CPA

COMMUNITY
PROTECTION
APPROACH

DIGNITY AND SAFETY FRAMEWORK OF ANALYSIS

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CONTENTS

TABLE OF FIGURES

1. Introduction to the note

The note presents the Framework System of Analysis developed to guide the identification, monitoring and evaluation of Dignity and Safety carried out through the Community Protection Approach designed by WeWorld-GVC.

The document outlines the research approach applied in the definition of the framework. To guide the understanding of the document, it is necessary to clarify the terminology used in the elaboration of the framework's structure. The terminology draws upon quantitative and qualitative research methodologies and it is adapted to the objective of the Note.

The following terms are used in the definition of the framework's structure:

> Components: refers to terms identified within prominent literature or as generally recognized by the international community
>
> Categories: refers to the overarching Categories of Analysis established for the definition and systematization of the results
>
> Units of Analysis: refers to the elements of study composing the Categories of Analysis
>
> Features: refers to the dimensions identified to collect and systematize field-based evidences and obtain researchable results within the Units of Analysis.

The Note describes the results of the processes of research, identification and definition. It first outlines the objective and principles, and the logic to identify the components. Subsequently it shows the rationale used to define precise categories, units of analysis and features. It ends by presenting the System of Classification designed to combine the quantitative and qualitative analyses.

2. Background

The objective of WeWorld-GVC Community Protection Approach[1] is the context analysis of the environment to understand and measure the degree of protection of the population and provide measures according to it. The CPA is based on GVC operational interpretation of the IASC definition of protection[2]: an environment fully conducive to protection is obtained when multi-sector humanitarian and development needs of individuals and communities are met in a dignified and safe manner.

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[1] CPA Technical Note, GVC Protection Task Force, 2018.
[2] Protection of Internally Displaced Persons, Inter Agency Standing Committee Policy Paper, pg.4 December 1999,

The all systemic approach to identification and monitoring uses single categories to combine the quantitative and qualitative data and allows a streamlined process to undertake the protection risk analysis. The protection risk analysis is based on the protection risk equation[3], which is an analytical non-mathematical tool[4] facilitating the identification of threats, vulnerabilities and capacities and illustrates the relationship between them, as shown below[5]:

$$RISK = THREATS \times VULNERABILITIES \div CAPACITIES$$

The Threats, Vulnerabilities and Capacities are intended as sub-components of Safety and Dignity. Safety and Dignity are defined on the basis of a model that draws upon the Maslow pyramid[6] of needs and incorporate the key fundamental elements of Protection Mainstreaming[7].

The different components are used as unique categories for monitoring and analysis. The use of single categories aims to isolate concrete evidences describing how actions contribute to reduce threats and vulnerabilities, and increase capacities, and/or how they affect dignity and safety. The combination of the categories can be used to inform the design of integrated programmes.

3. Principles

To define the structure of the system of analysis the following principles are applied:

I. Safety is a fundamental pillar of dignity. **There is no dignity if there is no safety**

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[3] Safety with Dignity, Actionaid, 2009 https://goo.gl/MX3N4c; DG ECHO Thematic Policy Document n° 8, Humanitarian Protection, 2016, https://goo.gl/pAF6p6

[4] 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)

[5] The protection equation is defined by some sources as risk=threats x vulnerabilities x time (Oxfam, 2009; ALNAP, 2005). GVC studies time as a factor of threats, vulnerabilities and capacities, and as such uses the protection equation as presented in DG ECHO, 2016 and Actionaid, 2009 among others.

[6] Maslow's hierarchy of needs, Maslow, A.H. (1943). "A theory of human motivation". Psychological Review. 50 (4): 370–96

[7] Hugo Slim & Andrew Bonwick, Protection. An ALNAP guide for humanitarian agencies, 2005, https://goo.gl/u2dYTg ; 'Protection Mainstreaming Toolkit', Global Protection Cluster, 2017

II. Conversely, people's dignity is not a determinant of safety. **There can be safety without dignity**

III. **The value of dignity and safety should not be taken separately.** Dignity and safety are measured as separate dimensions, even though the findings always show a unique and inseparable representation of dignity and safety.

IV. **The Maslow pyramid is used only as a model to provide linearity in the positioning of safety and dignity** and provide a representation qualifying the level of risk. This representation supports the comparison on the basis of acuteness or gravity, on the assumption that there is no dignity if there is not safety. The Maslow pyramid is not used as theoretical framework.

V. The four key elements (or pillars) of Protection Mainstreaming are defined as: Safety & Dignity; Meaningful Access; Accountability; Participation & Empowerment[8]. The elements are used as dimensions to measure constitutive aspects of a coercive environment in any given context. Their use is intended beyond the scope of humanitarian action.

4. Identification of Categories and Units of Analysis

The system of classification starts from the determination of the **Units of Analysis** to categorize all quantitative and qualitative data and information. The four key elements (or pillars) of Protection Mainstreaming are studied as initial units of analysis, divided in the following form:

I. Dignity
II. Safety
III. Meaningful Access
IV. Accountability
V. Participation and Empowerment

A desk research is conducted to look into how the prominent literature (See Fig. 1) describes each of these units of analysis. All the principles, descriptions and aspects (components) identified are analysed to provide a list of specific **features** that could be used to have a more operational definition of each Unit of Analysis.

The following findings of the desk research articulate the re-definition of the Units of Analyses used to generate the system of classification of Dignity and Safety:

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[8] Protection Mainstreaming Toolkit', Global Protection Cluster, 2017

I. The features of the four key elements of Protection Mainstreaming include descriptions of aspects to identify and analyse that pertain transversally to one or more unit of analysis. These aspects are characterized by a mutual causality and not by a linear interrelation with only one of the element of Protection Mainstreaming (i.e. Access to a service is linked to Meaningful Access but it may be guaranteed when jointly accountability, meaningful access and safety aspects are accomplished).

II. Once determined that there is no dignity if there is no safety, the features of meaningful access, accountability, participation and empowerment jointly are widely related to the dimension of dignity, providing that the features of Safety are clearly identified and thus addressed in the context.

III. Safety can be of different nature (Physical, Psychological or Emotional)[9] and can be determined by violence, coercion, deliberate deprivation, abuse or natural hazards[10]. According to these two parameters, the features that constitutes a condition of safety can therefore be linked to: individuals' personal conditions, activities and characteristics, their knowledge and information, and the conditions and characteristic of their household and their shelter; and/or deliberate threats by perpetrators, social tensions or conflicts, the natural environment, the buildings, infrastructures, security norms and movements in their area of living.

