

2019

Redefining Protection Intervention in Humanitarian Aid through External Factors: A Case Study of Niger

Valerie Svobodova
Walden University

Follow this and additional works at: <https://scholarworks.waldenu.edu/dissertations>

 Part of the [Peace and Conflict Studies Commons](#), [Public Administration Commons](#), and the [Public Policy Commons](#)

This Dissertation is brought to you for free and open access by the Walden Dissertations and Doctoral Studies Collection at ScholarWorks. It has been accepted for inclusion in Walden Dissertations and Doctoral Studies by an authorized administrator of ScholarWorks. For more information, please contact ScholarWorks@waldenu.edu.

Walden University

College of Social and Behavioral Sciences

This is to certify that the doctoral dissertation by

Valerie Svobodova

has been found to be complete and satisfactory in all respects,
and that any and all revisions required by
the review committee have been made.

Review Committee

Dr. Gabriel Telleria, Committee Chairperson,
Public Policy and Administration Faculty

Dr. Tina Jaeckle, Committee Member,
Public Policy and Administration Faculty

Dr. Eliesh Lane, University Reviewer,
Public Policy and Administration Faculty

Chief Academic Officer
Eric Riedel, Ph.D.

Walden University
2019

Abstract

Redefining Protection Intervention in Humanitarian Aid through External Factors:

A Case Study of Niger

by

Valerie Svobodova

MA, University of Economics, Prague, 2011

Dissertation Submitted in Partial Fulfillment

of the Requirements for the Degree of

Doctor of Philosophy

Public Administration

Walden University

March 2019

Abstract

The magnitude of internal displacement worldwide is growing every year and represents a tripling of the existing number of refugees worldwide. Internally displaced persons have specific vulnerabilities and the system of assistance to them needs to be adapted and revised. The purpose of this case study was to identify external factors that influence protection interventions for internally displaced persons in humanitarian response. Using Benet's Polarities of Democracy theory and the Theory of Change Conceptual Framework as a framework, the study sought to identify key external factors influencing protection intervention in humanitarian aid settings. Data for this study was gathered through focus group discussions with internally displaced persons in Niger. Key informant and protection cluster members were interviewed and an online survey conducted. In total, 38 persons participated. Content analysis was used to identify significant themes. The data revealed that multiple external factors impacted the effectiveness of protection intervention in humanitarian action. The central theme was a need for strengthened accountability towards affected populations, with other major themes, including donors and their influence; quality of programs - holistic approach, external attention to the crisis; coordination; nature of the crisis; security; position of the government; and data and analysis, also emerging. The findings shed light on the vulnerability of protection intervention in humanitarian settings, and open opportunities for further research in this topic.

Redefining Protection Intervention in Humanitarian Aid through External Factors:

A Case Study of Niger

by

Valerie Svobodova

MA, University of Economics, Prague, 2011

Dissertation Submitted in Partial Fulfillment

of the Requirements for the Degree of

Doctor of Philosophy

Public Administration

Walden University

March 2019

Dedication

I would like to dedicate this dissertation to my parents, whom I cannot thank enough for everything in my life- love, support, roots. Also, a special thanks to my sister Barbora, who has paved the way of PhD before me as a great inspiration.

Finally, to all the people I met in 123 countries that I could have visited so far, that have opened my eyes and heart. Above all, to all the internally displaced persons around the world.

Acknowledgments

I would like to thank Dr. Telleria, Dr. Jaeckle and Dr. Lane, for their restless support in this journey. Many persons contributed in this long endeavor. The peer support group we have created with classmates made me continue in difficult moments- special thanks to Ahmad. Great thanks to Chris, who accompanied me throughout the whole process.

I am forever grateful to all those at whatever organization and to everyone else I did not mention but contributed in some fashion to the successful completion of this dissertation.

Table of Contents

Chapter 1: Introduction to the Study.....	1
Background of the Study	2
Problem Statement	4
Purpose of the Study	5
Research Questions	6
Theoretical Foundation	6
Conceptual Framework.....	8
Nature of the Study	9
Definitions.....	10
Assumptions.....	14
Scope and Delimitations	15
Limitations	16
Significance of the Study	18
Significance to Practice.....	18
Significance to Theory	19

Significance to Social Change	19
Summary	20
Chapter 2: Literature Review	22
Literature Search Strategy.....	23
Theoretical Foundation	24
Conceptual Framework.....	25
Literature Review.....	26
Summary.....	57
Chapter 3: Research Method.....	59
Research Design and Rationale	59
Role of the Researcher	60
Methodology	61
Participant Selection Logic	62
Instrumentation	63
Data Analysis Plan.....	65
Issues of Trustworthiness.....	68

Credibility	68
Transferability.....	69
Dependability.....	69
Confirmability.....	71
Ethical Procedures	71
Summary.....	73
Chapter 4: Results.....	74
Research Setting.....	75
Demographics	75
Data Collection	76
Data Analysis	81
Evidence of Trustworthiness.....	83
Credibility	83
Transferability.....	84
Dependability.....	84
Confirmability.....	85

Study Results	86
Summary	115
Chapter 5: Discussion, Conclusions, and Recommendations	117
Interpretation of Findings	118
Limitations of the Study.....	122
Recommendations.....	122
Implications.....	125
Conclusions.....	126
References.....	128
Appendix A: Recruitment E-mail for Identifying Participants- Interviews.....	142
Appendix B: Interview Protocol/ Questionnaire.....	144
Appendix C: Online Survey	146
Appendix D: Questions- Focus Group Discussion	153
Appendix E: Recruitment Email for Identifying Participants- Online Survey	154

List of Tables

Table 1. Data Analysis— Participants’ Demographics per Data Collection
Methodology80

Table 2. Data Source — Data-Point Triangulation.....85

Table 3. Data Analysis—Emerging Themes from Participant Responses- Main Research
Question.....88

Table 4. Data Analysis—Emerging Themes from Participant Responses- First Research
Subquestion104

Table 5. Data Analysis—Emerging Themes from Participant Responses- Second
Research Subquestion.....108

Table 6. Data Analysis—Emerging Themes from Participant Responses—Third Research
Subquestion.....113

List of Figures

Figure 1. Funding requirements.....	34
Figure 2. People targeted.....	35
Figure 3.Type of conflicts.....	40
Figure 4. Geographical location of conflicts	41

Chapter 1: Introduction to the Study

In a world of increasing natural and human-made disasters, humanitarian aid protection interventions (PIs) needs to be redefined to protect better people and human dignity. Without conflict in times of crisis, civilians can cope with challenges using well-established self-protective mechanisms, which include actions by themselves, family members, community leaders or others, depending on country and culture. Intervention is required when protective mechanisms fail because civilians lack the ability to provide protection services or because of conflict.

This qualitative study sought to identify critical factors that support protection activities in humanitarian response, specifically in emergency settings. The purpose of the study was to review established factors that influence PIs for internally displaced persons (IDPs). This classification provided a common conceptual framework to generate and analyze data on factors that affect humanitarian work in the protection sector, which, in turn, suggested ways to understand how to enhance impact in terms of protection. The observed failures in PI throughout the world exposed a problem that demands greater attention from all involved, including scholars and practitioners. An accountability framework defines the current humanitarian response. It aims to bring positive social change to those that are displaced by conflict. To determine if established PIs for IDPs are effective and efficient, a case study of Niger was undertaken. The outcomes are expected to guide policy makers and humanitarian practitioners to redefine the success of

PIs in humanitarian aid. By identifying the key external factors that affect protection activities in humanitarian settings, the system can become more effective for persons in dire need of basic protection services.

In the first chapter, the following topics are covered: problem statement, purpose of the study, research questions, and theoretical and conceptual foundation, nature of the study, assumptions, scope and delimitations, limitations and significance.

Background of the Study

A comprehensive literature review revealed that there is a significant gap in knowledge about the external factors that influence PIs in humanitarian settings. The review identified that empirical research remains rare on this topic. Protection activities “relate to the whole spectrum of rights which guarantee physical, economic, social and political security” (Darcy, 1997, p. 35). According to the Inter-Agency Standing Committee, protection of civilians means “full respect for the rights of individuals and the responsibilities of the authorities in accordance to the letter and the spirit of the relevant bodies of law (i.e. international humanitarian law, international human rights law, refugee law, domestic law)” (Giossi, 2001, p. 19). This definition of protection activities is widely recognized across the actors within humanitarian sector.

Protection is the desired outcome of all relevant actors (Schirch 2012, p. 3).

Protection is an effort, which is joint between different stakeholders and requires efforts

from multiple stakeholders. While the definition of protection in humanitarian setting has been agreed upon in late 90s, its concept has been for long misunderstood or set aside next to other sectors in humanitarian aid, such as WASH (water, sanitation and hygiene), shelter, education, health, and food security. In the past, protection may not be seen as lifesaving, despite the fact that if humanitarian aid is not provided in dignity and safety, it puts at risk beneficiaries who are in dire lifesaving need. As highlighted in the definition of protection, “respect for the rights of individuals” (Giossi 2001, p.19), is a key element of the definition. As a result, the protection sector is a fundamental basis for any humanitarian action and cannot be set aside or put on second track in terms of importance.

The primary duty bearer must protect its citizens. (Note that IDPs have not crossed an international border, and are therefore under the full protection of the state, under its law.) In case the state is unable or unwilling to protect the population on its territory, humanitarian actors, and in particular a protection cluster, steps in to assume the role. While acknowledgment of the importance of the protection sector has gradually grown in humanitarian response, there is little analysis of what factors influence the success of PIs in humanitarian settings. As a result, it may seem that it is rather an ad hoc and random result if the interventions are successful (or not). It was essential to be more systematic in building protection programs and for this, a clear analysis was needed of the key factors influencing PIs.

This study exposed a need to go deeper in understanding PIs, so as to be able to determine the external factors that influence them. Improving our understanding of the role that PIs have in the context of humanitarian aid is a positive step towards improving our management of humanitarian crises and ultimately saving more lives.

Problem Statement

Protection has become an important element in the focus and mission statement of a large number of humanitarian aid actors. In the context of humanitarian aid, protection “is defined as all activities aimed at ensuring full respect for the rights of the individual in accordance with the letter and the spirit of the relevant bodies of the law (i.e. human rights, humanitarian law and refugee law)” (Ferris, 2011, p. 120). According to Gentile (2011, p. 1171), protection in humanitarian aid settings can be translated in different ways: an objective; a set of legal obligations; and a concrete activity leading to better protection of affected population against threats and abuses. Protection is the basis for other sectors of humanitarian work, so that they are efficient and successful.

While humanitarian settings can include the context of conflict, post-conflict, and natural disasters (Jones et al., 2009), the nature of the current situation is one of urgent need to respond to what many consider "life-threatening" conditions affecting populations worldwide, but particularly in the situation of a displaced population, such as in Niger.

The annual Global Trends report of the United Nations High Commissioner for Refugees (UNHCR, 2016), which tracks forced displacement worldwide based on data its own reporting and from governments and partners, including the Internal Displacement Monitoring Centre (IDMC), claims that 65.3 million people were displaced as of the end of 2015, compared to 59.5 million just 12 months earlier. This is the first time that the threshold of 60 million has been crossed. Measured against Earth's 7.349 billion population these numbers mean that 1 in every 113 people globally is now either an asylum-seeker, internally displaced, or a refugee. The protection of displaced person is an area which has steadily gained attention by varied stakeholders and is now central to humanitarian response. A preliminary review of the literature on humanitarian aid and specifically on the element of protection, suggests a lack of understanding of key elements that support successful PIs. This study sought to deepen the understanding of potential factors that could influence the effectiveness of PIs in humanitarian response worldwide, using Niger -as a case study. Utilizing Benet's *polarities of democracy theory* and conceptual framework of theory of change to set the context, and to better understand PIs in humanitarian response, a qualitative method was used on case study of Niger.

Purpose of the Study

The purpose of this study was to review established factors influencing PIs for IDPs. The literature provided an understanding of the current definition and established

practices of humanitarian PIs, and their effectiveness and efficiency was investigated using a qualitative approach.

This study sought to identify critical factors that support protection activities in humanitarian response, specifically in emergency settings. The classification of external factors provided a common conceptual framework for generating and analyzing information about factors that affect humanitarian work in the protection sector, offering elements of understanding how to enhance impact in terms of protection. This study was further aimed at raising awareness and bringing more attention to a growing international humanitarian problem of protection in the context of internal displacement. The observed failures in PI throughout the world expose a problem that demands greater attention from all involved, including scholars and practitioners.

Research Questions

Using Benet's polarities of democracy theory as a backdrop to assess PIs in humanitarian response, the following principal research question arose: What are the key external factors that influence PI in humanitarian aid settings?

Theoretical Foundation

In qualitative studies, theory comes usually at the beginning of the study as it provides background and introduction to what is going to be studied. In the qualitative study, a theory can be generated at the end as an outcome of the study (Reynolds, 2007).

Important elements of protection of civilian's theory were highlighted by Reichhold and Binder (2013, p.7). In its examination, it is noted that mainly qualitative methods are used when focusing on protection of civilians for example through semi-structured interviews. Two key points were the following: most works focus on capacity gaps and coordination amongst stakeholders, without studying real impact of such activities. According to Reichhold and Binder (2013), "about half of the different academic works reviewed lack an explicit research design and method, but clarity on design and method is a precondition for generating reliable data" (p. 7). In addition, in studies related to protection of civilians following elements are mostly present- a theoretical lens perspective is used, which gives a direction to the study- those lenses shape the types of questions asked and dynamics observed (Creswell, 2009, p. 64). Although the researchers do not specifically refer to the series of hypothesis as theories, they serve as a basis of wider explanation to study the society and its behaviours, as well as people's and organizational attitude (Creswell, 2009, p. 64). The fact that definition of protection is rather broad, brings further challenges for its research as various studies include different dimensions of protection leading to lack of comparability amongst the studies published. In addition, the question of measuring the effects of protection activities is relatively recent (Reichhold & Binder, 2013, p.10). Therefore, a conceptual approach of theory of change was used.

The theoretical framework for this study was Benet's (2013) theory of polarities of democracy. This theory is aimed at guiding sustainable, healthy and fair social change efforts, and focuses on ten aspects: freedom–authority, justice–due process, diversity–equality, human rights–communal obligations, and participation–representation. An appropriate approach for this research given the incidence of each of the ten aspects from Benet's theory of polarities of democracy are contributing factors to successful PI in humanitarian settings. Further, subsequent research and application of Benet's theory offer guidance on ways to apply the concept in complex social settings (Strouble, 2015; Tobor, 2014). Those subsequent studies used the Benet's theoretical framework on concrete research topics, which are set in challenging environment.

Conceptual Framework

Following the suggestion of Reichhold and Binder (2013), theory of change were chosen as the conceptual framework. As highlighted (p. 43), this approach is pertinent for acknowledging the influence of external factors on success in protection. It is clear that the PIs in humanitarian settings are dependent on external factors; however, those have not yet been identified throughout the existing literature. According to Voger (2012), one of the benefits associated with using the theory of change is a strengthened awareness of external factors that influence the impact of an intervention, including the motivations behind, and contributions of, other factors.

Reichhold and Binder depicted three components of theory of change: a result chain or framework showing the connection between lower-level and higher-level results; the assumptions underlying the intervention embedded in a narrative; and appreciation for external factors that contribute to positive and negative change. The theory of change has been used in a humanitarian and development context, for example, by Roger (2008) to evaluate complicated and complex aspects of interventions; and by CARE (2013) to determine the impact of peacebuilding.

Nature of the Study

For this dissertation topic, I used the qualitative research approach, which is appropriate when studying social or human problems. In the study, the data analysis moved inductively from particulars to general themes to interpretations of the data. In a qualitative study, usually the phenomena studied is complex, and linked to social issues and trends. As Creswell noted (2009, p. 18), a qualitative study creates an agenda for change or reform through interpretations of the data. This was relevant for the dissertation topic. The method chosen to study the factors that positively impact protection activities in humanitarian settings was collectively called a case study.

The rationale behind the choice of the method chosen was that sampling method is an approach in which several cases are selected for study to understand the phenomenon in a broader context. In the study, the data analysis was built inductively

from the Niger operation's case study, that is, the country in which humanitarian actions are ongoing.

The methods used included focus group discussions, individual interviews with protection actors, and an online survey. A characteristic of all forms of qualitative research is that the researcher is the primary instrument for data collection and analysis. I was involved through direct field visit in data collection during individual interviews and focus group discussions.

There had to be at least five participants representing key protection actors— protection cluster members (amongst them, at least one from the government counterpart, local NGO, international NGO, UN agency). The interviewees had to be in the operation for at least 6 months, so as to be well acquainted with the context.

A detailed journal was kept to capture all elements of the evolution of the research. To ensure evidence of quality and trustworthiness, and so that the reader understood my position and any biases or assumptions that impacted the inquiry, I clarified my bias from the outset of the study.

Definitions

Cluster: According to United Nations Office for the Coordination of Humanitarian Affairs (OCHA), clusters are groups of humanitarian organizations (UN and non-UN) working in the main sectors of humanitarian action, e.g., shelter and health.

They are created when clear humanitarian needs exist within a sector, when there are numerous actors within sectors and when national authorities need coordination support. Clusters provide a clear point of contact and are accountable for adequate and appropriate humanitarian assistance (IASC, 2006). Clusters create partnerships between international humanitarian actors, national and local authorities, and civil society. Cluster approach “organizes each sector of aid activity under a designated lead agency” (Humanitarian Policy Group, 2016).

Complex emergencies: According to the World Health Organization (WHO, 2012), complex emergencies are situations of disrupted livelihoods and threats to life produced by warfare, civil disturbance, and large-scale movements of people in which any emergency response has to be conducted in a difficult political and security environment. Complex emergencies combine internal conflict with extensive displacements of people, mass famine or food shortage, and fragile or failing economic, political, and social institutions. Often, complex emergencies are also exacerbated by natural disasters. According to Humanitarian Policy Group (2016, p.16), “complex emergencies are humanitarian crises involving a considerable breakdown of authority, extensive violence and civilian casualties and mass population displacement”.

Coordination: Coordination in this study refers to cooperation between the various agencies and actors on the ground in a peace operation, primarily but not only UN, through command structures or coordination mechanisms.

Effectiveness: Effectiveness is commonly understood as the capacity to produce a desired result, to achieve the objectives set out or to solve the targeted problem (OCHA, 2016).

Humanitarian system: Humanitarian system is defined by Active Learning Network for Accountability and Performance (ALNAP, 2016) as the “network of interconnected institutional and operational entities through which humanitarian assistance is provided when local and national resources are insufficient to meet the needs of population in crisis”. Borton (2009) defines it as multiplicity of international, national and locally based organizations deploying financial, material and human resources to provide assistance and protection to those affected by conflict and natural disasters with the objective of saving lives, reducing suffering and aiding recovery.

Internally displaced persons (IDPs): as defined in the introduction of the Guiding Principles for IDPs, IDPs are persons or groups of persons who have been forced or obliged to flee or to leave their homes or places of habitual residence, in particular as a result of or in order to avoid the effects of armed conflict, situations of generalized violence, violations of human rights or natural or human-made disasters, and who have not crossed an internationally recognized State border. (United Nations Commission on Human Rights, 1998, p. 5).

International humanitarian law: is a “branch of public international law specifically designed to limit the effects of armed conflicts. It applies in both international and non- international armed conflicts and represents a compromise between the principles of military necessity and humanity” (IASC, 2016).

International human rights law: is a “system of international norms designed to protect and promote the human rights of all persons” (IASC, 2016).

International refugee law: is “an area of law that protects and assists people, as refugees, who are no longer protected by their own country, are outside their country of origin, and are at risk or victims of persecution or other forms of serious harm in their country of origin” (IASC, 2016).

