
The Vulnerability & Inequality Analysis Toolkit

*A tool for programme
effectiveness*

CAFOD, November 2012

Contents

Contents	3
Introduction	4
Who is this Toolkit for?	4
What is the VIA?	5
Why apply the VIA?	5
How to use the VIA Toolkit.....	6
When to use the VIA Toolkit	10
The VIA Stages.....	12
Awareness: Vulnerability & Inequality Factors	13
Table 1: The 5As & 4Ps5 'A's & 4 'P's Framework.....	14
Record Sheets.....	15
Record Sheet 1: Analysis & Adjustment.....	16
Record Sheet 2: Action & Assessment of Impact.....	17
Ideas & Resources	18
Analysis: Potential to Participate	19
Analysis: Protection.....	20
Analysis: Power	21
Adjustment: Potential to Participate	22
Adjustment: Protection.....	23
Adjustment: Power	24
Action	25
Assessment.....	26

Introduction

Development and humanitarian projects and programmes work in and respond to increasingly complex situations. The presence of vulnerability and inequality (V&I) factors such as HIV and AIDS, other chronic illnesses (whether physical or mental health/illness) or disability, in addition to hazards (e.g. floods or drought), conflict, child protection issues, and gender inequality all affect the communities and programme partners CAFOD works with and therefore the design and implementation, of all programmes, as well as organisational policies and practices.

In order to ensure that programmes and organisations remain effective, and that they do no harm it is essential that V&I factors are considered when designing and implementing development and humanitarian response programmes, and in shaping organisational practices and employment conditions. Focused initiatives addressing all V&I factors are essential but can never be complete or fully effective on their own. Such initiatives must combine with efforts to address the interplay between these factors and broader development and humanitarian responses.

For these reasons, CAFOD has developed a **Vulnerability and Inequality Analysis (VIA) Toolkit**.

This toolkit provides a practical guide to carrying out the Vulnerability and Inequality Analysis – it lays out an approach with which to apply a ‘lens’ informed by key considerations raised by these **V&I factors** to any project or programme (**external** application) or workplace situation (**internal** application).

This document covers the application of this toolkit for external (project/programme) factors.

Who is this Toolkit for?

The steps described in the VIA toolkit are intended primarily for NGO or other programme staff to use in their own analysis of programme proposals, or in their work of internal policies and practices. Because this resource has been developed as a toolkit for CAFOD staff, much of the technical language around programme development is taken from CAFOD systems and CAFOD’s mode of working in partnership with local programmes. However, with appropriate adjustment, the tools can easily be applied to other organisational culture, terminology and models of working.

What is the VIA?

This analysis ensures that as standard for all our work we consider influential cross cutting issues in programme development. It is about putting a lens onto existing programmes and/or organisational policies and practices. The steps in the VIA toolkit take you through the process for doing this – throughout the project/programme or organisational development cycle.

The VIA analysis is not:

- making everyone do specific V&I focused work or become experts in these areas
- diverting people away from their core work to other sector focused work
- inserting a V&I component into every programme response or workplace policy
- making changes to programmes or employment issues that apply only to those affected by V&I factors
- claiming to consider these issues but ignoring them in reality and continuing with ‘business as usual’.

Why apply the VIA?

The reality of these issues affects, or will affect in the foreseeable future, people’s ability to respond to the challenges of poverty, inequality, injustice and humanitarian crises. Using the VIA ensures that an organisation or project/programme remains relevant and effective and does no harm:

1. Remain relevant and effective

- Failure to be aware of and address V&I factors may lead to broader development and humanitarian relief work becoming increasingly irrelevant and ineffective in communities affected or threatened by these.
- Failure to apply this lens will affect the longer-term sustainability of organisations because, if neglected, V&I factors will increasingly diminish organisational skills and experience.

2. Do no harm

- Failure to make the necessary programme and workplace changes can mean that development organisations (such as CAFOD and its partners) unwittingly exacerbate the effects of these issues on individuals and communities, and increase people’s susceptibility to the various vulnerabilities and inequalities. They become part of the problem.

CASE STUDY

Bangladesh

What was identified through use of the VIA Toolkit?