1. 'Protection Mainstreaming Toolkit', Global Protection Cluster, 2017
2. 'Protection: An ALNAP guide for humanitarian agencies', H. Slim, A. Bonwick, 2005
3. 'Independent Whole of System Review of Protection', Norah Niland, Riccardo Polastro, Antonio Donini, Amra Lee, 2015
4. 'Policy on protection in humanitarian action', Inter-Agency Standing Committee, 2013
5. Joint Communication to the EU Parliament and the Council: A Strategic Approach to Resilience in the EU's external action, European Commission, 2017
6. 'Professional Standard for Protection Work', International Committee of the Red Cross, 2018
7. 'Humanitarian Protection: Improving protection outcomes to reduce risks for people in humanitarian crises', DG ECHO, 2016
8. "Inter-agency Guidelines on Mental Health and Psychosocial Support in Emergency Settings", Inter-Agency Standing Committee, 2007
9. 'Minimum Standards for Child Protection in Humanitarian Action', Global Protection Cluster, 2016
10. 'Interagency gender-based violence case management guidelines", 2017
11. 'Minimum Standards for Protection Mainstreaming', World Vision, 2012
12. 'Inter-agency Guidelines on Mental Health and Psychosocial Support in Emergency Settings', IASC, 2007
13. 'Durable Solutions in Practice', Global Cluster for Early Recovery, 2017
14. 'Localisation in Practice, Emerging indicators and practical recommendations', Global Mentoring Initiative, 2018

Figure 1: Reference literature to identity components of analysis

IV. The access to services is guaranteed by duty-bearers (or mandated parties and actors) and it is as well conditional to existing characteristics of the context and individuals. The boundaries between these two dimensions are not linear or clearly identifiable. Thus it is necessary to

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[9] Protection Mainstreaming Toolkit', Global Protection Cluster, 2017; 'Protection: An ALNAP guide for humanitarian agencies', H. Slim, A. Bonwick, 2005; 'Interagency gender-based violence case management guidelines", 2017 p. 20
[10] UNISDR Terminology (2017) https://goo.gl/pTD62w; DG ECHO, 2016;

extract and reassign the different features to generate a system that can be analysed and studied.

Based on the above Dignity and Safety are maintained only as **Categories** through which systematize the results of all the isolated Units of Analysis. The **Units of Analysis** are eventually redefined as:

CATEGORY	UNIT OF ANALYSIS
DIGNITY	MEANINGFUL ACCESS
	ACCOUNTABILITY
	PARTICIPATION AND EMPOWERMENT

Figure 2: Units of Analysis of Dignity

CATEGORY	UNIT OF ANALYSIS
SAFETY	INDIVIDUAL SAFETY
	ENVIRONMENTAL SAFETY

Figure 3: Units of Analysis of Safety

5. Identification of Key Features for each Unit of Analysis

The 4 key elements (or pillar) of protection mainstreaming in humanitarian action are originally defined[11] as:

I. **Prioritise safety and dignity, and avoid causing harm:** *prevent and minimise as much as possible any unintended negative effects of your intervention which can increase people's vulnerability to both physical and psychosocial risks*

II. **Meaningful Access:** *arrange for people's access to assistance and services - in proportion to need and without any barriers (e.g. discrimination). Pay special attention to individuals and groups who may be particularly vulnerable or have difficulty accessing assistance and services.*

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[11] Protection Mainstreaming Toolkit', Global Protection Cluster, 2017. p. 163

III. **Accountability:** *set-up appropriate mechanisms through which affected populations can measure the adequacy of interventions, and address concerns and complaints*

IV. **Participation and Empowerment:** *support the development of self-protection capacities and assist people to claim their rights, including - not exclusively - the rights to shelter, food, water and sanitation, health, and education*

The above definitions are developed in the framework of the appropriate application of the 4 pillars in the context of humanitarian activities.

Their definitions are therefore consistent with their objective, but they need further unpacking in order to concretely applying them in a framework to monitor and analyse the constitutive elements of a coercive environment.

Thus, the initial constituting features of each key element (or pillar) of protection mainstreaming (i.e. the actual access to a service as part of Meaningful Access, or complaint mechanisms as part of Accountability) are isolated and organized along with the findings of the research of prominent literature described above (See pag. 2).

The resulting features are assigned to the Units of Analysis above described in an effort to represent the mutual causality between the different Units. (i.e. the actual access to a service is used as an element to analyse Accountability).

In the chapters below the Unit of Analysis of Dignity and Safety are presented. For each Unit of Analysis:

I. The elaborated definition is presented with reference to the literature covering the original aspects and/or definition(s).

II. A table shows the principles, descriptions and aspects (components) in relation with the referenced literature where they had been identified.

III. A table shows the final elaboration of each feature, elaborated in a more operationalizable concept within the system of monitoring and analysis intended in the present framework.

In both tables a **key** has been maintained to guide the reader.

5.1 Dignity

Within the system of analysis presented, the affected population achieves dignity in a given territory when Meaningful Access, Accountability, Participation and Empowerment are ensured, according to definitions below presented. By using prominent protection literature in the definition of the components to be studied, GVC aligns with the general agreements on the definition of dignity within the literature.

Units of analysis

Meaningful Access: Services and assistance are available in meaningful quantity and quality for people access, they are proportioned and based on the needs of the age, gender and diversity composition of the population, and their existence is known by the people potentially accessing them.

Definition drawn upon: 'Protection Mainstreaming Toolkit', Global Protection Cluster, 2017

Key	Features	Source (Ref. Box 1)
Availability	Availability of services in meaningful quantity/quality	GPC, Ref. 1
Absence of Discrimination	Services provided on the basis of need and without discrimination	GPC, Ref. 1
Services' Knowledge	Services known by people potentially accessing services	GPC, Ref. 1

Figure 4: Elements of Meaningful Access

Key	Features	Unit of Analysis
Availability	**Services and assistance are available** in meaningful quantity/quality	
Absence of Discrimination	**Services are provided with no discrimination** on the basis of age, gender or diversity differences	**Meaningful access**
Services' Knowledge	**Services and assistance are known** by the people potentially accessing them	

Figure 5: Features of Meaningful Access

Accountability: Development and practical implementation of policies, commitments and actions are ensured by the responsible actors and systems to guarantee democratic and inclusive delivery mechanisms of services and assistance that are: culturally relevant and socially acceptable, physically and financially accessible, safe and easy to reach, effective in responding to needs in time and form, supported by an appropriate system of safe and confidential complaint and corrective measures mechanism.