Protection in humanitarian settings: Protection activities “relate to the whole spectrum of rights which guarantee physical, economic, social and political security” (Darcy, 1997, p. 35). As per Inter Agency Standing Committee (IASC, 1999), protection means “all activities aimed at obtaining full respect for the rights of the individual in accordance with the letter and the spirit of the relevant bodies of law (i.e. international humanitarian law, International human rights law, refugee law, domestic law)”, in Giossi (2001, p. 19). Protection is the desired outcome of all relevant actors (Schirch 2012, p. 3). “Protection is the outcome we’re aiming for.” (Global protection cluster, 2016, p.3). According to DuBois (2010), “humanitarian protection aims to ensure that humanitarian

action does not place people at greater risk (e.g. the well-worn example of not locating camp latrines in a dark corner of a camp) *and* to protect people from harm in the first place. “

The concrete activities that fall under protection sector in humanitarian setting are diverse- from documentation, preventing and responding to sexual and gender-based violence to mine clearing, accessing rights related to housing, land and property, as well as to assure that children are protected in their best interest.

Protection mainstreaming: According to global protection cluster (2016), protection mainstreaming “is the process of incorporating protection principles and promoting meaningful access, safety and dignity in humanitarian aid”. It includes four pillars: prioritize safety and dignity and avoid causing harm; meaningful access; participation and accountability.

Protection outcomes: “A response or activity is considered to have a protection outcome when the risk to affected persons is reduced. Protection outcomes are the result of changes in behaviour, attitudes, policies, knowledge and practices on the part of relevant stakeholders” (IASC, 2016).

Assumptions

Given that the case study was from a Niger case study- specific humanitarian crisis, it was assumed that the factors identified that influenced the effectiveness of PIs in

humanitarian settings would intersect. Local culture could influence specific aspects of the response mechanisms, but would not change the underlying factors that are common across context and operations.

It was also assumed that understanding of protection across operations remain within the scope of the IASC definition of protection. While personal opinions about different PIs vary, overall understanding of PIs would remain the same within the definition of protection.

At the same time, it was assumed that the respondents would provide impartial information and respond on behalf of the system, without personal and work considerations.

Scope and Delimitations

The internal factors related to the humanitarian organizations that influence the protection activities in humanitarian settings were not included, given that there are very specific to each institution or agency. As a result, the study focused on external factors beyond individual organizations. The external factors are still varied; however, it was assumed that they could be classified in various themes, that are to be identified and common across operations.

As it is a qualitative study, interviews with key informants were conducted until saturation, as well as focus group discussions. The informants were government and

humanitarian workers, as well as beneficiaries of humanitarian assistance. The private sector was not included in this study given that its influence is as yet very limited, especially in the context of internal displacement.

By including consultations with the affected population, it contributed to triangulation of responses during the data review and assuring their objectivity. While protection needs depends on the context, there is a pattern of how the crisis affects population in terms of protection and their ongoing needs in terms of protection programs.

Lastly, while extensive repertoire of external factors would be only possible if all the humanitarian crisis in the world were examined; the scope of the research was limited to one operation- example (through Niger case study) can depict most important factors influencing the protection activities in humanitarian crisis. Each crisis has its specificity, however the core of protection activities remains the same, as do the main external factors influencing its effectiveness. This generalizability was crucial for this study.

Limitations

Because all interviews were conducted by myself, while at the same time a humanitarian worker, it was ensured that this reality would not affect the respondents in their answers to the questionnaire and interviews. The interviewer's professional involvement with humanitarian causes did not affect respondent replies. However, there

was no way to fully ensure this. It was taken as given that participants in this study answered in an open and honest way. However, as with every research involving human subjects, there is always the potential for distortions of the truth, from the lived experiences. The informed consent was signed by interviewees and a debriefing was conducted. An interview protocol was used for the process and interview transcripts provided. A detailed journal was initiated so as to capture all elements of the topic research evolution.

Credibility, one of the validity criteria, was assured through accurate interpretation of participants' meaning. Integrity was supported because I was self-critical about the research and interpretation of data. "Interpretive or qualitative research must give voice to participants so that their voice is not silenced, disengaged, or marginalized" (Creswell, 2007, p. 228). I strived for this aspect of inclusion during all interactions with the participants.

It is essential that the researcher is aware of his or her bias and that it is clearly described. Brewer and Brewer (2011) pointed out that if not properly taken care of, the research bias "can compromise the research design" (p. 349). The ethical validity was assured through providing practical answers to questions throughout the research and raising new possibilities and opening new questions so as to stimulate further thinking in the topic area in the data collection techniques. "Substantive validation means understanding one's own understandings of the topic, understandings derived from other

sources, and the documentation of this process in the written study. Self-reflection contributes to the validation of the work” (Creswell, 2007, p. 226).

Debriefing with the participants of the study provided an external check on the research and were useful techniques for confirming validity in this qualitative study. Prolonged engagement in the field sought to yield sufficient, quality information. As Creswell (2007) highlighted, “prolonged engagement and persistent observation in the field include building trust with participants, learning the culture, and checking for misinformation that stems from distortions introduced by the researcher or informants” (p. 223). Triangulation was implemented in terms of getting multiple data sources, methods, and theoretical schemes. As highlighted by Creswell (2007, p. 223) “in triangulation, researchers make use of multiple and different sources, methods, investigators, and theories to provide corroborating evidence”. Therefore, in this study, three different data collection methods were used, from varied sources.

Significance of the Study

Significance to Practice

From a practitioner's perspective, this study is particularly significant, given the protection sector trends worldwide. The protection sector in humanitarian settings is a fast-growing area with significant importance. It has a direct impact on the well-being of people in crisis and in emergency response situations. “Protection is an objective central to all humanitarian action: when people face severe abuses or violence, humanitarians

risk becoming part of the problem if we don't understand how our own actions can affect people's safety" (Global protection cluster, 2016, p.3). Protection is assuring that persons can benefit from their rights. Protection in humanitarian context can be seen as a concrete activity, such as assisting a victim of sexual and gender-based violence; as well as a principle with focus on rights based approach. The study is particularly relevant to the policy makers and by empowering key individuals to prepare better responses to challenges faced by persons with specific needs in emergency settings.

Significance to Theory

From a scholarly perspective, this research is significant in that it helps to fill the gap in the literature's examination of the factors that influence protection activities in humanitarian settings, focusing specifically on external elements, such as culture of displaced persons, willingness of hosting government to collaborate, or inclusiveness of humanitarian response. Likewise, this study addressed an under researched area of the literature, which studies these protection activities on protection sector in humanitarian assistance (Reichhold & Binder, 2013, p. 8). Benet's theory provided a framework for this study in complex social setting.

Significance to Social Change

This research contributes to positive social change by empowering key individuals to prepare better responses to challenges faced by persons with specific needs in emergency settings. "If we don't take protection into account from the start, not only

will we miss opportunities to reduce risk for the people affected, but we could prolong a situation that puts them in danger” (Global protection cluster, 2016, p. 3). Ignoring protection needs in humanitarian settings is not anymore an omission, but an impossible way forward towards principles, sustainable and dignified support to affected population. The protection sector is about rights. Mainstreaming protection is a continuous process that goes from planning of the humanitarian intervention, through implementation, follow up, and evaluation. It is about the quality and inclusiveness of humanitarian action. Protection is central, as are the human rights. Dignity, respect, meaningful access to services are key for quality humanitarian interventions across all sectors. By better understanding the factors that influence PIs, this can provide more relevant interventions and as a result, better protect affected persons. In addition, relevant suggestions for further research in the domain are proposed.

Summary

In the first chapter, the problem statement and purpose of the study were outlined. This qualitative study sought to identify critical factors that support protection activities in humanitarian response, specifically in emergency settings. The purpose of the study was to review established factors that influence protection interventions (PIs) for internally displaced persons (IDPs). This classification provided a common conceptual framework to generate and analyze data on factors that affect humanitarian work in the protection sector, which, in turn, suggested ways to understand how to enhance impact in

terms of protection. The observed failures in PI throughout the world exposed a problem that demands greater attention from all involved, including scholars and practitioners. A case study of Niger was undertaken, and the outcomes would guide policy makers and humanitarian practitioners to redefine the success of PIs in humanitarian aid. By identifying the key external factors that affect protection activities in humanitarian settings, the system can become more effective for persons in dire need of basic protection services.

Chapter 2 will focus on research strategies and literature review, including theoretical foundation and conceptual framework. The method for investigation and specific interview questions will be provided in Chapter 3. Chapters 4 and 5 will provide an overview of the data collected and data analysis, as well as study results, interpretation of findings, limitations of the study and finally recommendations and implications of the study.

Chapter 2: Literature Review

The observed failures in PI throughout the world exposes a problem that demands greater attention from all involved, including scholars and practitioners. Using Benet's polarities of democracy theory to set the context, and to better understand PIs in a humanitarian response, the following principal research question arose: What are the key external factors influencing PI in humanitarian aid settings? What factors have a positive impact on PIs in humanitarian aid that is more useful for the affected population? By identifying the key external factors that have impact on protection activities in humanitarian settings, the system can become more effective and have positive social change impact for persons in dire need of basic protection services.

Chapter 2 provides the literature review for this study. This review is composed of revising the definitions and factors related PI- topics that are in line with the problem statement and research question. Many studies have been conducted documenting the impact of crisis on affected population. However, to date, scant attention has been paid to understanding the factors that influence particular area- protection- of affected persons in times of crisis. The literature review starts by looking into what protection actually means in the context of humanitarian crisis; continues into looking what are the factors that influence protection; and finally, into aspects of protection impact.

According to *UNHCR Global Trends: Forced Displacement in 2016*, released in 2017, it speaks to the enormity of the situation of forced displacement globally. Some

65.6 million people are displaced around the world, of whom 22.5 million are refugees, and nearly two-thirds are internally displaced.

In the 21st century the human mobility is accelerating, and it is expected that it will only intensify, as there are many overlapping factors that influence the internal displacement, such as climate change for example which is added to the conflict issues. As highlighted by UNHCR (2017), there are many complex elements that influence forced displacement, not a unique single factor that could be determined. It appears that this complexity and interconnectivity is key to the protection impact in humanitarian context. Specific needs of children, youth, and elderly, as well as prevention and response to gender-based violence in the context of displacement must be a priority, be it for IDPs and host community.

To begin, research strategies were outlined. The literature review continued with capturing the understanding of protection in humanitarian settings. This provided a better understanding of the PIs and how to best plan for them, so that they are successful. This review also revealed how PIs are perceived and when evaluated as successful.

Literature Search Strategy

The following databases and keywords were used for this literature research: ProQuest Central, Active Learning Network for Accountability and Performance, REFWORLD were searched with the terms *humanitarian* and *protect* as the root of all

inquiries, then narrowed with *displaced, emergency, factors, and emergency*. There was no research literature found in depth on external factors; the literature focused on coordination aspects. As a result, this review includes mainly references to protection in humanitarian settings, while impact of those PIs is rarely mentioned in the literature. Databases was used for references to case studies and practices from humanitarian field as well as for technical protection references.

In addition, a review of good practices and examples from the field were done in consultation with a series of humanitarian workers. Numerous humanitarian agencies provided key documents related to their PIs for the desk review of existing documents and when researching the dissertation topic.

Theoretical Foundation

The theoretical framework for this study was Benet's (2013) theory of polarities of democracy. This theory is aimed at guiding sustainable, healthy and fair social change efforts, and focuses on ten aspects: freedom–authority, justice–due process, diversity–equality, human rights–communal obligations, and participation–representation. An appropriate approach for this research given the incidence of each of the ten aspects from Benet's theory of polarities of democracy are contributing factors to successful PI in humanitarian settings. Further, subsequent research and application of Benet's theory offer guidance on ways to apply the concept in complex social settings (Strouble, 2015; Tobor, 2014).

The polarities of democracy model served as a theoretical framework for the study. The model examines social challenges at local, national and global level. According to Benet (2006), participatory practices that allow all persons to use their creativity and strengthen their capacity for research and social change initiatives. The theory builds on Johnson's (1996) polarity management concept. This concept can be used in situations that are in front of an unsolvable problem- those exist because a dilemma polarity that needs to be balanced. The key elements are when, how and if to move to the opposite pole. If the situation is unbalanced towards one side, people start to perceive it as negative and push for another pole. Those who wish to remain in the current situation, see on the contrary the opposite pole as negative. Thus, there is an antagonist position. The only way to find a balance is to consciously analyze the situation and find a balance between both poles, depending on the context and situation. Benet (2013) suggests that the model can be used as a unifying model to plan, guide, and evaluate social change efforts.

Conceptual Framework

Following suggestion of Reichhold and Binder (2013), theory of change were chosen for the conceptual framework. As highlighted (p. 43), this approach was very pertinent for acknowledging the influence of external factors on success in protection. It was clear that the PIs in humanitarian settings were dependent on external factors, however those have not yet been identified throughout existing literature. As Voger

(2012) suggested, one of the benefits associated with theory of change is a strengthened awareness of external factors that influence the impact of an intervention, including the motivations and contributions of other factors. Reichhold and Binder depict three components of theory of change: a result chain or framework showing the connection between lower level and higher-level results; assumptions underlying the intervention embedded in a narrative; and appreciation for external factors contributing to positive and negative change.

Literature Review

The protection activities in humanitarian response have far reaching effects into the lives of the displaced men, women, girls and boys. The following literature review provides insight into what affects the PIs and what effects make it more efficient, therefore positively affecting protection of displaced persons.

PIs

Protection activities “relate to the whole spectrum of rights which guarantee physical, economic, social and political security” (Darcy, 1997, p. 35). As per Inter Agency Standing Committee, protection of civilians means “full respect for the rights of individuals and the responsibilities of the authorities in accordance to the letter and the spirit of the relevant bodies of law (i.e., international humanitarian law, international human rights law, refugee law, domestic law)” Gioosi (2001, p. 19). Protection is the

desired outcome of all relevant actors (Schirch 2012, p. 3). As Kemp explained (2016), “protection is about people being safe from the harm others might cause them when conflict or disaster may leave them more vulnerable.”

Collinson (2005) stressed that “there needs to be better understanding of the specific group-based protection needs of IDPs, as a separate issue from their material needs (which may or may not vary significantly from those of non-displaced populations), and more must be done to ensure that the specific protection needs of internally displaced populations are effectively assessed, monitored and responded to” (p. 26). Mooney observed that focusing on the particular problems of specific groups at risk would often be the best way to ensure that the group can access the same protection as others. Thus, “addressing the specific problems encountered by IDPs does not preclude protection and assisting other at-risk groups; it simply means that the particular needs and vulnerabilities of IDPs are taken into account and addressed, whether through general or targeted programming” (Mooney, 2005, 18, 20). According to Buscher and Makinson (2006), protection of internally displaced women, children and youth is inextricably linked to providing what we all need for normality and wellbeing – health care, education and economic opportunities.

Protection clusters play a crucial role in supporting humanitarian actors to develop protection strategies, including to mainstream protection throughout all sectors and to coordinate specialized protection services for affected populations. “Violations of

international human rights and humanitarian law, and pre-existing threats and vulnerabilities, may be amongst the principal causes and consequences of humanitarian crises” (IASC, 2013). There is as well overall recognition than before that “protection is central to an effective humanitarian response” (Niland et al., 2015, p. 29).

The humanitarians identify possible threats to the human rights and then advocate with respective government bodies for their fulfilments- humanitarian actions may support the government, or provide technical guidance depending on the context. Government’s role is central and crucial. Harvey (2010) argued that it is essential to identify “a more politically sensitive way for governments to request international assistance without undermining perceptions of sovereignty or damaging national pride”. When there is no situation of conflict, civilians are able to deal with the challenges through established self-protective mechanisms, through family, community leaders or others depending on the country and culture. Assistance is required when the protection mechanisms fail and civilians lack protection services. Among the challenges to humanitarian action in conflict situations is the question of the perception by parties to the conflict of humanitarian actors, their activities, and the law. This question of perception is not just one of acceptance in conflict zones. It also arises in public opinion and among policy-makers of the great powers, particularly the United States (Bernard, 2011).

For refugees specifically, the need for international protection arises when a person is outside their own country and unable to return home because they would be at risk there, and their country is unable or unwilling to protect them (UNHCR, 2017). Risks that give rise to a need for international protection classically include those of persecution, threats to life, freedom or physical integrity arising from armed conflict, serious public disorder, or different situations of violence. Other risks may stem from: famine linked to situations of armed conflict; natural or man-made disasters; as well as being stateless. Frequently, these elements are interlinked and are manifested in forced displacement.

Slim and Bonwick. (2005, p. 23) classified categories of violations that can lead to protection needs as below:

- “Deliberate killing, wounding, displacement, destitution and disappearance.
- Sexual violence and rape.
- Torture and inhuman or degrading treatment.
- Dispossession of assets by theft and destruction.
- The misappropriation of land and violations of land rights.
- Deliberate discrimination and deprivation in health, education, property rights, access to water and economic opportunity.

- Violence and exploitation within the affected community.
- Forced recruitment of children, prostitution, sexual exploitation and trafficking (including by peacekeepers and humanitarian staff), abduction and slavery.
- Forced or accidental family separation.
- Arbitrary restrictions on movement, including forced return, punitive curfews or roadblocks which prevent access to fields, markets, jobs, family, friends and social services.
- Thirst, hunger, disease and reproductive health crises caused by the deliberate destruction of services or the denial of livelihoods.
- Restrictions on political participation, freedom of association and religious freedom.
- The loss or theft of personal documentation that gives proof of identity, ownership and citizen's rights.
- Attacks against civilians and the spreading of landmines.”

As Collinson et al. (2009) highlighted, “although often essential for addressing IDPs’ most immediate needs, the humanitarian system may sometimes jeopardize longer-term IDP and civilian protection where it substitutes for national protection or

international political or military intervention” (p. 54). Therefore, good connections to national policies, as well as creating linkages with development actors are essential.

It is to be noted that it is relevant to look into the intent of those violations, be in individual, or caused by armed forces and armed groups or political. The collaboration of the institutions and the government will also depend on whether they are parties to the conflict or not. As a result, the protection domain remains quite a complex sector. Barnett (2005) argues that the scale, scope, and significance of humanitarian action have expanded significantly since the late 1980s: whereas once humanitarian actors attempted to insulate themselves from the world of politics, they now work closely with states and attempt to eliminate the root causes of conflict that place individuals at risk. Second, a field of humanitarianism has become institutionalized; during the 1990s the field and its agencies became more professionalized and rationalized.

Gentile (2011) elaborated on the evolution of humanitarian community in protection sector since the last twenty years- in terms of number of actors, lessons learned, guidance and guidelines issued, leading to significant professionalization of the sector. The protection sector evolved around community-centered response with more emphasis on understanding the local contexts and needs. The author also debated if protection work is unique to a few mandated agencies or rather if it is a moral imperative of all humanitarian agencies responding in disaster context.

Humanitarian aid is getting more complex and bigger in scale. Since the Second World War, the system has evolved significantly, and many more actors are active in humanitarian crises. However, as highlighted by Humanitarian Policy Group (2016), “despite a decade of system-wide reforms, the sector still falls short in the work’s most enduring crises” (p.4). The analysis adds that the current humanitarian system does not serve well the persons that it is supposed to assist. While significant progress was achieved, the humanitarian crises are becoming more complex, more frequent, affecting more people.

Funding needed in 2017 according to OCHA (2017), was of 23.5 billion USD; people targeted by humanitarian aid in 2017 were 101,2 million. The funding requirements are increasing steadily, as well as number of persons targeted. As shown in the following graphs. In regards to funding of protection sector, as per the Financial tracking system (OCHA), funds reported for protection cluster are increasing each year- in 2014 it amounted to \$599,685,926 in 2015 to \$647,107,579, and in 2016 to \$753,618,166. However, there are as well funds received that are not reported through the formal system (Humanitarian Policy Group, 2016).

While specialized programs on protection are conducted by protection experts, every single humanitarian actor has an impact on protection environment of affected persons and therefore it is essential to contribute positive to protection outcomes, for example through protection mainstreaming elements. When the displaced persons face violations

and abuse, the humanitarian actors risk to aggravate the situation and become part of the problem, if protection is not taken seriously into consideration since day one of the assistance. All actors need to assure at minimum that they are not further exposing the affected population through their activities (OXFAM, 2016). However, as Niland et al. (2015) argued, “protection continues to be largely omitted from first phase multi- sector needs assessment exercises” (p. 47). Protection is not necessarily seen as lifesaving, in difference with other sectors such as food security, shelter and water and sanitation. The below figure provides information on funding requirements for humanitarian interventions from 2007 to 2017.

