



Part III

BUILDING A STRATEGIC PROTECTION RESPONSE

*Photo Sujeewa de Silva/Norwegian Refugee Council (NRC)
Children's team building activities in an IDP camp in Sri Lanka.*

Overview

Mass population displacement often occurs during a complex emergency or major natural disaster. While the consequent protection issues vary with each situation and over time, they are always numerous, substantial and interlinked. Each situation requires a unique protection response. Often, there are not enough protection agencies on the ground, progress is difficult and setbacks are frequent. Working together strategically, in a collaborative and creative way, and making best use of available resources and expertise, can help to mitigate some of the challenges facing protection actors, and can maximize the impact of a protection response.

Part III contains three chapters on the different activities required to build a protection response. Chapter 1 provides guidance on the activities required to undertake a situational analysis; Chapter 2 focuses on the actual development of the strategy; and Chapter 3 provides guidance for monitoring and evaluating the activities implemented on the basis of the strategy.

Thinking strategically means...

- To clarify objectives.
- To avoid *ad hoc* approaches, and to always place activities in the “big picture”.
- To be pro-active as opposed to simply reacting to events and information.
- To target existing resources and expertise to meet identified needs.
- To define priorities and shape the overall response according to the different existing capacities.
- To recognize limitations (in terms of staff, resources, context) and, in response, to seize all opportunities, such as dialogue with interlocutors we can count on.
- To remain flexible and ready to adjust a strategy to the evolving situation and to change approaches that are not producing results.

Strategic thinking must guide the whole operation cycle, from the initial assessment to planning, implementation, monitoring and evaluation.

The various steps involved in developing a more strategic inter agency protection response include:

1. **Conducting a Situation Analysis:** Collecting and analyzing relevant baseline data to identify and prioritize protection gaps;
2. **Setting down the strategy,** including agreeing on what kind of activities are necessary to address the identified needs and allocating responsibility for implementation of activities; recording the results in a strategy document;
3. **Implementing the Strategy:** Implementing the activities outlined in the strategy, in a coordinated manner; and
4. **Monitoring and Evaluating its Impact:** Measuring the impact of the strategy, whether activities undertaken were appropriate and useful in the particular context. on the persons of concern.

All humanitarian and development actors need to keep in mind that their activities aim to ensure that IDPs and other affected communities are able to **exercise their rights** in accordance with international human rights law and, where applicable, international humanitarian law and international refugee law. Protection is therefore relevant to all sectors of an intervention; it is the **core of the broader humanitarian response**.

Chapter 1

Situational analysis

1. Introduction

Situational analysis refers to the collective assessment and analysis of a given operational context: **Assessment** is a process through which all relevant baseline information is collected, using a variety of methods and sources. **Analysis** examines the data collected during the assessment to identify the protection risks and concerns to be addressed, their impact and urgency.

The aim of a situational analysis is to ensure that a humanitarian response is based on accurate and up-to-date information, and that the urgency or gravity of issues is taken into account. Undertaking a situational analysis is therefore the first step and precondition to a sound protection strategy.

Key considerations before initiating a situational analysis include:

Who will do it?	<ul style="list-style-type: none"> • A team of representatives of key protection partners and non-protection actors. Ensuring a joint exercise is critical to avoid duplication of efforts and repeated assessments of the same population by different humanitarian actors, as well as for promoting a shared understanding of the protection gaps. • In close coordination with: <ul style="list-style-type: none"> – The Humanitarian Coordinator, who oversees the whole humanitarian response; – Relevant authorities to the extent possible, or at least in close consultation.¹
When to do it?	<ul style="list-style-type: none"> • In a sudden crisis or in the face of an emerging situation, for the humanitarian community to understand quickly the situation to plan for an effective protection strategy. • In post-emergency operations, to get a more thorough understanding of thematic or geographic issues and strengthen or reorient efforts towards durable solutions. • On an ongoing basis, to gain continuous information on the direction of the protection strategy and determine the need for changes.
Scope	<ul style="list-style-type: none"> • Determine which geographical areas will be covered by the assessment. • The assessment should focus on communities in the broad sense, to understand the situations of groups of different ages, gender or backgrounds, and to identify the various concerns and perceptions of displaced persons, other affected populations and the public at large.
Resources available	<ul style="list-style-type: none"> • Work out an estimated budget to ensure sufficient resources, including staff and transportation, until the end of the assessment.
How to do it?	<ul style="list-style-type: none"> • A situational analysis exercise includes four sets of activities, each with a specific methodology: <ol style="list-style-type: none"> 1) a documentary review of existing information 2) a participatory assessment with IDPs and affected communities 3) consultations with government and other stakeholders 4) systematizing and analyzing information • The inter-agency tool for assessment and analysis, <i>Protection for Conflict-induced IDPs: Assessment for Action</i>,² provides detailed guidance to go through these steps. In addition, the Humanitarian Information Centre (HIC), if there is one in the operation, can help process the information in a user-friendly manner.