Definition drawn upon: **1.** 'Protection Mainstreaming Toolkit', Global Protection Cluster, 2017; **6.** 'Professional Standard for Protection Work', International Committee of the Red Cross, 2018

Key	Features	Source (Ref. Box 1)
Appropriateness	Services culturally relevant and socially acceptable	GPC, Ref. 1
Accessibility	Services physically and financially accessible	GPC, Ref. 1
Safety Access	Services within safe and easy reach	GPC, Ref. 1
Effectiveness	Ensure that services are provided at an adequate time when individuals can realistically access them	GPC, Ref. 1
Access to remedies	Robust accountability including safe and confidential feedback and response mechanisms	GPC, Ref. 1 ICRC, Ref. 6

Figure 6: Elements of Accountability

Key	Features	Unit of Analysis
Appropriateness	Services and Assistance are **culturally relevant and socially acceptable**	
Accessibility	Services and Assistance are **physically and financially accessible**	
Safety Access	Services and Assistance are **within safe and easy reach**	**Accountability**
Effectiveness	Services and Assistance are **effective in time and form**	
Access to remedies	Services and Assistance are supported by a **safe and confidential complaint and corrective measures mechanisms.**	

Figure 7: Features of Accountability

Participation and Empowerment: Individuals possess voice and agency to improve their life, make informed decisions and assert their rights on the basis of accurate and reliable information. Their choices and actions are based on their independent capacities and they are active agents of inclusive, safe and meaningful participative decision-making processes affecting their life with no discrimination based on their social identity or social location.

Definition drawn upon: **1.** 'Protection Mainstreaming Toolkit', Global Protection Cluster, 2017; **5.** Joint Communication to the EU Parliament and the Council: A Strategic Approach to Resilience in the EU's external action, European Commission, 2017; **6.** 'Professional Standard for Protection Work', International Committee of the Red Cross, 2018: **7.** 'Humanitarian Protection: Improving protection outcomes to reduce

risks for people in humanitarian crises', DG ECHO, 2016; **14.** 'Localisation in Practice, Emerging indicators and practical recommendations', Global Mentoring Initiative, 2018;

Key	Features	Source (Ref. Box 1)
Knowledge and Information	Knowledge and information	ALNAP; Ref 14 ICRC; Ref. 6 GPC, Ref. 1
Consultation and participation	Influence and participation in decision-making processes	ALNAP; Ref 14 EU, Ref. 5 GPC, Ref.1
Self-reliance	Absence of dependency and self-reliance	GPC; Ref. 1 ALNAP; Ref 14 EU, Ref. 3
Skills Development	Possibility for skill development, strengthen their capacity to claim their rights	GPC, Ref. 1 ECHO, Ref. 7

Figure 8: Elements of Participation and Empowerment

Key	Features	Unit of Analysis
Knowledge and Information	Individuals possess appropriate **knowledge and information** to make free and informed decisions and assert their rights	
Consultation and participation	Individuals are **active agents of inclusive, safe and meaningful participative decision making processes** affecting their life	**Participation and Empowerment**
Self-reliance	Individuals**' choices and actions are based on their independent capacities**	
Skills Development	Individuals **possess voice and agency to develop and improve their life.**	

Figure 9: Features of Participation and Empowerment

5.2 Safety

Within the system of analysis presented, the affected population achieves safety in a given territory when **Individual and Environmental Safety** are ensured, according to definitions below

presented. By using prominent protection literature in the definition of the components to be studied, GVC aligns with the general agreements on the definition of safety within the literature.

Units of analysis

Individual Safety: The individuals' physical, emotional, psychological and spiritual safety is not discriminated by their personal conditions, activities and characteristics, their knowledge and information, and the conditions and characteristic of their household and their shelter.

Definition drawn upon: 'Protection Mainstreaming Toolkit', Global Protection Cluster, 2017

Key	Features	Source (Ref. Box 1)
Shelter Safety	Safety of buildings, facilities and infrastructure (in the infrastructure) of the household (space, adequacy, privacy, locking, living areas, escape routes)	GPC, Ref. 1
Safety Knowledge	Information, knowledge and training on safety and security	WV, Ref. 11 GCER. Ref. 13
Isolation	Isolation (absence of family, informal or social groups, intra-community social ties)	WV, Ref. 11
Household Safety	Anti-social behaviours at household level (arms purchasing, illegal substances use, alcohol abuse)	GPC, Ref. 1
Individual characterization	Active exercise of civil and political rights (membership of trade unions, organization to advocate, minority groups). Age Gender and Diversity specific safety (child, boys, girls, women, men, elderly, pwd)	WV, Ref. 11

Figure 10: Elements of Individual Safety

Key	Features	Unit of Analysis
Shelter Safety	**The buildings, facilities and infrastructure** (in the infrastructure) **of the household** (space, adequacy, privacy, locking, living areas, escape routes) are safe	**Individual Safety**
Safety Knowledge	**Individuals possess information and knowledge** on safety and security	
Isolation	**Individuals are not isolated** and they can count on an active social capital (family, social group, intra-community social ties) in the community	

Household Safety	Within the household there is **absence of anti-social behaviours** (arms purchasing, illegal substances use, alcohol abuse, violence, harassment)	
Individual characterization	**Individuals are not unsafe due to any** age, gender, diversity or other specific **personal characteristic or activity.**	

Figure 11: Features of Individual Safety

Environmental Safety: Individuals can carry out physically, emotionally, psychologically and spiritually safe practices, outside the household, in an area free of deliberate threats by perpetrators, social tensions or conflicts, within a suitable natural environment and with appropriate buildings, infrastructures, security norms and free and safe movements.

Definition drawn upon: **1.** 'Protection Mainstreaming Toolkit', Global Protection Cluster, 2017; **2.** 'Protection: An ALNAP guide for humanitarian agencies', H. Slim, A. Bonwick, 2005: **13.** 'Durable Solutions in Practice', Global Cluster for Early Recovery, 2017

Key	Features	Source (Ref. Box 1)
Deliberate threats	Deliberate destruction, patters of violence, arbitrary detention, coercion, harassment, intimidation, persecution, looting and robbing in the community	ALNAP, Ref. 2
Infrastructure Safety	Safety of buildings, facilities and infrastructure (in the infrastructure and around the location of infrastructure) outside the household	WV, Ref. 11 GPC, Ref. 1
Environment Safety	Environmentally unsuitable areas (steep hills, subsiding land areas, areas prone to flooding)	WV, Ref. 11
Norms and systems	Existence of security norms, escape routes, early warning systems, institutional protection,	WV, Ref. 11 GPC, Ref. 1 GCER. Ref. 13
Freedom of Movements	Restrictions of movements (curfews, roadblocks, travel restrictions, forcible return, presence of landmines or ERW) and Safety of routes and pathways (distance from threats and perpetrators, timing of accessing, frequency of use)	WV, Ref. 11 GPC, Ref. 1 IASC; Ref. 12 GCER. Ref. 13
Social Tension	Social networks, intra-community governance structures, cultural practices and social cohesion. Existing tensions between different ethnic, religious or other groups and cultural practices within the location of the community (within and around the community)	WV, Ref. 11 GPC, Ref. 1 IASC; Ref. 12 GCER. Ref. 13

