All Protection Information Management documents are available at: data.unhcr.org/imtoolkit
The provision of key protection information about affected populations is an essential requirement in order to enable the humanitarian community to base programming plans and responses on available evidence and informed analysis. Unlike some other areas of information management, such as health, education, or nutrition, the discipline of PIM is not well defined, structured, or coordinated. Subsequently, in order to respond to protection crisis there is a need within the humanitarian community to have a well-articulated and common understanding of PIM, its definition, key components, standards, tools, and methodologies.

A common understanding of primary concepts is particularly relevant in the IDP protection community, given the large and growing number of protection actors gathering and analyzing protection information. A shared understanding of PIM concepts within the humanitarian community will facilitate the targeted use of protection resources, coordinated protection responses and lifesaving protection interventions to a degree not otherwise possible.

The core objective of PIM is to provide quality information and data on the protection of displaced individuals and groups in all possible types and phases of an operation or situation, and to do so in a safe, reliable, and meaningful way. In so doing, PIM can inform protection analysis and enable evidence-based decision-making and protection response, as well as achieve better protection results.

Clarity and collaboration surrounding the conceptual foundation of PIM will also allow the humanitarian community to provide training in this area, maintaining a focus on protection and increasing humanitarian capacity in support of an effective overall humanitarian response.

The first Protection Information Management Working Meeting (hereafter, ‘PIM Working Meeting’) was held 27-29 May in Copenhagen, Denmark, co-organized by UNHCR and DRC.

The objective of the PIM Working Meeting was to act as a first step in a process through which the discipline of PIM, its components, principles, and systems will be further identified and shared with the rest of the humanitarian community.

The intent of the PIM Working Meeting was to establish a common understanding on PIM, not to develop new tools.

The PIM Working Meeting brought together a diverse group of information management and protection colleagues, with results demonstrative of both solid protection and information management practices.
Aside from UNHCR and DRC, colleagues attending the PIM Working Meeting were present from the following agencies: IRC, JIPS, OHCHR, IOM, UNICEF, and NRC. Please note: Additional PIM stakeholders – some of whom were invited but unable to attend the Working Meeting – will be included in ongoing PIM collaborations.

This document presents the outcomes of the PIM Working Meeting in Copenhagen.

3. RESULTS

The following objectives were achieved at the PIM Working Meeting:

✓ Document a definition of PIM;
✓ Reach agreement on PIM principles;
✓ List PIM core competencies (skills, knowledge, and attitude) to guide training activities;
✓ Document a draft PIM systems matrix, including characteristics and terminology, to be used in designing and delivering a PIM response;
✓ Document the relationships between PIM processes, with the objective of understanding how different systems interact;
✓ Identify next steps for furthering concepts discussed and/or agreed to during the PIM Working Meeting; and
✓ Produce a PIM Working Meeting outcome document detailing collaborative results.

4. DEFINITION OF PIM

The definition of Protection Information Management is as follows:

‘PROTECTION INFORMATION MANAGEMENT REFERS TO PRINCIPLED, SYSTEMATIZED, AND COLLABORATIVE PROCESSES TO COLLECT, PROCESS, ANALYZE, STORE, SHARE, AND USE DATA AND INFORMATION TO ENABLE EVIDENCE-INFORMED ACTION FOR QUALITY PROTECTION OUTCOMES.’

OUTCOME: The current definition captures the main attributes of PIM.

5. PRINCIPLES OF PIM

The following core guiding principles when engaging in PIM, build on previous inter-agency forums and discussions. These principles underlie and characterize all PIM systems, regardless of their purposes, methods, or products.

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

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

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

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

* **Data protection and security:** PIM must adhere to international standards of data protection and data security.

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

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

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

Note: These PIM principles are available for download here.

OUTCOME: The PIM principles have been agreed to and endorsed.

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The PIM matrix and the terminology within, provide a framework for a standardized understanding of PIM concepts. The overarching objective of the categories outlined in the matrix is threefold: first, to assist in identifying the right tools, systems, and approaches for a particular result; second, to reinforce a common understanding of protection information concepts to facilitate accurate protection communication; and third, to help refine the overall quality of PIM activities, those undertaken both individually and as a community of responders.

The PIM matrix is available for download here.
The categories in the PIM matrix share the PIM principles articulated in Point 6 ('Principles'), which are shared across the PIM categories. However, each category does something different, and no single category does everything. For this reason, it is important that a context-specific approach be designed with the appropriate PIM categories, as opposed to a 'one size fits all' approach to PIM.

Definitions for the eight PIM categories are available here.