¹ For more information on working with non-state actors, see Part I, Chapter 1, *The fundamentals of protection work*. Consult the Humanitarian Coordinator concerning their involvement.

² *Protection for Conflict-induced IDPs: Assessment for Action*, Inter Agency Standing Committee Protection Cluster Working Group, Early Recovery Cluster Working Group, pilot version for field testing, November 2007.

2. Steps for Assessment and Analysis

There are various methods for assessing and analyzing the protection situation of a specific population or group. These include Rapid Assessments, Standard Assessments, or Profiling. The choice will often be guided by circumstantial factors, such as the urgency of the situation and the level of access to affected areas (see Part IV.8). 

All methods, however, include a documentary review, participatory assessments and consultations with key stakeholders. Equally, all protection assessments and subsequent analyses need to be based on human rights standards and should capture the protection concerns of persons of different ages, sex and backgrounds (see Part I, Chapter 1). 

A number of standard templates have been developed to guide the information-gathering and analysis. The Inter-agency Standing Committee is developing a template for a joint rapid assessment tool that can be customized to suit most operations. The Global Protection Cluster has developed a protection-assessment framework, **Protection for Conflict-induced IDPs: Assessment for Action**.³ The tool provides a general structure and list of essential questions to be answered during all phases of a situation (see Part IV.1). 

2.1 Documentary review

(Timeline: This should not take more than a week and can be done in parallel to the participatory assessment and other consultations below)

A documentary review should be used to compile available documentary information, such as annual reports, surveys, the resulting information of profiling and monitoring reports, and previous needs assessments and evaluations. The documentary review is not meant to be a statistics-gathering process, nor is it a substitute for agency-specific, protection-related or sectoral gathering of standards and indicators.

Based on that background information, a draft analysis should be prepared using the *Protection Analysis Framework for Action*³ or, if time is limited, the broad themes in its chapter headings, as a guide. This draft can be validated and completed later through the Participatory Assessment and separate interviews with national authorities and other actors.

2.2 Field-based Participatory Assessment

(Timeline: can be carried out in one week or less in various locations simultaneously)

IDPs and affected populations have a right to participate in making decisions that affect them. They generally can provide the most accurate data on which to base a protection strategy, and their participation is essential for ensuring that programmes and interventions effectively address their needs and protect their rights.

The process of including affected communities in identifying who they are, what problems they are facing, what capacities they have, and what they can do to create a more protective environment is known as “**Participatory Assessment**”⁴. The main phases, which can be shortened to suit operational requirements are:

- **Identifying leadership** in the community (both *official* representatives or authorities and *de-facto* leaders or influential members of the community), and help identify power relations.
- **Mapping diversity** to identify which groups of a specific age, sex or background with common protection concerns.
- **Selecting themes** of particular interest to discuss with the community.

³ *Ibid.* footnote 2.

⁴ The methodology for Participatory Assessment is attached to the *Protection for Conflict-induced IDPs: Assessment for Action* (see footnote 2).

- **Facilitating discussions** on these themes to understand specific protection concerns and to identify possible solutions (*see Part IV.10*). 

Discussions with communities should not stop after the assessment. Rather, the dialogue and trust established through this process should be kept alive throughout the operation. These discussions will determine to a great extent whether or not the protection strategy should be adjusted to better serve the interests of the community.

2.2.1 Ethical considerations in undertaking participatory assessment:

The rights, dignity, and well being of IDPs and hosting communities must be safeguarded during the participatory assessment. One challenge in conducting a participatory assessment is identifying ways of establishing regular contact with IDPs and hosting communities, particularly where IDPs have integrated into the rest of the population, such as is often the case in urban settings.