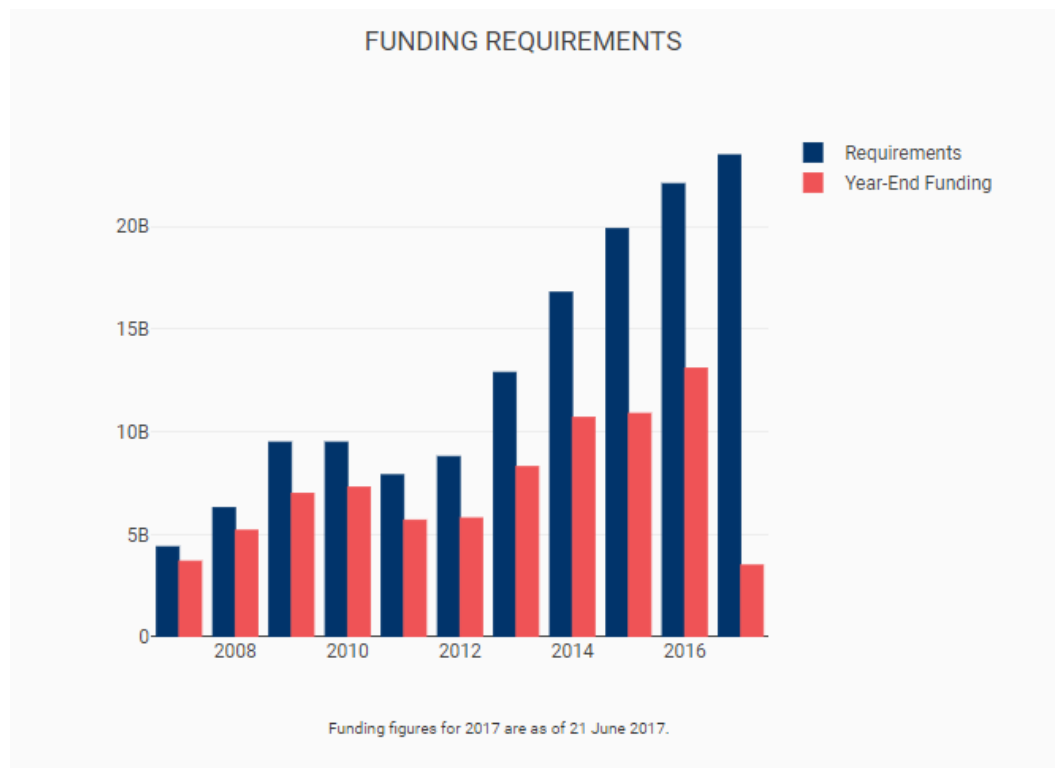


Figure 1. Funding requirements.

The below figure 2 provides information on number of people targeted through humanitarian interventions from 2006 to 2016- an increasing trend from 2008 onwards.

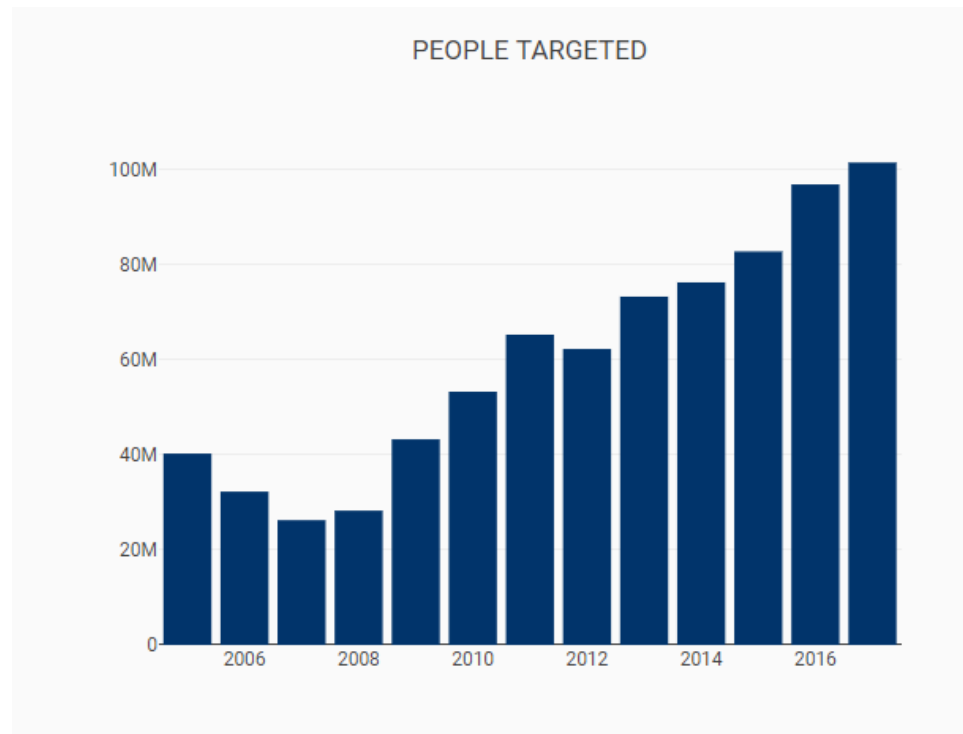


Figure 2. People targeted.

Humanitarianism has become a critical element of contemporary global governance. Humanitarian Policy Group (2017) highlighted that “the pressures facing a system already creaking under the strain of multiple emergencies are only like to get worse. While some argue that the answer is simply more money, the system needs review as well” (p. 28). Therefore, the analysis is complex and have multiple factors influencing it.

For the displacement caused by natural disaster, the guiding principles are outlined in the Nansen Initiative Agenda for the Protection of Cross-Border Displaced

Persons in the Context of Disasters and Climate Change. It is a framework for strengthening the protection of persons who were displaced by disaster and had to cross the border. The Nansen agenda has been signed by over one hundred governments (Nansen Initiative, 2015).

Protection is usually divided into four areas of responsibilities: general protection, children protection, gender-based violence and mine action. There are typically several protection agencies that are seen as traditionally mandated for protection in humanitarian settings. The International Committee of the Red Cross is enlisted with the responsibilities related to safeguarding and dissemination of international law for better protection of in situation of armed conflict. The ICRC is usually involved in negotiations with varied stakeholders, including parties to the conflict, so as to assure protection of civilians and non-combatants.

The Office of the High Commissioner for Human Rights is focusing on human rights- monitoring of their breaches and sensitization activities and their dissemination. Its engagement with internally displaced population has been already restated in 2006 and reconfirmed in 2007 (UNHCR, 2006, 2007). The Office of the United Nations High Commissioner for Refugees is the agency mandated to protect refugees, stateless persons, as well as coordination in the area of protection IDPs.

Child protection in emergencies is “defined as the prevention of and response to abuse, neglect, exploitation and violence against children” (Child Protection Working Group, 2012, p. 95). The child protection related activities aim prevention at response to child abuse, labour, sexual violence, psychological abuse, family separation and other. UNICEF is leading the coordination of child protection subcluster.

Gender-based violence (GBV) is defined as “any harmful act against a person’s will that is based on socially ascribed differences between males and females” (Gender-based Violence Area of Responsibility, 2015). GBV activities focus on prevention, as well as response and need to be inclusive for girls, women, boys and men (GPC, 2010). The main areas of GBV response are medical assistance, psychosocial support, safe space and legal counselling. United Nations Population Fund (UNFPA) is coordination the GBV sub cluster at global level, as well as field level. Other major organizations in GBV activities are International Rescue Committee (IRC); and CARE International.

The third area of responsibility under the Global protection cluster is housing, land and property (HLP), focusing on situations when displaced persons in emergency situations face. Norwegian Refugee Council (NRC) is leading the HLP area of responsibility at the global level, supported by the International Federation of Red Cross and Red Crescent Societies (IFRC), the International Organization for Migration (IOM), and UN-Habitat.

The area of responsibility of mine action seeks to identify and reduce the impact and risk of landmines and explosive remnants of war to a level where people can live safely. Activities include clearance, risk education, assistance to victims, training of teams of de-miners in clearance techniques and campaigning against the use of indiscriminate weapons such as cluster munitions. Under the leadership of the UN Mine Action Service (UNMAS), the mine action is coordinated also under the global protection cluster, co-lead by Humanity and Inclusion.

South (2012) suggested that local understandings of protection may vary substantially from the concept commonly used by international humanitarian agencies, but it cannot substitute humanitarian aid. While hugely important for everyday survival, local understandings and self-protection activities are rarely acknowledged or effectively supported by aid agencies. The case studies also illustrate that, while self-protection strategies may be crucial for survival, they are rarely fully adequate. Local agency cannot be regarded as a substitute for the protection responsibilities of national authorities or international actors”. However, it is essential to highlight that community-based protection is a process, not a project (UNHCR, 2013). Ageng’o et al. (2010) described three main challenges in community-based protection: “significant conceptual and linguistic challenges in understanding community perceptions of protection; community perceptions vary greatly; and community priorities for agency action on protection are often at variance with the actions prioritized by agencies.” Therefore,

linkages with communities are central to all protection interventions and need more attention by protection actors.

Factors influencing PIs

There are various factors that influence protection interventions. Niland et al. (2015) highlighted that there are “diverse challenges in assessing the factors that affect the capability of humanitarians to deliver protection outcomes: fluidity of disaster and crisis settings; frequent absence of comparable datasets concerning affected populations; lack of standardized operation definitions, approached and result frameworks” (p. 15). In addition, “humanitarianism cannot break out of the space that politics has assigned to it” (p. 18). Moreover, many humanitarian protection outcomes cannot be realized in short timeframes (p.54). Therefore, while most protection programs are to be implemented within one year timeframe, the outcomes are seen within longer time period.

The Uppsala Universitat (2016), provided categories of the conflicts into four different types of conflict: extra systemic, interstate, internal and internationalized internal. (a) Extra systemic armed conflict occurs between a state and a non-state group outside its own territory. These conflicts are by definition territorial, since the government side is fighting to retain control of a territory outside the state system. (b) Interstate armed conflict occurs between two or more states. (c) Internal armed conflict occurs between the government of a state and one or more internal opposition

group(s) without intervention from other states. (d) Internationalized internal armed conflict occurs between the government of a state and one or more internal opposition group(s) with intervention from other states (secondary parties) on one or both sides.

The region identifies the region of the location. This variable groups the various conflicts into five geographical categories, dependent on the location of the conflict.

In 2015, all the internal armed conflicts were in Africa. Overall, in 2015, 91% of conflicts in the world were classified as internal internationalized, as shown on the graph below.

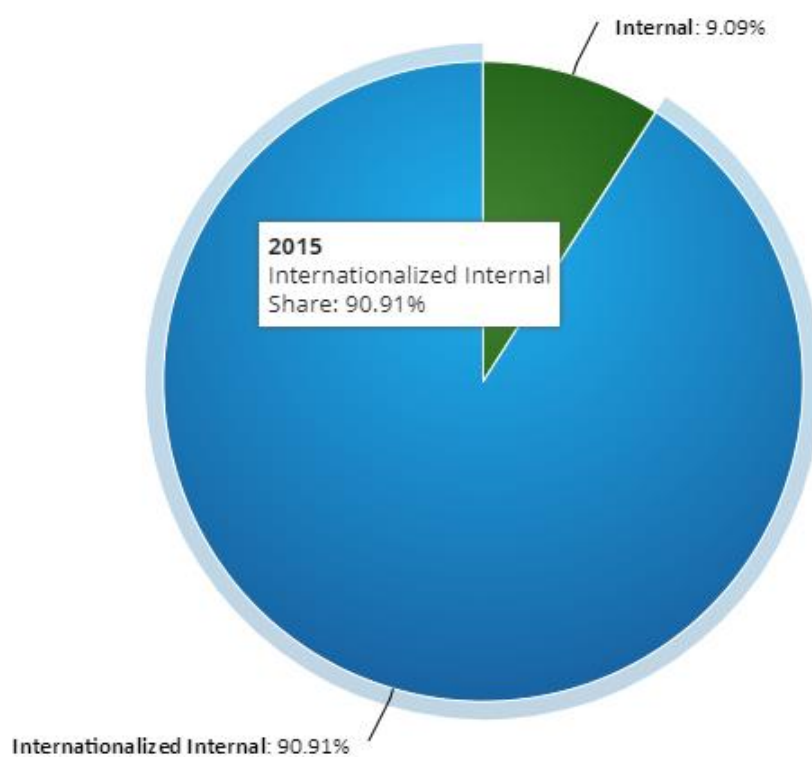


Figure 3. Type of conflicts.

In addition, as demonstrated in the dataset of Uppsala Universitet (2016), most conflicts in 2015 were in Middle East (40%), followed by Africa (30%), Asia (20%) and Europe (10%).s

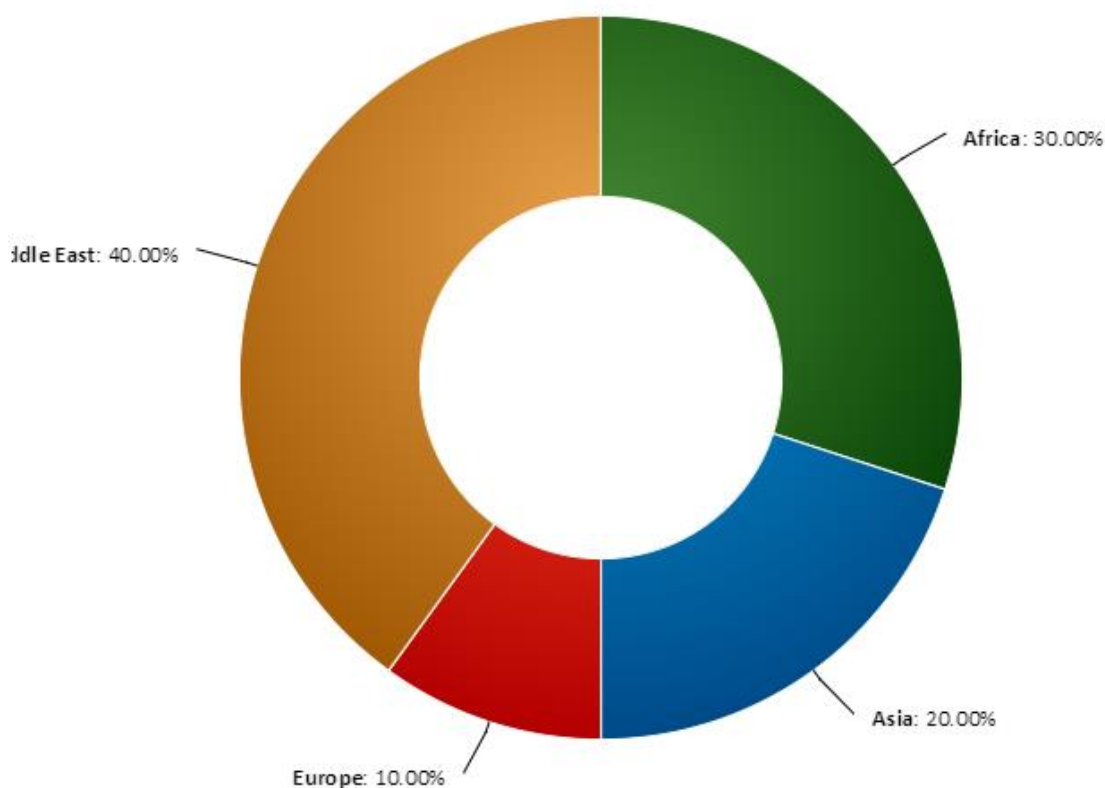


Figure 4. Geographical location of conflicts.

The tensions and challenges the humanitarian system is facing today are not new and have been present from the start. Humanitarian Policy Group (2016) identified the following factors for the non-functionality of the system: “the near- monopoly of the UN

agencies, the compulsion to creating parallel structures, the reluctance to properly engage with and respect local authorities and cultures, the tendency to privilege international technical expertise over local knowledge and capacities” (p.23). Elements of inclusion and accountability come back throughout the different sources examined.

Humanitarian assistance has a long history; however, it was mainly dominated by Western governments in the current understanding of its term. “Conceptual and legal roots of the formal humanitarian system are usually traced to the mid- nineteenth century, and specifically the foundation of the International Committee of the Red Cross in 1863 and the promulgation of the Geneva Convention” (Humanitarian Policy Group, 2016, p. 12). However, generous aid has been present in most cultures in the world. Over the decades, the system needs to respond to more humanitarian crises that last longer and with changing nature of the conflict. In addition, there are new actors that come to play, such as private sector, local NGOs, diaspora, new donors, militaries. To add, new technologies have fast evolved, and the way humanitarian assistance is being delivered is changing as well (Humanitarian Policy Group, 2016).

While over the recent decade protection delivery, as well as protection mainstreaming activities, have been enhanced, there remains still a lot of efforts and improvements to be made. As Ferris argued (2014, p. 43), there has been a lot of progress in the last decade on protection mainstreaming. However, protection shall not be mainstreamed into oblivion. It is also brought up that the humanitarian environment has

evolved substantially along with the context- with more dangerous situations affecting delivery of aid and protection activities, displaced persons moving rather to urban settings than camp settings, more complex and multiple displacements, as well as mix with migration movements. Apart from internal factors identified in the note (accountability, staff expertise, resources), partnership is mentioned as critical external factor.

Successive evaluations of humanitarian assistance and protection efforts on behalf of IDPs point to serious and persistent weaknesses, characterized overall by inconsistent, unpredictable and fragmentary coverage, poor-quality needs assessment, poor coordination between agencies and between activities and confusion and debate over the separate identification of IDPs, and over the implementation of protection-oriented programs on their behalf (see, for example, Borton et al., 2005). OXFAM (2016) highlighted that a thorough analysis of protection risks is essential for better programming and planning; done through intense consultations with affected population. At the same time, inclusion of local capacities is essential for greater impact of activities.

Coordination is frequently cited as the crucial aspect of successful intervention across sectors. Under the cluster approach, the United Nations High Commissioner for Refugees (UNHCR) is the lead of the Global protection cluster. Solid protection systems include not only non-government organizations, but as well displaced persons themselves, national organizations, human rights mechanisms, peacekeeping missions

and the involvement of the donor's community is necessary to achieve desirable results. As the protection threats are often complex and of multifaceted nature, coordinated and joint efforts are essential. If protection is to be central in humanitarian action, this demands a system-wide commitment (IASC, 2016).

Hicks and Pappas (2006) examined the new coordination model of clusters in humanitarian response and how it was efficient on a case study of earthquake in Pakistan in 2005. The cluster system was initiated in response to dire need of more coherent, accountable and efficient response in sudden onset of disasters. During a natural disaster, there are many actors that receive funds to assist the affected population. However, without proper coordination, this leads to duplication, gaps in service delivery, and overall lack of organization. Therefore, the cluster system should bring better predictability of humanitarian response. Interestingly, according to an ICVA report (2010) looking into coordination of international organizations in Pakistan in 2010, "one of the concerns expressed around the Secretariat was that if it was too dynamic and successful, it might – paradoxically – take away responsibility from members, making them less engaged". The complexities of coordination mechanism in humanitarian settings are yet being explored and being revised.

According to Humphries (2013), "overall, the cluster approach has increased the effectiveness of humanitarian action, suggesting that it is a worthwhile mechanism to pursue. However, there are many challenges associated with the approach" (p. 2). Those

include lack of predictable leadership, high turnover of coordinators, cluster lead agencies who do not follow their role and lack of knowledge and skills of cluster coordinators. The balance has to be found depending on each context. Stumpfenhorst and Razum (2011) examined the effectiveness of the cluster system led by the United Nations Office for the Coordination of Humanitarian Affairs (UN OCHA) in sudden humanitarian crises. The study was looking more specifically into the differences between the cluster model and practices on the ground, given the limited resources (human, as well as financial and time), as well into factors influencing the international relief efforts, such as donors' attention, media coverage, political circumstances and inclusion of long term planning into early stages of response.

