

Protection Mainstreaming Working Group (PMWG)

Guidance Note: How to Incorporate Protection Mainstreaming in Project Designs and Funding Proposals

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Purpose of this document:

This guidance note provides recommendations on how to incorporate core elements of protection mainstreaming during the design of a project and proposal.

What type of programs is this guide relevant for?

This document is designed to guide the development and review of humanitarian and development programmes where protection will be mainstreamed.

Who should use this guide?

All staff have a role in ensuring protection is mainstreamed through responses/projects. Therefore, anyone involved in the design of a project, including the Programme Officer/Manager, Proposal Development Staff etc., may find this guide a helpful reference tool.

Although protection mainstreaming is a shared responsibility, it may be also useful to identify a focal point or lead on protection mainstreaming, who can review the final project design and proposal, to ensure core protection mainstreaming components have been fully integrated.

When to use?

During the project design phase when developing a proposal, or when reviewing a proposal and providing feedback.

How to use?

This guide is divided into sections aligned with common proposal headings and provides web links to tools to help proposal development teams quickly access the information that best fits their needs and donor specific protection mainstreaming requirements. Key messages, checklists and donor specific examples and requirements are provided.

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- **All staff have a role in ensuring protection is mainstreamed in humanitarian responses.**
 - **At a minimum, project designs should address the four Guiding Principles of protection mainstreaming throughout the project proposal.**
 - **Project designs/proposals should discuss the eight core components of the Protection Mainstreaming Framework and how these are being incorporated**

About the Authors:

This guidance was produced by Interagency Protection Mainstreaming Working Group (PMWG), a collaboration between CAFOD, CRS and Caritas Australia. The collaboration aims to support the implementation of protection mainstreaming approaches and promotion of the principles of safety, dignity and meaningful access across humanitarian response programming, primarily through the development of shared tools and resources.

Part 1: What is Protection Mainstreaming?

Protection mainstreaming is the process of incorporating protection principles and promoting meaningful access, safety and dignity in humanitarian aid. The approach is underpinned by **four Guiding Principles**:¹

1. **Prioritise safety and dignity and avoid causing harm**: Prevent and minimise as much as possible any unintended negative effects of interventions which can increase people's vulnerability to physical and psychosocial risks.
2. **Meaningful access**: Arrange for people's access to impartial assistance and services - in proportion to need and without any barriers (i.e. discrimination). Pay special attention to individuals and groups who may be particularly vulnerable or have difficulty accessing assistance and services.
3. **Accountability to beneficiaries**: Set-up appropriate mechanisms through which affected populations can measure the adequacy of interventions, or address concerns and complaints.
4. **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.

In an effort to apply these guiding principles in an emergency response, the PMWG developed a *Protection Mainstreaming Framework* to build a common language and set of standards to guide protection mainstreaming in practice.² This framework features **eight core components**, each of which comprise of practical actions humanitarian actors can apply to help ensure the safety, dignity and access of beneficiaries. They are:

1. **Analysis**: All programming is underpinned by an understanding of the protection context throughout the programme cycle in order to ensure safety, dignity and meaningful access for people and communities affected by crisis.
2. **Targeting and diversity of need**: The specific needs, vulnerabilities and capacities of people and communities affected by crisis are identified and assistance is targeted accordingly, taking account of the diversity of communities include those who may be marginalised or disadvantaged
3. **Information sharing**: Communities and people affected by the crisis are informed of their rights and entitlements and have access to accurate and timely information
4. **Community engagement**: There is active and inclusive community engagement in all stages of the programme cycle that builds on and strengthens existing community and state structures, resources and capacities
5. **Feedback & complaints mechanisms**: Communities and people are able to provide feedback and make complaints in a safe, dignified and confidential manner, and receive an appropriate response when they do so
6. **Staff conduct**: Staff have appropriate knowledge and organisational support to conduct themselves and their work in a safe and appropriate way
7. **Mapping & Referral**: Staff have necessary knowledge, information and training to support people and communities in accessing existing services
8. **Coordination & Advocacy**: Staff advocate and work with relevant actors to enhance the protective environment, avoid duplication and prevent, mitigate and respond to protection risks

¹ These Guiding Principles were elaborated by the Global Protection Cluster (GPC). For more detailed information on this approach see the [GPC website](#).

² For more detailed information on this joint-agency approach, see the [Protection Mainstreaming Video](#) and CRS, Trócaire, Caritas Australia and CAFOD, [Joint Protection Mainstreaming Framework \(2016\)](#)

Part 2: Mainstreaming Protection Throughout the Design/Proposal

The following guidance notes give some suggestions about what can be included in proposals and some tools that can be referred to or used to ensure that protection is mainstreamed throughout the proposal.