- A number of adjustments to the programme were identified linked to **disability** which affected peoples' ability to participate in the project. These included a lack of training materials adapted to the needs of disabled people and lack of low cost housing accessible for people with disability. As a result a number of changes were proposed by partners including: providing project information in Braille, linking up with organisations that provide hearing aids and including the issue of disability in annual reports.
- A number of livelihoods issues were also identified linked to **hazards** and the sustainability of the project. For example the promotion of duck rearing in areas where there is a lack of natural feed resulted in people investing a lot of savings on animal feed and this investment would be lost if there was a natural disaster or the animal died. Furthermore, a costly solar heating device could be a financial burden on beneficiaries. Changes to the project took place including halting the provision of ducks to communities, providing feed to families as part of the project budget and considering adapting the current model of solar heating device in future projects.
- A number of internal organisational issues were also identified including the lack of **safe drinking water** available to field staff due to climate change and increasing salinity levels causing staff illness.
- In addition the partners identified a lack of child protection policies, safety issues (lack of first aid training, kits and life jackets) and gender issues at work (lack of appropriate accommodation and facilities for women, remote working locations and discrimination and abuse at work).

How to use the VIA Toolkit

The VIA Framework

The toolkit is laid out in 5 stages: **Awareness, Analysis, Adjustment, Action** and **Assessment**. To help take you through the stages structured questions have been set under a framework known as the 4P's: **Participation, Protection, Power and Priority Groups**. These questions drive the analysis and prompt you to record where action has been taken. The 4Ps approach facilitates and makes manageable what can otherwise seem like a complicated and time-consuming analytical process. Definitions of the 4Ps have been provided below.

Potential to participate

The V&I analysis should consider whether all members of a community have the potential to participate in the programme activities and decision making processes.

Participation is a process through which stakeholders influence and share control over development initiatives and the decisions and resources which affect them. Promoting participation helps build ownership and enhances transparency and accountability, and in doing so enhances effectiveness of development projects and policies (World Bank 1994).

Protection

Protection is a moral responsibility to ensure that interventions enhance, or at the very least do not detract from the safety and dignity of the targeted population; or other groups affected by the project/programme.

For those affected by V&I factors safety and dignity may already be an issue. It is vital to ensure that this is not further exacerbated, or indeed that any protection issues are created by the programme.

Power

Power relations within and between different actors can come from what is called the ‘agency of power’ (for example individuals, positions or groups in society holding power over others or individuals having the ability to do something themselves) and from ‘structures of power’ such as formal institutions and rules or informal relationships and social norms, which shape, or are shaped by, their behaviour and how they inter-relate.

Analysing these power relations through the VIA helps us to be aware of whether plans will reinforce what already exists or seek to change them (either could be good or bad). It can be used to help focus programme actions towards those with least power, the poorest and socially excluded, by identifying effective ways to include these people in the programme (e.g. directly, through groups / sub-groups, through “gatekeepers”) and in programme decisions-making, and identifying and taking action to avoid potential negative programme outcomes, for the most vulnerable or for partners and their staff

Priority Groups

CAFOD is committed to helping the poorest and most disadvantaged. The consideration of potential to participate, protection and power will help identify groups or individuals in communities who are marginalised or more vulnerable.

The VIA toolkit can be used by anyone involved in programme development and design but should ideally be taken forward with a range of stakeholders in the process including CAFOD Programme and Partner staff. This is best done in a small workshop or working group session.

The process should be taken forward following step by step the 5 'A' stages mentioned above.

The following 3 sections of this toolkit provide you with **1)** the details you need on the 5 'A's, **2)** Record sheets for you to record the analysis and actions that you take and **3)** ideas and resources that you should refer to when addressing each of the 5 'A's.

A summary of the 5 'A's, the record sheets and the ideas and resources you need are listed on page 9

CASE STUDY

Bangladesh

Who was involved in the VIA process?

- Caritas Bangladesh staff from across the programmes, including a range of sector teams (HIV, disability, livelihoods, climate change and Community health and family planning), Human Resources and two staff members from Ashar Alo (CAFOD partner working on HIV and AIDS).
- 12 participants were gathered in a workshop for 2 days to go through the process. There were 2 CAFOD facilitators.

The 5 'A's

1

Awareness

This stage establishes an initial understanding of what VIA is and is not.

See **Page 13** for a framework for taking forward these discussions.

2

Analysis

This stage uses the 4 'P's approach to examine the context of a proposed project or programme.

The questions that need to be addressed at this stage are listed in **Table 1: The 5 'A's and 4 'P's framework** on **page 14**. There is one question listed under each of the 4 'P's. To help consider the issues raised by these questions refer to the ideas and resources guides on **pages 19, 20 and 21**. Please note that these are just ideas and not a definitive list of all possible options – they are designed to help you think through your own context. Complete **Record Sheet 1** with your analysis.

3

Adjustment

This stage aims to identify the implications for the programme or the workplace of the 4 'P's analysis, and to adjust the proposed programme, or workplace policies and practices, in the light of this analysis.

Answer the questions under the Adjustment column of **Table 1: The 5 'A's and 4 'P's framework** on **page 14**. To help consider these issues the ideas and resources section will list example **Adjustments** that could be made for issues raised under **potential, protection and power**. Complete the second column of **Record Sheet 1** with your adjustments.