Singling out IDPs could expose them to heightened security risks. In some cases it could lead to tensions with the rest of the community, particularly if IDPs are perceived as receiving preferential treatment. It may be advisable to work through existing structures, and faith, and/or community-based groups. Another option could be to first hold joint group discussions including both displaced and non-displaced persons, and to speak to IDPs separately during a second stage.

When undertaking a participatory assessment, participants from the community should:

- Be warned of any potential risks or inconveniences associated with participation in the assessment, such as time away from family or job, or reminders of traumatic experiences;
- Be informed of the objectives, purpose and process of the assessment and be informed of its limitations, so that expectations are not raised (such as a specific response, or receiving any direct financial or other personal gain from participating);
- Participants should be informed, however, of the potential benefits possibly arising from the assessment, including improving certain conditions for other IDPs or affected communities;
- Be reassured that they do not have to participate in the assessment or to give personal information that embarrasses them, makes them feel uncomfortable or revives traumatic experiences in public;
- Not be asked questions, particularly related to protection, in front of armed personnel, security personnel and officials, or other persons when this presents a risk; equally, they will not be photographed or recorded without their informed consent;
- Know that the confidentiality of information sources will be respected and names and identities of participants will not be disclosed. This may be especially difficult when local authorities participate in the process. Internally displaced persons must not be exposed to protection risks because of their participation;
- Be permitted to express themselves freely without interruption and without having the information they provide “challenged” negatively (e.g., questioning lack of initiative or credibility);
- Be given the names of contact staff or partners with whom they can follow up in case they have personal questions or concerns; and
- Representatives of the different groups should be identified to ensure the continued involvement of the community. At the very least, they should be kept informed of how their information is being used and of any follow up actions taken.

2.3 Consultations with relevant authorities, NGOs and other actors

(Timeline: several days)

Efforts to enhance the protection of IDP communities and to strengthen local and national protection capacities depend upon the **participation and engagement of relevant local and national authorities, as well as NGOs and other actors. Protecting IDPs is the responsibility of the national authorities.** Their participation from the earliest stages will **help build ownership and ensure the necessary collaboration as the strategy is defined and implemented.**

Depending on the consultations with the Humanitarian Coordinator, **non-state actors** who are in *de facto* control of territory where IDPs and other affected populations reside might also be included in the discussions to enable a better understanding of their approach to the humanitarian crisis and their perception of the humanitarian community and affected populations. While they do not represent a State, international law places certain obligations on their conduct towards civilians. During such consultations, humanitarian agencies must maintain their neutrality and impartiality (see Part I.1). 

2.4 Systematizing and analyzing information

(Timeline: concurrent with the data collection and one to two days upon completion of the assessment)

The analytical phase requires a reflection on the information to understand which are the main protection gaps – or human rights concerns – in a given situation as well as their causes and the capacity of local communities, authorities and other actors to bridge those gaps. The analysis should be represented in a final document, which can be drafted with the guidance of the *Protection for Conflict induced IDP's: Assessment for Action*⁵.

The findings should be **validated by the various stakeholders.** A meeting or workshop with the community might be necessary to prioritize the findings, modify them if necessary, based on other facts, and receive a final endorsement. Equally, the final analysis should be discussed, to the extent possible, with national authorities to reach a shared understanding of the protection gaps. This should contribute to strengthening partnership between the national authorities and humanitarian actors in the implementation of the protection strategy.

⁵ *Ibid.* footnote 2

Chapter 2

Developing the strategy

1. What is a Protection Strategy?

A strategy provides the over-arching vision for a collective and, therefore more comprehensive, protection response. A strategy provides a collective analysis of the protection concerns and a clear understanding of the operating environment; defines common objectives; identifies priorities; and puts forward a coherent and comprehensive plan of action, with clearly allocated roles and responsibilities, for achieving these objectives.

