adequate living conditions, subsequent to a pattern of abuse, through rehabilitation, restitution, compensation and reparation; and **environmental building**, any activity aimed at creating and/or consolidating an environment – political, social, cultural, institutional, economic and legal – conducive to full respect for the rights of the individual.

2 Preparatory Phase

2.PREPARATORY PHASE

The Preparatory Phase is designed to assist the organization interested in the CPA during the initial decisions regarding possible implementation of the methodology. The initial section **GUIDELINES: 2.1** focuses on CPA applicability in the context. The second section **GUIDELINES: 2.2** provides guidance on how to plan the CPA, once the organization decides to implement it.
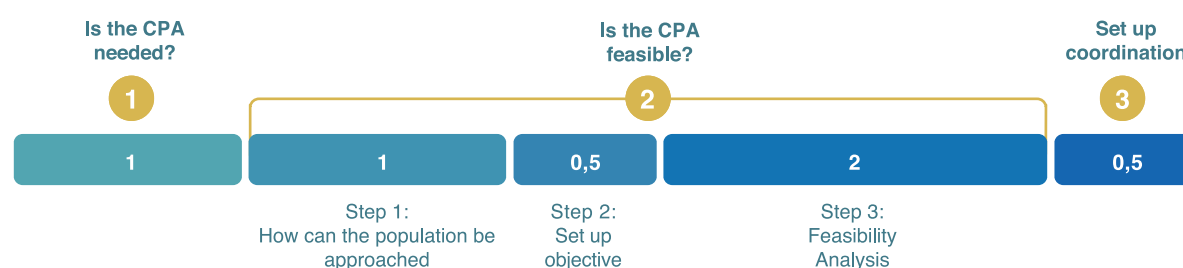
2.1 Applicability

Applicability Analysis is a process for deciding whether starting the CPA is an added value for the organization and for assessing whether this approach can contribute positively to the communities' conditions. The process is based on sequential decisions so that the organization moves on to the next stage only if necessary:

1 Is the CPA needed? **GUIDELINES: 2.1.1**

2 Is the CPA feasible? **GUIDELINES: 2.1.2, 2.1.3, 2.1.4**

3 Establish the coordination mechanism to start planning the CPA. **GUIDELINES: 2.1.5**

The Applicability Analysis should not be a lengthy process, given that the organization probably already possesses a broad wealth of data and information regarding the context. The chart below shows the estimated time required.

DAYS REQUIRED

Is the CPA needed?		Is the CPA feasible?		Set up coordination
1	**2**			**3**
1	1	0,5	2	0,5
	Step 1: How can the population be approached	Step 2: Set up objective	Step 3: Feasibility Analysis	

2.1.1 Is the CPA Needed?

The CPA is not a stand-alone exercise but rather a process undertaken in parallel or embedded in existing projects or programs. It is important during this stage that all the people involved understand the methodology and the effects on the operational management see **OVERVIEW.** The CPA entails the decision to work collaboratively with the communities and the whole range of actors who can contribute to supporting the population in achieving appropriate conditions of dignity and safety. Once the decision has been taken, the CPA provides the necessary tools to facilitate and foster decision-making as well as programmatic and data-analysis sharing, while respecting do-no-harm and protection principles.

A decision on whether the CPA is needed should first and foremost carefully consider the benefits and impact on the affected population. Joint multi-sector analysis carried out with other actors undoubtedly provides better collaboration. However, the identified needs and problems should be addressed through programmatic solutions by the organization's internal departments or by external actors. The organization in question must ensure that action, in the form of activities or referrals, is taken based on CPA analysis and planning; otherwise the CPA should not be considered. Further insights can be found in **GUIDELINES: 6, OVERVIEW** and **TOOLKIT: CPA Limitations.**

This chapter provides guidance on basic aspects to consider in assessing the need of the CPA. It should not take more than one day, before deciding whether to move to Step 2 and assess the feasibility of the CPA in the context.

Is There an Alternative Valuable Approach to the Given Context?

The CPA aims to analyze and understand the overall environment affecting people's abilities to live safe and dignified lives, and to provide the affected population and all the stakeholders with tools to operate an integrated response in support of communities. As a preliminary step, the CPA Focal Point (CPA FP) should therefore lead in verifying two major aspects to identify whether the CPA is needed:

- Is there any other approach or model in the given context providing, on a regular basis, multi-sector analysis of needs and/or protection problems and their causes?

- Are there already existing participatory consultative analysis and planning mechanisms that are effectively involving communities and the affected population?

The initial two questions should be assessed by the CPA FP with other technical experts. The aim is to assess which CPA mode can be implemented and which methods may be opted out of, so as not to overlap efforts and place an unnecessary burden on the population. The initial feedback should be sought from the field staff who knows the communities and can assess how the population is reached by existing mechanisms.

☆ **TIPS: What Else Exists?**

- Investigate available secondary sources offered by official authorities and/or actors (INGOs, NGOs, UN).

- Contact local units of the official authorities (municipalities, local councils, etc.) in different areas to understand ministerial or other programs.

- Assess existence of a humanitarian coordination structure and the coordinating United Nations agency (e.g. UN OCHA or UNHCR) and governmental authority.

- Contact Sector Coordinators and/or Inter-Sector Coordinator if there is a humanitarian coordination structure.

- Assess active national civil society platforms or networks.

- Assess existing joint platforms or initiatives by developmental actors or donors.

- Contact relevant actors or partners pertinent to the questions to assess.

The CPA Focal Point should organize a meeting with technical experts to discuss and understand CPA relevance on the basis of what else exists in the context. CHECKLIST 01 should orient the discussion. This technical meeting should be the starting point for more programmatic and community-oriented analysis of the need for the CPA.
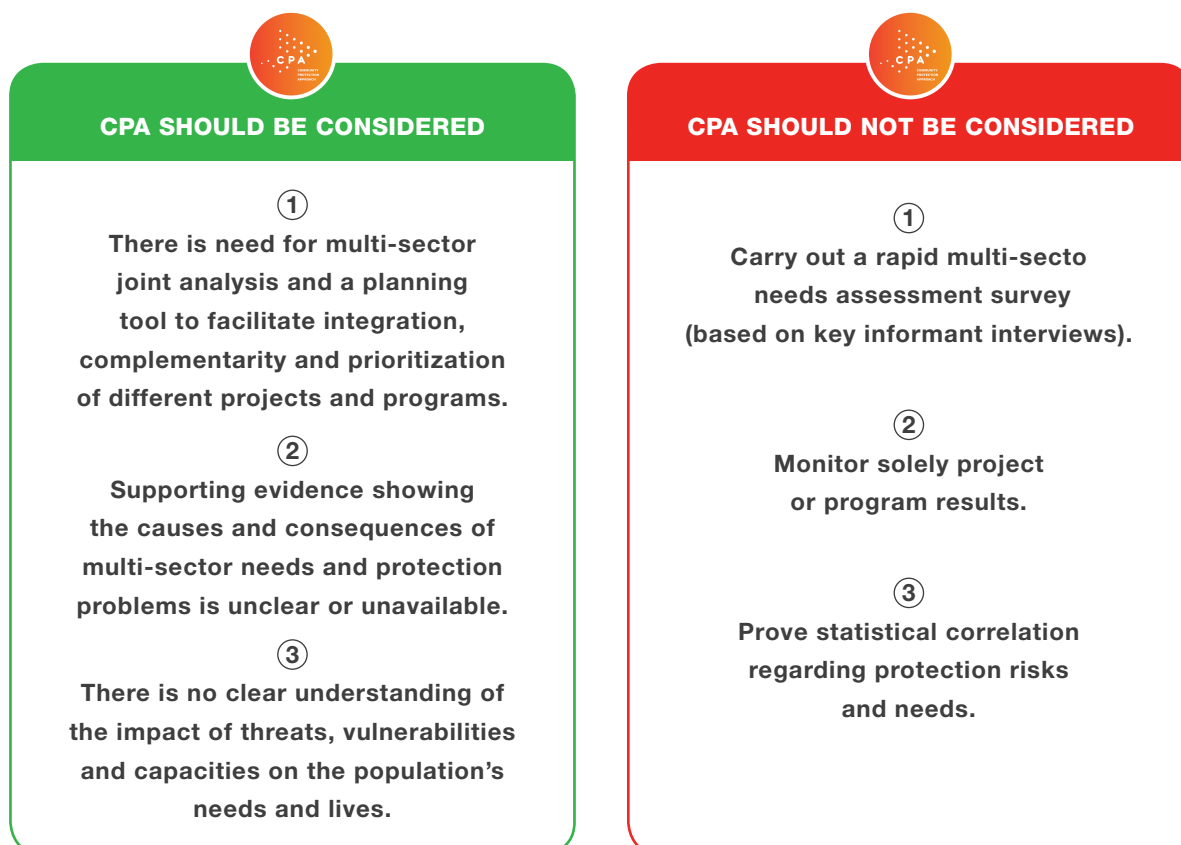
CHECKLIST 01: Guiding Questions on the Need for the CPA

- Are the communities accessible?

- Is there a high prevalence of aid dependence in the community?

- Are the communities and individuals limited in the use or capitalization of their capacities and coping strategies in finding solutions to their own needs and protection problems?

- Is there low complementarity or poor integration between different sector interventions within the organization or with other actors in the area?

- Are there protracted needs and protection problems that require the same type of relief assistance to be repeated over the years?

- Are there uncovered or unmet needs or protection problems that make it difficult to gather enough evidence to enable implementation of appropriate responses or support to the communities?

- Are there sector or technical areas where the data or information is insufficient, not recent, imprecise or not valid?

- What actions will be taken as a result of CPA outputs? Which actions will be taken by the organization and which will be taken by other actors?

- Is the CPA feasible given the available abilities and resources, or does it imply a substantial review of internal resources? Does the CPA require partnering with other local-level actors that have ongoing access to and relations with the communities?

- How secure is the working environment for staff?

The participating staff should have a thorough understanding of the CPA methodology, and should use **OVERVIEW**, **TOOLKIT: Sample budget for CPA Implementation** and **CPA International Platform** for reference and - if deemed relevant at this stage **TRAINING PACKAGE.** No more than one day should be spent discussing the need for the CPA with mission-level experts, considering that a wealth of available information on the context should already exist.

The following reasons should be taken into account when considering whether CPA implementation is appropriate:

CPA SHOULD BE CONSIDERED

① There is need for multi-sector joint analysis and a planning tool to facilitate integration, complementarity and prioritization of different projects and programs.

② Supporting evidence showing the causes and consequences of multi-sector needs and protection problems is unclear or unavailable.

③ There is no clear understanding of the impact of threats, vulnerabilities and capacities on the population's needs and lives.

CPA SHOULD NOT BE CONSIDERED

① Carry out a rapid multi-secto needs assessment survey (based on key informant interviews).

② Monitor solely project or program results.

③ Prove statistical correlation regarding protection risks and needs.

A final decision to implement the CPA will require further investigation into the scope of the intervention, the goals the organization is aiming at, and feasibility in terms of resources and budget. The decision on feasibility may be made after implementing STEP 1, STEP 2 and STEP 3 of the Preparatory Phase **(GUIDELINES: 2.1.2, 2.1.3, 2.1.4).**

Choosing the Appropriate CPA Implementation Mode

The CPA is modular and adaptable to existing mechanisms in the context. It is built on three components that can be used individually or together. It is advisable to implement all the CPA components. Nonetheless, the CPA has been structured into four implementation modes which each organization may look at and select from for the best approach in the context.

The CPA implementation modes therefore combine different components and enable different program and analysis outputs to be elaborated. The CPA implementation modes are:

CHECKLIST 02: CPA Implementation Modes

- Implement the Multi-Sector Questionnaire and the Narrated Community Perspective
- Implement the Multi-Sector Questionnaire, the Narrated Community Perspective and the Individual Protection Approach
- Implement the Multi-Sector Questionnaire
- Implement the Multi-Sector Questionnaire and the Individual Protection Approach

The **CPA components** refer to different processes in field activities and analysis, as illustrated in the table below:

CPA Component	Description
Multi-Sector Questionnaire (MQ)	A questionnaire including sector and risk-analysis questions. The questionnaire is run initially with key stakeholders and draws on a method that ensures a minimum age and gender representation.
Narrated Community Perspective (NCP)	This involves a community participation and engagement approach. It includes a combination of Focus Groups, Interviews and Transect Walks tailored to the community's specific characteristics.
Individual Protection Approach (IPA)	A mechanism to pinpoint families and individuals whose immediate physiological, dignity and safety needs are not met. It includes initial identification resulting from the Multi-Sector Questionnaire, plus a process of systematic referral and empowerment.

The main outputs[1] result from implementation of the various components and require different time frames, as presented below:

CPA Component	OUTPUT	Estimated time
Initial identification, assessment and analysis (PHASES I and II)		
Multi-Sector Questionnaire (MQ)	• **IPSI** preliminary indicators and results • Triggers for identification of particularly vulnerable groups and potential protection risks	**15 days**
Narrated Community Perspective (NCP)	• **IPSI** verified indicators and results • Protection Response Plans • Community Profiles	**6 weeks**
Individual Protection Approach (IPA)	**IPA** operationalization is ready to start immediately after the Multi-Sector Questionnaire and is a continuous process throughout the CPA lifespan.	**15 days**
Yearly monitoring and updating (PHASE III)		
MQ NCP	• Quantitative and qualitative monitoring results • Protection Response Plans monitoring results	**2.5 weeks**

1 Post-Emergency
2 Protracted Crisis
Socio-Economic Crisis
Development Initiatives

3 Primary Emergency
4 Post-Emergency
Protracted Crisis

The modes are primarily structured to help organizations that do not necessarily have the immediate capacities to hire additional staff or obtain further resources. They allow a step-by-step approach to ensure appropriate resources. These modes are also functional to different types of context. The diagram to the left shows a non-exhaustive portrayal of various contexts in which a certain mode could be the most suitable, taking into account time frames and needs.

Regardless of the mode selected by the organization, CPA quality and success is based on the collaborative work of all the management and technical experts within the organization. The CPA entails devising an integrated approach to support communities and individuals in having sustainable, safe and dignified lives. It therefore involves considering multi-dimensional factors connected with sector needs, as well as other social, political, cultural and human rights-related aspects. The quality of its results increases in proportion to the range of internal and external experts that the CPA Focal Point is assisted by.

[1] *Based on a sample of five communities with an overall population of 15,000 people (OVERVIEW: Chapter 2.7)*

NOTE: If the organization intends to implement the **Individual Protection Approach (IPA),** as in Mode 2 or Mode 4, it should first assess whether an operational referral and response system is in place. In the case of a functional mechanism already existing, there is no need to implement the full **IPA**. For further guidance, please refer to the **IPA MODULE.**

The following diagram illustrates the different components and outputs **(see GUIDELINES: 2.1.1)** and their relationships.
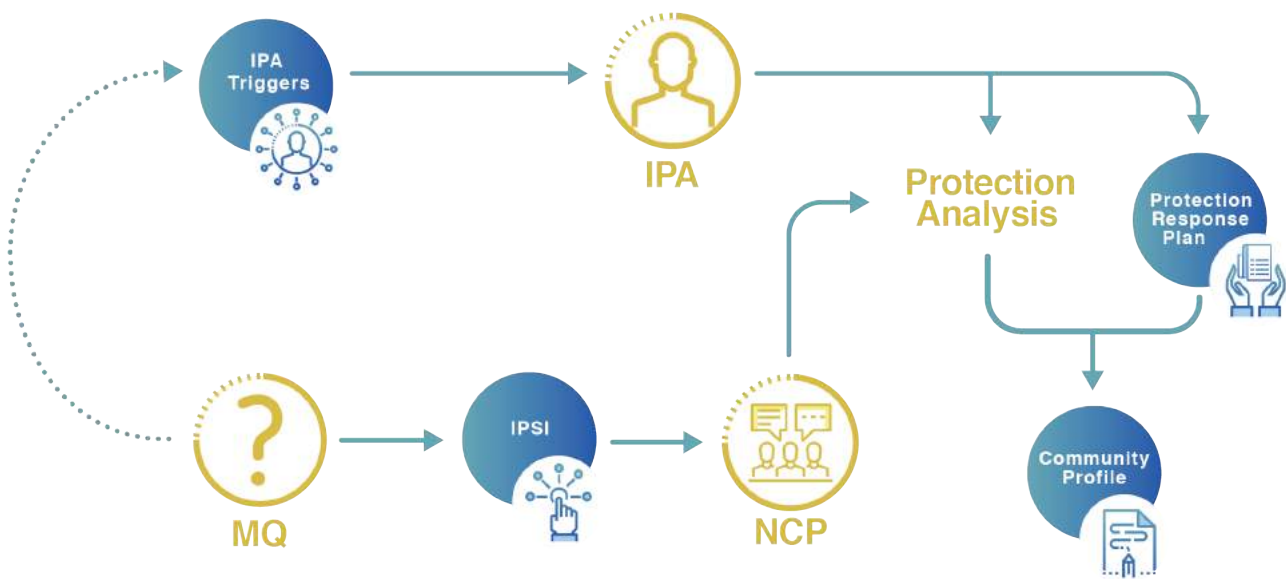
Understanding the Timeline

The contribution of the CPA to achieving the different goals in the context greatly depends on the possible timeline for its implementation. The CPA outputs are conceived to contribute to community dynamics, project or program needs, and existing aid or authorities' coordination structures. The analysis required at this stage should be simple and it pivots on three main aspects:

CHECKLIST 03: Guiding Questions in Assessing the CPA Timeline

- SEASONAL TIMELINE: Consider contextually relevant events or seasonal dynamics affecting the population's lives.

- PROGRAM/PROJECT TIMELINES: Consider key moments and deadlines in assessment, budgeting, program design and reporting.

- COORDINATION MECHANISMS IN TIMELINES: Consider existing multi-stakeholders, shared key moments and deadlines generated through coordination mechanisms or partnerships.

The CPA Focal Point should look at the CPA components and outputs together with the timescale required for their completion (**OVERVIEW: 2.7 & 3**, **GUIDELINES: 2.1.1** and **2.1.4**).

The estimated timescales of the CPA outputs need to be analyzed taking into consideration main events, context dynamics, key moments or deadlines. Adapting to seasonal dynamics is an essential factor in the empowerment process and in reducing the burden on the population. The review of project/program and coordination-mechanism key moments and/or deadlines should be complementary.

The diagram below gives an example of how a timeline can be established. It is based on actual field experience in a context where UN OCHA is helming the humanitarian coordination structure.
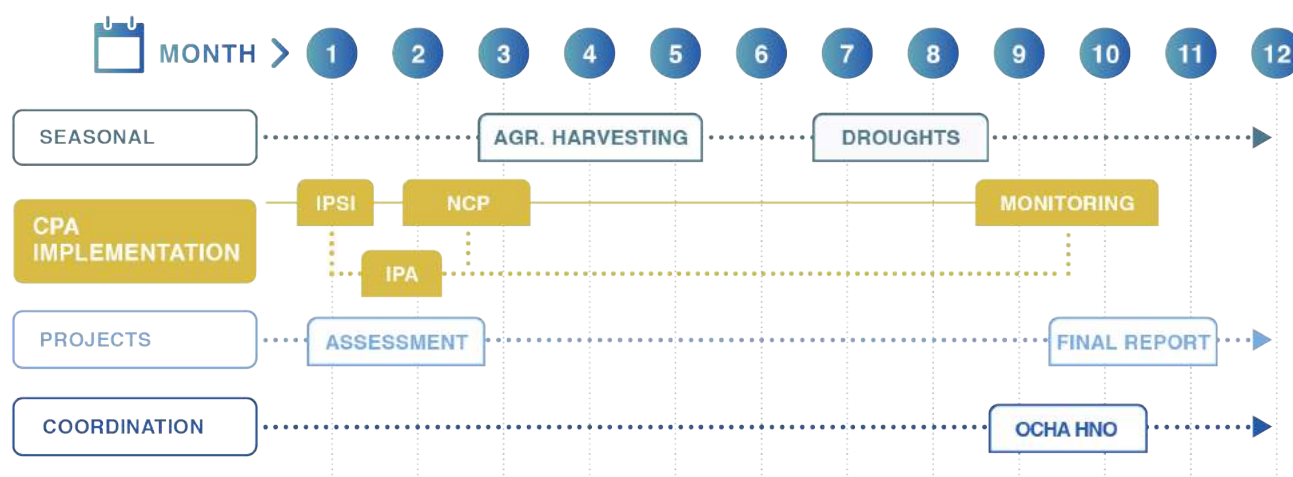
2.1.2   Is the CPA feasible?

Appointing a CPA Focal Point

Upon the verification of the need of the CPA, the organization should appoint a CPA Focal Point (CPA FP) to coordinate the Preparatory Phase. This person may already be a member of the organization's staff. The CPA Focal Point should thoroughly examine the **OVERVIEW** and the **GUIDELINES**, and facilitate their understanding among all the participants in the Preparatory Phase. The Preparatory Phase can take different forms or modes, from a simple internal consultative process to a more in-depth participatory and strategic discussion.

If a shorter process not involving fully technical experts with field knowledge is opted for, this may negatively affect the Feasibility Analysis, with consequences for budgeting and programming, and impact on the population.

⭐ **TIPS: Selecting the CPA Focal Point**

- Good knowledge of the intervention context and the community's dynamics
- Sensitivity, and knowledge or experience in multi-sector programs and multi-stakeholder actions in the communities (humanitarian coordination, national coordination and development coordination mechanisms)
- Sensitivity regarding age, gender and diversity approaches
- Motivated and able to dedicate time to the Preparatory Phase

2.1.2.1 STEP 1: How can the population be approached?

The planning of CPA implementation is presented in **GUIDELINES: 2.2.** At this stage, the CPA Focal Point only needs to collect a set of basic information serving the Feasibility Analysis. The information required can be easily found in the organization's secondary data, ongoing activities, field team's knowledge or recent publications.

The evidence from the field testing shows that the CPA is currently applicable to rural and semi-urban areas and partially pertinent to urban zones in specific conditions. Identification of target areas and their nature is a fundamental factor in assessing method feasibility. The **TOOLKIT: Definition of Community** guides in understanding the types of communities that can be targeted through the CPA. This definition provides a general guidance that is further detailed in the **CONTEXTUALIZATION MODULE.**

How many communities there are, their composition in terms of population, and their distribution should be discussed at this stage to achieve a better understanding. The field activities can be undertaken by a single or multiple actors, priming the best-placed in terms of proximity and possible access to communities. Testing has shown better results when a scale-up approach was used.

The following diagram illustrates two examples of scale-up approach in CPA implementation to supply information to the internal discussion:
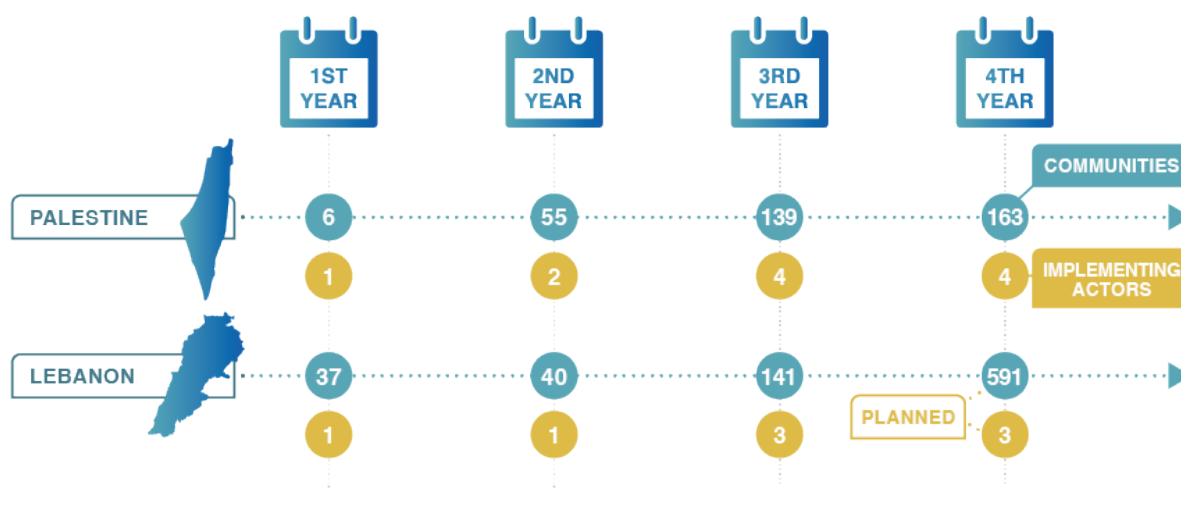
The planning of CPA implementation is presented in **GUIDELINES: 2.2.** At this stage, the CPA Focal Point only needs to collect a set of basic information serving the Feasibility Analysis. The information required can be easily found in the organization's secondary data, ongoing activities, field team's knowledge or recent publications.

☆ **TIPS: Basic Information to assess how the population can be approached**

- Administrative division (e.g. regional or local councils, etc.)
- Estimated population of communities
- Typical community type (rural, semi-urban, urban)
- Accessibility to communities
- Existing "entry points" to the communities (built through previous works or by existing actors in the area)
- Presence of multiple actors or multi-stakeholder programs
- Existing coordinated mechanisms for identification and referrals
- Situation of specific Age, Gender and Diversity groups that may be considered primary targets for ongoing intervention (if necessary)

The CPA Focal Point should therefore consult the definition of community and the guidance provided, along with the simple desk review suggested, in order to continue the internal discussion on feasibility.

2.1.2.2 STEP 2: Setting Up the Objectives

In parallel to the initial look at possible target communities, the CPA Focal Point must guide in defining the initial objectives that may motivate the organization in choosing to implement the CPA. The investigation regarding goals should look into which CPA implementation mode is feasible in the context (OVERVIEW: 2.4 & 2.6 and GUIDELINES: 2.1.1).

The two main aims of the CPA should be kept as binding principles, and these can be found in OVERVIEW: 2.3:

- Increase **communities and individuals capacities to make informed decisions**
- Support the **coordinated mobilization of multi-stakeholder and multi-sector efforts.**

The CPA is particularly relevant to establishing programmatic coordination between different actors, and to supporting the specific abilities and expertise of each single actor while already operating its current and normal programming. The CPA can purposely serve consortiums of actors or those partnering on specific actions or joint-program work within a single organization or among multiple organizations.

In its design it favours localization and inclusion of local NGOs, CBOs and civil society organizations. The CPA outputs support multiple goals in order to achieve the two overall objectives. An organization may however need the CPA just for a single specific goal. CHECKLIST 04 shows a set of relevant limitations and considerations in the case of an organization intending to pursue only one goal:

CHECKLIST 04: The Organization s Preliminary Goals in Choosing the CPA

THE ORGANIZATION SEEKS ONLY	Limitations in implementing the full CPA mode (2)	Suggested mode
Evidence-Based Advocacy	Laborious and long engagement of communities and individuals.	Mode 3: Implement only the Multi-Sector Questionnaire, guaranteeing AGD representation.
Community empowerment	Depending on the aim of the empowerment, certain steps and tools may not be required.	Carefully assess the CPA tools and outputs, and consider a possible adaptation.
To address individuals immediate needs, facilitating the link with service providers	Laborious and long engagement of communities and individuals.	Implement only the Multi-Sector Questionnaire and Individual Protection Approach, guaranteeing AGD representation.
To design Multi-Sector programs or projects	· Empowerment is embedded and, if not followed up on, can cause friction with the communities.	· Request ethical consent.
Multi-Stakeholders joint analysis and targeting	· Lack of a proper identification and referral mechanism for individuals and families may cause harm.	· Ensure clear communication with communities, and ask their final decision.
Multi-Stakeholders planning and prioritization		

2.1.2.3 STEP 3: Feasibility Analysis

The results of the discussions undertaken so far should be compiled and structured to provide a final review involving the management and key field staff. The decision on whether the CPA is feasible stands as the outcome of the final review, and triggers Planning of the CPA: **GUIDELINES: 2.2.**

The CPA Focal Point collects the information and results obtained from the previous steps. Also looking at the **TOOLKIT: Draft Budget for CPA Implementation** and **TOOLKIT: Training Needs**, the CPA Focal Point will compile a brief report for undertaking the Feasibility Analysis. This report should include the following:

☆ **TIPS: Undertaking the Feasibility Analysis**

N°	Component	Where to look and how to collect the information
①	Need for the CPA	CHECKLIST 01: Guiding questions on the need for the CPA. GUIDELINES: 2.1.1
②	CPA operational timeline	CHECKLIST 03: Guiding Questions in Assessing the CPA Timeline. GUIDELINES: 2.1.2
③	CPA objectives	CHECKLIST 04: Preliminary Goals in Choosing the CPA. GUIDELINES: 2.1.3
④	Budget overview	Comparative analysis of the available resources. OVERVIEW 2.7 TOOLKIT: Draft Budget for CPA Implementation
⑤	Training overview	Comparative analysis of internal expertise and competences, to assess the type of training and capacity building needed. TOOLKIT: Training Needs

The meeting between the technical staff and management to analyze feasibility should not last long and should be structured on the five elements of the Feasibility Analysis presented above. The meeting outcome should be a decision on whether to start the CPA. This decision, if affirmative, must also include the preliminary tracing out of a timeline, to agree on when it may be most effective to start.

The timeline should take into account which CPA implementation mode is most suitable for the organization in the given context. The organization may need to establish partnerships with other actors to ensure this, which can be planned accordingly.

OPERATIONAL EXAMPLE.

In Lebanon, a consortium of organizations has agreed to carry out quantitative data collection by using the Multi-Sector Questionnaire at a national level. The Integrated Protection System of Indicators results have been used and studied to prioritize and target communities on the basis of agreed criteria. Based on this selection, the Narrated Community Perspective has been planned, with a three-year duration, to cover all the communities and ensure the appropriate capacity building for all the partners' staff. During the first year, the Protection Triggers and the Individual Protection Approach were also used to establish a joint and agreed identification and referral system for individuals and households.

To guide discussion, CHECKLIST 05 provides an overview on how the combination of different CPA components allows a series of study questions to be satisfied, by gathering relevant quantitative and qualitative information at community and individual level.

CHECKLIST 05: CPA Component Satisfying the Study Questions.

