



Training on Human Rights-Based Approaches to Development

Experiences and Materials 2006

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Table of Contents

Abstract	1
1 Background	1
2 Context: Human Rights and Human Rights-Based Approaches	1
2.1 Perceptions of Human Rights in German Development Cooperation.....	1
2.2 Current Approaches to Mainstream Human Rights	2
2.3 Conclusions for Trainings	5
3 Aims and Objectives.....	5
4 Methods and Materials	6
5 Participants and Facilitators	6
6 Feedback by Participants	7
7 Lessons Learned.....	7
Annex 1: Schedules.....	I
1.1 One-Day Training.....	I
1.2 Two-Day Training for Trainers	I
Annex 2: Exercises and Activities	II
2.1 Commitment Line	II
2.2 Equity and Barriers to Access	II
2.3 Rights-Based Approaches and the MDGs	IV
2.4 Characteristics of RBD in Practice	IV
2.5 Discrimination and Inclusion	IV
2.6 Planning for Rights-Based Development	VI
2.6.1 Case Studies.....	VI
2.6.1.1 Maternal and Neo-Natal Health in Yemen	VI
2.6.1.2 Ghana, Rights and Voice Initiative: A Civil Society Challenge Fund..	VII
2.6.2 Presentation: RBD Log-Frames	IX
2.6.3 Planning for RBD Trainings.....	IX
Annex 3: Presentations and Input on Rights-Based Development	X
3.1 Power Point Presentation on RBD	X
3.2 Normative Basis of a HRBA	X
3.3 RBD: Politics and Power	X
3.4 Rights-Based Development not Rights-Based Approaches	XI
3.5 Origins of RBD: Why RBD, Why Now?	XII
3.6 The Value of RBD to Poverty Reduction Strategies: Poverty is Political Powerlessness	XII
3.7 Organisational Approaches to RBD.....	XIII
3.8 Rights-Based Approaches: Contested Claims	XIV
3.9 Rights-Based and Needs-Based Development: What are the Differences?...	XV
3.10 Rights: Putting Values Back into Development	XVI
3.11 Redefining Rights-Holders and Duty-Bearers	XVII
3.12 The Implications for Partnership.....	XVII
3.13 Investment in Engagement.....	XVIII
3.14 Using Conflict Creatively	XVIII
Annex 4: Planning, Monitoring and Evaluation in RBD.....	XX
4.1 Background	XX
4.2 Components of the Framework	XXI
4.3 Areas of Enquiry under the Framework.....	XXIII

Abstract

This report is a brief summary on the training experiences on human rights-based approaches (HRBAs) in different German development agencies. The trainings were organised by the German Institute for Human Rights, as part of the GTZ-project *Realising Human Rights in Development Cooperation*, commissioned by the German Ministry for Economic Cooperation and Development (BMZ). They were conducted by Sheena Crawford of *CR2 Social Development*, specialising in facilitating capacity-building for rights-based development and poverty reduction. The material *CR2 Social Development* used in the trainings is annexed to this report and the respective powerpoint presentation is being sent out separately. All materials are copyright of *CR2 Social Development* unless otherwise stated.

1 Background

The [Development Policy Action Plan on Human Rights 2004-2007](#), issued by the [Ministry for Economic Cooperation and Development \(BMZ\)](#) in July 2004, mandated the [German Institute for Human Rights](#) to support the Ministry in its efforts to strengthen staff capacity, with respect to human rights, in the BMZ and the different implementing agencies. To further this end, BMZ commissioned the GTZ-project [Realising Human Rights in Development Cooperation](#) in June 2005. GTZ then contracted the German Institute for Human Rights as an implementing partner.

Realising Human Rights in Development Cooperation is an advisory project, based at GTZ head office. Its main focus is the incorporation of human rights in Ministry policies (such as sectoral and country/regional strategies) and capacity development in the head offices of the four German implementing agencies [GTZ](#), [KfW](#), [InWEnt](#) and [DED](#). At country-level, the project pilots the incorporation of human rights in bilateral development cooperation programmes in Kenya and Guatemala. In addition, the project supports working processes at the international level, such as in the OECD-DAC Task Force on Human Rights and the UN Human Rights Council.

2 Context: Human Rights and Human Rights-Based Approaches

2.1 Perceptions of Human Rights in German Development Cooperation

Human rights considerations have been a part of German development cooperation since the 1990s. Owing to the Cold War legacy of human rights politics, German policies have associated human rights with political and civil rights (freedom of the press, freedom from torture etc.). This understanding has been mirrored in the debates on human rights conditionality and reinforced by the institutional arrangement in most organisations where human rights remain part of the respective governance/democracy desks.

Most development practitioners perceive human rights as stemming from, and representing, values, often Western values. The international or regional human rights regime is generally unknown, not only in its legally binding character but also in respect to the wealth of information contained therein. The association of human rights with “Western values” partly stems from the emphasis on the power of culture so influential in the social sciences during the 1990s and the strong shift to neo-liberal management of development. “Intercultural competence” became a key qualification for development staff, and often led practitioners to develop an odd mix of cultural relativism and cultural determinism with respect to persons in

“other” cultural contexts.¹ Many German practitioners still perceive working for the fulfilment of human rights, and women’s rights in particular, to be striving for achievement of Western values. They believe this may be only marginally relevant, or not fitting at all, for non-Western cultural contexts.

In fact, closer examination, and rights-based approaches in practice, show that human rights do have global relevance and that many social movements have originated from people’s struggles to fulfil their rights.²

Owing to the association of human rights with civil and political rights, and the tendency to ignore social and economic rights, there are practitioners at headquarters working, for example, in water, agriculture, education or health systems, who question the relevance of human rights for their work. In addition, some country staff tend to perceive the incorporation of human rights as another “fashion” and an additional burden, “invented” by headquarters – getting in the way of what they see as the “realities on the ground”.

Another argument put forward against Rights-Based Approaches points out that participation has long been a requirement of good development practice, and that all human rights principles – participation, accountability, non-discrimination/equality – are principles pertinent to Good Governance. In this argument, Human Rights principles are seen as a new label for old practice and, therefore, redundant. But, much is done in development, under the banner of “participation”, which is not truly participatory in nature and which does not address issues of social exclusion and elite capture of development.³ It also appears that while most contemporary notions of Good Governance have engaged with accountability and transparency, non-discrimination appears conspicuously absent, as evidenced by the numerous current attempts to engender governance.⁴ An explicit rights agenda in German development cooperation has therefore been most pronounced among staff in gender equality desks. The point about Rights-Based Development is that it integrates the core issues of participation, inclusion (working to reduce discrimination and social exclusion) and fulfilment of obligation (accountability and transparency in defining and carrying out roles and responsibilities) and stresses the fact that all actors have responsibilities as well as rights.

2.2 Current Approaches to Mainstream Human Rights

To make matters more complicated, the approaches currently in use by different organisations are rather different in terminology and substance.⁵ The most frequent terms

¹ See Hüsken, Thomas (2006): *Der Stamm der Experten - Rhetorik und Praxis des Interkulturellen Managements in der deutschen staatlichen Entwicklungszusammenarbeit*. Bielefeld: transcript Verlag.

² For example, land rights struggles in Bangladesh and Indonesia; labour rights in Latin America; environmental rights in Nigeria.

³ See, for example, comments by Elwert, Georg (2002) Participation as a substitute for the rule of law. In: [Kritische Bilanz partizipativer Ansätze in der Entwicklungszusammenarbeit. Berlin: SLE/HBS](#), pp. 17-20 for the German context. For British aid see: Mosse, David (2005) *Cultivating development – an ethnography of aid policy and practice*. London: Pluto Press.

⁴ For a broader view on the links between the topics of Gender and Governance see for example: Baden, Sally (2000): [Gender, Governance and the feminization of poverty](#). In: UNDP (ed.): *Womens political participation and Good Governance – 21st century challenges*. New York: UNDP, pp. 27-40; Mishra-Panda, Smita (2003): [Gender issues in Governance \[PDF\]](#); Inter-Parliamentary Union et al. (ed.) (2004): [Parliament, the budget and gender](#); Goetz, Anne Marie and Robert Jenkins (2004): [Reinventing accountability – Making democracy work for the poor](#). London: Palgrave; Charlie Sever (2005): [The gender, poverty, governance nexus: Key issues and current debates](#). Paper commissioned by Development Cooperation Ireland: BRIDGE; Asian Development Bank (2006): [Gender, law, and policy in ADB operations – A toolkit](#). Manila: ADB. Umfassende Informationen auch bei UNDP <http://www.undp.org/governance/gender.htm>.

⁵ For details on the different approaches of bilateral donors and UN organizations see: OECD (2006): *Integrating human rights into development – Donor approaches, experiences and challenges*. Paris:

are Human Rights-Based Approaches (HRBAs) and Rights-Based Approaches (RBAs.) There has been little agreement on what each term actually means. Organisations use different terms for essentially the same approach, or the same term when actually meaning different things. Essentially, all work within a rights framework has the same ultimate goal: achievement of equity, justice and dignity for all through realisation of the rights standards enshrined within the various human rights instruments. However, different organisations have different perspectives on how this will be achieved in practice.

HRBAs grew, mainly, out of the UN approach to fulfilling rights. The UN agencies now work under a common HRBA framework, which was spearheaded by UNICEF, during the 1990's, through efforts to operationalise the Convention on the Rights of the Child (CRC). HRBAs have tended to be "compliance driven". That is, they take, as a point of departure the obligatory character of the international and regional human rights regime, and focus on government obligation, capacity and action to meet the standards of the rights instruments. Conversely, Rights-Based Approaches (RBA) have often been generated out of the need to support citizens in raising voice and demanding rights. These approaches have been exemplified in social movements, such as women's and land rights movements, in the South. RBAs, have tended to put strong focus on advocacy, CBO/NGO strengthening and empowerment.

Each approach has strengths and weaknesses. With its focus on government legal obligations, a HRBA is strong in its commitment to the universality and legitimacy of human rights law. Consequently, a HRBA lends political legitimacy to citizens' demands for more accountability, less repression and better government performance. Assuming that failure to implement human rights obligations is not only caused by lack of political will, a HRBA focuses on improving government capacity to fulfil rights. A HRBA also fosters synergies between the international/regional human rights regime and development and clarifies the nature of the global effort to reach the MDGs. One of its main weaknesses is its abstraction, thus becoming difficult to apply for people working on the micro- and meso-level; another weakness is its state-centeredness, making it difficult to apply it in settings where state structures are fragile or non-existent. The political credibility of HRBA depends largely on whether and how the HRBA is integrated in all the policies of donor countries.