2. Why is a Protection Strategy Important?

A protection strategy, especially one that is developed with a broad range of partners, will help to strengthen their protection response, particularly that of national authorities and affected communities in a number of ways:

- **Effective response:** Working together in a planned and coordinated way, will result in a more coherent and, therefore, more effective and more comprehensive response to protection concerns, while helping to ensure that there are no gaps or duplications of efforts;
- **Innovative responses:** The process of developing the strategy, bringing all relevant actors together to identify shared objectives and mutual strengths, can also help find creative ways of overcoming obstacles;
- **Access to resources:** Raising funds for protection activities can be more effective when approaching donors together and presenting shared objectives. The strategy often forms part of the inter-agency planning or fund-raising process, such as the Common Humanitarian Action Plan (CHAP) or Coordinated Appeal Process (CAP);
- **Measuring impact:** Measuring the impact of protection interventions is difficult, but setting benchmarks or indicators can help to evaluate how the protection response has improved the situation, and if the interventions are appropriate (*see Part III.3*);  and
- **Continuity:** A strategy can help to ensure continuity in an operation, especially in situations where there is a high turnover of staff.

3. Who should develop the protection strategy?

In order to ensure appropriate identification of needs, and the most effective and comprehensive response, all relevant protection actors in the country should be involved throughout the process of developing a protection strategy. It should be developed by the protection working group or similar protection coordination mechanism, in consultation with the Humanitarian Coordinator and the IASC Country Team.¹

The strategy-development exercise should involve and reflect the views of those whom it seeks to protect, such as displaced communities, non-displaced populations under threat, and among them older persons, women, men, children, and youth of diverse backgrounds. Throughout this process, it is also important to consult with national or local authorities, as appropriate, and other relevant stakeholders such as donors, or representatives of peace-keeping/peace-support/peace-building missions.

¹ The Humanitarian Coordinator is responsible for ensuring the “development of a comprehensive strategic plan for responding to the ... protection needs of IDPs” (Revised Terms of Reference of Humanitarian Coordinators, 2003, IASC).

Coordinating the development of a protection strategy with a large number of actors with different working styles and mandates can sometimes be difficult. Consultations must, therefore, encompass the different perspectives in order to secure a broad consensus. The resulting strategy document should be clear and concise to ensure a shared understanding of the strategy by all those involved in its implementation (see Part II). 

The absence of a protection strategy should not prevent humanitarian agencies from undertaking protection activities in the field, especially during an emergency phase and supporting the capacity of national authorities to protect IDPs and affected communities. However, it is important to ensure that a strategy is developed as soon as possible in any given context. The strategy should be reviewed regularly to ensure that it remains relevant and effective.

4. What should the strategy include?

The strategy will be determined by the specific context, including the protection actors present. In a conflict situation, the strategy may be more focused on advocacy and mitigation of the impact of conflict on the affected populations. In a return or post-conflict setting, the strategy may be more specific to ensuring conditions for durable solutions. During natural disasters, the strategy may involve closer dialogue with the authorities on reconstruction and ensuring non-discrimination in access to services or assistance.

A protection strategy should respond to the following questions:

- Who needs protection and in relation to which right?
- What will the various actors do and how?
- How will they know if the strategy has been successful?

4.1 The Strategy Document

Strategies may differ in format, but there are a number of *standard* components to ensure that the strategy document is clear, action-oriented and practical. These include:

- I **Background:** An outline of the relevant facts that have led to the existing humanitarian crisis and have triggered the development of a protection strategy.
- II **Situation analysis:** This would include a summary of the findings of the document review, consultation with key stakeholders and the participatory assessment, and should include priorities on who should be protected and how. It should also include a list of stakeholders, both agencies and communities, involved in implementing a protection strategy and state their capacities and roles.
- III **Possible scenarios:** As with the CHAP, it is useful to elaborate on the best, worst and most likely scenarios in a given context. Humanitarian crises, particularly armed conflicts, are volatile. The protection response, like the broader humanitarian response, needs to remain flexible to respond to political developments as they arise. Protection actors should be well prepared for the different scenarios and foresee possible changes in the protection strategy as may be required by the circumstances.
- IV **Basic principles:** It might be necessary to emphasize the principles on which the protection strategy is based, (such as independence, impartiality, and neutrality; community participation, etc), as well as the general thrust of the humanitarian operation/response. The strategy paper should also affirm that the international community has been called upon to support the government in improving the protection of the displaced and other affected populations (see Part I.1). 