Study Question	Phase	Component	Rationale
What is the degree of protection risk and the prevalence of specific threats, vulnerabilities and capacities that describe the coercive environment for a given population?	I	**MQ** GUIDELINES: 3.1.3 and 3.1.4	The Multi-Sector Questionnaire allows collection of all the necessary information for the **IPSI**, which describes the community in terms of protection risk, its threats, vulnerabilities and capacities through a series of indicators and indexes. These are further separated out at sector level, easing identification of multi-sector needs and the dignity and safety situation of the community.
What are the causes and consequences of the identified threats, vulnerabilities and capacities, and which coping strategies is the population applying?	I	**NCP** GUIDELINES: 3.2.1 to 3.2.4	The initial description from the **IPSI** is qualified through the **NCP**, detailing the causes, consequences, coping strategies and other dynamics not captured by the quantitative data; this also allows a causal model of the protection risks in the community to be established.
What are the immediate and unmet physiological, dignity and safety needs of individuals as members of a given population?	I	**IPA** GUIDELINES: 3.2.5	This identification and assessment mechanism links service providers to families and individuals. It pays special attention to individuals and groups who may be particularly vulnerable or facing difficulties in accessing assistance and services.
What combination of complementary actions by different actors can address the causal factors behind the needs and problems of a given population?*	II	**MQ IPA NCP** GUIDELINES: 4.2 and 4.3	Triangulation of the collected information provides detailed Protection Analysis, synthesized within shareable documentation and dynamic dashboards containing: multi-sector indicators and indexes, categories showing a community's dignity and safety status, a Community Profile. Detailed operational plans encompassing short-to-long term actions are drawn up on the basis of this analysis.
What are the population dynamics and composition that enable an engagement and empowerment process to be devised for a given population?	II	**MQ NCP** GUIDELINES: 4.5	By profiling the community, a clear picture of the community's composition and power dynamics can be drawn as foundations to an engagement and empowerment process.
What is the trend - and its progression over time - in Protection Risk, its threats, vulnerabilities and capacities, and the multi-sector needs emerging from these for a given population?*	III	**MQ IPA NCP** GUIDELINES: 3.2.5, 5.2 and 5.4	The results obtained are subsequently updated through the safe communication channels established in the prior phases, thus developing a mechanism for continuous monitoring of the changes in the population's needs and problems.

If the organization decides to implement the CPA, it is important to structure a coordination mechanism before entering the planning stage.

*The extent to which these questions are satisfied depends on the CPA mode implemented.

2.1.3 Setting Up the Coordination Mechanism for the Planning

At this stage, the organization decides to start setting up the coordination mechanism to plan the CPA process. To ensure a smooth and streamlined process in planning the CPA, the organization must now give a more operational mandate to the CPA Focal Point and identify the appropriate profile (see TIPS for guiding criteria). The appointed person should act as CPA Specialist and directly coordinate all activities to plan and implement the CPA.

At the end of the planning stage **(GUIDELINES: 2.2.6),** the CPA Specialist will have established an organogram for this implementation, including the field work, analysis and use of the outputs, and management of the activities. The CPA Specialist should take on a more programmatic role and profile within the organization.

⭐ **TIPS: Selecting the CPA Specialist**

- Good knowledge of the intervention context and the community's dynamics
- Experience in designing programmatic interventions
- Able to contact and interact with external actors, including members of humanitarian coordination, national coordination and development coordination mechanisms
- Knowledge of humanitarian protection
- Sensitivity regarding Age, Gender and Diversity approach
- Fully dedicated to the planning and coordination of the CPA

CPA Platform

A **CPA Platform** has been developed specifically to make the field and analysis activities more efficient. This web-based platform is currently at its third version and is the result of continuous testing by several organizations in different countries over a period of three years. The platform enables the full management, including quality control and data protection, of all the CPA components: **MQ, NCP** and **IPA**.

The CPA Platform provides a framework to streamline the field team's workflow during the various steps:

1 The user-friendly workflow allows field staff to move from one process to another, utilizing a few simple tools for **MQ** and **NCP** data collection.

2 The management has a quality control system both for quantitative and qualitative information.

3 The whole **IPA** system is immediately deployable, including quality control and data protection.

4 The dashboards are designed to show real-time results in customizable graphs, charts and tables.

5 It allows user control access with customizable visuals to supply to partners and donors.

6 It provides automatic data analysis, reducing the need for skilled data analysts.

As presented in **OVERVIEW: 3 & 4,** the organization has, at this stage, the option to use the static tools provided with the **TOOLKIT** or to benefit from the CPA Platform. The organization's decision implies a different set-up for the coordination mechanism and different processes of inquiry for ethical and/or technical approval.

CPA NATIONAL PLATFORM

IPA Triggers

IPA System

IPSI calculations and results

Protection Analysis

Protection Response Plans

FIELD TOOLS

Multi-Sector Questionnaire in ODK

Note Taking Tool
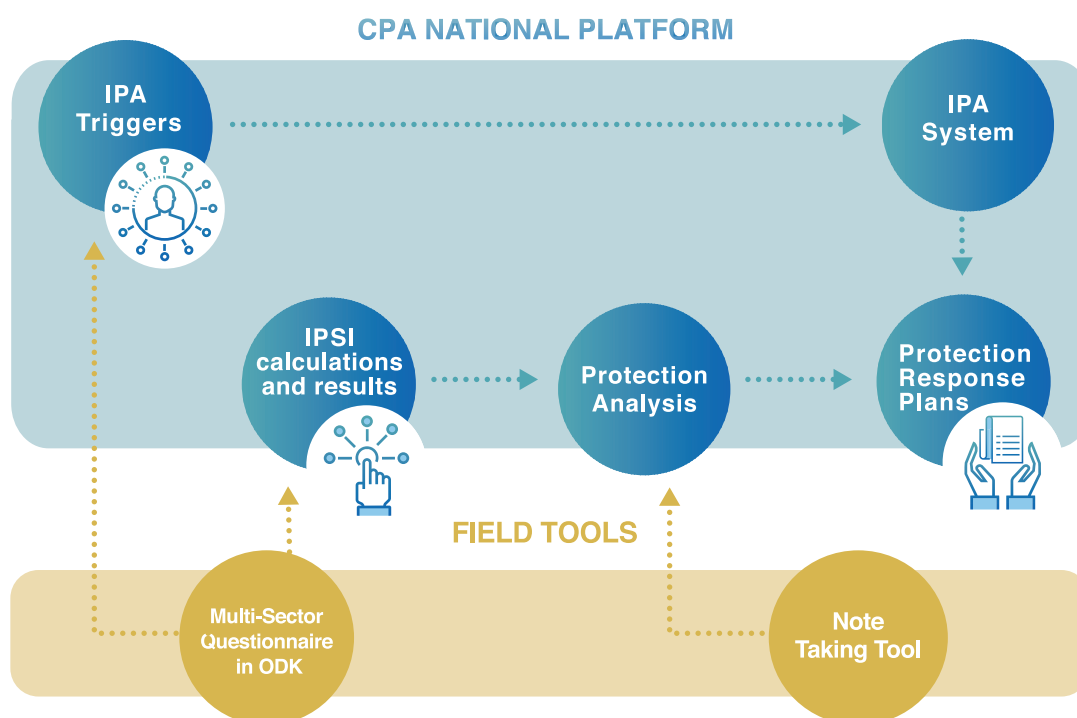
More information can be found at www.cpainitiative.org

Ethical and Technical Approval of the CPA

The organization can therefore decide on different CPA implementation modes or use the **GUIDELINES** solely to inspire and design further innovative approaches. The CPA Specialist must identify whether a request for technical or ethical approval is needed. The process may require discussion with an established external CPA technical or ethical committee.

Ethical approval is based on the principles outlined in **GUIDELINES: 6** and includes verification of how the organization intends to use the CPA. Technical approval is needed only in specific cases, outlined below, and may require a series of discussions between the CPA Specialist and the Technical Committee. The approvals are merely intended as support to the organization to ensure consistency in the approach and to contribute to its ongoing practice-based research.

Use of the Handbook and related approval requirements are organized as presented in the checklist below. Potential requests for the various Handbook modules are presented in the diagram below this chart.

CHECKLIST 06: Ethical and Technical Approval

The organization wants to use the **TOOLKIT**	Ethical Approval
The organization wants to use the **TOOLKIT** and the CPA Platform	Ethical Approval
The organization wants to use the **TOOLKIT**, the CPA Platform and the **CONTEXTUALIZATION MODULE**	Ethical and Technical Approval
The organization wants to use the **TOOLKIT** and the IPA MODULE	Ethical Approval
The organization wants to use the whole Handbook Package, including the CPA Platform	Ethical and Technical Approval

REQUEST TOOLKIT

Request to use only the Toolkit.
The organization does not need to use the online web-based platform

REQUEST CONTEXTUALIZATION

Request to use the online web-based Platform and digital tools.
The organization does not need support to contextualize the tools

REQUEST CONTEXTUALIZATION AND TRAINING

Request to use the whole package of the CPA Handbook, including the training toolkits.

Defining of Profiles and Their Roles

The organization has now chosen which CPA implementation mode to use. The CPA Planning varies with each mode and requires collection and analysis of secondary data. The CPA Specialist needs the support of specific technical experts within the organization, depending on the chosen mode.

Some TIPS are provided below to present the key experts required during CPA Implementation Planning to ensure both quality and technical consistency. The minimum set of competences and roles are described for each mode:

⭐ **TIPS: Mode 1. Multi-Sector Questionnaire and the Narrated Community Perspective**

- **Technical Advisor(s)** These positions are within the organization and act as the relevant sector experts who support the CPA Specialist in reviewing the secondary data.

- **Data Analyst or Information Officer**[2] This person has a basic knowledge of managing and analyzing data in Excel and ODK to configure the questionnaire tools.

⭐ **TIPS: Mode 2. Multi-Sector Questionnaire, the Narrated Community Perspective and the Individual Protection Approach**

- **Technical Advisor(s)** These positions are within the organization and act as the relevant sector experts who support the CPA Specialist in reviewing the secondary data.

- **Data Analyst or Information Officer** This person has a basic knowledge of managing and analyzing data in Excel and ODK to configure the questionnaire tools.

- **Protection Specialist** This person has experience in humanitarian protection and identification and referral mechanisms.

⭐ **TIPS: Mode 3. Multi-Sector Questionnaire**

- **Data Analyst** This person has a basic knowledge of managing and analyzing data in Excel and ODK to confi gure the questionnaire tools..

⭐ **TIPS: Mode 4 Multi-Sector Questionnaire and the Individual Protection Approach**

- **Data Analyst or Information Officer** This person has a basic knowledge of managing and analyzing data in Excel and ODK to confi gure the questionnaire tools.

- **Protection Specialist** This person has experience in humanitarian protection and identifi cation and referral mechanisms.

[2.] *The technical skills required of the Data Analyst are fewer if the organization uses the web-based CPA Platform. This platform is designed to automatically provide the analysis needed for the CPA and to ease information management. Greater data management and analysis abilities are needed if the platform has not been set up.*

2.2 Planning

Planning the CPA serves the purpose of better defining the type of approach to be applied in the given context. During the previous steps, the organization elaborated a preliminary idea of the implementation mode **(CHECKLIST 02)**. Instead, the CPA Specialist leads the joint design of the approach during this stage, assisted by the selected technical experts and involving the relevant external actors.

This Planning comprises the following steps:

1 Determining Primary Groups **GUIDELINES: 2.2.1**

2 Context Mapping **GUIDELINES: 2.2.2**

3 Defining the Community **GUIDELINES: 2.2.3**

4 Timeline Analysis **GUIDELINES: 2.2.4**

5 Defining Resources **GUIDELINES: 2.2.5**

The chart below shows the suggested time proposed for each step.

1	2	3	4	5
0,5	2	2	2	1
Determining Primary Groups	Context Mapping	Defining the Community	Timeline Analysis	Defining Resources

2.2.1 Determining Primary Groups

The CPA applies a territorial approach to ensure comprehensive analysis, programming and monitoring of the causal factors underpinning a population's needs and problems (**OVERVIEW: 2.4**). Its design provides age, gender and diversity representation, and also enables the situation of a specific group (e.g. refugees) to be identified.

⭐ **TIPS: Groups of Population**

• Refugees • Internal displaced persons (IDPs) • Migrants

• Children and adults with disabilities • Specific age groups • Specific gender and diversity groups

In order to apply the most suitable mode for the context and the needs of the area, it is important to determine whether there is a need to understand the particular situation of one or more groups of population.

Defining the primary groups will not limit the CPA to studying only one particular group. Nonetheless, it is important to select which proposed tool and technique should be used, also to better define the appropriate CPA mode.

Definition should not be based only on the organization's expertise and usual target groups, but should rather look at a wider scope of analysis to better capture the different causes of a particular group's situation (e.g. in the case of refugees or IDPs, involving the host communities in the analysis is recommended).

2.2.2 **Context Mapping**

This analysis is the continuation of the preliminary data collection undertaken during the Applicability Analysis **(GUIDELINES: 2.1).** At this stage, the more thorough the research and analysis, the better and more organized the collaboration with communities will be, respecting their customs, daily lives and ongoing engagements. This step aims to shed light on:

- An account of threats, vulnerabilities and capacities to start identifying possible protection risks.

- Specific sector needs and trends

- Services available within the context and the actors providing them.

Three steps are suggested in order to organize the information appropriately for designing the CPA:

1 Collecting and analyzing qualitative secondary data

2 Collecting and analyzing quantitative secondary data

3 Service Mapping.

Secondary data can be extremely useful to getting acquainted with the context and starting to identify the main issues to be further tackled through the CPA. Secondary data provides a general understanding of the problems faced by the targeted population. Reliable secondary data can reduce the CPA implementation workload and it can be used to verify and cross-check primary data collected through the CPA.

Collecting and Analyzing Qualitative Secondary Data

Collecting qualitative secondary data can be a cumbersome process if it is not clearly defined and limited time-wise. The CPA Specialist should restrict data collection and analysis only to what is considered essential and accessible, in order for the CPA not to duplicate or gather information already existing in the context. In addition, the collection should serve to identify and start defining the range of stakeholders in the targeted areas. The information and data can be gathered from different sources.

☆ **TIPS: Sources for Collecting Qualitative Secondary Data**

- Official data from governmental bodies

- Annual reports by national and international organizations

- Survey/census data

- Data from databases held by UN agencies and international multilateral institutions (e.g. World Bank)

- Data obtained through interviews and Focus Groups conducted by other departments/programs in the organization

- Maps of the community (developed either within the organization or by other stakeholders/duty-bearers)

The **TOOLKIT: Checklist for Secondary Data** and **TOOLKIT: Qualitative Data Overview** provide guidance and a simplified tool to manage the data collected. The organization can elaborate more appropriate instruments, depending on the information available within the organization and the context.

Collecting and Analyzing Quantitative Secondary Data

Finding up-to-date, reliable and consistent quantitative data is an essential step in linking the CPA with existing coordination mechanisms or ongoing programs or projects. Certain sector data is often well-collected and relevant, and multi-sector assessments with relevant information are ongoing.

The organization should carefully analyze existing mechanisms in place, in order to tailor the use of the Multi-Sector Questionnaire. The **MQ** is already designed on the basis of existing standard multi-sector or sector-specific surveys[3]. It can therefore be prefilled with existing data before the field activities are started, in order to reduce data collection time.

A set of eligibility criteria is provided to assess quality and comparability and to ensure that the existing data can be used to prefill the questionnaire. In any case, quantitative secondary data is utilized for cross-checking and triangulation with data collected through the Multi-Sector Questionnaire. For further details, please refer to **TOOLKIT: Quantitative Secondary Data Reference and Quality.**

⭐ **TIPS: Sources for Quantitative Secondary Data**

- Yearly Humanitarian Needs Overview

- Survey/census data

- Data from databases held by UN agencies and international multilateral institutions (e.g. World Bank)

- Other existing multi-sector or sector-specific coordinated assessment (e.g. MIRA, REACH, UNHCR, RAIS)

- Raw data from databases held by UN agencies and international multilateral institutions (e.g. World Bank)

- OHCHR Universal Periodic Review

Service Mapping

Service Mapping is an exercise designed to present an overall understanding of services and resources available within the communities and who is providing them. This mapping has the following aims:

- To better understand the context in terms of services and resources

- To avoid duplication of services

- To improve communication and coordination with the relevant stakeholders.

This practice is conducted through a specific tool: **TOOLKIT: Service Directory.** The Service Directory is intended to be an accessible information archive for consultation at any time by the relevant staff throughout the CPA process. The Service Directory is essential for the elaboration of the Protection Response Plans and for building the referral pathway if the **IPA** is rolled out.

The initial mapping will be frequently updated in relation to the context, with a recommended frequency of at least once every three months.

The CPA Specialist should establish coordination with existing mechanisms in the country (clusters, work groups, national coordination mechanisms). A Service Directory is already in place in many contexts, and this is updated regularly by the relevant actors. If a service directory is in place in the country, it is advisable to use the existing mechanism in order to enable more-structured coordination and synergy. At this stage, the CPA Specialist should focus on gaining an overall picture of the main organizations and agencies involved, and the services they provide. This initial analysis should be used to establish coordination patterns for the community, involving appropriate service providers, if not already existing.

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3. *The questionnaire was designed and updated between 2014 and 2018, based on field practice and existing coordination mechanisms. Among others, the following have been taken into account: Global Standard questionnaires - Multi-Indicator Cluster Survey by UNICEF, Demographic and Health Survey by the Demographic and Health Project, Comprehensive Food Security and Vulnerability Assessment by WFP; Child Protection Rapid Assessment by GPC; Global standards, definitions and classifications, such as - SPHERE, AGD, Child Protection, Legal Protection, DRR; and context-specific references, in particular from the OPT - OCHA VPP, WASH, Shelter, Protection and Education Clusters surveys, coordinated IHL early warning mechanisms; from Lebanon - VASyR, WWAP, Shelter and Education Working Groups surveys.*

Should the organization decide to use CPA Modes 2 or 4 and implement the **IPA**, the coordination patterns become essential to establishing the most appropriate strategy to link right-holders with service providers **(GUIDELINES: 3.2.5).**

2.2.3 Defining the Community

The concept of community differs from context to context, and thus the organization needs to set out where it considers applying the CPA. In order to ensure CPA applicability in various contexts, the tools have been designed to adapt to different conditions, such as: population composition, geographical spread, an established institutional definition or sense of community, or a particular governance structure.

The CPA Specialist, in close coordination with staff with knowledge of the targeted area, should consult the **TOOLKIT: Definition of Community** and use the proposed criteria to define the community with which the CPA will be implemented. Once the community has been defined, the organization should analyze the operational feasibility of the CPA given the number of people for each specific community, guided by the **TOOLKIT: Purposive Sampling, Clusterization and Segmentation Techniques.**

A preliminary introduction to the two steps is provided below.

Definition of Community

The community is the unit where the CPA is going to be implemented and thus special care should be invested in defining it. To ensure method applicability in different contexts, the CPA offers a definition of community drawn up on the International Committee of the Red Cross definition and provides a series of criteria to better operationalize it:

> *Community represents different groups of people that may be exposed to similar physical, psychological, and/or social impacts from multiple coercive factors and/or share the same resources, often, but not exclusively, related by place.*

According to the definition, the CPA should be applied and adapted to a group of people who share at least two of the characteristics below:

- They live in the same geographical area or location
- They have access to the same resources
- They are exposed to the same hazards/threats.

Under no circumstance should the following concepts of community to be considered for applying the CPA:

- A specific age, gender or diversity group
- A group having only certain attitudes or interests in common, as for example religious or ethnic groups.

Clusterization and Segmentation

Based on the provided definition and the guiding criteria, the communities where the CPA methodology will be implemented are selected. However, two situations might arise when defining the these communities:

- the defined communities are too big (average population > 3,000 persons)
- the defined communities are too small (average population < 100 persons)[4].

If the communities are too big, data reliability might be compromised. If the communities are too small, conducting a CPA in each of them might be not operationally efficient. For each of these cases, a different technique is applied - either **segmentation** or **clusterization:**

- Segmentation consists of splitting a big community into smaller communities
- Clusterization consists of grouping small communities together to obtain a larger community.

In any case, the CPA communities resulting from the application of these techniques should still comply with the definition of community and the guiding criteria. Depending on the technique used, certain adaptations may be required when conducting the analysis (e.g. when clustering, it may be necessary to consider adding further data collection steps for the smaller units inside a cluster).

[4.] *These figures are not absolute, but reasonable and an indication of when each technique might be appropriate. They do also mean that all communities should comprise between 100 and 3,000 habitants. Thus 3,000 is considered the maximum population size in order to obtain an acceptable representativeness from the Multi-Sector Questionnaire.*

OPERATIONAL EXAMPLE.
DEFINING THE COMMUNITIES IN LEBANON

In Lebanon, Syrian refugees are settled in informal settlements called ITSs, which are usually on land owned by the Lebanese population. Some of these ITSs are very small, comprising even fewer than 50 people. The CPA (and the Multi-Sector Questionnaire in particular) has been applied in Lebanon at a national level, meaning the inclusion of more than 2,000 ITSs for a total population of 215,591 people. Since conducting the Multi-Sector Questionnaire in all the ITSs was not feasible, they were grouped together and clustered into larger units, and therefore bigger communities. This clusterization was carried out based on the criteria agreed together by several organizations: geographical proximity and sharing the same landlord (identified as key factors in determining the level of threats in the area). Thus the resulting clusters (communities) still complied with the definition of community.

OPERATIONAL EXAMPLE.
DEFINING THE COMMUNITIES IN LIBYA

In Libya, the CPA (and the Multi-Sector Questionnaire in particular) was applied in the municipal area of Janzour, composed of eight mahallahs (administrative subdivisions), each with a population ranging between 30,000 and 40,000 people, given the urban nature of the area. To reduce the size of the first identified community (the mahallah), each of the eight was split into about ten segments: 80 segments in total, each becoming a new "community". Nonetheless, this exceeded the operational capacity of the project, so it was decided to focus on a purposive selection of only three of the eight mahallahs: one with the worse situation, another with the best situation and a third one comprising an IDP camp. In the end, three mahallahs, each divided into about ten segments forming 30 communities, were interviewed.

2.2.4 Timeline Analysis

Timeline Analysis is design of the work plan for CPA implementation on the basis of the preparatory work carried out during the steps described in **GUIDELINES: 2.1.1 Understanding the Timeline.** The work plan is adapted to the CPA mode that is to be implemented, and to the time needed to hire the pertinent staff and/or provide the necessary training.

CHECKLISTS 07 and 08 show aspects to be considered in terms of staff hiring, training and capacity building, and coordination with authorities and communities. The final decision depends on the resources available in the organization or relations with authorities.

CHECKLIST 07: CPA Modes 1 and 2

1: Multi-Sector Questionnaire and Narrated Community Perspective;
2: Multi-Sector Questionnaire, Narrated Community Perspective and Individual Protection Approach

HIRING OF STAFF	
	CPA Specialist • This person needs to be 100% dedicated to the quality follow-up and backstopping of the data collection and analysis.
	Data Analyst • A Data Analyst should be 100% dedicated to ensuring quality control and the proper analysis of qualitative and quantitative information. Use of the web-based CPA Platform requires less expertise.
	Information Officer • Hiring an Information Officer should be considered to support the Data Analysis in cleaning, crunching and filling out data from the field.
	NCP Field Coordinator • The **NCP** entails close and well-defined coordination of different participatory steps with communities. A Field Coordinator should be 100% dedicated to supervising and following the field teams.

HIRING OF STAFF

Community Empowerment Officers
- Two field Community Empowerment Officers (1 team) should be involved to run the CPA for an average of four weeks to cover five communities. The Officers will collect both quantitative and qualitative data.

Protection Specialist
- This profile is particularly necessary if the organization decides to implement the **IPA**. The specialist's presence is required from the outset, to tailor identification and analysis of individuals and families.

Protection Officers
- If the mode chosen includes the **IPA**, the organization should consider an appropriate number of officers to manage only the identification and referral of individuals and families.

GIS Officer
- To ensure the best results for the CPA objectives, specific Risks and Resources Maps developed with the communities should be digitalized and GIS-referenced.

TRAINING AND CAPACITY BUILDING

The minimum training to be considered is:
- Data collection (2 days) for Field Data Collectors
- IPSI and data analysis (2 days) for Data Analyst or Information Officer
- Basics of CPA (4 days) for CPA Specialist, Field Coordinator and relevant staff
- ToT on CPA for CPA Specialist (4 days) [The CPA Specialist should then include appropriate timescales for the training of field staff]
- Individual Protection Approach (4 days) [if the mode chosen includes the **IPA**]
- **IPA** training to process referrals (3 days) [if the mode chosen includes the **IPA**]

COORDINATION
- The organization needs to ensure the opportunity to regularly access communities
- Local authorities should duly be informed ahead of starting the participatory activities
- Timescales for properly informing existing coordination mechanisms should be considered
- Communities need to be informed prior to each step in order to ensure their participation. The organization should consider engaging them in defining the timeline

CHECKLIST 08: CPA Modes 3 and 4

	3: Multi-Sector Questionnaire; **4: Multi-Sector Questionnaire and Individual Protection Approach**
HIRING OF STAFF	• CPA Specialist • This person needs to be 100% dedicated to the quality follow-up and backstopping of the data collection and analysis.
	• Data Analyst or Information Officer • If only basic analysis is needed, an Information Officer should be hired to follow up the data collection and cleaning. Use of the web-based CPA Platform requires less expertise. In general, both the platform and the static tools already generate a set of automatic analyses. If the organization needs specific or additional analysis, it should consider hiring a Data Analyst with specific capacities as well as or in place of the Information Officer.
	• Field Coordinator • Data collection is only related to surveys to be carried out in the field. The organization needs a Field Coordinator who can ensure implementation of the steps.
	• Field Data Collectors • Two Field Data Collectors (1 team) should be considered to conduct an average of two Multi-Sector Questionnaires per day per community. (If the mode chosen includes the IPA, some Field Data Collectors should be trained on the IPA to follow up on referrals.)
	• Protection Specialist • This profile is particularly necessary if the organization decides to implement the IPA. The specialist's presence is required from the outset, to tailor identification and analysis of individuals and families.
TRAINING AND CAPACITY BUILDING	The minimum training to be considered is: • Data collection (2 days) for Field Data Collectors • **IPSI** and data analysis (2 days) for Data Analyst or Information Officer • Basics of CPA (4 days) for CPA Specialist, Field Coordinator and relevant staff • Individual Protection Approach (4 days) [if the mode chosen includes the IPA] • IPA training to process referrals (3 days) [if the mode chosen includes the IPA]
COORDINATION	• The organization needs to ensure the opportunity to conduct the Multi-Sector Questionnaire • Compulsory coordination with local authorities may be required • Timescales for duly informing existing coordination mechanisms should be considered • Communities need to be informed prior to the Multi-Sector Questionnaire being conducted

The CPA Specialist needs to define an initial process of implementation at this stage, considering that additional steps may be required for each community on the basis of the initial results of community engagement **(GUIDELINES: 3).** The TIPS below provide guidance on the average time per technique. The proposed timescales partially take into account possible factors limiting access to the communities. Thus, they can vary according to the context and the accessibility.

⭐ **TIPS: Average Time per Technique**

Multi-Sector Questionnaire	Narrated Community Perspective			Individual Protection Approach
Field Interview	Focus Group	Individual Interview	Transect Walk	Desk Analysis of IPA Triggers
2 per day per team	2 per day per team	4 per day per team	4 per day per team	3 days

2.2.5 Defining Resources

The CPA Specialist should define the required resources guided by CHECKLISTS 07 and 08, **OVERVIEW 2.7,** and **TOOLKIT: Draft Budget for CPA Implementation.** The CPA has been designed with the scope to be implemented with the available teams and resources, providing the appropriate capacity building and adaptation of the timelines of ongoing projects.

In addition to the human resources needed, the organization should consider a series of logistical aspects.

⭐ **TIPS: Logistical Aspects to Consider in Defining Resources**

- Computers or laptops
- A car/vehicle per team of two persons
- A tablet per team of two persons (If tablets cannot be used in the context, consider additional time for the manual desk filling-out of data)
- A GPS device
- Materials for facilitating participatory activities
- A projector and an average bandwidth internet connection (to allow remote mentoring and training of staff)
- Mobile phones and charging (not necessarily smartphones) to contact the field team while in the field

How to Use the Guidelines Sections

By this stage the organization has determined the CPA mode to be implemented. The **GUIDELINES** outline all the PHASES of the CPA if the organization intends to implement CPA **Mode 1: Multi-Sector Questionnaire** and **Narrated Community Perspective.**

The CPA Specialist should ensure all the PHASES are understood by the organization and by the relevant staff, following the training and capacity building tips provided in **CHECKLISTS 07 and 08.** In those cases where the organization has chosen a different mode, the following sections should be consulted (although it is advised that the CPA Specialist should become familiar with all the **GUIDELINES**):

CHECKLIST 09: Use of the Guidelines Sections

MODE	GUIDELINES sections	Further HANDBOOK resources
MODE 2: Multi-Sector Questionnaire Narrated Community Perspective Individual Protection Approach	**GUIDELINES:** **3, 4, 5 and 6**	Related sections in TOOLKIT IPA MODULE
MODE 3: Multi-Sector Questionnaire	**GUIDELINES:** **3.1.1, 3.1.2.2, 3.1.3,** **3.1.4, 3.2, 4.1, 5.1, 5.2**	Related sections in TOOLKIT
MODE 4: Multi-Sector Questionnaire Individual Protection Approach	**GUIDELINES:** **3.1.1, 3.1.2.2, 3.1.3,** **3.1.4, 3.1.6, 3.2.5,** **4.1, 5.1, 5.2**	Related sections in TOOLKIT IPA MODULE

Note on Tools

The tools for collecting field data are the same for PHASES I, II and I II. They have been designed to ensure efficient data collection and to reduce data processing and analysis times. They correspond to:

- **TOOLKIT: Standard Multi-Sector Questionnaire**
- **TOOLKIT: Note-Taking Tool**

The two tools automatically feed into the CPA analysis tools and require only manual revision or additions. If the organization has decided to use the web-based CPA Platform **(GUIDELINES: 2.1.5),** all the CPA analysis **(TOOLKIT)** and **IPA** tools mentioned in the guidelines are automatically embedded in the platform.

