**Country/Survey, Year**

**Multiple Indicator Cluster Survey**

**Protection Protocol**

The following is a table of the potential risks and management strategies to be put in place by implementing agencies.

Insert potential risks, management strategies to mitigate these and cite who is responsible for the follow up of each item. Several examples are provided below. These will need to be customized based on the context of the survey and country. The focal point for ethics in the steering committee should develop this template in collaboration with the rest of the committee. This document should be finalized before the instruments are piloted.

| **Risk** | **Risk Management Strategy** | **Responsibility** |
| --- | --- | --- |
| Examples | Examples | Examples |
| Participant has grave and obvious health concerns. | Steering committee determines a standard for when action needs to be taken  Interviewers to provide details of relevant local health facilities provided to participants evidencing acute conditions | Steering committee – ethics focal point  Interviewers |
| Communities or participants have complaints or concerns about the survey | Establish complaints focal point from implementing partner to addressing issue.  In the first instance, concerns will, if possible be addressed by interviewers and supervisors, then the survey manager.  Information to be provided to participants and communities regarding contact details of concerns or complaints focal point. | Interviewers/  Supervisors/  Survey manager |
| Disclosure of events that are in conflict with local laws.  Where no Legislation exists | Clear articulation to participants before individual surveys that the interviewer cannot disclose the information provided and that the interviewer is exempt from disclosure due to the governance agreements of the survey (e.g. MoU between government and UNICEF).  No measures will be taken unless the respondent asks for help in which case the interviewers will provide information on relevant support services/help lines (determined in advance and provided to interviewers as a list of local or relevant health and social support services that are available and willing to provide support as necessary). | * Interviewers * Supervisors * Country Focal Point * Relevant government and service providers * Interviewers |
| Respondent becomes visibly distressed by certain questions | If necessary, interviewer asks participant if they want to stop for a few minutes and return to it later. A second option may be to ask the respondent if he/she wants to skip the particular question.  If respondent continues to be distressed, interviewer may stop the interview and make plans for a return visit if the respondent agrees. | Interviewers |
| Presence of military or other authority figures are potentially intimidating for respondents | Survey manager negotiates presence with military escort and/or authority figures in such a way that will minimize any potential intimidation. In some cases, these figures are welcomed while in other cases, these figures may be best kept out of sight during the survey. | Survey manager |
| Limited or no privacy (e.g. an adult in direct proximity) | Interviewers can ask for a place in the home where they and the respondents will not be in hearing distance of any adults  If privacy is limited before certain parts of the questionnaire (e.g. sexual behaviours), interviewers may explain nature of questions and again, ask for privacy. Finally, the interviewers may return to these questions at a later time when there is more privacy. | Interviewers |
| Data on respondents are shared (breach of confidentiality)  Hard copies of questionnaires not in a secure location  Identified data by cluster of Survey Manager | Survey manager discusses individual cases with the field teams. Re-training on confidentiality may be necessary.  Hard copies of paper questionnaires are stored in a secure location. All paper questionnaires are provided to supervisor at end of day and sent to secure location. Paper questionnaires are destroyed after X (*time*) after the launch of results and final report.  Identified data (data identifying location and names of respondents are kept in a password protected file). Data are de-identified before sharing of data (as per usual MICS procedures) | Survey manager |
| Interviewers know respondents. | The supervisor assigns a different interviewer to the household | Survey Manager |
| Interviewer’s beliefs in conflict with that of the community. | Interviewers are trained not to provide any information regarding their religious or political affiliations or other beliefs. | Survey manager |

**Risks in the Field**

In instances where risks actually occur, it is important that they be noted and collected by supervisors at the end of field work discussions. These should be noted by supervisors and submitted to the survey manager.