The Reference Module for Clusters Coordination (IASC, 2012) identified expected functions and deliveries of the clusters, highlighting the added value to the humanitarian response through six core objectives of the clusters. IASC defined already in 2006, the key roles of clusters (IASC, 2006). However, in the module the translation into practical terms is missing, as well as challenges that the guidelines may bring, and stakeholders may encounter during the field implementation. UN OCHA (2013) issued a Template: Preliminary Coordination Performance Report. The guidance on cluster performance monitoring is providing a clear step by step evaluation of cluster functioning, building on the feedback of protection cluster members and with centrality of accountability towards the IDPs throughout the process. On the other hand, the

guidelines lack the aspect of cluster coordinators role and its influence on the success of cluster implementation in the field.

Inter-Agency Standing Committee (2006) issued an IASC Interim Self-Assessment of Implementation of the Cluster Approach in the field. The evaluation of piloted clusters in Liberia, DRC, Somalia, Uganda, Pakistan, Indonesia and Lebanon in 2005 brings a good overview of challenges and confusions that various country teams encountered during implementation. However, there is no guidance on how to address the identified gaps in practice. Inter-Agency Standing Committee (2006) also provided Guidance note on using the cluster approach to strengthen humanitarian response. The guidance brings valuable examples of direct usage in the field and suggestions on how to successfully implement the clusters. On the contrary, the role of protection cluster coordinators is not fully explored in the process. This is as well partially missing in otherwise very comprehensive tool on IDPs related topics- Handbook for the Protection of IDPs by the Global protection cluster (GPC, 2010). In addition, as Humanitarian Policy Group stressed (2016), “climate change may well increase the frequency and severity of certain types of disasters, and climatic changes are likely to have a significant impact on people’s vulnerability and ability to cope” (p. 34). This is therefore any factors influencing vulnerability of displaced persons. For refugee context, UNHCR issues refugee coordination model in 2013 (UNHCR 2013), where the modalities for refugee settings are outlined.

The protection cluster has a specific position from all other sectors- it “must contribute to timely and informed decision- making by the humanitarian coordinator and the humanitarian country team through an ongoing in depth and integrated analysis of the protection situation, which is enabled by a meaningful engagement with affected persons” (IASC, 2016).

Kemp (2012) presented a report called DRC protection cluster co facilitation – lessons learned. Through a detailed review of cluster co-leadership in the context of Democratic republic of Congo, Kemp (2012) summarizes the added value as well as challenges in the coordination of clusters when there is an organization co leading. Missing element is the linkage with overall deliveries of the cluster to the persons of concern in case there is a co-lead in the coordination of protection cluster. Inter-Agency Standing Committee (2013) further strengthened the system with the document Centrality of Protection in Humanitarian Action- Statement by the Inter Agency Standing Committee (IASC) Principals. The document highlighted the centrality of protection within humanitarian response and underlined the critical role of protection cluster. While it is essential to see such acknowledgement of protection cluster at this high-level, it is lacking a system of implementation for such a recommendation. Looking into the challenges of the protection sector in humanitarian aid, Mackintosh (2010) looked into politicizing of humanitarian aid on one side and on the other side stricter measures of states limiting income of certain humanitarian assistance, mainly in

protection sector. Mackintosh argued that with protection cluster being established, it reaffirmed protection sector as a steady activity for humanitarian response contexts (2010, p. 386).

If protection mainstreaming is effectively used, it has positive impact on protection outcomes (IASC, 2016). All humanitarian actors, regardless of the sector in which they intervene, should commit to “address protection issues that intersect their formal mandates; engage collectively to achieve meaningful protection outcomes; mobilized other actors within and beyond the humanitarian system to contribute to collective protection outcomes and evaluate regularly the commitments and process made” (IASC, 2016).

As key steps forward, UNHCR identifies three recommendations (UNHCR, 2010, p. 5): (a) Prioritize protection delivery through implementing partnerships, particularly at the national level, including through community organizations, faith-based groups where appropriate, and other relevant actors. (b) Enhance partnerships and alliances with UN agencies and operational partners (not funded by UNHCR) through joint training events, joint field missions, joint strategy development and advocacy approaches, particularly in the context of field protection clusters. Deploy skilled staff with specific terms of reference (TORs) to help build the capacity of partners. (c) Use participatory approaches and community mobilization activities to encourage persons of concern to act as agents

of their own protection. Support the development of community self-protecting mechanisms.

One of the practical considerations recommended by UNHCR, especially in urban settings, is to: “develop innovative outreach techniques through engagement with community workers, the use of mobile/internet messaging, and surveys and referrals from NGOs and municipal authorities” (UNHCR, 2010, p. 5). Involving the community is a key element to assure accountability that the humanitarian organizations serve. All displaced persons are rights holders with specific experiences, capacities, which shall be built upon. The essential aspect is to seek possible durable solutions from the beginning of a crisis (UNHCR, Batchelor, 2017).

More specifically, Weerasinghe et al. (2015) examined the impact of violence, conflict, and disaster on non-citizens. The non-citizens face distinct challenges in humanitarian crisis, which are not addressed through regular programming. Therefore, they require special attention. The paper focused on cases studies of Libya, Japan, Thailand, the United States of America and Syria in regard to recent disasters/conflicts. Exclusion of non-citizens from relief services, their limitations in terms of movement and work permits, as well as lack of consideration for them in national frameworks lead to critical gaps in humanitarian response. Additionally, McCormick (2013) described the monitoring and reporting mechanisms of grave violations against children, as per the Security Council, resolution 1612. The mechanisms allow to conduct stronger advocacy,

follow-up and prevention of the violations. A case study of Palestine and Israel was presented to demonstrate the mechanism. Amongst the challenges is lack of awareness of child protection issues; limitation of access to affected communities to monitor the violations, slow reporting and lack of funding.

Niland et al. highlighted (2015, p. 28) that the individual organizations and inter-agency approach to protection remains a supply driven exercise. This results in doing a stereotype activity in any crisis, not taking necessarily into consideration the specificities and context analysis. Moreover, effective protection in crisis is dependent on multiple stakeholders (p. 29). Niland argued that the key element is the relationship between humanitarians and number of key stakeholders- such as state who have the primary legal responsibility to protect their populations within their jurisdiction; engagement of protection actors with non-state actors and UN peace keeping or political missions. In addition, “effective protection outcomes require inspired and creative action at the global as well as national, regional and local levels” (p. 39). However, these efforts to ensure that humanitarian organizations consistently respect the principles of humanitarian action fail to take into account the workings of the system (Collins and Elhawary, 2010). The system is not a homogenous entity but rather a network-based form of governance. There is no top-down authority to ensure compliance with such endeavours, there are different understandings of what humanitarian action is and of what actually constitutes its identity, there are various interpretations of the principles themselves and market

conditions often result in competition between organizations, rather than compliance with agreed norms or codes. Furthermore, external political and military actors still seek to oppose principled humanitarian action if it is deemed to hinder the pursuit of their objectives, and if they feel that they can benefit from a more politicized humanitarian response. “In sum, two fundamental paradoxes undermine the principle of state responsibility for IDP protection. First, state authorities are often themselves behind the displacement in the first place. Second, the crisis that caused the displacement may have disabled the state to point that it is unable to provide any effective protection for the displaced and other vulnerable civilians. According to the concept of ‘sovereignty as responsibility’, when national authorities are unable or unwilling to protect their citizens, ‘the responsibility shifts to the international community to use diplomatic, humanitarian and other methods to help protect the human rights and well-being of civilian populations’” (UN General Assembly 2005 as cited in Cohen, 2006).

As the system fast evolved over time, Villaveces explored the use of new technologies in information management for disaster response community. While its use was thus far quite limited, it has been increasingly put forward as a strategic element of humanitarian response, assisting the coordination on the ground. Rasmussen (2006) highlighted that the availability of reliable information on IDP populations is crucial for improving the protection of IDPs. Humanitarian Policy Group (2016) recommended the following changes necessary for humanitarian system to be more effective: With the

world fast changing, the system needs to adapt to the new realities, such as new types of donors and different approaches to humanitarian aid. Redefining success- rather than each actor being competitive for financial resources to be received, there shall be more synergies between actors, which would ideally become more specialized. Constant run after calling for proposals and funding opportunities leads to diversion from the purpose of quality interventions. Remaking humanitarian action- with multiple actors on the ground in the humanitarian world, it is essential to adapt the aspirations, complementarity of objectives, and variety of approaches (Zyck & Krebs, 2015).

Furthermore, better link between humanitarian and development activities shall be assured. According to Buchanan- Smith and Fabbri (2005), “better 'development' can reduce the need for emergency relief; better 'relief' can contribute to development; and better 'rehabilitation' can ease the transition between the two”. As a result, there is still a lot of room for improvement in bringing humanitarian and development sectors together to yield for better synergies.

Impact of the protection activities

Humanitarian policy group (2016) highlights that “effectively addressing people’s needs- not ideology- should dictate operational approaches and tools” (p. 6). People central approach should be at the heart of all protection interventions. According to Kemp, (2016) “the factors affecting people’s safety are so many and so varied, effective

protection always involves working with others – state authorities, local civil society, national and international humanitarian organizations and affected communities working together”. For that to work, there needs to be effective coordination and communication between all those involved.

Coordination mechanisms and their effectiveness are a complex topic. Ferris (2014) argued that “even when cluster have been improving conditions for IDPs, renewed conflict can overturn these positive results. Changes in government and governmental policies can have more of an impact on IDPs than anything the international community does” (p.3). While there are still many things to improve, Ferris highlights that there has been significant progress in coordination of responses to IDPs displacement. A review done in 1992 found out that there are significant gaps in international law that focus on IDPs. As a result, the Guiding Principles on Internal Displacement were drafted and approved by the UN in 1998. This was a key milestone in protection of internally displaced, which has given them as well more visibility (Ferris, 2014). Though the Guiding Principles are not binding but have a significant impact as soft law.

UNHCR undertakes various forms of monitoring which is regularly shared with donors. Input monitoring looks at whether human, financial and material resources are mobilized and deployed as planned (e.g. monitoring of disbursements to implementing partners). Output monitoring determines whether products or services are being delivered as planned by UNHCR and its implementing partners (e.g. the building of schools).

Monitoring outputs is referred to in UNHCR as "performance" monitoring, which it differentiates from "impact" monitoring. Impact monitoring relates to a program's objectives and establishes whether the intended outcome of a program is actually achieved (UNHCR, 2014). Reports on indicators are compiled at field level on a monthly basis and shared with donors biannually or according to agreed timeline in specific project. UNHCR has a number of increasing projects, mainly coming from various governments, with restrictions under which conditions resources can be used. Pool funds are being used mainly for IDPs setting, where coordination with other agencies is even stronger.

Volker Turk for UNHCR stated (UNHCR, 2017), humanitarian agencies "need to address mixed movements from a holistic solutions perspective. This requires that we focus not only on our response to these movements, but also on the drivers behind them. Demographic changes, population growth, climate change and environmental degradation, labor market changes, and advances in communications all contribute to population movements. When linked to conflict, violence, and poor governance, they can contribute to flight and forced displacement. A holistic perspective also requires that we focus on solutions that can benefit refugees, migrants, and host communities and stabilize their situations".

Slim and Bonwick (2005) identified eight good practices for protection programs to have a positive impact. Firstly, to focus on safety, dignity and integrity. Secondly,

remember the protection equation at all times: $\text{risk} = \text{threat} + \text{vulnerability} \times \text{time}$.

Thirdly, think about law, violation, rights and responsibilities. Fourth, ensure respect.

Next, build on people's own self-protection capacity; work with clear protection

outcomes and indicators. It is essential to prioritize interagency complementarity and

prevent counter-protective programming or behavior. Finally, be courageous but realistic

about each agency's limits. Joint vulnerability and risk analysis is a key element to

improve the system (Carpenter and Benet, 2015). The protection analysis consists mainly

in understanding what, is provoking the crisis dynamics; what triggers the threats; who is

vulnerable vis a vis those threats and why and finally what are the coping mechanisms of

the population at risk to cope with such threat. The analysis shall be nuanced to capture

specific needs of girls, boys, men and women, and persons with specific needs such as

persons with disabilities, LGBTI persons, older persons, and ethnic minorities. (IASC,

2016). In the last decade, there is more focus on persons with specific needs and

community-based mechanisms (Ferris, 2014, p. 39).

Protection mainstreaming is crucial in humanitarian interventions. As Kemp suggested (2016, p. 12), "humanitarian organizations in all sectors may also increase the impact of their programmers on people's safety, for instance by: providing support to PIs". This can be done practically for example by taking into consideration specific needs of persons with disabilities when building latrines in a camp or when planning the distribution of food rations.

The increasing role of business cannot be neglected either as it has important influence on humanitarian sector. Private companies, who were in the past viewed primarily as donors of in kind donations, such as medication, cloth, are positioning themselves more and more as donors of funds (Overseas development institute, 2015). While cash assistance currently amounts to 6% of humanitarian funding, it is expected that the proportion will grow exponentially over coming years (2014). The governments are as well stronger in terms of decisions what type of assistance (and if at all) is going to be channeled for humanitarian response on their territory (Humanitarian Policy Group, 2016, p. 38).

In the evidence brief on impact of PIs on protection related topic, issued by Williamson et al. (2017), there are a number of studies identified factors that had a positive influence on rates of reunification: effective coordination between UN, non-governmental organizations (NGOs), civil society organizations and governments; engaging with communities in the identification, tracing and reunification process; capacity-building being integral to programming and systems building; effective information management; adequate sustained program funding. Oxford Policy Management (2016) estimated that in 2014, \$24.5 billion were invested in humanitarian assistance. However, it is very difficult to separate the sectors, therefore it is not possible to know specifically how much was allocated for the protection sector.

The clarity about protection interventions is related also with the funds received. As highlighted by Humanitarian Policy Group (2016), “it needs greater honesty about the way the humanitarian sector frames its intentions and articulates its ethics and greater transparency about the way it conducts its operations”. Rather than improving efficiency and performance, competition between NGOs and agencies’ tacit preoccupation with organizational survival, can lead to self- interested action (Cooley and Ron, 2002). Cunningham (2012) highlights that the lack efficacy is evident through examples drawn from key elements of the humanitarian aid regime including the relationship between political power and aid decisions, the principles of particular interests, and norms of the humanitarian aid regime.

This study aimed at looking into the external factors that influence positive impact of PIs in humanitarian response. In the next chapter, the dissertation outlined more details on how the study was planned, selection of method, data collection, participants and tools.

Summary

The literature review was done in three blocks: firstly, what are the key PIs, its typology and basic activities; followed by review of external factors that influence PIs; and concluded by the impact of PIs in humanitarian settings. A comprehensive literature review was undertaken, including historical background of the problem and definition

clarification. This review identified that empirical research remains quite rare on this topic.

The literature on humanitarian aid and specifically, the element of protection, suggested a lack of understanding of key elements that support successful PIs. This study aimed at deepening the understanding of potential factors that may influence the effectiveness of PIs in humanitarian response worldwide, taking an example of- Niger as a case study. This research is significant in that it helps to fill the gap in the literature's examination of the factors that influence protection activities in humanitarian settings, focusing specifically on external elements, such as culture of displaced persons, willingness of hosting government to collaborate, or inclusiveness of humanitarian response.

In the third chapter, the research method, design, and rationale are outlined, along with examination of the issues of trustworthiness.

Chapter 3: Research Method

In the two previous chapters, the protection activities in humanitarian settings were defined and explained, along with various factors that influence their effectiveness. However, what is yet to be defined are the external factors that affect the positive impact of protection activities. In this chapter, the qualitative methodology is outlined, to gather the necessary information for understanding external factors that positively impact protection activities.

A qualitative case study was used to examine humanitarian assistance in the Niger protection sector. The data were collected through an online survey, key informants' interviews, as well as through focus group discussion with affected persons. Analysis yielded conclusions about external factors that influenced PIs in humanitarian settings.

Research Design and Rationale

The main research question was: What are the key external factors influencing protection intervention in humanitarian aid settings?

To help answer this principal question, the following subquestions were posed:

- What actions are needed to ensure more effective and consistent achievement of protection outcomes in the humanitarian system?
- In what way, do participation and representation influence protection intervention in humanitarian aid settings?

- What external factors have positive impact on protection interventions in humanitarian aid to be more useful for the affected population?

Qualitative research, the approach taken for this study, is appropriate when studying social or human problem, such as humanitarian protection. In a qualitative study, usually the phenomena studied is complex, and linked to social issues and trends. As Creswell highlighted (2009, p. 18), qualitative study creates an agenda for change or reform through interpretations of the data.

The method chosen to study the factors that influence positive impact of protection activities in humanitarian settings was a collective case study. The rationale behind the choice was that the sampling method is an approach in which several cases are selected to study because of a desire to understand the phenomenon in a broader context. “They are chosen because it is believed that understanding them will lead to better understanding, and perhaps better theorizing, about a still larger collection of cases” (Mertens, 2010, p. 324). In the study, the data analysis was inductively built from particulars to general themes and then followed by interpretations of the data. Niger, a country that receives displaced persons -, was chosen as case study.

Role of the Researcher

Given that the author is herself a humanitarian worker in the protection sector, the need to go deeper into understanding the PIs, so as to see positive impact in the field, has

been a motivator of this research. Because all interviews were done by the researcher, it was assumed that this reality does not affect the respondents in their answers to the questionnaire and interviews. It was assumed that participants at the study would answer without any distortion of the reality, in open and honest way.

The fact that the interviewer is from the humanitarian world, should not have affected the respondents in their replies as the role was clearly explained at the beginning of the interview. The study was done in my work environment as a humanitarian worker in the field. Therefore, a clear communication strategy with the respondents to the study was essential. The purpose of the study, as well as my role were clearly outlined, in addition the possibility not to participate by the key informant. Transparency was the key element in approaching possible respondents.

My hiring organization was aware of the research purpose and the supervisor confirmed that there is no conflict of interest to this initiative in regards to the organization's mandate and activities performed by myself.

Methodology

The methods used included focus group discussions, individual interviews with protection actors, and an online survey. A characteristic of all forms of qualitative research is that the researcher is the primary instrument for data collection and analysis. I was involved through direct field visits, which included direct interviews as well.

In the analysis, the results of the survey were reported for each question. The analysis outlined issues and diversity across the surveyed population. Data and figures that outlined trends within specific sub-groups of respondents were described where appropriate. Semistructured interviews and focus group discussions were held with persons in the examined operation.

Triangulation and cross-validation were done in a way that interview data were cross checked with on line survey results. The outcomes of the consultations and data collected were compared with the data received from the other data sources (online survey, interviews); from varied sources of information (typology of respondents—government and humanitarian works, for example); by geographical area of data collection (Niger).

Participant Selection Logic

Participants for key informant interviews were at least five persons in each operation, representing key protection actors, cluster members (amongst them, at least one from the Government counterparts, one from a local organization, one from UN agency and two international organizations). The participants to the interview had to be in the operation for at least 6 months, so as to be well acquainted with the context. An official communication was sent to the pre-selected participants to the study (it can be found in Appendix A).

As mentioned, the protection cluster members were interviewed. The informed consent was signed by interviewees and a debriefing was conducted. An interview protocol was used for the process and interview transcripts provided. The interviews were ongoing until saturation was reached, and no additional substantive information received.

Secondly, focus group discussions were undertaken with displaced persons. Each group was composed of maximum 7 persons so as to have meaningful exchanges in the group. Separate discussions were conducted with women and men, so as to keep the comfort zones given the cultural background in Niger. The participants at the focus group discussions were invited on random basis. To start with, two focus group discussions with affected population amongst displaced persons were to be conducted- one with men and one with women. Thereafter, consultations were extended, until saturation of information.

Thirdly, online survey was shared so as to triangulate the information received. The recipients of the survey were protection cluster coordinators, and humanitarian actors.

Instrumentation

The following instruments were used:

- Interview protocol was filled for key informant interviews.

- Focus group discussion protocol was followed while discussing with the affected population.
- Online survey was sent out.

Procedures for Recruitment, Participation, and Data Collection

Creswell identifies data collection as a series of interrelated activities gathering relevant information to answer the research questions (2007, p. 118). The research combines several types of data gathering, interviews, documents and audio-visual materials for example. The protection cluster coordinator was interviewed, along with key protection cluster members in operation. In qualitative research, the sample size can be dynamic- “a researcher makes a decision as to the adequacy on the basis of having identified the salient issues and finding that the themes and examples are repeating instead of extending” (Mertens, 2010, p. 332).