3

PHASE I: Assessment and Context Analysis

PHASE I:
Assessment and Context Analysis

The CPA PHASE I represents the starting point for the **Narrated Community Perspective (NCP),** and includes a sequential process of participatory engagement with communities. It can be embedded in existing project and program activities already planned by the organization.

This PHASE presents similarities to an assessment of communities and individuals sector needs and vulnerabilities. However, it is essential to understand that it has been designed as a process of empowerment for individuals and communities right from the earliest stage. The steps have been designed as a sequential process of trust and social-capital build up[5] to identify the best approach to empowerment and support for each community.

STEP 1: Analysis of Bias and Exclusion (GUIDELINES 3.1)
has the objective of establishing safe channels of communication and coordination with the communities, and of identifying power, social and cultural dynamics so as to better approach them.

STEP 2: Context Profiling (GUIDELINES 3.2)
has the objective of collecting the qualitative data and starting the joint analysis with communities. The organization tailors the community engagement steps to each context on the basis of the results of STEP 1.

```
STEP 1                    Tailored                 STEP 2
Analysis of    ······▶      NCP      ······▶      Context
Bias and                                          Profiling
Exclusion
```
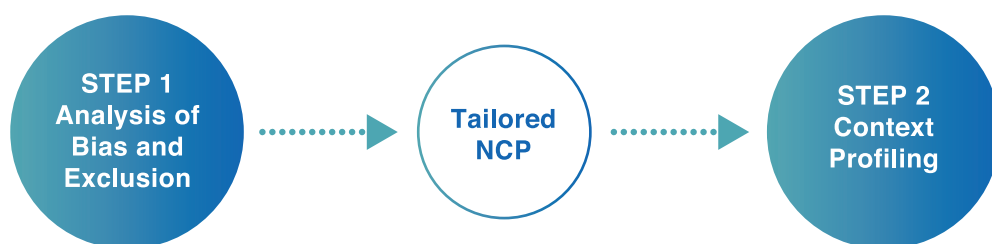
In order to ensure a meaningful participatory process where community members are not simply beneficiaries but active agents of change in their context, the CPA process aligns with the Ladder of Citizen Participation, developed by Sherry Arnstein.[6]

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5. *Hearn 1997, Putnam 2000, Lewis and Weigert 1985, Misztal 1996, Hardin 2001, Glaser et al. 2000; on the reduction of complexity or uncertainty, see Luhmann 1979, Lewis and Weigert 1985.*
6. *Arnstein Sherry R., "A Ladder of Citizen Participation", JAIP, Vol. 35, No. 4, July 1969, pp. 216-224.*

3.1 STEP 1: Analysis of Bias and Exclusion

Analysis of Bias and Exclusion is the step in which the organization starts working with the community and the CPA is introduced to community members. The CPA Specialist and the field team focus on building trust and collaboration between the organization and the community. This aspect is at the very core of the whole methodology and a determinant in ensuring the appropriate quality of the entire CPA process.

PHASE I - STEP 1: Activities
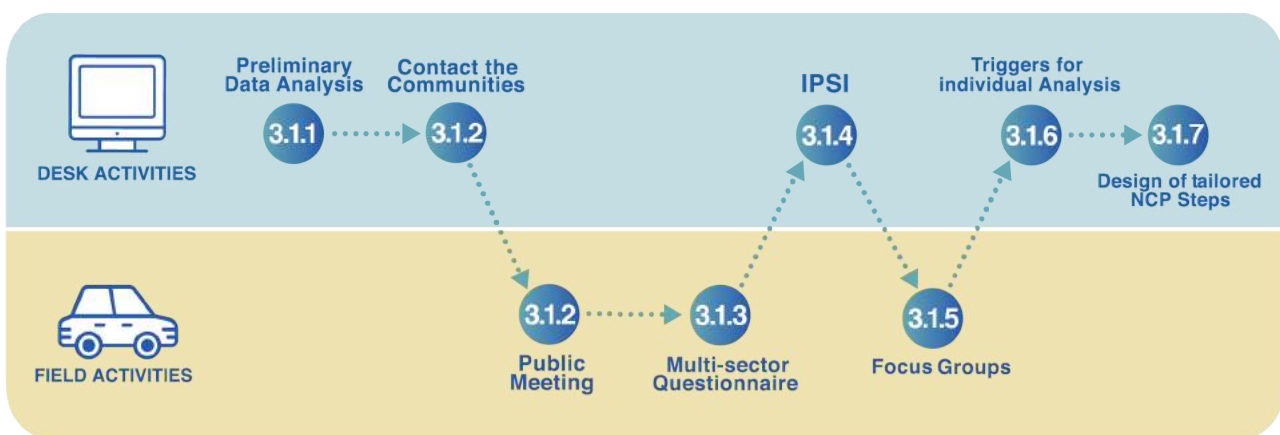
During this stage, the field team should carefully accompany the community to place it at the centre of the data collection process. It cannot be expected that the information gathered immediately reflects the community members' current standpoint nor that the community agrees to be actively involved. The field staff needs to take into consideration social, cultural and family dynamics, as well as the roles of formal and informal power-holders. Guiding principles are provided in the following TIPS, built on the Ladder of Citizen Participation.

☆ **TIPS: Community Empowerment - from INFORMING to CONSULTATION**

- **INFORMING:** right-holders must be informed of their rights, responsibilities and options to legitimize their participation. Too frequently the emphasis is on a one-way flow of information, with no channel for feedback.

- **CONSULTATION:** right-holders are invited to share their opinions. This could be a "window-dressing ritual", and thus it should not stop here. STEP 2 of the Assessment and Context Analysis should be used to scale up the appropriate process of empowerment and ownership.

- **Consultation** should be sought starting from the Public Meeting (GUIDELINES 3.1.2) However, do-no-harm considerations, risk analysis or dynamics in the community may not allow this. In these cases, a careful process starting with **INFORMING** during the Public Meeting (GUIDELINES 3.1.2) and progressing to **CONSULTATION** during the Multi-Sector Questionnaire and Focus Groups (GUIDELINES 3.1.3 and 3.1.5) is suggested.

Therefore, when starting a risk-sensitive, non-harmful and respectful process of community engagement, Analysis of Bias and Exclusion is underpinned by three guiding principles, illustrated in **CHECKLIST 10:**

CHECKLIST 10: Principles in Conducting Analysis of Bias and Exclusion

1	The field activities are standard for all communities and these need to be respected to ensure the appropriate analysis to conduct the Context Profiling. The activities include: • 1 Public Meeting • 2 Multi-Sector Questionnaire • 3 Focus Groups
2	Guidance to decide the coordination of the field activities and the selection of participants should be left in the hands of the power-holder(s) in the community. These can be formal leaders, traditional leaders, collective committees or others. The power-holders may be perpetrators of abuse in some cases, but their engagement should be anyhow carefully ensured at this stage in order to build safe communication and the most appropriate do-no-harm strategy for each community.
3	The field team should use the data collection tools to guide the discussions on the basis of needs and requests advanced by community members. They should however analyze the power and social dynamics resulting from community members participation, analyze possible excluded age, gender and diversity groups, and assess the power-holders roles in affecting these dynamics. There is no need to discuss protection or protection-sensitive issues.

The above principles apply whenever the organization is targeting a community with which there was no previous relationship or work contact. In those cases where the organization has already engaged the community, the CPA Specialist and the field team should assess the possibility of:

1 Limiting the field activities of this PHASE only to the **Public Meeting** (**GUIDELINES 3.1.2**)**.**

2 Using the community's acquired knowledge and experience as another secondary source for cross-checking with the **MQ** (not as a replacement for other secondary sources). See **GUIDELINES 3.1.1**, **TOOLKIT: Qualitative Data Overview** and **TOOLKIT: Quantitative Secondary Data Reference and Quality**.

3 Basing the number of key informants interviews and **MQ** composition on that existing knowledge and experience. See **GUIDELINES 3.1.3** and **TOOLKIT: MQ Primary Groups Representation Matrix**.

4 Designing **NCP** Field Sessions starting from the guidance provided in **GUIDELINES 3.1.6, 3.1.7 and 3.2**, considering the inclusion of Tailored Focus Groups for further verification of the **MQ.**

3.1.1 Preliminary Data

Analysis quality regarding preliminary secondary data has direct consequences on the "assessment fatigue" of the population concerned. Involving communities by asking information that other organizations or actors have recently collected should be avoided. Poor quality can also have consequences on the timescale of the field activities, unnecessarily extending it due to an initial lack of clarification on what to identify or collect. The CPA gathers information that can fill gaps in existing data or that can verify or update existing data on specific communities.

This step complements the initial review of secondary data conducted during the Planning Phase: Context Mapping **GUIDELINES 2.2.3.** The analysis of preliminary secondary data includes:

- Review collection and analysis of secondary data at community level
  TOOLKIT: Checklist for Secondary Data
  TOOLKIT: Qualitative Data Overview
  TOOLKIT: Quantitative Secondary Data Reference and Quality

- Review Service Mapping at community level
  TOOLKIT: Service Directory

- Review Stakeholder Analysis at community level
  TOOLKIT: Stakeholder Analysis

Secondary Data

Analysis of Qualitative Data

The CPA Specialist, together with the field teams, should review the qualitative data collected and break it down at community level. Additional contact with local authorities, actors and communities may be needed, and can be arranged by phone or email. The data collecting should be guided by the **TOOLKIT: Checklist for Secondary Data**, and aims to:

- Gather information related to actors, stakeholders and power dynamics, in order to start Stakeholder Analysis and compilation of the Service Directory at community level.

- Investigate context-relevant protection risks[7] faced by the community.

- Collect enough available information on movements, legal protection, transportation, education, health, livelihood, food security, WASH, shelter and energy, in alignment with the modules of the Multi-Sector Questionnaire.

The collected data should provide a basic overview of the community; this data will then be studied by the CPA Specialist and the field teams, and complemented, cross-referenced and integrated with all the evidence gathered during the **NCP.**

Analysis of Quantitative Data

The CPA Specialist, with assistance from the Information Officer or Data Analyst, also maps the quantitative secondary data, to run an assessment of reliability and comparability with the Multi-Sector Questionnaire, guided by **TOOLKIT: Quantitative Secondary Data Reference and Quality.** The secondary data complying with the eligibility criteria is directly filled out on the Multi-Sector Questionnaire, and its related questions do not need to be asked during the interview. A minimum cross-validation during the first contacts with the community should however be ensured (at least by phone if there is no access to the communities).

> The Multi-Sector Questionnaire can be fully filled out with the available secondary data if reliability and comparability are demonstrated.

The above is particularly relevant when conducting the questionnaire in the field is not possible due to operational constraints (safety, inaccessibility, time, etc.). Nonetheless, in order to fill out the Multi-Sector Questionnaire only with secondary data, the Data Analyst and the CPA Specialist should ensure that all the **IPSI** Global Indicators **(GUIDELINES 3.1.4)** are covered by available, reliable and comparable secondary data. This analysis can be easily undertaken by filling out the questionnaire and using the provided tool: **TOOLKIT: IPSI Indicators Calculation Sheet.**

In all cases, the secondary data is essential to triangulate the results obtained from the Multi-Sector Questionnaire. The differences should always be interpreted in relation to the eligibility

criteria and further triangulation with third sources. Triangulation of primary and secondary sources ensures stronger and more reliable results from the **IPSI**. This is paramount for the whole CPA process, considering that the **IPSI** is directly calculated from the Multi-Sector Questionnaire. In addition, it is strongly advisable to update the available secondary sources at least every year to ensure that updated secondary data is available for when the **MQ** is updated (**GUIDELINES 5.1**).

Service Mapping

The CPA Specialist needs to draw up the Service Directory developed during the Context Analysis in **GUIDELINES 2.2.3** and coordinate the field team to verify the data as far as possible at the level of the targeted communities. The **TOOLKIT: Service Directory** tool will be used as an ongoing and updated accessible archive of stakeholders and duty-bearers' services for consultation by field staff. It is particularly relevant for the following steps:

- Design of the Protection Response Plans **GUIDELINES 4.3**
- The Individual Protection Approach **GUIDELINES 3.2.4**
- Time Analysis and Monitoring **GUIDELINES 5**

Stakeholder Analysis

The participatory approach and the focus on community empowerment might have a significant impact on the social and power dynamics within a community. It is essential to take this issue into careful consideration and uphold the *do no harm*-principled framework at all stages[8].

There are numerous strategies for analyzing the relations among stakeholders and for introducing positive and constructive processes. An example is provided below, built on a tetralemma to categorize the various stakeholders positions towards the CPA process and to define tailored strategies that can be used to include them[9].

Tetralemma
Example matrix to analyse diverse positioning with respect to a specific topic or issue.
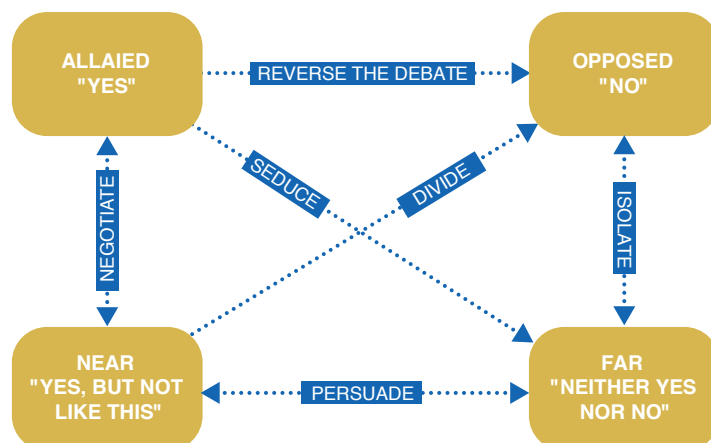
Source:
Gonzalez (2006)
[Translation by the author]

---

7. *"Protection needs of a given target population are presented as risks, so that the protection needs may be determined by assessing the threats faced, and the vulnerabilities and capacities possessed in relation to those threats." Humanitarian Protection - DG ECHO, 2016.*

The Stakeholder Analysis is designed as a crucial and facilitating step to properly do no harm in the interaction with and involvement of community members, right from the earliest stages prior to the Public Sessions **(GUIDELINES 3.1.2).**

It is particularly relevant for the following steps:

- Identifying the proper informal and/or formal representatives of communities who should be consulted before the Public Sessions. **GUIDELINES 3.1.2**
- Providing information to design appropriately the **NCP** field activities, specifically in PHASE I. **GUIDELINES 3**
- Supporting the empowerment strategy and the narrative used by the field team during all interaction with communities *(e.g. the field team may use a lighter approach to inform participants on their rights if the power-holders are possible perpetrators of violations).*
- As a key pillar to the Protection Analysis and to elaborating a Protection Response Plan in order to identify specific activities to enhance community empowerment, reinforce social cohesion, limit violations by perpetrators and link communities with supportive stakeholders and relevant duty-bearers. **GUIDELINES 4.3**
- The **Individual Protection Approach. GUIDELINES 3.2.4**
- Time **Analysis and Monitoring. GUIDELINES 5**

The **TOOLKIT: Stakeholder Analysis** is designed to be updated on a yearly basis (significant or major changes should be added to the tool at the time of their occurrence).

3.1.2   Public Sessions

3.1.2.1   First Contact with the Community

The field team, in coordination with the CPA Specialist and Protection Specialist, identifies the community representatives responsible for giving preliminary consent to coordinate and operate within the community.

There cannot be a fit-for-all strategy to identify community representatives while minimizing the risk of harm, because such decisions are closely interconnected with the specific context.

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8. *Collaborative Learning Project (2004). The Do Not Harm Handbook*

9. *Alberich, Tomás, Luis Arnanz, Manuel Basagoiti, Roberto Belmonte, Paloma Bru, and Carmen Espinar (2017), "Metodologías participativas", pp. 43-44; Ropers, N. (2008), Systemic conflict transformation: reflections on the conflict and peace process in Sri Lanka. A systemic approach to conflict transformation: Exploring strengths and weaknesses. Berlin: Berghof Handbook Dialogue Series, 11-41; Gonzalez, Pilar, "The use of the tetralemma as a tool to tackle a second inclusive reflexivity. The experience gained from participatory research on the Micro Craft Cheesemakers of Tenerife", Cuadernos de Trabajo Social, Vol. 19, February 2006, pp. 297-330.*

Thus, on the basis of the community-specific Stakeholder Analysis, a strategy for each community should be agreed between the field team, the CPA Specialist and, if possible, the Protection Specialist.

As a general criterion, it is important to include both official and non-official/traditional leaders when organizing the first contact moments with the community (if this division is relevant to the context). This will reinforce official representation and respect the community's power dynamics.

☆ **TIPS: First Contact with the Community**

- Open a first-communication channel with identified representatives (usually by phone).

- Introduce the organization and the intention to start working within the community.

- After the first contact, the field team and the community representative(s) should identify one or more Focal Points in the community.

- A Focal Point is the person to rely on for the actual organization of the activities (logistics, practical arrangements, coordination) throughout the process.

- Focal Points might be official representatives, non-official representatives, members of CBOs or active member(s) identified in the community. If possible at this stage, the organization should start promoting an age, gender and diversity representation among the Focal Points.

- The identification of Focal Points depends solely on the existing power dynamics within the community. Relations with and any modification to selection of the Focal Points and approach need to be carefully carried out during the whole of PHASES I and II. The process should progressively achieve a more representative empowering of community members and ensure broad engagement and representation.

- Before officially starting the activities in the community, a preparatory field visit is advised. Meeting community representative(s) and Focal Points in person creates a more legitimized process with positive effects on field activity organization.

- The preparatory field visit can be avoided should there be operational constraints, or if there is already a good relationship with the community. In these cases, a phone call with the community representatives and Focal Points should take place in order to satisfy all the objectives proposed.

When a preparatory field visit can be organized, the field team and CPA Specialist should take the following objectives into consideration:

- Strengthen the communication channel with community representatives and Focal Points.

- Assess the community's overall status through observation of location, and visible threats, vulnerabilities and capacities, as well as the overall situation of specific sectors.

- Start building trust with the community and introduce the field team.

- Start investigating the community's power dynamics and key persons' roles.

- Verify and update contact information regarding key persons, representatives and Focal Points.

- Verify time and location feasibility for conducting the Public Sessions.

- Start clarifying the community representatives' expectations.

In all cases, this step ends with the field team agreeing with the community on day, time, participation and expected duration of the Public Meeting, leaving the call for participation to the communities' Focal Points (e.g. flyers might be distributed among communities).

3.1.2.2 Public Meeting 🕐 2h

> **OBJECTIVES**
>
> **1** Provide the community with information on the CPA and technical assistance to facilitate understanding of its phases, objectives, implications and benefits.
>
> **2** Address community members' concerns about the approach.
>
> **3** Consult honestly about their willingness to collaborate and be involved in CPA implementation.
>
> **4** Identify the key informants willing to take part in Multi-Sector Questionnaire interviews (if community consensus is obtained and the power-holders allow it).

The Public Meeting sets the groundwork to build trust, and start the community's meaningful and inclusive participation in decisions and actions affecting their lives. It is the first formal interaction with the community members and representatives, and thus it has to be conducted to provide the community members with a clear overview of what the CPA process entails.

The Public Meeting is important to gaining a better understanding of the community dynamics and issues emerging from preliminary data collection. A Public Meeting is organized by community representatives and/or Focal Points and this might have an effect on community members' participation and representation. The field team should observe participation and representation in order to start analysis of the community's internal dynamics (e.g. exclusion of specific individuals or groups).

A successful Public Meeting is essentially determined by the field team's commitment and preparation regarding the entire process of community participation and engagement. It is important to effectively communicate and share clear and transparent information in order to build relationships of mutual trust and cooperation. **TOOLKIT: Public Meeting Preparation Checklist** and **TOOLKIT: Public Meeting Facilitation Checklist.**

If relations with the power-holders allow it, the minimum level of representativeness should be based on the following criteria:

- **Number of participants:**
  in communities composed of less than 50 households, at least 50% of these should be represented; in communities composed of more than 50 households, at least 30 people should participate.

- **Age, Gender and Diversity:**
  if secondary data provides a disaggregation of the population, participation should reflect this as much as possible. If data is unavailable, consider encouraging at least the participation of adults (men, women), elders (men, women), adolescents and children (boys, girls).

The field team should always ensure that community members make voluntary, unambiguous and informed decisions on whether they wish to take part in the different data collection activities. The **TOOLKIT: CPA Informed Consent Process** is specifically designed to facilitate the process, and guides the use of the following further tools:

- **TOOLKIT: Visual CPA Presentation**
  This visually shows the different steps, the degree of community participation and engagement, and what the community can realistically expect as tangible and concrete outcomes.

- **TOOLKIT: Narrative CPA Presentation**
  A written document complementing the visual presentation. It homogenizes the messaging to an *empowerment narrative* to ensure informed decisions by the community.

- **TOOLKIT: Declaration on Honour**
  The field staff needs to sign the Declaration on Honour confirming that participants were duly informed about the CPA process, about their data protection rights and that their participation is voluntary.

- **TOOLKIT: Attendance Sheet**
  This is designed to align with the Accountability to Affected Populations Operational Framework.

Guiding principles are provided in the following TIPS, built on the Ladder of Citizen Participation.

⭐ **TIPS: Community Empowerment · from INFORMING to CONSULTATION**

- INFORMING: right-holders must be informed of their rights, responsibilities, and options to legitimize their participation. Too frequently the emphasis is on a one-way flow of information, with no channel for feedback.

- CONSULTATION: right-holders are invited to share their opinions. This could be a "window-dressing ritual", and thus it should not stop here. STEP 2 of the Assessment and Context Analysis should be used to scale up the appropriate process of empowerment and ownership.

- During the Public Meeting, a careful process should start with INFORMING and, if do-no-harm considerations, risk analysis and community dynamics allow it, the field staff can start CONSULTATION by triggering initial discussion on problems and needs affecting the community.

NOTE: in some cases, the field staff, in conjunction with the CPA Specialist, could consider multiple Public Meetings when the following occur:

- There are rivalries or conflict within the community and some individuals or groups refuse to attend if the other party is present. It is advisable to understand what other activities could be carried out so as not to exacerbate the conflict.

- Location and/or timing of the Public Meeting are not accessible to everyone, particularly to specific age, gender or diversity groups.

During this stage, the field team can already make use of the **TOOLKIT: Note-Taking Tool** to record information. The data will then already be categorized to directly feed the **NCP** analysis tools.

3.1.3 Multi-Sector Questionnaire   🕐 2h

> 🎯 **OBJECTIVES**
>
> ❶ Provide an initial and overall understanding of a community's needs and protection risks.
>
> ❷ Start consultation with the community through a low-risk exercise based on community needs and status.
>
> ❸ Identify what information is known by key informants and collect evidence to analyze possible biases.

The Multi-Sector Questionnaire is an important step in the CPA participatory process, as it is the first moment when community members are asked about the community's problems.

The questionnaire is one of the CPA components that can be implemented in different forms, depending on the **CPA mode** selected by the organization **(GUIDELINES 2.1.1).** The main operational aspect the CPA Specialist should consider is:

> **The Narrated Community Perspective has purposely been designed to reduce biases, fill data gaps and correct variations in the Multi-Sector Questionnaire.**

The **Multi-Sector Questionnaire** is addressed at this stage, following the Public Meeting. The questionnaire is collected at community level through structured interviews with key informants, and is divided into different modules and sections to help locate questions within the questionnaire and to facilitate its adaptation to the context **(TOOLKIT: Standard Multi-Sector Questionnaire, TOOLKIT: MQ Questions Code Dictionary and TOOLKIT: ODK Guidelines).** The Multi-Sector Questionnaire adaptation process is outlined and further detailed in the **CONTEXTUALIZATION MODULE.**

CPA

TECHNICAL NOTE: Key and Filtered Questions

The Multi-Sector Questionnaire comprises key and filtered questions following a skipping logic to avoid non-applicable questions being asked, thus improving the flow of the conversation and reducing application time:

- **Key questions**
  these refer to the questions that are always asked; these questions are the "key" to opening a series of other questions that characterize the issue that is being addressed (e.g. Is your community located in a rural or urban area?).

- **Filtered questions:**
  These questions, which characterize a specific issue, are filtered (i.e. are skipped) depending on the answer given to the key question they relate to (e.g. Specify which type of urban area the community is located in? would only be asked if the answer to the key question is Urban).

The key informants are specific community members identified during the Public Meeting and selected according to minimum criteria of representation. The CPA Specialist should coordinate with the field team and Information Officer to organize the interview process, following the guidance of **TOOLKIT: MQ Primary Groups Representation Matrix.**

The field team should consider the following:

- Each primary group included in the interview should feel free to speak without coercion by another primary group

- When two groups are considered incompatible, then two separate interviews should be carried out.

OPERATIONAL EXAMPLE.
SELECTION OF GROUPS AND KEY INFORMANTS FOR THE
MULTI-SECTOR QUESTIONNAIRE

In **Lebanon, CPA Mode 2** was implemented, including the **NCP**. The Multi-Sector Questionnaire was applied to a population of Syrian refugees, and the primary groups identified were defined based on their age and gender. After assessing the dynamics between the primary groups, it was determined that neither gender nor age were factors of incompatibility between primary groups (i.e. one group was free to speak in front of the other without coercion). Therefore, for these communities, only one interview group was formed, composed of men and women in the different identified age groups

In **Libya, CPA Mode 3** was implemented with a population that included the host population, second generation migrants and IDPs as primary groups, with women and men of different ages. Three urban set-up communities were selected for implementation: two were host communities and the other was an IDP camp.

Given the complex situation and each group's characteristics, and after assessing their dynamics, the following approach was decided on: the host population and second generation migrants were considered compatible groups in the two host communities and thus were merged into one group; it was found that men and women were incompatible groups in some specific communities, and thus they were interviewed separately only in those communities; men and women were found to be incompatible in the IDP camp community and thus separate interviews were conducted for them; for all the groups, different ages were included.

2h

During the interview, only answers relevant to the **MQ** questions are recorded and the interview should be guided by the interviewer to obtain relevant information in the most efficient way, without entering into irrelevant discussion. Ideally, the process should be conducted right after the Public Meeting or, alternatively, during the following days. The interview should not exceed the duration of three hours in any case **(TOOLKIT: Addressing the Multi-Sector Questionnaire).**

⭐ **TIPS: Systematic Analysis of Contradictions**

The composition and number of key informants' interviews have a collateral implication on analysis of the contradictions that can arise from asking the same questions to two different groups. There are three ways of addressing the **MQ**:

A When primary groups are compatible and only one interview includes all the primary groups, only one application of the **MQ** is carried out, resulting in one **MQ** filled out. This method increases efficiency in data collection and analysis, but limits the capacity to systematically compare the answers given to the **MQ** by the different groups.

Some primary groups are incompatible and at least two interviews should be performed to include different primary groups in each interview. Here there are two possibilities:

B Only one implementation of the **MQ** is carried out (i.e. the **MQ** is addressed to one group and that same **MQ** with the recorded answers is addressed to the other group), resulting in only one **MQ** filled out. This method is neutral with regards to data collection efficiency. It increases efficiency in analysis, but limits systematic analysis of contradictions

C Two implementations of the **MQ** are carried out (i.e. the **MQ** is filled out separately for each group), resulting in two different **MQ**s filled out. This method decreases efficiency in data collection and in analysis, but allows a systematic analysis of contradictions by comparing the answers given to the **MQ**s.

Depending on the organization's operational and data analysis capacities, one method might be preferable to another.

The field staff, in conjunction with the Information Officer, will then organize a meeting to compare the collected answers with the mapped secondary data to seek out noticeable differences. In addition, they should assess the quality of the data collected by following the guidance of **TOOLKIT: MQ Quality Monitoring and Analysis.**

The quality indicators for the Multi-Sector Questionnaire evaluate the following dimensions:

- **Representativeness:**
  the minimum representation of the different primary groups.

- **Completeness:**
  percentage of missing values ("don't know" or "blank" questions).

- **Internal consistency:**
  logical relationships between answers to different questions (e.g. if Question 1: Answer A, then Question 2: Answer B) to flag inconsistencies in a key informant's answers.

The **IPSI** values and results are automatically generated from the **MQ** data. Reliance of the **IPSI** for use in advocacy and programming objectives depends greatly on the representation achieved and the quality of the data collected.

⭐ **TIPS: Multi-Sector Questionnaire, Bias Reduction and CPA Modes**

Given that the **NCP** is an important component for reducing bias in the Multi-Sector Questionnaire, different approaches for its reduction should be implemented depending on the CPA mode selected:

- **CPA implementation Modes 1 and 2 (including NCP):** With the results of the comparisons with the mapped secondary sources and the qualitative analysis, the field staff identifies, at this stage, some corrections that should be made or some questions that may need more investigation. This initial identification is essential to guide the review of the Multi-Sector Questionnaire during the **NCP** Field Sessions (Focus Groups, random Individual Interviews and Transect Walks) to reduce bias and strengthen the reliability of the quantitative data.
  See (**TOOLKIT: NCP Feedback Mechanism to MQ**)

- **CPA Implementation Modes 3 and 4 (excluding NCP):** The field team and Information Officer need to organize a more-structured plan of interviews, and ensure, in any case, full representation of the primary groups during the data collection process. Determining the number of groups to interview and their composition acquires more importance, as the **NCP** process will no longer be available during bias reduction. Comparison with secondary sources and quality monitoring and analysis must also be run in this mode.

In addition, for this mode the CPA Specialist and field team need to plan - factoring in an appropriate timescale - the coordination and organization of the field work with the communities. A Public Meeting as described in (**GUIDELINES 3.1.2.2**) is advisable even when the whole **NCP** will not be implemented. Alternatively, phone calls and a preparatory field visit may be considered.