RBAs are strongly connected to social struggles in the South and the traditional repertoire of human rights action. They are, therefore, very strong in their commitment to making citizen's voices heard and have brought about numerous changes for the well-being of groups concerned. However, what, until recently at least, has been missing, has been attention to Response as well as to Voice. There have been relatively few RBAs which give focus to working with the more powerful people, working in authorities and in current decision-making positions, as well as working with powerless people who need support to voice their claims.

Currently, in attempts to address what have been seen as weaknesses in the HRBAs and RBAs, work under the banner of Rights-Based Development (RBD⁶) is attempting to draw together the compliance and socially-driven aspects of rights-based work. RBD takes the social contexts of development, and their inherent power imbalances, as a starting point. Using the concepts and principles of rights and obligations, RBD sees poverty as political and economic powerlessness and exclusion, and aims to establish relations of mutual accountability, between citizens and state, so as to shift power imbalances. There is a focus on understanding what constitutes the rights environment in any given context and shifting

OECD and Frankovits, André (2006): [The human rights-based approach and the United Nations system](#). Paris: UNESCO.

⁶ See, for example, work supported by CR2 Social Development.

the relations of power and accountability in favour of people who are currently powerless. RBD starts by mapping the rights environment in any context – in terms of the supporting international, national and local legal framework, mapping understanding of this and existing capacity to make rights real. It then looks to programme work which will encourage citizen-state engagement in the planning and management of resource allocation for development. It, therefore, always operates with both sides of the voice-response equation.

Experience has shown, however, that a concentration on making rights real in practice may, at times, lead RBD away from any focus on the international rights instruments. The challenge now is to re-engage with those instruments and to ensure that all work is supported by the “scaffolding” which the rights instruments can provide. What is vital is that the principles of participation, inclusion and fulfilment of obligation, employed in RBD, remain integrated. If linkage between the principles is lost, RBD may tend in operation, to become indistinguishable from other modes of development, like participatory or action-oriented development.

Approach	Focus of Action	Strength	Potential Weakness
HRBA	Government obligation, capacity and action and right-holders	Law-based, legitimacy, synergy, normative underpinning for the MDGs	Abstract, state-centred, top-down
RBA	Citizen demand and voice	Participatory and empowering	Detached from root causes of poverty and government capacities
RBD	Mutual accountability	Bringing together Voice and Response, shifting power relations for well-being of all; linking development practice to legal compliance. Addresses root causes of poverty. Has mechanisms to tackle corruption,	Legal character of human rights may become diffused

All approaches are committed – in one way or another – to what are called human rights principles. But even in regard to these principles, organisations’ interpretations differ. The most comprehensive list of **human rights principles** comes from the [UN Common Understanding \(2003\)](#), covering universality and indivisibility, inter-dependence, equality and non-discrimination, participation and inclusion, accountability and rule of law. Swiss Cooperation follows this understanding⁷ as well as the OECD-DAC, which refers in its [“Action-Oriented Policy Paper on Human Rights and Development” \(2007, page 16\)](#) explicitly to all these principles. DFID, follows the same understanding, but uses a concise categorisation of human rights principles, featuring participation, inclusion and fulfilment of obligations.⁸ By including characteristics of human rights as human rights principles, the UN Common Understanding stresses the normative character of these principles for UN organisations. DFID, on the other hand, puts more emphasis on the operational relevance of human rights principles. The GTZ-project *Realising Human Rights in Development*

⁷ DEZA (2006): [SDC’s Human Rights Policy: Towards a Life in Dignity. Realising Rights for Poor People.](#)
⁸ DFID (2000): [Target strategy paper – Realising human rights for poor people \(summary\).](#)

Cooperation works with equality/non-discrimination, participation/empowerment and accountability/transparency as the main human rights principles. These are relevant both for conceptualising pro-poor development cooperation and for guiding programming and implementation, with a view to desired results and processes of development cooperation interventions.

Overall, the GTZ-project works combining a HRBA and RBD in the formats described above, thus attempting to combine the strengths and to counter the potential risks inherent in each approach. We also found that a combination of a HRBA and RBD does make sense given the organisational structure of German implementing agencies. The four government agencies work on very different levels, ranging from the micro- and meso-levels to national advisory services and budget support. This breadth of engagement requires breadth in approach, for human rights to be relevant on the different levels. In this report, we document the RBD part of our trainings in 2006; a forthcoming training manual will add the model trainings we developed on a HRBA.

2.3 Conclusions for Trainings

To fit the working contexts of the different participants and draw on the different approaches outlined above, and given that staff in most organisations will only be available for trainings once for half a day during their career, it seems important to employ a broad strategy to capacity development and

- integrate human rights into introductory trainings on development policy practitioners receive in their respective institutions;
- integrate a HRBA/RBD into mandatory trainings on cross-cutting issues, like gender, poverty reduction etc. and into methodology (participation, communication etc.);
- accompany the development of human rights-based policies in the different sectors and countries with training measures concentrating on what a HRBA/RBD means in the different sectors, and
- make human rights information accessible and digestible for headquarters and country desks.

3 Aims and Objectives

The overall aim of our trainings conducted in 2006 was to give participants an overview of the principles and practices of RBD and to stimulate questions and debate on the ways in which it can be implemented. Participants in the different trainings were drawn from DED and GTZ-staff respectively and also from freelance consultants and personnel already involved in the GTZ-project. All participants were in positions where they may be required to facilitate learning processes on a HRBA or RBD.

Among the objectives of the one-day courses were:

- to introduce participants to a practical approach to rights-based development;
- to increase understanding the principles and practices of rights-based development;
- to gain confidence in applying a rights-based approach;
- to gain skills for using rights-based approaches in planning, implementing and evaluating projects and programmes;
- to introduce a framework for monitoring and assessment of RBD in policy and practice.

An additional objective of the two-day train-the-trainers seminar was to encourage and enable trainers to use RBD within the trainings they conduct and increase their understanding on how to facilitate trainings.

From the outset, we realised that one or even two days would not be sufficient to impart full learning on RBD and how to train on RBD. Nevertheless, it was felt that participants had sufficient experience within the human rights and/or development fields that they would be

able to pick up on the ideas explored in the courses and make choices about areas where they would wish to gain further knowledge and skills.

The agendas of the one-day and the two-day course are annexed to this report (see Annex 1: Schedules).

4 Methods and Materials

Methods used throughout the trainings conducted by *CR2 Social Development* involved a mixture of plenary and small group activities, presentations, discussion and experiential learning.

Wherever possible, presentations were used to reinforce messages emerging from activities and discussion, rather than to introduce a subject, which would then be further explored in activities. RBD is not complicated in practice, yet expressing the concepts and ideas of RBD is complex. It is difficult to find readily accessible ways to communicate the concepts of RBD in presentation without over-simplifying the ideas. Experience over the last years has shown that communication can usually be achieved best by working on group activities exploring some of the important principles and themes of RBD before giving presentations. However, some groups will feel more comfortable exploring the “theory” before the “practice”, though this does not necessarily lead to the most successful communication of ideas.

In general, the material used in the trainings exemplifies important characteristics of rights-based thinking: It takes as a starting point individuals and how they are positioned in their social and political contexts. This is not only an important axiom of human rights, but also runs counter to perceiving individuals as members of homogenous target groups or interest-free stakeholders, so prominent in development thinking. By working with excerpts of real-life individuals’ biographies and real-life development programmes, the trainings attempted to avoid an overly legalistic perspective, known from legal training in Germany where real-life problems are often abstracted to the level of Joe and Jane Doe case law. These may be necessary to illustrate the intricacies of legal discourse but fail to be relevant for the working context of non-lawyers.

Trainings also used exercises to enable participants to make use of RBD in planning and monitoring and not only in implementation. We felt that this is particularly important for increased staff capacity working with human rights since it counters the natural tendency of organisations to re-label on-going programmes and activities as rights-based. In addition, monitoring the results of a HRBA/RBD also demonstrates that rights-based approaches are not only about increasing information about rights or empowerment but also about achieving tangible and sustainable results for those usually left out of the development process.

5 Participants and Facilitators

There were between 11-17 participants in the trainings, with an overwhelming majority coming from a German background, reflecting the largely monocultural composition of German development agencies. In all trainings, women participants were more numerous than men, and juniors were mostly more numerous than seniors with management responsibilities. The gender imbalance might be related to staff level, organisations often having a majority of women as junior and mid-level staff. Experience shows that gender balance and cultural heterogeneity can positively impact discussions on discrimination and exclusion.

The same holds obviously true for facilitators. While there has been an increase in international trainers on a HRBA and RBD in recent years, most of them appear to be women and of Western cultural origin. There are no professional trainers on a HRBA/RBD in the German context. For facilitators of a HRBA and RBD, we found it to be absolutely essential that they be well versed with the theoretical debates and practical challenges in

development cooperation. The development community is a tightly-knit community, both in practice and semantics; it is also largely self-referential, i.e. only takes up issues “proven” to work in a development context.

6 Feedback by Participants

Feedback from participants was collected regularly after the trainings – both in oral and written form. Participants liked the mix of methods and, in particular, the interactive methods (case studies, discussions etc.). In terms of content, they enjoyed the close link to development practice via the use of numerous examples. Some proposed the use of less complex tasks followed by more time for debriefing and discussion.

Trainings were usually followed up by sending more material and tools developed by the GTZ sectoral project. For the trainers we trained in the ToT, we will offer a second meeting one year after the initial seminar to follow up on experiences and deepen skills in training and advising on a HRBA and RBD.

7 Lessons Learned

We experimented with a number of different formats in capacity development, among them lecture series, workshops and trainings. We found workshops and trainings the best format for most audiences since they enable participants to test and apply what they learn during the event.