The following order was introduced:

1. Review of existing reports, analysis and evaluation of protection in humanitarian sector.
2. Interviews with protection cluster members.
3. Focus group discussions with IDPs.
4. Online survey.

The procedures outlined below were followed to identify the participants, collect and analyse data before proceeding to findings.

1. Contact via email, telephone the protection cluster coordinator and cluster members.
2. Share a letter through email outlining the overview of study to respective entities and representatives of displaced persons through a letter
3. Schedule meetings/ telephone interviews with participants
4. To start the interview, each participant received a one pager summary of the study proposal and sign the consent form.
5. Audio recording was transcribed and analyzed.
6. Conduct focus group discussions with IDPs.
7. Launch online survey.

A debriefing exercise will be done on the results of the study with the key informants. If needed, follow up interviews will be conducted.

Data Analysis Plan

A detailed journal was initiated so as to capture all elements of the topic research evolution; this was to ensure transparency of the process and tracking of progress. So as to ensure the evidence of quality, trustworthiness I clarified my bias from the outset of

the study so that the reader understands my position and any biases or assumptions that impact the inquiry.

The participants are a central pillar of qualitative research. “Interpretive or qualitative research must give voice to participants so that their voice is not silenced, disengaged, or marginalized” (Creswell, 2007, p. 228). I strived for this aspect during all interaction with research participants. Peer review or debriefing provided an external check of the research and was applied as useful technique for validity in qualitative study. Prolonged engagement in the field was conducted so as to assure there is enough and quality information collected. As Creswell (2007) highlighted, “prolonged engagement and persistent observation in the field include building trust with participants, learning the culture, and checking for misinformation that stems from distortions introduced by the researcher or informants” (p. 223). Given that I have spent two years in Niger context, the prolong period of stay was assured.

Data-source triangulation was implemented in order to arrive at evidence. “In triangulation, researchers make use of multiple and different sources, methods, investigators, and theories to provide corroborating evidence” (Creswell, 2007, p. 223). To the extent possible, data were validated through triangulation and cross-validation in a manner that allows, for example, interview data to be cross-checked against research/documentary evidence and vice versa.

In order to validate the data as evidence, a thematic analysis was employed, to identify themes and patterns in the data. This type of data analysis is appropriate for this type of study (see Braun & Clark, 2006). The idea was that by employing a thematic analysis, I was able to organize the data in a way that provides evidence for deep-level data analysis and interpretation. Given the professional experience, preliminary *a priori* themes/ codes were identified at the outset of the data analysis. As the coding of transcripts progressed, emergent themes became progressively evident.

- Lack of effective leadership & senior management support
- Poor coordination
- Inadequate funding
- Complex architecture of the humanitarian system
- Insecurity (violence/crime)
- Confusion or conflict over mandates and definitions
- Reluctance of staff to raise sensitive issues
- Limited access to certain areas/populations
- Tension between humanitarian and other (political, developmental, etc.)

Issues of Trustworthiness

Credibility

Credibility being one of the validity criteria, it was assured through accurate interpretation of information shared by participants. Integrity was followed mainly by the fact that I was self-critical in the research and interpretation of data.

It was essential that I am aware of my bias and that they were clearly described in the dissertation. Brewer and Brewer (2011) stressed that if not properly taken care of, the research bias “can compromise the research design” (p. 349). Each researcher should build personal integrity and strong commitment to bringing positive social impact through the research, free from any bias. The informed consent of participants was secured for the information by informing the community of my visit and its purpose.

During the data collection exercise, I was aware that I working with persons from different culture and background, which is fascinating but that I might have been missing as well some elements. As scholars, we should look at the research and philosophy of science through a holistic point of view, looking at various theories, interlinked findings and different realities. The scientific research must not reflect or include any evaluation of the group that it studies (American Psychological Association, 2010, p. 70). A professional researcher needs to avoid personal opinion expressed in a study, as well as assumptions based on personal beliefs. The selection of respondents to the interviews was purposive but cannot represent the composition of the humanitarian system as a whole.

Therefore, responses may represent more certain institution types than others (such as international nongovernmental organization vs. local).

Transferability

As highlighted by OXFAM (2016), while two situations and operations are never the same, there can be general commonalities and lessons learnt applicable in all emergency context. Every emergency is, of course, different, as is every humanitarian organization. There is no single, undifferentiated “humanitarian context.” However, Knox Clarke (2013) proposed that “most emergencies are marked by a series of conditions which, in combination, differentiate them from most other environments and which influence the effectiveness of any given leadership approach” (p. 8). This is an important statement in line of the multiple factors that affect protection interventions in humanitarian settings.

Dependability

Peer review and debriefing provided an external check of the research and was applied as useful technique for validity in qualitative study. Prolonged engagement in the field was conducted so as to assure there is enough and quality information collected. As Creswell highlighted (2007), “prolonged engagement and persistent observation in the field include building trust with participants, learning the culture, and checking for misinformation that stems from distortions introduced by the researcher or informants”

(p. 223). The two consecutive years spent in Niger context ensuring a deep understanding of the context.

Triangulation was implemented in terms of getting multiple data sources, methods and theoretical schemes. “In triangulation, researchers make use of multiple and different sources, methods, investigators, and theories to provide corroborating evidence” (Creswell, 2007, p. 223). Ensuring validity was done by using rich description and prolonged engagement in the field, and triangulation of gathered information and data.

Qualitative data analysis involves three steps (Laureate Education, 2010) - preparing and organizing of data; identifying themes, coding and categories creation. Thirdly, qualitative data are presented in narrative form, tables, or visual diagrams. In terms of data collection, varied methods will be used- from in depth interviews to on line survey, document review. More concretely, protection cluster members were interviewed, as well as affected population (IDPs). The affected population needed to be included as well so as to triangulate the information and increase accountability mechanisms in the project.

As recommended by Patton’s (2002), triangulation of sources and triangulation of analysis in the study was done- more concretely through triangulation of sources by examining interviews, focus group discussions and theoretical background material. Triangulation lessened the possibility of bias or the unwarranted significance of extreme

positions or statements that are not representative of widely held views or patterns characterizing overall trends in relation to protection.

Confirmability

Amongst the three basic obligations of a researcher described by National Academy Press (2009), there is an obligation to themselves as researched to build personal integrity, as well as an obligation to act in ways that serve the public. I followed those obligations to be a good member of researchers' community.

Ethical Procedures

Ethical issue that might have arose is perceived coercion to participate due to an existing relationship between the participant and myself. Given the fact that I was at the same time working with UN refugee agency, it was possible that the interviewees may be aware of my identity. Transparent communication was assured to limit such risk.

Secondly, unwanted intrusion of privacy of others not involved in study (e.g. participant's family) might have occurred when doing interviews with IDPs. The only private place in the IDP sites is spontaneous shelter, which is shared by up to eight persons. Therefore, persons who are not interviewed, but members of the interviewed household, may still be present. It was assured that day time was chosen accordingly to assure absence of other persons during interview whenever possible. Ensuring validity

was done by using rich description and prolonged engagement in the field, and triangulation of gathered information and data.

Both ethical and substantive types of validation were addressed. The ethical validity was assured through providing practical answers to questions and raising new possibilities and opening new questions so as to stimulate further thinking in the topic area. “Substantive validation means understanding one's own understandings of the topic, understandings derived from other sources, and the documentation of this process in the written study. Self-reflection contributes to the validation of the work” (Creswell, 2007, p. 226). A detailed journal was kept by the researcher throughout the process, so as to enhance the transparency of the process.

There was no known harm associated with participating in this study. I read the agreement forms to each participant at the start of each interview to address questions or concerns. After obtaining permission to conduct interviews, I ensured that participants are informed of the voluntary nature of their participation.

Each member completed a consent form and confidentiality was protected. Files, audiotapes, and transcripts are stored in a locked cabinet in my home office. Only myself and those selected to assist in validating results have access to the transcripts. The information will be stored for one year after completion of the study. Identifying information was removed from transcripts prior to data validation. The Walden

University's IRB approval number for this study is 08-20-18-0474999 and expires on 19th August 2019.

Summary

In the third chapter, the study outlined the research method to be used; from the reach design and rationale, to the role of the researcher, as well as methodology and issues of trustworthiness. The study is qualitative, with case study methodology, focusing on Niger. The research methods include focus group discussions, and individual (personal and telephone) interviews with protection actors, and an online survey.

In the fourth chapter, data collection and data analysis are described, as well as evidence of trustworthiness and study results.

Chapter 4: Results

The purpose of this dissertation was to review established factors influencing PIs for IDPs. Applying the polarities of democracy model as a theoretical framework and theory of change as a conceptual framework, this research involved focus group discussions with IDPs in Niger, and key informant interviews with protection cluster members in Niger, as well as an online survey with professionals in the field. The aim of this research was to better understand the external factors that influence PIs and ultimately to improve planning of PIs in the humanitarian response.

The principal research question asked: What are the key external factors influencing PI in humanitarian aid settings? To help answer this main question, the following subquestions were posed:

- What actions are needed to ensure more effective and consistent achievement of protection outcomes in the humanitarian system?
- In what way do participation and representation influence protection intervention in humanitarian aid settings?
- What external factors have a positive impact in making protection interventions in humanitarian aid to be more useful for the affected population?

Chapter 4 includes a description of the process undertaken to generate and analyze the data, as well as the results of the data collection, including the outlining of the data collection procedures; then the data analysis.

Research Setting

As a result of a second humanitarian crisis in Niger in 2018, which led to internal displacement, it was important to perform focus group discussions, not only in the Diffa region in the East of Niger, but also in the new crisis zone evolving in the West at the border with Mali: the Tillaberi region. As a result, two focus group discussions were conducted in Diffa, and two others in Tillaberi. This process assured a higher degree of representation from the respondents in Niger across the internal displacement situations.

Demographics

The participants of the study were five persons—four men and one woman—individually interviewed. They included one government representative, two UN agency staff, a local NGO staff member, and an international NGO staff member. All participants were protection cluster members in Niger. To be a survey participant, the candidate had to be a coordinator; those who were invited to be interviewed had to be a protection cluster member in Niger; and those who were invited to the focus group had to be an internally displaced person in Niger.

Four focus group discussions were held with young men (18-25 years old) and men (over 25 years old) in Tillaberi region, and two focus group discussions with young women (18-25 years old) and women (over 25 years old) in Diffa region. Each of the focus group discussions comprised of five persons.

In total, five persons replied to the anonymous online survey. Three of the respondents were women, two men, and all of them worked for a UN agency. Two of them had over 10 years of experience in humanitarian settings, two respondents had 6–9 years, and one respondent had 3–5 years of work in the humanitarian sector.

Data Collection

Both interviews and focus group discussions were conducted in a place where privacy could be ensured. The focus group discussions were conducted on the displacement site, within a dedicated space. The interviews were conducted in the coordinator's office, which has available meeting rooms for humanitarian workers. It is a space that ensures privacy.

Strictly identifying myself as a PhD candidate, there were no challenges in gaining access to participants and relevant information. Participants were asked specific questions directly from an interview guide, which can be found in annex.

Focus Group Discussions

A meeting with the local traditional chief and the committee representatives of the displaced persons were held in advance, so as to explain to them clearly the purpose of the research and the focus group discussions, and to make them feel comfortable with the exercise. Given the cultural context, the local chief was informed about the exercise in the displacement site, but did not choose the participants, nor was he informed of the participants of the study who were coming for the focus group discussions. Participation was voluntary. A specific time was provided for people who were interested to come and present themselves. The role of the local chief was to facilitate entry into the community, not to select participants. The local chief is also the entry point to pass any message to the community in regards to planned events. This is the usual procedure in the Niger context for passing information to a community, and is well accepted and recognized by the population.

Four focus group discussions of seven participants were held - two in Tillaberi region and two in Diffa region. The data was collected in the same week. It is to be noted that the language of the questions was simplified and questions repeated, for good understanding of the participants.

All focus group discussions were recorded on a mobile phone, audio files downloaded and saved on an external disc which is password protected. The audio files were then transcribed into word documents. The word documents were saved in a similar manner - on an external disc, with password protection. To protect the data from any

possible damage caused by the external disc being dysfunctional due to unforeseen circumstances in the future, I also sent the files by email to myself, so as to be able to have access to them in the future if necessary.

Interviews

An email was shared with protection cluster members in Niger inviting them to participate in the study, along with a brief summary of its background and purpose. The volunteer members were accepted until saturation of information collected. Five individual interviews were conducted within a two-week period, all participants being members of the protection cluster. After contacting them via email, the protection cluster members were invited for the interviews by arranging a specific time. Prior to starting the interviews, each of the five participants reviewed and signed a consent form. They were also provided with an option not to answer any questions that caused discomfort. The participants were also informed that a copy of the final study would be shared with them. All the nine questions were asked in the same sequence, as per the interview protocol attached in annex. The participants of the study included one government representative, two UN agency staff, a local NGO staff member and an international NGO staff member. Four of them were men, one a woman, and all of them were protection cluster members in Niger.

The interviews were kept open and the participants could ask any question they wished at the end of the interview. The interviews were recorded on a mobile phone, audio files downloaded and saved on an external disc which is password protected. The audio files were transcribed within three subsequent weeks and stored similarly as described for the focus group discussions. The transcriptions of the interviews were shared individually with the participants to allow them the possibility to review it. The participants had six days to provide feedback - however no changes to the transcripts were suggested by the participants. The transcripts will be kept for five years, as will the audio files. There is nobody else but myself who has access to the external disc, which is password protected. Similarly to the focus group discussions transcripts, the transcript interviews, saved in a word documents, were also shared by the researcher to herself by email, to ensure that there is no risk of losing the documents if the external disc were damaged.

Online Survey

The coordinators were contacted via email to participate in an online survey. Each participant received a summary of the study proposal. By responding to the online survey, the participants gave their consent. They were not, though, obliged to response each question before proceeding to the next one - if they felt uncomfortable with any of the questions, they could skip it. The survey was comprised of 9 questions - in the same

order as for the interviews, to enhance consistency. The survey was launched and kept open for 6 weeks.

Table 1

Data Analysis—Participants' Demographics per Data Collection Methodology

Data collection methodology	Number of participants	Gender	Function/status	Location
Interview	1	Male	UN agency staff	
Interview	1	Male	Government staff	
Interview	1	Female	International NGO staff	
Interview	1	Male	Local NGO staff	
Interview	1	Male	UN agency staff	
Focus group discussion	7	Male	IDPs	Tillaberi
Focus group discussion	7	Male	IDPs	Tillaberi
Focus group discussion	7	Female	IDPs	Diffa
Focus group discussion	7	Female	IDPs	Diffa
Online survey	5	5 females, 2 males	UN staff members	

The personal information of all participants has been kept confidential. The names used in the responses are changed to numbers to further protect the identity of the participants in the study.

Data Analysis

The data was content analyzed in an inductive way. This approach meant organizing the data first, looking for patterns, themes, subthemes, and finally interpretations. The data was collected from an online survey, interviews, as well as focus discussions. The large amount of data collected was coded by hand in a systematic way reducing the data into smaller amounts of information. I have transcribed the audio files which were recorded, listened to the recording several times and ensured that the transcriptions are truthful to the audio recordings. This was very helpful in terms of data organization and searching for relevant themes. I have listed statements in the text that had specific relevancy to the phenomenon under scrutiny. The thematic process helped me with the rich text information collected through different data collection methods. I have proceeded with data analysis per research questions/ subquestions.

Thanks to the participants' responses analyzed through the thematic coding methods, the following eight themes emerged in the main research question: donors and their influence; quality of programs and holistic approach, external attention to the crisis; coordination; nature of the crisis; accountability of the programs; security; position of the government. Under those eight themes, there were twenty subthemes identified.

For the first research subquestion, focused on what actions are needed to ensure more effective and consistent achievement of protection outcomes in the humanitarian system, the emerging themes coming from collected data were the following: data-related and monitoring; capacity building; more strategic planning; accountability; coordination. Under the second research subquestion, focusing on how participation and representation influence PI in humanitarian aid settings, the emerging themes were the following: to provide feedback; appropriateness, longevity of the projects; population knows best their needs and vulnerable persons; it is the IDP's rights. The third research subquestion focused on what external factors have positive impact on PIs in humanitarian aid to be more useful for the affected population. Under this subquestion, the themes that were identified are the following: capacity building; coordination; collaboration with the government; accountability; information and its management; preparedness; prioritization of protection; strategic programs.

The responses received from different participants and different data collection methods revealed an overall coherence in the information shared and received, there were no discrepant responses. It was interesting to note that, for IDPs themselves, the priority themes are not always the same as for the humanitarian workers, despite the fact that the themes remain consistent. All responses are analyzed in detail in the results section of Chapter 4.

Evidence of Trustworthiness

Credibility

So as to assure trustworthiness in the research, there are several measures which have been undertaken. Credibility as one of the validity criteria was assured through accurate interpretation of participants' meaning. First, the participants were informed about the nature and aim of the study through a summary introduction. Before participating in the study, they signed a consent form (for the online study, it was specified that by responding to the online survey, the participant gives their consent). For individual interviews, the transcripts of the interviews were sent back to the five participants to review them and eventually highlight any discrepancy. The participants had six days to provide feedback - no requirement for adjustments or changes was received.

I was aware of my bias and they were clearly described in the dissertation. My role as the protection cluster coordinator was to provide technical support to cluster members with protection-related questions, assist in drafting relevant tools, and to lead elaboration of sector strategy. In regards to protection cluster members, they were aware of my role as protection cluster coordinator. A sentence was added to indicate that this study is separate from my role as protection cluster coordinator. As the protection cluster coordinator, I was not providing any assistance or services, only coordinating the strategy

and advocacy efforts. I could not be known to the IDPs as I did not have activities directly with them in the framework of my work.

Transferability

In order to assure that the research findings can be generalized, different data collection methods were employed - going from local (focus group discussions with IDPs) to more general discussions with persons who may have varied backgrounds and expertise (individual interviews conducted until saturation) and finally anonymous online survey, consulting persons from different contexts, but working in the protection sector.

Given that a second humanitarian crisis with internal displacement evolved in Niger in 2018, it was important to do the focus group discussions not only in Diffa region in the East, but also in the new crisis evolving in the West at the border with Mali, in the Tillaberi region. As a result, two focus group discussions were conducted in Diffa region and two in Tillaberi region. This assured the representativeness of the responses in Niger.

Dependability

A detailed description of the data collection process, with the tools being in annex, including a reflection on the role of the researcher has been included in the research. In-depth information about the methods and processes that were employed in the study were also provided. In addition, a standard interview protocol has been used, so as to maintain dependability of the study.

Triangulation of information issued from data collected from the three different methods- focus group discussions, individual interviews, and online survey was done- and interestingly, the results collected through those three different methods correlate.

Table 2

Data Source — Data- Point Triangulation

Data collection method	Individual interviews	Focus group discussions	Online survey
Number of exercises	5	4	5
Number of participants	5	28	5

Debriefing has been done as well to ensure independence of the analysis. My prolonged stay in IDPs' settings also helped to understand the dynamics and the complexities of the context and relevant response programs.

Confirmability

I have put in place several checks so as to ensure that the findings of the study are based on data, not my personal associations. I have recognized my personal role in the field work, which gives me an understanding of the protection humanitarian field, however does not interfere in the interpretations of the data which were collected. I made a conscious choice to quote participants at the data collection, without providing any

modifications. The transcripts were shared with interviewed persons so as to assure accuracy in the transcription and trustiness of the audio files. The peer debriefing ensured as well that there are no personal biases that enter to the study.

Study Results

The results of the study presented in this section are based on the analysis of the data collected through five individual interviews, four focus group discussions and five responses to the online survey. The aim of the data analysis was to come up with common themes, sub-themes, patterns and interpret the meanings. The most recurrent themes informed the analysis based on the frequency mentioned across the data collected.

Central Research Question

The central research question of this dissertation was: What are the key external factors influencing PI in humanitarian aid settings? To help answer this principal question, the following subquestions were proposed:

- What actions are needed to ensure more effective and consistent achievement of protection outcomes in the humanitarian system?
- In what way do participation and representation influence protection intervention in humanitarian aid settings?