Figure 12: Elements of Environmental Safety

Key	Features	Unit of Analysis
Deliberate threats	There is no **deliberate destruction, patters of violence, arbitrary detention, coercion, harassment, intimidation, persecution, looting and robbing** in the community	**Environmental Safety**
Infrastructure Safety	**The buildings, facilities and infrastructure** (in the infrastructure and around the location of infrastructure) outside the household **are safe**	
Environment Safety	**The area of living is environmentally suitable** (absence of steep hills, subsiding land areas, areas prone to flooding)	
Norms and systems	In the area **there are appropriate security norms, escape routes, early warning systems and/or institutional protection**	
Freedom of Movements	**There is freedom of movements** (absence of (curfews, roadblocks, travel restrictions, forcible return, presence of landmines or ERW**) and the routes and pathways of the population are safe** (distant from threats and perpetrators, safe time of accessing, safe frequency of use) within and around the community	
Social Tension	In the area of living **there is social cohesion** (social networks, intra-community governance structures, cultural practices) **and there are not existing tensions** between different ethnic, religious or other groups. (within and around the community)	

Figure 13: Features of Environmental Safety

6. System of classification of Protection Risk Analysis

The system of Classification of Protection Risk Analysis herewith presented aims to provide solid parameters to govern the identification and monitoring of the degree of protection of a given population in an area.

It applies an outcome monitoring approach[12] to understand changes in terms of knowledge, behaviours and practices within each identified category, namely: threats, vulnerabilities, capacities, dignity and safety.

Conscious of the challenges to measure and evaluate protection[13], the classification is designed to **define clear concepts to monitor** and allow **time analysis.**

In doing so, the system tries to factor in the complexity of understanding not only factual changes, but as well perceptual, psychosocial or subjective aspects linked to people's thoughts, behaviours, feelings or experiences. This is done by combining quantitative and qualitative data, leveraging on the potentiality and results of each method.

The previous sections described the process of identification of clear and unique Units of Analysis, the combination of which can result in the understanding of the situation of Dignity and Safety in a given area.

The Units of analysis are particularly relevant to the systematization of the qualitative data and information collected. In particular, data and information is collected as evidences of **change** in the behaviour, attitudes, experiences or attitudes of right-holders, duty-bearers and actors that can be systematized. The logic draws upon the principles the *narrative analysis*[14] and techniques such as the *most significant change*[15] to monitoring and analysis, and the system intends to provide a simple structure to read the results. The Units of Analysis are therefore structure as shown in Fig. 14.

[12] Barden-O'Fallon J, Mandal M, 2014; OECD, 2010; 'Glossary of Key Terms in Evaluations and Results Based Management', OECD, 2002, re-printed in 2010; 'Guidelines for Outcome Evaluators', UNDP, 2002;
[13] Bonino, F. (2014) Evaluating protection in humanitarian action: Issues and challenges. ALNAP Working Paper. London: ALNAP/ODI., Pag 28
[14] 'Qualitative Analysis: Practice and Innovation', Douglas Ezzy, 2002; 'Narrative Analysis' chapter in Researching Social Life, 3rd Edition, N. Gilbert (ed), 2008
[15] The 'Most Significant Change' Technique, Davies & Dart, 2005: ODI, 2009 https://goo.gl/JRmkKa

Figure 14: Overview of Dignity and Safety Units of Analysis

The above Units of Analysis of the categories of Dignity and Safety are strictly related to the dimensions of Threats, Vulnerabilities and Capacities which, as previously introduced, are intended as sub-categories of Dignity and Safety (Fig. 15).

As such, the prevalence of one of the categories as driving factor of an unprotected or coercive environment can be isolated to have an initial understanding of what is the situation of the population in terms of Dignity and Safety (i.e. If a population is widely affected by Threats, it is most probably living in an unsafe environment).

This initial understanding is deemed easier to be provided by quantitative data on the multi-sector needs and situation of the population. The combined analyses of multi-sector needs can provide a picture on whether the need is prevalently determined by the presence of threats, capacities or

Figure 15: Relation between Categories of Analysis

vulnerabilities (i.e. the source of water is accessible and usable, but there is the presence of discriminant check point on the road limiting the movement of the population). Additionally, a multi-sector needs assessment provide a "softer" process of investigation in a given area,
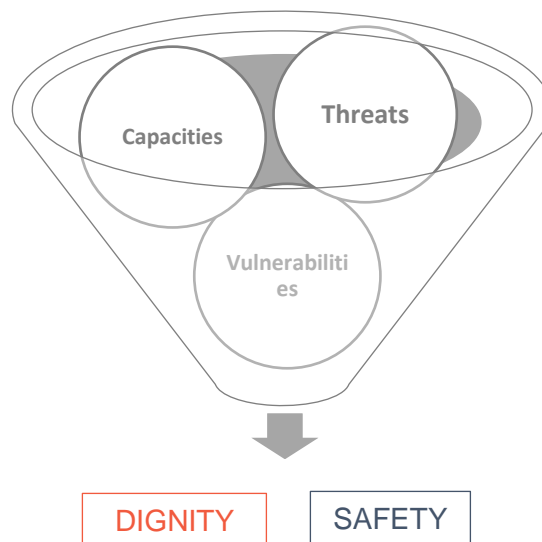
functional in situation of conflicts, insecurity or when a particular do-not-harm approach should be applied.

Once that Threats, Vulnerabilities and Capacities are exemplified by clear definitions, the originally non-mathematical Protection Risk Equation can be used as a functional numerical equation. The logic by which "the protection risk faced by a given population is directly proportional to threats and to vulnerabilities, and inversely proportional to capacities"[16] can be used to synthetize and calculate values of indicators reflecting one or the other dimension.

6.1 Threats, Vulnerabilities and Capacities

The protection risk can be therefore decomposed to identify the scope of threat, vulnerabilities and capacities in a specific context. Dignity and Safety are the overarching categories of study, and the Units of Analysis previously identified to qualify dignity and safety are used to read how threats, vulnerabilities and capacities translate into specific aspects that can be monitored over time, namely: meaningful access to services, accountability, participation and empowerment, individual safety and environmental safety.

mpWhile the identification of features for Dignity and Safety requires a desk research of prominent literature to identify the most appropriate definition of units of analysis, the categories of Threats, Vulnerabilities and Capacities are generally understood similarly in the context of Protection[17], and their definitions can be resumed as:

➢ **Threat:** direct or indirect purposeful actions posed/undertaken by a perpetrator
Internal and/or external to affected population: from perpetrators or duty-bearers (sometimes the same actor) in the form of violence, abuse, deprivation or neglect.