4

Action

This stage applies and monitors the modifications identified in the adjustment stage.

Answer the questions laid out in the **Action** stage of **Table 1: The 5 'A's and 4 'P's framework**. Refer to the ideas and resources sheet on **page 25** for suggestions for making and monitoring changes to the project or programme (taking action). Complete **Record Sheet 2** with your actions.

5

Assessment






This examines whether the modifications have helped ensure that the programme or organisation remains effective and that it minimises its risk of doing harm.

Answer the questions laid out in the Assessment stage of **Table 1: The 5 'A's and 4 'P's framework**. Refer to the ideas sheet on **page 26**. Complete **Record Sheet 2**.

When to use the VIA Toolkit

Programme Cycle Management

The VIA can be used at different stages of the project/programme cycle, either during planning and design or in review and evaluation. The table below outlines the ideal stages in which to use the different sections of the VIA. Please note that the timings suggested here are only to be used as a guide – if it feels appropriate to use the VIA at different stages then this is also possible.

VIA Stage	PCM Stage (Ideal situation)
 1 Awareness	
 2 Analysis	1. Analysis: the original and initial analysis of the programme is captured in a Concept Note (CN)
 3 Adjustment	2. Design: details of what the programme is actually going to do and how, is summarised in a Programme Framework (PF)
 4 Action	3. Implementation: this stage is started by the Approval and Transfer of Funds; this is done at project level with each contributing project following the grant approval process; the Project Summary and Grant Approval (PSGA) summarising the contribution each particular project will make towards the programme and the partner/project specific appraisal which has been carried out and contracted with the partner using a Grant Agreement Document (GAD) . 4. Monitoring: during the course of the cycle, further approvals of grants towards the contributing projects may be made, following monitoring of each project, using a Monitoring Summary and Grant Approval (MSGa) for each subsequent grant made. How these individual projects are contributing towards the overall programme is summarised in the Programme Progress Report .
 5 Assessment	5. Review: after a maximum programme cycle of five years, there should be an End of Programme Review (EPR) to determine what the programme and participating projects has achieved and what lessons have been learned

Humanitarian Work

This analysis should be used to improve our humanitarian work both before and after an emergency. It can be used with partners during humanitarian capacity building exercises in order to identify future needs and priorities of both our partners and the communities before, during and after an emergency. For example, this tool may be useful when designing a contingency plan for a partner or region, during the design of a recovery or disaster preparedness programme.

This tool can also be used to formalise our adherence to the humanitarian principles and standards.

This tool can be used at any stage of the programme cycle and therefore can be adapted for time dependant humanitarian programmes. For example, this tool can be used at key review stages during an emergency response rather than during the initial programme response.

The VIA Stages

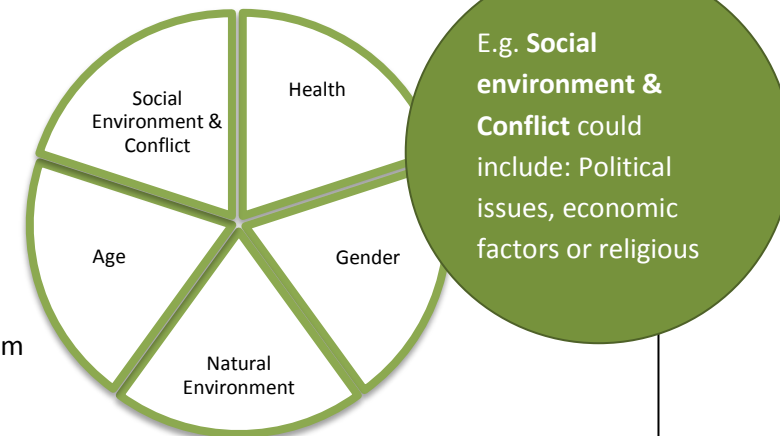
The following 2 tables outline the framework and questions that need to be addressed in each on the 5 'A' stages of the VIA toolkit. Follow each of these steps in turn.

Awareness: Vulnerability & Inequality Factors

The purpose of this stage is to enable people to develop an understanding of what the VIA lens means for their work, and for themselves as people working in contexts affected by issues related to HIV, gender, conflict, natural hazards and protection of children and vulnerable adults. The awareness stage should enable participants to identify the importance of bringing this analysis into play at the earliest point in conceptualising any programme response and/or organisational structures and working conditions.

