Chapter 2: Skills

1. Overview

1. A skill is a **talent or ability that is acquired and developed through training or experience.** Refining a skill and adapting it to an ever-changing humanitarian operation can frequently be difficult. While various learning opportunities and courses can help develop and refine some of these skills, the right attitude and approach (see Chapter 1 of this Part) a good supervisor and a supportive environment play a critical role.

2. This chapter addresses some basic skills that every humanitarian worker needs in their daily work and that are integral to most protection activities. These skills including:
   - Analysis and problem solving skills
   - Communication skills
   - Negotiation skills
   - Leadership skills
   - Coordination skills
   - Facilitating of meetings skills
   - Working with the military

3. Most of these skills are inter-related. A checklist is provided with most skills to support humanitarian workers in ensuring that they are demonstrating these skills effectively in their work.

A. Analysis and problem solving

1. Introduction

See Parts II (Developing a Protection Response) and IV (Monitoring) for more details on analysis and problem solving.

Analysis refers to a detailed study of an issue in order to find new information or reach a better understanding. Situational analysis is one type of analysis undertaken by humanitarian agencies. Analysis is also necessary when monitoring human rights and IDP operations, planning a negotiation or when designing a protection intervention. **Problem solving** is often a natural consequence of analysis and an essential aspect of every humanitarian worker's function.

2. Approaches to effective analysis and problem solving

1. **Collect Data:** Collecting relevant information from a variety of sources and compiling it in a systematic manner is the first step to proper analysis and problem solving. Sources can include **primary sources** (first hand accounts such as interviews with government officials and the displaced, policy documents, legislation etc.) or **secondary sources** (sometimes this can include media, human rights reports, previous reports by other humanitarian agencies).

   The quality and quantity of data collected affects the analysis. Therefore, the data has to be credible, varied, relevant and sufficient. The methodology to collect information, the safety of the individuals who provide information and the confidentiality of the information should be considered at the very outset. Further, it is useful to determine how the data will be processed before collecting it. Finally, it is important to ensure that humanitarian agencies do not duplicate efforts when collecting data.

2. **Think critically:** Critical thinking is the ability to interpret and evaluate information, observations and argumentation with a view to determining what to believe and what action to take. Critical thinking ensures that the data collected is properly interpreted in order to reach conclusions that most accurately reflect the reality of the situation – be it the condition of IDPs, the possible solutions to displacement, or the interest of parties to a negotiation. It also provides the basis for the most appropriate action to address the issue.

3. **Be solutions oriented:** Humanitarian workers undertake analysis with the view of responding appropriately to a problem. This requires them to be creative and think of potential solutions to problems at all times. Being solutions oriented is also an important leadership trait. Pre-conceived notions, lack of effective analysis, misunderstandings or incorrect data and orthodox thinking may often result in an ineffective solution

B. Communication

1. Introduction

1. Communication forms the basis of all the work that humanitarian agencies undertake. Communication is used extensively during negotiations, meetings, demonstrating leadership and coordination, advocating for a position, building trust with the government, humanitarian partners, IDPs and other affected communities Refining our communication skills is therefore of vital importance.

Types of communication

Humanitarian workers will need to be proficient in the following forms of communication:

- **Active listening:** The ability to listen and understand people without any pre-conceived notions.
- **Oral communication:** When people speak to each other face-to-face, over a telephone / radio conversation or publicly. It not only refers to what is being said, but also how it is being said (paralanguage).
- **Written communication:** Written communication occurs normally over a letter, e-mail or reports (including training materials, handbooks, guidelines, evaluations).
- **Non-verbal communication:** Communication between parties that is not stated orally or in writing. A person's body language and face expressions are interpreted by others to determine what s/he feels or would like to say.

2. Approaches to effective communication

Provided below are some approaches and tips to demonstrating and enhancing communication skills in a humanitarian context. This generic guidance must be read keeping in mind that:

- **The cultural context:** Different cultures and communities frequently communicate differently. To avoid any misunderstandings, it is important to keep an open mind and spend time in understanding how people communicate in their culture and the meaning of specific words, expressions, mannerisms, tones and approaches.
- **Gender differences:** Differences in working with men and women in various contexts and cultures must also be considered when speaking to persons.
- **Primary audience:** All communication must be **adapted to the primary audience** and may vary from situation to situation, operation to operation.

When addressing children or persons with specific concerns (e.g.: victims or torture or trauma) the communication style should not be intimidating, condescending or otherwise inappropriate. It may even be appropriate to ensure that a specialist deals with sensitive cases. Specific guidance has been provided by various agencies in this regard.

Active Listening	**Why is it important?** Active listening helps in gaining information, to broaden our horizons, to build relationships and trust with other people and to respect them. It can also help in 'reading between the lines'. Listening does not indicate that you necessarily agree with the person, but rather, understand what the person is saying. **Barriers to active listening** The lack of interest in a subject, pre-conceived notions about an issue or subject, focusing on the speaker rather than the issue, physical distractions, time constraints and cultural differences, beliefs and attitudes are some reasons that prevent us from listening actively. This is demonstrated by negative body language, voluntarily being distracted by other people or things, not responding appropriately. **Tips on demonstrating active listening** • Be physically attentive (face the speaker, nod, maintain eye contact if possible, and maintain an open posture (e.g.: avoid crossing hands). Do not be distracted by the environment. • Remain interested yet neutral in the discussion to let the speaker feel more relaxed. • Understand what is being said – including what is being said, how it is being said, what is not being said, the tone of voice and the emotions expressed by the speaker. • Ask open questions and seek clarifications where necessary. Rephrase what the speaker says occasionally to clarify whether you understood what was said. • Do not interrupt or express your views until the speaker has completed his/her point.

<table>
<tr>
<td>Oral</td>
<td>Why is it important?
Oral communication is probably the most frequent and fastest manner of communication. It is important to ensure that oral communication is effective largely because the listening and retention capacity of most recipients is extremely limited.

Barriers to oral communication
Speaking to people about issues they are not interested in, not addressing their primary concerns, not getting to the point, culturally different approaches to conversations, the tone of voice or rate of speech, and simple language barriers all adversely affect oral communication.

Tips to effectively demonstrate oral communication

Determine the audience that you are speaking to. Ensure that what is said is appropriate to the environment (work or pleasure), culture appropriate, relevant and in a language that the audience is comfortable with.
Encourage a discussion rather than a speech (unless a speech is being delivered) and ensure that active listening and proper body-language is part of every discussion.
Think before speaking. If necessary, clearly write down what you would like to say.
Speak on issues that you are comfortable with. Admit you do not know something / will check something to ensure that what you say is credible.
Clear diction and in short sentences helps communicate complex ideas. Ensure that key messages stand out in a presentation (e.g.: action points, main findings). Summarize the main points at the beginning or at the end of a discussion.
Determine what feelings you would like to communicate by controlling the tone, volume and speed of what is said. Pauses, silences and emphasis on specific words also can communicate a feeling.
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<tr>
<td>Non-verbal</td>
<td>Why is it important?
Non-verbal communication is relied upon more frequently by people to understand what is being said or felt than oral communication. It is particularly important in an international context where not all actors speak or comprehend the same language.

Barriers to non-verbal communication
Being nervous or fidgety may communicate a wrong message. Similarly, individuals who are particularly expressive or emotional can often inadvertently display their feelings when it may be inappropriate to do so. Similarly, cultural differences may result in people interpreting body language differently.

Tips to effectively demonstrate non-verbal communication

Be aware of natural facial expressions and body expressions that may be interpreted incorrectly.
Understand cultural differences that may be expressed through non-verbal communication.
When listening, adopt a posture that ensures that you are seen to be listening. Maintain a neutral face when appropriate.
Practice in teams (with other colleagues and friends) or film each other to see how you perform. Individually, practice in front of a mirror until it comes naturally, to ensure that what is being said, the tone and emphasis of what is being said and the body language communicate the same message.
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<tr>
<td>Written</td>
<td>Why is it important?
Unlike oral or non-verbal communication methods, written communication is more permanent and cannot be retracted with ease. Because it is more permanent, it is often the most official manner of communication at work (e.g.: verbal agreements are often placed in writing to reduce the possibility of misunderstandings in the future). It also provides less room for error or mistakes.