The table is broken into six parts, reflecting the standard sections generally included in proposal templates. Suggestions provided in this table are directly linked to the eight core components of the PMWG Protection Mainstreaming Framework (see Annex 3).

Proposal section	Which core component of the framework can I refer to?	How to apply Protection mainstreaming?	Which tools can I refer to?
Needs assessment & situation analysis	<ul style="list-style-type: none"> Analysis 	<p>The proposal should be underpinned by an understanding of the protection context:</p> <ul style="list-style-type: none"> Include a basic analysis of protection issues. This does not need to be based on the collection of primary data from the community; indeed this may be harmful if the team are not experienced in undertaking protection assessments. Instead, using existing data, explain what the underlying protection risks are and the potential negative effects/risks different gender, age and identity groups may be exposed to. <ul style="list-style-type: none"> ⇒ Example: <i>Women have traditionally faced multiple layers of discrimination, based on the overlapping vulnerabilities of caste, age, and religion. Prior to the earthquake, 20% of women aged 15-49 had experienced sexual violence at least once. This vulnerability is likely to be exacerbated by the emergency.</i> Provide a brief gender, age and diversity analysis <ul style="list-style-type: none"> ⇒ Example: <i>Census data from before the crisis, shows 10% of the population was over the age of 60. Around 35% of households were headed by men over 60 as working age adults have migrated to the capital city and abroad.</i> 	<ul style="list-style-type: none"> PMWG Bubble analysis ECHO Gender-Age Marker Harvard Analytical Framework for Gender Analysis
	<ul style="list-style-type: none"> Analysis 	<ul style="list-style-type: none"> Explain how the needs assessment has taken into consideration protection mainstreaming: <ul style="list-style-type: none"> ⇒ Example: <i>Questions were included in the assessment to understand the safety and access concerns of diverse affected populations.</i> Consider positive and negative coping strategies in the assessment. Do these coping strategies differ based on the religion, ethnicity or other identity of the population? <ul style="list-style-type: none"> ⇒ Example: <i>Is there evidence of negative coping strategies such as early marriage, trafficking, prioritising food for boys and men, or child labour?</i> 	<ul style="list-style-type: none"> Coping Strategies Index (CSI) manual. Developed in relation to food security but applicable in any sectors). It can be included in the needs assessment

	<ul style="list-style-type: none"> Community engagement 	<ul style="list-style-type: none"> Explain the use of participatory techniques during the needs assessment. Explain how different groups (women, men, girls, boys, older people, people with disability, ethnic/minority groups etc.) were involved and able to express their different needs. Gender and age segregated data collection may need to be further segregated by identity group (ethnicity, religion, displaced/host, etc.) in contexts where these groups are in conflict. <ul style="list-style-type: none"> ⇒ Example: <i>During the needs assessment, we did 6 FGDs: 1 with women, 1 with men, 1 with adolescent girls, 1 with adolescent boys, 1 with children (if appropriate), and 1 with older men/women. We used a community risk mapping exercise to understand what protection threats existed in the community that could have impacted on the project/that we needed to take into consideration in order not to expose the beneficiaries to further risks as a result of our actions.</i> 	<ul style="list-style-type: none"> VSO Participatory Approaches: A Facilitator's Guide detailing a range of participatory approaches: methods, principles, tools URD Participation Handbook for Humanitarian Field Workers containing practical advice for increasing participation in responses
Proposed response	<ul style="list-style-type: none"> Targeting and diversity of need 	<ul style="list-style-type: none"> Explain how the proposed project addresses the specific needs of the affected persons. Explain how the proposed project will ensure safety, access and dignity of targeted people and communities taking into account issues of sex, age and diversity. <ul style="list-style-type: none"> ⇒ Example: <i>Shelter kits will be distributed to families whose shelters have been partially or wholly destroyed in X area. Additional labour support will be provided to households headed by older people and people with disabilities who may have difficulties undertaking the repairs themselves.</i> Explain how the proposed project will mitigate potential risks identified through the protection analysis. <ul style="list-style-type: none"> ⇒ Example: <i>The protection analysis identified the threat of armed groups in areas close to the distribution sites. In line with feedback from the community, distributions will take place early in the day, to give people time to get home before dark. Additional transport will be provided to those with mobility issues.</i> 	<ul style="list-style-type: none"> SAD-SAD tool to explain how the project will ensure safety/dignity and access
	<ul style="list-style-type: none"> Targeting and diversity of need 	<ul style="list-style-type: none"> Describe how the action specifically target certain groups or vulnerabilities. Explain how the project identified the differing needs and vulnerabilities of all groups according to sex, age and diversity considerations. We should avoid resorting to the use of standardised vulnerability groups e.g. children, women, pregnant and lactating women. 	<ul style="list-style-type: none"> IFRC Selection and prioritisation criteria tool Coping Strategies Index (CSI) manual.