The awareness stage answers the following questions:

1. **What is applying the VIA lens about?**
2. **What is it not about?**
3. **Why apply the VIA lens?**
4. **What are V&I factors?** Consider what issues come under each of the headings in the wheel diagram



Get participants to consider the differences between direct programming - programming on the specific vulnerability and inequality factors highlighted by the tool e.g. an HIV programme – and the consideration of these factors within existing or new programme not addressing these factors directly. See examples below:

Indirect/Mainstreaming approaches	Direct Programming
Move programme activities closer to people's homes	Provide tents and blankets for people displaced by disasters
Allow time to address issues of trust	Set up water supply points and community latrines
Minimise travel distances and need for overnight stops away from home	Run workshops on farming skills
Ensure hazard-resistant crops are planted	Give talks on our humanitarian response work
Ensure diversification of livelihoods and sustainable farming practices are promoted	Organise World AIDS Day/International Women's Day events
House displaced people in single-family emergency shelters	Fund HIV testing and counselling within a local health clinic

Table 1: The 5As & 4Ps5 'A's & 4 'P's Framework

	Analysis <i>Applying the 4 'P's lens</i> Using the 4 'P's approach this tool explores the question: How is the present situation/programme affected by the broader background issues/context in which we are working – and conversely how is it affecting these issues/context	Adjustment <i>Implications of the 4 'P's</i> What are the implications for programme design or workplace policies and practices, of the points brought out by the analysis ? What do we need to do differently or additionally in order to remain effective and do no harm	Action <i>Making and monitoring the changes</i> Are the changes proposed in the Adjustment stage happening in practice?	Assessment of impact Have the changes recorded in the Action stage helped us to remain effective and to do no harm?
Participation	Is the potential of the intended beneficiaries/target groups to participate in the programme affected by any V&I factors? If so, how? <i>If not now, might this happen over the proposed programme timeframe and beyond?</i>	<i>For each of the responses recorded for the Analysis stage:</i> What the programme should do differently or additionally in order to: 1. Remain relevant and effective in achieving its original objectives in a context also affected by the vulnerabilities and inequalities identified? 2. Do no harm?	<i>For each of the responses recorded for the Adjustment stage record the:</i> 1. Source of information/means of verifying that it is happening in practice <i>And record:</i> 2. Is it happening?	<i>For each of the responses recorded for the Action stage what are the:</i> 1. Indicators that the programme remained relevant 2. Indicators that the programme has done no harm
Power	What features of the proposed programme might exacerbate existing unequal power relations/dynamics or create new ones? <i>If not now, might this happen over the proposed programme timeframe and beyond?</i>			
Protection	What features of the proposed programme exacerbate existing protection issues or create new ones? <i>If not now, might this happen over the proposed programme timeframe and beyond?</i>			
Priority Groups	Does consideration of potential to participate, protection and power identify additional priority groups or stakeholders that should be included in your programme?			

Record Sheets

The following Record Sheets are designed for you to record your responses to the Analysis, Adjustment, Action and Assessment stages of the VIA Toolkit.

Please note that you will probably need more space than is provided here so you may want to expand the rows on these sheets or copy the tables onto flip chart paper.

Record Sheet 1: Analysis & Adjustment

4 'P's	Analysis		2	Adjustment		3
	<p>Record points for the programme – refer to questions for each 'P' in the analysis column of Table 1 (page 15)</p> <p><i>See Ideas on pages 19,20 and 21</i></p>		<p>What the programme should do differently or additionally in order to:</p> <ol style="list-style-type: none"> 1. Remain relevant and effective in achieving its original objectives in a context also affected by the vulnerabilities and inequalities identified above? 2. Do no harm? <p><i>See Ideas on pages 22, 23 and 24</i></p>			
Potential	Is the potential of the intended beneficiaries/target groups to participate in the programme affected by any V&I factors? If so, how?			Timeframe		
Power	What features of the proposed programme might exacerbate existing unequal power relations/dynamics or create new ones?			Timeframe		
Protection	What features of the proposed programme exacerbate existing protection issues or create new ones?			Timeframe		
Priority Groups	Does consideration of potential to participate, protection and power identify additional priority groups or stakeholders that should be included in your programme			Timeframe		

Record Sheet 2: Action & Assessment of Impact

4P's	Action <div data-bbox="1088 102 1252 252" style="position: absolute; top: -40px; left: 50%; transform: translate(-50%, -50%); background-color: #76923c; color: white; border-radius: 50%; width: 40px; height: 40px; display: flex; align-items: center; justify-content: center;">4</div>	Assessment <div data-bbox="1989 86 2152 236" style="position: absolute; top: -40px; left: 90%; transform: translate(-50%, -50%); background-color: #76923c; color: white; border-radius: 50%; width: 40px; height: 40px; display: flex; align-items: center; justify-content: center;">5</div>
	<p><i>For each of the responses recorded for the Adjustment stage record the:</i></p> <ul style="list-style-type: none"> • Source of information/means of verifying that it is happening in practice • Is it happening? <p style="text-align: right;"><i>See Ideas on page 24</i></p>	<p><i>For each of the responses recorded for the Action stage what are the:</i></p> <ul style="list-style-type: none"> • Indicators that this has helped the programme remain relevant • Indicators that this has helped the programme do no harm <p style="text-align: right;"><i>See Ideas on page 25</i></p>
Potential		
Power		
Protection		
Priority Groups		

Ideas & Resources

The following ideas and resources sheets are for you to refer to during each stage of the VIA process. Each sheet is labelled with its corresponding stage. These ideas are just there to prompt thinking and not a definitive list of answers.

