Guidance for Protection & Code of Conduct Requirements

USAID/OFDA defines *protection* as, "Minimizing the risks of, and addressing the effects of, harm, exploitation, and abuse for disaster-affected populations through humanitarian programming." Disaster situations are often characterized by increased risk of harm, exploitation, and abuse for the affected populations. Risk is caused by a combination of increased *threats* and increased *vulnerability* (risk = threat x vulnerability). Threats may arise as a result of armed conflict or when there is a breakdown of law and order in the aftermath of a natural disaster. Vulnerabilities include the following components:

- Family separation,
- Gender inequalities,
- Age,
- Disability, or
- Ethnicity.

The combination of threats and vulnerabilities leads to increased risk to the lives and well-being of disaster affected populations.

This documents aims to provide additional guidance for partners on OFDA's approach to protection, OFDA's specific protection requirements, and how these requirements must be incorporated into OFDA project proposals.

What is OFDA's Approach to Protection?

OFDA supports activities that promote the protection of populations affected by disasters. OFDA supports protection in two ways: by mainstreaming protection into all assistance programs and through stand-alone protection programming.

Protection Sector Programs: Distinct from protection mainstreaming, a Protection Sector program's primary objective is to minimize risks for and address the effects of harm, exploitation, and abuse for disaster-affected populations.

Protection Mainstreaming: Mainstreaming protection in humanitarian assistance means implementing activities in ways that take into account and mitigate the risks for harm, exploitation, and abuse facing the target population. Protection mainstreaming does not change the objective of the assistance but does change how the assistance is implemented.

What are OFDA's Protection Mainstreaming Requirements?

Since 2004, OFDA has encouraged partners to do more in-depth analysis and integrate these protective elements. With the October 2012 release of the revised OFDA *Guidelines for Proposals*, OFDA has introduced new requirements relating to protection mainstreaming, gender and diversity analysis and mainstreaming, inclusion of persons with disabilities and older persons and prevention of sexual exploitation and abuse. These mandated requirements apply to all OFDA-funded programs. These requirements were introduced in response to several U.S. Government and USAID policies. The purpose

is to ensure OFDA-funded programs are high quality, accountable to beneficiaries, and reflect best practices within the humanitarian sphere.

Gender & Diversity Analysis & Mainstreaming
Needs assessments require an analysis of the roles and power dynamics between the following and how this relates to humanitarian needs and program design:
- Men
- Women
- Boys
- Girls
- Ethnic groups
- Religious groups, and
- Political groups.

Technical descriptions must articulate how programs have been modified in light of this analysis in order to create an environment conducive to improving equality and promoting equitable access to basic rights, services, and resources. See Page 60 of the *Guidelines for Proposals* for more details.

Protection Mainstreaming
Proposals must describe the risks for harm, exploitation, and abuse faced by the affected population associated with the proposed activities. Technical descriptions for each sub-sector must include measures to mitigate and respond to any identified protection risks. See page 61 of the *Guidelines for Proposals* as well as the sector-specific protection mainstreaming requirements for further guidance.

Inclusion of Persons with Disabilities and Older People
Recognize that persons with disabilities and older people often face constraints in accessing humanitarian assistance, and that all too often, these unique needs as well as abilities of these groups are not considered when designing response programs. Proposals must describe what measures will be taken to include these populations in the proposed assistance. See pages 61-63 for more information. Programs targeting services for these groups are also encouraged.

Prevention of Sexual Exploitation and Abuse (PSEA)
The Code of Conduct requirement has been in place since 2006 and OFDA has introduced three new requirements to promote compliance:
- Partners must include a copy of their Code of Conduct to prevent sexual exploitation and abuse along with their proposal at the time of submission.
- Proposal packages must also include a paragraph describing how the Code of Conduct is implemented in the specific program area
- Grantees must ensure that sub-awardees have adopted a Code of Conduct. See pages 53-54 of the *Guidelines for Proposals* for more information.

How Should Partners Incorporate These Requirements Into Project Proposals?

PROPOSAL SECTION	PARTNERS SHOULD DESCRIBE
Needs Assessment Summary	■ The roles and power dynamics in the target population and how these may impact the ability of different groups to access and benefit from the proposed services, ■ How diverse groups within the target population were

	consulted about the design of the program,
	■ Potential protection risks for the target population related to the proposed activities, and
	■ When possible
	    ○ Findings from surveys, assessments and other sources should include data disaggregated by age and sex, ethnic, socioeconomic or other minorities where appropriate, and
	    ○ Indicate the percentage of the population that is disabled.

Technical Design	■ Any adaptations to services made to address the findings of the gender and diversity dynamics described in the needs assessments, ■ Measures taken to identify and mitigate protection risks associated with the project, and ■ How programs will be made accessible to older persons and people with disabilities.
Monitoring & Evaluation Plans	■ How the organization will monitor the program in order to ensure services, supports and other program resources are accessible to those most in need, regardless of gender, age, disability, or characteristics, and ■ How the organization will monitor the program and identify and address any adverse outcomes that may arise during the course of the program.
Supporting Documentation	Partners must also attach a copy of their Code of Conduct, as well as the required localizing paragraph, as an annex to the proposal.

Additional guidance is also available on the USAID/OFDA Resources website at
http://www.usaid.gov/what-we/do/working-crises-and-conflict/crisis-response/resources