3.1.4 Integrated Protection System of Indicators

All the data collected through the Multi-Sector Questionnaire feeds the **Integrated Protection System of Indicators (IPSI)**. The data is synthesized into a set of indicators capturing the protection risk situation of each community (including threats, vulnerabilities and capacities). The indicators are of a different nature to ensure that they are easily readable for programmatic analysis, as well as statistically solid in the calculation of overall indexes.[10]

The **IPSI** contains: **Global Indicators**, referring to global problematics that can be found, essentially, in any context (e.g. poverty, access to education, food security, etc.); Context-Based Indicators, referring to context-specific problematics (e.g. refugees, armed conflicts, migration, etc.). **Context-Based Indicators** can be either selected from a pool of predefined indicators, or developed by the organization to reflect particularly relevant aspects in the context. The Context-Based Indicators can be established using the **CONTEXTUALIZATION MODULE.**

C P A   **TECHNICAL NOTE: Grounded and Normalized Indicators**

The developed indicators can be found in two states: grounded or normalized.
Grounded Indicators: The meaning of the indicator has NOT been transformed. The indicators have an understandable meaning for all users grounded in the information used to form the indicator. Example:

- Dependency rate: % of persons below 18 and over 60 years of age
- Types of hazards: geological, biological, technological
- Number of basic services within walking distance.

Grounded indicators can be further separated out according to relevant categories (e.g. dependency rate: child dependency rate; elder dependency rate).

Normalized Indicators: The meaning of the indicator has been transformed. It represents an abstract scale from 0 to 1 wherein 0 is No Protection Risk and 1 is Maximum Protection Risk. These transformations are needed to make the indicators comparable with each other and to build the composite indexes.

[10.] *The IPSI is a reformulation based on the testing, lessons learned and feedback from different organizations on a Protection Vulnerability Index designed and developed between 2014 and 2018. The IPSI was validated by a pool of independent experts between June 2018 and March 2019. A Technical Working Group composed of key GVC staff in different missions has guided its development. In addition, the IPSI has been drawn up on multiple literature, including: Organization for Economic Co-operation and Development & European Commission (2008); Nardo, Saisana, Saltelli, & Tarantola (2005); Mazziotta & Pareto (2013); Becker, Saisana, Paruolo, & Vandecasteele (2017); Becker, Paruolo, Saisana, & Saltelli (2015); Munda & Nardo (2005), among others. The complete technical development of the IPSI is described in TOOLKIT: IPSI Technical Guidelines*

The set of indicators is grouped into **sub-indexes** and **indexes** providing a unique measure that can be used for programmatic analysis and for comparing the situation of the different communities. This aggregation is based on three complementary classification frameworks:

- **Protection Risk:**
  The values give a representation of the protection risk in the community, including separate values for threats, vulnerabilities and capacities.

- **Sectors of Action:**
  The values reflect the protection risk found in the different defined sectors, in line with a humanitarian-development nexus framework to ensure programmatic analysis with both humanitarian and developmental actors.

- **Dignity and Safety:**
  The values provide a representation of the dignity and safety status in the communities.
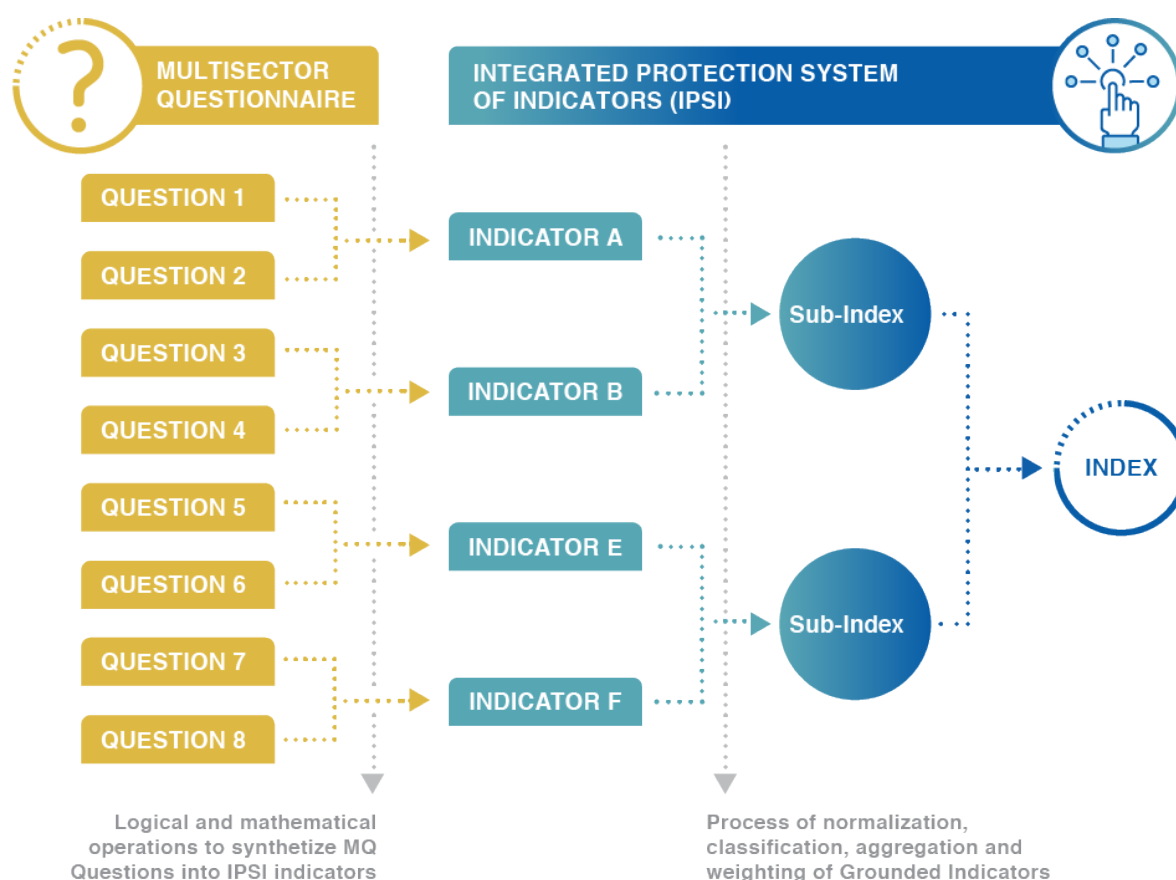
Further description and visual diagrams of all the indexes included in the **IPSI** according to the three frameworks are provided in **TOOLKIT: IPSI Technical Guidelines.**

From this process of grouping the indicators, the following indexes and sub-indexes can be used by the CPA Specialist and field staff in the analysis of the data collected through the Multi-Sector Questionnaire:

PROTECTION RISK INDEX
1. Threats sub-index
2. Vulnerability sub-index
3. Capacity sub-index

12 SECTOR INDEXES OF PROTECTION RISK
1. Sector Threats Sub-Indexes
2. Sector Vulnerabilities Sub-Indexes
3. Sector Capacities Sub-Indexes

SAFETY INDEX
1. Individual safety sub-index
2. Environmental safety sub-index

DIGNITY INDEX
1. Meaningful Access sub-index
2. Accountability sub-index
3. Participation and empowerment sub-index
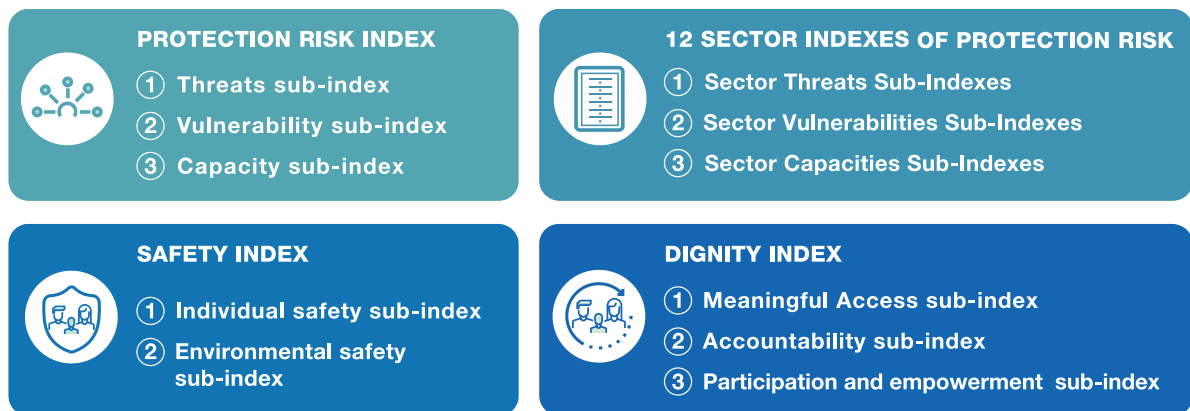
The Information Officer or Data Analyst provides support in extracting the values for the above indexes, along with the results for all the indicators, grouped according to a scale of severity. This scale of severity is provided to the CPA Specialist and field team in order to observe the resulting situation and to guide investigation in the field. If the organization intends to use the web-based CPA Platform, all the above will automatically be visualized and calculated.

Alternatively, the **TOOLKIT: IPSI Indicators Calculation Sheet** provides an Excel-based tool that can be used by the CPA Specialist and Information Officer. In both cases, the following automatic results of the **IPSI** should be studied by the field team at this stage:

- **Indicators values**
  The indicators can be particularly relevant if the organization has sector expertise, since they can be analyzed by all the relevant technical experts in the organization. In addition, consulting the indicators can reveal the specific problems encountered in the community, providing an explanation for the values of the indexes.

- **Indexes values**
  The indexes are relevant during **PHASE I** of the CPA to observe the status of the communities and to have an initial picture of the problems in the community. In addition, they are a valuable tool for prioritizing interventions. During **PHASES II and III** they are extremely important for the joint analysis with communities and stakeholders.

- **Topics of Inquiry**

  In order to organize the collecting of qualitative data, a set of guiding questions are automatically associated to each indicator, to explore causes, consequences and coping strategies related to the indicator. These should be carefully studied by the field team, as explained in the following steps.

- **Triggers**

  If specific questions in the Multi-Sector Questionnaire return certain values, the **IPSI** flags the possibility that individuals and families are particularly affected by one or more protection issues. These triggers are designed to start the Individual Protection Approach, or they can alternatively be used by the CPA Specialist for referral to specialized organizations.

☆ **TIPS: Human Resources for Multi-Sector Questionnaire and IPSI**

The Information Officer or Data Analyst plays a key role in the Multi-Sector Questionnaire and the **IPSI** and should work closely with the CPA Specialist to ensure that:

- The questionnaire is technically well-designed in ODK and includes all the modifications needed for adaptation to the context.

- Selection of the key informants ensures representation of the primary groups.

- The quality indicators are monitored during implementation of the Multi-Sector Questionnaire and thus feedback is promptly provided to the field staff.

- The necessary Context-Based Indicators are relevant, adequately designed and able to be analyzed.

- The (TOOLKIT: IPSI Indicators Calculation Sheet) is used correctly to obtain the **IPSI** result (if the web-based CPA Platform is not used).

- The CPA Specialist receives all the necessary results from use of the **IPSI** and assistance in interpreting the results.

3.1.5 Standard Focus Groups

🕐 **3h**

> ◎ **OBJECTIVES**
>
> **①** Initial review of the Multi-Sector Questionnaire data.
>
> **②** Investigate group attitudes, beliefs and behaviours.
>
> **③** Observe differences and commonalities between the different age, gender and diversity participants.
>
> **④** Facilitate the proposal of solutions by the participants for further investigation.

The Focus Group Discussions (FGDs) at this stage are standard for each community. They aim in order to obtain an overall picture of all aspects to design a tailored approach to each community during the **Context Profiling** step **(GUIDELINES 3.2).**

This step is still specifically designed to gain legitimacy with the community representatives and to approach the community with an appropriate do-no-harm strategy. Forcing a FGD to be arranged, including the selection of participants, without appropriate consent and legitimization by the power-holders can increase the risks for the staff and the participants.

Conduction of the FGDs by the field staff needs to be geared towards ensuring inclusivity at all stages, while also facilitating equal participation **(TOOLKIT: Standard FGDs Facilitation Checklist).**

Guiding principles are provided in the following TIPS, built on the Ladder of Citizen Participation.

⭐ **TIPS: Community Empowerment · CONSULTATION**

- CONSULTATION: right-holders are invited to share their opinions. This could be a "window-dressing ritual", and thus it should not stop here. STEP 2 of the Assessment and Context Analysis should be used to scale up the appropriate process of empowerment and ownership.

- At this stage, the field team should focus on CONSULTATION. The field staff's role is one of facilitator and listener, who does not impose ideas or decisions on the participants but rather guides them in sharing theirs. The FGDs are meant to give participants space to freely discuss the problems they deem relevant in their community. Therefore, the conversation should not be led by the field staff but by the community members themselves.

How to Organize Discussion

The CPA includes a process to guide the field staff in investigating the areas of greater protection risks within the community **(TOOLKIT: Standard FGDs Preparation Checklist).**

As a result of the **IPSI**, the CPA Specialist and field staff will analyze (See **GUIDELINES 4.1.1):**

- The indicators with the highest scores and thus reflecting the most urgent protection risks within the community
- The **Topics of Inquiry** **(TOOLKIT: Topics of Inquiry)**, which are generated in relation to the **IPSI** Indicators and provide the field staff with guiding topics in investigating causes, consequences and coping strategies related to each indicator value.

Some Topics of Inquiry will need to be specifically addressed during the FGDs to ensure a good understanding of the results of the quantitative data.

⭐ **TIPS: Using the Topics of Inquiry to Guide the NCP**

By analyzing the **IPSI** Indicators we can identify which problematics contribute in greater measure to the Sector Indexes of Protection Risk, and thus further investigate the Qualitative Dimensions during the **NCP** process.

Identification begins by deciding how to use the **IPSI** Indicator to prioritize the investigation. A standard suggestion for use of indicators reflecting the problematics that will be further investigated during the **NCP** is as follows:

① Select the top three Sectors of Action most at risk, sorting by Sector Indexes of Protection Risk.

② For each of the top three Sectors of Action, all the indicators classified in the top three sectors will be further investigated through the **NCP**, along with their attached Topics of Inquiry.

③ For all the Sectors of Action, the top indicator for each sector will be further investigated through the **NCP**, along with its attached Topics of Inquiry.

The qualitative data collected takes on different forms depending on the staff collecting the information, the community or individual feedback received, the degree of detail in reporting the feedback, and other contextual factors.

The CPA tools use a system of codes to organize the qualitative information. The field staff reports the narrative text and notes through **TOOLKIT: Note-Taking Tool** as collected, with no further interpretation.

Each item of evidence is then automatically or manually associated to categories as described in the Technical Note. Further information is provided in **TOOLKIT: Dignity and Safety Framework of Analysis.**

The following diagram illustrates an example of how the codes link the values of the **IPSI** Indicators and the evidence collected during the **NCP**, to give account of the dignity and safety situation.
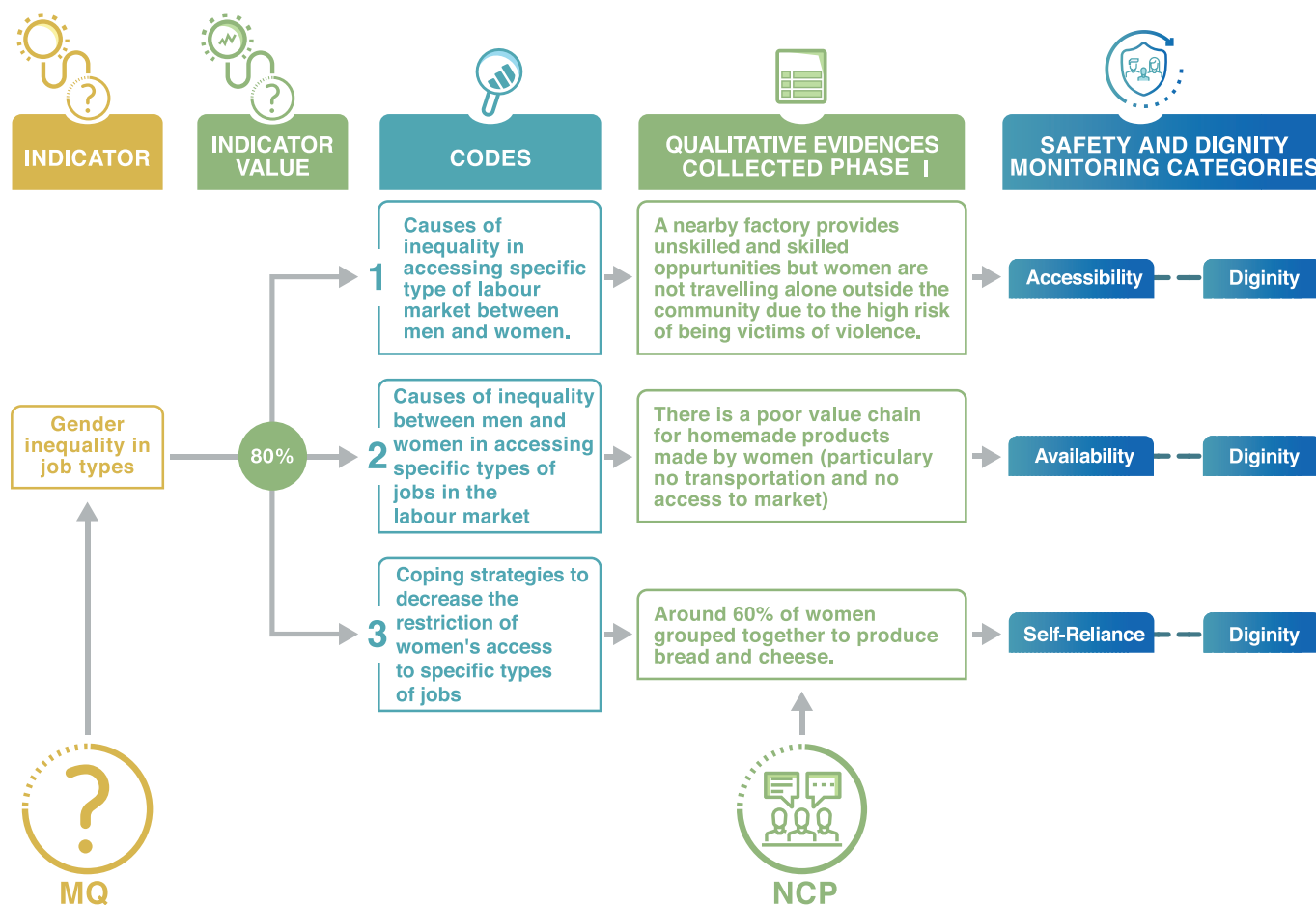
TECHNICAL NOTE: Categories for Qualitative Analysis of DIGNITY and SAFETY

① Analysis of the Driving Factors and Effects of Specific Problems

| CAUSES | CONSEQUENCES | COPING STRATEGIES |

② Protection Risk

| THREATS | VULNERABILITIES | CAPACITIES |

③ Dignity and Safety

DIGNITY

| MEANINGFUL ACCESS | ACCOUNTABILITY | PARTICIPATION AND EMPOWERMENT |

SAFETY

| INDIVIDUAL SAFETY | ENVIRONMENTAL SAFETY |

The tools have been designed to simplify data collecting by the field staff, as well as to ensure an appropriate system for monitoring the qualitative data collected. The codes can be used to compare the evidence collected at different moments in order to identify what specific changes have occurred with regards to a specific situation. Further information is provided in **GUIDELINES 5.3**

The discussion is facilitated by the support of specific instruments. These instruments are tailored to hinge the analysis of communities dynamics jointly with the population, and they are later elaborated as part of the Community Profile to be provided (See **GUIDELINES 4.4**).

Ⓐ **Daily and Seasonal Calendars:**

visual participatory method to reflect time allocations by community members for what concerns daily and seasonal activities **(TOOLKIT: Daily and Seasonal Calendars Checklist).**

Ⓑ **Risks and Resources Mapping:**

visual participatory method to reflect community members' perceptions regarding the risks and resources existing in the community **(TOOLKIT: Risks and Resources Mapping Checklist).**

These facilitating instruments are designed to identify, jointly with the community, interconnections between activities, resources and protection risks for the overall community or for specific groups. The field staff should observe the whole process, and in particular which person or group draws or represents specific issues. This observation is important in the studying and understanding of the power dynamics in order to appropriately tailor the **NCP** to the community **(GUIDELINES 3.1.7).**

3.1.6   Triggers Mechanism

> ### 🎯 OBJECTIVES
>
> **1** Triggers represent information identified by **MQ** questions and **IPSI** indicators capturing core protection risks and heightened vulnerabilities, and are used to activate a series of specific tools to further investigate and address the varying nature of these risks.
>
> **2** To tailor the data collection process to the specific context of a certain community and respond within a time frame that does not shift the risk to harm.

The CPA signifies that protection, as such, is not envisaged as a stand-alone sector. The protection risks at community level are represented across all Sectors of Action by the combination of the **IPSI** and the **NCP** results. In addition, certain **MQ, IPSI** and **NCP** questions and indicators have been recognized as providing relevant information on i**ndividuals⬜and communities⬜protection concerns and resources.** Such indicators and questions are identified as **Triggers.**

The steps of extracting trigger information, analyzing provided data and operationalization make up the Triggers Mechanism, which also includes: immediate identification for response at individual level, further analysis of legal-protection concerns, and ensuring protection mainstreaming across the sectors.

The Triggers Mechanism is an essential component to: feed information; tailor the **NCP** to each single context with the relevant efficiency gains; guide the **IPA** (when CPA Modes 2 and 4 have been chosen).

The Triggers Mechanism ensures that immediate needs are not overlooked during the community engagement process necessary for the NCP analysis.

The Triggers Mechanism is an integral part of the **NCP** and aims to complement and verify the quantitative and qualitative data collecting, by addressing specific relevant topics. The Triggers Mechanism comprises the following types of trigger, which are further described in the Technical Note:

① Individual Protection Approach Triggers
② NCP Triggers
③ Legal Mapping Triggers
④ Service Mapping Triggers

TECHNICAL NOTE: Types of Triggers

TRIGGER	SOURCE	TYPE	CPA COMPONENT TO USE TRIGGER WITH
❶ Individual Protection Approach (IPA)	Questions in the Multi-Sector Questionnaire.	Highlighting the most severe and acute protection concerns for which an immediate and tailored response is needed, following an identification, assessment and referral mechanism for families and individuals. The IPA Triggers support the identification of children and adults with disabilities[11], who are generally the most difficult to identify and reach since they are invisible in the community.	Individual Protection Approach **GUIDELINES 3.2 and 5.7**
❷ Narrated Community Perspective (NCP)	**IPSI** Indicators.	Highlighting protection risks that require further investigation through the Tailored NCP. NCP Triggers support the identification of methodological techniques for use in further investigation during the Field Sessions.	Narrated Community Perspective **GUIDELINES 3.1.7 and 3.2.2**
❸ Legal Mapping	Questions in the Multi-Sector Questionnaire; **IPSI** Indicators; Topics of Inquiry.	These triggers provide an initial understanding of legal-protection concerns affecting targeted communities; they contribute to design of a tailored Legal Mapping tool.	Legal Mapping **GUIDELINES 3.2.1**
❹ Service Mapping	Questions in the Multi-Sector Questionnaire	These triggers are aimed at providing additional information regarding service provision and available resources in the community (e.g. schools, health centres, community-based organizations, community committees, midwives, etc.) which form the support network for families and individuals.	Service Mapping **GUIDELINES 2.2.2, 3.1.1, 4.3, 5.3** and Individual Protection Approach.

Steps in Using the Triggers Mechanism

The tool **TOOLKIT: Triggers** shows the set of questions and indicators representing a trigger. Nevertheless, reviewing the list in relation to the context is recommended, to ensure all the relevant information is captured. Once the Multi-Sector Questionnaire is collected **(GUIDELINES 3.1.3),** the triggers are available for the CPA Specialist and field team, and the process for their use includes the following steps:

❶ **Extraction** of the triggers is automatic within the web-based CPA Platform. Alternatively, once the **MQ** and **IPSI** are collected, the CPA Specialist can look at the **TOOLKIT: Triggers** and share the questions and indicators with the relevant staff in charge of analysis and operationalization (see **GUIDELINES 4.1.1).**

❷ **Analysis** of the data provided by the triggers supports the defining of the operationalization strategy.

❸ Operationalization depends on the type of trigger (see TOOLKIT: Triggers):

A. **IPA Triggers** will activate a response to the immediate needs, linking the individual with an appropriate service provider (only for CPA Modes 1 and 3).
B. **NCP Triggers** will guide selection of the Field Sessions and targeted AGD groups during the Tailored **NCP** (**GUIDELINES 3.1.7. and 3.2.2).**
C. **Legal Mapping** Triggers will support the possible tailoring of a legal-protection analysis in the community (**GUIDELINES 3.2.1).**
C. **Service Mapping** Triggers will guide the field team's activities in pinpointing civil society actors to update the **TOOLKIT: Service Directory** and establish referral and response coordination mechanisms for families and individuals whose immediate needs are not met.

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11. *UNHCR, Guidance on the Use of Standardized Specific Needs Codes Annex 2 IOM 030-FOM 030-2009 (1).doc*

The following Technical Note provides further insight into the process, while additional details can be found in **TOOLKIT: Triggers** and **IPA MODULE.**

TECHNICAL NOTE: Types of Triggers

TRIGGER	EXTRACTION	ANALYSIS	OPERATIONALIZATION
❶ IPA Triggers	Automated extraction from **MQ** questions	Develop the strategy to link the right-holder to an appropriate service provider	• Identify, assess, link • Group notification to service provider • Promote self-referrals
❷ NCP Triggers	Automated extraction from **IPSI** Indicators	Identify the target group to be addressed through the Tailored NCP	• Identify, invite, record, analyze • Trigger IPA assessment and link
❸ Legal Mapping Triggers	Automated extraction from **MQ** questions and **IPSI** Indicators Manual extraction from Topics of Inquiry related to the relevant **IPSI** Indicators and Tailored Dimensions	Group all information, and check existing secondary data and actions taken by others to understand and evaluate the needs and focus of the Legal Mapping	• Collect further information • Refer through IPA • Define prevention and response actions with a long-term perspective
❹ Service Mapping Triggers	Automated extraction from **MQ** questions	Cross-check with Service Mapping and understand the support network available in the community for its individuals, and particularly those with specific needs	Activities to: • Inform about CPA • Update Service Mapping • Establish coordination mechanisms

3.1.7 Designing the Tailored NCP

Design of the **Tailored NCP** is a preliminary step conducted after the **MQ** and the general FGDs. This step is fundamental in order to organize the next phase comprehensively and systematically.

Upon finalizing the field activities, the CPA Specialist organizes internal discussions for each community, attended by the teams and staff with knowledge of the communities. The discussion is guided by the **TOOLKIT: Qualitative Data Overview** and **TOOLKIT: Protection Analysis Tool,** the **MQ** results and the **IPSI.**

At this stage, the organization independently designs a tailored approach, made up of Field Sessions, to supply a **NCP** with clearer and more precise narrative data. These Field Sessions stand as the **Tailored NCP** and constitute the method for carrying out the **Context Profiling (GUIDELINES 3.2).** The **Tailored NCP** consists of a series of suggested data collection techniques including Focus Group Discussions, Individual Interviews and Transect Walks which the organization can mix in a participatory approach to ensure active and proper involvement and empowerment of different age, gender and diversity groups.

CHECKLIST 11 shows a set of aspects that guide the CPA Specialist and field team in formulating a **Tailored NCP**.

CHECKLIST 11: Guiding Aspects in Designing the Tailored NCP

1	**REPRESENTATION: Involvement of AGD groups** Each data collection technique is purposely designed to engage different age, gender and diversity groups. The different AGD groups can be involved through one or more data collection technique. The AGD groups have been divided into three categories according to level of prioritization: primary, secondary and tertiary groups. The process of targeting groups is determined by the field teams and CPA Specialist until the data is considered consistent and saturated (when no more new information arises) **TOOLKIT: ADG Groups** • **Primary groups** include men and women (25-59 years old); they are already involved in the Standard FGDs and have the highest priority. • **Secondary groups** are defined to bring further evidence and to review the quantitative data, in order to highlight as yet uncovered issues arising from specific group characteristics. • **Tertiary groups** are particularly relevant in further investigation of especially vulnerable groups.

2	**INCLUSION** A fundamental principle must be ensured: the engagement and integration of vulnerable groups. Specific vulnerable groups to be involved are included within the tertiary groups. However, the CPA Specialist must pay special attention to ensure that the CPA supports the inclusion of these groups within the community's age groups, to avoid exacerbating possible exclusion from communities' social, cultural and power dynamics.
3	**TOPICS OF INQUIRY** The Topics of Inquiry resulting from the MQ and presented in GUIDELINES 3.1.5 are extremely relevant at this stage. They have been designed to simplify the field teams' investigations and thus reduce the time in the field by providing guided discussion for each group. In particular, the Topics of Inquiry outline investigation extent for primary and secondary groups differently from that for tertiary groups. The discussions with primary and secondary groups will focus on issues exploring the overall protection risks faced by the community, while the talks with tertiary groups will look at the specific protection risks faced by the vulnerable groups.

The Process to Design the TAILORED NCP
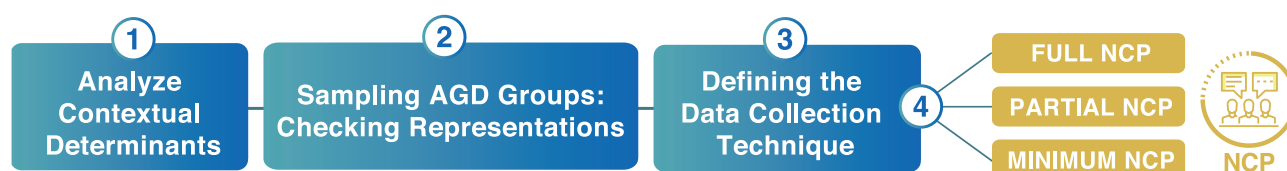
The process of designing of **Tailored NCP** should be carefully supervised by the CPA Specialist together with the field team. In any case, it is advised that the organization's strategic management team (Program Director, Program Managers, etc.) oversees the process. The following sequential steps will take place:

① **Analyzing the Contextual Determinants**

The organization analyzes each community's specific social, cultural and power dynamics as well as operational aspects related to time and access, adhering to the following principles:

- **Access to community (including location and security):**
  this is a main determinant in defining the **Tailored NCP**. The ability to access a community determines to what extent data will properly represent the community's specific groups. For instance, security risks may require minimum access to the field and thus the use of a more individual approach.

- **Internal conflicts:**
  Internal conflicts or rivalries may require multiple Field Sessions of Individual Interviews or small FGDs to ensure inclusion. The field staff should always analyze whether someone's freedom of expression or opinion is negatively affected by someone else's presence.