Barriers to written communication
E-mails and letters often cannot communicate a tone or feeling as easily as speaking and can be easily misunderstood. As written messages can be circulated to a wider audience than initially anticipated, unclear messages can be misunderstood by outsiders.
As it can sometimes be unclear who will read what it written, misunderstandings may arise.</td>
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	As different people have different working language skills, especially in a multi-cultural environment, messages can easily be misinterpreted. Simple details (spelling, punctuations and grammar) also can affect the reader. **Tips to effectively demonstrate written communication** • Write with the primary audience in mind at all times. Avoid writing for a variety of audiences in the same communication. • Ensure official letters and communications remain formal (in vocabulary, grammar, punctuation and tone) at all times. • Explain, at the very beginning, what a letter or memoranda is about and how it concerns the reader (what is being requested of the reader). This can be followed by more detailed background information. Break-down complex ideas into short and simple sentences to avoid confusing the reader. • Summarize the main findings/ recommendations / highlights of reports and other longer documents at the beginning to ensure that the main messages are effectively communicated to the reader. • Pay attention to detail – vocabulary, grammar and spellings can often reflect badly on the writer as well as the subject. Always proofread a document before it is shared publicly. If possible, ask a third party to review it to ensure that it is accurate. • Ensure that a written communication does not transmit an inaccurate or inappropriate tone to the reader. This too can be addressed by reading the document carefully and avoid using complex words or sentence structures. It can sometimes help to read the document 'with fresh eyes' after a short break to verify its accuracy and content or having it reviewed by a colleague.

Different approaches to situations determine the manner in which communication skills are demonstrated. Two such approaches are illustrated below:[1]

Advocacy	**Inquiry**
Where we express our own perspective, opinions and reasoning more frequently and say what we think	**Where we seek to understand fully the perspective, opinions and reasoning of others and look into what we do not know yet.**
• State assumptions • Explain your reasoning • Describe the context • Provide examples • Invite testing of your assertions • Reveal where you are least clear or least sure of your assumptions • Refrain from being defensive	• Gently probe to understand • Draw out other people's reasoning • Explain the reason for inquiring • Ask for examples • Check your understanding • Listen with an open mind • Refrain from preparing to destroy the other person's agenda or promote a separate own agenda
Examples: *"Here's what I think, and this is how I got to this conclusion…"* *"I assumed that…"* *"Does my thinking make sense to you?"* *"Is there anything that I said that does not make sense?"* *"I'm unclear about this aspect and maybe you can help me think this through"*	***Examples:*** *"What is it that leads you to say that?"* *"What are you basing your conclusions on?"* *"Can you help me understand your thinking here?"* *"Can you provide me with an example of …?"* *Have I correctly understood you when you say….?"*

[1] Senge, P., *The Fifth Discipline Fieldbook: Strategies and Tools for Building a Learning Organisation*, Doubleday Books, USA, 1994.

C. Negotiations

1. Introduction

1. A negotiation is a discussion between two or more parties with a view of reaching an agreement on specific issues. It is a process to understand what you want and how you will achieve it, as well as to understand what the other party wants and how to satisfy them enough to reach an agreement.

2. Negotiations take place several times a day in a humanitarian operation between a variety of actors – governments, civil society, the IDP and affected communities, humanitarian agencies and non-state actors. Many issues and activities noted in Parts IV and V of this Handbook require humanitarian agencies to negotiate on a regular basis on issues as diverse as gaining physical access to displaced persons (also known as "humanitarian negotiations"[2]), ensuring communities send girls to schools or determining how to raise public awareness on gender-based violence.

3. Simple negotiations can involve two individuals discussing an issue face-to-face and reaching an agreement in a single meeting. More complex negotiations such as those that precede peace agreements may require a phased approach, detailed preparations and a series of discussions (face-to-face, exchange of letters and phone calls) over a period of time between a range of parties and interlocutors representing a variety of interests. Despite the varied nature of negotiations, there are some common approaches that may help reach a successful outcome more frequently. These approaches are summarized below.

There are a few myths and misconceptions regarding negotiations that are worth noting when preparing for a negotiation:[3]

a. **Negotiation is a natural ability: *False!*** While some people are able to demonstrate negotiations skills better than others, most negotiators have built their skills through learning and experience.
b. **Experience is enough: *False!*** Many people keep making the same errors over time despite negotiating frequently. Analyzing and learning from experience take a lot of effort and is essential. In addition, a good mentor, courses and books on negotiation are immensely important.
c. **Good negotiators often improvise: *False!*** Successful negotiations are frequently attributed to good preparation that anticipate various scenarios and factor in some degree of flexibility. Planning a negotiation is often the most critical, yet under-rated phase of any negotiation process. Poor planning is often been cited as the most common reason for a failed negotiation.
d. **Negotiators rely on intuition: *False!*** Critical to a good negotiation is the ability to understand yourself and the people you are negotiating with, and respond accordingly to address their concerns.

2. Approaches to effective negotiations

1. **Preparation:** Preparing for a negotiation is crucial. Some of the issues to prepare for include:
   - **Understanding the issue:** Understand the issue and how best to achieve your objective. This will help in determining whether a negotiation is necessary, whether it is possible to negotiate the issue and if so, what needs to be negotiated, how the negotiation can takes place and with whom the negotiation can takes place with.
   - **Establishing the 'bottom line':** Pre-determine what issues you are not willing to compromise at a negotiation (the 'bottom line'). Human rights law and principles of humanitarianism **(see Part 1 on Core Approaches)** that form the fundamental basis for the work of humanitarian agencies cannot be compromised and therefore form the broad 'bottom line' of any negotiation (e.g.: agencies cannot, for instance, agree to take sides to a conflict, or even be perceived to take sides).
   - **Decide on a BATNA:** "The best alternative to a negotiated agreement" (or BATNA) refers to the action that needs to be taken if the negotiation will not succeed in meeting the bottom line. It does not only provide a safety-net but, when carefully planned, can also be used as leverage in a negotiation (e.g.: if a negotiation to access IDP areas has been denied, it may be necessary to make members of the international community aware of this problem. The other party may wish to avoid this). This must be carefully planned as it can often backfire if it is perceived as a threat by

[2] The four key elements of a humanitarian negotiation are that (1) they are conducted by a humanitarian agency (2) for humanitarian objectives (3) in relation to countries affected by armed conflict and (4) with the parties involved in the conflict. See Mancini-Griffoli, M. and Picot, A., *Humanitarian Negotiations, A Handbook for Securing Access, Assistance and Protection for Civilians in Armed Conflict*, Centre for Humanitarian Dialogue, Geneva, October 2004.

[3]

the counterpart who is in a stronger position.

- **Determining your representative, counterpart and communication channel:** The parties involved in the negotiation should have a stake in the issue or should be authorised to represent those who have an interest in the issue. Personal approaches and individual dynamics also play a role in determining who should be involved in the negotiation. Respect government and agency protocol at all times. When necessary, work through or with **intermediaries** (e.g.: national NGOs or former government officials) who may have better access and credibility with the other parties to the negotiation. The Humanitarian Co-ordinator may help in resolving issues of a particularly sensitive nature, or can represent agencies who wish to address common concerns (collective bargaining). Also determine what **channels of communication** will be used – be it face-to-face, an exchange of letters or both.
- **Understanding the 'other' perspective*:*** Analyze, understand and **anticipate the views** of the other parties prior to the negotiation. A proper understanding of other parties however, is often achieved through direct contact over time. Focus on **common areas of concern** and understand how **differences** can be narrowed or eliminated.
- **Understanding power relations:** Power relations are often determined by the bargaining power of each party to a negotiation (i.e.: what each party bring to the table). **Humanitarian actors can be perceived to be in a weaker position** than government counterparts, IDP communities and even non-state actors if they do not have anything to offer that is of interest to the other party. 'Being right' or 'doing the right thing' is often insufficient to place a party in a strong position. When in a weaker position, it may be helpful to resort to **collective negotiations** (undertaken by a group of agencies rather than individual agencies). Do not abuse a situation in which you are in a stronger position, as it may weaken the ability to establish trust and long term relationships.
- **The approach:** Determine whether the negotiation approach will be **soft** (between parties that trust each other), **hard** (in adversarial situations) or **principled** (focusing on the issues rather than the people).
- **The time and location:** Select a location and time where all parties are not distracted by other issues. Negotiation should also be reasonably time-bound so that parties to a negotiation do not loose track of their objective. It also places some pressure on parties to reach an agreement.