OUTCOME:
The majority of the different PIM categories and definitions have been endorsed.

7.

PIM CATEGORIES: DEFINITIONS AND STATEMENTS

The following definitions and statements describe the eight PIM categories presented in the PIM matrix (see Point 7). At all times, the PIM categories will be guided and informed by the PIM principles.

7.1 PROTECTION NEEDS ASSESSMENT

Revised definition: A data-collection exercise conducted at a single point in time ('snapshot') to gain an understanding of the protection issues, availability of resources, sources of problems and their impact on the affected population. This is done in order to identify protection needs, risks, and solutions, and to inform programme interventions and response activities that are complementary with positive community coping mechanisms.

Explanation of category: Protection needs assessments are a systematic set of actions undertaken in order to determine gaps, establish priorities, and allocate resources while respecting the rights and expectations of the affected population. Such assessments are usually triggered in the following circumstances:
At the beginning of an emergency;

When there is big change in the situation (e.g. an influx of people);

As a regular part of the programming cycle, before appeals or programme redesigns (e.g. end of year); or

When new information is available or when not enough information is available to enable decision-making.

As noted, needs assessments are snapshots of a situation at a particular period of time. In this, they are distinct from protection monitoring, which is repeated frequently or regularly.

Protection needs assessments should reflect the diversity of the population, provide a means for the population to provide input into humanitarian decision-making, and identify vulnerable groups or individuals. They should also look at a population’s skills, abilities, and coping mechanisms, particularly in a non-emergency context, in order to strengthen that population’s capacities. Some protection needs assessments may be aimed at specific groups (e.g. children, elderly, disabled, etc.) in order to provide a means for participation and information-gathering from populations who might otherwise have difficulty in being heard.

Protection assessments should not duplicate data collection that is already in place, and these processes should always be coordinated between multiple protection stakeholders. Joint assessments should be encouraged where thematic content and information needs are similar and where data confidentiality permits. A secondary data review should always be done as part of a protection needs assessment before primary data collection begins.
Unlike sectoral assessments, which may focus mainly on material needs, protection assessments will look at access to rights, underlying causes, and the psychosocial impact of a crisis. The aim in this process is to create an environment in which individuals have access to and enjoy rights, and are free from exploitation, persecution, neglect, and harm. Other sectoral needs assessment data will be used as secondary data to inform protection assessments.

Protection data elements, particularly those that do not require collection by a protection specialists, may even be required to be mainstreamed into other sectoral needs assessments, as separate assessments may not be possible due to the sensitivity of the issues at stake. Proxy indicators, or indirect measurements, may be an important part of protection needs assessments where direct measurements are unobtainable due to the difficulty of measuring protection needs (e.g. fears, sense of safety, etc.) or the sensitivity of the subject.

In order to avoid doing harm, any assessment, including protection assessments, should not be done so frequently that the population experiences assessment fatigue. Likewise, these processes should not raise false expectations among the population.

OUTCOME:
The definition for the PIM category PROTECTION NEEDS ASSESSMENT, is as follows:
‘A data-collection exercise conducted at a single point in time (‘snapshot’) to gain an understanding of the protection issues, availability of resources, sources of problems and their impact on the affected population. This is done in order to identify protection needs, risks, and solutions, and to inform programme interventions and response activities that are complementary with positive community coping mechanisms.’

7.2 PROTECTION MONITORING

Definition: Protection monitoring is defined as ‘systematically and regularly collecting, verifying and analyzing information over an extended period of time in order to identify violations of rights and protection risks for populations of concern for the purpose of informing effective responses.’

Explanation of category: Protection monitoring is unique in that it is recurrent, therefore enabling the identification of trends. Thus, it is valuable not only to protection actors but also across sectors and clusters in order to achieve protection outcomes.

Protection monitoring tools developed by stakeholders may communicate and work together to inform a more holistic picture of a given protection situation as collected by a community of PIM stakeholders.

Effective protection monitoring provides an evidence base off of which to inform a broad range of responses. These include both immediate and longer-term activities ranging from prevention, interventions, advocacy, and policy development to programming at all levels. The recurrent and action-oriented nature of protection monitoring creates a unique opportunity to communicate and build better relationships with populations, while also establishing a foundation for community-based engagement.
When done transparently, the development of a monitoring system that takes into account protection-related data from non-protection-oriented tools and disseminates its results can enhance the joint vision of a protection situation. In turn, this can enable better coordination and result in effective and synergetic action.