As outlined above, we found the main constraints for capacity development to be the institutional diversity in German development cooperation and the time pressure facing our colleagues in the Ministry and implementing agencies. Therefore, any training needs to be short and easily “digestible” - that is, we need to offer information and methods easily translatable into the respective working contexts. Given the institutional diversity of German development cooperation, this sounds easier than it actually is – institutions work in a very different fashion and on different levels. **“One size does not fit all” thus translates into the need to devote considerable resources to tailoring trainings to the respective target groups and evaluating them carefully.**

As in all development contexts, demand for training in HRBA/RBA and RBD is created by policy development. In the beginning, policy development moves slow, but then does create demand rather quickly, particularly for sectoral and/or country experts. Given that development needs not only dedicated and up-to-date staff but also freelancers, this demand needs to be anticipated. **Consequently, capacity development also needs to address freelance trainers and advisors.**

Since staff are rarely available for trainings, we aim to integrate human rights into the respective in-house trainings. **Given the overloaded schedule for these trainings, human rights needs to be integrated into already existing cross-cutting issues, like gender, crisis prevention, HIV/AIDS and into sector specific trainings on health, water, governance etc.**

The German Institute for Human Rights organized the trainings documented in this report. It did so in its capacity as part of the GTZ-project. In general, [National Human Rights Institutions](#) can play a particularly fruitful role in trainings for development practitioners, since they are often perceived as a neutral player in the field of development. However, **all human rights education for professional groups needs to be based on long-term insider knowledge of the profession**; lacking this type of expert knowledge will quickly make the

topic irrelevant for practitioners.⁹ In trainings dealing with a specific sector, we found it useful when the relevant policy department at the Ministry invited staff from the implementing agencies and was present during the training.

To sum up, in our experience training for human rights needs to be:

- highly relevant and practical (what can participants do with what they learn?),
- very condensed and thus selective (what information do participants really need to know?), and
- based on a long-term strategy to integrate human rights capacity development in in-house trainings.

⁹ Experienced actors in trainings on the rights-based approach for development practitioners include the following institutions: The Human Rights Centre at the University of Essex, the University of Berne and the Danish Institute for Human Rights.

Annex 1: Schedules

1.1 One-Day Training

Time	Activity
9.00 – 9.30	Registration of participants
9.30 – 9.50	Introductions; workshop methods and logistics
9.50 – 10.30	Human rights: what they are and how they help us reach the MDGs
10.30 – 11.30	Activity: Equity and Barriers to Access Plenary discussion
11.30 – 11.45	Break
11.45 – 13.00	Presentation: Principles of RBD – reaching the MDGs Plenary discussion
13.00 – 14.00	Lunch
14.00 – 14.30	Rights-holders and duty-bearers, issue-based stakeholders (roles)
14.30 – 15.30	Activity: Discrimination and inclusion Plenary discussion
15.30 – 15.45	Break
15.45 – 16.45	Activity: Characteristics of RBD in practice – the implications for different sectors and themes
16.45 – 17.00	Plenary discussion and closing.

1.2 Two-Day Training for Trainers

Day 1	
9.30 – 10.00	Registration of participants
10.00 – 10.30	Introductions; workshop methods and logistics
10.30 – 11.45	Activity: Equity and Barriers to Access Plenary discussion
11.45 – 12.00	Break
12.00 – 13.00	Human rights: what are they and how do they relate to development? Plenary discussion
13.00 – 14.00	Lunch
14.00 – 15.45	Activity: Characteristics of Rights-Based Development (RBD) Presentation: Principles of RBD: reaching the MDGs Plenary discussion
15.45 – 16.00	Break
16.00 – 17.00	Issue-based stakeholders Rights-holders and duty-bearers

Day 2	
9.30 – 10.45	Activity: Discrimination and inclusion Plenary discussion
10.45 – 11.15	Break
11.15 – 12.45	Presentation: Planning, Monitoring and Evaluation in RBD Plenary discussion
12.45 – 13.00	Preparing for afternoon activities
13.00 – 14.00	Lunch
14.00 – 15.30	Activity: Planning for Rights-Based Development; a planning exercise
15.30 – 16.00	Break
16.00 – 16.45	Activity: Skills and tools needed for trainers on RBD
16.45 – 17.00	Closing

Annex 2: Exercises and Activities

2.1 Commitment Line

Objective: To get a quick, visual representation of people's feelings about RBD

Following introductions, participants were asked to imagine a line dividing the room into two halves. On one side of the line, the space represented a place where people felt relatively comfortable with RBD and confident in communicating ideas on RBD to others. On the other side of the line, the space represented discomfort with RBD and lack of confidence. The closer to the walls, the more extreme the feeling. Participants were then asked to place themselves in the room at a spot which would show how comfortable/confident they currently felt with RBD. Everyone was then asked, individually, to give a reason for why they had chosen that spot.

2.2 Equity and Barriers to Access

Objective: To get participants thinking about the underlying causes of inequity. To explore the relationship between power and inequity.

In this activity, participants worked in three groups to explore three of the case studies outlined below. Participants were asked to use different coloured cards to identify opportunities and barriers for the people involved in the case study in terms of human security and achieving well-being. Barriers were placed down one side of a piece of flip chart and opportunities down the other. Participants were then asked to identify the underlying causes of the barriers to human security and well-being.

The Case Studies

Romania

Lara moved to the city a few years ago from her home in the countryside. She wanted to find work in the town but, until now, she has found nothing permanent. Her mother is still living in the rural area, but her father died two years ago, of pneumonia. Their village is part of a large rural development programme, funded by the EU. Lara has a small "flat". It is a single room, about 3 metres long by 2.20 wide, just big enough for a single bed and a small corner where she has an electric ring to cook on. There is a communal bathroom down the hall. Heating is provided by the Municipality and is paid for as part of the rent. But power cuts are common. Lara has a daughter, Maria, aged seven. Maria lived with her grandmother until six months ago when Lara's mother said she could no longer cope and sent Maria to town with Lara's sister, Anna. Now they are all living in the flat. When Maria came, Lara was working in the clothing factory nearby. But she was late for work several times, trying to get Maria ready for school, and she lost her job. Anna sleeps late most days, goes out in the afternoon and comes home in the early hours of the morning. She doesn't talk about where she has been.

Malawi

Patience is a grandmother. She lives in a small village in the south of Malawi, in Chickwawa district. Her husband died last year. Her eldest son and daughter left some years ago to go to Lilongwe to look for work. She hasn't heard from them since; they have never been back to visit. She had six other children, three girls and three boys. All the boys and two of the girls are now dead. A local church-based NGO has a scheme to provide one meal a day to orphans living in the areas. Last year, Patience's youngest daughter, after her own husband died, left her three young children with Patience and went to Lilongwe to see if she can find her brother and sister there. Patience is now on her own, trying to provide for the children. They are eight, six and three years old. The eight year old used to go to school, and he still wants to go, but there is no money in the household. The rains have been bad this year and the millet has dried too soon on the stalk. Patience suffers from strong pains in her abdomen, which make it hard for her to work. She would like to go to the hospital. She does not trust the clinic, which is an hour's walk away, but the bus to the city is expensive, and who would look after the children?

Indonesia

Pak Andik lives with his family in a very remote village on the flanks of the mountain. Since 2002, the village has been part of an MFP funded process designed to encourage community-based forest management. This has meant that more outsiders now come to the village for meetings particularly with village leaders. Pak Andik has six children, the youngest of whom is still breast-feeding. But his wife says she is very tired and she is often sick. Like all the other homes in the village, his home is not connected to electricity or a water supply. The children fetch water from springs round about. The family lives in a three-room house, made from wood, with a clay floor. The eldest two children, both boys, live with their father's brother in the main town of the island where they attend SMA and SMP (primary and secondary school). They do not return home often. In return for their board and lodging, they help with household chores before and after school and work in the little shop that their aunt runs in front of the house. The following three children - all girls - attend primary school in the village, but the teacher is often absent and their mother often takes them out of school to help in the house, particularly when she is sick or during busy agricultural periods.

Kiribati

Michael and Sarah are both 19 and they live on the island of Kiribati in the Pacific. They had been sweethearts since their schooldays, and finally got married three years ago. Although they both got their school certificates, it has been hard finding work since, and they usually have very little money. Michael's family encouraged him to go to school so that he would be able to avoid going into the fishing through which so many families have tried to make a livelihood. After school, when he and Sarah were really in love, Michael had wanted to go away to Australia and find a new life for him and Sarah, but he couldn't get permission and then, anyway, Sarah got pregnant and they had to get married quickly. Now they have another baby as well. They are lucky that Sarah's parents said they could all live in the shack next to the main house. It's just one room and it's cramped, but it's OK, except whilst the rain is actually falling, the holes in the roof let in a lot of water. It does dry out quite quickly, though it's making Sarah very depressed. For a while, Michael didn't have any work at all. He couldn't bear sitting round the house all day, listening to the kids crying and Sarah moaning, so he used to hang out with friends, drinking too much beer and sometimes getting into fights. Sarah's father got fed up with him and told him he'd have to join in with the fishing business. So now he's away a lot of the time doing a job he hates, though it is fun hanging out when they stop in other ports, and he's not getting on well with Sarah when he comes home.

Yemen

Fatima is fifteen and she is the third wife of a powerful Sheikh living in a mountainous area in the North of Yemen. Fatima got married last year and now she is seven months pregnant. Her mother-in-law says that it will be twins. Fatima's husband is not really unkind to her, but she hardly ever sees him. He is often away in the city, where he stays with his second wife in a house he has built for her. His first wife stays in the village. To Fatima, it seems the first wife is almost as old as the mother-in-law. When she was young, Fatima went to school for two years. Then her father removed her because he said it was too dangerous for a young woman to be walking around, away from the house. She has forgotten how to read and write. Fatima has been feeling really unwell with the pregnancy, and it is getting worse. She can no longer lift the jerry can of water which she has to fetch from the spring down the mountain every morning, and her legs seem to be swelling badly, even when she tries to rest. Her mother-in-law is not sympathetic. Fatima knows she needs to see a doctor, but her husband is away and, without his permission, she cannot ask to be taken to help.

2.3 Rights-Based Approaches and the MDGs

Objective: To see the link between RBD and achievement of the MDGs

Participants work in groups to identify what would be needed in different sectors (e.g. livelihoods, education, health) to be considered in working for MDG achievement in a rights-based way.

2.4 Characteristics of RBD in Practice

Objective: To begin to relate RBD to our own work experiences. To consider the principles of participation, inclusion and fulfilment of obligations in practice.

This is a short brainstorming activity done in small groups (c. 20 minutes) as an introduction to a presentation on Rights-Based Development. The aim is to identify characteristics of RBD in different sectors and different themes, in practice and in policy development. For example: HIV Prevention and Control, Maternal and Neonatal Health, Integrated Forestry Management, Primary Education, Livelihoods, Child Labour, Sustainable Environments, Small Scale Enterprise Development.