2. **Communicate effectively:** Verbal (written, oral) and non-verbal (body-language) communication is a crucial factor to consider when planning or entering a negotiation. Communication through letters, meetings and telephone conversations contribute towards the results of a negotiation *(see section on communication skills)*.

3. **Follow-up:** Negotiations often require parties to either implement a final agreement or undertake various activities in preparation before the next meeting. These activities and preparations should be undertaken in a timely manner to maintain credibility and to ensure that the agreement is not breached by any party for lack of follow-up. Provide feedback on these follow-up actions to all parties to keep the negotiated agreement intact and further build trust between parties.

4. **Prepare for a breakdown of negotiations:** In the event of a breakdown of a negotiation, not only is it essential to analyze why the negotiation was unsuccessful, but also take the next steps to achieve your objective that should have been planned for prior to entering into the negotiation (BATNA). Given the issues at stake, humanitarian workers may find that it is imperative to return to the negotiating table to resolve all outstanding issues and reach a final agreement.

5. **Improvised negotiations:** Another type of negotiations may take place in an improvised setup particularly during a security incident (e.g. unexpected roadblock, ambush, etc.). These are not dealt with in this chapter and it is recommended to refer to security guidance in this regard.

3. Checklist on effective negotiations

Pre-Negotiation

Issue	Activity	Check
The Issue	**A. There is a clear reason why a negotiation is necessary on a particular issue.** ***Tips:*** • *Review all documentation relevant to the issue. Speak to persons who may*	☐

	be more familiar with the issue. Consider how the matter may have been addressed in other occasions/locations including their success and failures.	
My Position	**B. The objectives, bottom-line and BATNA have been prepared.** ***Tips:*** • *Ensure that what needs to be achieved is realistic and will be acceptable to all parties.* • *Be willing to consider other options that may be tabled by other parties.* • *Determine what issues cannot be compromised ("bottom-line").* • *Prepare a BATNA and use it (1) to measure the success of the negotiation (2) as leverage during the negotiation and/or (3) determine the next steps in the event the negotiation fails.* • *Consider collective bargaining on behalf of other parties as well if it strengthens your position and ensure it will not adversely affect the outcome of the negotiation.*	☐
The Parties	**C. The parties to the negotiation have been determined** ***Tips:*** • *The persons who will be negotiating are either authorised to act on behalf of the agency (either as a messenger or as a decision-maker).* • *Consider an intermediary (before or during the negotiation) if they are better placed to further my position or better understand the other party's position.* • *Complex negotiation often requires the inclusion of a range of individuals and/or parties, or requires the intervention of the Humanitarian Co-ordinator.*	☐
Their Position	**D. The other parties and concerns have been anticipated prior to the negotiation** ***Tips:*** • *Determine the possible common areas of interest between all parties prior to the negotiation.* • *Understand the potential differences between all parties prior to the negotiation, understand the reasoning behind it and determine how best these differences can be bridged.*	☐

Power relations	**E. The power relations between the parties to the negotiation and the source of this authority are clear prior to the negotiation.**
	
	Tips:
	• *Sources of power can vary and must be understood before entering into a negotiation:*
	  ◦ ***Organisational power*** *refers to the authority one possess to represent a well-respected or credible organisation;*
	  ◦ ***Reward power*** *relates to what an agency or individual can provide the other party. Financial and other capacities of agencies play a key role in determining this (e.g.: between a donor agency and a humanitarian agency; between a UN agency and its implementing partner, between a humanitarian agency and an internally displaced person in need of support). Food, shelter and other items that humanitarian agencies are able to provide can often be a source of authority in a negotiation;*
	  ◦ ***Coercive power*** *relates to the ability of a party to levy sanctions, bring shame or withdraw support (e.g.: a humanitarian agency informing the international community – governments and media -- that they are being denied access);*
	  ◦ ***Information power*** *is essential to anticipate and address the other party's interests with a view to reach an agreement. This power can often be denied to humanitarian agencies by preventing them from accessing displaced persons. Humanitarian agencies that prepare their BATNA effectively can often overcome this hurdle;*
		☐

	• ***Legitimate power*** *is the authority vested in a person by the organisation or society to represent their interests;* • ***Referent power*** *refers to the power an individual derives from his/her community due to the respect, admiration or prestige s/he enjoys with them. Natural leaders in a community often possess this and are in a stronger position to represent their community;* • ***Expert power*** *is derived from a special knowledge, skill or expertise that others may not possess. For instance, humanitarian agencies can often bring expertise on a range of issues to a negotiation table;* • ***Connection power*** *refers to the perception or reality that an individual is well known and can influence other allies. Intermediaries to a negotiation often possess this power.* • *Avoid abusing a strong position as it can diminish trust and a log term relationship.*	
The approach	**F. The approach to use during the negotiation has been determined (hard, soft, and principled).** ***Tips:*** • *A* ***soft approach*** *is often used between those who work well together and trust each other. The goal is to reach an agreement and concessions are made on both sides to cultivate the relationship. Both parties are fully transparent and conflict is generally avoided.* • *A* ***hard approach*** *is often adapted between adversaries where one party wins at the others expense. There is often no trust between the parties, does not strengthen long-term relations and may even place IDPs at risk. This is not an approach that humanitarian workers are encouraged to take with regard to protection issues but may be necessary in extreme cases.* • *A* ***principled approach*** *is used when all parties aim to focus on the issue and solve a problem rather than take opposing positions. Parties* ***do not focus on the people but rather, on the issue*** *at hand. Parties also aim to* ***understand all positions*** *and aim to seek common ground. This helps in developing a trusting and long-term relationship between parties and solutions are more easily obtained through this process. Both parties must agree to use this approach – which is often not always the case. However, over time, it may be possible for one party, who remains principled, to gain the trust of another party and use this approach in subsequent negotiations.*	☐
Location and Time	**G. The location and time is conducive to all parties and will not be detrimental to the negotiations.** ***Tips:*** • *Ensure that the location and time is convenient to all parties and that it does not detract them from the issues at hand.* • *An agreement may not always be forthcoming at the first meeting and other interactions may be necessary.*	☐

During Negotiations

Issue	Activity	Check
Communication	**H. Appropriate communication skills – especially listening skills – are used to ensure that the position of the other parties is better understood and that the issue at hand is appropriately responded to.** ***Tips:*** • *See part on communication skills in this chapter.*	☐
Building Trust	**I. Efforts have been made to build trust with the other parties involved.** ***Tips:*** Share information, be transparent with all parties, follow-up on issues you are responsible for and remain committed to the process of finding a solution that	☐

	is acceptable to all parties.	
The issue and positions	**J. The positions of the other parties are clearly understood during the negotiation.** ***Tips*** • *During difficult negotiations, it is important to look out for and address specific approaches. In particular:* • ***Intimidating Environment:*** *Negotiators can often create an intimidating environment, either by the set-up of the room or by the tone and nature of their comments. Acting confidently or even asking for a break may help disperse any reservations.* • ***"Good-guy / bad-guy" routine:*** *At times, a negotiator could try to get an agreement by convincing his/her counterparts that s/he is 'easier' to deal with than her/his colleagues. It may be best to confront the person on this issue with a view to agree to focus on the issue and its merits.* • ***Threats and anger:*** *When people threaten others or display their anger, it can sometimes force others to compromise their position. This is best countered by either ignoring their anger or diffuse the situation by taking a break or talking to the person about what is really upsetting him/her.* • ***'Take it or leave it':*** *There may be pressure to accept what is offered or nothing at all. This can be resolved by testing their commitment, temporarily breaking off negotiations, appealing to a sense of fairness and comparing their offer to the BATNA.* • ***Claiming limited authority:*** *The negotiator may claim that s/he has limited power to change the situation. This can be resolved by speaking directly to the decision-maker or treating the negotiator as a messenger.* • ***Forcing deadlines (real or artificial):*** *While negotiating within a limited period of time is useful, it can sometimes be forced and artificial. This can be addressed by questioning the reasoning behind the deadline and proposing alternative deadlines. If the deadline is real, it is important to determine whether the negotiation will bring any benefits within the limited time period.*	☐
Power Relations	**K. There is a better understanding of the power dynamics during the negotiation and the approach was fine-tuned to best ensure that the issue at hand was addressed by all parties.**	☐
Agreement	**L. A realistic agreement on issues to follow-up / a final agreement on issues that can be realistically implemented has been reached.** **OR No agreement has been reached.** ***Tips:*** • *Do not promise to undertake activities if they are realistically not possible.* • *Be honest about what you can achieve and what needs to be further explored.*	☐ ☐

Post-negotiations

Issue	Activity	Check
Follow-up	**M. Follow-up on issues that have been agreed upon is being undertaken** ***Tips:*** • *Remain in contact with all parties to provide updates on what progress has been made on the issues.* • *If there is a failed negotiation, follow-up on the fall-back options (BATNA).* • *Analyze why the negotiation has succeeded or failed to understand how to improve following or future negotiations.*	☐

D. Leadership

1. Introduction

Leadership is a process by which a person influences others to accomplish an objective and directs the organization in a way that makes it more cohesive and coherent. Leadership is also required at an inter-agency level in humanitarian operations to ensure that agencies and cluster members coordinate efficiently to address the concerns of IDPs and other affected communities.