Please note that for the Analysis and Adjustment stages there are separate ideas and resources sheets for Potential to Participate, Power and Protection with each covering a range of V&I factors.

Analysis: Potential to Participate

Is the potential of the intended beneficiaries/target groups to participate in the programme affected by any V&I factors? If so, how?

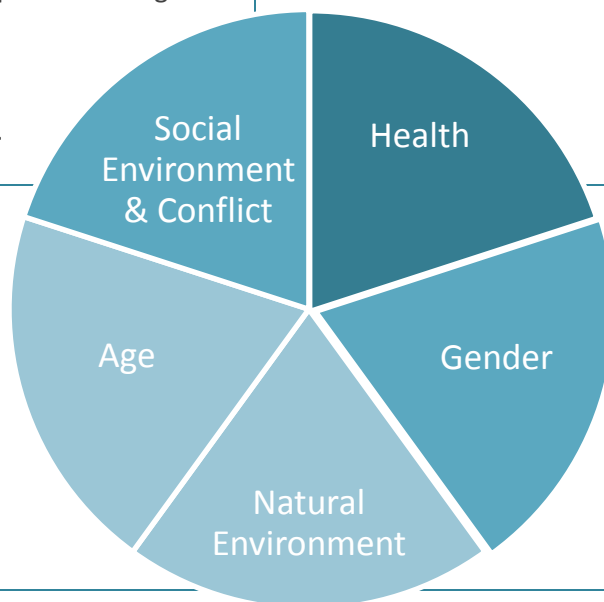
Social Environment: Conflict - Movement in areas of conflict may be difficult. People may be more or less mobile. Children, especially boys, may be recruited into the conflict and may become harder for projects to reach.

Culture - Difficult for different ethnic/tribal/religious groups to work together or exclusion due to religion, ethnicity or class/caste. Prevailing atmosphere of distrust. Loss of able-bodied and skilled adults. Existing community structures and cultural norms and hierarchies. Education - Literacy levels.

Health: Health issues may reduce people's **mobility**, increase stigma, increase time spent caring for others, put restrictions on the time people can participate. Consider mental health issues, **disability** and both communicable and non-communicable diseases

Age: Only children or older people may be available to participate. Are there caring duties that fall to one age group more than another restricting the time people have to participate? Does child labour prevent children's participation? Do school-based programmes exclude children that are out-of-school? Are children excluded due to being smaller and weaker?

Gender: Are there different times/days that men and women may be available to engage in Programme activities or are there cultural/religious/legislative barriers to either joining or assuming particular roles?



Natural Environment: Consequences of hazards in both the short and long term taking into account climate change (e.g. drought) on nutrition, sanitation, hygiene and consequently health may reduce ability to participate. Limited access to markets or work opportunities reduces time to invest in the programme. Does the physical landscape reduce access? Are those with environmental knowledge able to participate?

Priority Groups: Ethnic groups, religious groups, PWHIV, people with disabilities, people who are malnourished, carers, people who inject drugs, sex workers, pregnant and lactating women, farmers, pastoralists, girls, orphans, elders, child/woman-headed households, women, men

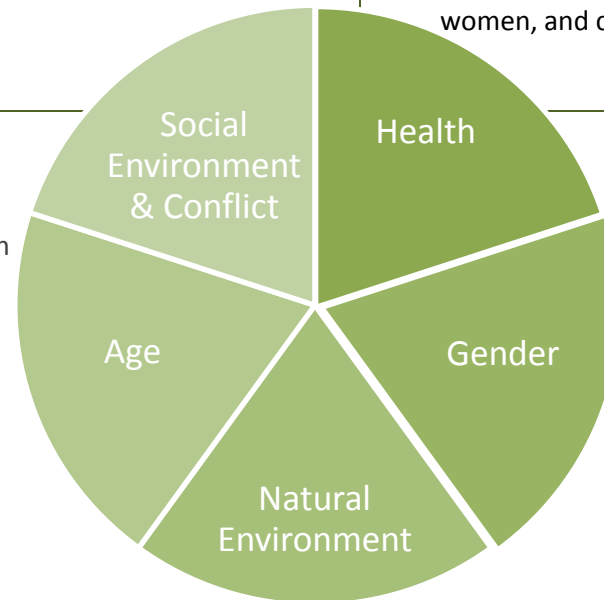
Analysis: Protection

What features of the proposed programme exacerbate existing protection issues or create new ones?