➢ **Vulnerabilities:** characteristics of primary stakeholders (i.e. individuals/households/community) to withstand adverse impact from external stressors. Internal to affected population: all range of factors (location, time, frequency, type of work, movements, relationships, identity, etc) representing inability of primary stakeholders[18].

➢ **Capacities:** characteristics strengthening the ability of primary stakeholders to withstand adverse impact from external stressor. Internal and/or external to affected population: physical and soft components, including experiences and knowledge of primary stakeholders (social cohesion, networking, communication, access to communication, etc), representing or serving as ability of primary stakeholders.

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[16] 'Humanitarian Protection: Improving protection outcomes to reduce risks for people in humanitarian crises', DG ECHO, 2016
[17] DG ECHO, 2016, pp. 10; Actionaid, 2009, pp. 41; 'Protection Guidance Manual, World Food Program, 2016, pp. 24, 'New Protection Manual for Human Rights Defenders, Protection International, pp. 140
[18] DG ECHO, 2016, pp. 10.; Methods for Development Work and Research: A New Guide for Practitioners, Britha Mikkelsen, 1995.

The definitions govern the assigning of indicators to the different categories of Threats, Vulnerabilities and Capacities, as a whole and for any specific sector of analysis (See Fig. 16 and 17). However certain indicators could represent a vulnerability, capacity or a vulnerability depending on specific context-related factors[19]:

  ▶ The population concerned
  ▶ Time
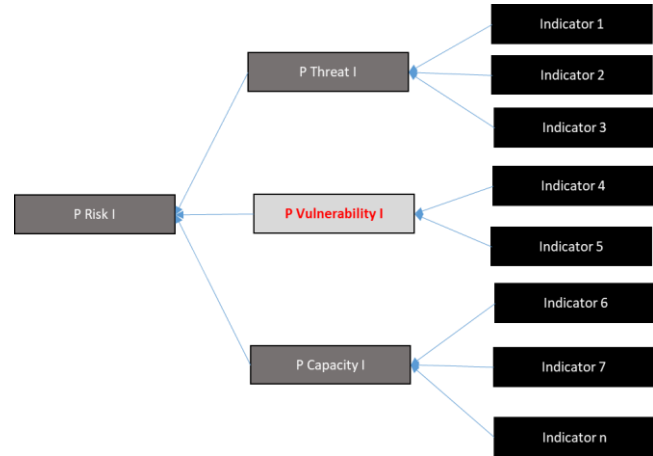 ▶ The direction or value of the indicator

Figure 16: Overall Indicators' categories rationale

Similarly, certain indicators can represent situations that are the result of combined effects of threats, vulnerabilities and capacities (i.e. Access to WASH facilities). These limitations are inherent to a system of quantitative analysis that assigns specific categories to complex dimensions.
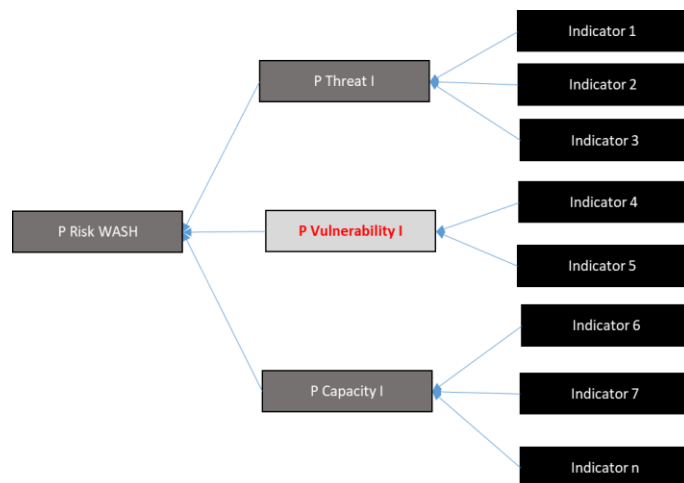
These limitations are identified and inform the design of the system of classification, and specifically of the process of analysis:
1.   The quantitative results provide only an initial exemplification of Threats, Vulnerabilities and Capacities
2.   The exemplification is described in terms of Dignity and Safety
3.   The Units of Analysis of Dignity and Safety are used to qualify better the prominence of threats, vulnerabilities and capacities for each Unit of Analysis

Figure 17: Sector Indicators' Categories rationale

I.   Categorizing indicators into Threats, Vulnerabilities and Capacities

A set of criteria is used to assign only 1 of the categories (Threat, Vulnerability or Capacity) to each indicator in order to allow statistical analysis. The criteria are defined to allow a statistical rigorousness and allow an acceptable degree of exhaustiveness in the representation of the three categories.

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[19] DG ECHO, 2016, pp.11

The criteria are used to isolate the limits of each indicator in representing exhaustively one of the categories, and trigger the dimension to verify the exhaustiveness of the indicator in the framework of the Units of Analysis.

II. Association of Threats, Vulnerabilities and Capacities with Dignity and Safety

Threats, Vulnerabilities and Capacities are further associated with the categories of Safety and Dignity, in the form of a continuum by which the values of the composite analysis of different indicators reflect the degree of the protection environment from absence of safety to full achievement of dignity.

The categories are assigned based on the definitions above described of Threats, Vulnerabilities and Capacities, and the objective of protection as outlined by the European Commission: "to prevent, reduce/mitigate and respond to the risks and consequences of violence, coercion, deliberate deprivation and abuse for persons, groups and communities in the context of humanitarian crises"[20].

- **Threats are associated with Safety**, given that a threat is a direct or indirect purposeful actions posed/undertaken by a perpetrator in the form of violence, coercion, deliberate deprivation and abuse. They relate widely with the Units of Analysis of Environmental Safety

- **Capacities are associated with Dignity**, since they refer to characteristics of primary stakeholders to withstand adverse impact from external stressors, which relate widely with the Unit of Analysis of Participation and Empowerment.

- **Vulnerabilities are associated with Safety.** They relate widely with the Units of Analysis of Participation and Empowerment (Dignity), and Individual Safety (Safety). However, given the objective of identifying the probability of risk of violence, coercion, deliberate deprivation and abuse, the dimension of safety is considered prevailing in the context of analysis[21].