While a manager or supervisor is merely entrusted with the authority to accomplish certain tasks and objectives in the organization, leadership can be exercised from any position in an organization with the necessary skills and attitudes. Like other skills and attitudes, they can be developed and enhanced with experience and training.

2. Approaches to effective leadership

1. **Know your leadership style:** A key attitude required of all humanitarian workers is that of self-awareness *(see Chapter 1 of this Part)*. Being aware of your personal leadership style will help in improving it.

Leadership styles

There are six basic leadership styles.[4] Many styles can be used simultaneously when addressing different situations or individuals:

- **Coercive:** The leader demands immediate compliance ("Do what I tell you"). The leader is driven to achieve, has initiative and wants to remain in control. This leadership style is occasionally suitable in a crisis to kick-start or to fix a problem but leave a negative impact on the climate.
- **Authoritative:** The leader mobilizes people towards a vision ("Come with me"). The leader is self-confident, empathetic and a catalyst of change. This is suitable when change and a new vision is required and leaves a mostly positive impact on the climate.
- **Affiliative:** The leader creates harmony and builds emotional bonds ("People come first"). The leader is empathetic, builds relationships and is an excellent communicator. This is a suitable style when trying to build teams and motivate people during stressful times. It has a positive impact in the climate.
- **Democratic:** The leader forges consensus through participation ("What do you think?). The manager is good at building partnerships and teams and is a good communicator. This approach is most useful to build consensus in receive inputs from staff. It frequent results in a positive climate.
- **Pace-setting:** The leader sets high standards for performance ("Do as I do, now"). The leader is conscientious, driven and taken initiative. This style is helpful to get quick results from a highly motivated and competent team. It frequently results in a negative climate.
- **Coaching:** The leader aims to develop people for the future ("try this"). The leader is empathetic, self-aware and concerned about others. This is a useful style when helping staff improve performance and strengths. This often creates a positive environment.

2. **Know your team:** Be empathetic and aware of the strengths and weaknesses of individuals working with you and use these strengths to support the humanitarian operation. Be aware of the responsibilities of individuals and understand how they can best work together. Aim to develop a team whose members can complement each other's skills and personalities rather than duplicate them.

3. **Support your team:** Look out for the personal and professional **well-being** of colleagues, help them **develop positive character traits** and **keep the team informed** of various developments so that they have a sense of ownership of the programme. This requires a leader to invest considerable time and effort to support a team. This also means that a leader needs to have **excellent communication skills** *(see section on communication in this Chapter)* and ensure that all members of the team are aware of what needs to be done and how. Building a team can often be a challenge and occasionally may require **team building activities** at regular intervals or **training together** before embarking on a project.

4. **Be responsible and take responsibilities:** Find ways to improve the way your organization works. Do not blame others for failures but aim to correct a situation. This also implies that a leader needs to take

[4] Goleman, D., *Leadership that Gets Results, Harvard Business Review*, OnPoint, 2000

sound and timely decisions in order to move ahead at work rather than shifting responsibility, and also **prioritize activities** when the workload exceeds the resources available – both financial and human resources.

5. **Be technically proficient** - Be aware of the technical aspects of the work that needs to be undertaken, the mandate of the agency as well as other agencies, governments and the work of civil society. This helps in drawing synergies between various activities and appreciating the work required from each team-member in the office.

6. **Manage resources effectively** – Humanitarian agencies often have to undertake more activities than they are funded for. This requires proper allocation and prioritization of resources. By virtue of working for an agency, there are frequently a number of resources available – be it additional workforce, additional funding, technical expertise and support, learning opportunities or public credibility. Understanding and using these resources effectively will benefit the agency but also the broader humanitarian community in a country.

E. Coordination

1. Introduction

Humanitarian coordination has been described as *"the systematic use of policy instruments to deliver humanitarian assistance in a cohesive and effective manner. Such instruments include strategic planning, gathering data and managing information, mobilising resources and ensuring accountability, orchestrating a functional division of labour, negotiating and maintaining a serviceable framework with host political authorities and providing leadership."*[5]

The need to coordinate a humanitarian response has been recognised in operations that have witnessed overlaps and gaps in the operational response and the lack of a harmonised response by the humanitarian community.

This has also resulted in the adoption of the cluster approach in IDP operations *(see Part I of this Handbook)*. Regardless of the coordination structure, there are a number of ways that coordination can take place in a humanitarian operation and a number of activities that need to be coordinated. Noted below are some issues to take into account when undertaking coordination activities.

2. Approaches to Effective Coordination

1. **Determine what needs coordination:** It is not necessary to set up a sophisticated coordination mechanism when individuals and agencies are working well together. However, given the complexities of humanitarian operations, especially protection issues, coordination is often required to address to develop a common understanding and response to an operation (including sharing assessments and other information), agree upon and use common standards, tools and policies, ensure that protection is mainstreamed in other clusters/sectors, prioritise activities and to allocate and share resources to further these priorities, reduce or eliminate any overlaps in activities undertaken by agencies, represent a common position either with governments, media or other parties and address cross-cutting issues such as staff security.

2. **Determine who needs to coordinate:** Coordination needs to take place within agencies, between agencies, as well as with governments, civil society and the IDPs themselves. It must take place at various strategic and operational levels with minimal effort. All stakeholders should be included in a coordination activity. In situations where there are a number of groups representing similar positions, representatives of those groups can meet instead of every stakeholder (e.g.: inter-cluster coordination can take place primarily through the cluster leads. However, this does not preclude members of each cluster from working together on specific issues).

3. **Determine coordination mechanism:** Coordination mechanisms may be formal (e.g.: a cluster coordination mechanism) or informal (*ad hoc* communication between parties when necessary). They may adopt a variety of ways to communicate including through meetings, telephone conversations, e-mail exchanges or during joint activities (e.g.: shared assessments). Any coordination mechanism should be decided upon jointly by the various parties that need to coordinate to ensure that they use it effectively.

   Frequently, while coordination mechanisms may exist, they may not be very effective, productive or they may be addressing issues that are not a priority. This may require a simple **realignment of the existing mechanism** rather than adding another layer of coordination.

   The best coordination mechanisms are those that **do not place significant time, human or other resource constraints** on the various agencies or individuals. This is particularly important for smaller agencies that may not have the ability to attend meetings or exchange e-mails regularly in addition to working in the field. The individuals and institutions that need to coordinate, their roles, the objectives (and limitations) of the coordination mechanism must all be clear to all parties.

4. **Coordinate, do not control:** A designated co-ordinator is not always necessary – rather, various parties can agree to work together and build consensus. In situations, especially complex emergencies, where a specific co-ordinator is designated, s/he helps in facilitating a process that

[5] Minear, L., Chelliah., U, Crisp, J., Mackinlay, J. & Weiss, T., *UN Coordination of the International Humanitarian Response to the Gulf Crisis 1990–1992* (Thomas J. Watson Institute for International Studies: Providence, Rhode Island) Occasional Paper 13, 1992.

ensures that various parties work closely together to achieve a common objective. In such situations a co-ordinator (e.g.: a cluster co-ordinator, a humanitarian co-ordinator) may also be authorised to take certain decisions on behalf of a group or represent the interest of the group with others. The co-ordinator needs to possess negotiation, meeting management and leadership skills, s/he must remain neutral, objective and impartial, s/he build consensus rather than dictate, build synergies and provide support to the various parties who are working together.