Social Environment: Being seen to work more with one ethnic/religious/ tribal / age group than other – may increase tensions in the locality. Excluding families/communities hosting disaster affected people from projects can also increase tensions.

Health: **Health and safety** - road accidents/ unsafe vehicles for road travel, unsafe traditional birthing practices, poor first aid practices within organisations, poorly designed project venues and facilities (access [rails, ramps, lighting etc], ventilation, safety rules). **Nutritional needs** – these will differ for different groups, e.g. those who are sick, pregnant or lactating women, and children. **Discrimination** - is there stigma around certain health issues e.g. HIV, TB or disability?

Age: Children may be more vulnerable to certain risks resulting from the programme such as abusive discipline practices in the programme, school or institutions, child abuse or exploitation (by staff or other beneficiaries) or parental separation and trafficking. Consideration of age when including children in certain programmes – e.g. minimum age of 15 for children participating in work for cash in emergencies



Gender: **Violence** - Women are more likely to be vulnerable to gender based violence (exploitation and abuse - sexual, psychological and physical - or other harmful practices such as FGM and early marriage). Men can be more vulnerable to other risks such as trafficking for forced labour and forced recruitment into armed groups, especially in humanitarian situations. **Impact of programme on gender specific roles** e.g. of focusing on women where this might draw them away from their families leaving children to take over parenting responsibilities. Safe programme design in humanitarian contexts e.g. constructing separate latrines for women and men, ensuring privacy (locks etc).

Natural Environment: Lack of suitable hazard resistant housing. Inappropriate farming e.g. seeds that are not drought resistant. Lack of DRR/contingency plans/coping strategies e.g. drainage ditches, drought resistant crops, evacuation routes.

Priority Groups: Ethnic groups, religious groups, PWHIV, people with disabilities, people who are malnourished, carers, people who inject drugs, sex workers, pregnant and lactating women, farmers, pastoralists, girls, orphans, elders, child/woman-headed households, women, men

Analysis: Power

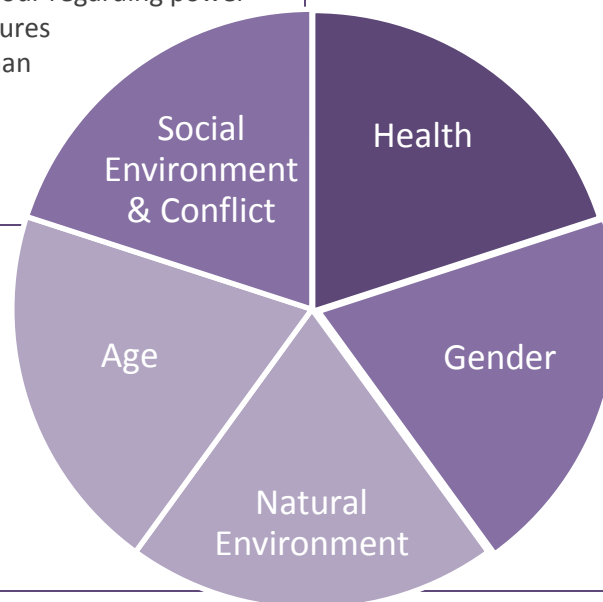
What features of the proposed programme might exacerbate existing unequal power relations/dynamics or create new ones?

Social Environment: Assets are regularly destroyed by **conflict**, distorting local markets, bringing in a lot of outside skills or materials, flying in their own 'experts', to do work? A lack of code of good practice or failure to implement such a code, setting out acceptable behaviour regarding power relations. Programme information/complaints procedures excluding those less powerful or literate – often woman and girls What is our role/impact in local power structures? Who has the power and who does not, and why?

Health: Could the programme reinforce discrimination because of an individual's health status? Consider HIV/TB/physical or mental disability.

Age: A lack of code of good practice or failure to implement such a code that sets out acceptable behaviour regarding power relations. **Participation by all ages. Generation dynamics** – will certain generational groups be excluded, creating tension? E.g. Of livelihoods for elderly when high youth unemployment.