		<ul style="list-style-type: none"> • Explain how the proposed activities will take into account the specific protection concerns of individuals and groups based on: <ul style="list-style-type: none"> ✓ Risk of exposure to harm, exploitation, harassment, deprivation and abuse ✓ Inability to meet basic needs ✓ Limited access to basic services and livelihoods/income opportunities ✓ Ability of the person/population to cope with the consequences of the crisis ✓ Due consideration for individuals with specific needs ✓ Consideration for the negative/dangerous coping mechanisms as they will often expose people to harm and therefore increase their vulnerability ⇒ Example: <i>The cash transfer project will target households headed by widows as the assessment shows they are highly vulnerable but also tend to have the least access to assistance due to the lack of documentation (traditionally citizenship is passed via husbands).</i> ⇒ Example: <i>The livelihood response will target adolescent boys aged 15-18 as they are the most vulnerable to recruitment by armed groups.</i> 	
Target population	<ul style="list-style-type: none"> • Targeting and diversity of need • Community engagement, • Information sharing • Feedback and complaints mechanism 	<ul style="list-style-type: none"> • Explain how the beneficiary selection criteria have been conceived. It should be done together with the affected people and communities themselves to ensure participation and empowerment. • Explain how we will ensure that beneficiaries: <ul style="list-style-type: none"> ⇒ Participate in the different phases of the project cycle (from identification of needs to monitoring and evaluation) - describe how you will provide this information ⇒ Are informed about the organisation, the project and its activities ⇒ Can provide feedback about the quality of the assistance and the performance of the organisation/staff ⇒ Can raise concerns and make complaints in a safe and confidential manner about the project and staff's behaviour (describe what systems are available for beneficiaries). 	<ul style="list-style-type: none"> • IFRC Selection and prioritisation criteria tool
Response Objectives & Logical / Results		<p>Objectives</p> <ul style="list-style-type: none"> • Assuming that we are <u>NOT</u> developing a proposal for a stand-alone protection project, the main and specific objectives will be sector-specific (e.g. providing increased access to WASH facilities/shelter/livelihoods opportunities etc.). However, we can still describe how we will mainstream protection and add key words such as: providing safe and dignified access to.... 	<ul style="list-style-type: none"> • Annex 1 - Protection Mainstreaming Indicators • SAD-SAD

		<ul style="list-style-type: none"> In the detailed description of the specific objective (regardless of the sector), explain how the project will: <ul style="list-style-type: none"> ⇒ Contribute to reduce vulnerability, to mitigate risks and reduce negative coping mechanisms. ⇒ Achieve the specific objective in an inclusive, safe and dignified manner. <p>Indicators</p> <ul style="list-style-type: none"> The proposal will have sector-specific indicators but if possible it would be recommended to include an indicator making reference to safety, access and dignity. These can either be: <ol style="list-style-type: none"> Process output/outcome indicators: indicators that assess whether protection has been mainstreamed across an organisation <ul style="list-style-type: none"> ⇒ Example: <i># of staff trained on protection mainstreaming</i> ⇒ Example: <i>% of staff reporting that they take protection mainstreaming into account in their work/project</i> Impact indicators: indicators that assess whether protection mainstreaming has had a positive or negative impact on affected populations. <ul style="list-style-type: none"> ⇒ Example: <i>% of communities reporting that the shelter assistance is delivered in a safe and dignified manner</i> ⇒ Example: <i>% of communities reporting they have meaningful access to WASH services</i> Disaggregate the indicators by sex, age and disability as well as other context-specific vulnerable groups. In the source and method of data collection section, explain that the methods used (e.g. post-distribution monitoring, user survey etc.) will include questions about safety, access and dignity. 	
Monitoring & Evaluation Plans	<ul style="list-style-type: none"> Feedback and complaints mechanism Information sharing Community engagement 	<ul style="list-style-type: none"> Explain how the beneficiaries will participate in the monitoring of the project. Explain how the beneficiaries will be able to provide feedback on the quality of the project/assistance/goods/services received and how the organisation will act upon the feedback received (i.e. how can the project be adapted to ensure it takes into account beneficiaries' feedback?). Explain how beneficiaries will be able to raise concerns and anonymously report complaints, and how complaints will be handled (describe complaints handling mechanism set up, or to be set up, by the organisation). 	<ul style="list-style-type: none"> PMWG MEAL Pack GPC Protection Mainstreaming Toolkit (p. 35)