5. **Demonstrate the value of coordination:** Frequently, stakeholders will only coordinate with each other if there is a tangible benefit in doing so – be it through a formal cluster arrangement or a more informal exchange. Some benefits of coordination including streamlining operations (avoiding overlaps and filling gaps), raising and sharing human and financial resources, sharing information, raising the public profile of an agency, reducing the overall workload of agencies, resolving outstanding problems that an agency may have a problem in addressing alone (e.g.: obtaining physical access to IDPs), strengthening humanitarian space and providing an umbrella for smaller agencies to operate assertively and safely.

3. Checklist for Effective Coordination

The Need	**A. The operation can be more effective if protection issues are better coordinated.** ***Tips:*** • *Normally, protection coordination mechanism is essential in complex emergencies.* • *Activation of the cluster approach is outlined in Part 1 of this Handbook.*	☐
The Problem	**B. The general purpose of the protection coordination mechanism has been agreed upon by the protection agencies and other partners.** ***Tips:*** *Protection that often require coordination include:* • *developing a common understanding of an operation (including sharing assessments and other information);* • *agreeing on common standards, tools and policies;* • *developing a collective protection response;* • *ensuring that protection is mainstreamed in other clusters/sectors;* • *prioritizing activities;* • *raising and channelling funds together;* • *sharing or complementing human resources between agencies;* • *sharing other resources where necessary (office space, internet, vehicles);* • *reducing or eliminating any overlaps in activities undertaken by agencies, and ensuring that gaps are filled in a timely and appropriate manner;* • *representing a common position either with governments, media or other parties;* • *addressing cross-cutting issues such as staff security.*	☐
The Parties	**C. The key humanitarian partners who will be actively involved in the protection coordination mechanism have been identified.** **The nature of the authorities' relationship with (and potential constructive participation in) a protection coordination mechanism has been defined.** **The role of representatives of civil society, including IDPs and other affected communities in the protection coordination mechanism has been determined.** ***Tips:*** • *The government, UN agencies, international and national NGOs as well as other international agencies such as ICRC and IOM frequently need to work together.* • *Obtain contact details of key UN and NGO partners from the country office. In an emergency, OCHA may have the most updated list of agencies and individuals dealing with protection issues (using the "who, what, where" tool.* • *Members of **other clusters/ sectors** also should be encouraged to participate in protection-related activities.*	☐ ☐ ☐

	• *The direct participation of* ***representatives of civil society*** *engaged in protection, including organizations of IDPs and other affected communities in coordination activities can be valuable and should be considered, taking into account the potential benefits but also possible risks (i.e.: their risk of being harassed by other community members). This would be in addition to ensuring that participatory assessment and planning processes are used in developing and implementing a protection strategy and other activities. If included, the members must reflect a cross-section of the community.* • *The potential role and participation of the* ***government*** *may be best determined after the protection mechanism is formed and its objectives have been agreed upon, and in consultation with the Humanitarian Co-ordinator.* • *Different coordination structures may be necessary in different regions of a country or for different thematic issues. However, care must be taken to avoid any overlaps.*	
The structure	**D. An existing coordination structure in place is enhanced / A new coordination mechanism has been established.** ***Tips:*** • *Ensure that the coordination structure is as simple as possible.* • *Ensure that all parties have agreed upon this structure, its workings, its terms of reference and membership.*	☐
The coordinator	**E. An appropriate and effective coordinator has been identified to assist this process / The matter will be coordinated between stakeholders without a designated coordinator.** ***Tips:*** • *An agency can take responsibility for the coordination of protection activities in an operation but must have the capacity to do so. If need be, they should dedicate an individual to lead this process.* • *The agency/individual should be prepared to coordinate (i.e.: not necessarily directly implement), protection issues beyond those expressly stated in its mandate. For instance, UNICEF will need to address issues beyond child protection and UNHCR will need to address issues beyond refugee and IDP protection.* • *Avoid changing the facilitator to ensure a consistency in the operation.* • *The profile and job description of the individual selected to coordinate the protection cluster is noted in Annex 1 of this Part. This can be used for non-cluster operations as well.* • *It is useful if the coordinator speaks the local language especially to benefit the government and local NGOs.* ***Tips for coordinator*** • *Make yourself available to the members of the coordination structure. Coach and provide guidance to individuals and agencies when required.* • *Understand the specific concerns of all the members of the coordination mechanism and determine how they can be best addressed through the coordination mechanism (see* ***point B****, above on issues that can be of interest to members)* • *Acknowledge the value and contribution of individual members and demonstrate how they can contribute to the overarching inter-agency goals. Encourage and support joint approaches by the members for specific interventions.* • *Be credible by demonstrating professionalism, sound technical knowledge and efficiency as well as by being aware of substantive developments on issues that need to be addressed by the coordination structure.* • *Build a team that supports each other and complements each others work. Reach out to other sectors/clusters and draw synergies between various coordination mechanisms. Aim at being inclusive as far as possible.* • *Ensure that all members benefit from and contribute to the coordination mechanism. Have a clear workplan, terms of reference and ground rules to ensure*	☐

	that the coordination mechanism is used effectively. • *Always keep staff safety in mind when addressing issues.*	
The outcome	**F. As a consequence of coordination, the impact of humanitarian agencies is more effective. The stakeholders see a value in coordinating with each other / There is a need to improve the coordination mechanism.** ***Tips:*** • *Continually and jointly evaluate the manner in which coordination is taking place to determine how it can improve to produce more effective results. Determine how it can be simplified, and where necessary, change the terms of reference, manner of working and division of responsibilities between the members.*	☐

F. Facilitating Meetings

1. Introduction

Protection coordination takes place beyond meetings (e.g.: protection cluster/working group meetings). Meetings, however, if managed well, can provide a useful tool to ensure coordination of protection activities. If poorly managed they prove to be time wasters and even undermine the credibility of a protection operation. While the advice provided in this section specifically relates to managing inter-agency protection working group/cluster coordination meetings, it can be adapted to other meetings as well.

Effectively facilitating or participating in protection coordination meeting requires a solid protection knowledge base **(see parts I, II, III, IV and V of this handbook)** as well as relevant skills and attitudes.

2. Approaches to organising and facilitating a meeting

1. **Meet for a purpose:** Given that meetings require a significant investment of time and effort on the part both of the facilitator and participants they need only take place when there is are specific issue that can be best resolved by meeting. Alternatives to coordination meetings include e-mail correspondence, phone calls or even smaller meetings with specific individuals who have an interest in a subject matter.

2. **Prepare, Prepare, Prepare:** To ensure maximum results, all participants should prepare for the meeting in advance. Providing relevant information to participants in a timely manner, outlining how they are expected to contribute, preparing for contingencies (e.g.: translation, copies of background documents) are some ways to prepare for a meeting. A facilitator may need to understand specific concerns of participants before the meeting. Finally, administrative details such as the time and place for the meeting can also affect the quality of a meeting.

3. **Keep it short and simple:** Meetings do not have to be lengthy to be useful. The facilitator should set the tone and pace of the meeting including by ensuring that participants remain focused on the issues at hand. If meetings take place regularly with the same participants, establish ground rules to ensure the smooth functioning of a meeting.

4. **Facilitate rather than dictate:** A facilitator (the term is derived from the Latin term *facere* which means "to do" or "to make easy") should create an environment that allows participants to work on an equal basis and take joint ownership of protection issues. Encouraging participation, active listening, focussing on commonalities rather than differences, summarizing long and complex discussions, remaining neutral (see below), and taking decisions where necessary are some essential skills of a facilitator. The facilitator, as a consequence can often contribute the most by speaking the least.

5. **Remain neutral:** A facilitator may need to remain neutral during protection coordination meetings especially as the facilitating agency will need to address issues beyond the mandate and operational capacity of that specific agency (e.g.: if UNICEF is facilitating a protection coordination meeting, they will need to ensure that issues beyond child protection are addressed on an equal basis at the meeting).

6. **Address differences:** Similar to negotiation skills, differences in opinion can be resolved by remaining neutral and addressing the issue on its merits rather personalising them. Some issues may require bilateral discussions or a course of meetings to reach a common understanding **(see section ** on negotiations)**.