- What external factors have a positive impact in making protection interventions in making humanitarian aid more useful for the affected population?

To answer the main research question, supported by the sub questions, the data analysis is being presented per research question.

Main research question

The main research question was very rich and the below eight themes emerged under the main research question: donors and their influence; quality of programs - holistic approach, external attention to the crisis; coordination; nature of the crisis; accountability of the programs; security; position of the government. Under those eight themes, there were twenty sub-themes identified.

Table 3

Data Analysis—Emerging Themes from Participant Responses- Main Research Question

Themes	Donors		Quality of programs- holistic approach			External attention to the crisis		Coordination			Nature of the crisis			Position of government + their involvement	Security	Accountability of the programs				
	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	R	S	T	U
Interview 1	X	X	X	X																
Interview 2	X	X												X	X	X				
Interview 3	X			X	X			X		X	X	X			X				X	X
Interview 4		X		X	X					X				X	X	X	X			
Interview 5	X	X	X											X	X	X				
Focus group discussion 1		X			X							X		X			X	X		X
Focus group discussion 2		X		X	X			X									X	X	X	X

Focus group discussion 3	X											X						X		
Focus group discussion 4	X				X									X				X	X	X
Online survey 1	X	X		X	X	X	X	X	X			X	X	X				X		
Online survey 2		X		X	X		X	X	X			X	X					X		
Online survey 3	X	X							X	X	X									
Online survey 4						X		X	X	X		X		X						
Online survey 5	X	X				X	X	X	X			X						X		
Total Frequency	7	12	2	6	7	3	3	6	3	6	2	6	2	2	8	4	4	6	5	5

- A= Donors' attitude
- B= More funds for protection
- C= Protection mainstreaming, centrality of protection
- D= Transfer of competencies, capacity building
- E= Lack of information/ data/ IM
- F= Media
- G= High level attention- ex. SR IDP visit
- H= Preparedness
- I= Lack of leadership
- J= Coordination mechanisms
- K= Competitiveness of actors
- L= Number of actors
- M= Nexus humanitarian- development
- N= Urgency of the crisis
- O= Position of government+ their involvement
- P= Access
- R= Security
- S= Accountability
- T= Inclusion of local leaders
- U= Trust of the population

Position of the government, approach and prioritization of donors towards protection; and information management/ protection monitoring were the three most recurrent themes throughout the data collected. In the context of internal displacement,

the persons who had to flee their homes, are still on the territory of their country and the legal framework of the given country still applies to them. As a result, the first actor of their protection is the state itself and the humanitarian agencies can only support.

Therefore, the position of the government towards the protection topics is the most crucial one - if the government is proactively seeking to address the protection problems, this facilitates significantly the protection outcomes. In cases where the government is willing to address the protection challenges (sometimes perceived as sensitive) but does not have the capacity to do so - then the support of humanitarian protection agencies is crucial. In cases where the government is a party to the conflict or unwilling to raise protection challenges and human rights issues, the positive protection outcomes are heavily impacted and protection activities are shrunk. Therefore, this factor is the most important and varies according to the context.

For me, the first actor must be the local authorities, as it is their main role to be there and also for local development community and community relays who are in the same area as beneficiaries, before we think about UN agencies- it can be a mayor, a prefect, a chief of an area as they have some power. For me those actors are the best placed to reduce incidents of protection because they can also address them and they can talk with people, military; those are the best people to address protection incidents. (Interview 5)

Inclusion of government counterparts into protection activities (the type of approach depending on the context) and a close dialogue on protection between humanitarian actors and authorities are essential elements for achieving positive protection outcomes in emergency settings. In addition, having an exit strategy of the protection cluster/ protection working group in terms of coordination structures, should be in place from the day one of emergency systems activation.

The position of the donors is very important as well, as the collected data through all three data collection methods showed. This is at two different levels - firstly, how much money is allocated to the protection sector out of the humanitarian funds. As noted in chapter two, the protection sector is usually the least funded, because it is perceived sometimes as unclear, “soft,” not tangible enough.

The biggest challenge is to find funds because there are enough activities and plans, but there are no funds to do them. After that there is a response capacity of the state, the government - they must have good resources - material, human. Even humanitarian actors must have capacity to do something for their community. (Interview 4)

And the second one is about financial resources - if you have a look at FTS, you won't be surprised that protection sector is not getting enough money. People don't realize that this is a key to respond better. Even local authorities - when

there is a crisis, they just think about food but thinking about what we can do for the people to be better the lack of financial resources can be a big problem compared to food security or other sectors. (Interview 5)

Therefore, if the allocated funds cannot even provide assistance to the prioritized protection activities in a given operation, it will directly impact negatively the protection outcomes. Allocating funds to protection sector is critical in humanitarian context, preferably through multiyear approach, so as to have sufficient time to build the resilience of the displaced population and strengthen their capacities to face the protection challenges in displacement.

The second level is the attitude of the donors towards the protection sector. How much do they prioritize it or not, how do they perceive it as a critical and central element of the response to a humanitarian crisis, and if/ how they are willing to support advocacy messages on protection. Given that they donors have a lot of power to shape humanitarian response -by the funds that they prioritize or by their attitude - they are an element that affects protection outcomes.

This can be influenced by the position of donors. If donors are pushing protection as key, this can be concretely seen when we have some funding to be able to implement what we planned to do when we are pushed by the donors - this is an external factor. (Interview 5)

The donors ask to take part in coordination efforts that are no longer about whose flag is where but what is being done for the community. If actors are aware of this, automatically they will participate more and improve their programs because they are basically forced to do so because the donors require it - then it's not an option. From different meetings I have seen, this may be a hard way to put it but very effective way to assure active participation and hold them accountable.

(Interview 3)

My recommendation is to have the donor that can understand that protection is not like the other sectors. We must have enough funds that are flexible to be used every time that there is a crisis. (Interview 1)

The understanding of protection by donors is therefore directly relevant to the funding level of protection interventions. In addition, donors have also an advocacy power that should be more used by protection sector.

Thirdly, information management, information sharing and protection monitoring were identified as key in determining whether the protection activities have a positive outcome. This is an element which has been underlined in various reviews and strengthening information management was also one of the key recommendations of the World Humanitarian Summit held in 2015. Each protection cluster should have information management capacity in its team; however, this standard has not yet been

reached. A consortium of NGOs under the leadership of the Danish Refugee Council and UNHCR developed a specific learning program to bring protection and information management closer together. This was called Protection Information Management (PIM). Protection needs to be based on data evidence, solid analysis - and to be presented in a user-friendly, understandable way, not just accessible to experts. Therefore, the role of protection information management is often an element in whether or not the PIs are perceived as successful.

I identified two strongly linked elements that relate to the last point on lack of information: Amongst protection monitoring systems that are put in place, those that are very effective require a better understanding of what is really happening in order to make sense of what is actually happening. Holding onto prior assumptions could lead to wrong/misguided programming - protection monitoring is the first monitoring tool which I find very effective. (Interview 3)

Protection monitoring has been increasingly used in the field operations for bringing evidence base analysis and offer deeper understanding of the context and dynamics on the ground; thereafter better guide the humanitarians during all phases of displacement cycle.

The subtheme of information management and access to information is under the theme of quality of programs and holistic approach to protection programming. This

theme comprises in total of three subthemes, being protection mainstreaming and centrality of protection; as well as transfer of capacities and capacity building. Since 2013, when the first guidance was released and the IASC statement on Centrality of Protection published, Protection mainstreaming has gradually gained its place within sectors other than Protection. What is crucial and was underlined in the responses is to assure that the protection mainstreaming and centrality of protection does not remain only on paper and in policies, strategic documents, but also it is translated in practical and concrete ways to the humanitarian programs.

First of all, appropriation at all levels. Not only in Niamey, not only in the text because we have good texts and good documents, but in a concrete way. How can we really integrate basic concept in whole humanitarian sector with state services, this is also to take into account and this appropriation unfortunately will take more time but as humanitarian organization we have this accountability for example for capacity building so that when they are trained, they are not only coming to get money, but they are there to take experience. (Interview 5)

Empowering the displaced persons themselves is key and should be an integral part of the humanitarian program's objectives. If the ownership is acquired by the affected population, the sustainability, as well as impact of the protection interventions increase.

In regards to transfer of competencies, this is an ongoing effort throughout the cycle of the crisis. As per the recommendations of the World Humanitarian Summit, the efforts are made to progress on localization of humanitarian response- empowering local actors, rather than substituting them with international organizations.

It does not matter if local authorities, religious leader, local association, youth association or international NGO, or radio- as long as the actor, the agency has the recognition, knows the community and are while being aware of protection, are trained and equipped to handle cases, follow them and if needed they get in touch with other agencies as well. (Interview 5)

However, it is a progressive effort, which needs to be built over years. Transfer of competencies towards government representatives is key, as well as towards the IDPs themselves.

The following identified subtheme was related to accountability, showing the relevancy of the second research sub question, which focuses specifically on this.

Not enough. It can be better. I am not even very sure that the sometimes communities know that they demand to change things in the programs if they want to, they are not enough integrated into programs. This is the case in Niger, it can be very much improved and it can be done better- it is done, but only to

limited extend. There need to be more feedback loops, more accountability. The population needs to be more taken into account. (Interview 2)

Accountability is at the centre of the protection principles themselves. Without listening carefully to the affected population, there can be no good protection program set up and functioning for the benefit of the displaced population.

Greater involvement of displaced persons themselves in protection programs and in decisions around programs and prioritization, as well as targeting of assistance was stressed many times by the consulted IDPs. Inclusion of local leaders, representatives, and protection committees was a critical point, but is often taken only as a checking a box rather than looking in more depth at how to work with structures that are already in place.

We talk a lot about accountability but the relevant assistance and the quality of the assistance- not only to assist people, but we must think about the quality, is it relevant or are we just coming with water or shelter and we push areas and we say that we were there and did our jobs. We must keep in mind that accountability must be a central point. (Interview 5)

Security heavily impacts access of humanitarian actors to the affected population and their modus operandi. While remote management and other methods can assist with delivering protection programs from a distance, this is far from ideal and directly affects

the outcomes. One participant also mentioned protection by presence as an important protection tool:

And lastly, it is about permanent presence, not just coming for a moment and to withdraw but to be there with the population, this is also a way for us to facilitate positive protection outcomes. (Interview 1)

Security and access conditions affects the way the protection interventions are designed and implemented, as well as monitored in given context. Consistency in engagement with the affected community is essential for success of protection interventions.

Coordination emerged as an umbrella theme, covering various aspects. Whether the protection cluster is really effective and functioning, has a great impact on protection outcomes, as highlighted by most respondents (especially through the online survey method).

I think that more effective participation from all humanitarian actors within the current mechanisms and therefore to improve the current mechanisms is the first step. (Interview 2)

A lack of strong and principled leadership can affect the whole humanitarian country team and interventions in any given operation. If the actors are in competition with each other, this has a negative impact on the protection conditions of affected IDPs.

The number of actors also has a profound effect; as stated, when there is only one, there will be many gaps, whilst when there are multiple, good coordination mechanisms are needed. Aspects of preparedness and early warning mechanisms were highlighted as well a key influence on positive protection outcomes: The better prepared the population and humanitarian actors are for a crisis or a disaster, the smoother the response which is put in place thereafter.

The urgency of the crisis also affects the protection outcomes- in large scale disasters such as earthquakes, floods, tsunamis, there is usually less attention to protection-related questions and the consequences are felt strongly by the protection sector. External attention influences the profile of the crisis and therefore media can play a role in pressuring the donors or governments for a certain type of response. High-level missions, such as a visit by the Special Rapporteur for the IDPs, mandated by the Human Rights Council, can positively boost protection outcomes in a given operation. Similarly, attention from the Security Council can boost attention to protection issues in certain context.

Special Rapporteur on the human rights of IDPs mandate with the example of the working visit conducted in DRC at the request of national protection cluster in May 2016. According to IDPs of the Province of North Kivu and Ituri who met the former special rapporteur, such high level intervention contributes to stop

violations of their rights by national authorities who fear international community pressure. (Interview 5)

Attention from media, as well as human rights mechanisms for example, influence the “attractiveness of a crisis”, having an impact on funding and quality of monitoring as well.

First Research Subquestion

For the first subquestion, focused on what actions are needed to ensure more effective and consistent achievement of protection outcomes in the humanitarian system, the emerging themes coming from collected data were the following: data related and monitoring; capacity building; more strategic planning; accountability; coordination.

Across the data collected related to the first subquestion research question the accountability theme was ranking very high. The critical elements were more information being shared with the affected information and providing feedback loops to the population.

In theories (policies and strategies) yes but in practice few projects are really accountable to affected populations. (Interview 2)

There are enough strategies, policies, formulated recommendations and action plans that are already developed in all operations- however the challenge is their practical implementation and following on the agreed actions.

More strategic planning emerged as an important theme, grouping a demand for more strategic interventions with a focus on sustainability and self-resilience, linked to the multiyear funding. The humanitarian program cycle processes such as the Humanitarian Needs Overview and the Humanitarian Program Cycle were evaluated as useful, but needed to be even more strategic to have greater impact. Complementing “soft” components of protection with material and cash assistance was also shared as a recommendation.

Capacity building was raised at two levels; first ensuring that humanitarian workers have relevant expertise when implementing protection programs, but also supporting the affected population by increasing their resilience and coping mechanisms, and building on them throughout the humanitarian response.

The deployment of specialists in protection and coordination in humanitarian action is important for me. The deployment of those specialists contributes significantly and positive with impact on the interventions. The capacity building, the field support and the specialists and other person that come from country that have other experience that those persons can share with us and the mechanism of coordination on protection has significantly contributed to have a positive impact on PI in Niger. (Interview 1)

A woman that we get married to is not only to feed her, but also to listen to her.

(FGD 1)

Strengthening and supporting the capacities of affected persons, mainly those that are marginalized in given situations or context or due to their vulnerability status, is key for quality protection programs.

Better coordination, through clusters and across sectors also came up. Linking it to the data-related elements and data analysis, protection monitoring, evaluations, assessment - overall a necessity for humanitarian PIs to be evidence-based, transparent, clear and regular in terms of information sharing inwards and outwards towards the IDPs.

Table 4

Data Analysis—Emerging Themes from Participant Responses- First Research Subquestion

	Data related and monitoring			Capacity building	Accountability		Strategic planning			Coordination	
	A	B	C	D	E	F	G	H	I	J	K
Interview 1	X	X	X	X			X			X	
Interview 2	X		X		X						
Interview 3			X			X					
Interview 4		X					X				
Interview 5	X	X	X				X	X			
Focus group discussion 1					X	X					
Focus group discussion 2				X	X	X				X	

Focus group discussion 3					X	X			X		
Focus group discussion 4					X	X			X		
Online survey 1	X	X		X		X	X		X	X	X
Online survey 2				X		X			X		X
Online survey 3				X		X					X
Online survey 4						X					X
Online survey 5						X					X
Total frequency	4	4	4	5	5	10	4	1	6	1	5

A= Protection evaluations

B= Protection assessment

C= Data analysis, protection monitoring

D= Capacity building

E= More information sharing with affected population

F= Accountability, feedback loops

G= HNO, HRP- strategic planning

H= Combination of soft and hard components

I= More strategic interventions

J= Multiyear funding

K= Better coordination

Second Research Subquestion

Under the second subquestion, focusing on how participation and representation influence PI in humanitarian aid settings, the emerging themes were the following: to provide feedback; appropriation; longevity of the projects; population knows best their needs and vulnerable persons; it is the IDP's rights.

There are places where every time the humanitarians come, they take the lists, but the people have not received anything. Every time they come for the lists, but do not provide anything then. (FGD 2).

Meaning participation came out through most responses of the consulted participants as the key element for achieving positive protection outcomes. While

substantive efforts were made to include participation into strategic documents and priorities, its effective implementation on the ground yet has room for improvement.

Overall, the aspects related to accountability were highlighted as critical by all participants – especially the fact that the persons who are internally displaced, affected by the crisis, know best what their needs are and who are the persons most vulnerable in the community. Therefore, they need to be included more thoroughly and proactively, be consulted on a more regular basis - and go beyond consultation, ensuring that they are key actors in the humanitarian response. The provision of feedback on the humanitarian protection programs should be more systematic, in-depth and automatic throughout the program cycle. Meaningful participation of the affected population has been highlighted as a key aspect on whether a project will have positive protection outcomes. Appropriateness of the activities link with longevity of the projects and their sustainability in long run. Building trust with the affected population through a sincere and regular dialogue should be a central element. Often however, it is forgotten.

Those- whether agency or actor- those that have not only access to the most remote places and all the remote areas, but also have recognition and trust of the population. It does not matter if it is external, international, local or any other type of organisation- as long as they know the communities, have recognition of the communities, their trust and they have access to them. This is usually done through time and through building trust. (Interview 3).

The consulted IDPs also reminded that it is their right to be informed of the activities planned for them, the assistance they would be receiving and under which modalities, and to have the chance to provide feedback on protection programs.

I see a gap between the principle of participation as central to PIs and the implementation of this in practice. I believe that training humanitarian staff, ensuring that they have the tools to systematically collect and reflect the views, needs, priorities and capacities of affected populations throughout the programme cycle is key to bridging this gap. Senior management should recognise that meaningful participation takes time and requires a specific skill set (with respect for process and not just results) and should be encouraged as a key priority for promoting positive protection outcomes. (Interview 3)

Table 5

Data Analysis—Emerging Themes from Participant Responses- Second Research Subquestion

Categories	It is their rights	Provide feedback	Appropriation	Longevity of the projects	Population knows best their needs and vulnerable persons	Building trust
Interview 1	X	X				
Interview 2		X				X
Interview 3		X	X	X		
Interview 4					X	

Interview 5							
Focus group discussion 1	X	X				X	
Focus group discussion 2		X	X				
Focus group discussion 3	X		X			X	
Focus group discussion 4		X	X	X		X	
Online survey 1			X	X			
Online survey 2			X				
Online survey 3						X	
Online survey 4							X
Online survey 5				X		X	
Total frequency	3	6	6	4		6	2

Third Research Subquestion

The third research subquestion focused on what external factors have a positive impact in making PIs in humanitarian aid to be more useful for the affected population.

Under this subquestion, the themes that were identified are the following: Capacity

building; coordination; collaboration with the government; accountability information and its management; preparedness; prioritization of protection; strategic programs.

Those eight themes have also fourteen sub-themes identified below them, as shown in the table 6. The themes correlate with those identified in the main research questions and support the findings described above. Notably, accountability came as the most important theme in terms of influence on whether the protection activities have a positive impact on affected population.

First, the population affected by crisis has the right to complaint and to have a feedback on their complaint. The second one, the population is consulted in all of our activities of protection. They have a possibility to say what they want and to critique our activities. We invite them to our workshop on lessons learnt and that is an opportunity for the population to make suggestions and recommendations.

(Interview 1)

Ensuring that local leaders/ and or protection committees (depending on the context) are involved in decision making and are consulted on the planned programs and prioritization of activities, has been identified as crucial. It was also suggested by a participant that they should ensure there are “safe spaces” in the community, in a broader sense- can be virtual- but that assures that the community can freely express themselves vis a vis the implemented humanitarian programs and share information effectively.

Transfer of capacities and capacity building both emerged strongly from the responses. So as to ensure sustainability of the programs, better preparedness for possible future disasters, and ownership of the projects, local capacities need to be boosted and strengthened. Nevertheless, mere trainings alone are not sufficient - the methods should be diversified depending on the needs, through coaching, mentoring or other methods as relevant.

Coordination has been a recurrent theme as well across the data analyzed. Despite the fact that clear coordination mechanisms are set and in place, their effective implementation and buy in from all actors still require more efforts, with donors the critical driving force that can contribute positively to strengthen the system.

The theme related to information and its management is the backbone of good programming. If organizations do not know what is needed, who needs it, and how to distribute without causing harm, the programs become just a “ticking boxes” exercise for donors. Solid protection assessment and analysis, for example through effective protection monitoring, is key in obtaining positive protection outcomes of humanitarian programs.