Protection data is inherently sensitive. For this reason, there is a greater obligation to share this information and related analysis appropriately, within a reasonable time frame, and as widely as possible. Finding the right balance between producing both timely and in-depth protection information is often challenging, however, and requires a thorough analysis of the most appropriate data-collection method for achieving the identified objectives.

Moreover, protection monitoring is constrained by several factors, in particular the following:

* Lack of analytical capacity and appropriate technologies (e.g. analysis of qualitative data);
* Constrained humanitarian access;
* Fragmented or uncoordinated monitoring activities by different actors inside the same agency;
* Lack of storage or repositories for collected data thus hampering data analysis, especially with regard to longer-term protection analysis;
* Absence of endorsed standards, methodologies, and terminology; and
* Lack of continuity and sustainability.

Protection monitoring can take various forms or units of measurement (incident monitoring, community or household) and is applicable to multiple situations. Other sectors conduct monitoring activities, which may also streamline protection indicators or serve as an entry point into which protection actors can feed. Therefore, it is important to distinguish protection monitoring from other forms of data collection such as needs assessments and case management.

Revised definition: Continuous and coordinated review of implementation of response to measure whether planned activities deliver the expected outputs and protection outcomes and impact, both positive and negative.
Explanation of category: This category’s unique characteristic is its focus on protection outputs and outcomes, the result of the humanitarian endeavour as a whole. Protection Response Monitoring and Evaluation is therefore a category that improves the efficiency, relevance, timeliness, and effectiveness of the collaborative protection response by pulling together the evidence base, improving accountability, and providing lessons learned.

Monitoring and evaluation relies on the input of high-quality data from other PIM and information management systems as well as all actors, including participation by the targeted population. This category includes both quantitative measurements and qualitative information, and the combination of subjective perception of both the assessor and the assessed, coupled with the sensitivity of information relied upon, means this can be a challenge.

As a PIM category, Protection Response Monitoring and Evaluation is not a substitute for protection monitoring and situation analysis. The primary purpose of this PIM category is not to follow changes in the humanitarian situation or examine the performance of an actor, although the data produced by this category could be used (and should be useful) for these purposes.

OUTCOME:
The definition of the PIM category PROTECTION RESPONSE MONITORING AND EVALUATION, is as follows: ‘Continuous and coordinated review of implementation of response to measure whether planned activities deliver the expected outputs and protection outcomes and impact, both positive and negative.’

SECURITY, ACCESS, SAFETY

Proposed definition: Security and incident systems that monitor both the affected population and the ability of humanitarian actors to physically and securely reach people affected by crisis. Such systems would make available information on the overall security situation, issues of humanitarian space and access (including the safety of staff), and other concerns. A key difference between these systems and protection monitoring is in this aspect of humanitarian access.

Explanation of category: Not discussed.

OUTCOME:
Discussions on this category were tabled pending consultation with colleagues from OCHA, DPKO and UNMAS, within whose area of expertise these systems fall.

CASE MANAGEMENT

Revised Definition: Protection case management information systems support the provision of protection and/or targeted interventions to identified individuals or groups through the management of data – from case identification to case closure – related to a specific case.

Explanation of category: Protection case management entails the steps from case identification to case closure that enable quality interventions through the provision
of appropriate resources to meet the specific needs of an identified individual or group. A key element of inter-agency protection prevention and response, protection case management systems are collaborative, multidisciplinary processes that require dedicated case management system for their effective implementation.

Information management systems developed specifically to enable protection case management are designed to collect, store, and analyze sensitive personal data. As such, these systems require the development of special measures for data protection, confidentiality, and informed consent. Indeed, this area of PIM is unique in this centrality of personal data.

While case management information systems are most commonly designed to enable targeted interventions and follow-up of specific cases, they can also serve alternative (and complementary) objectives. For instance, these systems can provide aggregate data analysis to inform response (e.g. the development of advocacy and prevention strategies related to broader systemic or structural issues) or to help prioritize interventions and resources within one or more sectors/clusters. However, use of information from protection case management systems for these broader prevention and response purposes must be the subject of a detailed risk assessment and must only be pursued when the case management system has been designed with this in mind.