Gender: Could the programme reinforce existing gender or other power dimensions in the household or in the community? Consider financial power relations – do men/women hold financial power? E.g. giving cash transfers to women, rather than families can lead to tensions between family members. Programme information/complaints procedures excluding those less powerful or literate – often woman and girls



Natural Environment: Assets are regularly destroyed by conflict or hazards, or cyclically depleted causing changes in local and national power dynamics. Who has the power and influence in environmental management or land ownership? Failing to include groups in decision-making, by making them passive recipients of the programme's activities, and/or by ignoring local expertise and insights? Using discriminatory language in promotional material

Priority Groups: Ethnic groups, religious groups, PWHIV, people with disabilities, people who are malnourished, carers, people who inject drugs, sex workers, pregnant and lactating women, farmers, pastoralists, girls, orphans, elders, child/woman-headed households, women, men

Adjustment: Potential to Participate

What the programme should do differently or additionally in order to:

1. *Remain relevant and effective in achieving its original objectives in a context also affected by the vulnerabilities and inequalities identified above?*
2. *Do no harm?*

EXAMPLES – could be identified in the Analysis stage	Possible Adjustments
Loss of able-bodied and skilled adults	Adjust tools, weights of materials, distances to walk, etc to suit women, or younger and older workers. Provide skilled people to supervise or train workers. Target activities at groups rather than individuals, so that members can help each other. Introduce labour-saving initiatives, e.g. drip irrigation, small livestock. Ensure the timings of activities suit those filling in for others.
Loss of flexibility or mobility or increased safety issues	Consider how to ensure project information is accessible for all in this context e.g. ensuring project staff/volunteers that have access to these individuals/communities are well informed about the project. Move programme activities closer to people's homes and ensure easy accessibility and use (handles, ramps). Have flexible timetables for training and work projects. Adjust school timetables, etc. Adjust activity timetable as appropriate – fewer activities, moving the venue, need to be more flexible in approach.
Reduced coping capacity	Provide a bigger, quicker or more frequent response (e.g. for cash transfers). Provide assistance for longer than anticipated. Where possible and appropriate introduce quick-return initiatives in agriculture, e.g. locally sustainable and appropriate fast-growing cash crops, small livestock. Develop contingency plans for absenteeism.
Difficult for different ethnic/tribal groups to work together	Need to build time into programme to address issues of trust. Apply CSA tools. May need to divide some groups in order to ensure effective attendance and participation. May need to include groups that were not initially included (e.g. host families)
Involvement in discussion and decision making processes	Ensure relevant information is available to stakeholders enough in advance to enable them to contribute to decision-making processes. Ensure a complaints/feedback mechanism is available allowing community members (women and men of all ages) to contact project staff on an ongoing basis should they have a concern or complaint. Train staff in participatory approaches. Ensure participation of community members at all stages of the project cycle – assessment, design, implementation, monitoring and evaluation. Allow additional time in the project plan and funds in the budget to enable participation. Use children participation methods to involve children and young people. Use groups of young people via schools and youth groups to sensitise those more isolated members of their families. May need to sensitise the adults to ensure they understand why and accept this.

Resources: KCS Child Participation Toolkit, [HVCA DRR Guide](#), All in Diary [‘Enabling Community Participation’](#). CSA tools.

Adjustment: Protection

What the programme should do differently or additionally in order to:

1. *Remain relevant and effective in achieving its original objectives in a context also affected by the vulnerabilities and inequalities identified above?*
2. *Do no harm?*

EXAMPLES – identified in the Analysis stage 1	Possible Adjustments
Vulnerability to physical or sexual violence, coercion or exploitation	Adjust timing and location of activities and amenities to minimise this. Minimise travel distances and the need for overnight stops away from home. Provide secure supervision while minimising lone staff contact with children. Involve both women and men in decisions. Include gender-specific protection considerations in all plans. Establish a complaints mechanism including a child-friendly one. Educate children on their rights and how to keep themselves safe. Establish a system to record reported instances of abuse. Review staff protection and support needs (for both women and men). Establish clear codes for positive child discipline. Accommodate displaced people in single-family emergency shelters. Locate bathing and toilet facilities centrally, with separate facilities for women and men. Provide good lighting and locks for such amenities.
Vulnerability to extreme weather	Adjust programme design to ensure (where relevant) hazard resistant crops are planted, diversification of livelihoods, and sustainable farming practices are promoted. Ensure contingency plans are in place
Vulnerability to communicable infection or diseases	Improve control of infection standards as applicable. First Aid training and equipment for staff and community. Ensure safe designing of projects (e.g. adherence to Sphere standards for ventilation, location, number and size of latrines and shelters stations etc)
Vulnerability to stigma	Ensure changes are accessible to all as required and do not further stigmatise individuals or identified religious or ethnic groups eg by separating them out. Make the rights of beneficiaries explicit – publish basic rights within communities e.g. right to receive support on the basis of need alone; right to receive support free of harassment or stigmatisation including zero tolerance of corruption and sexual harassment; right to express opinions, give feedback or make a complaint.