Groups discussed what characteristics of development would be needed to make any initiative in the sector or theme “rights-based”. Ideas are fed back to the plenary group.

2.5 Discrimination and Inclusion

Objective: To experience feelings relating to discrimination and social exclusion and relate these to inclusion issues in development

To be able to work for inclusivity from a rights-basis, we need to tackle all aspects of discrimination. We need to look at both: at how society, culture and tradition discriminate against certain groups of people and also at the ways we, as individuals, discriminate and are discriminated against. Not all discrimination is “obvious”. And we all discriminate against other people at times.

Here is a list of simple things which can lead to discrimination: ask yourself if you have ever felt discriminated against because of any of them. Or have you perhaps discriminated against others because of any of these things? What does it feel like to be discriminated against? What does it do to you? What do you feel about the person who is judging you in this way? What do you feel when you judge other people in a discriminatory way? What do you think they feel about you?

Have you ever been discriminated against:

- Because of being a boy or a man
- Because of being a girl or a woman
- Because of the way you look
- Because of the amount of money in your family
- Because you were poor
- Because of the amount of education you had
- Because of your background
- Because of the colour of your skin
- Because of your age
- Because of your health status
- Because of your sexual practice or preference
- Because of your nationality
- Because of the clothes you wear
- Because of your personality

- Because you are close to someone with HIV
- Because you have been abused

Notes for debriefing and discussion

Questions for debriefing: Have you ever discriminated against anyone else for any of these reasons? What does it feel like to be discriminated against? What do you feel when you discriminate against someone else? What did you experience when doing the activity?

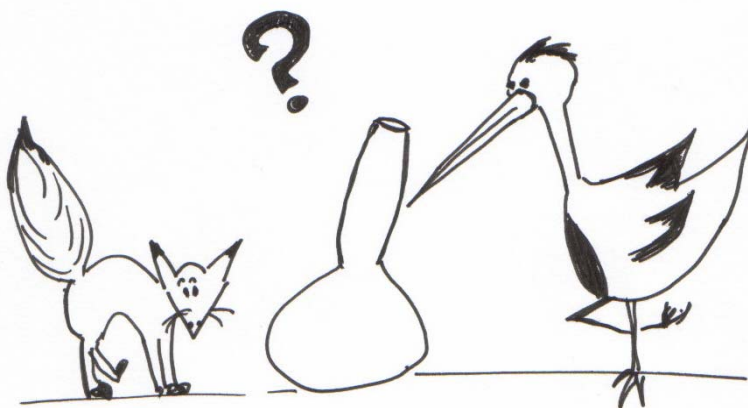
Once again, this is an instance where we can see that working for rights-based development means that we have to challenge ourselves and our own preconceptions and judgements just as much as we challenge the wider society. We can't work to encourage poor and marginalised people's voices in the education system if, in our own homes and lives, we aren't willing to listen to people who have fewer advantages or less power than we do.

Challenging discrimination means that we are challenging inequality. When we get rid of discrimination, we can treat people more equally. But this does not mean that we will then treat everyone exactly the same. Treating people equally means that we will take people's particular needs into consideration, and we will work with them to identify appropriate means to get their rights and their needs met.

People have very different reactions to this activity. It is best done in groups where people have already built a degree of trust with each other. It is also important that the facilitator joins in the activity. There is often discussion about what is "real" discrimination - does it depend on the feelings of the individual? Is it only related to "big" things, like racial discrimination? Or does it operate on many different levels?

The Fox and the Stork

Two friends, a fox and a stork, were both very hungry and were walking across the grasslands together looking for food. Eventually, they met a woman carrying a tall gourd and in the bottom of it there was a delicious meal. She agreed that they could eat the food, and she left them with the gourd and walked on to her home:



Q: Both the fox and the stork were happy at first and agreed to share the food, half each. But, in the end, who got to eat the food?

A: Only the stork could eat, because only he could reach in to get the food. The gourd was not an appropriate shape for the fox to be able to eat. The only way the fox would be able to eat that day, would be if he ate his friend!

2.6 Planning for Rights-Based Development

Objective: To encourage participants to think about the components of rights-based development in particular sectors.

Participants worked in two groups to facilitate a process for development of a project memorandum.

2.6.1 Case Studies

2.6.1.1 Maternal and Neo-Natal Health in Yemen

Yemen is the only low-income country in the Middle East region and has some of the worst Human Development indicators, including the MDGs for maternal, infant and child mortality. An estimated 130,000 women are at risk from complications in childbirth each year, which can lead to death or disability. The family also suffers; seeking care for an obstetric emergency and/or the loss of the mother, who is a key family producer and caregiver, can result in catastrophic costs to the household. Maternal deaths account for 42% of all deaths among women of reproductive age, and the neonatal mortality rate is estimated to be 37.3/1000 live births. Up to 70% of newborn deaths could be averted through maximising the synergies between maternal and newborn health.

Successive studies of the situation in Yemen have described a health system that is poorly resourced (total expenditure on health is 4.5 % of GDP, a median value for the region) and a country that will struggle to reach many of the health or gender related MDGs. The existing health system is also inequitable. As much as 69.5% of total health expenditure is private (most of it straight out-of-pocket). The UN Millennium Project has produced an estimate of US\$24--39 per capita per year as the level of investment required between now and 2015 to establish a basic basket of health services and achievement of the health MDGs. More efficient management of existing resources would alleviate the situation. A more equitable distribution of the burden of expenditure, between private and public sectors, and also between population quintiles, would add to the impact.

Yemen is divided into 21 governorates and has a population of c. 20 million. Geographically, it ranges from dry sand desert to extremely isolated mountain ranges. Infrastructure is improving, but access to some areas is still very hard. There are enormous social and geographic disparities in health service access and coverage across Yemen. As of 1997, roughly 50% of deliveries were attended by a medically trained person in the richest population quintile, as against 7% in the poorest population quintile (Source: Socio-Economic Differences In Health, Nutrition, And Population In Yemen, December 2000; HNP/Poverty Thematic Group of The World Bank). The poorest population quintile has 81% higher infant mortality, and 90% higher under-five mortality. Existing national coverage for family planning (modern methods) is 13.4%; for emergency obstetric care it is 16%, and for tetanus immunisation during pregnancy 31.5% (source: MoPHP, 2005; Yemen Family Health Survey, 2004). There are also inequities in health outcomes and severe gender inequality, including gender-based violence, higher female child mortality rates, and maternal mortality on a level of much of Sub-Saharan Africa. For example, the Under-Five Mortality Rate is estimated at 102 per 1000 live births; Infant Mortality Rate 75 per 1000 live births and Maternal Mortality Ratio 365 per 100 000 live births (source: Yemen Family Health Survey, 2004). In reproductive health, high fertility rates contribute to a doubling of the population every 18 years, so increasing fragility in a context of critically scarce resources.

Strengthening reproductive health services in Yemen is a priority for many donors (including RNE, EU, WB, USAID, GTZ). By and large, donors have preferred to invest in health service delivery at the local level, focusing on named districts or governorates. Little capacity building has taken place at the centre and there has been only limited alignment of donor assistance to national health strategies, allied with some scepticism about the Government of Yemen's commitment to health sector reform. However, the Ministry's decision to establish a Health

Policy Technical Support Unit (HPTSU) to drive the reform process forward alongside a donor harmonisation mechanism to improve the management of donor activities, suggest a fresh start. There is currently a real opportunity to begin tackling some deep-rooted problems within the health sector. This is especially so since the president, following his re-election in September 2006, has pledged to put decentralisation into practice and has already begun a process of devolving more power to the people for election of governorate level leaders.

The activity:

The aim is to develop a model rights-based project which will have significant positive impact on the health and well-being of mothers and neonatal children. The project will be designed in such a way that it will contribute to policy debates and development and should be capable of being brought to scale (i.e., of becoming national).

As a consultant, you are asked to facilitate a process for development of the project memorandum. (To help: you have c. 15 million euro to disburse over five years).

1. How would you go about this?

- Who would need to be involved?
- At what stages and in what?
- Why and when?

2. What methods would you use?

3. What would be included in the project?

- What are the broad strategies you would include in the project?
- How, in more detail, would you ensure that the project is rights-based? What would need to be included for this to happen?
- What sort of capacity-building would be necessary? For whom?

4. How would policy be influenced?

What do you need to build into the project to ensure that policy developers (at all levels) will be interested and that policy can be influenced?

2.6.1.2 Ghana, Rights and Voice Initiative: A Civil Society Challenge Fund

The Ghana Poverty Reduction Strategy (GPRS) and its associated programmes seek to address the critical challenges facing poverty reduction in Ghana, including weak capacity and performance of the public sector, and lack of clarity in the relationship between the GoG's commitment to poverty reduction and its policies of wealth creation centred on private sector growth.

DFID's substantial contribution to budget support will be complemented by work to strengthen the rights and voices of the poor, and institutional mechanisms to enhance political participation, enabling citizens to claim their rights as guaranteed under the constitution, and to meet the commitments of the UN International Conventions to which Ghana is a signatory. DFID Ghana has developed a civil society strategy, to complement its contribution to budget support, which focuses on three objectives:

- improved government accountability to users, through creating spaces for meaningful participation and opening the institutional channels for voices to be heard and responded to;
- increased mobilisation and advocacy to improve demand for effective resource allocation, quality services, and the protection of rights;
- increased ability of civil society organisations to represent constituencies, particularly the voices of the poor and marginalised.

Ghana has a rich set of civil society¹⁰ organisations (CSOs), composed of well-established non-governmental organisations (NGOs) and community-based organisations (CBOs), and non-traditional and less formal CSOs, such as identity- and trade-based associations. There are also active professional and business associations and trade unions. With the state as the major employer, trade union members are largely drawn from state and parastatals, though there is some membership in the private sector. The media, both print and electronic, are an important component of civil society in Ghana, and have played a significant part in raising awareness, and facilitating advocacy, on rights. In recent years, CSOs have tended to move away from a service delivery role towards a rights-based approach aiming at empowerment, advocacy and other actions to help realise poor people's rights. Service delivery remains an important function, however. Formal coordination between CSOs is limited, but there are a number of effective regional or issue-based networks and coalitions. CSOs have been pressing for more engagement in policy-making, implementation and monitoring processes.