This association allows a numerical characterization of the relations between the different components of the Protection Risk equations. It returns a direct value that can be scaled according to the directions of influence of each component in the equation (Fig. 18). High presence of Threats and Vulnerabilities would move the scale and reflect an area characterized by safety issues, while high presence of Capacities would move the scale and reflect an area more characterized by a positive dignity situation.

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[20] DG ECHO, 2016, pp.6
[21] The statistical associations between Vulnerability, Capacity and Threats with Safety and Dignity is currently under testing with data collected from the field. It will be revised upon the results in December 2018.
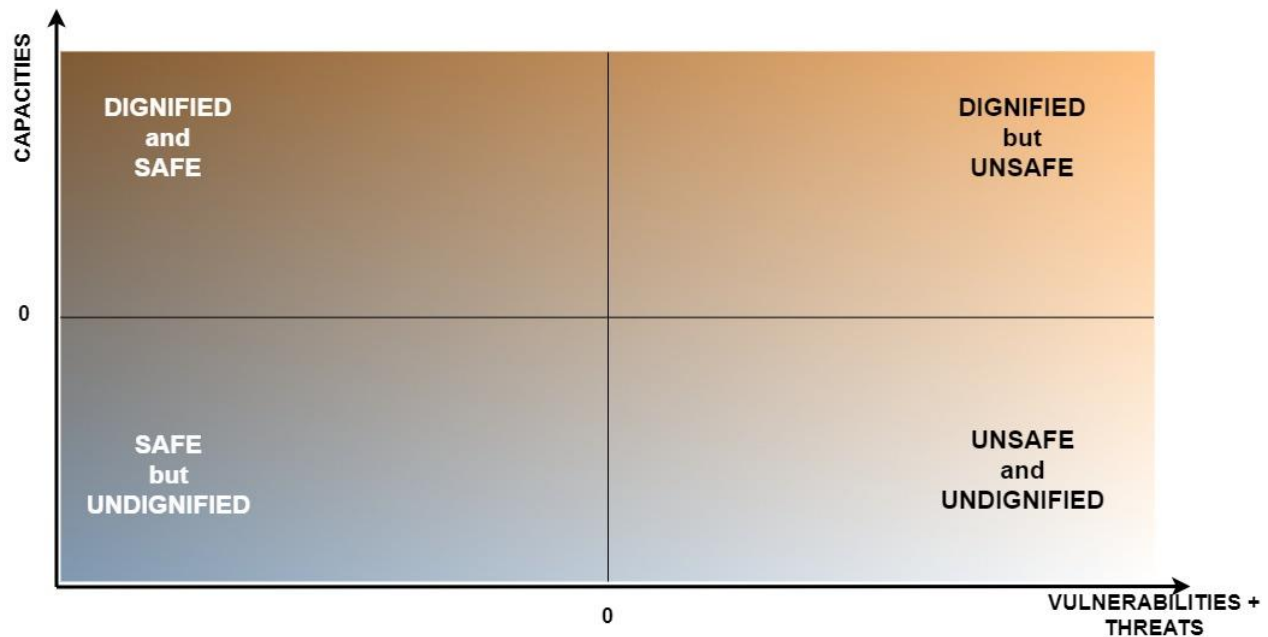
Figure 18: Characterization of the components of Protection Risk of the quantitative analysis

III. Use of the Units of analysis to qualify Threats, Vulnerabilities and Capacities

The above system is compounded in an Integrated Protection System of Indicators. The Integrated Protection System of Indicators (IPSI)[22] is the composite analysis that returns the general value of protection risk by combining the specific results of given indicators per each sector of need. The IPSI is an integral part of the above explained system of analysis. The indicators are distributed to reflect Threats, Vulnerabilities and Capacities and their relation with dignity and safety.

Each indicator is the combination of different data collected through a Risk Assessment (RA) capturing the multiple dimensions of specific protection risks within one or multiple sectors. The multi-sector data collected through the RA is therefore computed to return several unique analysis value:

- To identify whether the affected population lies into a complete unsafe environment or one that has certain safety degree (from coercion, exploitation, neglect or abuse) but pushes the population to live in undignified conditions.
- To identify the extent by which the conditions of the affected population are effects or are impacted by external threats, and/or due to own population's vulnerability/capacity characteristics.
- To identify the degree of Protection Risk of the affected population, and in particular determine the impacts and the effects per each given sector of need/analysis.

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[22] PVI technical note, GVC Protection Task Force, 2018

The results of the IPSI stemming from the quantitative data and information are used to inform which dimensions should be further investigated to qualify Dignity and Safety in the context.

This investigation is governed by the Units of Analysis. The investigation is triggered by three set of parameters:

I. The limits of the criteria used to categorize indicators in Threats, Vulnerabilities or Capacities, as in the following examples 01 and 02.

EXAMPLE 01

Criteria:	All indicators representing external support (INGOs/NGOs) are categorized as capacity
Limits:	• If there is no external support, the community isolation could be considered as a vulnerability in front of external stressors. • If there is excessive support or long-standing support, there could be a phenomenon of substitution limiting the capacities of right-holders to claim their rights
Dimensions of Analysis	• Verify the value of the indicator • Suggested features of the Units of Analysis to investigate: Availability, Accessibility, Access to Remedies, Consultation and Participation, Self-Reliance

EXAMPLE 02

Criteria:	The indicators representing issues with high probability of risks faced by the right-holders (i.e. unaccompanied children moving) are categorized as threat
Limits:	• There are no actual or concrete threats due to characteristics of the group, coping strategies or other context-related factors • There is potential threat but it does not manifest due to time, social, cultural or other context-related factors
Dimensions of Analysis	• Cross-analysis between defined indicators (i.e. Unaccompanied children moving; Severity of checkpoints or curfews; Conflict-prone area; etc.) • Suggested features of the Units of Analysis to investigate: Deliberate threats, Norms and Systems, Freedom of movements, Individual characterization, Safety knowledge

II. Specific dimensions that are necessary to qualify better the value of each given indicators within the IPSI, as in the example 03.

EXAMPLE 03

Indicator Code	6
Title	*Dependant population rate*
Description	*Number of persons under 18 years old and persons over 60 years old for every 100 of the rest of the population*
Disaggregation	*Children < 5 years old; Children < 18 years old; Elder > 60 years old*
Interpretability	*The presence of dependant population is normal within every population. Nonetheless, an abnormal high/low rate of dependant population could imply existence of factors that are affecting population dynamics. Furthermore, unbalance between dependant population and non-dependant population could affect daily lives of the population, with specific incidence in women. Thus the rate of dependant population has a bearing on the level and types of protection risks within a given population*
Dimensions of Analysis	1. *Why the rate?* 2. *What is the dependant population doing?* 3. *Does the rate have impact on other groups?* 4. *How active is the dependant population?* 5. *There are additional characteristic of the dependant population?*

   III. Specific triggers of protection risks that can automatically be extracted from the values of one or more indicators and require immediate investigation or action, as in the example 04.