		<ul style="list-style-type: none"> • Explain how the organisation will ensure that beneficiaries are informed about the objectives of the project, that they know how to monitor the quality of the outputs of the project and how to express their view. • Explain that beneficiaries' perceptions/opinions will be sought using MEAL tools that also take into account issues of safety-access-dignity. 	
Budget		<ul style="list-style-type: none"> • Include costs that need to be considered to ensure protection is integrated: <ul style="list-style-type: none"> ⇒ Examples: <ul style="list-style-type: none"> ✓ <i>Budget for adapting programmes (e.g. changing design, location, number of staff etc.).</i> ✓ <i>Staff</i> <ul style="list-style-type: none"> ○ <i>Staff time during the initial needs assessment/protection analysis.</i> ○ <i>Protection Mainstreaming Officer (if appropriate: this will depend on the level of expertise on protection mainstreaming within the organisation and the scale of the response.)</i> ○ <i>Community volunteers (community engagement/feedback/info sharing)</i> ○ <i>Complaints management staff</i> ✓ <i>Training for staff (on protection mainstreaming, Accountability, Code of Conduct, managing feedback and complaints etc.)</i> ✓ <i>Setting up and managing a feedback/complaints system</i> <ul style="list-style-type: none"> ○ <i>Hardware including boxes, hotline, online platform, laptops for confidential information, secure filing cupboards etc.</i> ○ <i>Software including training for staff.</i> ✓ <i>Information materials</i> <ul style="list-style-type: none"> ○ <i>Cost of posters, radio/TV slots, information volunteers, help-desk booths etc.)</i> ✓ <i>Branded items to identify staff (ID badges, caps, t-shirts, stickers etc.)</i> ✓ <i>Community meetings (including food, venue, transport costs, or other reimbursements for participant's time)</i> • Budget narrative: explain how the budget allows for activities to be implemented in a way that promotes safety, access and dignity. <ul style="list-style-type: none"> ⇒ Examples: the budget available for latrines construction includes the possibility to build disability-friendly latrines. 	

Human Resources	<ul style="list-style-type: none"> Staff conduct 	<ul style="list-style-type: none"> Explain how the organisation will ensure a gender balance/diversity among staff. Explain how the organisation will ensure that staff have appropriate knowledge and support to conduct themselves and their work in a safe and appropriate way. <ul style="list-style-type: none"> ⇒ Example: <i>All staff have signed, have awareness and have received training on the Code of Conduct and Child Protection Policy</i> ⇒ Example: <i>Communities are informed about unacceptable behaviours of staff and know how to report any concerns/complaints</i> ⇒ Example: <i>Staff have clear roles and responsibilities and are supervised</i> The above also applies to volunteers, incentive workers, contractors etc. 	
Coordination and collaboration	<ul style="list-style-type: none"> Coordination and advocacy 	<ul style="list-style-type: none"> Explain that the organisation will coordinate with relevant actors to enhance the protective environment, avoid duplication and prevent, mitigate and respond to protection risks. Explain that the organisation will liaise with the protection cluster (if not a protection actor, they might be invited to participate in the cluster) to obtain and share information about protection issues. 	
	<ul style="list-style-type: none"> Mapping and referral 	<ul style="list-style-type: none"> Explain that the organisation will use information from protection partners (protection cluster, 3Ws) to refer any protection case/incident/issue. If the information is not available at the time of writing the proposal, explain that a basic mapping of protection actors will be done and regularly updated. Explain that staff will have information and will be trained on who and how to make the referral (ensuring safety and dignity of the beneficiaries) if they come protection cases across in their work. In that way the project will ensure that beneficiaries can access existing protection services and receive appropriate assistance (this will contribute to reducing their vulnerability, and ultimately it will contribute to maximising the impact of the project). 	
Visibility	<ul style="list-style-type: none"> Information sharing Staff conduct 	<ul style="list-style-type: none"> Explain that visibility items such as t-shirts etc. will be used so that staff and volunteers are easily recognisable and approachable by communities (if safe and appropriate in the context). Explain that the organisation has (or will put in place) a communication policy for engaging people and communities so that external communications are accurate, ethical and respectful, presenting people and communities affected by crisis as dignified human beings. 	

Part 3: Protection Mainstreaming Proposal Review Checklist

This checklist provides a quick reference guide with **key protection mainstreaming considerations** to incorporate in proposals. It may also be of use for those appraising proposals to help them assess if the core elements of protection mainstreaming have been incorporated.