7. **Address difficult group dynamics:** Difficulties may arise when some participants are overly vocal, when they are repetitive, when they speak for a long time without focus, when they resist all suggestions and ideas, when they appear to disrupt meetings through side-conversations or when they simply have difficulties in articulating their ideas. Many of these concerns can be addressed by the facilitator in a non-threatening manner, by remaining neutral and if necessary, adhere to some pre-determined guidelines (e.g.: time for each speaker; focus on issues etc.). Extreme cases may require the facilitator to speak with the participant before or after the meeting to better understand his/her point of view and ensure his/her ideas are reflected on an equal basis as others.

8. **Be inclusive:** Meetings often provide a forum where diverse views can be presented and debated upon. Individuals who have differing opinions from most of the participants should not be excluded as they have a valuable contribution to make. Where individuals do not speak a common language, ensure

translation of the discussions. The participation of ICRC and IFRC observers should be welcomed as should the co-ordinators of other sector/cluster working groups, given the cross cutting nature of protection.

9. **Build trust, build a team:** Over a period of time as the participants meet more regularly, they should be able to forge trust and mechanisms to work together smoothly. The facilitator can often act as a catalyst to this process when remaining neutral and facilitating dialogue, even between agencies with diverse view points.

10. **Follow-up to meetings:** A meeting is not an end in itself. Rather it provides the basis for taking action on a range of issues by the facilitator and participants. It is essential to summarize the action points agreed upon (who is responsible for doing what and by when) and, where necessary, work with and assist participants to achieve their commitments and objectives before the next meeting. This also makes subsequent meetings more productive and focussed.

3. Checklist for facilitating meetings

Time	Issue	Check

Pre-Meeting	**A. Invitation to attend the meeting**
	An invitation to attend a meeting is sent out in a timely manner to all possible interested parties.
	
	Tips:
	▪ *Have a clear and relevant objective and expected outcome for the meeting. Holding a meeting must never be an end in of itself.*
	▪ *Often in emergencies, OCHA can assist by sending the initial invitation to interested parties as they have the most updated list of agencies*
	▪ *All correspondence relating to the protection working group should be clearly marked in the 'subject' line of an e-mail to ensure effective follow-up by all participants.*
	▪ *An invitation to a protection coordination meeting may include the following issues:*
	    ▪ *An introduction to the* ***purpose*** *of the meeting;*
	    ▪ ***Who*** *should attend and* ***why*** *(Why is it in the interest for an agency to attend / What they are expected to contribute);*
	    ▪ *The* ***location*** *of the meeting (with room number, address of location and directions if necessary) (see* ***B****, below);*
	    ▪ *The* ***time and duration*** *of the meeting (see* ***B****, below);*
	    ▪ *A tentative* ***agenda*** *(see* ***G****, below);*
	    ▪ ***Documentation*** *that provides participants with information (e.g.: information about the cluster approach) or documents that require action to be taken (e.g.: minutes of the last meeting, flash appeals etc.) (see* ***C****, below).*
	    ▪ *A request to invitees to* ***share any further information*** *that may be necessary prior to the meeting and a request to revert back on* ***who will attend/not attend*** *the meeting.*
		☐

	B. Location and time The date, time and location for the meeting has been arranged and communicated in the invitation. ***Tips:*** ▪ *Ensure that date and time of the meeting* ***does not coincide*** *with other meetings (OCHA may have a master calendar of meetings);* ▪ *In a field location, meetings may be preferred either as the* ***first or last activity*** *of the day as staff are in the field during the day;* ▪ *Ensure that the meeting* ***location is accessible*** *to all and is able to* ***accommodate*** *all participants; the location should have some* ***basic amenities*** *for the convenience of the participants (e.g.: bathrooms) as well as presentation or meeting tools (e.g.: flip-charts, overhead projector, additional pens and paper). Beverages (coffee, tea, water) is often appreciated;*	☐

	▪ *If possible, ensure that the same time and location of the meeting is used for subsequent meetings to make it easier for participants to attend;* ▪ *If possible, reserve the location for 30 – 60 minutes more than the duration of the meeting to allow for overtime and follow-up meetings;* ▪ *Facilitator should be present at the venue* ***before*** *the meeting begins to ensure that the room is organised and also to welcome the participants of the meeting;*	
	C. Documents Necessary documents are prepared for the meeting and sent with the invitation (to allow participants to prepare for the meeting). ***Tips:*** ▪ *For cluster meetings, the first invite may include the* ***background documents*** *that introduce the cluster approach and decisions made by the PCWG affecting the coordination mechanism such as division of responsibilities between agencies, the standard terms of reference for a protection coordination team etc.;* ▪ *In subsequent meeting invitations, the* ***minutes of the last meeting*** *(circulated earlier) should also be included.* ▪ *It may be necessary to provide copies of the documents at the meeting in the event the participants have not brought their own copies.* ▪ *Avoid sending bulky or numerous documents by e-mail. It may often discourage participants from reading the documents in preparation of the meeting.*	☐
Meeting **Largely applicable to the initial meeting.**	**D. Basic 'housekeeping'** Participants introduce themselves. Facilitator collects information about who is attending, which agency they represent and what their contact details are (pass around a sheet of paper where participants provide this information). The list of agencies present at each meeting should be reflected in the minutes (see point H below). ***Tips:*** ▪ *Determine,* inter alia*, the language that will be used at the meeting. It may be necessary to provide simultaneous translations for certain individuals who may not speak the commonly spoken language (or request a bilingual participant to help translate the discussions for certain groups if possible;* ▪ *Ensure that everyone can hear each other.* ▪ *Given that consistency of participation is strongly encouraged (and will make for more effective coordination), after the first initial meetings when participants still may be getting to know one another, it hopefully will not be necessary to do introductions at each subsequent meeting. However, introductions should be re-instated when new members or visiting delegations join the group's meeting.*	☐ ☐

	E. "Ground Rules" and Terms of Reference
	All participants reach a common understanding of the purpose and procedures at the meeting as well as about the objective of this coordination mechanism (This should be an agenda item for discussion at the initial meeting).
	
	Tips:
	▪ *Some key elements to discuss and agree upon initially include:*
	  ▪ *The* ***general*** *scope and* ***purpose*** *of the protection coordination mechanism and focus for its work (based on initial consultations and a draft proposal sent prior to the meeting or as an action point immediately following the initial meeting);*
	  ▪ *The role of the* ***facilitator*** *and whether a rotating chair may be more useful;*
	  ▪ *The nature of the* ***minutes*** *(whether they will be detailed or summarizing*
		☐

Applicable to all meetings	*the decisions take by the meeting);* ▪ *Respect for **time** (keeping meetings short; time limit for each speaker);* ▪ *The **frequency** of meetings (ad hoc or weekly/monthly – in which case the proposed location and time for subsequent meetings should be agreed upon);* ▪ *The **roles and responsibilities** of all participants during and in-between meetings;* ▪ *The **spirit** in which these meetings will be conducted. Adversarial meetings are not helpful. Rather, participants should agree to work towards common goals, be honest and disagree with a view to finding a solution that is acceptable to all parties. This is not just the responsibility of the facilitator but all participants. This will affect the method by which **decisions** are taken (by consensus, breaking deadlocks etc).* ▪ *The 'ground rules" should be documented and circulated to all participants and shared with new participants. This should form the **'terms of reference'** for the coordination mechanism, which should be clarified and agreed upon in the early stages of the PWG;* ▪ *The ground rules and ToR can be revisited and revised by the participants to suit the requirements of the operation*	
	F. Recording Minutes A colleague is designated to take the minutes of the meeting (can be facilitator). ***Tip**:* *See **H**, below*	☐
	G. Agenda The agenda has been reviewed, changed if necessary and agreed upon by all parties. ***Tips:*** ▪ *An agenda can take various forms depending on the type of meeting and context of the operation. Some elements useful to include in an agenda for meeting that takes place frequently (e.g.: a protection working group meeting):* ▪ *The **date, time and place** for the meeting (to serve as a reminder);* ▪ ***Introduction** of Participants (this can be abbreviated after the first meeting);* ▪ ***Adoption of the minutes** from the last meeting. The minutes need not be corrected at the meeting but agreed upon over e-mail to save time. Else this activity may take a lot of time (see **H** below);* ▪ ***Update** of action points from the last meeting (see **I**, below);* ▪ ***Discussion** on new activities and plans (see **J**, below)* ▪ *Any other business (AOB) (see **K**, below)* ▪ *Wrap-up (See **L**, below)* ▪ *To ensure effective time management, it can be helpful to set a time period to discuss each agenda item.*	☐
	H. Adoption of Minutes from previous meetings All participants have agreed on the minutes of the previous meeting ***Tips:*** ▪ *The minutes of the previous meetings should be documented in the style agreed by all parties. It is recommended that only the main issues and action points are recorded in the minutes rather than a verbatim documentation of everything said at the meeting;* ▪ *Follow-up action (who is expected to do what) should be clearly marked and summarized in the minutes, for e.g. at the beginning or end of the minutes;* ▪ *The minutes should be circulated to all participants within 1 – 2 days of the meeting (including to those who did not show up for the meeting but are involved in the protection cluster);* ▪ *Comments and corrections should be invited over e-mail within a reasonable*	☐

set deadline;