EXAMPLE 03

Indicator Codes	7, 9, 57
Titles	• *Presence of persons without documentation* • *Percentage of Refugees* • *Availability/accessibility of registration services*
Disaggregation	*Children < 5 years old; Children < 18 years old; Elder > 60 years old*
Interpretability	*The high percentage of Refugees combined with the absence of available and accessible registration services could indicate the presence of unregistered refugees. The presence of persons without documentation could be interpreted as verifying dimensions to investigate the issue.*
Dimensions of Analysis	1. *Is the undocumented population referring to refugees?* 2. *How the refugees register or renew their registration?* 3. *Is the unavailability/inaccessibility of the registrations services deliberate?*

The dimensions of analysis are functional to provide effective guidance to rationalize the process of qualitative data and information collection and helps understanding the most appropriate process in each context in terms of:

- Most appropriate steps and techniques to ensure participation, feedback and consultation of primary stakeholders[23]
- Avoiding causing harm[24]
- Promoting complementarity and Cooperation[25]

6.2 Mix-Method Approach to the Protection Risk Analysis

The rationale of the system of analysis is built on the fundamental principle that dignity and safety can never been targeted or monitored as separated dimensions of the human integrity. The IPSI and the Units of Analysis are therefore designed as a functional approach to simplify and streamline the collection and analysis of both quantitative and qualitative data.

To provide an appropriate interpretability to the quantitative results the IPSI provides in terms of Dignity and Safety, a linear scale is anyhow developed between the two categories based on the principle that there is no dignity if there is no safety. The Maslow pyramid guides the design of the linear scale, as it outlines that physiological and physical safety influences individuals' choices and behaviour. It is not applied to infer a step-by-step process from safety to dignity, as in Maslow later revisions[26], nor as a system to prioritize interventions as sometimes used in humanitarian emergencies[27]

According to the logic provided by the Maslow pyramid the linear causality between the units of analysis of dignity and safety can be interpreted as follows:

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[23] 'Independent Whole of System Review of Protection', Norah Niland, Riccardo Polastro, Antonio Donini, Amra Lee, 2015, pp.55, 59, 111

[24] Global Protection Cluster, 2017, pp.11; 'Professional Standard for Protection Work', International Committee of the Red Cross, 2018, pp.20

[25] ICRC, 2018, pp. 45

[26] Maslow admitted that earlier statements may have given "the false impression that a need must be satisfied 100 percent before the next need emerges" (1987, p. 69)

[27] 'Integrated Peacebuilding: Innovative Approaches to Transforming Conflict, ed. Craig Zelizer, 2013; see also Logistic Cluster Training Material: www.logcluster.org/sites/default/files/training_files/1.3_emergency_cycle.pptx
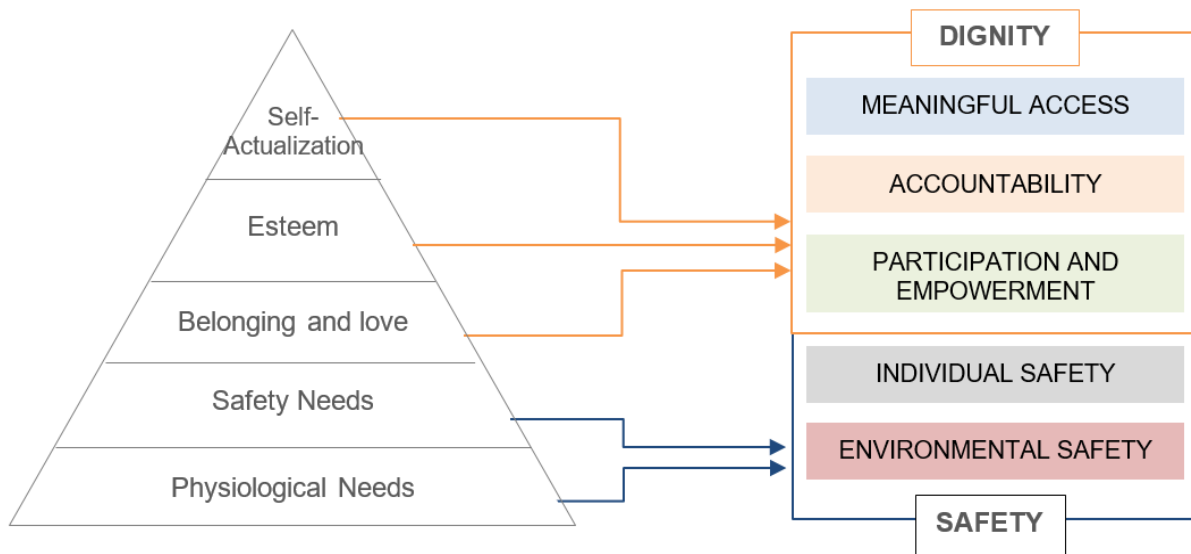
Figure 19: Relation between Maslow Pyramid and Units of Analysis

In the following page Figure 20 shows how quantitative and qualitative data are interpreted jointly to provide concrete evidence to measure Dignity and Safety, and it illustrates as well how Threats, Vulnerabilities and Capacities interrelates with the Units of Analysis of Dignity and Safety.
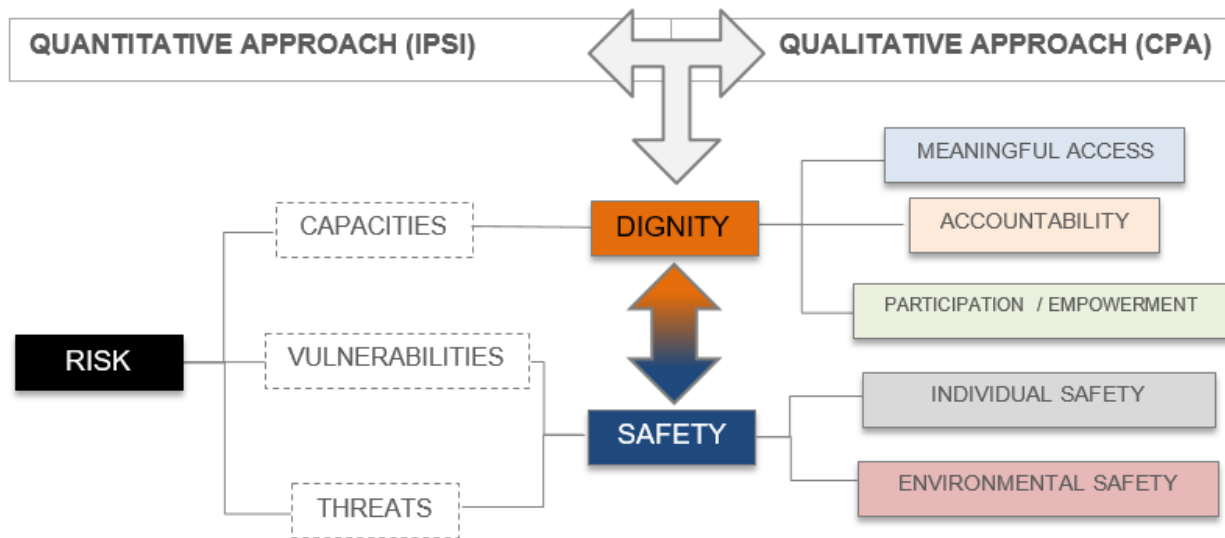
Safety improvements are measured by: A reduction of risk due to reductions of vulnerabilities and threats, which are explained by factors of individual and environmental safety.