Proposal section	Core component	What to look for ?	No X	Partial -	Yes ✓
Needs assessment & situation analysis	Analysis	<ul style="list-style-type: none"> Have questions been included in needs assessments about vulnerabilities and barriers to safety, access and dignity for different groups? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<ul style="list-style-type: none"> Has any protection analysis been undertaken of threats, vulnerabilities, local capacities, including positive and negative coping strategies? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<ul style="list-style-type: none"> Is a brief analysis of sex, age and diversity (including, at a minimum, disability) included? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Community engagement	<ul style="list-style-type: none"> Have participatory techniques been applied during the needs assessment? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<ul style="list-style-type: none"> Have different groups (women, men, girls, boys, older people, people with disability, ethnic/minority groups etc.) been involved during the design phase and been able to express their different needs? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Proposed response	Targeting and diversity of need	<ul style="list-style-type: none"> How programme participants were identified? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<ul style="list-style-type: none"> How the project will mitigate potential risks identified through the protection analysis and be adapted to differing needs? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Target population	Targeting and diversity of need	<ul style="list-style-type: none"> The process of deciding beneficiary selection criteria to ensure the most vulnerable were identified 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Community engagement	<ul style="list-style-type: none"> How the affected population will participate in the different phases of the project cycle? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Information sharing	<ul style="list-style-type: none"> How the targeted group will be informed about the organisation, the project and its activities? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Feedback and complaints mechanism	<ul style="list-style-type: none"> Ways in which the targeted population will be able to provide feedback about the quality of the assistance, and raise concerns about the project and staff's behaviour anonymously report complaints? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Objectives & Logframe		<ul style="list-style-type: none"> How the project will achieve the specific objective in an inclusive, safe and dignified manner? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<ul style="list-style-type: none"> The log frame includes any process output/outcome or impact indicators making reference to safety, access and dignity? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

M&E Plans		<ul style="list-style-type: none"> Ways in which the targeted population will be able to provide feedback and raise concerns/report complaints (anonymously) about the project and staff's behaviour? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Information sharing	<ul style="list-style-type: none"> How the organisation will ensure that beneficiaries are informed about the project? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Community engagement	<ul style="list-style-type: none"> How beneficiaries' perceptions/opinions will be sought on issues of safety-access-dignity? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Budget		<ul style="list-style-type: none"> Any protection mainstreaming related costs? (For example, these may include resources for conducting specific assessments, protection focal points, resources for monitoring, resources for relevant training (such as code of conduct, referral, protection mainstreaming or feedback mechanism training), resources for implementing and maintaining feedback mechanisms, resources for information sharing processes or visibility?) 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Human Resources	Staff conduct	<ul style="list-style-type: none"> How the organisation will ensure a gender balance/diversity among staff? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Staff conduct	<ul style="list-style-type: none"> How the organisation will ensure staff have appropriate knowledge and support to conduct themselves and their work in a safe and appropriate way? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Coordination	Coordination and advocacy	<ul style="list-style-type: none"> How the organisation will coordinate with relevant actors to obtain and share information about protection issues. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Mapping and referral	<ul style="list-style-type: none"> How any protection cases/incidents will be referred? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Visibility	Information sharing	<ul style="list-style-type: none"> The visibility strategy 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<ul style="list-style-type: none"> A communication policy 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Other Resources: Alternatively, staff may find it useful to refer to the [Project Design Assessment Tool](#) (see page 49). This tool was developed by the Global Protection Cluster and enables staff designing projects to score proposals according to their alignment with the Four Guiding Principles of protection mainstreaming.

Annexes

Annex 1: Monitoring Protection Mainstreaming – Sample Narrative and Indicators³

Sample Monitoring Narrative Description

The following narrative provides some ideas of key points proposals may want to include, to demonstrate their mainstreaming of protection throughout design and monitoring:

The M&E tools and processes will incorporate a protection mainstreaming and accountability to communities lens. This will include the collection of disaggregated data, including disaggregation by sex, age, gender and disability where possible, to ensure the diversity of program beneficiaries is well understood and monitored. Feedback regarding meaningful access to services of diverse groups will be sought through FGDs. Feedback from general project feedback mechanisms will be regularly reviewed. Additionally, the mid-term report and final evaluation will review and discuss how the program has addressed any identified protection risks.