Resources: CAFOD Child Protection policy and codes of conduct, [CP tracking tool](#), CP checklist for water and sanitation projects, 10 steps for child behaviour management, handout on phys discipline, KCS safeguarding children in emergencies – a pocket guide, Protection Principles in the Sphere Project Handbook 2011

Adjustment: Power

What the programme should do differently or additionally in order to:

1. *Remain relevant and effective in achieving its original objectives in a context also affected by the vulnerabilities and inequalities identified above?*
2. *Do no harm?*

EXAMPLES – identified in the Analysis stage 1	Possible Adjustments
Potential abuses of power to barter supplies, programme benefits, wider entitlements or even life itself for sexual favours	Establish a code of conduct or professional standards, and make sure all staff and volunteers are familiar with it and enabled to use it, and with disciplinary measures and legal implications. Monitor practices and establish a complaints mechanism to record, investigate and respond to reports of abuses by anyone linked to the programme and by external power-holders such as military, other NGOs, etc. Label all materials provided by the programme to indicate they are free, not for re-sale or bound by any conditions. Ensure Child protection policies are developed and implemented and that staff are aware of and able to use them
Potential of programme to distort local markets or employment opportunities	Carry out a business / market analysis. Minimise this when sourcing supplies or engaging skilled staff.
Potential to disempower local communities and to further disempower women	Ensure relevant information is accessible and understandable for all beneficiaries/community members. Use local expertise. Involve local communities (including women and other vulnerable groups) in decision-making, and in programme implementation. . Ensure they also exert power over control and distribution of supplies, etc. Have a 'community committee'. Have a complaints mechanism for the community to feedback on a project
Potential to reinforce racial, religious or ethnic tensions or power inequalities	Involve all sectors of the community in decision-making, and in programme implementation. Ensure full context analysis identifies any issues in this area.
Potential to reinforce exclusion	Have alternative consultative routes and flexible plans to serve those excluded by more established procedures. Re-examine programme principles, attitudes, practices and literature/communications.
Potential to negatively redistribute power	Work alongside Local Government to ensure that communities and local government have a positive relationship and responsibilities are allocated appropriately.

Resources: CP Tracking Tool, CP Policy Template, [HAP](#) – Humanitarian Accountability Partnership Standards, [Tools for Mainstreaming Disaster Risk Reduction](#) Guidance Note 11 Social Impacts

The **Analysis** and **Adjustment** stages may have identified changes needed in the priority groups or stakeholders and budgets, as well as changes to programme design and organisational practices. Monitoring should check for implementation of proposed changes to all these aspects, and not only those that apply to programme activities. Make sure to include any training issues and budgetary issues identified in the adjustment stage

Sources of information & means of verifying this include:

- Information recorded in wider monitoring work or visits.
 - Records of specific activities and how they were implemented should indicate whether or not the changes proposed in the design phase have been implemented.
 - This question should be addressed directly or indirectly as specific circumstances dictate, in conversations with the programme partner and documentation developed in the action and impact phases of the project or programme cycle.
-

Resources: CP tracking tool, brief CP audit – filling out the CP tracking tool

Assessment

Assessing the impact

Have the changes recorded in **the Action stage** helped us to remain effective and to do no harm?

Indicators that helped the programme remain relevant

Indicators might include whether and how:

- programme activities are taken up by all intended sectors of the target beneficiaries, including those identified by the 4 'P's tool
- target beneficiaries have continued to engage with the programme in contexts changed by hazards, HIV or AIDS, gender inequality or conflict
- the programme has been sufficiently flexible to adapt to changing circumstances and to offer a variety of possibilities and options, depending on individual situations and preferences
- the programme has made any contingency plans to minimise the effects of hazards, HIV and AIDS, gender inequality or conflict on the capacity and skills of programme staff and/or programme participants
- The programme has taken into account the changes in hazard context which may occur in the future for example by changes in climate and how this may affect the community

Note gender differences.

Always remember that indicators should be SMART.

S - Specific , M - Measurable , A - Achievable , R - Relevant , T - Time-bound

Indicators that helped the programme do no harm

Monitoring should indicate evidence to show whether and how:

- protection measures have increased the ability of relevant priority groups to participate in the programme
- potential abuses of power have been addressed or minimised
- women and men of all ages, including children, are making complaints and there is evidence that these are being responded to properly
- programme activities have strengthened rather than damaged the coping capacity of communities affected by V&I factors
- the programme's mode of operating has minimised its potential to distort local markets, labour, skills, etc
- programme practices and attitudes have minimised the risks of stigmatisation because of HIV or for wider reasons

Note gender differences.

Resources