- **Time limitation:**
  Project or context constraints may pose severe time limitations on conducting Field Sessions. In these cases, the CPA Specialist and higher management should carefully consider and ensure the minimum representativeness of data and population.

② **Sampling AGD Groups: Checking Representations**

Following the results of the Multi-Sector Questionnaire, the different AGD groups are identified according to their relevant category (primary, secondary and tertiary group) along with a sampling approach **(TOOLKIT: AGD Groups)**. The field team should carry out a sampling exercise to define what the AGD group percentages are in the community and how many people are included in each group.

The CPA Specialist and field team can benefit from a set of suggested AGD groups to be targeted, based on the **MQ** and **IPSI** results. The suggested AGD groups are provided on the basis of triggers: **TOOLKIT: Triggers** (Triggers are automatically generated in the web-based CPA Platform).

During this exercise, support from community representatives/Focal Points is essential. Once there is a clear picture of how many AGD groups are present and conformed, selection of the data collection technique can start. It is advised that a representation of each AGD group always be involved in the process.

③ **Defining the Data Collection Technique for Field Sessions**

The most appropriate data collection technique cannot be defined a *priori,* as it is strictly connected to the specific context in which the data collection process takes place, as well as to the specificities of each community. **The data collection techniques used are mainly aimed at generating qualitative data at community level** and include the following (see **GUIDELINES 3.2.2** for a detailed description of each technique):

A. Tailored Focus Groups

to provide information on a group/community.

TOOLKIT: Tailored FGDs Facilitation Checklist

B. Individual Interviews

to capture specific individual points of view.

TOOLKIT: Individual Interviews Facilitation Checklist

C. Transect Walks

to accompany unstructured/random Individual Interviews.

TOOLKIT: Transect Walks Facilitation Checklist

The final decision will depend on the contextual determinants. Taking these and other factors into consideration, the organization decides which mode to use based on the specific characteristics of each community.

The organization may have sufficient detailed historic data on and relations with communities. Existing information and data should be compared against the Stakeholder Analysis results and the initial results of the Analysis of Bias and Exclusion. In particular, the organization should assess whether the community leadership is providing an appropriate representation of the community. If this aspect is verified, the organization may consider discarding the **Tailored NCP.** This decision should be based on:

- **TOOLKIT: Protection Analysis.**
  The CPA Specialist and field team deem that the information sufficiently covers all Sectors of Action and gives good evidence of causes, consequences and coping strategies.

- **TOOLKIT: Development of Activities and TOOLKIT: Protection Response Plans.**
  The CPA Specialist and field team deem that the actions identified sufficiently cover all Sectors of Action, and are based on roles and responsibilities of the Stakeholders in the area; they structure an appropriate **Exit Strategy** in providing relief to the community.

- **TOOLKIT: MQ Quality Monitoring and Analysis.**
  The quality of the **MQ** and **IPSI** is solid and consistent, and comparable with knowledge of the area and any available secondary data.

In all cases, the **Tailored NCP** could however provide:

- Further Bias and Exclusion information
- Lessons learnt to improve and achieve more efficient Context Profiling in new communities.

④ **Selecting the Tailored NCP modes**

During this stage, the field team discusses and prepares a set of Field Sessions suited to each community. Some communities may require longer and deeper engagement, while others will be the object of a lighter approach. The CPA Specialist will organize and plan the overall implementation, taking into account each community's specificities.

Even though the mixing and matching of the suggested techniques is left to the discretion of the organization and teams, some TIPS on modes are outlined below, based on the CPA field testing in different contexts:

☆ **TIPS: Full NCP Mode**

GUIDING ASPECTS	CONSIDER
• **Full access.** The field team can physically access the community or can reach out to AGD groups. • **Neutral or semi-neutral.** Power dynamics do not influence Field Sessions or they exert a minimal influence due to the good communication channels with community members and representatives. • **No time limitation** There is enough time for good data collection and analysis.	• **Involvement of AGD groups** Primary, secondary and tertiary. • **Techniques** Use sequential FGDs, Individual Interviews and Transect Walks. • **Use of Topics of Inquiry** Tackle all indicators for the top three sectors, and the top indicator influencing the score for the remaining sectors.

TIPS: Partial NCP Mode

GUIDING ASPECTS	CONSIDER
• **Periodic access** Access to the community is not always feasible. It includes the inability to physically access the community or to reach out to specific AGD groups, or the presence of specific security risks or access-restricted areas. • **Internal conflict** Power dynamics partially influence the Field Sessions process. • **Minimum time limitation** There is enough time for good data collection and analysis.	• **Involvement of AGD groups** Primary groups, partially. • **Techniques** Mix FGDs and Transect Walks (including possible random Individual Interviews). • **Use of Topics of Inquiry** Tackle all indicators for the top three sectors, and the top indicator influencing the score for the remaining sectors.

TIPS: Minimum NCP Mode

GUIDING ASPECTS	CONSIDER
• **No access** Accessing the community is unfeasible. This includes the inability to physically access the community or to reach out to specific AGD groups. • **Internal conflict** Power dynamics highly influence the Field Sessions process. They demand detailed and intensive coordination, and the organization does not possess enough resources. • **Time available** Time constraints limit the data collection and analysis process.	• **Involvement of AGD groups** Minimum involvement of different AGD groups. • **Techniques** Use only Individual Interviews. • **Use of Topics of Inquiry** Verify all the protection risks of the top five sector scores in the **IPSI**.

Even though the **NCP** must always be implemented with the **MQ,** the above suggestions can be adapted if the organization decides to implement different CPA modes, as described in **GUIDELINES 2.2.5.** The relation between CPA mode and use of Tailored **NCP** is presented here for the organization's consideration. >>

Tailored NCP Mode	CPA Mode
Full NCP	**MODE 1:** Implement the Multi-Sector Questionnaire and the Narrated Community Perspective **MODE 2:** Implement the Multi-Sector Questionnaire, the Narrated Community Perspective and the Individual Protection Approach
Partial NCP	**MODE 1:** Implement the Multi-Sector Questionnaire and the Narrated Community Perspective
MINIMUM NCP	**MODE 3:** Implement the Multi-Sector Questionnaire **MODE 4:** Implement the Multi-Sector Questionnaire and the Individual Protection Approach

A more-detailed description of the above process can be found in **TOOLKIT: Designing the Tailored NCP** and **TOOLKIT: Community Sampling Plan.**

3.2 STEP 2: Context Profiling

Context Profiling is the step in which the organization adapts the approach to the context of each community. While the Analysis of Bias and Exclusion is standard and assesses the community's general situation, focusing on social, cultural and power dynamics, Context Profiling is the detailed and comprehensive analysis of the protection risks in the community. The field team has already created safe communication and trust channels to investigate the causes, consequences and coping strategies, safely and respecting the confidentiality of each individual.

PHASE I - STEP 2: Activities

DESK ACTIVITIES — Design of Tailored NCP Steps — 3.1.7 — Maps Digitalization — 3.2.4

FIELD ACTIVITIES — 3.2.1 Legal Mapping — 3.2.2 Tailored NCP Field Sessions — 3.2.3 Technical Assessment — 3.2.4 IPA*

STEP 1   STEP 2

*Only for CPA Modes 2 and 4
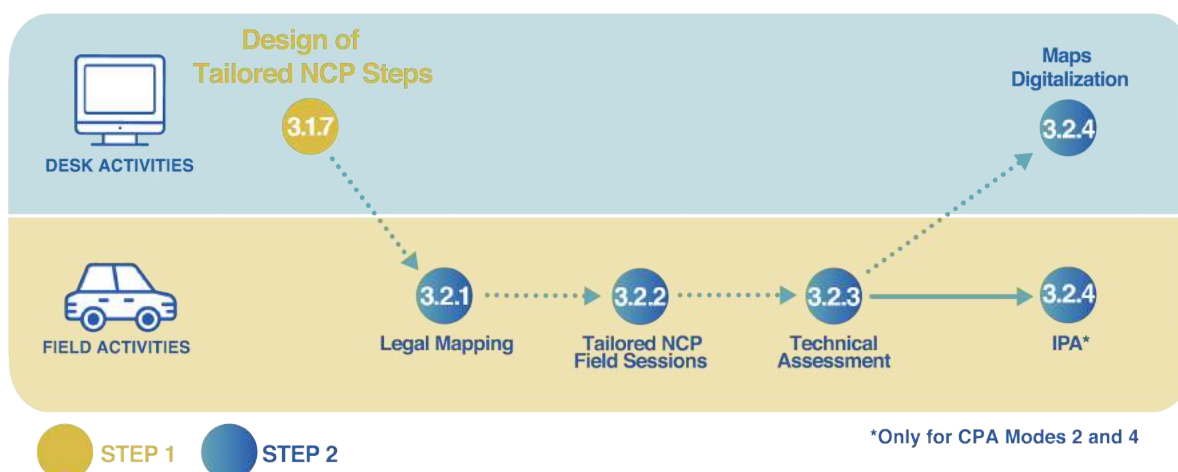
At this stage, the field team has an initial idea of possible strategies to address needs and protection risks. Various Field Sessions focus on CONSULTATION to build up the Protection Response Plans together with the community. The Fields Sessions are a two-way feedback process to collect further qualitative evidence and guide the discussion with communities towards possible agreed solutions.

The following TIPS give more guidance on consultation, built on the Ladder of Citizen Participation.

☆ **TIPS: Community Empowerment · CONSULTATION**

- **CONSULTATION:** right-holders are invited to share their opinions. This could be a "window-dressing ritual". In **STEP 2**, the field team should seek the most appropriate strategy for representing and including people's opinions in the analysis.

- **CONSULTATION** is a dynamic process and does not end only in "asking people's opinions" at each Field Session. Communities and their people have deep knowledge of how to address issues in their context. However, they may not be properly informed regarding the possibilities or other important aspects in the context. In many cases, the strategies they propose could be negative coping strategies and negatively impact their lives. In other cases, their proposals may reflect ongoing social, cultural and power dynamics.

- **CONSULTATION** should be guided by the **TOOLKIT: Stakeholder Analysis** and the internal conflicts observed during the Analysis of Bias and Exclusion. **GUIDELINES 3.1.7**

- Particular attention should be paid to specific age, gender and diversity groups excluded in the previous steps.

All the data collection for the **NCP** uses the same tools as the Analysis of Bias and Exclusion:

- **TOOLKIT: Note-Taking Tool**
- **TOOLKIT: Protection Analysis**
- **TOOLKIT: Development of Activities**
- **TOOLKIT: Protection Response Plans**

To keep ensuring a risk-sensitive, non-harmful and respectful process of community engagement, the Context Profiling has three guiding principles, illustrated in **CHECKLIST 12.**

CHECKLIST 12: Principles in Conducting the Context Profiling

1	The field activities proposed are all adaptable to each community. The organization can choose to implement all or just some of these, depending on what the main dimensions of understanding required by the context are, considering: • Further verification of the quantitative and qualitative data collected in Analysis of Bias and Exclusion, to reduce bias and ensure further data reliability. • Assessment of sector-specific technicalities to respect standards and study programmatic solutions (e.g. shelter - type, size, location; roads - type, length, status; water sources - quality, availability, yield). • Legal protection.
2	The Analysis of Bias and Exclusion aimed to create safe channels and communication with the community, and to build trust and legitimacy with power-holders. The field team should therefore analyze what information, AGD group representation or sector of action has not yet been properly investigated. These parameters guide the Context Profiling in: • Collecting more-detailed evidence regarding relevant issues identified in the previous steps. • Identifying and investigating specific problems and needs that might have been overlooked.
3	The most protection-sensitive issues and needs have not been investigated with the community so far. Legitimation, trust and understanding the communities dynamics were essential to structuring an initial appropriate do-no-harm approach. Specific excluded groups and individuals now have to be approached carefully. During this stage, this analysis is undertaken through an appropriate risk-analysis and do-no-harm approach, to look into: • Legal protection, according to the needs in the context and the existence of already valuable information (e.g. refugee registration). • Addressing particularly sensitive issues which might require individual discussion.

The Context Profiling is therefore a continuation of and complementary to the Analysis of Bias and Exclusion, to elaborate a context-specific **Protection Analysis.** The CPA Specialist should carefully consider that this step is fundamental in creating the solid basis upon which to build a strategy of ongoing CONSULTATION with the communities.

Reiterating that choice of the Context Profiling steps presented is left exclusively to the organization regarding time, order and mode, the diagram below provides an overall illustration:
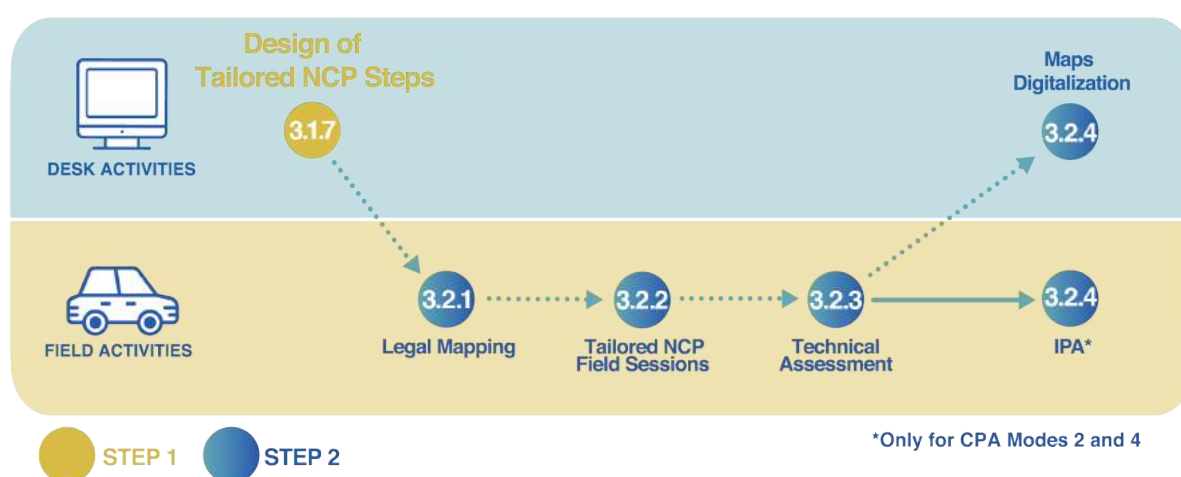
3.2.1   Legal Mapping

This step is proposed to ensure comprehensive and integrated Protection Analysis. However, it is considered as an optional step, to be implemented only in the presence of specific context conditions. Analysis of the legal aspects requires precise expertise and therefore the organization is advised to seek collaboration with mandated agencies or actors expert in legal analysis. The CPA Specialist should review the existing data and actors on the basis of the analysis undertaken during the Preparatory Phase **GUIDELINES 2.2.1.**

Legal Mapping and the associated **TOOLKIT: Legal Mapping** intend to further investigate legal-protection issues affecting community members or specific groups of individuals within the community and relevant for the specific context. By legal-protection concerns we refer to:

- House, land and property
- Liberty and Security of Person
- Civil documentation and legal residency
- Freedom of Movement

The Legal Mapping Triggers in **GUIDELINES 3.1.6** identify relevant data from the **MQ** and **IPSI** to gain an initial picture of existing legal-protection concerns in the community. Further legal findings are provided by the Standard FGDs. Nevertheless, the information is not exhaustive as it was not designed for this specific purpose. Seeking secondary data is therefore essential to better understanding the phenomenon or simply to understanding whether there is information available in that country and whether there are mandated agencies advocating for the relative populations legal-protection rights.

The process described here is the preliminary work to decide whether further investigation into one or more legal-protection areas is needed. It is the CPA Specialist and Technical Committee who should decide whether Legal Mapping is necessary.

If it is needed, the CPA Specialist should decide on the focus and source of data (i.e. whether data available from CPA components and secondary data is sufficient, or whether additional information has to be collected, and this may require additional household mapping, FGDs, or interviews with key informants or others).

The TOOLKIT: Legal Mapping provides a set of indicators and analysis dimensions linked with the legal-protection concerns listed above. The suggested indicators and dimensions should be reviewed to isolate only investigation topics relevant for the context. In all cases, legal-protection analysis is essential to undertake the Protection Analysis and design the Protection Response Plans **(GUIDELINES 4.2).** Therefore, the CPA Specialist should guarantee that information is available either from secondary data or specific mandated agencies or by implementing Legal Mapping.

Legal Mapping is therefore a step that requires contextualization in all cases of implementation. An operational example is presented here below by way of example.

OPERATIONAL EXAMPLE.
LEGAL MAPPING IN WEST BANK

In West Bank (Occupied Palestinian Territory), the unlawful and discriminatory Israeli permit and planning regime imposes a set of legal regulations based on Israeli domestic law regarding the Palestinian population's assets and infrastructures in Area C. This imposed unlawful regime is cause of ongoing demolitions, as well as confiscation and seizure of structures and infrastructure. Legal Mapping has been adapted to collect the legal status of household and community assets and to implement necessary preparedness and early response actions. This Legal Mapping has been developed in collaboration with the actors of a national Legal Task Force, part of the OCHA Cluster coordination.

3.2.2 Tailored NCP Field Sessions

OBJECTIVES

1. **Involve different population groups in order to have more reliable, representative and complete evidence of causes, consequences and coping strategies.**

2. **Further reduce the bias of information.**

3. **Further verify the quantitative data collected through the Multi-Sector Questionnaire.**

4. **Look at the situation and needs of specific vulnerable groups from their point of view regarding the overall analysis and the community's suggested solutions.**

This chapter outlines the process of Field Sessions designed by the organization to tailor the **NCP** to each community, and thus results in the collection of qualitative evidence. As explained in **GUIDELINES 3.1.7** and **GUIDELINES 3.2,** the **Tailored NCP** consists of a series of techniques, such as Focus Groups, Individual Interviews and Transect Walks, to specifically target AGD groups. At each step, regardless of the technique, the field team uses these sessions to complement and verify the information gathered through **the Public Meeting, the Multi-Sector Questionnaire** and the **Standard FGDs (GUIDELINES 3.1.2. 3.1.3 and 3.1.5)**.

The CPA Specialist, in conjunction with each field team, has already agreed on the combination of techniques to use for each community, as described in **GUIDELINES 3.1.7. CHECKLIST 13** provides a summary to verify the process.

CHECKLIST 13: Process for Tailoring the NCP to the Communities

- The population has been sampled and divided into the different AGD groups identified within the community. **TOOLKIT: AGD Groups**

- The AGD groups have been classified according to the provided primary, secondary and tertiary groups, to prioritize their involvement. **TOOLKIT: AGD Groups**

- The involvement of each AGD group in each Field Session has been defined. **TOOLKIT: AGD Groups** and **TOOLKIT: Triggers**

- The combination and number of Tailored FGDs, Individual Interviews and Transect Walk has been decided.

- The Topics of Inquiry to guide the investigation with each AGD group have been identified and studied by the field team, under coordination by the CPA Specialist. **TOOLKIT: Topics of Inquiry**

- The field staff has filled out the data in the **TOOLKIT: Note-Taking Tool** and has consulted the **TOOLKIT: Development of Activities** **TOOLKIT: Protection Analysis** **TOOLKIT: Topics of Inquiry** **TOOLKIT: Protection Response Plans** together with the CPA Specialist in order to gain an overview of the information that may need further investigation.

The CPA Specialist at this stage should always remember the following:

The Tailored NCP is a flexible approach to support organizations in adapting community engagement to each community according to the specific situations of Security, Accessibility, Time Availability and Conflicts.

Regardless of the form of **Tailored NCP** agreed on, the CPA Specialist and the field team should always ensure that the community and individuals make voluntary, unambiguous and informed decisions on whether they wish to take part in the various data collection activities. The **TOOLKIT: CPA Informed Consent Process** can be used as guidance.

The field team should have an adequate understanding of the community's dynamics and awareness of the best engagement and empowerment strategy.

⭐ **TIPS: Ideal Sequential Process of Tailored NCP**

> **PRIMARY GROUPS** should be involved first, as a way to refine and complement the data collected during the previous steps. Ideally, most of the community-level data has already been collected and verified.
>
> The involvement of **SECONDARY GROUPS** will add further evidence and highlight possible relevant issues that might not have been tackled before, due to their focus within the specificities of the selected group.
>
> Lastly, involving **TERTIARY GROUPS** will enable investigation of specific situations and vulnerabilities. This suggested process is also designed to ensure a progressive review of the quantitative data gathered through the Multi-Sector Questionnaire.

As outlined in **GUIDELINES 3.1.7,** the CPA Specialist and field team can explore the use of three techniques in qualitative data collection:

① **Tailored Focus Groups** to provide information on a group/community,
TOOLKIT: Tailored FGDs Facilitation Checklist

② **Individual Interviews** to capture specific individual points of view,
TOOLKIT: Individual Interviews Facilitation Checklist

③ **Transect Walks** to accompany Individual Interviews,
TOOLKIT: Transect Walks Facilitation Checklist

Even though technique implementation is fundamentally similar from one AGD group to another, the approach to the population differs according to each group's specificities. The difference in approach is provided in the dedicated tools within the **TOOLKIT,** where the field team can find specific guidance with regards to each group:

- Children and adults with disabilities
- Single-headed households
- Unaccompanied and separated children
- Working children
- Children between 6 and 10 years of age.

Guiding principles on empowerment are provided in the following TIPS, built on the Ladder of Citizen Participation.

☆ **TIPS: Community Empowerment · CONSULTATION**

- **CONSULTATION:** right-holders are invited to share their opinions. This could be a "window-dressing ritual". In **STEP 2**, the field team should seek the most appropriate strategy for representing and including people's opinions in the analysis.

- **CONSULTATION**: is a dynamic process and does not end only in "asking people's opinions" at each Field Session. Communities and their people have deep knowledge of how to address issues in their context. However, they may not be properly informed regarding the possibilities or other important aspects in the context. In many cases, the strategies they propose could be negative coping strategies and negatively impact their lives. In other cases, their proposals may reflect ongoing social, cultural and power dynamics.

- The Tailored NCP is the moment when the AGD groups in the community are engaged, including the most vulnerable groups. The engagement of these groups, who usually have few chances of being heard, is a forceful aspect of empowerment both for the individuals and the community as a whole. However, **CONSULTATION** of these groups is effective only as long as their engagement is maintained throughout the CPA, in order to achieve meaningful levels of participation and empowerment.

Field Session Techniques for Qualitative Data Collection

① **Tailored Focus Groups**

The use of FGDs is advisable in all circumstances when possible and when there is time to organize multiple FGDs. Ideally, it can support appropriate internal discussion between community members. The FGDs during this stage differ from the Standard FGDs in the Analysis of Bias of Exclusion **(GUIDELINES 3.1.5)** in the following ways:

- The discussion focuses more on specific information that still requires investigation, either due to biases or gaps, or because it relates to an important aspect underlined by the community.

- The facilitator needs to look at and engage more in the discussion of solutions that may have arisen during previous steps or that the CPA Specialist and field team derived from the preliminary information.

- Not all FGDs necessarily need to include the Risks and Resources Maps and the Daily and Seasonal Calendars.

For specific guidance, please refer to **TOOLKIT: Tailored FGDs Facilitation Checklist.**

② **Individual Interviews**

The Individual Interviews are purposely designed to gather evidence at individual level, and explore specific issues or angles that have not emerged or are not clear from the FGDs. The Individual Interviews are guided by the **Topics of Inquiry,** and seek the investigation of precise issues related to the Sectors of Action. However, the mode proposed aligns with several factors and limitations observed during the implementation of programs and projects:

- The organization's sector-specific technical staff visits the community regularly for ongoing technical activities.

- When field and technical staff visit a community, there are idle moments when they get acquainted with people and have the opportunity to discuss general issues.

- Direct structured interviews are influenced by the social, cultural and power dynamics in the community, and these limit individuals responses.

The Individual Interviews can be carried out through a standard semi-structured mode. Alternatively, they can be performed by the field staff during the course of other project or program activities in parallel to the CPA process. In all cases, as under the **NCP** framework, they are not to be used to ask for specific individual or household information, otherwise they need to follow the principles and guidance of the Individual Protection Approach **(IPA MODULE).**

Individual Interviews may be particularly relevant in the following cases:

- When the information intended to be collected is sensitive to a particular AGD group

- When there are logistical limitations in organizing FGDs

- As a mean WHEN NEEDED and TIME ALLOWS, to further verify information collected during the FGDs.

For specific guidance, please refer to **TOOLKIT: Individual Interviews Facilitation Checklist.**

③ **Transect Walks**

The Transect Walks are designed to complement and support the FGDs and Individual Interviews, specifically in those cases where there is still unclear, biased or inaccurate information.

The Transect Walk is a systematic walk following a set path (transect) taken by the field staff together with community members - preferably people with knowledge within the community - across the area where the community is located and operates. Its purpose is to collect and visualize spatial information regarding perceptions of space and use of specific sites. In particular, this in-the-field data collecting method aims to gather and/or verify information by observing, asking, actively listening to and identifying problems and related causes, as well as possible solutions, acting in conjunction with community members.

A Transect Walk should involve community members categorized according to AGD criteria and should guarantee a homogeneous group of participants. While in progress, the Transect Walk should entail discussion and exchange of views on all the issues that have emerged from the ongoing Field Sessions.

The field team can use the information collected to triangulate and include it within the Risks and Resources Maps developed during the FGDs **(GUIDELINES 3.1.5)**. This might entail possible changes to the maps initially collected, which require checking by the field team before their digitalization **(GUIDELINES 3.2.3).**

For specific guidance, please refer to **TOOLKIT: Transect Walks Facilitation Checklist.**

3.2.3 Digitalization of the Risks and Resources Maps

> **⊙ OBJECTIVES**
>
> **1** Support community empowerment by facilitating maps of their community to elicit internal understanding and discussion.
>
> **2** Provide the community with maps for it to organize internal resources and to shape their strategies of early warning and preparedness.
>
> **3** Support other actors in initiatives of preparedness, early warning and response.
>
> **4** Provide a visual representation of protection risks and resources available in the community.
>
> **5** Support the compiling, cross-checking and triangulation of the data collected.

Digitalizing the maps is mainly desk work carried out by the field team and technical staff with expertise in GIS. The GIS points, when possible, are collected through the same tablets used for the Multi-Sector Questionnaire or alternatively with smartphones. When possible, the organization should use a specific GPS device. In order to avoid increasing the field work, the GPS points should be collected during all the PHASE I field activities. The outputs are digitalized maps including all communal and individual spatial information regarding the perception of space, protection risks and concerns, threats and main facilities in the community.

The maps are essential outputs that are complementary to the Community Profiles and Protection Response Plans. They are conceived to provide the community with concrete tools to make informed decisions and to develop strategies to address the negative consequences of the coercive environment.

The CPA Specialist should consult with the organization's strategic management prior to deciding on their use: internally, for better information provision to programs and interventions; or externally, for data visualization and advocacy with external actors. A risk analysis is necessary to identify possible security risks or threats of harm to individuals, communities or the organization's staff.

If the organization does not have staff with minimum GIS knowledge, it should seek and coordinate with other agencies or actors who do.

For specific guidance, please refer to **TOOLKIT: Digitalization of Maps.**

3.2.4 Technical Assessment

> ## ⊚ OBJECTIVES
>
> **1** Investigate the data collected from a more specific technical perspective in order to proceed with the next CPA steps related to the response phase in a specific community.
>
> **2** Identify and verify what does not meet international humanitarian standards at infrastructural level, in order to intervene on issues related to key humanitarian sectors, following a proper technical approach.
>
> **3** Be sure to identify any specific cases where the condition of the community's infrastructures might affect a given group of community members.
>
> **4** Understand, together with community members, the close link likely to emerge between basic humanitarian needs and technical problems relating to the condition of community infrastructures.

Technical Assessment (TA) refers to technical assessments and surveys to define the best technical approach to address the main challenges of a given community, particularly in terms of infrastructural needs. A comprehensive understanding of the status of the infrastructures in a community is crucial for the design of a **Protection Response Plan.**

Technical Assessment is a step suggested prior to designing the Protection Response Plans (PRPs). However, depending on the organization's specific sector expertise and on programming needs, the TA can take different forms. The CPA Specialist should hold an internal meeting with the organization's technical staff to understand available information, assessment needs and their influence on defining the technical solution to be included in a Protection Response Plan.

The CPA Specialist and technical staff should look at actions identified during the **NCP** as initial guidance on what needs to be technically observed at household or community level.

If the TA is not feasible ahead of designing a Protection Response Plan, the organization should identify further technical assessment that may be needed before developing projects or proposals based on the PRPs.

For specific guidance, please refer to **TOOLKIT: Technical Assessment.**

3.2.5 Individual Protection Approach

The Individual Protection Approach (IPA) takes place when the organization has decided to implement CPA Modes 2 and 4 **(GUIDELINES 2.1.4).** In the CPA framework, the IPA Triggers resulting from the Multi-Sector Questionnaire provide a picture of "non-visible" vulnerable cases with immediate physiological, dignity and safety needs, which are further followed and processed through the IPA system.

> The IPA is a system to identify and assess people whose immediate physiological, dignity and safety needs are not met; it supports, through guidance or mediation, the linking of right-holders to an appropriate service provider.

It follows up with the right-holder until confirmation is received that the service will be provided. It is a systematic process to organize the engagement of service providers until all options are exhausted.

The IPA system also contributes to strengthening right-holders resilience capacities to claim their right to assistance, and to identifying service-provision gaps, challenges or obstacles for accessing services in the framework of the overall CPA process.

The web-based **CPA Platform** is built to manage the whole IPA system efficiently and automatically; it has been designed to respect and uphold data protection principles and the duty of confidentiality. The platform allows the organization to have immediate deployment of the IPA system, with all the components of the structure, as presented below.