Sample Indicators (Log Frame format)

The following table consists of a catalogue of suggested monitoring indicators that can be used by coordination structures or operational organisations to monitor their protection mainstreaming activities and commitments. We have provided a mix of output, outcome and impact level indicators. The list is *indicative*, and indicators can be adapted to the context of intervention. **It is recommended to choose a maximum of 2-3 indicators to avoid an overwhelming monitoring process.**

	Indicators	Means of Verification
Goal/ Impact	<ul style="list-style-type: none"> • % of most vulnerable and in need populations reporting that they are able to access humanitarian assistance (have meaningful access) • % of most vulnerable and in need populations reporting that humanitarian assistance meets their priority needs 	<ul style="list-style-type: none"> • FGDs with vulnerable groups using PMWG Tool # 9
Purpose/ Outcomes	<ul style="list-style-type: none"> • % of communities reporting that they know how to access humanitarian assistance • % of communities reporting that their feedback was taken into account in the way the humanitarian assistance was provided. • % of communities reporting that they had an opportunity to provide feedback on the way the humanitarian assistance is provided. 	<ul style="list-style-type: none"> • FGDs with vulnerable groups using PMWG Tool # 9
Outputs	<p>Training:</p> <ul style="list-style-type: none"> • % of humanitarian workers declaring they know what to do in case they witness the violation of a beneficiary's right • % of people trained on protection mainstreaming demonstrating an increase in knowledge and understanding • # persons trained on Protection Mainstreaming (disaggregated by sex) 	<ul style="list-style-type: none"> • Staff Training Feedback • Post Training Survey: PMWG M&E Kit Tool #3 • Attendance list

³ Adapted from Tool #A0, *Protection Mainstreaming Toolkit*, Global Protection Cluster, 2017

	<p>Analysis:</p> <ul style="list-style-type: none"> • Protection risks identified in the protection analysis are regularly monitored. • Program adjustments are made and documented in relation to protection monitoring/risks. • # of Protection Analysis identifying threats, vulnerable groups, and capacities/coping mechanisms conducted and shared by staff. 	<ul style="list-style-type: none"> • Protection Risk Analysis Updates • Protection Risk Analysis
	<p>Programme Adaptation:</p> <ul style="list-style-type: none"> • % of planned actions from the protection mainstreaming action plans implemented • # of documented examples of program changes based on community feedback. 	<ul style="list-style-type: none"> • Midterm Review & Evaluation Report and PM Action Plans: PMWG Protection Mainstreaming Framework Annex 3: Action plan • Midterm Review & Evaluation Report
	<p>Communication and Information Sharing:</p> <ul style="list-style-type: none"> • % of beneficiaries reporting they understand how different groups were prioritised and selected for humanitarian services (targeting criteria) • % of beneficiaries reporting they understand what services are available. 	<ul style="list-style-type: none"> • FGDs with vulnerable groups using PMWG Tool # 9
	<p>Feedbacks & Complaints mechanisms:</p> <ul style="list-style-type: none"> • % of complaints which have been responded to or forwarded to the appropriate actors • % of vulnerable groups report that feedback mechanisms are accessible to them • % of the affected population reporting they are aware of how to use the feedback and complaints mechanism. • # of different types of complaint and feedback mechanisms in place. 	<ul style="list-style-type: none"> • FGDs with vulnerable groups using PMWG Tool # 9 • Monitoring/activity Reports.

Source: *Adaptation of ECHO Protection Sector Key Result and Outcome Indicators – Protection Mainstreaming*

Annex 2: Donor-Specific Protection and Protection Mainstreaming Requirements

Donor	Guidance/expectations/requirements	Key institutional documents
ECHO	<ul style="list-style-type: none"> ECHO has a dedicated Protection Policy (2016) document which outlines the definition and objectives of humanitarian protection from its perspective. Their definition and approach to protection mainstreaming aligns with the GPC (and therefore the PMWG approach) and “go hand in hand” with the European Commission’s requirements outlined in its Gender Policy (2013) and the Gender-Age Marker (2013) Toolkit. The Gender-Age Marker (2013) is used as a tool to assess to what extent each funded humanitarian action integrates consideration such as gender and age. ECHO puts a lot of emphasis on developing appropriate responses based on the protection risk analysis in order to decide on programmatic approach, response type and modality, targeting as well as assessing context. See ECHO’s Risk Equation Analysis in ECHO Protection Policy (p. 13). This analysis should form the basis of the response design. 	<ul style="list-style-type: none"> DG ECHO Protection Policy DG ECHO Gender-Age Marker DG ECHO Gender Policy
USAID	<ul style="list-style-type: none"> The Guidance for Protection & Code of Conduct Requirements sets out OFDA’s position on protection where protection mainstreaming is defined as taking into account and mitigating the risks for harm and exploitation. The current USAID/OFDA Guidelines for Proposals (2017) state that protection mainstreaming is one of the mandatory cross-sectoral issues, alongside Gender Mainstreaming, and the Inclusion of Older People and People with Disabilities. All proposals must demonstrate that programmes will analyse the risks confronting populations in relation to each programme sector, which in turn should inform programme design. More detailed guidance on mainstreaming protection mainstreaming is included in each sector chapter. US legislation stipulates any organisation receiving funds from USAID/OFDA must have a Code of Conduct including provisions around the prevention of sexual exploitation and abuse. All proposal submissions must include a copy of the Code of Conduct and an outline of how the Code will be implemented in the area of operations. 	<ul style="list-style-type: none"> USAID/OFDA April 2017 USAID/OFDA Guidelines for Proposals (particularly pages 54, 62 and 142) USAID/OFDA Guidance for Protection & Code of Conduct Requirements
DFID	<ul style="list-style-type: none"> DFID does not have an explicit protection mainstreaming strategy, however the UK government has various strategies which refer more generally to the protection of those affected by emergencies. For example, the UK’s Humanitarian Policy (2011) sets out 7 goals: two of them relate to Accountability and Protection. The Gender Equality Act (2014) states that in humanitarian contexts, assistance must be provided in a way that takes account of gender-related differences. And the DFID Humanitarian Response Funding Guidelines integrate many components protection mainstreaming such as accountability. 	<ul style="list-style-type: none"> DFID Humanitarian response funding guidelines for NGOs DFID Ageing and Disability in Humanitarian Response