Dignity improvements are measured by: A reduction of risk due to increases of capacities, which are explained by factors related to accountability, participation & empowerment and meaningful access

Figure 20: Interpretation of quantitative and qualitative data

This categorization is possible only when the whole integrated approach to analysis is implemented, according to the logic of research and monitoring presented in Figure 21 and explained below:

The interpretation of the data is built to benefit from the time analyses carried out in a given context, and it evolves from the first data collection (baseline) to the subsequent moments of data collection.

(1) During the baseline the quantitative data and information analysed through the **IPSI** provides the first outlook of how dignity and safety manifest in a given area, with an informative breakdown to identify the scale of threats, vulnerabilities and capacities in the determination of the protective environment. This initial outlook is qualified by the qualitative analysis within the Units of Analysis, on the basis that each given context and population have their own singularities that results from particular individual, social, cultural, ethnic, economic and traditional characteristics. The interpretation of the IPSI and the Units of Analysis informs the appropriate design of integrated programming.

(2) The **IPSI** provide initial variations of quantitative indicators, showing a numerical value reflecting the changes of Dignity, Safety, Threats, Vulnerabilities and Capacities. The **Units of Analysis** allow the comprehension of the quantitative variations, and provide the verification of concrete changes in terms of Dignity and Safety in the form of qualitative evidences and in comparison with the baseline. The interpretation shows an outcome monitoring of the integrated programming implemented in the period of analysis, and inform corrections and adjustments.

(3) **4** The process previously described is replicated as long as data is collected from the field. In addition, starting from the 2nd time analysis the **IPSI** and the **Units of Analysis** can be studied in the form of trends. This offers wider opportunities of research and study of the Protection environment in a given area.
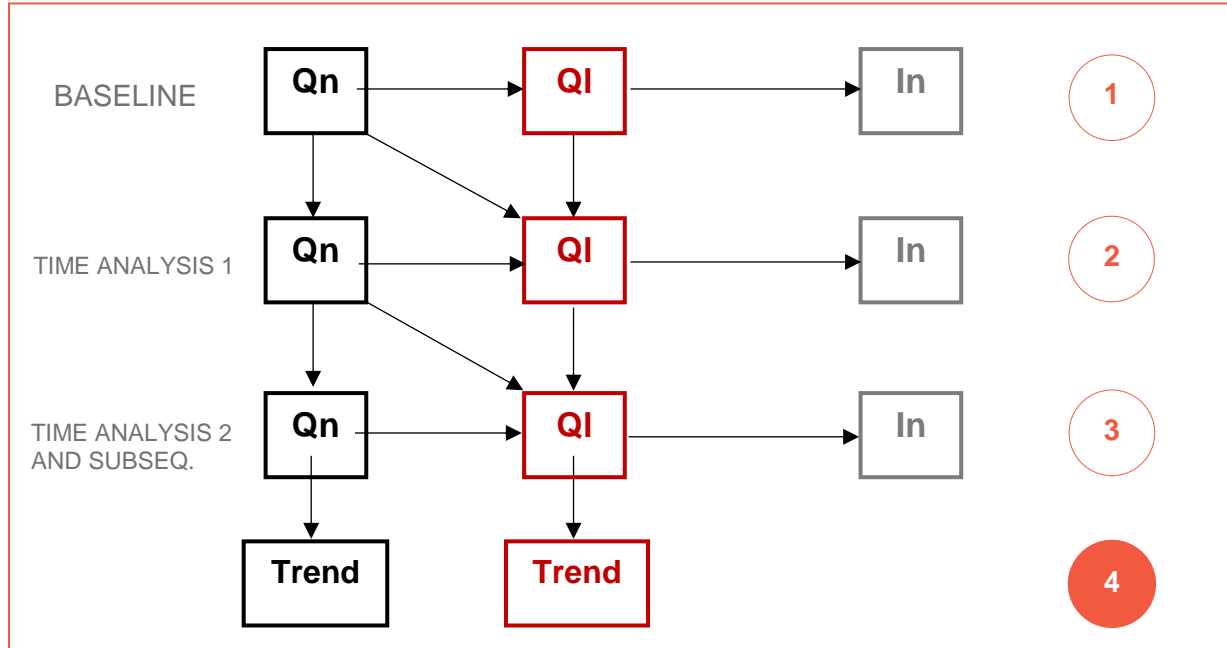
Figure 21: System of Analysis. **Qn** = Quantitative; **Ql** = Qualitative; **In** = Interpretation

The tools and process of analysis are designed to specifically mainstream and collect Age, Gender and Diversity both at individual and community level. The AGD findings contextualize further the initial outlook given by the IPSI and trigger the appropriate design of response to inform integrated programming.

As such, multi-sector needs are identified and ranked on the basis of the contextual protection risks of communities and individuals. The right-based analysis used as entry point to the analysis is transformed in a mix-method elaborated system of baseline to ensure the outcome monitoring of local protection strategies.

Humanitarian and development programmes can therefore be informed by an assessment of needs through multi-sector quantitative survey and a mix-method participatory approach. The system of analysis proposed enriches the assessment of needs: first it links it to local protection strategies and a protection risk analysis carried out as baseline that can be continuously monitored; secondly it return continues evidences and values in terms of Meaningful Access, Accountability, Participation and Empowerment, Individual Safety and Environmental Safety, qualifying the situation of Dignity and Safety of a population in a given area.