IDENTIFY
Right-Holders whose immediate physiological, safety and specific needs are not met

ASSESS
needs for material assistence or professional services and best placed actor to respond

LINK
to service provider through guidance or mediation

ANALYZE
the overall response system and trends in unmet needs at community level
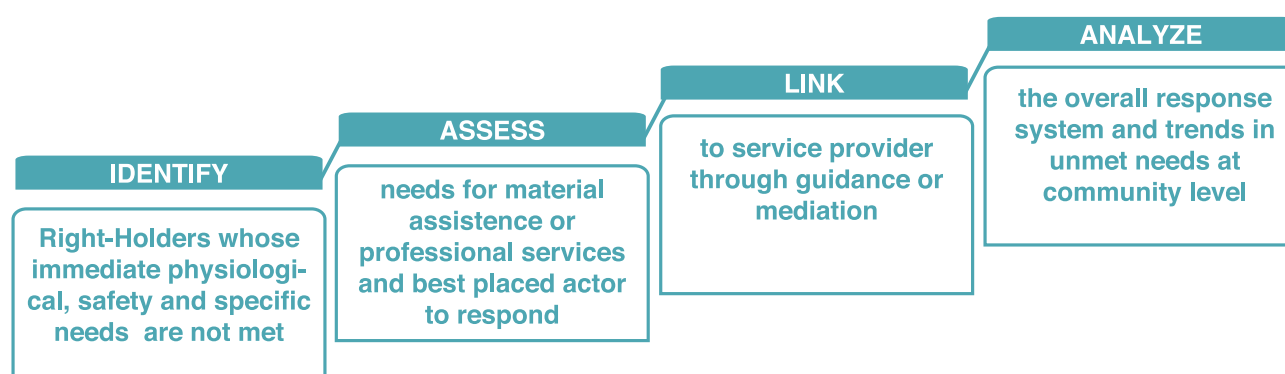
What It Is and What It Is Not

- The **IPA** is a system that **can be applied by any agency,** regardless of whether it be a service provider.
- The Individual Protection Approach **is not and does not aim to be a case-management system**. The IPA system is meant to ensure that right-holders are linked to service providers. An organization that decides to apply the IPA system will not be responsible for ensuring that the receiving agency commits to its obligations.
- The **IPA** is designed to assess individuals' multi-sector needs and to link these to one or more service providers. It therefore **supports an integrated and multi-disciplinary approach.**
- **The IPA is not meant to provide technical sector assessment** but rather to collect sufficient information to trigger referral to service providers.

A detailed explanation of all the **IPA** components can be found in the **IPA MODULE** of the Handbook, which provides the Guidance Notes, Checklists, Tools, Training Package and Information Management System for each of the four steps.

In the following sections, a brief description of each step is presented to guide the CPA Specialist and field team in understanding **IPA** application within the CPA mode chosen.

Step 1: Identification

The first step in the IPA system is identification of individuals, families and groups of persons affected by environmental, economic, social or political shock and, as a result of this, in need of assistance to meet immediate physiological and safety needs. It is of utmost importance that the organization develops an **Identification Strategy,** coherent to the CPA actions to identify and support people in claiming their rights.

An Identification Strategy generally builds on three main modes:

① **Self-reporting**

When the right-holder directly approaches the service provider or any other agency acting as mediator between right-holder and service provider.

② **Direct identification**

When the mediating agency or service provider proactively sets up strategies or creates opportunities to reach out to people in need of material assistance or specialized services.

③ **Reported by others**

When a third party brings the right-holder's needs to the service provider's attention. A third party could be a community member, an organization or a governmental body.

The **IPA MODULE** provides guidance in developing the mission's Identification Strategy, building on CPA activities to ensure that right-holders exercise or are supported in exercising their right to claim assistance.

Step 2: Assessment

Assessment is the step that involves the organization and the right-holder in discussion to grasp the immediate physiological, dignity and safety needs that the right-holder is unable to meet. These needs are:

① **Physiological** these are necessary for human survival and include air, food, water, shelter, warmth and clothing.

② **Safety** this need includes personal safety, financial security (employment, resources, property), health and wellbeing.

③ **Dignity** this is a sense of personal identity and self-respect, including freedom.

The **IPA Assessment** is carried out when five conditions are present:

1. An individual or group of people is directly or indirectly experiencing the consequences of an emergency and identified as in need of humanitarian assistance or professional services.

2. The right-holder is not aware of how to reach the service provider or is unable to directly access such a service.

3. The right-holder is willing to participate in the assessment and provide consent to record, store and share their personal data and possibly sensitive information.

4. When the assessment will not cause further harm to the right-holder.

5. When the assessment can be carried out in conditions of privacy and confidentiality.

The **IPA Assessment From** is the tool designed to guide discussion between the organization and the right-holder, and involves four different types of assessment:

- **Community** incidents
- The **households** material assistance needs
- The **familys** and **each members** physiological, dignity and safety needs.

Drivers in tailoring the different types of assessment were the right to participation, confidentiality and the privacy of the person or persons in need. Structured to respect such principles, each Assessment Form collects a different level of personal and sensitive information.

Step 3: Link

The **IPA** Link step connects the right-holder to a service provider. This connecting is generally carried out in two ways:

- When the right-holder is able to provide for his or her wellbeing but does not have the necessary information to reach the service provider, specific **guidance** is provided. The organization must offer accurate and detailed information to support self-referral. Self-referral is the preferred option since it contributes to the empowerment of individuals.

- In circumstances such as the immediate aftermath of a shock or when the right-holder is not in the condition to take responsibility for his or her wellbeing, the **IPA** supports through **mediation,** therefore referring to the service provider.

The **IPA** Information Management System supports the organization in documenting and following up each referral and self-referral, until the best-placed service provider is identified and confirmation is received that the service will be provided. Each self-referral is monitored in direct contact with the right-holder if consent is provided. The monitoring is meant to:

- assess whether any obstacle prevents access to the service and, if so, what kind of obstacle it is.

- support the right-holder in approaching or being received by another service provider if the first self-referral was not successful.

Referral follow-up is coordinated with the receiving agency, to ensure that the response is effective and timely. In addition, process monitoring and analysis allows a further understanding of the main challenges and limitations in the overall response mechanism, such as:

- Reasons for rejection so as to analyze missing services
- Number of referral attempts made in responding to **each** need
- Referrals closed without response by service providers
- Measuring the real time dedicated to each case.

Step 4: Analyse

Ensuring right-holders reach meaningful access to assistance and services is not the sole objective of the **IPA**. It also aims to improve the overall response system and programmatic interventions at community level. For this reason, data analysis is a very important phase of the **IPA**. The **IPA** data analysis focuses on four main dimensions:

- Process quality, in order to continuously learn and improve
- Indicators for donor reporting
- The response system in the intervention area and beyond
- Trends in communities in order to support development of Protection Response Plans.

When the organization decides to use CPA Modes 2 or 4, the field team, in conjunction with the Protection and CPA Specialists, should incorporate the **IPA Analysis** results within the Protection Analysis process **(GUIDELINES 4.2 and 4.3).**

4

PHASE II: Protection Analysis and Facilitation of Local Response Plans

4.1 Extraction of Quantitative Protection Risk Analysis

4.2 Analysis of Qualitative Results

4.3 Identification of Protection Response Plans

4.4 Elaboration of Community Profiles

4.5 Identifying a Strategy for Community Empowerment

PHASE II: Protection Analysis and Facilitation of Local Response Plans

This PHASE is the period when the organization reviews and analyzes the results from PHASE I: Assessment and Context Analysis. This review and analysis is geared towards elaborating specific outputs to ensure the CPA objectives are achieved. The outputs elaborated during this PHASE should be routinely kept by the organization throughout project and program implementation, and can be updated on a yearly basis through implementation of PHASE III: Time Analysis and Monitoring (**GUIDELINES 5**). The outputs include:

This analysis process starts by studying the **IPSI** results. The CPA Specialist and field team should look at the following (**GUIDELINES 3.1.5**):

Validated IPSI — Protection Response Plan — Community Profile — Digitalized Risks and Resources Maps — IPA Triggers Reports

(CPA Modes 1 and 3) identifying possible risks affecting individuals and families[12]

The diagram below shows the outcomes of PHASE II in relation to the specific CPA component and the outputs described above.

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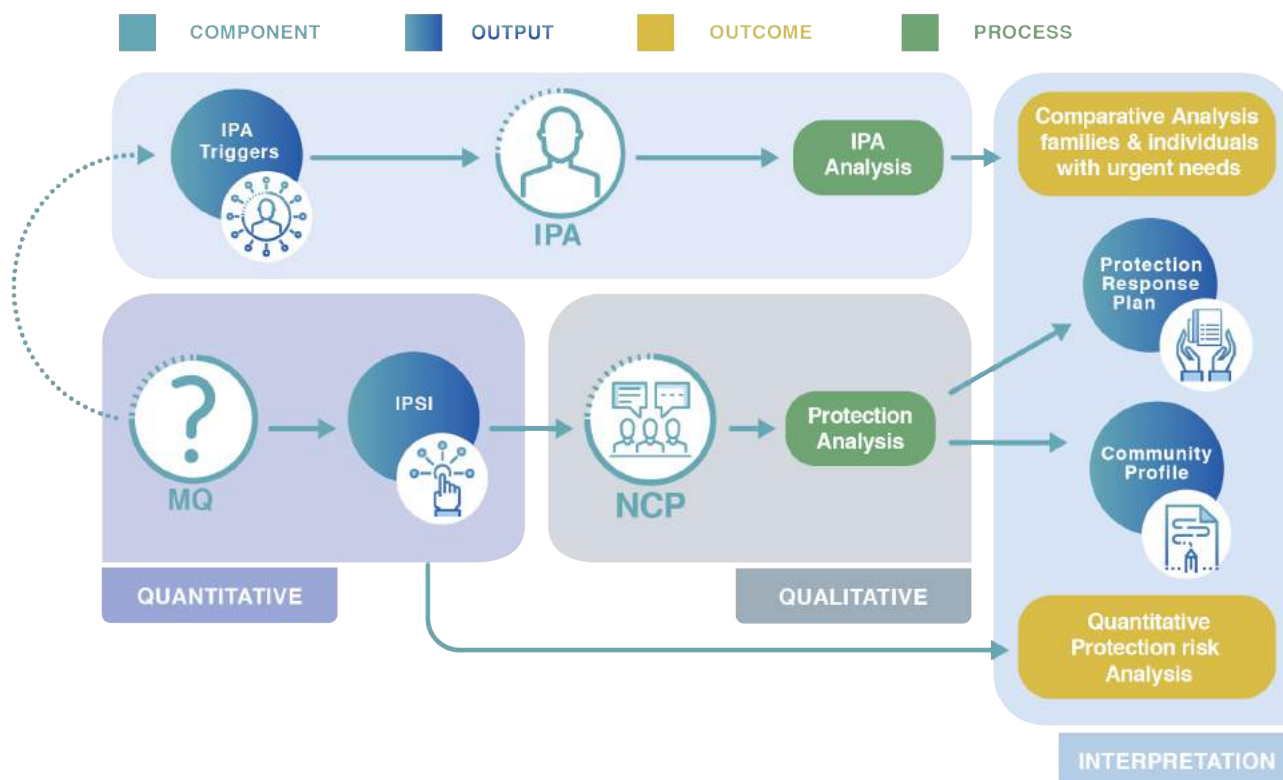
[12] If the organization implements CPA Modes 2 or 4, the **IPA system** provides a comparative analysis of individuals and families with immediate physiological, dignity and safety needs (**IPA MODULE**).

There is no standard process for organizing the internal review within the organization, since it depends on the internal organogram and resources. However, involving the strategic management during this stage is strongly advised, since the outputs are designed to inform multiple programs in the same geographic area, whether they be developmental or humanitarian. Their joint design and understanding is fundamental to elaborate an **integrated programmatic protection strategy** providing information to the ongoing operations of the organization and partners in the area.

4.1 Extraction of Quantitative Protection Risk Analysis

OBJECTIVES

1. Guide the NCP analysis and the IPA by means of the Triggers and Topics of Inquiry

2. Guide integrated programming by identifying those communities where intervention is to be prioritized, by determining the Sectors of Action with a higher Protection Risk, and by drawing correlations between Sectors of Actions.

3. Develop a Dignity and Safety Profile for all assessed communities.

4. Support evidence-based advocacy through the tabulation and mapping of information.

This analysis process starts by studying the **IPSI** results. The CPA Specialist and field team should look at the following (**GUIDELINES 3.1.5**):

- Values provided by the indicators
- Values provided by the indexes and Sub-Indexes

The **IPSI** describes the situation for each community in terms of **Protection Risk** (threats, vulnerabilities and capacities), **Sectors of Action** and **Dignity and Safety.** These values guide the reading and analysis of the qualitative information collected through the **NCP** and the **IPA** (if the organization implements CPA Modes 2 or 4).

All information is automatically provided in the web-based CPA Platform in a series of graphs and tables that are accessible for viewing and interpretation. Nonetheless, any presented analysis can also be obtained through conventional data analysis using Excel, SPSS or any other data analysis software once the databases of indicators and indexes are obtained. The **TOOLKIT: IPSI Indicators Calculation Sheet** provides a basic automated calculation and the **TOOLKIT: Analysis, Interpretation and Visualization of IPSI Results** can be used to elaborate further analysis.

Through the **IPSI**, the following results can be automatically inferred and used for the different programming and advocacy needs, along with their necessary interpretations in designing the PRPs:

A	**Indicators for NCP Analysis and Investigation**	Combination of the highest values of normalized indicators and sectors.	**GUIDELINES: 4.1.1**
B	**Priority List of Communities f or Programming**	Comparable identification of communities with the greatest protection risks affecting the highest number of sectors.	**GUIDELINES: 4.1.2**
C	**Sector Correlation and Programming**	Correlation coefficients between sector indexes, showing whether sectors of action influence or have a specific connection with each other.	**GUIDELINES: 4.1.2**
D	**Community Safety and Dignity Profile**	Visual analysis giving an initial representation on whether the communities may be more affected either by safety or by dignity issues.	**GUIDELINES: 4.1.2**
E	**Tabulated Indicators for Advocacy and Programming**	Combination of indicators that can be designed according to specific advocacy or programming needs.	**GUIDELINES: 4.1.3**

For a more detailed understanding of the different results provided by the **IPSI**, please refer to **TOOLKIT: Analysis, Interpretation and Visualization of IPSI Results.**

4.1.1   Guidance to Link Quantitative Data with NCP and IPA Analysis

The CPA Specialist and field team are free to identify any indicator resulting from the **IPSI** in order to study qualitative evidence collected through the Field Sessions during PHASE I. However, given the complexity of the exercise, the CPA provides a system to guide, using a rational and systematized process, the linking of the quantitative and qualitative results in the data collection. The system is based on:

- The TRIGGERS MECHANISM (**GUIDELINES 3.1.6** and **TOOLKIT: Triggers**)
- The TOPICS of INQUIRY (**GUIDELINES 3.1.7** and **TOOLKIT: Topics of Inquiry**)

Triggers Mechanism

The Triggers Mechanism helps identification of the core protection risks and heightened vulnerabilities through a fixed logical process to determine whether a risk or a vulnerability is effectively generating a need for further investigation. This logical process is executed as follows:

①   A specific threshold or condition is set for specific **MQ** questions and **IPSI** Indicators

②   If the threshold is surpassed or the condition is satisfied, then the trigger is activated. The activated triggers are automatically visualized within the web-based CPA Platform. Alternatively, manual extraction from the **MQ** database can be carried out using **TOOLKIT: IPSI Indicators Calculation Sheet** and **TOOLKIT: Triggers.**

The diagram presented below provides visual exemplification for each Trigger.

TRIGGER GENERATED BY	TYPE OF TRIGGER	MQ QUESTIONS/ IPSI INDICATORS	POSSIBLE ANSWER/RESULT	CONDITIONS FOR FUTHER INVESTIGATION
MQ ?	**IPA**	Are there any parents who lost their children during an emergency situation?	1.Yes 2.No 3.Don't know	If Yes, futher investigation at individual level
IPSI	**NCP**	Type of restricted area	0. No restricted area 1. Official & Non-discriminatory 2. Official & Discriminatory 3. Unofficial & Non-discriminatory 4. Unofficial & Discriminatory 5. Don't know	If indicator value above 1, futher investigation through FGDs
MQ ? **IPSI**	**Legal Mapping**	Indicator: Community Land Tenure Security	1. Totally secure 2. Extremely secure 3. Very secure 4. Moderately secure 5. Secure 6. Unsafe 7. Moderately insecure 8. Very insecure 9. Extremely insecure 10. No security at all 11. Don't Know	If indicator value above 5, futher investigation to be conduced at individual or community level
MQ ?	**Service Mapping**	What type of health worker can be found in the nearest accesible Primary Health Centre?	1. General doctor 2. Pediatrician 3. Psychiatric 4. Other specialized doctors 5. Nurse 6. Midwife 8. Nutritionist 9. Community health worker 10. Social worker	Service mapping is cross-checked and updated based on the answers

Qualitative Dimensions

A series of Qualitative Dimensions associated to each **IPSI** Indicator, together with the NCP Triggers, define the Topics of Inquiry. These dimensions outline specific investigation topics to identify causes, consequences and coping strategies for each indicator. They are formulated as topics addressed during the **NCP** Field Sessions. At this stage, the field team has collected evidence related to each topic of inquiry, following the process outlined in **GUIDELINES 3.1.5**, and thus associates it with each indicator.

At the end of this process, each community's indicators reflecting the highest risk - and thus reflecting a picture of the main problematics in the community - are linked, through the **NCP**, with evidence of causes, consequences and coping strategies. This guides analysis of the qualitative information, as described in **GUIDELINES 4.2**.

The following diagram shows an example of how the quantitative and qualitative information are combined by the tools provided.
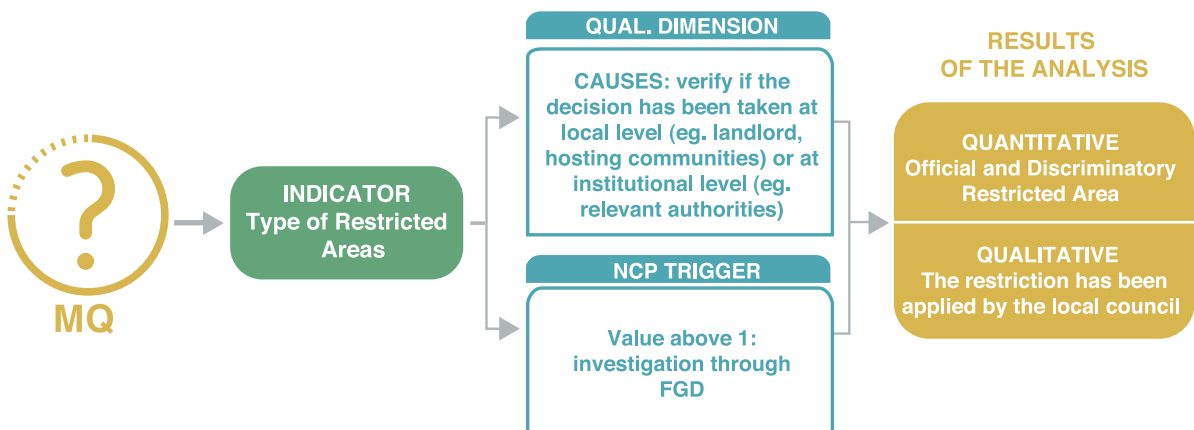
4.1.2 Guidance for Programming

The **IPSI** results provide valuable information to shape the design of PRPs. However, when immediate and urgent actions are required and cannot wait for finalization of the Protection Response Plans, the **IPSI** results can already provide some indication for programming. Different analyses with **IPSI** data can be developed to extract results to guide programs.

Priority List of Communities for Programming

The Protection Risk Index and the Sector Indexes of Protection Risk (see **GUIDELINES 3.1.4**) allow prioritizing of communities most at risk and knowledge of what extent the risk is scattered through different Sectors of Action or whether it is concentrated in only a few.

The prioritization parameters need to be identified by the organization in the context, and can be created by any combination of **IPSI** elements, as long as this respects the Protection Risk values (i.e. prioritization on the basis of only a few indicators is methodologically incorrect given the design of the **IPSI** values and analysis).

Some TIPS based on prioritization undertaken in a protracted crisis are presented below:

⭐ **TIPS: Suggested Community Prioritization System Based on IPSI Values**

- Identify the third quartile of the Protection Risk Index - this value and above indicate the top 25% of the communities assessed as having the highest Protection Risk[13].

- For those communities at or above the third quartile, identify how many sectors again show a value at or above the third quartile for each of the Sectors of Action Indexes.

- Calculate how many of a specific community's sectors are above the value.

- Rank the filtered list of communities obtained during the first step according to the number of sectors identified in the third step.

At the end of this process, a ranked community list of where to prioritize types of intervention is obtained. In addition, the Sectors of Action most at risk in each community are identified.

Sector Correlation and Programming

Correlation analysis between Sector Indexes of Protection Risk can trace out associations between sectors. The correlation coefficients show whether strong association (positive or negative) exists between sectors. Strong associations indicate that the problematics present in two or more sectors are closely interlinked. Thus it may be inferred that intervention to respond to the problems in one sector would have a strong impact on the problematics of the other sector/s.

This correlation analysis is not limited to the Sector Indexes of Protection Risk and may also be conducted at indicator level or between other **IPSI** Indexes. However, the basic mode of correlation between Sector Indexes offers its greatest added value in providing information to integrated programming.

Community Dignity and Safety Profile

Important analysis that draws on the potential of CPA analysis comes from the comparison between:

- **The Protection Risk Sub-Indexes** (Threats, Vulnerabilities and Capacities Sub-Indexes)
- The **Dignity and Safety Profile** of a community.

While the Protection Risk Sub-Indexes are provided directly by the **IPSI**, the Dignity and Safety Profile is generated through cross-analysis between the Dignity and Safety Indexes. By plotting the communities in an abstract space (scattered plot) where the X-axis corresponds to the Safety Index and the Y-axis is given by the Dignity Index, we can classify communities into four Dignity and Safety Profiles:

- Safe and Dignified
- Safe and Undignified
- Unsafe and Dignified
- Unsafe and Undignified
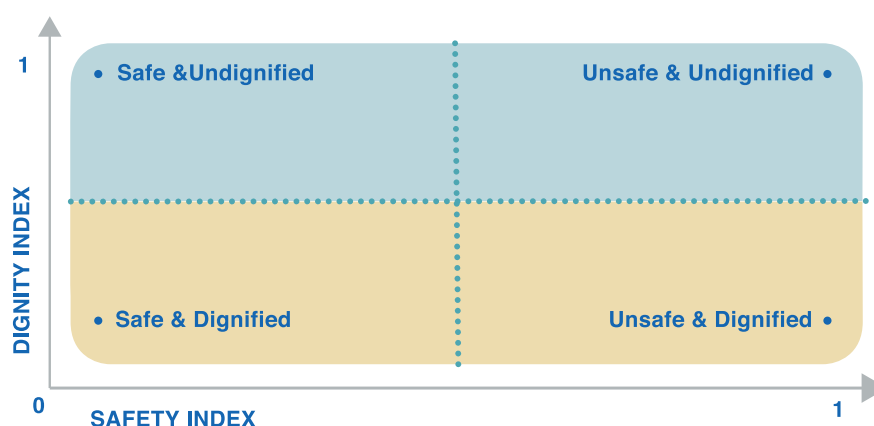
Safety and Dignity Indexes are interpreted as Protection Risks for Safety and Dignity.
0=minimum risk on Safety and/or Dignity; 1=maximum risk.

The above graph is automatically generated by the CPA Platform.

By exploring the results of the Threats, Vulnerabilities and Capacities Sub-Indexes and the Dignity and Safety Profiles, the organization can gain a better picture of the community and shed light on the most appropriate type of intervention for the community.

The figure below features a matrix example of how a community's Dignity and Safety Profile can be combined with its Protection Risks (threats, vulnerabilities and capacities) to guide during elaboration of the Protection Response Plans. In particular, it shows how intervention type scaled within the Protection Egg can relate to the community's Dignity and Safety situation (See **GUIDELINES 4.3**).

	Substitution	Support	Persuasion/Mobilization
Responsive	Threat	Threat	Threat/Vulnerability
Remedial	Threat/Vulnerability	Vulnerability/Capacity	Capacity
Enviroment Building	Vulnerability	Capacity	Capacity

Safety   Dignity

4.1.3 Evidence-Based Advocacy

The **IPSI Indicators** not only provide information to better understand the communities' situations as well as specific program or advocacy objectives in the context, they can also be combined to explore specific situations, needs or protection risks.

The grounded indicators (**GUIDELINES 3.1.4**) stand as a powerful tool to supply easily communicable evidence on the problematics of a community, district, region or country, thus supporting advocacy activities. The grounded indicators can be tabulated for this purpose to offer a wide range of descriptive results. An example is provided below:

INDICATORS: Type of restricted area, of checkpoint and of curfew	Affected by	Type			
		Official	Unofficial	Not-discriminatory	Discriminatory
Checkpoints (% of communities)	5.30%	86.30%	13.70%	95.40%	4.60%
Restricted area (% of communities)	2.80%	96.70%	3.30%	98.30%	1.70%
Curfews (% of communities)	3.40%	75.00%	25.00%	86.40%	13.60%

These descriptive results can be further separated at different administrative levels and by relevant variables (e.g. urban-rural, gender, age groups) to focus the results on specific areas or groups and to provide comparative analysis, as in the example below:

	Average % of single female headed households	Average % child carer households	Average % of elderly headed households	Average % of other type of households
Urban	1.6%	0.90%	1.20%	96.30%
Rural	6.0%	6.58%	2.30%	85.12%
District 1	10.3%	7.20%	2.40%	80.10%
Urban	2.3%	15.50%	3.70%	78.50%
Rural	3.7%	2.40%	1.50%	92.40%
District 1	7.8%	1.20%	1.60%	89.40%

At the same time, tabulated analysis also allows two different indicators to be crossed (cross-tabulation) in order to observe how they relate to each other, as in the following example:

INDICATORS: #of service at walking distance and type of risk on movements	No violations	Only Property	Only Capture of Individuals	Only violence	Multiple	All type of violation
# of service within walking distance <3 (% of communities)	52.00%	11.40%	2.00%	22.40%	11.60%	0.70%
# of service within walking distance > =3 (% of communities)	67.00%	12.30%	0.30%	13.60%	6.40%	0.40%

Additionally, these tabulated analyses can be plotted onto graphs to display more attractive visuals (see **TOOLKIT: Analysis, Interpretation and Visualization of IPSI Results**). All the **IPSI** data can be georeferenced through the community's GPS coordinates collected during the **MQ** and can be generated as maps for any of the indicators or indexes. In addition to the community's GPS coordinates, it is always advisable to obtain the GIS layers for the different administrative units of the country, so that data may be georeferenced at the different administrative levels.

Besides being powerful tools for advocacy, tabulation and mapping can also be useful in programming: specific needs or risks requiring response can be identified by observing the indicators related to a specific problematic.

4.2 Analysis of Qualitative Results

🎯 OBJECTIVES

1. Analyze quantitative and qualitative data together, to fully understand casualties and effects of the identified risks and needs

2. Perform comprehensive and evidence-based analysis of protection risks for each community.

3. Study communities' dignity and safety resulting from the narrative evidence of threats, vulnerabilities and capacities, and the causes, consequences and coping strategies for each one.

4. Develop an evidence-based rationale to define multi-sector, multi-stakeholder and multi-level plans to address each community's coercive environment.

The CPA Specialist and field teams, in conjunction with technical experts, obtain results that come from the **IPSI** combined with the qualitative data collected through the **NCP**.

During implementation of PHASE I, ongoing analysis of the results from the **qualitative information** should already have been performed. Therefore, after completing the Field Sessions in the **Tailored NCP**, the CPA Specialist should organize a series of internal workshops to synthesize the results into the described outputs.

The tools provide already systematized results to the organization combining the quantitative (**IPSI**) and qualitative (**NCP**) data. However, the CPA Specialist and field team should keep a critical perspective and revise, if necessary, the information collected at the different stages, in collaboration with the organization's technical staff, Data Analyst and strategic management. A careful review of the tools (or the respective sections of the web-based CPA Platform) is also advised, in the following order:

- **TOOLKIT: IPSI Indicators Calculation Sheet**
- **NCP** TOOLS - 1) **TOOLKIT: Note-Taking Tool**, 2) **TOOLKIT: Protection Analysis**, 3) **TOOLKIT: Development of Activities**, and, 4) **TOOLKIT: Protection Response Plans** (Tools 2, 3 and 4 are inter-automated with each other)
- **TOOLKIT: Triggers**

Protection Analysis is therefore a participatory internal process to understand a community's current situation and build a strategy to address the coercive environment. It is composed of two steps:

1 **Defining an Exit Strategy**

2 **Protection Analysis and the Identifying of Actions**

4.2.1 Defining an Exit Strategy

The CPA aim is the empowerment of communities and individuals to make informed decisions and be in a position to ensure their own protection in a context where duty-bearers duly comply with their responsibilities. This objective cannot be achieved unless the organization ensures a strategy to reduce the communities' dependence on aid, and structures transition of the provided support and relief to the respective duty-bearers.

The above requires the mainstreaming of an Exit Strategy within all the projects and programs drawn up on the Protection Response Plans and the analysis provided by the CPA. This strategy needs to be flexible, has to take into careful consideration the roles of the different stakeholders in the area, and should be revised on a yearly basis. An Exit Strategy cannot be achieved alone by an organization.

The objectives, plan and conditions for each Exit Strategy vary considerably from context to context, and even from community to community. Some guidance is provided in the **TOOLKIT: Example of Transitional Strategy** and in the following TIPS.

☆ **TIPS: Defining an Exit Strategy**

- • Review the results of the TOOLKIT: Stakeholder Analysis
- • Analyze the characteristics of the targeted population (e.g. refugees).

- • Identify the roles of the duty-bearers for each area (e.g. in some cases, local authorities and actors are very supportive, even though more-centralized governmental bodies may be blockers or, sometimes, perpetrators of violations).

- • Study what the organization can and cannot do, and identify what other actors could do.

- • Set an initial time frame for the Exit Strategy, structured to the context.

- • Keep the strategy flexible and open, to be revised on a yearly basis.

4.2.2 Protection Analysis and the Identifying of Actions

Even though the CPA Specialist adapts the approach to each case, the Protection Analysis can be built on a sequential process to ensure consistency in the use of evidence-based data:

PHASE I - Key Protection Problems:

The NCP Field Sessions have been used to collect evidence to qualify IPSI indicators. Each protection problem is associated with a quantitative indicator and the community's perspective on problem severity.