	<ul style="list-style-type: none"> DFID places a lot of emphasis on the inclusion of older people and people with disabilities in humanitarian responses and their approach is outlined in the Ageing and Disability in Humanitarian Response Guidance note. They advocate the “twin-track” approach: targeted support and mainstreaming of age and disability in all programmes. DFID also asks all partners to use the Washington Group Short Set of Questions 	<ul style="list-style-type: none"> Guide to disaggregating data on disability UK Gender Equality Act
Irish Aid	<ul style="list-style-type: none"> Ireland’s Humanitarian Assistance Policy (2015) outlines a commitment to “mainstream and prioritise protection”. It advocates for the protection of vulnerable groups, particularly in response to gender based violence and recognises that individual vulnerabilities and differentiated responses must be considered in responses. This includes considering gender, children, people with disabilities, people living with HIV and Aids, and older people. Irish aid also requires the collection of sex and age disaggregated data. 	<ul style="list-style-type: none"> Irish Aid Humanitarian Assistance Policy
DFAT	<ul style="list-style-type: none"> DFAT’s approach to humanitarian responses is set out in its Humanitarian Strategy (2016) in which several thematic priorities are highlighted including gender equality and women’s empowerment, disability inclusiveness and protection. The AusAid Protection in Humanitarian Action Framework (2013) does not specifically define protection mainstreaming but refers to the four Protection Principles in Sphere and Minimum Standards for Protection Mainstreaming and states that AusAID expects protection to be mainstreamed into all of the humanitarian responses. In addition, AusAid places a lot of emphasis on the role of accountability in delivering protection, and the protection of people with disabilities and survivors of gender based violence. DFAT is the only donor in this guidance document to flag the important of coordination on protection work. <p><i>Child Protection Requirements:</i></p> <ul style="list-style-type: none"> Additionally, in accordance with DFAT’s Child Protection Policy and Guidelines (2017) , including a specific CPIE Guideline, DFAT require a child protection activity level risk assessment to be undertaken for all emergency responses, which are automatically assessed by DFAT as having contact with children. DFAT also require all program implementing organisations to meet their 9 minimum organisational standards centred around having a child protection policy and reporting procedure, recruitment screening and employment practices, codes of conduct and staff training. 	<ul style="list-style-type: none"> DFAT Humanitarian Strategy DFAT (AusAid) Protection in Humanitarian Action Framework (2013) DFAT’s Child Protection Policy and Guidelines (2017)
SIDA	<p>Sida places a big importance on Gender Mainstreaming, and requires all projects to provide information on analysis on gender. The IASC Gender Marker is required, and projects with Gender Marker code 0 (zero) will not be granted funding from Sida.</p>	<ul style="list-style-type: none"> Sida, Gender Toolbox, Gender Equality in Humanitarian

		Assistance (2015)
Caritas Internationalis (CI)	<ul style="list-style-type: none"> • There are no explicit references to protection mainstreaming in the Management Standards (2014). However, different elements of protection mainstreaming are addressed. For examples member organisations must also adhere to CI's Code of Ethics, Code of Conduct for Staff, and Child Protection Policy. (Staff Conduct). Member organisations must also have transparent methods for communicating with stakeholders, including beneficiaries (Information Sharing) and must involve them all stages of projects (Community Engagement). • Protection is one of the three cross-cutting issues that has been integrated into the CI Appeals templates. Protection resources can be found in the CI toolkit. 	<ul style="list-style-type: none"> • Caritas Internationalis Management Standards