- V **Legal framework:** There should be a clear reference to the law applicable in the specific country context, including international human rights law, international humanitarian law, as well as relevant national law.
- VI **Objectives:** Based on the priorities identified and the legal framework applicable in the specific context, the strategy should outline key objectives that the protection actors are aiming at in the short, medium and long term.
- VII **Action plan:** The strategy should outline activities that will be undertaken, either collectively or by individual organizations, in order to address the identified needs and achieve the stated objectives. The list of activities must be based on what resources and capacities are currently available, humanitarian access and security. The strategy should be realistic, practical and appropriate to the country context. The Action Plan should include:
- **Activities:** listed in order of priority (*see Part IV of this Handbook*); 
 - **Geographic area:** where activities will be undertaken;
 - **Populations:** who will these activities be implemented for/with; and
 - **Responsibility for implementation:** assigning responsibilities for activities should take into account who is best placed to do what – who has the most expertise, experience and capacity to undertake particular activities. For the UN agencies, this should be in line with commitments made at the global level to provide particular technical expertise (*see Part I.3*). 
- VIII **Coordination:** Mechanisms for coordinating the implementation of the strategy need to be clearly defined. It is particularly important to designate a lead organization in each sector, to outline the structure and membership of the sector, (including national, regional and any local working groups), as well as to define how the sector reports to the Humanitarian Coordinator (*see Part I.3*). 
- IX **Key indicators:** Having set objectives for the strategy, it is necessary to measure to what extent they have been attained as well as what impact activities have had. Setting indicators to measure the impact of protection activities is generally difficult, but there are certain key outcomes that can be used to assess whether activities have improved protection (*see Part III.3*). 
- X **Constraints/Assumptions:** It is important to understand what may affect implementation of the strategy. Common constraints include insecurity, lack of access, and lack of resources.
- XI **Costs:** It may be necessary to include the total cost of implementing the strategy, particularly when additional funds need to be raised.

Format: The strategy can be written as a narrative text and/or tables with the priorities, activities, responsible organizations and indicators clearly indicated. The key is to ensure that the strategy is concise and easy to understand.²

Scope: A strategy usually establishes a countrywide protection response. However, it might be necessary to develop a response for a specific region/district in a country. If so, the region/district-specific response should be seen as part of the countrywide response and should share the broader objectives.

In operations where two or more countries have related protection issues, it might be helpful to develop a **regional protection strategy**. These strategies may address medium- and longer-term goals. A regional strategy does not preclude a country-specific response.

² No specific template is provided in this Handbook as it could limit the creativity of protection teams. However examples of various inter-agency strategies, such as those for Lebanon, Uganda, Somalia, and the Sudan, are included in the CD-ROM version of this Handbook.

The Timeline

Developing a protection strategy can be swift. It might take from a week to a month, depending on the operational context and urgency of needs. To avoid a protracted and cumbersome process, protection partners should set a clear deadline for each step and stick to it.

Once the situation analysis is completed, the development of the strategy paper can progress as follows:

1. Initial consultations agreement on process, lead, drafters, time frame for finalization
2. Collective brainstorming to identify the elements of the strategy
3. Drafting to be done by a small team or by the lead protection agency or organization
4. Review of first draft to be done by all relevant partners
5. Finalization of draft incorporating comments/suggestions from all partners
6. Endorsement by HC and IASC CT

Once the strategy is endorsed it can be shared, as appropriate, with state authorities, donors and other relevant stakeholders who did not take part in its development. Reviews should be conducted at regular intervals, perhaps in line with mid year reviews of the CAP, or more frequently, as necessary.

Chapter 3

Monitoring and Evaluating the Strategy

1. Introduction

Monitoring is the process by which a humanitarian operation is continuously reviewed to determine whether the implemented activities have the desired impact and are being undertaken within the agreed timeframes and costs. Monitoring is usually conducted during an operation.

An **evaluation** is usually conducted upon completion of an operation or of a specific phase of an operation. It examines all aspects, including the design, dynamics, implementation and results of a specific project or an overall programme. The findings of an evaluation will usually help to determine how to adjust or improve the object of the evaluation.

Monitoring and evaluation are both **management tools** that ensure that a protection operation is running efficiently and that stakeholders are accountable for the activities they carry out. Equally importantly, they assist in correcting aspects of the programme so that it can better meet its objectives. Monitoring is a **continuous process** that provides early indications of progress, or lack thereof, in the implementation so that an operation can be corrected immediately. Evaluation, on the other hand, occurs less frequently but might be more comprehensive.