Protection case management systems can differ in what constitutes a ‘case’. Some systems treat individuals or groups of individuals as cases, while others treat identified human rights violations in this way. In both types of system, even though the definition of case is different, the overarching objective is to enable targeted follow-up to those affected individuals or groups. The former can be a reliable source of disaggregated population data when coverage is (close to) exhaustive of the population concerned. The latter is distinguished from protection monitoring or protection incident monitoring systems based on the nature and treatment of a ‘case’ – which is seen through to closure – compared to an ‘incident’, which is merely monitored or referred to a relevant actor for response.11

Protection case management information systems may be inter-agency processes; this should be pursued where possible, due to the likelihood of reducing the risk of doing harm during the implementation process. Collaborative systems may also help alleviate the burden of these resource-intensive initiatives, which need to be sustained over a long period to be effective. Compared to other PIM systems, however, inter-agency collaboration is particularly challenging due to issues surrounding confidentiality of data and consent, variations between units of measurement, taxonomy, and validation processes. Nonetheless, ongoing attempts to increase inter-agency collaboration around protection case management systems should be further supported.

OUTCOME:
The definition of the PIM category CASE MANAGEMENT, is as follows:
‘Protection case management information systems support the provision of protection and/or targeted interventions to identified individuals or groups through the management of data – from case identification to case closure – related to a specific case.’
PO POPULATION DATA SYSTEMS

**Revised definition:** Population data systems record the number and characteristics, disaggregated as appropriate, of a population in a specific place and time period, for the purpose of programming effective prevention and response.

**Explanation of category:** Population data – information on how many people are concerned, where they are, and their basic demographic characteristics – is one of the most important datasets in designing and delivering humanitarian assistance programmes. Population data serves a protection response and facilitates preparedness and prevention work.

Although it has broader implications and uses, population data is considered essential to PIM because:

* It is always essential to know the size, or estimated size, of the potentially affected population and its basic characteristics.
* It is the foundation of many other PIM systems.
* It is often a protection decision to define who is included or excluded in a population dataset.
* When it is missing or there is a lack of consensus over this data, protection response can be severely hampered.

Population data is the starting point for humanitarian assistance. Whenever information management is concerned with people at risk or affected by a situation, reliable and shared population data is needed. Indeed, knowing even the rough scale of a situation is crucial for planning any kind of response. Moreover, population data often provides the denominator for assessing, designing, and monitoring programmatic response, making it essential for non-PIM systems as well.

It is always possible to provide population data or population estimates. Depending on the situation and purpose, the quality, unit of measurement, and disaggregation of the data may differ. Further, a change in circumstance may impact the need or opportunity for additional disaggregation. At minimum, protection/gender mainstreaming requires that data always be disaggregated by sex and age; other characteristics, such as ethnicity and place of origin, may also be important, even in initial data collection.

Population data should increase in accuracy and detail over time, building on existing data to improve the quality and reliability of the data. It is also important to recognize that multiple stakeholders may hold population data during an emergency response. Different sources and methodologies for gathering population data are subsequently available, including the following:

* Rapid population estimation;
* Secondary data analysis;
* Census;
* Registration
* Survey; and
* Flow monitoring.
Some of these approaches are more suited to emergency contexts, whereas others are possible only in the relative stability of protracted crises or non-crisis contexts.

It is crucial that the collection, analysis, and dissemination of population data be done in a protection-sensitive manner, even when population data is managed by other sectors. A risk assessment should be conducted before collecting population data at any level, in order to examine the needs of the particular population, specific demographic data required, the risks of collecting the data, and with whom the data can be shared. This risk assessment will also inform the development of specific population data-collection methodologies and the involvement of different actors (including the population itself) in its implementation and any assessment of the quality, comprehensiveness, and bias within the population data.

For population data management systems, inter-agency engagement is required, though this may depend on the operational context and sensitivity of the issue. Conflict between population figures from different systems and agencies can distract the focus of donors, governments, and partners from advocacy, prevention, and response. Lack of agreement harms the humanitarian response, hampers preventative and political action, and undermines the credibility of the humanitarian community’s description of risks, the magnitude of a problem, and the assessment of needs.

Depending on whether the situation involves refugees or IDPs, the protection cluster may have an important role, while the engagement of an inter-agency and inter-cluster team is also essential. For work falling under this PIM category, a top priority should be supporting population data systems in humanitarian crises to enhance the needed collaboration and consensus.

OUTCOME:
Definition of the PIM category POPULATION, is as follows:
‘Population data systems record the number and characteristics, disaggregated as appropriate, of a population in a specific place and time period, for the purpose of programming effective prevention and response.’

COMMUNICATING WITH AFFECTED POPULATIONS
Note: the title and scope of this category remains under review.

Proposed definition 1: Communicating with affected populations involves communication between communities or community members from, about, or in support of the following: community-led objectives, access to protection and eligibility for assistance, complaint and accountability mechanisms, etc. This also involves the identification of existing and potential community capacities in order to support complementary communication initiatives.