Annex 3: Inter-Agency Protection Mainstreaming Framework

	What this means...		Indicators				Notes
Analysis	All programming is underpinned by an understanding of the protection context throughout the programme cycle in order to ensure safety, dignity and meaningful access for people and communities affected by crisis	1.1	Questions are included in needs assessments to ensure understanding of vulnerabilities and to identify barriers to safety, access and dignity for different groups ⁴				
		1.2	Local capacities, including positive and negative coping strategies, are analysed and inform programming appropriately				
		1.3	Analysis of protection needs and risks is updated regularly throughout the programme cycle				
		1.4	All data collected is disaggregated by sex, age and diversity, including, at a minimum, disaggregation by disability				
		1.5	Programmes are adapted in response to changes in the protection environment and to mitigate unintended negative effects				
Targeting and diversity of need	The specific needs, vulnerabilities and capacities of communities and people affected by crisis are identified and assistance is targeted accordingly, taking account of the diversity within communities including those who may be marginalised or disadvantaged	2.1	Different groups are involved in the process of identifying criteria for targeting and selecting the most at risk for assistance				
		2.2	Targeting and selection takes account of the protection risk analysis				
		2.3	Assistance is designed and adapted in line with local capacities to meet the specific needs of different groups				
Information	Communities and people affected by the crisis are	3.1	Different groups understand the role of the organisation and its work, including what services are available to them				

⁴ Different groups may refer, for example to: women, men, girls, boys, youth, and older persons, as well as persons with disabilities and specific minority or ethnic groups without any such distinction (CHS)

	informed of their rights and entitlements and have access to accurate and timely information	3.2	Staff share information through a range of communication methods (formats, language and media) that are appropriate to the needs of the community, especially the most vulnerable and marginalised groups.				
		3.3	Community members receive information so they understand what they can expect in terms of behaviour of staff and partners				
Community engagement	There is active and inclusive community engagement in all stages of the programme cycle that builds on and strengthens existing community and state structures, resources and capacities	4.1	Staff are trained on and use participatory techniques to ensure active inclusion and representation of different groups				
		4.2	There is ongoing community dialogue and regular meetings are held with people and communities to foster participation in decisions that affect them				
		4.3	Programmes build on existing capacities of different groups				
Feedback & complaints mechanisms	Communities and people are able to provide feedback and make complaints in a safe, dignified and confidential manner, and receive an appropriate response when they do so	5.1	Different groups have access to appropriate and accessible channels for making feedback and complaints, particularly those of a sensitive nature including allegations of sexual exploitation and abuse, fraud and corruption				
		5.2	A fair and impartial response mechanism is in place to ensure feedback and complaints are acted upon and fed back to communities and people				
		5.3	The feedback and complaints mechanisms are tailored to the specific context and respond to the need of different groups who have been consulted on the design				
		5.4	Safe and confidential information management systems and procedures for complaints handling are in place				
Staff conduct	Staff have appropriate knowledge and organisational support to conduct themselves	6.1	Staff have signed and are trained on the organisation's code of conduct and relevant protection policies and adhere to the policies, mandate and values of the organisation ⁶				

⁶ For example, these could include child protection, PSEA and whistleblowing policies, etc.

	and their work in a safe and appropriate way ⁵	6.2	There is diversity amongst staff and they can be easily identified by communities				
		6.3	All staff have clear roles and responsibilities and are supervised				
		6.4	All aspects of staff wellbeing are considered and staff have access to additional support if required				
Mapping & Referral	Staff have necessary knowledge, information and training to support people and communities in accessing existing services	7.1	Staff collate information regularly on existing protection services and how to contact them				
		7.2	Staff share information on available services as appropriate				
		7.3	Staff are trained on when, if and how to refer cases				
Coordination & Advocacy	Staff advocate and work with relevant actors to enhance the protective environment, avoid duplication and prevent, mitigate and respond to protection risks	8.1	Staff coordinate internally across projects to ensure protection mainstreaming is consistently included in all sectoral responses				
		8.2	Staff collaborate with existing coordination fora and share information on protection / protection mainstreaming practices				
		8.3	Staff raise unaddressed protection issues and risks with duty bearers				

⁵ Staff are: any designated representative of the organisation, including national, international, permanent or short-term employees, as well as volunteers and consultants (CHS). It includes directly hired staff, partners, personnel and associates who are engaged in providing or supporting the activities of the agency.