A variety of **indicators** are used to monitor and evaluate a protection strategy. A summary of some of these indicators is provided in Annex 2. These indicators should also help to determine whether a plan of action/protection strategy is working.

2. Monitoring

Monitoring provides the first opportunity to measure the results of a protection strategy. It is a particularly important step in operations that require frequent revisions of a plan of action to respond to a rapidly changing environment, as in an emergency.

2.1 Who monitors?

Traditionally, the agency that funds or implements an activity is responsible, from the perspective of financial accountability, to monitor the activity itself. While this is important, it often results in fragmented data collection.

Monitoring should thus be undertaken collectively by IDPs and other affected communities, the authorities involved and humanitarian agencies. The allocation of responsibility for monitoring, what should be monitored and how it should be done should be clearly defined and included in the final protection strategy document.

2.2 How do we monitor?

Monitoring **activities** can take different forms, including:

- Scheduled or random visits to local communities;
- Discussions with focus groups that took part in participatory assessment exercises;
- Regular discussions with local authorities;

¹ This Chapter refers to “monitoring” as a generic programming tool and not as the activity known as “protection monitoring”, which is dealt with under Part IV of the Handbook, Guidance Note 1, *Protection monitoring*.

² Exceptions to this are real-time evaluations conducted while operations are still ongoing.

- Periodic analysis of baseline data gathered in the above visits and discussions, and from monitoring reports by humanitarian agencies; and
- Analysis of financial reports and levels of implementation against planned activities.

Monitoring should not be conducted or perceived as an inquisitorial process, but rather as **an ongoing communication among various stakeholders to measure and improve the impact of operations.**

How a protection strategy is monitored depends on what needs to be monitored. Monitoring can be divided into two categories:

- **Situation monitoring:** Measures change in a condition or a set of conditions in a given operation. Baseline data provide the initial information against which changes can be measured. Baseline and subsequent data can be drawn from participatory assessments, discussions with stakeholders and even a desk review. The data will be most useful if they are disaggregated by sex, age and socio economic factors, such as whether the persons live in urban or rural settlements and their professions (see Part IV.1) 
- **Performance monitoring:** Measures progress in achieving specific results in relation to an implementation plan. It includes:
 - *Input monitoring*, which determines whether human, financial and material resources are mobilized and deployed as planned;
 - *Output monitoring*, which establishes whether products or services are being delivered or planned; and
 - *Process monitoring*, which reviews the processes by which an operation is managed.
- **Impact monitoring:** Reviews whether a programme is having the expected impact and, if not, what changes should be made to improve it. It also verifies whether any aspect of the strategy has produced any adverse effects on members of the community or any other actor.

3. Evaluation

3.1 Who undertakes evaluations?

Depending on what is being reviewed, an evaluation can be led or undertaken by a single agency (which is not advisable), by a specific cluster or working group, or jointly among various clusters/sectors. It can be undertaken by the individuals working in an operation or by persons who are not directly associated with the operation, as in external or independent evaluations.

3.2 How do we evaluate?

Given that a range of stakeholders are usually involved in responding to a humanitarian crisis, it is crucial that all parties agree to the criteria used to evaluate the operation. Such criteria are determined by the evaluation's objective and scope. They include:

- **Inclusiveness and representation:** The extent to which the concerns and views of women, men, boys and girls of all ages among IDPs and other affected communities are included in the design of the programmes and activities.
- **Relevance:** The extent to which the protection strategy for IDPs and other affected communities is consistent with the priorities and policies of the communities themselves.
- **Effectiveness:** The extent to which the protection strategy document achieves its objectives.
- **Efficiency:** It is useful to consider whether the planned actions were implemented in a timely and cost-efficient manner.
- **Impact:** Direct or indirect positive and negative long-term effects on IDPs and other affected communities as a result of an activity, intended or unintended.

- **Sustainability:** The extent to which the objectives of a programme activity will continue after the project is over, and the extent to which the government, IDPs and other affected communities benefiting from a project are willing to assume responsibility for achieving the programme's objectives.