Though the environment in Ghana is favourable for rights-based work, there are a number of challenges and constraints which the programme needs to take into account explicitly and will attempt to address:

- Rights-based work can be considered 'political' (i.e. party political or threatening local authority). For example, HIPC Watch was asked, without explanation, to suspend its activities in Kete Krachi District in March 2004 following a letter from the District Assembly - this was linked to the discovery that a project that the DA had claimed to have initiated, and which was officially described as 'nearly complete', did not in fact exist.
- Communities may object that rights-based advocacy and monitoring are not associated with direct provision of goods and services, in line with the classical 'project approach'.
- Enhancing demand may in fact weaken service delivery. For example, the health sector already suffers from a massive loss of trained personnel. It is feared that additional external pressure for improvements might worsen this brain-drain.
- The educated and middle-classes may be more familiar with the rights discourse, and able to benefit disproportionately.
- The elite may speak for poor and vulnerable communities in a 'top-down' manner, dismissive of their 'ignorance' and 'illiteracy'.
- Judicial and policing institutions may not interpret rights-based claims and monitoring favourably (as when a judge avoids hearing a public interest litigation case which is deemed to be controversial, and threatening to his/her own career).
- Attitudinal and other social change processes take time and can be conflictual. For example, demands for greater gender equality can lead to tensions within the family, and there can be a clash between 'world views' especially in relation to cultural rights and traditional practices.

The activity:

The ultimate aim is to develop a model rights-based funding mechanism which will have significant positive impact on the well-being of the constituents of the selected CSOs. The funding mechanism will be designed in such a way that it will contribute to policy debates and development and should, in the longer-term, be capable of becoming autonomous (i.e. working without total reliance on donor funding).

¹⁰ Civil society is defined in the GPRS (para 9.1.1) as comprising 'community and pressure groups, non government organisations, civil society organisations, professional associations, labour movements, the media and other associations representing social and occupational groups, including the poor, vulnerable and excluded.'

As a consultant, you are asked to facilitate a process for development of the project memorandum.

1. How would you go about this?

- Who would need to be involved?
- At what stages and in what?
- Why and when?

2. What methods would you use?

3. What would be included in the funding mechanism and its work?

4. What are the broad strategies you would include in the funding mechanism?

- How, in more detail, would you ensure that the work of funded CSOs and the funding mechanism itself are rights-based? What would need to be included for this to happen?
- What sort of capacity-building would be necessary? For whom?

5. How would policy be influenced?

- What do you need to build into the mechanism?

Notes for facilitation

This is a hard activity which needs about 90 minutes at least plus time for reporting back to the plenary. It seems important to monitor the composition of groups so that all groups will have participants with more and less experience.

2.6.2 Presentation: RBD Log-Frames

Objective: To give a brief explanation of the strategic approach needed in building a rights-based intervention

Frameworks for rights-based interventions must be strategic. Strategic outputs must be linked to purpose and outputs must not describe a collection of activities. Outputs must encompass:

- An enabling environment;
- Inclusion and networking/partnership;
- Focused action.

2.6.3 Planning for RBD Trainings

Objective: To identify components needed to build capacity for carrying out RBD

The activity: Design an introductory day-long training to familiarise government and organisational stakeholders (you decide from which levels) with the basic RBD approach which the project/intervention will take.

Participants worked in groups to design capacity-building programmes for RBD, related to the planning activity carried out previously (see above). Importantly, we found that RBD training works best when it is directly related to practical field-work, and this practical work is real work of the project/intervention involved.

Participants need to think about:

- Different types of capacity-building and training
- The different people whose capacity needs to be built
- Need for ongoing mentoring
- What training will be used for, how and why.

Annex 3: Presentations and Input on Rights-Based Development

3.1 Power Point Presentation on RBD

Objective: To clarify and expand on learning already brought out. To give an overview of the approach taken to RBD.

The powerpoint presentation given is attached to this report. What follows here is an explanation of RBD abstracted from: Brocklesby, M.A and Crawford, S. (2005) Rights-based Development: a Guide to Implementation. DFID.

3.2 Normative Basis of a HRBA

Slide 1: Human Rights and Development - How are they related?

Slide 2: Human Rights are 1. legal norms and 2. obligations for states

Slide 3: Human Rights should serve as building blocks for development strategies and practice

Slide 4: Human Rights in German Development Cooperation

- Human Rights Action Plan
- Sectoral Policies
- Country Policies
- Pilot Countries
- Training

Slide 5: Human Rights and Development: Shared goals

Slide 6: Human Rights and Development: Complementarity

3.3 RBD: Politics and Power

RBD puts the politics and power back into development work. In RBD, people's present inability to achieve their rights is seen as the fundamental block to achieving poverty eradication. Rights are legally binding standards and targets to which governments, and people, must aspire. The internationally agreed rights instruments, as enshrined in the various declarations, conventions, covenants and charters (e.g. the Declaration on Human Rights, Convention on the Rights of the Child, Convention on the Elimination of All Forms of Discrimination Against Women, African Charter on Human and Peoples' Rights etc.) give us the minimum standards and requirements on justice and equity between people, which will allow us to meet the MDGs and achieve poverty eradication. Driving the creation of international rights instruments are sets of values, negotiated and agreed in common by the international community.

If all people's rights were achieved and upheld, it would ensure that people could maximise their potential to live decent lives. Where national laws are rights-friendly, they build on the requirements of international standards, so as to set country- and context-specific parameters for life with dignity. When rights are upheld, people have fair and equitable access to their basic needs, and to the opportunities that can allow them to make choices and to participate fully so as to maximise the potentials of their lives in society. This means that RBD does not focus on rights at the expense of needs. RBD encompasses the requirement to meet needs but takes a different approach to how needs are met. This means that RBD can be part of service delivery programmes, advocacy, institutional strengthening, governance, infrastructure, sustainable livelihoods etc. It is often not so much what we are

aiming to achieve that is different about RBD initiatives, but how we aim to achieve it, and who will be involved. Although there are many different approaches taken to RBD, an essential component is the interlinking of participation, inclusion and obligation, so that all three reinforce each other (see below).

Rights- and value-based development is far more than a mechanistic progression towards achieving international standards. It requires fundamental and practical shifts in beliefs, assumptions and practice - both within individuals, and between individuals and groups, and between individuals, groups and institutions. Without challenging preconceived ideas and our relationships at the individual level, we cannot encourage the structural changes in relationships that are necessary to promote greater equity, fairness and inclusion, which are the basis of RBD. This is because RBD is essentially about power and about negotiating change in relationships and resources so that power imbalances can be addressed and power shared more equitably.

To put RBD into practice, we have to move beyond the programming of development to “fit” with the requirements of the rights instruments, towards ensuring that all aspects of development work, and our work within development, are rights-based. RBD is a way of doing development, but it is not simply an approach which is applied or “added on” to development work. It is not (as has sometimes been the case) a separate component of a project, or simply an output in a log-frame. For RBD to work - that is, for people to create a more fair and just world in which people can move towards fulfilment of their rights - we need to find ways of ensuring that everything that is done in development is done in ways that promote people’s participation, inclusion and fulfilment of obligation, throughout the whole process of development. This means that a strong focus has to be placed on how we do development, not just on what is done and targets achieved.

3.4 Rights-Based Development not Rights-Based Approaches

Because the need to make rights real has to be embedded throughout all development, this guide is about Rights-Based Development (RBD), not just about Rights-Based Approaches (RBA) to development. Within RBD, there are principles to be followed and a range of approaches (participatory and inclusive, working at different levels etc.) to be taken, but the commitment has to be towards RBD itself, not simply towards an approach.

In RBD, *how* development is done is as important as *what* is done: process is as important as product. RBD works with rights in context. To do RBD, we need to understand the full range of concepts of rights through which people, in different contexts, seek to regulate and govern their individual and social relationships and freedoms. People work with different systems of rights (such as religious, customary, tribal, familial etc.), many of which are in tension or conflict with legislative national and international systems of rights. Working for RBD is about finding ways to negotiate positive changes in values and social relationships between and among people and institutions. These changes create fairer and more equitable circumstances in which positive socio-economic change can be promoted and through which people can progressively, and incrementally, achieve fulfilment of their rights.

Because RBD is based on the need to promote these positive changes in relationships, it is concerned with politics and with redefining the nature of power and power relations. This involves not only structural relations of power, but also communal and personal power. Relationships need to change not only at the structural level, but also in and between individuals: new values and beliefs, attitudes and practices have to be internalised and lived out.

These kinds of changes are value-based and promote positive change in people’s attitudes to social relationships and power. In RBD, we need to work for shifts in power and empowerment, in ways that promote safe and accepted power-sharing. RBD is not simply a question of building citizens’ understanding and raising their capacity to claim their entitlements. Working only with the demand side leads governments and other officials to

feel overwhelmed by citizens' demands, and threatened with a loss of power. RBD needs to work with both – the demand and supply side – to encourage mutual understanding of roles and responsibilities and build willingness to take up and fulfil obligations accountably.

People who are presently powerful and those who are missing out in the status quo must all be able to see the benefits of shifting and redefining power if there are to be gains that lead to sustainable positive change. (Section 3.14 provides examples of programmes which have used this approach)

3.5 *Origins of RBD: Why RBD, Why Now?*

Whilst, over the last ten years, the debates about human rights and development have increasingly come together, a concern with rights in development is not new. Issues of gender or, initially, women's-rights and development, have been a concern since the late seventies; children's and young people's rights have been on the agenda since the late eighties. From the early eighties, the need to think and work in different ways on sexual and reproductive health rights, in order to address the growing HIV pandemic, led to an increasing focus on the rights of different "at-risk groups" of people, and a concentration on finding new ways to reach, and involve, people normally excluded from the development process. What is different now is that rights in development are linked both to the changing concerns that globalisation and increased global insecurity have brought and to the growing realisation that, whilst meeting basic needs is essential, something else has to develop and shift if development achievements are to be sustainable and poverty is to be eradicated.

As major development agencies have embraced multi-dimensional notions of poverty, a more dynamic, entitlements-focused, analytical approach to poverty assessment has emerged. This has had two major impacts. The first is the adoption of participatory and qualitative methods, which are more contextual and more powerfully diagnostic. The second has been the take-up of more dynamic poverty conceptual frameworks, broadly using and adapting Sen's notion of entitlements and capabilities. As the DAC "Guidelines on Poverty Reduction" note, the importance of a rights approach is that it "links empowerment to international agreements on human political as well as economic, social and cultural rights". This second impact has moved policy debates away from a focus on assessing and responding to needs, a process that in the past has not necessarily questioned existing allocations of entitlements, towards one that focuses on rights, which promotes greater awareness of issues of equity in the distribution of all types of resources and opportunities.