Involving government at all stages of protection programming is vital. The government as the first responder for IDP crisis is responsible for providing protection as well. In case it is unable, or unwilling, to do so- humanitarians need to step in with clear

strategy and determined activities. In case the capacity of the government is not yet ready to respond, but it does have a positive approach in tackling the protection issues, the capacity of government focal points should be enhanced from the onset of the response - similarly, if the protection cluster has been activated, it needs to have a transition strategy defined with the government counterpart from the moment the protection cluster is activated.

The prioritization of protection, supported by a principled leadership at humanitarian country team level, as well as at agency-level, contributes to positive protection outcomes. Follow up on implementation of protection mainstreaming actions and check lists throughout the cycle of the response is critical.

Stronger leadership and, coupled with that, genuine coordination ensuring practical directions from the HCT. Simultaneously, greater engagement with affected populations to include them in the decision-making process from the outset. (Interview 3)

The displaced persons have rights and are rights holders, as well as duty bearers. The rights based approach is looking at humanitarian assistance through the perspective of accessing people's rights, rather than looking narrowly at their needs only.

Table 6

Data Analysis—Emerging Themes from Participant Responses—Third Research Subquestion Question

Key external factors	Strategic programs		Capacity building	Coordination	Collaboration with the government	Prioritization of protection		Information and its management			Preparedness	Accountability		
	A	B	C	D	E	F	G	H	I	J	K	L	M	N
Interview 1		X	X	X	X									
Interview 2						X				X			X	
Interview 3			X	X	X					X		X	X	X
Interview 4	X		X							X	X	X		
Interview 5						X				X	X			
Focus group discussion 1						X				X			X	

Focus group discussion 2		X	X	X	X						X				X
Focus group discussion 3		X	X		X										X
Focus group discussion 4		X			X						X				X
Online survey 1			X	X			X	X	X						X
Online survey 2			X	X			X	X	X						X
Online survey 3				X			X								X
Online survey 4				X			X	X							X
Online survey 5				X			X	X	X						X
Total Frequency	1	4	7	8	5	3	5	4	3	7	2	2		11	1

- A= Multisectoral response
- B= Strategic programming
- C= Capacity building
- D= Coordination
- E= Collaboration with the government
- F= Permanent presence
- G= Leadership
- H= Protection mainstreaming
- I= Prioritization of protection
- J= Info available
- K= Protection assessment
- L= Preparedness
- M= Local leaders inclusion
- N= Safe spaces

Summary

The analyzed data was collected from five individual interviews, four focus group discussion and five online surveys. The data collection tools had questions directly relevant to the main research questions and three subquestions, according to which the data analysis has also been done. The data that was collected and its subsequent analysis clearly shows that there is still room for improvement in the humanitarian field of protection and there are multiple factors that influence the effectiveness of PIs. The major themes which emerged were data-related and monitoring; capacity building; more

strategic planning; accountability; coordination. A recurrent theme was the lack of accountability towards affected populations - mentioned by 37 out of 38 participants.

This chapter focused on the ethical concerns within the research and which measures were taken to address them; followed by a thorough description of the data collection process, data analysis and finally presenting the results of the study based on the information collected from participants (38 in total, through three different data collection methods - individual interviews, focus group discussions, and online survey).

In Chapter 5, the interpretation of the research findings will be elaborated and link the analyzed information with the theoretical framework of this research as outlined in Chapters 1 and 2 of this dissertation. The final chapter will also present recommendations for further research topics in the field and describe the positive social impact of this study at large.

Chapter 5: Discussion, Conclusions, and Recommendations

This study sought to identify critical external factors that support protection activities in humanitarian response, specifically in emergency settings. The purpose of the study was to review factors that influence protection humanitarian interventions for IDPs. This classification sought to provide a common conceptual framework to generate and analyze information related to factors that affect humanitarian work in the protection sector, which could offer elements of understanding how to enhance impact in terms of protection of IDPs. The magnitude of internal displacement worldwide is growing every year and represents a tripling of the existing number of refugees worldwide. IDPs have specific vulnerabilities and the system of assistance to them needs to be adapted and revised. It was critical to determine what influences the effectiveness of PIs, so as to better analyze, plan, and program for those interventions.

The overarching goal of this study was to answer the following research question: What are the key external factors influencing PI in humanitarian aid settings? The study was guided by subquestions which were designed to answer the central research question: What actions are needed to ensure more effective and consistent achievement of protection outcomes in the humanitarian system? In what way, do participation and representation influence PI in humanitarian aid settings? What external factors have a positive impact in making PIs in humanitarian aid to be more useful for the affected population?

The external factors affecting PIs in humanitarian settings were examined through a qualitative study, using Niger as a case study. Data for this study were gathered through focus group discussions with IDPs in Niger, individual interviews with protection cluster members, and an online survey with coordinators. In total, 38 persons participated. The major themes that emerged were (a) data related and monitoring; (b) capacity building; (c) more strategic planning; (d) accountability; (e) coordination. A recurrent theme was lack of accountability towards affected population, -which was mentioned by 37 out of 38 participants in the study.

Interpretation of Findings

A comprehensive literature review revealed that there is a significant gap in knowledge of external factors that influence PIs in humanitarian settings. The theoretical framework for this study was Benet's (2013) theory of polarities of Democracy. This theory is aimed at guiding sustainable, healthy and fair social change efforts, and focuses on 10 aspects: freedom–authority, justice–due process, diversity–equality, human rights–communal obligations, and participation–representation. An appropriate approach for this research—given the incidence of each of the 10 aspects from Benet's theory of polarities of democracy in the research topic—are contributing factors to successful PI in humanitarian settings. Most of the information gathered through data collection focused on meanings or themes that emerged from participants' comments or responses to questions asked. This was confirmed by the responses analysed in the collected data.

The emerging themes coming from collected data were the following: data related and monitoring; capacity building; more strategic planning; accountability; coordination.

Across the data collected related to the first subquestion research question the accountability theme was ranking very high. More information being shared with the affected information and providing feedback loops to the population were the critical elements. More strategic planning emerged as an important theme, grouping a demand for more strategic interventions with focus on sustainability and self-resilience, linked to the multiyear funding. The humanitarian program cycle processes such as Humanitarian Needs overview and Humanitarian Program Cycle were evaluated as useful, but needed to be even more strategic to have more impact. Complementing “soft” components of protection with material and cash assistance was also shared as recommendation.

Capacity building- at two levels, first assuring that the humanitarian workers have relevant expertise when implementing protection programs, but also supporting the affected population by increasing their resilience and coping mechanisms, building on them throughout the humanitarian response.

Following the suggestion of Reichhold and Binder (2013), theory of change were chosen for the conceptual framework- as highlighted (p. 43). This approach is very pertinent for acknowledging the influence of external factors on success in protection. It is clear that the PIs in humanitarian settings are dependent on external factors, however

those have not yet been identified throughout existing literature. According to Voger (2012) one of the benefits associated with theory of change is a strengthened awareness of external factors that influence the impact of an intervention, including the motivations and contributions of other factors. Through identification of external factors in this study, a pathway to change can be clearly defined.

Reichhold and Binder (2013) depicted three components of theory of change: a result chain or framework showing the connection between lower level and higher-level results; assumptions underlying the intervention embedded in a narrative; and appreciation for external factors contributing to positive and negative change. Therefore, if based on the gaps and recommendations identified through the analysis presented here above the external factors are addressed in humanitarian setting, this would lead to higher level results; while defining clear assumptions.

When examining the peer-reviewed literature, it was clear that few studies focused on protection sector in humanitarian sector specifically and even less related to external factors that influence the effectiveness of protection response. Most literature that was found focused on internal factors proper to each organization; another main stream analyzed the coordinator aspects of humanitarian response.

When analyzing the data, several themes and subthemes were identifying across the different data collection methods that produced information to be analyzed.

Comparing it to the peer-reviewed literature, it is the coordination theme that stands out. Coordination has been a recurrent theme as well across the data analyzed. Despite the fact that clear coordination mechanisms are set and in place, their effective implementation and buy it from all actors still require more efforts- and donors are the critical driving force that can contribute positively to strengthen the system. Apart from coordination theme, there are several others, which have not been underlined enough or studied in the given context of impact on PIs.

What stands out is the accountability aspect, which has been underlined by all groups of stakeholders from which the data have been collected- from IDPs to the protection cluster members and coordinators. The overall strong feedback from the consulted persons is that the humanitarian programs are not enough accountable to the affected population, their voice is not listened to or taken into consideration. This leads to misleading prioritization of humanitarian programs which is not based on actual needs and creating rather passive relationship between the IDPs and humanitarian programs, instead of being the drivers of the response.

The data analysis showed, that there are multiple external factors that impact effectiveness of PIs in humanitarian action. While the central theme was a need of strengthened accountability towards affected population; other major themes emerged: donors and their influence; quality of programs - holistic approach, external attention to

the crisis; coordination; nature of the crisis; security; position of the government; data and analysis.

Limitations of the Study

This research addressed the validity and reliability respectively. Numerous measures were put in place so as to assure the quality of the study and assure validity and reliability respectively - triangulation method, debriefing, checks of transcripts with participants, and bias description. Data were collected through three different tools and triangulated. The whole process of the research was well described and documented, also through a journal. The themes and subthemes that were identified were limited to research question and sub questions and avoided personal interpretation of the data collected.

Recommendations

The increasing phenomenon of internal displacement, growing every year, has been attracting slowly more researchers. In July 2018, the first conference focused on internal displacement, organized by the University of London, Refugee Law Initiative, brought together the researchers and practitioners from the field together. One of the main conclusions of the conference was that there needs to be more research on internal displacement. While there are over 100 research institutes focusing on themes related to refugees and migrants around the world, there is no research institute focused on internal displacement; despite the increasing numbers of IDPs since 1990.

This study focused on the external factors that affect protection programs in humanitarian settings. The data analysis for this study has introduced clear themes that are affecting positive protection outcomes- and therefore well-being and situation of IDPs affected by a crisis. Many IDPs live in dire conditions and it is important that research focuses more in IDPs and programs targeting their needs. The more the varied stakeholders — governments and humanitarian workers inter alia- are aware of the factors that affect protection programming for IDPs, the better they will be able to plan and at the end have a positive impact on the situation of IDPs.

As a result, the gaps in research related to internal displacement are multiple and diverse. In regards to this dissertation topic, the following research topics are recommended for further research:

- Impact of IDPs effective inclusion on humanitarian programs.
- What are effective inclusion mechanisms for affected population in humanitarian programs.
- Bottom up approach to design of protection programs for IDPs and empowerment of IDPs.
- How area-based approaches could be purposed most effectively, and how can the role of local governments be strengthened.

In addition, and in correlation of the conclusions of the first IDP related research conference held in 2018 in London, the following topics would be very relevant for further research as well:

- The extent to which social networks provide and/or support durable solutions.
- Issues related to accessing assistance and funding, including who receives access to assistance and how funding is allocated.
- The humanitarian-development nexus and multi-stakeholder approaches, including whether joint data is actually better, the positive and negative impacts of working so closely together, and how humanitarian space can be maintained.
- Incentives and barriers to domestic implementation of law and policy on internal displacement, and the impact of that implementation in different contexts.

This research introduced and interpreted a lot of collected information. The goal was to identify the external factors; however, the analyzed data unpacked a wide range of elements that need to be further examined.

My passion to assist IDPs has inspired this research. Throughout my field missions, I met thousands of persons who lost everything, had to leave their homes, leave behind their belongings, habits, dreams- and often lost some of their relatives or were separated from them. The IDPs are often forgotten and more attention is being put on

refugees and migrants. However, their protection should be a paramount concern for governments, policy makers, humanitarian actors, media and civil society.

Implications

By identifying the key external factors that have impact on protection activities in humanitarian settings, the system can become more effective and have positive social change impact for persons in very dire needs of basic protection services. An accountability framework defines the current humanitarian response. It aims to bring positive social change to those lives that are displaced by conflict. To determine if established PIs for IDPs are effective and efficient, a case study of Niger was undertaken, and outcomes shall now guide policy makers and humanitarian practitioners in an effort to redefine the success of PIs in humanitarian aid.

In this sense, this research contributes to positive social change by empowering humanitarian workers to prepare better responses to challenges faced by persons with specific needs in emergency settings. Prior to launching a protection program in humanitarian settings, this research can assist in analysis of the landscape of actors that affect potentially the program and mitigating measures that are to put in place to limit hindering aspects for the program implementation.

From a practitioner's perspective, this study is particularly significant, given the trends of the protection sector worldwide. The protection sector in humanitarian settings

is a fast-growing area with significant importance and which has a direct impact on the wellbeing of affected persons involved in crisis and emergency response situations. In this sense, this research contributes to positive social change by empowering humanitarian workers to prepare better responses to challenges faced by persons with specific needs in emergency settings. “Protection is an objective central to all humanitarian action: when people face severe abuses or violence, humanitarians risk becoming part of the problem if we don’t understand how our own actions can affect people’s safety” (Global protection cluster, 2016, p. 3). Protection is assuring that persons can benefit from their rights- protection is central, as are the human rights. Dignity, respect, meaningful access to services are key for quality humanitarian interventions across all sectors. By better understanding of factors that influence PIs, we can provide more relevant interventions and as a result, better protection of affected persons.

The research also pointed out at significant gaps in research that remain around the topic and recommendations for further research are formulated.

Conclusions

This research has attracted attention to the problem of internal displacement, which is an under-researched topic. Despite the fact that there are over 60 million IDPs worldwide, a number growing every year, very little attention is provided to this phenomenon across researchers.

Involving more the IDPs in the process of designing projects targeting IDPs communities can help to improve the quality of the projects and have greater positive impact, in accordance with the theoretical framework in this study- Dr. Bennet's polarities of democracy theory. At the same time, as the conceptual framework highlighted, through theory of change, more positive outcomes can be generated when looking at the external factors that influence PIs.

By observing closely and analyzing main external factors that influence protection activities in humanitarian settings (such as donors and their influence; quality of programs - holistic approach, external attention to the crisis; coordination; nature of the crisis; accountability of the programs; security; position of the government; data and analysis), we can plan for more effective protection programs, and therefore better assist distress population in situation of internal displacement and have positive impact on their lives.

References

- Ageng'o, Y., dos Resi da Costa, N., & Louise Searle. (2010). Community Perceptions of “Protection” in Kenya and Timor-Leste. *Humanitarian Exchange*, 46, 16-19.
- Active Learning Network for Accountability and Performance. (2016). *State of the humanitarian system 2015*. Retrieved from <http://sohs.alnap.org/>
- American Psychological Association. (2010). *Learning APA style*. Retrieved from <http://www.apastyle.org/learn/>
- Benet, W. (2013). Managing the polarities of democracy: A theoretical framework for positive social change. *Journal of Social Change*, 5(1), 26-39.
doi:10.5590/JOSC.2013.05.1.03
- Barnett, M. (2005). Humanitarianism transformed. *Perspectives on Politics* 3(4), 723-740. doi: 0.1017/S1537592705050401
- Bernard, V. (2011, December). Editorial: The future of humanitarian action. *International Review of the Red Cross*. 93(884),891-899.
doi:10.1017/S1816383112000471
- Borton, J., Buchanan-Smith, M., Ralf, O. (2005). *Support to Internally Displaced Persons. Learning from Evaluations, Synthesis report of a joint evaluation programme*. Stockholm, Sweden: SIDA.

- Brewer, G.A., & Brewer, G.A. (2011). Parsing public/private differences in work motivation and performance: An experimental study. *Journal of Public Administration Review & Theory*, 21(3), 347 – 362. doi: 10.1093/jopart/mur030. Retrieved from http://jpart.oxfordjournals.org/content/21/suppl_3/i347.short
- Buchanan- Smith, M., & Fabbri, M. (2005). *Linking relief, rehabilitation and development- a review of the debate*. Tsunami Evaluation Coalition. Retrieved from <https://www.humanitarianlibrary.org/sites/default/files/2014/02/lrrd-review-debate.pdf>
- Buscher, D., & Makinson, C. (2006). *Forced Migration Review. Special Issue: Putting IDPs on the map: achievements and challenges in commemoration of the work of Roberta Cohen*. Retrieved from <https://www.fmreview.org/sites/fmr/files/FMRdownloads/en/FMRpdfs/BrookingsSpecial/full.pdf>
- Care International UK. (2012). *Peacebuilding with impact: defining theories of change*. London: CARE International UK.
- Carpenter, S., & Benet, C. (2015). *Managing Crises Together: Towards Coherence and Complementarity in Recurrent and Protracted Crises*. London: ODI.
- Centre for Humanitarian Dialogue. (2003). *Politics and humanitarianism: coherence in Crisis?* Geneva; CHD.

- Child Protection Working Group. (2012). *Minimum standards for child protection in humanitarian action*. Retrieved from https://www.unicef.org/iran/Minimum_standards_for_child_protection_in_humanitarian_action.pdf
- Cohen, R. (2006). Developing an international system for internally displaced persons. *International Studies Perspectives*, vol. 7, pp. 87–101.
- Collinson, S. & Elhawary, S. (2012). *Humanitarian Space: A Review of Trends and Issues*/ HPC Policy Brief 46. London: ODI.
- Collinson, S., Darcy, J., Waddell, N. & A. Schmidt. (2009). *Realising protection: the uncertain benefits of civilian, refugee and IDP status*, HPG Report 28. London: ODI.
- Cooley, A., Ron, J. (2002). *The NGO Scramble: Organizational Insecurity and the Political Economy of Transnational Action*. *International Security* 27 (1), 5-39. Retrieved from https://www.belfercenter.org/sites/default/files/files/publication/cooley_ron_v27n1.pdf
- Creswell, J. W. (2007). *Qualitative inquiry and research design: choosing among five approaches; qualitative research and evaluation*. City, State: Sage Publications.

- Cunningham, O. (2012, Summer). The Humanitarian Aid Regime in the Republic of NGOs: The Fallacy of 'Building Back Better. *Josef Korbel Journal of Advanced International Studies* 4 101-126.
- Darcy, J. (1997). *Human rights and international legal standards: what do relief workers need to know?* Relief and Rehabilitation network, 19. February 1997. Overseas Development Institute, London, 1997.
- DuBois, M. (2010). *Protection: Fig-Leaves and other delusions*. Retrieved from <https://odihpn.org/magazine/protection-fig-leaves-and-other-delusions/>
- Ferris, E. (2014). *Ten Years after humanitarian reform: how have IDPs fared?* Brookings Institution, City, State.
- Gender-Based Violence Area of Responsibility. (2015). *Guidelines for integrating gender-based violence interventions in humanitarian action: camp coordination and camp management food security and agriculture reducing risk, promoting resilience, and aiding recovery*. Retrieved from http://www.europarl.europa.eu/meetdocs/2014_2019/documents/femm/dv/gbv_toolkit_book_01_20_2015_/gbv_toolkit_book_01_20_2015_en.pdf
- Gentile, P. (2011). Humanitarian organizations involved in protection activities: a story of soul-searching and professionalization. *International Review of the Red Cross*, 93(884), 1165–1191. doi:10.1017/S1816383112000343

- Giossi Caverzasio, S. (2001). *Strengthening protection in war: a search for professional standards*. Geneva: ICRC.
- Harvey, P. (2010). *The role of national governments in international humanitarian response*. London: ALNAP / ODI.
- Humanitarian Policy Group. (2016, April). *Time to let go- Remaking humanitarian action for the modern era*. Retrieved from <https://www.odi.org/publications/10381-time-let-go-remaking-humanitarian-action-modern-era>
- Humphries, V. (2013 October). *Improving humanitarian coordination: common challenges and lessons learned from the cluster approach*. Retrieved from <http://sites.tufts.edu/jha/archives/1976>
- Global Protection Cluster. (2010). *Handbook for coordinating gender-based violence interventions in humanitarian settings*. Retrieved from <http://www.refworld.org/docid/52146d634.html>
- Global Protection Cluster. (2010). *Handbook for the protection of internally displaced persons*. Retrieved from <http://www.refworld.org/docid/4790cbc02.html>
- Global Protection Cluster. (2016). *Brief of protection mainstreaming*. Retrieved from http://www.globalprotectioncluster.org/_assets/files/aors/protection_mainstreaming/brief_on_protection_mainstreaming.pdf

Inter-Agency Standing Committee. (1999, December). *Protection of internally displaced persons*. Policy Paper, New York, Retrieved from http://www.globalprotectioncluster.org/_assets/files/tools_and_guidance/protection_of_idps/FINALID_PPpolicy-EN.pdf

Inter-Agency Standing Committee. (2006). *IASC preliminary guidance note on implementation of the cluster leadership approach*. Retrieved from <http://swigea56.hcrnet.ch/refworld/docid/44c8bc674.html>

Inter-Agency Standing Committee. (2006). *IASC guidance note on using the cluster approach to strengthen humanitarian response*. 24 November 2006. Retrieved from <http://www.refworld.org/docid/460a8ccc2.html>

Inter-Agency Standing Committee. (2006). *Protecting persons affected by natural disasters. IASC operational guidelines on human rights and natural disasters*. Washington, DC: Brookings. Bern Project on Internal Displacement.