TOOLKIT: Note Taking Tool

PHASE II - Analysis Based on Coding:

The narratives reflecting the communities' evidenced perspectives are organized into codes (See Technical Note GUIDELINES 3.1.5).
The codes provide sector representation of the protection problems, and show what the values of Protection Risks represent in terms of underlying causes and effects on the population.

TOOLKIT: Protection Analysis

PHASE III - Action Rationalization

The rationalization of action suggested by the community are linked to each code. These activities are therefore reviewed under the rationale of:

PROTECTION PROBLEM→IPSI VALUE → CODE→ACTIONS SUGGESTED

TOOLKIT: Development of Activities

The above process is repeated to relate all **Sectors of Action** to each other so as to understand possible joint causes of sector needs and risks, or existing spillover effects (e.g. one sector need exacerbates another sector need or risk, or one sector-specific issue is the direct cause of another sector need or risk). See diagram-based examples in **GUIDELINES 3.1.5** and **5.4.**

In providing further elements to shape the analysis, the field team and CPA Specialist should also look at the **Triggers** (**TOOLKIT: Triggers**) resulting from the **IPSI**: these serve as guidance in an initial overview of families and individuals with immediate needs or protection problems that require attention. The Triggers should indicate immediate actions, which should be taken into account when elaborating a Protection Response Plan.

If the organization has decided to implement CPA Modes 2 or 4, the **IPA** Analysis should result in identifying specific actions targeting individuals and families to be included in the Protection Response Plans.

Some TIPS on arranging the Protection Analysis internal workshops are provided. However, each organization should identify the most suitable approach based on its internal organogram and resources.

⭐ **TIPS: Protection Analysis Internal Workshops**

① The CPA Specialist and Data Analysts look into the **IPSI** results ⬭GUIDELINES: 4.1⬭

② Each field team revises the ⬭TOOLKIT: Development of Activities⬭ during joint sessions, possibly inviting technical staff with knowledge of the community. These sessions focus on understanding any links there might be between sectors of action, and identified risks and needs. In addition, the sessions are also an opportunity for brainstorming on possible solutions to guarantee the Exit Strategy.

③ The field team revises the ⬭TOOLKIT: Development of Activities⬭ and ⬭TOOLKIT: Protection Response Plans⬭ and rephrases or adds actions resulting from the brainstorming. At this stage, the actions may or may not be suggested by the community but are nevertheless in need of revision or elaboration into a more integrated action.

④ The CPA Specialist organizes a second series of joint sessions with the field teams with the same objectives. The CPA Specialist makes sure a field team looks at communities targeted by another field team ⬭TOOLKIT: Protection Response Plans⬭ During this stage, more focus is placed on outlining actions for the Protection Response Plans. The CPA Specialist guides a further revision of the activities, particularly ensuring that the Exit Strategy is taken into account for each sector of action.

⑤ The CPA Specialist organizes revision of the Protection Response Plans with the organization's strategic management. The Protection Response Plans include advocacy as well as more-structural and developmental actions, which do not necessarily fit with existing response standards. The strategic management should focus on revision of the PRPs to ensure appropriateness within the context.

The activities suggested by the community are rationalized in line with the results of the Protection Analysis. This exercise is the entry point for starting to draft a Protection Response Plan. A comprehensive multi-sector list of actions is provided in the **TOOLKIT: Development of Activities** to guide in reviewing and determining the actions listed in the final Protection Response Plans for each targeted community (**TOOLKIT: Protection Response Plans**).

4.3 Identificati-on of Protection Response Plans

The CPA Specialist leads the designing of a short-to-long-term integrated protection strategy based on the results of the Protection Analysis. The integrated protection strategy is translated into a Protection Response Plan (PRP), which is built on the International Committee of the Red Cross Protection Egg. The CPA Specialist should consider at all times that:

> A Protection Response Plan does not reflect only the activities of a single organization, but outlines a set of actions to address the coercive environment in a specific community.

A **Protection Response Plan** has the following characteristics:

- **I. It is multi-sector**
  It includes actions for every sector where relevant protection problems have been identified in consultation with the community. Not all sectors will require corresponding actions - only those resulting from the analysis of indicators, protection problems and needs.

- **II. It is multi-stakeholder**
  The structuring of actions should recognize the roles of stakeholders and duty-bearers. The provision of direct "relief" by the organization should only be regarded as a last option when designing the strategy. The PRP should be drafted as a road map for the organized engagement of different actors and the search for complementary and coordinated programs.

- **III. It is multi-scale**
  It is based on the Egg Protection Framework and thus the actions are organized according to different objectives on two different scales: OBJECTIVES and TIME PERSPECTIVE - Responsive, Remedial and Environment-Building; and OBLIGATIONS/RESPONSIBILITIES - Substitution, Support, Mobilization, Persuasion/Denunciation[14].

CPA
COMMUNITY
PROTECTION
APPROACH

CPA **TECHNICAL NOTE: The "Egg" Protection Framework**[14]

Actions classified according to objective and the time perspective (ICRC, 2001).

- **Responsive action**
  any activity undertaken in connection with an emerging or established pattern of abuse and aimed at preventing its recurrence, putting a stop to it, and/or alleviating its immediate effects.

- **Remedial action:**
  any activity aimed at restoring people's dignity and ensuring adequate living conditions, subsequent to a pattern of abuse, through rehabilitation, restitution, compensation and reparation.

- **Environment-building action:**
  any activity aimed at creating and/or consolidating an environment – political, social, cultural, institutional, economic or legal – conducive to full respect for the rights of the individual.

THE "EGG" PROTECTION FRAMEWORK

Environment-building
Remedial action
Pattern of abuse
Responsive action
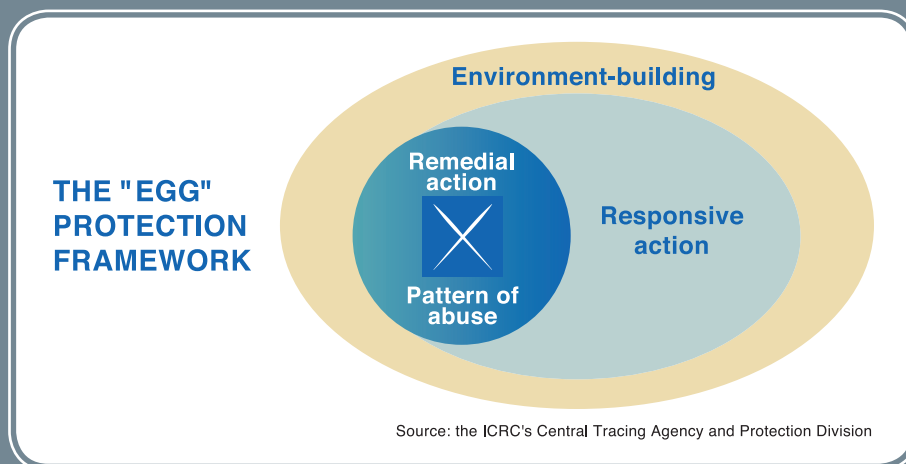
Source: the ICRC's Central Tracing Agency and Protection Division [16]

Actions classified according to obligations and/or responsibilities (ICRC, 2001).

- **The substitution method** means directly providing services or material aid to the victims of violations.

- **The support-to-structures** method means empowering existing national and/or local structures through project-oriented aid to enable them to carry out their functions.

- **The persuasion method** means convincing the authorities, through dialogue, to fulfil their obligations and protect individuals exposed to abuse.

- **The denunciation method** means pressuring the authorities, through public disclosure, into fulfilling their obligations and protecting individuals or groups exposed to abuse.

- **The mobilization method** involves engaging (often in a non-public way) with other key stakeholders so that they themselves put some pressure on duty-bearers. (DG ECHO, 2016)

[14] DG ECHO, ECHO Protection Policy (2016).
[15] ICRC, Strengthening Protection in War (2001).
[16] Ibid.

On the basis of the Egg Protection Framework, the PRPs should thus be structured with both soft and hard actions. This means including all actions identified for the process of empowering communities and individuals (e.g. awareness, training and support, coaching and mentoring). It also means outlining all those activities required to engage duty-bearers and local actors in their relations with right-holders, and building pathways of influence (e.g. local mediation and diplomacy, coordination, joint actions).

The figure below features a matrix example of how a community's Dignity and Safety Profile can be combined with its Protection Risks (threats, vulnerabilities and capacities) to guide during elaboration of the Protection Response Plans. In particular, it shows how intervention type scaled within the Protection Egg can relate to the community's Dignity and Safety situation (See **GUIDELINES 4.3**).

	Substitution	Support	Persuasion/ Mobilization
Responsive	Threat	Threat	Threat/ Vulnerability
Remedial	Threat/ Vulnerability	Vulnerability/ Capacity	Capacity
Enviroment Building	Vulnerability	Capacity	Capacity

Safety   Dignity

The CPA Specialist and field team should already possess all the relevant information, built up during the **NCP** and analysis of actors, and specifically collected through:

- **TOOLKIT: Stakeholder Analysis.** This tool should contain information and insights on the main stakeholders' roles and influence for each community. The tool should be consulted during the PRP drafting process. It is particularly relevant to analyzing the power dynamics in each community to define a safe and appropriate empowerment process doing no harm.

- **TOOLKIT: Service Directory.** This is important for consultation, to understand the services provided to the community and the respective service providers. It allows an understanding of gaps in services and the extent of the community's knowledge of these services. It is crucial to ensuring inclusion of appropriate support and empowerment strategies that lever on the shared knowledge within the community.

Design of the Protection Response Plans can be organized in different ways, and some TIPS have been provided in **GUIDELINES 4.2**. However, three mandatory steps, presented in CHECKLIST 14, should be considered.

CHECKLIST 14: Considerations in Designing the Protection Response Plans

1	**IDENTIFICATION OF ACTIONS BY THE FIELD TEAM:** The field team possesses the most valuable understanding of the community, and as such can provide a guiding direction in establishing links between the quantitative and qualitative results of the Protection Analysis. In addition, the team can provide an initial overview on prioritization of the actions proposed by the community and individuals.
2	**COMPILATION OF ACTIVITIES AND INITIAL REVIEW:** The CPA Specialist is tasked to draw up the PRPs and trigger internal work sessions to review the list of actions compiled by the field teams. A work session must include all the relevant field staff, technical staff providing technical expertise, and Project Manager(s) to ensure that some actions reflect the general objectives of ongoing projects or programs. These work sessions are crucial in the organization's process of knowledge transfer and learning. The work sessions should produce a final list of actions organized according to the Egg Protection Framework. If the Protection Response Plans do not include activities suggested by the communities, the field team should consider arranging a session to discuss and properly explain the reasons for this to the community, also showing the Protection Analysis results.
3	**HIGHER MANAGEMENT REVIEW:** The CPA Specialist should be familiar with the rationale behind each designed PRP and share the final PRPs with the organization's strategic management (e.g. Program Coordinators, Country Director) for a final review. This review should ensure that the objective of well-integrated Protection Response Plans is achieved, including technical consistency such as wording, and stakeholders' and duty-bearers' identities and roles.

Use and Dissemination of the Protection Response Plans.

A Protection Response Plan is designed in order to obtain a comprehensive short-to-long-term strategy for a community, built on people's perspectives. A PRP is therefore meant to be shareable with all the actors targeting a community. The community itself should be the owner of the Protection Response Plan.

However, sharing the Protection Response Plan can be a sensitive issue, since the plan includes advocacy and other strategies, some of which address violations by perpetrators who may be in the community or among the stakeholders serving the community.

Thus, the PRP can be presented in different ways to minimize the risk of repercussions or further violations, and this decision stands with the organization. In all cases, the following considerations should be taken into account:

CHECKLIST 15: Considerations in Sharing a Protection Response Plan

- Carefully review the activities included in **Substitution, Support and Mobilization** to ensure none of the information conflicts with cultural, social, technical or power dynamics that are sensitive for key stakeholders.

- Consider keeping the **Persuasion/Denunciation** activities exclusively for internal use or targeted use with stakeholders or actors with specific mandates.

- In sharing the PRPs with communities:

A	Make sure the communities were already engaged during the **NCP** on what the PRP would include (reaching a consensus might not have been possible in all cases, but a transparent and informative process should nonetheless have been ensured);
B	Identify whether there are specific perpetrators within the community and consider removing the most sensitive activities;
C	Properly pace PRP presentation and feedback with the community, on the basis of a careful risk and do-no-harm analysis (e.g. the organization could decide to schedule PRP feedback for a later date, and carry out additional activities to create the conditions to reduce conflict or tensions).

- The web-based CPA Platform ensures data protection respecting international standards. If the organization uses the non-digital tool, ensure PRPs are stored and saved in compliance with data protection standards.

- The organization may therefore have a Master PRP to involve trusted actors in, while only specific sections of the PRP are provided to certain actors for their consultation.

4.4 Elaboration of Community Profiles

The Community Profiles are intended first and foremost as a tool for the community. Communities are often targeted by various actors, and different field staff members visit the community multiple times to carry out assessments or identification for projects, programs or initiatives. Although coordination mechanisms are in place to ensure international aid complementarity - some are more operational (e.g. the Humanitarian Cluster system) while others act more at policy level - the fatigue of communities is still a relevant issue.

The **Community Profiles** intend to accompany the **Protection Response Plans** and the **Risks and Resources Maps**, and should be in the\ community s hands. They are intended as an evidence-based strategy that the community can use to discuss or coordinate with any actor or organization approaching them to provide support. In these terms, the three outputs can serve as an initial integrated analysis of the community, and each actor can draw on these for sector-specific projects, programs or initiatives.

Given the specificities of each context, the Community Profile format must be agreed on and designed by the organization and should include what it considers relevant for the context. Nevertheless, an example of Community Profile format is provided in **TOOLKIT: Community Profile Sample Format** to guide design. In addition, the following TIPS provide a list of what information it should contain:

☆ **TIPS: Community Profile Content Suggestions**

- Relevant demographic data from the Multi-Sector Questionnaire
- Protection Risk values extracted from the **IPSI** and visualized by Sector of Action
- Any other relevant indicator or Safety and Dignity value from the **IPSI**
- A brief outline of the Protection Analysis results for each Sector of Action
- A summary of the main results contained in the **NCP** codes, and specifically:
  - DIGNITY - Community Empowerment, Accountability, Participation and Empowerment
  - SAFETY - Individual Safety, Environmental Safety
- Risks and Resources Maps

The Community Profiles are intended to be shareable, like the Protection Response Plans, with key stakeholders and duty-bearers, in order to ensure complementarity and integration of actions. The same considerations provided in CHECKLIST 15 apply to the designing and dissemination of Community Profiles.

4.5 Identifying a Strategy for Community Empowerment

Finalization of PHASE II determines completion of the **NCP**. The consultative Assessment and Context Analysis is operationalized with outputs specifically designed to ensure complementary and integrated actions to address the coercive environment. Sector-specific activities can be embedded in the organization's projects or programs, or in those by partners and/or stakeholders.

To ensure effectiveness of the CPA-embedded empowerment process, the organization should additionally develop a strategy of engagement with communities to bridge the gaps between right-holders and duty-bearers, on the basis of the Stakeholder Analysis carried out to date (**GUIDELINES 3.1.1**). This strategy should be mainstreamed in the organization's ongoing projects and programs, alongside standard activities.

The strategy should at least look into the aspects included in CHECKLIST 16 and reflected in the PRPs.

CHECKLIST 16: Designing a Community Empowerment Strategy

- Ensure that the community understands the Protection Response Plans and the analysis that brought about their development.

- Coach, train and support the communities in the use of the Protection Response Plans with local authorities, with international and national aid organizations, and for the design of actions based on internal capacities.

- Provide support to capitalize on the positive coping strategies and the capacities identified within the community through the quantitative and qualitative data. At this stage, these should already have been developed as actions within the PRPs.

- Design specific awareness programs specifically oriented to increase communities' capacities to make informed decisions.

- Act on addressing social tensions, conflicts, and the exclusion of specific AGD groups or individuals. This can often be done by the field staff while undertaking project activities. If direct actions are unsafe or could pose further harm, the organization should look to private lobbying and coordination with key stakeholders. The TOOLKIT: Stakeholder Analysis should provide guidance.

- Support the right-holders in coordinating with duty-bearers or key stakeholders (e.g. support and logistics for workshops, printing, transportation, etc.). The TOOLKIT: Stakeholder Analysis should provide guidance.

- The field team should identify the best communication channel and Focal Points who can facilitate communication between the organization and the community. Committees or other collective decision-making bodies should not be created, unless they are genuine and self-proposed by the community. Further inputs can be found in TOOLKIT: Example of Transitional Strategy.

- The CPA Specialist should constantly coordinate with the Project Manager(s) in charge of ongoing actions in the targeted communities, to pinpoint the best approach in line with ongoing activities.

5

PHASE III:
Time Analysis
and Monitoring

PHASE III: Time Analysis and Monitoring

This PHASE involves the yearly review and update of the CPA outputs outlined in **GUIDELINES 4**. The frequency of the reviewing and updating was set by the organization during the steps outlined in **GUIDELINES 2.2.1 and 2.2.5**, and cross-checked during PHASES I and II. The outputs include:

Validated Quantitative Protection Risk Analysis · Protection Response Plans · Community Profiles · Digitalized Risks and Resources Maps · IPA Triggers Reports

(CPA Modes 1 and 3) identifying possible risks affecting individuals and families[17]

The diagram below shows the PHASE II outcomes in relation to the specific CPA components and the outputs described above.
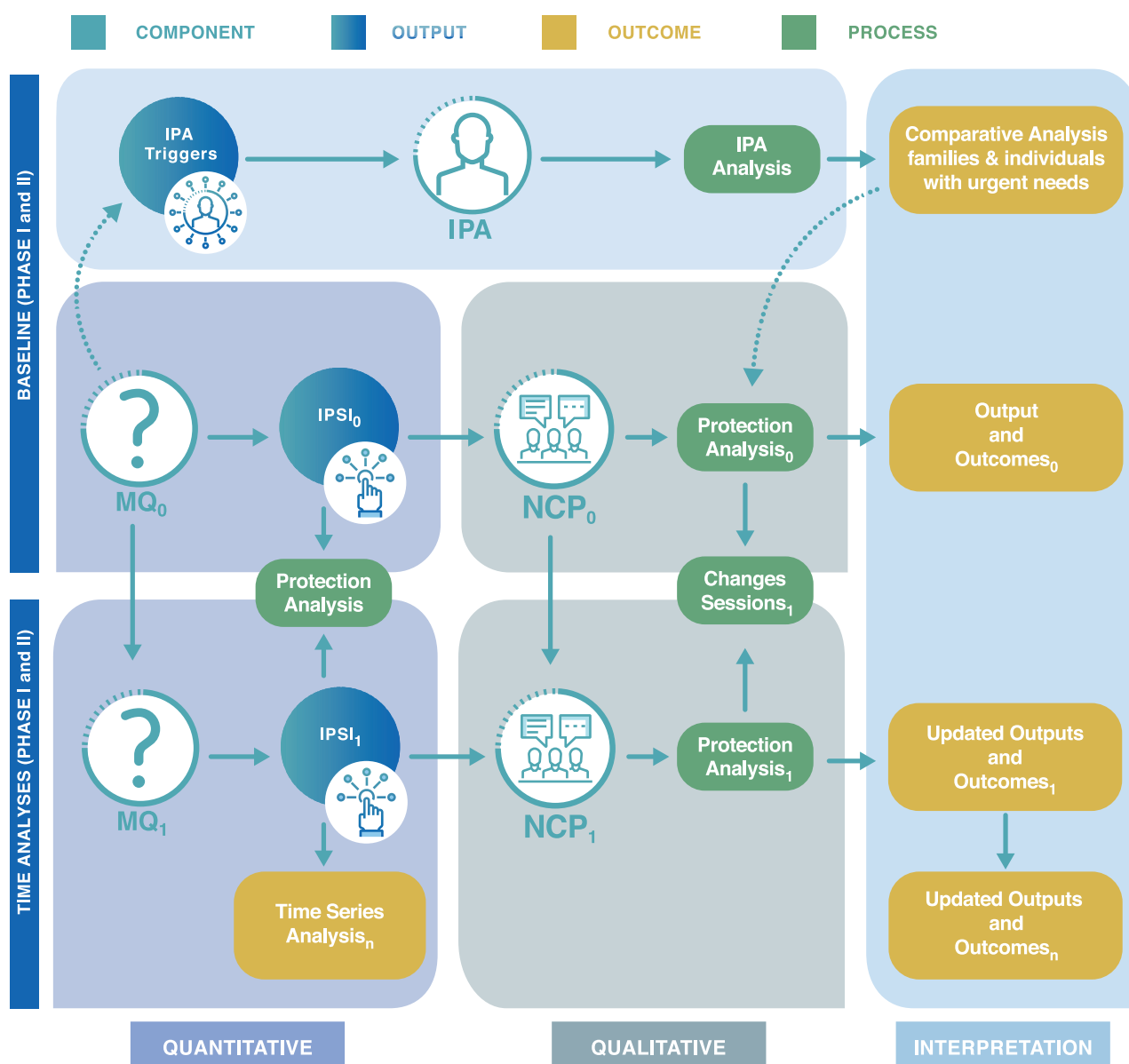
The Time Analysis and Monitoring has been designed to be fully embedded in ongoing projects and programs, and to guarantee its own sustainability. It includes a simple set of Field Sessions that can b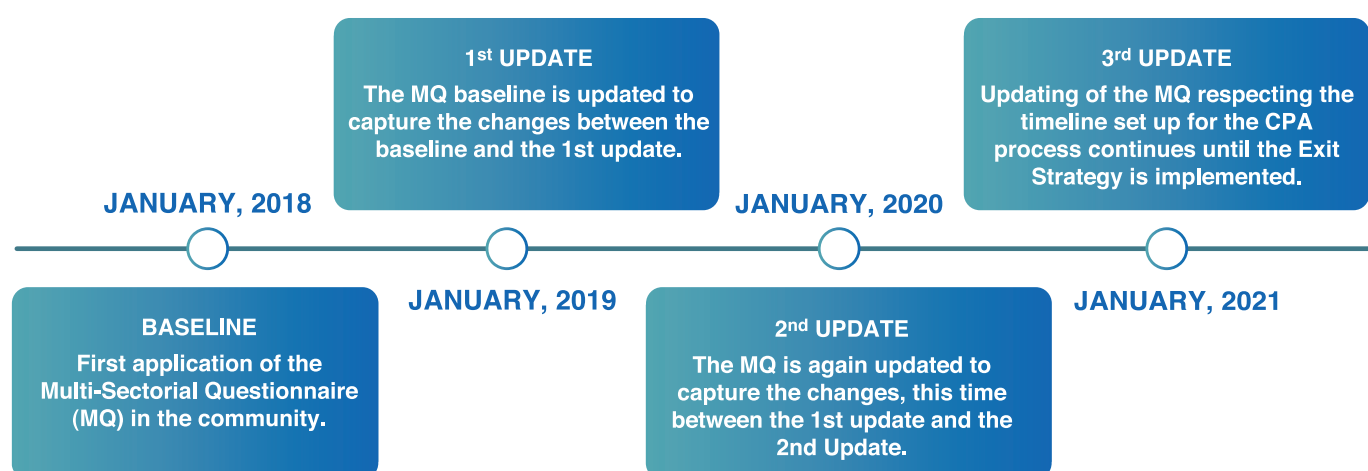e undertaken by the field staff while implementing different sector-specific projects or programs. The stringency of the PHASE-I and PHASE-II assessment and analysis was for the purpose of creating safe and dedicated communication channels with communities and key power-holders, as well as a framework for triangulating data in order to reduce information bias.

By this stage, the field team should know where to go and who to contact to verify, investigate or cross-check specific information.

5.1 Multi-Sector Questionnaire Update

The **MQ** is periodically updated in line with the Timeline Analysis conducted during the Planning Phase (**GUIDELINES: 2.1.1 Understanding the Timeline** and **GUIDELINES: 2.2.4 Timeline Analysis**). This periodic updating enables the changes in the community to be monitored, and allows its progression over time to be studied (see **GUIDELINES: 5.2**).

1st UPDATE
The MQ baseline is updated to capture the changes between the baseline and the 1st update.

3rd UPDATE
Updating of the MQ respecting the timeline set up for the CPA process continues until the Exit Strategy is implemented.

JANUARY, 2018

JANUARY, 2020

JANUARY, 2019

JANUARY, 2021

BASELINE
First application of the Multi-Sectorial Questionnaire (MQ) in the community.

2nd UPDATE
The MQ is again updated to capture the changes, this time between the 1st update and the 2nd Update.

C P A　　**TECHNICAL NOTE: MQ Update Cycle and Trend Analysis**

For the purposes of Trend Analysis, it is vital for the **MQ** updating to be conducted according to fixed and pre-defined cycles, as this enhances comparability with baseline updates and enables meaningful Time Series Analysis.

When the **MQ** is updated at different points in time within a year (e.g. every 6 months), respecting the timeline defined in GUIDELINES: 2.2.4 the changes observed within the year could be attributable to seasonal factors.

This situation comes with pros and cons: one advantage is that collecting data at different times of the year allows the impact of seasonality on protection risks to be explored, while a disadvantage is that checking the effect of seasonality during Trend Analysis is only fully meaningful once at least two full seasonal cycles are covered.
The CPA Specialist should observe the CPA objectives and the project timeline from the perspective of the specific context and its seasonality.

The **MQ** updating process differs from the **MQ** baseline process (when the **MQ** is addressed for the first time) in that the former is to ensure more efficient data collection. While the **MQ** baseline was obtained through a structured interview (see **GUIDELINES: 3.1.3**), the **MQ** update is carried out by means of a semi-structured interview without the need to go through all the questionnaire questions. Key and filtered questions are of extreme importance as the interview flow is based on these (see **GUIDELINES: 3.1.3 - TECHNICAL NOTE: Key and Filtered Questions**).

To conduct the update (see **TOOLKIT: MQ Update**), the field staff downloads the baseline **MQ** (the questionnaire prefilled with the data obtained during the baseline process) onto the tablet. During the update interview, the interviewers ask if there has been any change regarding every key **MQ** question and the issue the question relates to (e.g. for the **MQ** question "What are the available sources of drinking water in the community?", the interviewer will ask "Have there been any changes in anything related to drinking water in your community since [the last time the **MQ** was addressed]?").

If nothing has changed, the interviewer will move to the next key question and ask regarding changes accordingly, until an answer indicating change is given; at this point the interviewer will probe "Can you describe the changes that have occurred?". While the interviewee describes the changes, the interviewer records and updates the questionnaire by changing its answers as applicable. Once the interviewee has finished describing all the changes, the interviewer checks whether any change regarding the rest of the filtered questions related to that key question has still not been mentioned by the interviewee.

This procedure ensures that only relevant questions are asked during the update, thus increasing efficiency in updating the **MQ**. The time necessary for updating is estimated at between 1 and 1.5 hrs depending on the amount of changes referred by the interviewees. This shortened timescale provides the scope to update between 4 and 5 communities per day, depending on the distance between communities. Coordination is also now more streamlined as the relationship and communication channels with the community have been established. On the other hand, this process requires expertise from the interviewer and familiarity with the **MQ** and its topics, which nevertheless should have been acquired during Phase I of the CPA.

Interviewee selection should still satisfy the same representation criteria as set out for the baseline. The persons answering the questionnaire and their number might change but representation of the primary groups should be the same (see **GUIDELINES: 3.1.3**).

Monitoring and assessing the quality of the updated **MQ** should also follow the same approach as for the baseline questionnaire (see **GUIDELINES: 3.1.3** and **TOOLKIT: MQ Quality Monitoring and Analysis**). The main slight changes to the **MQ** quality process are:

- If new secondary sources have emerged between the baseline **MQ** and its update, they can be used to cross-check with the updated data collected.

- The feedback from the **NCP** and **MQ** happens through the Changes Sessions, and not through the Standard FGDs and **Tailored NCP** (see **GUIDELINES: 5.4** and **TOOLKIT: NCP Feedback Mechanism to MQ**).

The updated **MQ** will be stored separately from the baseline version in order to keep a history of the **MQ** addressed. At the same time, a new computation for the **IPSI** is performed, to enable Trend Analysis.

CHECKLIST 17: Differences between MQ Baseline and MQ Update

	BASELINE	UPDATE
Type of Interview	Structured	Semi-structured
Quality	Feedback from **NCP**: Standard FGDs and Tailored **NCP**	Feedback from **NCP**: Changes Sessions
Analysis	Descriptive	Trend
Application timescale	3 hrs	1 to 1.5 hrs
MQs in a day	2 per day	4 to 5 per day

5.2 Time Analysis and Protection Risks

With the **MQ** update and computation of a new **IPSI**, the changes between the updated **IPSI** values and those of the prior **IPSI** may be calculated through Change Analysis. Similarly to the **MQ**, when more than one update has been conducted, Trend Analysis can be performed (see **TOOLKIT: Analysis, Interpretation and Visualization of IPSI Results**).

This Change Analysis consists in observing the absolute change between the last two **IPSI** values, running the analysis from the **IPSI** indexes to the indicators. This analysis is best performed through the Sector Indexes of Protection Risk, which provide better classification of the indicators and make the analysis more manageable.

First, the two values for Sector Indexes of Protection Risk are compared; wherever change is apparent, the indicators of that sector are compared to observe which specific problematics were context to that change. All the indexes and indicators that have changed are then further explored through the Changes Session guiding the topics to be addressed (see **GUIDELINES 5.4**).
In addition, the indicators that have changed should be cross-checked with PRP implementation in order to perform an initial inference on attribution of those changes

to the PRP activities (see **GUIDELINES 5.3**). This inference will later be further explored during the Changes Session.

Time **Series Analysis** allows observation and measurement of the communities' progressions over time. However, this analysis is affected by seasonality, and some requirements are necessary for meaningful implementation (see **GUIDELINES 5.1, TECHNICAL NOTE: MQ Update Cycle and Trend Analysis**).

Time Series Analysis requires:

- A minimum of three points in time (t1, t2, t3).
- At least one full-year cycle.

It also assumes a principle:

- The more points in time available, the more powerful the analysis.