During the same period, human rights concerns have developed from a first-generation "protectionist" concentration on struggle for individual civil and political rights, to a broader and more developmental concern with ensuring economic, social and cultural rights, linked to progress towards the MDGs. RBD provides a conceptual and operational link between human rights and pro-poor development, promoting justice, equality and freedom. It adds value to existing approaches to poverty reduction by providing a framework for designing, implementing and evaluating interventions which address the root causes, rather than the symptoms, of poverty. Within RBD, rights and development processes are mutually reinforcing: without freedom there is no development; with freedom, development as a process of increasing personal well-being is enhanced.

3.6 *The Value of RBD to Poverty Reduction Strategies: Poverty is Political Powerlessness*

The aim of RBD is to make poverty reduction realisable. RBD ties in with evolving international poverty reduction processes, with their emphasis on institutional engagement and change and on local ownership. Equally, the requirement of RBD to commit to changing the way representatives of the state and civil society organisations work with, and respond

to, the demands of citizens, is in harmony with, and reinforces, DFID's evolving Drivers of Change agenda. Both are informed by a) the need to understand conditions under which the MDGs are most likely to be achieved and b) the belief that a particularly significant form of political change is the transition from patronage-based arrangements to those based on citizenship rights.

Because RBD politicises development, it helps not only to identify and work with the institutional structures that define, interpret and implement rights, but also to identify and work with the political processes that distinguish the channels through which citizens can contest their claims. RBD works on the principle that poverty equals political powerlessness. The multi-dimensional aspects of poverty disempower people so that they cannot participate fully in society or create and take up opportunities in their own lives. People living in poverty are not able to engage meaningfully with their wider community or with institutions of the state. Whilst they may be "given" certain opportunities to exert their power - such as the right to vote - they are often unable to make use of these opportunities.

The rights-based focus of the Millennium Declaration, and the way in which economic, social and cultural rights have been embedded within the MDGs, means there is an international obligation to protect and provide for basic needs. Yet removing the barriers that prevent the most marginalised individuals and social groups from making legitimate claims has been a major stumbling block towards meeting the MDGs. As is now often pointed out, it is possible to show significant gains towards the MDG targets without addressing the needs of the most marginalised people. However, with equality, non-discrimination and inclusion defined as fundamental human rights, RBD provides both standards and an operational framework for the state and other development actors to address the exclusion of poor and vulnerable individuals, even in situations where resources are rationed.

The definition of poverty as a "brutal denial of human rights" and an assault on human dignity makes rights-based strategies essentially confrontational. RBD confronts the status quo and challenges the underlying structural causes of poverty. In RBD, poverty is perceived as a human rights violation. This perception is in contrast to other development approaches, which see poverty simply as lack of access to basic needs. In RBD, the injustices - complex political, social and cultural structures that lie at the root of denied needs, have to be addressed.

When poverty is seen as a denial of basic human dignity, the implication is that we must place a strong focus on transforming the relationships of power that deny certain people legitimacy. In this sense, human rights standards are not just static, legal resources but dynamic, political instruments to mobilise dissent, process, opposition and collective action aimed at economic and social reform. As such, the work of RBD is a process through which rights are made real. They are negotiated, created and realised in ways which guide the exercise of power by all actors. Poverty reduction strategies within an RBD framework track not just inputs and outcomes but also processes and impacts.

3.7 Organisational Approaches to RBD

Some distinction needs to be made between the different approaches currently being followed under the rubric of RBD. For many within development, RBD remains an umbrella term covering a range of approaches reflecting its origins and continuing evolution from several distinct strands of thought and practice. Broadly these include:

Legislative - the international human rights framework enshrined within a set of United Nations conventions and covenants lending legitimacy and providing legal tools for upholding rights nationally and internationally.

Struggles for Social Transformation - autonomous movements of the excluded and marginalised, for example women or organised labour, demanding the right to participate in decisions which affect their lives and calling for social, cultural and/or political change.

Citizenship Rights - a concept of political change which highlights the shift in state-individual relationships from that of “patron-clientism” to that of a state and citizen, with attendant rights and obligations.

In organisational practice, these conceptual strands underpin approaches to RBD which can be characterised as:

- Undertaking Advocacy - empowering people to uphold their claims to human and civil rights;
- Upholding Minimum Standards - working with a formalist approach which refers continually to rights standards as the baseline and defines good practice through the delivery of minimum standards in goods and services as a right; and
- Creating Accountability - pluralist approaches that emphasise the ways of how people and structures relate to each other. These check that, in any given development intervention, all obligations and agreements have been met. In particular, powerful people and institutions are held accountable for fulfilling their responsibilities to those with less power.

In reality, most development organisations draw on all three in developing policy and programme interventions. Differences in current approaches and the dominance of one component over another reflect the internal organisational values and norms, systems of governance and the room for manoeuvre available for individuals to promote a rights agenda actively.

3.8 Rights-Based Approaches: Contested Claims

A key characteristic of all RBAs is that they deal with contested claims, particularly those of marginalised people who are generally not able to get their claims met. However, building on what was outlined above, there are a number of different ways of working towards fulfilment of contested claims.

Working to Achieve Standards

Some organisations are more concerned with a standards-based approach advocating, with stakeholders, for an institutional response which will ensure that particular groups of disadvantaged people, such as older people living in poverty, indigenous people stigmatised by mainstream society, child domestic workers etc., can access services and get their needs met. Often, these institutions are most concerned with issues of “voice”: increasing the capacity of marginalised people to organise for themselves and claim their rights to particular services. Whilst they deal with discrimination and stigma through mobilising communities and bringing marginalised people and those in decision-making positions closer together, and by challenging the stereotypes held by mainstream society, they do not always address directly the root causes of power imbalances. These organisations may concentrate more on the needs of the particular group identified than on disaggregation of the people who constitute that “group” or on understanding the multiple, and different, vulnerabilities which different people within the group face. In this sense, they are not working with the full context of people’s lives, which is fundamental to a fully embedded rights-based approach.

Negotiation of Values and Practice

Other approaches deal more directly with the values that underlie relations of power and work explicitly to change the relationships between stakeholders at all levels, looking beyond “groups” and working with a dynamic understanding of inclusion. Here, the approach is as much about building responsible and accountable ownership of services, by stakeholders at all levels, as it is about building access to services by primary stakeholders. Ownership is encouraged through working to change relationships in ways that ensure that power and responsibility can be shared safely between stakeholders at all “levels”, building accountability and encouraging willingness to fulfil obligations.

Engaging with Conflict

Since RBD acknowledges the importance of power, all approaches are likely to have to deal with some sorts of conflictual relations between stakeholders. However, some approaches engage directly in situations where conflict is probable, or inevitable. Organisations working, for example, after armed hostilities, on minorities' land rights, or against organised slave or bonded labour, are highly likely to have to engage with conflicts arising between people who hold power, or who are exploiting others, and those who do not. In these situations, how conflict is defused, and who is involved in defusing it, is a vital rights-based process. Engagement with conflict is not simply to return the situation to security, but to ensure that security comes with greater equity and increased chances for equitable power-sharing.

The focus and direction taken by different organisations depends greatly on the evolution of the organisation itself. For many of the international NGOs, adoption of rights-based approaches has depended on a "trickle down" effect, as policies decided in head offices are filtered through to operational levels. Although this filtration process has been more strongly supported - by training and follow-up - in some of the organisations than it has amongst some of the donors and multilateral agencies, people at field level have not always received adequate support or training, and may not have built all the necessary skills or understanding.

For many organisations, RBAs are still largely stuck at the level of rhetoric. There are plenty of policies around to support RBAs but also a conspicuous lack of information, which shows how these policies can translate into practice. This comes about in part because of the tendency of organisations to focus largely on a formalist approach rather than on a pluralist/process approach, which allows the development of RBD in practice. There is need for review of a greater number of strategic approaches to RBD, and for piloting more rights-based monitoring and evaluation systems in RBD, in order to gain greater understanding of which approaches are most appropriate in different situations.

3.9 Rights-Based and Needs-Based Development: What are the Differences?

A pluralist approach, as outlined above, has the added advantage of opening up spaces in which governments can work with other actors, like CSOs, to negotiate towards rights fulfilment. Currently, many governments feel threatened when confronted with the need to fulfil the rights they have signed up to, as they know that they do not have the capacities or resources to meet rights requirements. Rather than demand instant compliance with rights standards, RBD seeks to find ways to work with governments and other development actors towards the incremental achievement of rights.

This is an important distinction, since for many both in and outside government, best practice needs-based development, with the emphasis on empowerment, multi-stakeholder processes and long-term engagement with policy change, does all that RBD might do, but without promoting political engagement or generating confrontation. But it is not an "either/or" choice between a rights-based and a needs-based approach. As the following table demonstrates, when development is rights-based, needs will always be addressed, on the basis of principles that extend beyond needs and set the foundations for more sustainable development. The added value of the rights-based approach is that it necessarily provides a framework against which to measure and monitor progress towards meeting people's basic requirements and fulfilment of their potential.

Differences between rights-based and needs-based approaches	
Rights-based approaches	Needs-based approaches
<ul style="list-style-type: none"> • People have a right to assistance • Governments are legally and morally bound to do something • People are active participants in the development process and we need their participation if development is to work • All people, without discrimination, have the right to fulfil their potential - even though resources are scarce • All work contributes to the goal of poverty eradication and equitable development for all • All people can work to realise their rights 	<ul style="list-style-type: none"> • People deserve help • Governments ought to do something, but are not always legally obliged to • People may participate but, generally, development happens to them • Resources are scarce, and some people will lose out • There are separate goals for each sector and no over-arching purpose • Some people have the “know-how” to meet their needs

Source: Brockelsby, Mary-Ann and Sheena Crawford (2005): Rights based Development: A guide to implementation, page 12. Adapted from: Save the Children (2000): An Introduction to Child Rights Programming: Concept and Application. London: The Save the Children Fund, page 17.