- *Final draft minutes should be circulated with the invitation to the following meeting;*
- *Once adopted, a copy of the minutes should be shared with the Humanitarian Co-ordinator by the Facilitator and possibly also other interested parties (as determined and agreed upon in advance by the protection working group).*

I. Update on follow-up actions decided at previous meeting ☐

An update on the various actions points agreed upon at the last meeting is provided by the respective participants

Tips:

- *It may be useful to reflect follow-up actions in the form of a matrix. Parts of this information also could be integrated into the 'who is doing what and where' tool or be incorporated as part of the protection strategy document.*
- *Follow-up actions need not be the first substantive discussion if other, more important, issues have come to the attention of the protection coordination mechanism.*

J. Discussions on substantive issues and future action-points ☐

Issues of a substantive nature are discussed in order of priority at the meeting.

- ***Tips:***
- *A range of substantive issues need to be discussed at a protection coordination meeting. Clearly not all issues can be discussed at all meetings The facilitator should ensure that:*
  - *the maximum time of the meeting is spent addressing these issues;*
  - *each discussion is structured;*
  - *issues are discussed in order of priority;*
  - *discussions leads to action points;*
- *Some possible substantive issues that may be useful to discuss at a protection coordination meeting include:*
  - *Who is doing what and where (gap filling on thematic and geographic levels);*
  - *Discussion on specific thematic issues of concern to the operation (e.g.: child protection, SGBV, landmines etc.) (see **Part IV** of this handbook) and how to effectively respond to identified concerns;*
  - *Development of an overall protection strategy (including joint assessments, analysis, and strategic response) (see **Part III** of this handbook);*
  - *While guidelines and tools agreed upon by the IASC and PCWG can be adapted and support the work of the protection working group (this will also result in minimising the development of new tools and also ensure standardisation);*
  - *Coordination of implementation activities and sharing human and financial resources in achieving specific objectives;*
  - *Operational problems that any participating agency is facing and how it can be addressed.*
  - *Review and validating existing strategies or activities and determining if they are effective or need to be altered due to changing circumstances or new information.*
  - *Monitoring and evaluation of implemented activities (to ensure that intended objectives are met according to indicators and without adverse protection consequences);*
  - *Joint funding appeals and external information;*
  - *Method and issues to contribute to and to coordinate with other clusters (as protection is a cross-cutting issue).*
- *However, key issues may need to be kept on the agenda for a long period of time. On occasion, bilateral or smaller discussions on a specific thematic issue may be necessary. However, it is recommended that issues are not compartmentalised or discussed in sub-groups on a regular basis. Rather the protection coordination meeting should be the primary forum where these*

	issues are addressed. ▪ *Some issues can be updated over e-mail such as matrices of 'who is doing what where'.* ▪ *As noted earlier, it is helpful to share background documents in advance of the meeting:*	
	K. Any other business Participants are able to raise and discuss other issues relevant to the protection coordination mechanism that have not been raised during the meeting.	☐
	L. Wrap-up A summary of decisions and follow-up action points is provided verbally; Decision for next meeting is taken.	☐
Post-meeting	**M. Drafting the minutes** The minutes have been drafted and circulated in a timely manner. ***Tip:*** *See point* ***H****, above.* ▪ *All correspondence relating to the protection working group should be clearly marked in the 'subject' line of an e-mail to ensure effective follow-up by all participants.*	☐
	N. Follow-up actions Follow-up actions have been undertaken in time for the next meeting. ***Tips:*** ▪ *Follow-up actions that have been decided upon at the meeting may require some additional support by the protection coordination facilitator as other participants. Such actions could require coordination with other clusters, discussions with the Humanitarian Co-ordinator and the government, managing re-distribution of resources, implementing activities, drafting a strategy document etc.*	☐

G. Working with Armed Forces

1. Introduction

Humanitarian workers are, especially in areas affected by armed conflict, expected to work closely with armed forces (i.e.: military forces or non-state actors). Broadly, humanitarian workers encounter armed forces in three situations:

a. when they are working to support a humanitarian objective (e.g.: during peacekeeping operations);
b. when they are a party to a conflict and may be, *inter alia*, the cause of forced displacement and other human rights violations;
c. a combination of the two situations mentioned above.

The primary purpose of working with armed forces is to ensure the protection of IDPs and other affected communities in the area by:

a. supporting humanitarian operations and securing physical access, proactively ensuring the physical safety of civilians and under certain circumstances providing logistical and technical support and advice;
b. ensuring that military activities do not violate international human rights law and international humanitarian law, and consequently safeguarding the protection of IDPs;
c. ensuring the security of humanitarian operations, including humanitarian staff.

This section provides guidance on how to engage with armed forces under various circumstances. While generally applicable to legitimate military structures, some guidance may be equally applicable to armed forces that are aligned to non-state actors.

2. Approaches to working with armed forces

Understanding the armed forces (including the type, mandate, rules of engagement, professionalism, size and capacity) will help determine the nature of interaction between the armed forces and the humanitarian community. The guidance provided bellow has a direct consequence on the work of the protection cluster/working group. In all circumstances however, many of these issues need to be addressed by the broader humanitarian community.

Issue	List	Check
Organisational Position	**A. The organisational position vis-à-vis working with armed forces is clear.** ***Tips:*** • *Before engaging with armed forces, determine your agency's general and specific position in relation to the armed actors in your area of operation. Agencies sometimes place restriction on* ***who to interact with*** *(e.g.: in the case an armed group or even their non-military wing is on a terrorist watch-list,) and the* ***nature of interaction*** *(e.g.: only deal with them to share information or also support humanitarian operations).* • *IASC and agency-specific guidance and training are also available.* • *If in doubt, it is best to* ***seek clarification*** *from the agency, the protection cluster/ working group coordinator or the humanitarian coordinator.*	☐

Understanding the armed forces	**B. The type of armed force present in the area has been determined.**
	
	Tips:
	• *Armed forces can be* ***affiliated*** *to:*
	  ◦ *A country (either foreign or domestic).*
	  ◦ *A* ***grouping of countries*** *(i.e.: armed forces representing a coalition of countries but not under a recognised regional or international body).*
	  ◦ *The UN, NATO, the African Union or other* ***international bodies****.*
	  ◦ ***Non-state actors*** *(rebel or militia forces). Sometimes these armed forces can be supported or controlled by other governments. However, they still operate as non-state actors.*
	• *Certain armed forces – in particular non-state actors -- can also have a civilian branch that they are closely associated with. It is important to understand the relationship between the two branches (i.e..: armed and*
		☐

	civilian). • ***Civil defence forces*** *that provide technical support are not considered armed forces, but in some situations, they may have a close relationship with armed forces.* • ***Civilians carrying arms*** *are different from armed forces for the purposes of International Humanitarian Law.* • *There can also be* ***more than one type*** *of armed force in a specific area.*	

	C. The type of mission that the armed forces are undertaking has been determined.
	
	Tips:
	• *Armed forces can serve a range of missions including, but not limited to:*
	    • *Engaging in* ***armed combat*** *with opposing forces;*
	    • *Engaging in* ***peacekeeping operations*** *(this is largely limited to UN, NATO or AU forces or on some cases, national forces. Their mandate can often be found in Security Council Resolutions of the UN or its equivalent in the case of NATO or AU);*
	    • *Supporting* ***humanitarian operations*** *(in the case of the UN, the mandate can also be found in SC resolutions or similar documents);*
	• *In all cases mentioned above, armed forces will come in contact with civilian populations, many of whom would be of concern to humanitarian agencies.*
		☐