Evaluations can be divided into the following categories:

- **Participatory or community-based evaluations:** These assist in understanding how IDPs and other affected communities perceive and assess the humanitarian operation. To be effective, such evaluations should be carried out over an extended period of time by a person or team with social research skills.
- **Real-time evaluations:** These are conducted in the acute phase of an emergency, some four to six weeks after the onset of a crisis. Real time evaluations often focus on overall operational performance issues and provide findings and recommendations that can be put to immediate use by operations managers and field staff.
- **Self-evaluations:** These are undertaken by the teams in a country operation to assess the impact of their work and to plan future activities. All stakeholders, including IDPs and others of concern, should be involved.
- **Lessons-learned evaluations:** These are undertaken upon the completion of a major humanitarian operation. Such workshops provide a record of accomplishments and problems encountered which can be used to plan and implement similar programmes in other countries or regions.
- **End-of-project evaluations:** These are undertaken at the end of a project or end of a fiscal year. They provide a comprehensive review of achievements and impact, and ensure better planning of programmes for the following year.

Annex 1:

Some Dos and Don'ts Concerning Assessment

(Based on a UNICEF paper, “Some guiding principles and principles of ethics”)

DO

- Ask the community, particularly women and youth groups, to identify potential areas or issues needing immediate attention.
- Explain the objectives and purpose of the assessment, what it can achieve and what it cannot, to the community, community leaders or professionals to ensure their cooperation.
- Be aware of the range of interviewees who can provide a representative sample of perspectives. Try to obtain responses from different sources whenever possible.
- When seeking the participation of a child, explain the nature and objectives of the assessment to the child's parents or adult guardian and secure verbal permission to speak with the child.
- Explain the project to the child in a way he/she can understand.
- Obtain consent from all adult participants in any activity, and inform them that they can refuse to take part in the assessment without negative consequences.
- When interviewing, remain aware of the risks individuals may face by talking to outsiders.
- Be certain that interviews about sensitive topics are conducted individually and confidentially.
- Be aware of the background of interpreters and others who accompany the assessment team.
- Ensure that women interviewers are available to interview other women.
- Protect the safety and security of respondents and assessment-team members.
- Remain ready to protect any individual if the team receives information of incidents likely to cause significant harm.
- Try to talk to groups that might be marginalized, particularly women, children, the elderly, persons with disabilities, persons belonging to minority groups, persons belonging to different religious groups, unless you believe that this would expose them or you to increased risk.
- Respect the dignity and self-worth of individuals, particularly women and children, at all times.

DO NOT

- Make promises if you are not sure you can keep them.
- Probe for information when it appears that a person would rather not give an answer.
- Ask intrusive questions; be aware of what is considered intrusive in the cultural context.
- Take pictures or videos of individuals without their informed consent.
- Record names and reveal identities of interviewees.
- Talk to other participants about a specific interview. To do so shows that confidentiality is not being respected.
- Ask questions, particularly those related to protection, in front of armed personnel, security personnel and officials.

Annex 2

Indicators

Some agencies make a distinction between impact indicators and performance indicators:

1. **Impact indicators** are signs of change in conditions or institutional practice that affect the population of concern and its welfare. They are set at the **objective** level. For instance:
 - *Seventy percent primary enrolment and 80% attendance ratio of both girls and boys.*
 - *Number of arbitrary arrests of refugees and asylum seekers reduced by at least 70%.*
 - *National legislation foresees oversight mechanisms towards non-discriminatory access to public services for all citizens, including internally displaced persons.*
 - *All internally displaced persons in the village have permanent housing.*
2. **Performance indicators** are defined as targets that measure performance towards the achievement of planned results. They are set at the **activity** level. These are activities that can be quantified and/or graded in terms of quality and timeliness. For instance:
 - *Ten-minute radio programmes promoting girls' attendance are broadcast weekly, April to September, reaching 70% of the population.*
 - *Legal clinics opened in three major cities and staffed to receive 200 internally displaced persons and other persons of concern each month.*
 - *First draft of reviewed IDP legislation debated in parliamentary committee by 30 June.*
 - *Regional credit schemes open up specific programmes for internally displaced persons.*

Whether impact or performance indicators, they should always be sensitive to age, gender and diversity.

Indicators can also be:

1. **Qualitative**, where they reflect opinions, judgements and attitudes about a given situation or issue; or
2. **Quantitative**, where they measure the amount of something, such as the percentage of IDP girls and boys who attend primary school as compared to a baseline level.