All approaches to development are concerned with wealth creation or reducing poverty and ensuring that people have the ability to meet their basic needs. From this perspective, there are far more similarities between what non-RB development and RBD seek to achieve than there are differences. Yet, it is a fundamental premise of RBD that positive change is far more likely to be sustained when it is produced through people (individuals, groups and institutions) working together towards commonly agreed goals in systems of mutual accountability. In terms of state-citizen relations, this means that not only are state office-holders obliged to fulfil their roles and responsibilities and to be accountable to their constituents, but also that citizens themselves must act on their own responsibilities - to each other and to the state. Within these systems of obligation, however, there are many different ways of approaching RBD, just as there are many ways to approach non-rights-based development.

3.10 Rights: Putting Values Back into Development

The tensions and challenges involved in implementing RBD highlight the essential and distinguishing difference of RBD. The legislative human rights instruments are not just the foundations of RBD, they are also the scaffolding which holds RBD up and enables us to build up the process of development - reaching from grass-roots to state and global levels. Within the process, struggles for transformation take place. However, as stated above, RBD is not only about working to meet the standards set out in the legislative framework. The standards are necessary requirements and targets, but they are meaningless unless they are related to the values that generate them.

The practice of RBD requires people to undergo a fundamental shift in values - either by engaging (or re-engaging) with values that have been ignored or lost, or by transforming existing values in the pursuit of greater equity and fairness. When values are put back into development in this way, personal transformation cannot be separated from structural transformation. Personal transformation has to take place not only in people whom development is generally designed to reach, but also in the policy-makers and practitioners traditionally “responsible” for making development happen. The seeds of this personal transformation are at the basis of all the changes in relationships of power which are necessary to increase equity and fairness in work for poverty alleviation. Without personal transformation, changes may happen and conditions for many may, for a while, become more equitable - but the change will not be sustainable. Structural and institutional change

has to be based not just on a requirement to meet standards, but also on a willingness, of all actors, to pursue values which encompass equity and fairness for all, without discrimination.

Yet, many RBAs to development do focus on transformation in only one set of development actors: those people seen as having a claim to development. Rights education or civil society advocacy programmes concentrate on building active and responsible citizenship by encouraging people (often known as “rights-holders”) to know and claim their rights. In these programmes, a divide is usually established between “those who have rights” and “those who must be held accountable to uphold rights and make rights fulfilment possible”. In reality, and despite existing fundamental power imbalances, the distinction between these two categories of people is always blurred.

3.11 Redefining Rights-Holders and Duty-Bearers

Working to embed RBD in practice highlights the realisation that, whilst everyone has rights, everyone also has both claim and duty in ensuring that development can be equitable, appropriate and effective. However, not everyone has the same claim and not everyone has the same level of duty in relation to all the different aspects of development. For example, children have a strong claim to access to quality basic education, but they do not have as strong a duty to ensure that an education system is provided as do government officials, district education officers etc. Teachers have a strong claim on the government to provide them with equitable conditions of employment but, amongst other duties, they have a strong duty to follow a proper code of conduct and to treat students with fairness and respect.

Claims and duties are relational and relative: they depend on the nature of the relationship between individuals, groups and institutions and they are relative to people’s competencies, capabilities and office, as perceived in law and by society. Whether people are seen as claim-holders or as duty-bearers at any given moment, depends on their constitutional and legal rights, their developing competencies and their relationship to other people and institutions.

Accepting this continuum between rights and duties means that RBD cannot just be operationalised as an added component within programmes. Nor is it exactly a question of mainstreaming rights by, for example, ensuring that questions on “rights issues” have been addressed at all stages. Rather, RBD means that we have to take a qualitatively different perspective on all work, existing and in the future, and to see it all in the context of the need for change in relationships, within and between individuals, groups and institutions. We have to participate in creating the opportunities for all development actors to work together to redefine their roles and responsibilities in relation to their own, and others’, development, and to share the power to do so in safe and non-threatening ways. This will mean that we have to look again at what we mean by “participation, inclusion and obligation” and be prepared to expand these principles to encompass a much more dynamic approach to promoting change in relationships of power.

3.12 The Implications for Partnership

The overlapping relationship between rights and responsibilities leads to a potential difficulty, common in many organisations. This is the way in which partnership is viewed. For example, UN partners range from governments through to community-based organisations. However, “partnership” does not imply a relationship of equals working towards commonly negotiated goals. Most organisations make few efforts to ensure that “partners” understand the RBA in the same way that they do, or check that partners have the commitment or capacities to put the RBA into practice. Partners, particularly at the implementation level, may be there simply to add numbers towards achievement of targets, rather than to contribute to the development of sustainable RBAs to rights fulfilment. Partnership in these cases simply means “the

organisations into which funds are put". Often the rights of the "partner" organisations themselves are overlooked.

These difficulties exist even where organisations are specifically rights-based. For example, the ILO, with a mandate to uphold the rights of workers, tends to have a heavily "top-down" approach to its partnership arrangements, and has only recently taken the idea of participation fully on board. There are exceptions to this way of working, for example, the ILO (DFID-funded) Greater Mekong Sub-Region Project to Combat Trafficking in Children and Women, now in its second phase. In this multi-million pound project, great emphasis is placed on the process approach and on working to change relations of power.

3.13 Investment in Engagement

RBD works with interdependent and inter-related rights, and looks holistically at development and the "whole person" - rather than at development and a collection of important, but rarely connected needs. This means that RBD in practice necessitates strong linkages between different development sectors, and a need to re-examine the traditional boundaries that have existed between development sectors. This can be seen, for instance, in DFID moves towards "Human Development", which encompasses health and education, and the increasing willingness of people working in programmes such as HIV prevention and control to include a broader social development perspective, which gives greater focus to people's sexual and reproductive health and well-being and the possibilities of securing more sustainable livelihoods. The importance of changing perspective and taking a more holistic view cannot be over-stressed. The widening perspective does not mean that the "burden" of our work will be greater. But it does place even greater emphasis than previously existed on the need for coordination, collaboration and sharing of roles and responsibilities to ensure that more holistic development can be planned, programmed and operationalised.

The need to work holistically also means that we need to make even greater efforts to build and maintain appropriate partnerships to carry out and support development plans. In RBD, we must think of all the people we work with - from the government, civil society, the private sector, communities etc.- as partners in development. The kinds of partnership we have with different actors will, necessarily, be different. But they will all share some principal characteristics. These characteristics go beyond simply working together towards a common goal, and certainly exceed a mere transfer of resources with expected accountability for resource use.

The partnerships we need to work with in RBD are all based in equity and are, in some manner, contractual. That is, whilst partners may not be "equal" in terms of their access to resources or political or social power, the partnership will be fair and based on clearly defined and mutually agreed relationships between both (all) sides. Terms of partnership will be transparent and accountable and will include elements of social as well as resources audit. Partnership implies a mutual audit process where, once roles and responsibilities are defined and agreed upon, all parties are able to hold each other to account for their particular responsibilities. Again, this does not mean that the rights-based partnerships are necessarily without leadership - but it does mean that the leadership will be held accountable for the processes and products for which they are responsible in the same way that other partners will be held responsible for fulfilling their own responsibilities.

3.14 Using Conflict Creatively

Expanding the notion of partnership and seeking new forms of engagement to change relationships and shift power do not necessarily lead to conflict. But it is highly likely that new and different tensions and conflicts will need to be addressed and negotiated.

RBD recognises that these tensions and possible conflicts of interests are to be expected. They need to be faced head-on and addressed skilfully. If, instead, we try to avoid them or

prevent them, we will be closing down the opportunities for positive change in relationships to occur and ignoring the root causes of inequity. The aim, in RBD, is to use conflict creatively. The tensions that arise, when difficult issues are faced, need to be managed so that people can challenge injustice and seek redress in ways that do not, ultimately, endanger them or leave them increasingly vulnerable to exploitation or abuse.

Tensions and conflicts in changing relationships occur in every development field and sector and across all issues. They are not restricted to the issues which are traditionally thought of as contentious, such as water and land rights, gender or infrastructure. Nevertheless, tensions have often been missed because of bias in the way importance is given - both by society in general and by development policy and practice - to different people's rights, needs and opinions. When people are marginalised, tensions and conflicts tend to remain internalised and unstated. So, for example, the tensions felt by girls abused in schools may not be recognised because they are not openly spoken about or acknowledged (see Box 2 below).

As yet, there is no full body of development practice on which to draw for directions in relation to how to handle conflict in safe ways. However, there is much to be learned from humanitarian and development work in post-conflict areas (for instance, Lebanon, Palestine, Congo, the former Yugoslavia) and from development initiatives in a variety of sectors, such as land rights, HIV prevention and control, corporate social responsibility etc.). In the current climate of growing global insecurity, it is inevitable that we will increasingly need to develop skills to negotiate conflict and facilitate a process of relationship change.

The following boxes give examples of how tensions over rights issues have been negotiated in two, very different, contexts:

Box 1: Improving Management-Worker Relations: Labour Rights

An increasing number of companies, notably those which are part of the Ethical Trading Initiative, insist that their supplying companies, throughout the world, adhere to a Code of Conduct (based on ILO conventions, ISA 2000 etc.). These codes are designed to uphold workers' rights and promote better working conditions. The performance of companies, in relation to the code requirements, is audited on a regular basis - both by internal and by external assessors. Until recently, all audits were carried out by checking through company records, interviews with management and a small number of one-on-one interviews with workers. Recently, Levi-Strauss Europe and, later, Marks and Spencer, experimented with a different form of audit strategy. Incorporated in the main audit were a series of interest group discussions with employees at all levels in the companies - shop floor, catering staff, administration and management. Participants were chosen by hazard and the discussions replaced the one-on-one interviews. Participatory methods were used and the aim was to provide as safe an environment as possible in which staff could explore their concerns around the code. With participants' permission, findings were presented to management and, with management permission, the issues were then discussed between management and representatives chosen by the participants themselves. The discussion was facilitated by the participatory auditor, and, in all cases piloted, management agreed to address issues arising, with workforce representation. Although the specific issues depended on context, they were all concerned, in some way, with the need to change relationships between management and workers, improve existing channels of communication and open up new ones and create spaces in which the workforce could feel that its concerns were taken seriously. Many managers expressed themselves to be more than satisfied with the experience, realising that, as well as the human and ethical benefits, there are also positive benefits for productivity when the workforce feels more valued and can share in the aims of the company.