Depending on how many points in time are achieved and the extent to which they cover the year cycle, the analysis can take on different description purposes:

CHECKLIST 18: Requirements and Purpose of Time Series Analysis

PURPOSE	DESCRIPTION	REQUIREMENTS
Trend	Describe the progression of a variable (index) across time	Just minimum requirements exist
Cyclical	Describe cyclical patterns within a trend	Same requirements as for Trend, plus at least two full-year cycles
Seasonality	Describe seasonal patterns in a cycle	Same requirements as for Cyclical, plus at least 2 time points within the year

In addition to this descriptive Time Series Analysis, which can be visualized in dynamic graphs, two measures allow a community's progression to be quantified:

- **Cumulative growth** - accumulated growth (positive or negative) between two points in time. It reflects the total growth between two points in time.
- **Relative average growth** - average growth (positive or negative) per time unit between two points in time. It reflects the growth per time unit.

By applying these measures to the different **IPSI** Indexes, communities can be compared by their progression in regards to: Protection Risk (threats, vulnerabilities and capacities); Protection Risk for each Sector of Action; Dignity and Safety. The results show which communities have accumulated greater growth during the period and which communities have grown more quickly.

5.3 Periodic Review of Protection Response Plans

The Protection Response Plans usually become a guiding strategy to ensure the ongoing integration of one organization's actions within the framework of multi-stakeholder support provided to a community. They supply an organization with a tool to gain an ongoing updated picture of actions and actors active in an area, regardless of the organization's specific sector expertise.

The CPA Specialist, together with the field teams and Project Manager(s) in charge of projects in the targeted community, should identify the best approach to update the Protection Response Plan. The **TOOLKIT** provides support tracking instruments. The web-based CPA Platform embeds the tracking and the update.

The most suitable approach for keeping the tracking of actions inscribed in the Protection Response Plans is for the field team to organize a quarterly discussion with different Focal Points in the community. This allows actions to be tracked by way of mentoring while community awareness of the process is increased.
Alternatively, the field team can coordinate with the communities based on the PHASE-III time frame designed with the CPA Specialist (**GUIDELINES 2.2.1 and 2.2.5**).

In all cases, the CPA Specialist should appoint specific field staff for each community. The field staff needs to be in constant coordination both with the community and with the organization's technical staff and strategic management.

CHECKLIST 19: Steps for Updating the Protection Response Plans

- Organize regular exchange with sector-cluster coordinators.
- Keep regular contact with agencies and actors active in the targeted area.
- Keep abreast of ongoing programs or initiatives.
- Have regular contact with communities and communities' Focal Points.
- Have regular contact with the organization's internal departments.
- Identify precisely when and by whom a specific action was provided.
- Review the ongoing IPA monitoring results (if the organization implements CPA Modes 2 or 4).

The updating must involve all sections of the Protection Response Plan to ensure the collecting of evidence that can be used in discussion with communities to understand how their situation has evolved since the previous revision. It needs to focus on:

- **TIME** - When exactly did the action take place? Was it stand-alone or is it a routine action that will take place regularly in the future?
- **SECTORS** - Was the action sector-specific? Does it cover multiple sectors of action (e.g. a program covering WASH and education)?
- **ACTORS** - What type of actor implemented the action? Was the action carried out by the right-holders independently, a local or international NGO, a mandated agency, local stakeholders or a duty-bearer?

The CPA Specialist should ensure that the field team collects precise evidence, to effectively contribute to comparison of the monitoring results through possible actions undertaken in the community. It is also important that the field team regularly consults with the communities regarding the results of the ongoing updating of the Protection Response Plans.

☆ **TIPS: Community Empowerment - from CONSULTATION to PLACATION**

- CONSULTATION: right-holders are invited to share their opinions.
- PLACATION: right-holders start having a degree of influence. This degree depends largely on two factors: their capacities in determining priorities; the extent to which the community is organized to structure the priorities.
- Starting from finalization of PHASE II and initial elaboration of the PRPs, the field team should start engaging the community in analyzing the actual strategy implemented and its constant update. This process should be used to start supporting the community in internally discussing its priorities and in identifying what actions should be prioritized. Nonetheless, the process should be kept at CONSULTATION level, until the community builds the proper knowledge, information and understanding, and is capable of structuring itself on the basis of these. The periodic update is a benchmark to measure the community's degree of capacity.
- In line with community empowerment and the Exit Strategy, the community should be progressively more involved in direct meetings with power-holders and duty-bearers.

The tracking of material or "hard" activities is a numerical process looking at how many units of a particular assistance have been provided. Instead, the "soft" activities are more complex and often overlooked during updating; these normally correspond to good programming and indicate coordination with actors and local authorities, as well as private lobby and negotiation.

The CPA Specialist should pay specific attention to this type of actions, since they provide a key indication of the roles, attitudes and position of key stakeholders, duty-bearers and communities. The **TOOLKIT: Actor-Engagement Tracker** provides a tool to keep track of these activities, while some guiding TIPS are shown here below.

☆ **TIPS: Tracking local Coordination and Negotiation**

- Record all meetings with local authorities and power-holders (e.g. traditional leaders, land owners, etc.).

- When meeting with authorities, clarify level well (e.g. local, departmental, central, etc.) to ensure a coordinated strategy.

- Keep track of all meetings with stakeholders or actors identified as important contributors or influencers for key actions included in the Protection Response Plan.

- Record the agreements made with stakeholders and actors, and ensure the community is constantly aware of them.

- Record all meetings with stakeholders and duty-bearers which involve the community or community members.

After the update, the CPA Specialist should review the yearly results against the Exit Strategy outlined during the initial Protection Analysis (**GUIDELINES 4.2**). This revision can be organized through an internal session between the organization's CPA Specialist, key field staff and strategic management. If the Exit Strategy needs to be corrected, the CPA Specialist should make sure to inform the communities during the Changes Sessions.

5.4   Changes Sessions   🕐 4h

> #### 🎯 OBJECTIVES
>
> ①   Discuss the **IPSI** quantitative changes with the community.
>
> ②   For each given variation represented by the **IPSI**, investigate what actually changed in the community for individuals and the community, and qualify the quantitative change
>
> ③   Collect evidence of actual changes, including non-observable aspects related to a subjective sense of dignity and safety.
>
> ④   Create an effective space for the community to observe and analyze its situation over time, on the basis of evidence.

The Changes Sessions are part of the **NCP** and involve continuation of community engagement to monitor, analyze and study how the situation has evolved. These sessions are normally conducted as Tailored Focus Groups (**GUIDELINES 3.2.3)** to review the variations in the **MQ** and **IPSI** (**GUIDELINES 5.1 and 5.2**) and the updates to the Protection Response Plans (**GUIDELINES 5.3**) together with the communities. The discussion is recorded using the same process and tools as Protection Analysis to collect thorough evidence based on the population's narrative perspective (**TOOLKIT: Changes Sessions**).

By this stage, the field team should have built appropriate safe channels of communication with the community, and gained trust and legitimacy with power-holders and community representatives. In addition, during the **NCP** process and subsequent visits to the community for ongoing projects or programs, the field team should have clearly identified the best approach to ensure representation.

The field team should therefore carry out the same analysis as undertaken during the designing of the **Tailored NCP**, described in **GUIDELINES 3.1.7**, yet using a more immediate and rapid process. It is important that the field team, under supervision of the CPA Specialist, identifies the best approach to gain the widest possible representation of AGD groups, and organizes the Field Sessions to ensure this.

Although the suggested Field Sessions are one or more Tailored Focus Groups, the field team is free to decide on a better approach following the same modes as described for the **Tailored NCP** (**GUIDELINES 3.1.7**).

The CPA Specialist should guide this decision and ensure that the following process is undertaken, regardless of the technique chosen (for implementation and facilitation of each mode, please refer to the guidance provided in PHASE I):
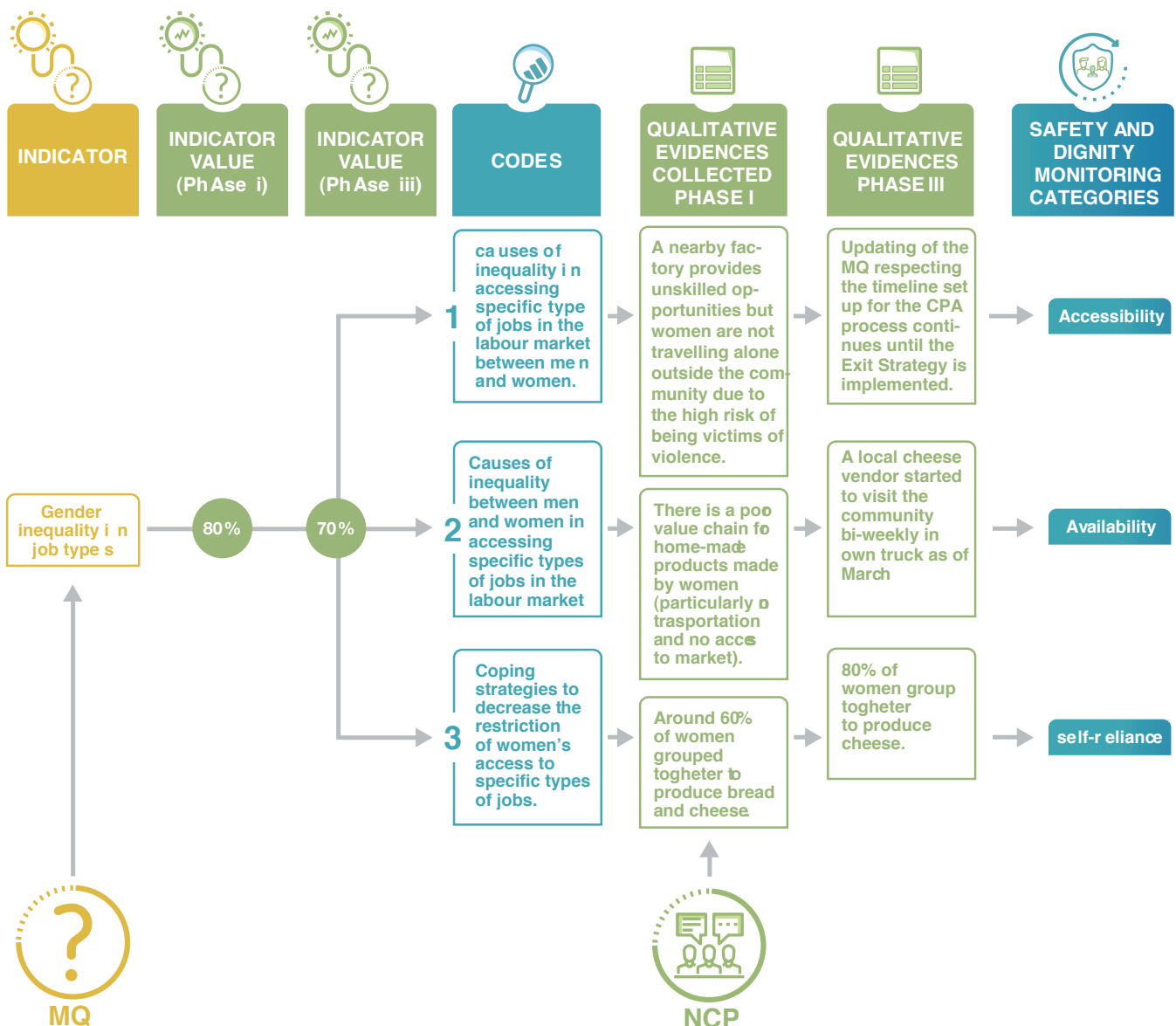
CHECKLIST 20: Process for Conducting the Changes Sessions

A	The field team should review and analyze the results of the **IPSI** Change Analysis, both in terms of indicators and indexes (GUIDELINES: 5.2) This review should be carried out in a joint session with technical staff, to compare it with the updated PRPs (GUIDELINES: 5.3) The session aim is to gain an initial understanding to facilitate the discussion with the communities, starting from the relevant identified results.
B	The field team arranges the Field Sessions, in conjunction with the CPA Specialist. During preparation, the field team analyzes the (TOOLKIT: Changes Sessions) In particular, the field team should look at the following: • For any changed **IPSI** Indicator, review whether there was some evidence collected during PHASE I and organized in codes • If there is recorded evidence, identify the AGD group specifically involved. • If there is no recorded evidence, analyze which AGD groups may have been most affected by the changes in the indicators, guided by the (TOOLKIT: Triggers) • If the indicators show major changes, review the corresponding **MQ** questions In addition, the field team analyzes the IPA Triggers resulting from the MQ by: • Comparing the results with the initial Multi-Sector Questionnaire results • Identifying whether there is an increased or reduced number of IPA Triggers • Analyzing whether there is any relation between the changes in the number of Triggers and the **IPSI** and PRP updates
C	The field team conducts the Changes Sessions within the community on the basis of the modes agreed on with the CPA Specialist. The discussion process should be conducted as in PHASE I and based on the Topics of Inquiry (GUIDELINES: 3.1.5) However, the field team should also explore topics beyond the guiding Topics of Inquiry, on the basis of the resulting discussion with the community. If the empowerment process has been carried out correctly, the Changes Sessions should be more engaging and active than the PHASE-I Field Sessions.
D	The field team collects the information using the (TOOLKIT: Note-Taking Tool) making sure to carry out two processes: • Register changes involving previously collected evidence, recording these in correspondence to the same indicators. • Add new evidence of protection problems that may not have been recorded before or may have arisen since the previous **NCP** collecting. During the entire process, it is extremely important that the field staff manages to understand the role of external factors or actions undertaken in the communities, by exploring the discussion with the participants on the basis of the PRP updates. The PRP updates become a facilitating tool for engaging the community in discussion of the changes.

All the Time **Analysis and Monitoring** is built on the monitoring of outcomes. It is inspired by the Outcome Harvesting model [18], defined as follows: "Outcome Harvesting is a method that enables evaluators, grant makers, and managers to identify, formulate, verify, and make sense of outcomes. The method was inspired by the definition of outcome as a change in the behavior, relationships, actions, activities, policies, or practices of an individual, group, community, organization, or institution." [19]

"Outcome Harvesting does not measure progress towards predetermined outcomes or objectives, but rather collects evidence of what has been achieved, and works backward to determine whether and how the project or intervention contributed to the change." [20]
The diagram illustrates how the **NCP** evidence is systematized into the analysis **codes** to provide an immediate system for comparing outcomes (compare with the diagram in **GUIDELINES 3.1.5**):

INDICATOR	INDICATOR VALUE (PhAse i)	INDICATOR VALUE (PhAse iii)	CODES	QUALITATIVE EVIDENCES COLLECTED PHASE I	QUALITATIVE EVIDENCES PHASE III	SAFETY AND DIGNITY MONITORING CATEGORIES
			1 causes of inequality in accessing specific type of jobs in the labour market between men and women.	A nearby factory provides unskilled opportunities but women are not travelling alone outside the community due to the high risk of being victims of violence.	Updating of the MQ respecting the timeline set up for the CPA process continues until the Exit Strategy is implemented.	Accessibility
Gender inequality in job types	80%	70%	**2** Causes of inequality between men and women in accessing specific types of jobs in the labour market	There is a poor value chain for home-made products made by women (particularly no trasportation and no acces to market).	A local cheese vendor started to visit the community bi-weekly in own truck as of March	Availability
			3 Coping strategies to decrease the restriction of women's access to specific types of jobs.	Around 60% of women grouped togheter to produce bread and cheese.	80% of women group togheter to produce cheese.	self-reliance

MQ

NCP

Building on the model, the field team should consider the following principles in conducting the Changes Sessions.

⭐ **TIPS: Outcome Harvesting During the Changes Sessions**
(Adapted from Wilson-Grau and Heather Britt, 2012, page 12)

- **OUTCOME DESCRIPTION:** In one or two sentences, summarize the observable change in the behaviour, relationships, activities or actions of communities and individuals. Identify whether they have been influenced by any activity or output of a specific program, project or organization over the past 12 months. That is, who changed what, when and where? Also identify whether any external factors influenced the change. Could the external factor be controlled or managed by any actor?

- **WHO:** Be as specific as possible about the individual, group, community, organization or institution that underwent change.

- **WHAT:** Explicitly state what changes were noted in behaviour, relationships, activities, policies or practices.

- **WHEN:** Be as specific as possible about the date when the change took place.

- **WHERE:** Similarly, include the political or geographic location with the name of the community, village, town, or city where the actor operates – locally, nationally, regionally and/or globally.

- **ACTORS CONTRIBUTION:** In one or two sentences, what were the actors roles in influencing the outcome? How did they inspire, persuade, support, facilitate, assist, pressure, or even force or otherwise contribute to the change? Specify each actors activities, processes, products and services that you consider influenced each outcome.
  Bear in mind that an outcome is generally plausibly linked to an actors activities as there is rarely a direct, linear relationship between an activity and an outcome. Furthermore, one activity may influence two or more outcomes. Equally important is that outcomes are often influenced by a variety of activities and other actors over a period exceeding six months. Thus, please mention the activities during the last year or before that influenced each outcome.

Upon completing the Changes Sessions, the field team should observe whether there is any change or update to **Risk and Resources Maps** and **Community Profiles**. For the Community Profiles in particular, it is advisable to show the initial situation and the changes registered, to keep a narrative track of how the community environment has evolved over the years. Below is an example of a diagram that can be drawn from using analysis **codes** within the TOOLKIT: Protection Analysis.

DIGNITY		JANUARY 2018	NOVEMBER 2018
COMMUNITY EMPOWERMENT AND PATICIPATION	Knowlwdge and information	The community leader and the primary school teacher are aware of the process of legal registration to apply for state social subsidies.	
		A community-based organization (CBO) inside the community knows the process to obtain micro-loans for youths.	The CBO has increased membership in the community, and now 80% of youths have been trained in the process.
	Consultation and participation	The community leader has no mechanism for sharing knowledge and information with the community.	
		The community has not been involved in the planning by the local council. The consultation was bilaterally discussed with the community leader.	The local council has been organizing community sessions to discuss the planning, with the support of an international organization, named LORE.

6 Ethical Considerations

6.1 Obtain Permission and Consent, and Respect Confidentiality

6.2 Respect the Protection Principles

Given its applicability to multiple contexts, the CPA abides by a series of international principles and standards, including those applied in humanitarian settings. These principles and standards are mainstreamed in all the CPA tools and steps. The organization must adhere to the same principles and standards during CPA implementation.

More-detailed references for each set of principles and standards are outlined in the **TOOLKIT** and in the **IPA MODULE**. Nonetheless, an initial representation includes the following:

● Humanitarian Principles[21]

● Protection Mainstreaming Principles[22]

● Core Humanitarian Standards on Quality and Accountability[23]

● SPHERE Standards[24]

● Child Protection Minimum Standards[25]

● Minimum Standards for Prevention and Response to GBV in Emergencies[26]

● Minimum Standards for Age and Disability Inclusion[27]

● European Union Resilience Marker and Strategic Approach to Resilience[28]

● Accountability to Affected Populations Operational Framework[29]

● Research-Ethics Principles

As described in **GUIDELINES 2.1.5**, CPA implementation is subject to ethical approval. The Technical and Ethical Committee reviews the principles included in this chapter with an organization that would like to implement the CPA in a context, using the provided TOOLKIT and Handbook modules.

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[21] *The Fundamental Principles of the International Red Cross and Red Crescent Movement proclaimed in Vienna in 1965 by the 20th International Conference of the Red Cross and Red Crescent; United Nations (UN) General Assembly Resolution 46/182, 19 December 1991; and UN General Assembly Resolution 58/114, 5 February 2004 (https://goo.gl/JMEEH8).*

[22] *https://goo.gl/GtCwsT*

[23] *https://goo.gl/uRCvHc*

[24] *https://goo.gl/gJXzdZ*

[25] *https://goo.gl/RnBjJt*

[26] *https://goo.gl/2zuZgV*

[27] *https://goo.gl/ZSo2Nu*

[28] *https://goo.gl/ZEsf7p*

[29] *https://goo.gl/hmj8uF*

6.1 Obtain Permission and Consent, and Respect Confidentiality

The CPA requires engaging with local communities under the governance of decentralized state authorities and, in some contexts, under traditional structures. The organization must ensure at all times that the authorities and/or traditional structure are properly informed ahead of starting field procedures.

During the Preparatory Phase (**GUIDELINES 2**), the organization should understand whether there is any official procedure when asking for approval to collect data, and duly allocate time to this. In addition, even when no official approval procedure exists, the organization must ensure formal or informal consent from local authorities or traditional structures, respecting the principles of consent and do no harm.

When engaging communities, the principles of **permission, consent and respect for confidentiality** should be ensured at all times, using the **TOOLKIT: CPA Informed Consent Process** and all the tools provided. The organization should always keep the following guidelines to the forefront.

- **Organize all activities to respect communities and individuals social and cultural dynamics, as well as their socio-economic activities,** in order not to disrupt their daily lives, and:
  - Ensure proper translation to local languages
  - Plan the times of activities well in advance and in conjunction with the communities
  - Adapt to communities time schedules as far as possible
  - Structure the field team to respect gender sensitiveness

- **Provide an honest, careful and paced explanation of all the CPA steps, objectives and results:**
  - Describe the time needed for each passage well and transparently.
  - Explain the objectives of empowerment and support to claim rights, also avoiding false promises of assistance as a buy-in to gain individuals' and communities' confidence. The organization must be able and willing to act on the basis of the results, and this needs to be openly communicated to the community.
  - Avoid stigmatization and embarrassment of individuals by respecting all opinions, giving any individual space to share, and promoting respect and listening.

- **Accept the community's and individual's perspectives regarding the opportunity to take part in the CPA.**

    - Ensure an honest, informed, representative and knowledgeable decision is made.

    - It is inadvisable to provide compensation for activity participation, which should be voluntary. The organization should however ensure it provides support to overcome barriers to participation, specifically with regards to AGD groups (e.g. transportation).

- **Mandatorily collect informed consent for each information-gathering session involving specific individuals, households or families.**

    - The consent process should not be a mere filling out of the form provided. The organization should carefully supervise that the staff act according to the Declaration on Honour submitted.

6.2 Respect the Protection Principles

The **protection principles** are embedded and mainstreamed in the design of each CPA component and step. The CPA is also designed to facilitate the mainstreaming of these principles in sector-specific projects and programs, by linking the rights-based analysis with need-based outputs to shape the design of projects and programs.

6.2.1 Safety, Dignity and Do No Harm

The CPA is designed to analyze, measure and enact specific strategies to increase safety and dignity and to avoid causing harm. In particular, guided by research-ethics principles, the following aspects and safeguards are provided to orient the organization to ensure dignity and safety, and to avoid causing harm.

- The organization should respect the CPA process and its design as **voluntary, non-discriminatory and ensuring the relevant participation.**

    - Age, gender and diversity representation is guided and made operational.

    - The sampling techniques, as well as identification and invitation to participate, are provided as ways to give multiple options for ensuring non-bias selection and for avoiding tensions in the communities.

- The process of **informed consent and consent/assent by minors is adapted to field needs and tested to be understandable by illiterate populations.**

  - A visual presentation provides guidance on how to explain all the different steps and DOs and DON⬚Ts.
  - Specific guidance-consent phrasing, using empowering language, is provided for the organization to present: all the information on the organization; the activities; the process; the community's expected involvement; the mechanism for making a complaint; how to access information and be aware of any progress.

- **The CPA is adaptable to a context**, in order to allow each organization to design the best approach to protect the population from further harm.

  - The method and tools can be contextualized, and guidance is provided in the **CONTEXTUALIZATION MODULE**
  - The **Tailored NCP** specifically guides facilitators collecting sensitive information from vulnerable groups in the community in order to:

    - Tailor topics of discussion to AGD groups and highlight when findings should involve protection staff for immediate assessment and linking to professional services.

    - Provide guidance in building or strengthening field staff's skills and knowledge (e.g. psychological first aid, facilitation skills to conduct participatory activities with children) - **TOOLKIT** and **TRAINING PACKAGE**.

    - Limit the risks of individuals disclosing personal sensitive or private information since techniques are designed so that personal experience is never directly asked about.

    - Link immediate and specific needs with a system to activate service providers (**IPA MODULE**).

  - Output analysis is optimized to be shareable, in order to trigger joint and strategic strategies with partners and other actors.

- All the tools and the web-based CPA platform in particular are designed to ensure **privacy, anonymity and confidentiality.**

  - The **MQ** and **NCP** participants' personal data is never collected. Attendance sheets are designed to ensure this, and focus only on relevant information to monitor AGD participation and avoid the same participants taking part in more than one data-collection activity.

  - Verbal consent is sought at each stage.

  - Note-taking is designed to be on tablets (reducing the number of paper documents and the need for safe storage of hard-copy documents and disposal of contingency plans).

  - The data analysis process is automated, to avoid having multiple staff members accessing databases.

  - All digital data is password-protected, and data storage, access and disposal is governed by a data-protection protocol.

6.2.2 Meaningful Access

The CPA is a community engagement and empowerment instrument to design Integrated Protection Programs (IPP) and provide operational tools to facilitate coordination and complementarity between different foreign and national aid instruments in order to **find sustainable solutions to a given population's needs and problems.**

The analysis framework is specifically designed to depict the situation of access to assistance and services, and to supply tools to ensure actors provide proper actions to address barriers and find integrated effective strategies.

CPA application is ethically correct only if the organization **commits to acting on the basis of the analysis and the results of engagement of the population**. In particular, the organization must analyze what the outputs provide in terms of data and what actions need to be enacted, right from the Preparatory Phase (**GUIDELINES 2**).

- **Protection Response Plans**
  The results should be communicated to the relevant mandated actors or to those with the capacities to intervene. The organization must identify what actions can be implemented through the ongoing projects and programs, and coordinate to ensure implementation of complementary and integrated actions.

- **Individual Protection Approach**
  The IPA system is in its entirety specifically designed to link right-holders with service providers to ensure immediate, efficient and meaningful response to identified physiological, dignity and safety needs. When an organization decides not to implement the IPA system, it however needs to commit to communicating to the relevant actors and agencies the initial overview provided by the IPA Triggers resulting from the **MQ**.

- I**ntegrated Protection System of Indicators**
  The **IPSI** is based on an outcome analysis providing a detailed quantitative representation of the situation in a certain area. It can result in identification of particular causes of protection risks, or can single out worrying variables. The organization should act accordingly on the basis of the analysis results, and ensure the results are not left invisible.

6.2.3 Quality and Accountability

The CPA Handbook provides not only the present Guidelines, but has been designed with a supplementary series of tools (**OVERVIEW** and **TOOLKIT**) to ensure:

- The quality of CPA implementation in a context
- Quality control of the collected data and the analyses
- Appropriate training and mentoring of field staff on the methodology, and particularly on the principles underlying the method, as described in this chapter.

To ensure the above, and in line with research-ethics principles, the **CPA research method has been designed to be appropriate to the research subject**. It has been developed and revised as follows:

- The method has been devised following an action-research approach, between 2014 and 2019.

- An internal Technical Committee has been created, including field staff involved in pilot projects and implementation in different countries.

- An external research validation has been provided by the University of Pavia, a member of the NOHA network.

- A series of technical experts have provided their own individual revisions.

It also complies with GVC Prevention of Sexual Abuse and Exploitation and Child Safeguarding policies. Implementation is guaranteed by the Technical and Ethical Committee's constant reviewing, which compares it against its policies and constitutive principles.

Each organization deciding to implement the CPA should consider creation of a national ethical committee to ensure the ethical principles are respected.

Lastly, the web-based CPA Platform has been designed to comply with a principled data-protection protocol. An organization needs to ensure the minimum data-protection standards. If it decides against using the provided web-based CPA Platform, it should have a protocol that includes, as a minimum:

- **Data collection**
    - The data collected must be purpose-related and limited to the aim
    - Confidentiality should be ensured by data collectors at all times
- **Consent**
    - Data subjects' rights to information and objection, and data access, correction and deletion
    - Protection of bio-data or other information that could be traced back to the direct data subject
    - Data access (limited to authorized staff and to purpose)
- **Data sharing**
- **Data filling out**
- **Data transfer**
- **Data storage and disposal**

6.2.4 Participation and Empowerment

The primary CPA objective is community participation and empowerment to make informed decisions. The principles of empowerment and participation are carefully studied at each step of the CPA, and involve each single component: the **MQ**, the **NCP** and the **IPA**.

- In no case should the organization use the CPA instruments as standard and routine tools, without ensuring that the field staff and entire coordination structure facilitate an **appropriate process of respectful and voluntary community engagement**.

- Selection of the actions with the community should at all times favour those options that **do not promote substitution or exacerbate aid dependence.**

- The field team should always ensure that community members make **voluntary, unambiguous and informed decisions** on whether they wish to take part in the different activities, and this should be duly registered during the process of informed consent. This principle includes acting to address contextual factors and dynamics that hinder informed decision-making. In particular, it entails keeping decisions free of personal and subjective judgement, bias or prejudice.

- In the case of the **IPA** in particular, the organization should ensure all aspects to promote individuals□safe self-referral to mandated and relevant actors, to contribute to and abide by the principle of empowering and reinforcing right-holders□capacities and opportunities to claim their rights.

7.0 Glossary

AGD   Age, Gender and Diversity

CBO   Community-Based Organization

CPA   Community Protection Approach

DRR   Disaster Risk Reduction

ECHO   European Civil Protection and Humanitarian Aid Operations

FGD   Focus Group D iscussion

GIS   Geographic Information System

GPC   Global Protection Cluster

GPS   Global Positioning System

ICRC   International Committee of the Red Cross

IDP   Internally Displaced Person

INGO   International Non-Governmental Organization

IPA   Individual Protection Approach

IPSI   Integrated Protection System of Indicators

ITS   Informal Tented Settlement

MIRA   Multi-Sector Initial Rapid Assessment

MQ   Multi-Sector Questionnaire

NCP   Narrated Community Perspective

NGO   Non-Governmental Organization

OCHA   United Nations Office for the Coordination of Humanitarian Affairs

ODK   Open Data Kit

PRP   Protection Response Plan

RAIS   Refugee Assistance Information System

TA   Technical Assessment

UN   United Nations

UNCHR   United Nations High Commissioner for Refugees

VASyR   Vulnerability Assessment of Syrian Refugees

VPP   Vulnerability Profile Project

WAP   Water Assessment Platform

WASH   Water Sanitation and Health

WFP   World Food Program

EU Aid Volunteers
We Care, We Act

we
world

GVC

EU Aid Volunteers
We Care, We Act

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