Inter-Agency Standing Committee. (2013). *Statement on the centrality of protection in humanitarian action, endorsed by the Inter-Agency Standing Committee principals, 17 December 2013*. Retrieved from <https://interagencystandingcommittee.org/principals/content/centrality-protection-humanitarian-action>

Inter-Agency Standing Committee. (2016). *Policy on protection in humanitarian action*.

Retrieved from <https://interagencystandingcommittee.org/protection-priority-global-protection-cluster/documents/iasc-policy-protection-humanitarian-action>

Jones, L., Asare, J. B., Masri, M. El, Mohanraj, A., Sherief, H., & van Ommeren, M.

(2009). Severe mental disorders in complex emergencies. *The Lancet*, 374(9690), 654–661.

Johnson, B. (1996). *Polarity management*. Amherst, MA: HRD Press.

Kemp, E. (2016). *Protection: what is it anyway?* Oxfam. Retrieved from <http://policy-practice.oxfam.org.uk/publications/protection-what-is-it-anyway-600609>

Knox Clarke, P. (2013). *Who's in charge here? Leadership in humanitarian operations*.

Retrieved from

<http://www.hopkinshumanitarianhealth.org/assets/documents/leadership-literature-review-alnap-2013.pdf>

Labbe, J. (2015). *How do humanitarian principles support humanitarian effectiveness?*

Humanitarian Accountability Report, Core Humanitarian Standard Alliance.

Retrieved from: <https://www.chsalliance.org/files/files/CHSAlliance-Humanitarian-Accountability-Report-2015-Chapter-2.pdf>

Laureate Education (Producer). (2010). *Overview of qualitative research*

methods. Baltimore, MD: Author.

- Mertens, D.M. (2010). *Research and evaluation in education and psychology. Integrating diversity with quantitative, qualitative and mixed methods* (3rd ed.). Sage. Gallaudet University.
- Mooney, E. (2005). The concept of internal displacement and the case for internally displaced persons as a category of concern. *Refugee Survey Quarterly*, 24 (3), 9–26.
- Nansen initiative. (2015). *Agenda for the protection of cross-border displaced persons in the context of disasters and climate change, Volume I*. Retrieved from <https://nanseninitiative.org/wp-content/uploads/2015/02/PROTECTION-AGENDA-VOLUME-1.pdf>
- Niland, N., Polastro, R., Donini, A. and Lee, A. (2015). *Independent whole of system review of protection in the context of humanitarian action*. Norwegian refugee council. Retrieved from https://interagencystandingcommittee.org/sites/default/files/independent_whole_of_system_protection_review_report_may_2015.pdf
- Overseas Development Institute. (2015). *Scaling up humanitarian cash transfers*. September 2015. Retrieved from <https://www.odi.org/opinion/9878-scaling-humanitarian-cash-transfers>

OXFAM. (2016). Working with state authorities and armed groups on protection.

Retrieved from <https://policy-practice.oxfam.org.uk/publications/working-with-state-authorities-and-armed-groups-on-protection-600607>

OXFAM. (2016). Protection: vous êtes déjà dans la boucle. (You are already in the loop).

Retrieved from

http://www.globalprotectioncluster.org/_assets/files/field_support/PC%20Coordination%20Toolbox/communication_package_on_protection/youre-already-part-of-it-fr.pdf

Oxford Policy Management. (2016). *DFID Shock-Responsive Social Protection Systems*

research: Literature review, February 2016, Oxford Policy Management, Oxford, UK. Retrieved from

http://www.opml.co.uk/sites/default/files/Shock_responsive_social_protection_Literature%20review_EN.pdf

Patton, M. (2002). *Qualitative research & evaluation methods (3rd ed.)*. Thousand

Oaks,CA: Sage.

Paul Currian. (2010). *Strength in numbers: a review of NGO coordination in the field*

case study: Pakistan 2002-2010. Retrieved from

<https://www.icvanetwork.org/resources/strength-numbers-case-study-pakistan-2002-2010>

- Phuong, C. (2004). *The International Protection of Internally Displaced Persons*.
Cambridge: Cambridge University Press
- Rasmussen, E. (2006). *Improving IDP Data: Prerequisite for More Effective Protection*.
Forced Migration Review. Special Issue: Putting IDPs on the Map: Achievements
and Challenges in Commemoration of the Work of Roberta Cohen.
- Reynolds, P. D. (2007). *A primer in theory construction*. Laureate Education, Inc., custom
ed. Boston: Pearson Education.
- Rogers, P. J. (2008). Using Programme Theory to Evaluate Complicated and Complex
Aspects of Interventions. *Evaluation, 14(1)*, 29 – 48. SAGE Publications.
- Schirch, L. ed. (2012). *From protection of civilians to human security: comparing and
contrasting principles, distinctions, and institutionalization*. 3P Human Security.
August 2012.
- Slim, H. and Bonwick, A. (2005). *Protection - An ALNAP guide for humanitarian
agencies*. Retrieved from <http://www.alnap.org/resource/5263>
- South, A. et al. (2012). *Local to global protection in Myanmar (Burma), Sudan, South
Sudan and Zimbabwe*. Network Paper 72. Retrieved from
<https://odihpn.org/resources/local-to-global-protection-in-myanmar-burma-sudan-south-sudan-and-zimbabwe/>

- UN High Commissioner for Refugees. (2006). *UNHCR's expanded role in support of the inter-agency response to internal displacement situations*, 8 June 2006, EC/57/SC/CRP. Retrieved from <http://www.refworld.org/docid/49997afcd.html>
- UN High Commissioner for Refugees. (2007). *The protection of internally displaced persons and the role of UNHCR*. Retrieved from <http://www.refworld.org/docid/45ddc5c04.html>
- UN High Commissioner for Refugees. (2013). *UNHCR refugee coordination model*. 20 November 2013. Retrieved from <http://swigea56.hcrnet.ch/refworld/docid/532813f34.html>
- UN High Commissioner for Refugees. (2014). *Protection checklist: addressing displacement and protection of displaced populations and affected communities along the conflict cycle: a collaborative approach*. Retrieved from <http://www.refworld.org/docid/530b060d4.html>
- UN High Commissioner for Refugees. (2014). *Enhancing UNHCR's capacity to monitor the protection, rights and well-being of refugees- synthesis of findings and recommendations*. June 2014. Retrieved from <http://www.unhcr.org/40d978a44.pdf>

UN High Commissioner for Refugees. (2017). *Presentation to UNHCR standing committee Carol Batchelor, Director of the Division of International Protection Note on International Protection*. Retrieved from <http://www.refworld.org/cgi-bin/texis/vtx/rwmain?page=search&docid=5954c0ea4&skip=0&query=Note%20on%20international%20protection&searchin=fulltext&sort=date>

UN High Commissioner for Refugees. (2017). *Global trends: forced displacement in 2016*. Retrieved from <http://www.unhcr.org/statistics/unhcrstats/5943e8a34/global-trends-forced-displacement-2016.html>

UN High Commissioner for Refugees. (2017). *69th meeting of the standing committee of the executive committee of the High Commissioner's programme, Geneva, 28-30 June 2017 agenda item 2: international protection statement by Volker Türk, Assistant High Commissioner (Protection), 28 June 2017*. Retrieved from <http://www.refworld.org/docid/5954c15d4.html>

UN High Commissioner for Refugees. (2017). *Persons in need of international protection*. Retrieved from <http://www.refworld.org/docid/596787734.html>

UN High Commissioner for Refugees. (2013). *Understanding community-based protection*. Protection policy paper. Division of international protection.

United Nations Commission on Human Rights. (1998). *Guiding Principles on Internal Displacement*. New York: United Nations Commission on Human Rights

United Nations Office for the Coordination of Humanitarian Affairs. (2016). *Leaving no one behind: humanitarian effectiveness in the age of the sustainable development goals*. New York: UNOCHA.

United Nations Office for the Coordination of Humanitarian Affairs. (2017). *Cluster coordination*. Retrieved from <https://www.unocha.org/legacy/what-we-do/coordination-tools/cluster-coordination>

United Nations Office for the Coordination of Humanitarian Affairs. (2017). *Global humanitarian overview 2017*. Retrieved from <http://interactive.unocha.org/publication/globalhumanitarianoverview/#trends>

United Nations Office for the Coordination of Humanitarian Affairs. (2017). *Financial tracking system*. Retrieved from <https://fts.unocha.org/data-search/results/incoming?usageYears=2014&globalClusters=10>

Uppsala Universitet. (2016). *UCDP/PRIO Armed Conflict Dataset version 4 -2016*. Retrieved from <http://knoema.com/kkenmzg/ucdp-prio-armed-conflict-dataset-version-4-2016>

Vogel, I. (2012). *Review of the use of 'Theory of Change' in international development*.

DFID

Wessels, M. (2009). *What are we learning about protecting children in the community? An inter-agency review of the evidence on community-based child protection mechanism in humanitarian and development settings*. Save the children.

Williamson, K., Landis, D., Shannon, H., Gupta, P., Gillespie, L.-A. (2017). *Evidence brief: the impact of protection interventions on unaccompanied and separated children in humanitarian crises*. *Feinstein International Center*. Retrieved from <http://fic.tufts.edu/publication-item/evidence-brief-the-impact-of-protection-interventions-on-unaccompanied-and-separated-children-in-humanitarian-crises/>

World Health Organization. (2012). *Environmental health in emergencies: Complex emergencies*. Webpage: Retrieved from http://www.who.int/environmental_health_emergencies/complex_emergencies/en

Zyck, S.A., Krebs, H. (2015). *Localising humanitarianism: improving effectiveness through inclusive action*. London: ODI and the British Red Cross.

Appendix A: Recruitment E-mail for Identifying Participants—Interviews

Dear (Name),

My name is Valerie Svobodova and I am a doctoral candidate at Walden University. I am conducting a research study about the external factors that affect the efficiency of protection activities in humanitarian aid. The name of the study is: Redefining Protection Intervention in Humanitarian Aid through External Factors. You were invited as a possible participant because of being a protection cluster member in Niger and your knowledge and/or experience related to the topic of protection interventions in humanitarian context.

This study is looking into external factors that influence effectiveness of protection interventions in humanitarian aid, focusing on situations of internal displacement. This classification will provide a common framework to generate and analyze information related to factors that affect humanitarian work in the protection sector, which will offer elements of understanding how to enhance impact in terms of protection- and eventually better assistance to those affected by the displacement crisis within their country.

If you are interested to participate in the study and agree to be interviewed, the interview will take no more than 60 minutes of your time.

I realize that your time is important to you and I appreciate your consideration to participate in this study. All information gathered during our meeting will be kept strictly confidential.

This study is separate from the role of Valerie Svobodova as protection cluster coordinator in Niger.

Please contact me at your earliest convenience to schedule a date and time that we can meet. My contact is Valerie Svobodova at XXXX. The contact information for the Walden representative who can be contacted if you have questions about your rights as

participants is irb@mail.waldenu.edu . The Walden University's IRB approval number for this study is 08-20-18-0474999 and expires on 19th August 2019. I look forward to hearing from you.

Valerie Svobodova

Doctoral Candidate

Walden University

Appendix B: Interview Protocol/Questionnaire

Interview Protocol

Date: _____

Location: _____

Name of
Interviewer: _____Name of
Interviewee: _____

Interview Number:

1. What humanitarian actions facilitate the realization of positive protection outcomes?
2. What agencies or actors are best placed to reduce the incidence of protection problems?
3. What external factors most influence the ability to contribute to positive protection outcomes?
4. Which humanitarian tools, processes, resources are the most critical for effective protection programming?
5. In your opinion, what are the biggest challenges (external from your organization) impeding effective protection programming?
6. Are current protection programs accountable to affected populations?
7. In what way do participation and representation influence protection intervention in humanitarian aid settings?

8. What actions are needed to ensure more effective and consistent achievement of protection outcomes in the humanitarian system?
9. What external factors have positive impact on protection interventions in order the humanitarian aid to be more useful for the affected population?

Appendix C: Online Survey

Introduction

Thank you for taking the time to complete this survey that is part of dissertation

“Redefining Protection Intervention in Humanitarian Aid through External Factors”. This survey is concerned with the internally displaced persons humanitarian context and is focusing on protection interventions.

This survey should take you approximately 60 minutes to complete.

The survey will not reveal the identity or affiliation of respondents unless they indicate otherwise. Thus, please note that, for the purposes of this survey, disclosure of identifying information is optional.

This study seeks to identify critical factors that support protection activities in humanitarian response, specifically during emergency settings. The purpose of the study is to review established factors influencing protection interventions for internally displaced persons. This classification will provide a common conceptual framework to generate and analyze information related to factors that affect humanitarian work in the protection sector, which will offer elements of understanding how to enhance impact in terms of protection.

Key terms: The definition of Protection, endorsed by the Inter-Agency Standing Committee, concerns “all activities aimed at obtaining full respect for the rights of the individual in accordance with the letter and the spirit of the relevant bodies of the law (i.e. international human rights, humanitarian and refugee law).

”The Humanitarian System, in the context of this survey, refers to national and international actors such as the UN, NGOs (Non-Governmental Organisations), Red Cross/Red Crescent Movement, national/local authorities, Donors and others who employ a range of mechanisms and processes that aim to protect and support individuals and communities adversely affected by emergencies (e.g. disasters, armed conflict, complex emergencies)

1. Please provide the following general information about you (optional answer):

a. Name

b. Gender

Male Female

c. Type of organisation or constituency

- UN Agency
- Red Cross/Red Crescent Movement
- Affected group/community representatives or affected individual
- Civil Society organisation
- Local authority
- National authority of an affected state
- International Non Governmental Organisation
- National or local Non Governmental Organisation
- Donor government
- Academic organisation/ Think Tank
- Other- please specify

d. Years of experience in humanitarian sector. Please select one:

0-2

3-5

6-9

10+

20+

e. Region where you currently work

Africa

Americas

Asia

Europe

Middle East

Oceania

Global

f. Where are you based? (e.g. Headquarters/ Field)

Headquarters

Regional Office

National Office

Sub-national Office

Other

g. Are you employed as:

National

International

Other

2. What humanitarian actions facilitate the realization of positive protection outcomes? (You can select all that apply)

- Acknowledgement of, or support for, the self-protection strategies of those directly affected by crises/disasters
- Effective coordination of the crisis/disaster-specific humanitarian strategy and approach
- Leadership: ERC, IASC, HC, HCT, Protection Cluster

- Mainstreaming protection in all clusters/sectors
- Effective Protection cluster
- Prioritization of protection in Humanitarian Response Plans
- Use of local knowledge and capacity
- Other- please specify

3. What agencies or actors are best placed to reduce the incidence of protection problems? (Select maximum five)

- Affected group/community representatives or affected individual
- Civil Society organisation
- Local authority
- National authority of an affected state
- UN Agency
- UN Peace Operations
- Red Cross/Red Crescent Movement
- International Non Governmental Organisation
- National or local Non Governmental Organisation
- Donor
- Academic organisation/ Think Tank
- Other- please specify

4. What external factors most influence the ability to contribute to positive protection outcomes? (Select maximum 5 responses)

- Scale and pattern of harm
- Media attention
- United Nations Security Council attention
- Urgency of threat
- Early warning
- Evidence based analysis of threats
- Programming capacity
- Donor requirements for protection outcomes
- Level of funding available for protection sector

- Lack of standardized operation definitions, approached and result frameworks
- Changes in government and governmental policies
- All of these
- Others- please specify

5. Which humanitarian tools, processes, and resources are the most critical for effective protection programming? (Please choose the three most important factors)

- Standardized indicators and monitoring
- Inter-agency coordination
- Effective Protection Cluster
- Inter-Agency coordination of needs assessments
- Professionalization/training of staff
- Multi-year financing
- Meaningful involvement of affected population throughout the programme cycle
- The overall humanitarian strategy is designed to be protective
- Desired protection outcomes are clearly defined in the overall humanitarian strategy
- No opinion
- Other

6. In your opinion, what are the biggest challenges impeding effective protection programming? (Please select the top 3)

- Poor project design/lack of clarity of intended outcomes
- Poor assessment of threats and related needs
- Lack of effective leadership & senior management support
- Prioritization of material assistance over protection programming
- Poor monitoring and evaluation
- Poor communication and consultation between government authorities/Non State Armed Actors (NSAAs) and international actors
- Weak presence -too few aid workers/organisations to meet needs

- Poor coordination
- Inadequate prioritization of protection staff and resources by humanitarian organisations
- Inadequate funding
- Complex architecture of the humanitarian system
- Insecurity (violence/crime)
- Confusion or conflict over mandates and definitions
- Reluctance of staff to raise sensitive issues
- Limited access to certain areas/populations
- Tension between humanitarian and other (political, developmental, etc.)
- Other- please specify

7. Are current protection programmes accountable to affected populations?

Strongly Agree

Agree

Disagree

Strongly

Disagree

No opinion

Comments:

8. In what way, do participation and representation influence protection intervention in humanitarian aid settings?

9. What actions are needed to ensure more effective and consistent achievement of protection outcomes in the humanitarian system?

10. What external factors have positive impact on protection interventions in humanitarian aid to be more useful for the affected population?

Appendix D: Focus Group Discussion Questions

Date: _____

Location: _____

Name of
Interviewer: _____Name of
participants: _____

Question Number:

1. What humanitarian actions facilitate the realization of positive protection outcomes in this site?
2. What agencies or actors are best placed to reduce the incidence of protection problems?
3. What external factors most influence the ability to contribute to positive protection outcomes?
4. Which humanitarian tools, processes, resources are the most critical for effective protection programming?
5. In your opinion, what are the biggest challenges impeding effective protection programming?
6. Are current protection programs accountable to affected populations?
7. In what way do participation and representation influence protection intervention in humanitarian aid settings?
8. What actions are needed to ensure more effective and consistent achievement of protection outcomes in the humanitarian system?

9. What external factors have positive impact on protection interventions in order the humanitarian aid to be more useful for the affected population?

Appendix E: Recruitment E-mail for Identifying Participants—Online Survey

Dear Madam/ Sir,

My name is Valerie Svobodova and I am a doctoral candidate at Walden University. I am conducting a research study about the external factors that affect the efficiency of protection activities in humanitarian aid. The name of the study is: Redefining Protection Intervention in Humanitarian Aid through External Factors. You were invited as a possible participant because of being a protection cluster coordinator and your knowledge and/or experience related to the topic of protection interventions in humanitarian context.

This study is looking into external factors that influence effectiveness of protection interventions in humanitarian aid, focusing on situations of internal displacement. This classification will provide a common framework to generate and analyze information related to factors that affect humanitarian work in the protection sector, which will offer elements of understanding how to enhance impact in terms of protection- and eventually better assistance to those affected by the displacement crisis within their country.

If you are interested to participate in the study and agree to respond to the survey, it will take you no more than 60 minutes of your time.

I realize that your time is important to you and I appreciate your consideration to participate in this study. All information gathered during the survey will be kept strictly confidential.

This study is separate from the role of Valerie Svobodova as protection cluster coordinator in Niger.

Please contact me at your earliest convenience to schedule a date and time that we can meet. My contact is Valerie Svobodova at +XXX, valerie.svobodova@waldenu.edu. The contact information for the Walden representative who can be contacted if you have

questions about your rights as participants is irb@mail.waldenu.edu . I look forward to hearing from you.

Valerie Svobodova

Doctoral Candidate

Walden University