Source: S. Crawford from work with Levi-Strauss and M&S

The tensions between managements and workforces are expected. In many cases, they can be much harder to address safely than was the experience in the cases cited above. Nevertheless, the example does point to the fact that facilitation skills are of major importance in creating space for successful negotiation of actual or potential conflict. This is not a new idea, but it has not been given much attention to date in development practice. The need for strong facilitation was also borne out in the PACE/PRAss project in Malawi:

Box 2: Abuse of Girls in Schools

Part of the PACE/PRAss project in Malawi (see Section 3) involved working participatory with different interest groups in school communities to identify major problems in the education system and to prioritise changes they would like to make. This formed part of the process of developing the School Improvement Plans (SIPs) with communities. Facilitators from the PRAss team (which included PACE staff, District Education Office officials and District Education Support Team members from other ministries, such as Women, Community Development etc.) worked with the different groups to “surface” issues and prepare a presentation for each group to present to the community and officials, as a whole. After these presentations, the community decided on an amalgamated ‘significant change SIP’ with which to work. They themselves would be part of the team which audited progress towards this plan. To be able to facilitate this process, the team had to build its capabilities, competencies and confidence. When the process started in each community, people with traditional power (leaders, men and teachers) were not convinced that others (the very poor, old, women, young people and children) would have anything to offer to the process. The more powerful people were unused to thinking that less powerful people had a right to speak out in public, or had anything important to say.

In very many of the hundreds of communities that were part of the project, the girls’ groups stated a major concern that they were raped, abused and/or exploited by teachers. With support, they were willing to voice these concerns in the community plenary. In some places, the complaint was met with resistance by teachers and parents. But in the majority of cases, all other groups acknowledged that they knew this was happening but: “it wasn’t talked about, and so nothing is done about it”. Until the SIP process, girls had not been able to engage with the potential conflict that complaining would bring. With support, communities agreed to address the issue, teachers agreed to ensure that behaviour changed, School Management Committees agreed to monitor changes and girls agreed to be open and report back on instances of abuse or exploitation. In review meetings after a few months, people, including girls, reported many positive changes and said that instances of rape and abuse had dropped significantly.

Source: Crawford, Sheena (2004): [Participatory Rights Assessment \(PRAss\) and Rights-Based Development \(RBD\) in the Education Sector Support Programme \(ESSP\), Malawi – Lessons Learned so far: A guide to RBD in practice.](#) London: DFID.

This is an example of underlying tension and conflict which could easily be missed in development planning and practice. If the spaces to address contentious issues are not opened up, the abuse of power and many inequities in relationships will remain hidden. Finding ways to open up these spaces presents major challenges, which we explore in Section 2.

Annex 4: Planning, Monitoring and Evaluation in RBD

Objective: To introduce participants to the CR2 Framework for Planning, Monitoring and Measuring Impact of RBD.

The power point presentation given is attached to this report. What follows here is an explanation of the CR2 Framework abstracted from: Brocklesby, M.A. and Crawford, S. (forthcoming) Changing Relationships, Claiming Rights. ITDG

4.1 Background

The CR2 Rights-Based Development Planning and Impact Assessment Framework has been developed over the last three years in response to a growing need to determine the added value of rights-based development (RBD). Rights-based development is value-based development which works for the ethical inclusion of all people, without discrimination, in building a fair, just and non-discriminatory society. Work to date has shown that there are a number of ways in which rights-based approaches add value to the development process. The added value increases the possibility of achieving human security by encouraging better governance and alleviating poverty.

The Framework allows assessment of progress towards tangible impacts for human security contained in the MDG targets contained in such documents as Poverty Reduction Strategies (PRSs). It also assesses progress towards the wider goal of Sustained Change. Furthermore, it assesses progress made towards the ultimate goal of improved governance and rights fulfilment, that is, increased justice, equity and dignity for all, as stated within the Millennium Declaration.

On an operational level, the Framework is focused on showing whether and how interventions are achieving impacts and outcomes in relation to human security through:

- Asset accumulation (economic, political, social, environmental, physical etc.);
- Decreased vulnerability to social exclusion and extreme poverty and,
- Increased equity in decision-making and resource allocation between the powerful and powerless.

The Framework is a generic and comprehensive tool which, prior to use must be adapted to the particular goals under consideration. Whilst the main areas of the Framework are relevant to all interventions (policy, project etc.), the thematic questions need to be tailored to the work of particular interventions, and phrased relevantly for their work. This is because the Framework must always be adapted to particular social, cultural, political, geographical etc. contexts.

4.2 Components of the Framework

The Framework is described graphically in diagram 1, below. The Framework captures both the process and the products of interventions. In RBD, how things are done (process) is as important as what is done (product). The three underlying rights-based development principles - participation, inclusion and the fulfilment of obligation - underpin the Framework. All work stemming from these three principles is categorised into three interlinked components, each one centred on assessing a different aspect of programme implementation. These components are:

- Voice, Participation and Accountability;
- Transformation of Power: Relationships and Linkages;
- Institutional Response.

The details of these components are discussed below. Whilst there are inevitable overlaps between the components, division of the Framework provides an organisational structure through which analysis can be made, and it allows for meaningful comparison between differing types of intervention.

The table below shows that all work in RBD is situated within the field of the Millennium Declaration (MD), which has the fulfilment of the principles of justice, equity and dignity for all people as its ultimate purpose. In the Framework, it is recognised that the Millennium Development Goals are concrete, tangible representations of what the MD principles will look like in the real world, in relation to increased human security, decreased vulnerability and reduced poverty. Yet, it is also recognised that achievement of the MDGs and targets will not, by itself, be enough to ensure sustained positive change which benefits all people, including those who are poorest and most marginalised. Nor do the goals themselves, or achievement of sustained change for poverty reduction, entirely ensure that the principles of justice, equity and dignity for all will be fulfilled.

Aspects of Human Security: Assets and Vulnerability	
Assets	Vulnerability
<ul style="list-style-type: none"> ○ Increased retention in primary school especially for girls ○ Increased access to health ○ Increased access to cash/money through accumulative savings and diversified livelihood opportunities ○ Increased access to productive resources, e.g. land, trees, water and to food security ○ Increased attention to sustainable environments 	<ul style="list-style-type: none"> ○ Issue-based alliances contributing to reduced social exclusion and vulnerability ○ Increased access to justice ○ Increased livelihood diversification, both for the household and for individual household members ○ Increase in knowledge and skills with trends towards transfer of acquired skills and knowledge ○ Increased gender equity including reduction in gender-based violence ○ Conflict management processes in evidence ○ Increased ability to negotiate and take risk

Fulfilment of the goal and purpose of a rights-based development initiative would mean that work in the three interlinked components of:

- Expanding meaningful voice and participation, and improving processes of accountability;
- Transforming and re-balancing power within, and between, individuals, groups and institutions, by working to change relationships and create new linkages and
- Encouraging change in the way that institutions, of all kinds, respond to human security issues, asset acquirement and to vulnerability

has led to achievement of indicators and targets related to MDGs. Importantly, it would also have led to achievements towards Sustained Positive Change which may not be recognisable as part of set targets and goals, but which contribute to the achievement of sustained justice, equity and dignity for all, and are prerequisites for them. The Framework recognises all these types of achievement and aims to explain why, and how, they contribute to the possibilities for sustained positive change and poverty reduction. It also recognises that, whilst immediate, programme-term achievements may be made and sustained, they are situated within a dynamic context of much longer-term processes of social change.

Central to all the three component areas is the issue of power and the politicisation of development. RBD, taking a multi-dimensional approach to poverty, works on the basis that poverty is equivalent to political powerlessness. That is, people living in poverty lack power not only in terms of an inability to obtain and maintain physical assets, but also in terms of being unable to accrue social and political capital, to gain information and to be able to participate fully in society as active citizens.

Tangible impacts are assessed under two different headings related to human security: asset accumulation and vulnerability. Assets are identified through the MDGs. Vulnerability is assessed in relation to those factors which underpin equitable and inclusive development.

Most development initiatives will have both a direct and indirect relation to the assets listed above. They will also directly relate to the impacts of decrease in vulnerability listed above.

4.3 Areas of Enquiry under the Framework

To assess the level of Multi-stakeholder Forestry Programme (MFP) achievement in improving human security through increase in assets and decrease in vulnerability, the Framework for the Impact Assessment identifies changes brought about by MFP intervention in relation to:

Voice, Participation and Accountability. This component looks at the extent to which people are able to express their voices, share their opinions and participate in project activities. It looks at the form that participation takes and what participation leads to. Understanding is gained not only of what participation looks like and appears to lead to, but also on what people feel about their participation and the goals which they set for it. Linked to Voice is the issue of Accountability. Questions on who is accountable to whom and for what are considered. Particular attention is paid to the direction of accountability. Is accountability only upwards? Or do systems for mutual transparency and accountability exist?

Transformation of Power: Relationships and Linkages. This component examines relationships between people from the personal and intra-household through to the state levels. It looks at whether, and how, individuals, groups, organisations and institutions form links to work together and to work in partnership. Questions are also asked on how roles and responsibilities are decided and carried out. Trends in relationships between individuals, groups and institutions are examined to show whether power relations are changing in ways that lead to greater access to services, assets, justice and equity. The component has a strong focus on issues of discrimination and inclusivity, as well as on the structural relationships formed between institutions and groups. There is also an examination of potential and actual conflict and the ways in which conflict is managed and resolved.

Institutional Response. Questions cover how organisations, of all types, respond to the issues raised by people in their constituency. The component addresses the systems that organisations use, how they ensure accountable and equitable resource allocation, whether and how they address issues of inclusion systematically, and how they measure their success. The component looks for trends in identification of vulnerabilities and at how these vulnerabilities are addressed. Assessment is made on the extent to which Voice and Response are linked so as to lead to more appropriate and accessible services. Trends in institutionalising **good practice are assessed.**

Tangible Evidence. As discussed above, this component looks at the data available that points directly to impacts as measured against concrete targets and goals leading to increased assets and decreased vulnerability (contained in Poverty Reduction Strategies, the MDGs etc.).

Sustained Change. This component assesses whether gains made by Multi-stakeholder Forestry Programme (MFP) are likely to have lasting impact (positive) which will extend beyond the designed remit of the intervention in terms of policy and practice. It looks to see whether changes made have been institutionalised in the given context, and whether skills and other benefits are being transferred into other aspects of human security and development, and poverty reduction. The components also consider whether increases in human security and development are leading to greater political (local, national and global) security.