	D. The rules of engagement of the armed forces have been determined. ***Tips:*** • *Understanding rules of engagement is important to understand how the presence of armed forces may* ***affect civilian populations*** *(including the internally displaced). It also helps determining whether they are allowed to interact with humanitarian agencies, and if so, to what extent.* • *'Rules of engagement' refer to* ***when*** *armed forces can be deployed,* ***where*** *they can be deployed to and* ***what*** *they are allowed to do or prohibited from doing.* • *Different armed forces (e.g.: militia, national military, UN forces) have different rules of engagement that depends on the nature of their mission.*	☐
	E. The level of professionalism of the armed forces has been estimated. ***Tips:*** • *The level of professionalism determines the quality of engagement that humanitarian actors can develop with armed forces. It can also provide an indication on the quality of protection that civilians may enjoy in the presence of armed forces.* • *The level of professionalism often depends on,* inter alia*, the quality of training, the awareness of the military about human rights and international humanitarian law, their recognition and legitimacy, doctrine and procedures (including rules of engagement), the command structure, internal discipline and the equipment and technology available to the armed forces.* • *Do not underestimate the level of professionalism of non-state armed forces. While they may not represent a government, they may have been trained by governments, they may be better equipped and more disciplined than legitimate military forces.*	☐
	F. The structure of the armed forces has been estimated. ***Tips:*** • *The structure of armed forces will help humanitarian agencies determine who to interact with in various regions of the country. In this regard, it is important to know the military insignia to recognise the rank of soldiers and address them appropriately.*	☐

	• *The structure and capacity of armed forces will help determine the level of support and information they can provide humanitarian agencies (i.e.: in the event they are providing humanitarian assistance or engaging in peacekeeping operations).* • *No information on the capacity or presence of armed forces should be collected by humanitarian workers as this may be perceived as strategic information and compromise the perception of neutrality of the agencies. However, this is less sensitive in the case of UN peacekeepers and similar armed forces which normally make such information public.*	

Scope of interaction	**G. The purpose and scope of interaction with the armed forces has been determined between humanitarian agencies and the military counterparts.**
	
	Tips:
	• *The scope of interaction will depend on whether there is a need for humanitarian agencies to work with the military with a view to protecting the internally displaced and other affected communities and ensure the security of humanitarian personnel.*
	• *Issues that the humanitarian community and armed forces can interact on include, but are not limited to the following:*
	    • ***Sensitisation:*** *When armed forces – both legitimate and non-state forces -- and humanitarian agencies operate in the same areas, both parties may benefit from understanding each other's mandates and activities, not least to build a level of trust and understanding. Regular meetings between the parties may be sufficient for this purpose. Do not assume that the military are familiar with the mandate and activities of humanitarian agencies.*
	    • ***Training:*** *Armed forces – both legitimate and non-state forces – may benefit from understanding their obligations under international humanitarian law and human rights law. ICRC is best placed to support this activity but occasionally, some support may be necessary from other agencies. UN Peacekeepers may need training on the UN code of conduct and related matters that will affect their relationship with the civilian populations.*
	    • ***Information sharing:*** *Humanitarian agencies can frequently benefit from receiving information on the security situation in an area from the military including the presence of landmines, areas to avoid due to security reasons, roadblocks etc. Armed forces will also benefit from knowing where humanitarian work is being undertaken to avoid misunderstandings and mistaken identities.*[6]
	    • ***Technical advice and support:*** *Support to humanitarian operations, either in a complex emergency or a natural disaster includes* ***(1)*** *providing logistical assistance and delivering essential supplies (including airlifts),* ***(2)*** *building roads, bridges and other infrastructure,* ***(3)*** *providing technical services such as damage assessments, mine clearance and health care,* ***(4)*** *identifying specific groups and communities at risk and ensuring the physical security of the internally displaced and other communities,* ***(5)*** *ensuring the security of humanitarian personnel.*
	• *In general, humanitarian support should only be provided by the military under* ***<u>very exceptional circumstances</u>****:*
	    • *When humanitarian agencies are not present in areas where civilians need support.*
	    • *When humanitarian agencies do not have the necessary technical and logistical or supply support to support the internally displaced.*
	    • *When the security situation in an area does not allow humanitarian*
		☐

[6] For security reasons, give sufficient advance notice of movements if required, ensure interlocutors are familiar with agency logos and vehicle equipment such as helmets, flack jackets and radios.

	workers from moving freely. • *When the support provided does not compromise the mandate and overall objectives of humanitarian agencies including the ability to maintain neutrality and impartiality in an operation.* • *In any case, this should be formally agreed upon at the highest levels. No initiative should be taken at the local level without due clearance.* • *Once humanitarian agencies build their capacity or establish a presence, the military should not continue to provide this support.* • *Generally, requests for technical and other support made by armed forces to the humanitarian community cannot be entertained as it undermines the mandate of humanitarian agencies.* • *Under no circumstance should armed elements be allowed to utilise humanitarian vehicles (including as a passenger or other assets). This should be made clear to all parties in a conflict at the senior level.*	
Channels of Communication	**The channels of communication between the humanitarian agencies and the armed forces are clear.** ***Tips:*** • *Armed forces – both government and often non-state actors – have clear command structures. This should always be respected by humanitarian personnel.* • *Interaction with armed forces can take place at various levels:*[7] • *At the* ***senior level*** *(between senior military officials and the humanitarian coordinator/heads of agencies). All negotiations that affect the relationship and interaction between the two parties should be done at this level (general information exchange, procedures at checkpoints, training).* • *At the* ***working level*** *(CIMIC or civil affairs office): Based on the agreements reached by the senior staff, day-to-day interaction between humanitarian agencies and the military (reporting vehicle movements, security clearances, airlifts, etc. Forces representing the UN (including integrated missions), AU or NATO may appoint a civilian-military liaison officer (CIMIC officer) and at times, establish a CIMIC centre where the military and humanitarian community can work on common issues together.* • *At the* ***field level****: the UN will usually be represented by the UN focal point/area security coordinator. NGOs may also decide to appoint a representative to relay communications.* • *At the* ***security level:*** *Field security officers frequently maintain their own contacts with the military for staff safety purposes.* • ***On the road****: Interaction with armed forces can also take place while passing checkpoints and other military installations. At this level, staff need to follow the agreed upon procedures. Soldiers at this level usually have no authority to discuss substantial issues and any disagreement on procedure or other issues should be discussed with higher level offices.*	
Nature of communication	**The manner in which to communicate with armed forces.** ***Tips:*** ***General:*** *Understand and respect the difference between the work ethic of armed forces and the humanitarian community work as well as the difference in their mandates. Always remain respectful to individual personnel even while negotiating or when disagreement arises.*	☐

[7] For more details see, Mancini-Griffoli, M. and Picot, A., *Humanitarian Negotiations, A Handbook for Securing Access, Assistance and Protection for Civilians in Armed Conflict*, Centre for Humanitarian Dialogue, Geneva, October 2004.

	With UN peacekeeping forces, AU and NATO forces: *Frequently, international forces have an understanding of the work of humanitarian agencies. However, do not assume that they are perceived as neutral and impartial by the civilian population or other armed groups in a country. Refer to policies and guidelines that outline the relationship between these forces and the humanitarian community.*[8] *Seek clarification from DPKO where necessary.* ***With government forces:*** *In situations of armed conflict, government forces are frequently not seen to be neutral or impartial. The civilian authorities (local or national governmental representative), the military and the humanitarian community need to consult on how best to work together.* ***With non-state armed forces:*** *Interaction with non-state forces depends frequently on their level of professionalism. Well organised forces can operate similarly to government forces. It should be kept in mind however that the civilian branches of non-state actors usually remain organized and function in a military fashion.* *In all situations, interaction with non-state actors should be limited to operational matters (access to IDPs, staff safety) and not lead to perceptions that the humanitarian community is legitimising their presence or activities. For this purpose it is important to* ***(1)*** *inform the non-state armed force of the mandate and specific activities of the humanitarian agencies in the area* ***(2)*** *agree on modalities of interaction* ***(3)*** *remain tactful and mindful of any situation that could be politically manipulated or interpreted as biased* ***(4)*** *agree upon principles that cannot be compromised (neutrality, staff safety)* ***(5)*** *demonstrate that criteria for intervention and eligibility for assistance are exclusively based on individual needs and applied uniformly in all parts of the country* ***(6)*** *Do not expose national staff (including translators) in your interaction if this may compromise their security or the security of their families.*	

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