Proposed definition 2: Communicating with Affected Populations refers to communication between, among, and with communities and/or community members with the aim of supporting participation, access to services, feedback/complaints, transparency, monitoring and evaluation, and leadership/community capacities.
**Explanation of category:** Communicating with Affected Populations is both a philosophy and an approach, the principles of which are crosscutting and have an overarching, holistic role in the provision of assistance. Information systems, which enable effective communication, will focus on opening channels of communication in four key areas:

- Communication between affected populations;
- Communication from affected populations;
- Communication to affected populations; and
- Information about affected populations.

An emerging field within the humanitarian sector, communication and the sharing of information with affected populations is based on the principle that communication is a critical form of aid, protection, and community-based protection, and is essential to life-saving assistance.

This PIM system is different from communications and advocacy, as it is not only protection focused but can also be community driven. Supporting communication within a community and among communities may also assist with the establishment and reforming of community networks or protection structures (which may have been fractured or weakened as a result of displacement), as well as the strengthening of a community’s or individuals’ ability to protect themselves.

Effective communication channels are crucial to facilitating community capacity. Yet such systems may also ensure humanitarian accountability and transparency surrounding the collection, analysis, and exchange of information between stakeholders, including the affected population.

While most information systems are designed with a specific objective, communication systems within the four key areas mentioned above will vary significantly in terms of objectives, approaches, audience, messaging, and channels of exchange. In addition, each area may have its own process that requires a dedicated information management system for effective implementation. The ever-evolving digital landscape also furthers both the opportunities and challenges of communicating with communities, resulting in a multi-layered, cross-cutting discipline that requires a strong, coordinated approach.

Effective communication systems provide an evidence base to inform responses, both immediate and longer term, ranging from prevention, interventions, advocacy, policy development, and programming at all levels. Communication between, from, to, and about communities involves processes and systems that can capture cultural norms around communication, prevalent languages, physical needs, incidents, participation of affected groups, humanitarian support, how to access both protection and sector services, legal requests, feedback, and complaints. Where appropriate, national systems should be strengthened; when this is not possible, collaborative systems should be sought to help reduce possible duplication of information exchange.

There is an increasing desire among the humanitarian community to facilitate communication across populations independent of a particular purpose – perhaps making this an emerging category. However, the absence of concepts, guidance standards, and approaches may be problematic in the emerging development of a new set of tools and systems being put into place.
7.8 SECTORAL IM SYSTEMS/OTHER

There was no agreement on whether sectoral IM systems could stand as an individual category.

**Proposed definition:** Sectoral IM Systems/Other involves the measurement and establishment of needs for sectoral services, infrastructure, material, and physical support not related to legal protection for an individual or group.

**Revised definition:** Relevant secondary data and information related to the protection of people is systematically shared between sector IM systems and protection information management.

**Explanation of category:** Shaping information-gathering and using information from other sources to construct a holistic analysis of protection needs, including through the review of proxy data, recognizing that protection is a responsibility of all sectors and the intended outcome of humanitarian action. The information is not primarily gathered for protection reasons and may need to be read cautiously. This category’s unique characteristic is that it recognizes the differing needs of different groups and individuals. Sectoral data includes population data, needs assessments, programme monitoring systems, and other types of information management systems that are not conducted by protection actors. This category acknowledges that there are non-protection actors asking protection-related questions, which will deliver protection-related and meaningful content.

Close collaboration is thus a must with sectoral colleagues to ensure that protection questions are included, especially because it is often impossible to conduct separate protection assessments given the sensitivity surrounding protection assessments. When considering protection implications pertaining to issues surrounding 'access', for example, it would be important to recognize that health monitoring systems look at access as well. Further, health systems may provide direct or indirect reporting surrounding issues of gender-based violence etc.

8. PIM PROCESS/SYSTEMS RELATIONSHIPS

There will always be crosscutting PIM systems falling under one or more PIM categories. Such systems are illustrative of the relationships between PIM categories.

**OUTCOME:** Definition not agreed to. Category to be revisited in six months.

**OUTCOME:** Examples of PIM process/systems relationships between the PIM categories were identified and articulated.
9. PIM CORE COMPETENCIES

Competencies required to undertake PIM have been agreed to and are available here.

OUTCOME: The overall PIM core competencies have been agreed to.

10. NEXT STEPS

1. PIM Information Campaign
2. Brief managers and partners in other agencies on the results of the PIM Working Meeting
3. Create a PIM Reference Group
4. Follow-up meeting to develop:
   a. PIM Glossary
   b. Quality standards for secondary data sharing
   c. Further clarify and articulate the PIM Matrix
5. Possible field test of PIM concepts in an operation