

UK INTER-AGENCY GROUP ON RIGHTS BASED APPROACHES



Evaluation/ Learning process

ANALYSIS WORKSHOP REPORT: Does implementing a rights based approach increase impact on poverty reduction?

17 - 18 January 2006

DFID, 1 Palace Street, London SW1E 5HE

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Evaluation/ Learning Process of the UK Inter-agency Group on Rights Based Approaches (Interagency Group)

The Interagency Group - a loose network of UK based NGOs concerned with integrating human rights into development practice - initiated a one year Evaluation/ Learning process to examine the impact of RBA and non-RBA projects on the multidimensional experience of poverty and the realisation of the Millennium Development Goals (MDGs). Evaluative case studies were undertaken in Bangladesh, Malawi and Peru.

The **purpose** of this analysis workshop was to discuss preliminary case study findings and help the various research teams to push their analysis further and identify gaps for further inquiry:

- In relation to poverty reduction, what are the outcomes and impacts of implementing a rights-based approach, how do these differ from the outcomes and impacts of a non-rights-based approach, and what recommendations can be made for using one or other approach?

The **immediate objectives** of the workshop were to:

- generate substantive and meaningful comparison between selected non-rights-based and rights-based approaches to development in first and second phases of selected projects, or in different phases of related projects
- assess the relative impact of the approaches and determine why difference in impact exists, if it does
- assess, where possible, factors which have led to successes or barriers, and which can inform development of future projects

This report is a simple record of the various presentations and discussion which took place during the two day workshop. The workshop report, together with the in-depth country reports from Bangladesh, Malawi and Peru will be further analysed and synthesised in a final synthesis document which will be available in June/ July 2006.

For Further information on the Evaluation/ Learning Process please contact Magdalene Lagu, Rights Advisor, CARE International UK – lagu@careinternational.org

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1. INTRODUCTION & BACKGROUND

GEOFFREY DENNIS
Chief Executive
CARE International UK

Geoffrey Dennis welcomed the participants.

Care International's vision statement is all about tolerance, social justice and dignity. These are fundamental human rights concepts. As an organisation, we have been striving to hold ourselves accountable for human rights behaviors, and ask others to help us do so, not only in programming, but in all that we do.

International relief and development organizations are mandated to respond to human needs. Traditionally, this meant direct delivery of services, such as disaster relief, food aid, health services and education. Despite many successes related to these interventions over the decades, it has become evident that globally, poverty is not diminishing. Overall, the gap between rich and poor is getting bigger and over 20 percent of the world's population are completely excluded from development efforts.

Many relief and development organizations have now recognized that poverty is, itself, a denial of the human rights which are inherent to all people and which belong equally to all human beings. So, the argument is, that meeting basic needs is directly dependent on being able to assist people to fulfil their rights.

This way of thinking has prompted a change from a development model based on responding only to poor people's needs, to one which supports duty-bearers in fulfilling their responsibilities, and which empowers the poor to claim their rights; that is, rights which are expressed in the international human rights frameworks, covering economic, social, cultural, civil and political fields. Putting this model into practice is known as a human rights-based approach (RBA).

Over the last few years, various UK-based international development NGOs have begun to apply RBA systematically in their programming. But, in doing so, they have uncovered numerous concerns and questions about the conceptual and practical applications of RBA. While many have accepted the logic behind RBAs, others remain to be convinced that there is any added value that they bring (including supporters and skeptics within our own organizations!).

One of the fundamental questions has been: How can we best show to project participants, host governments, staff and donors, that RBA makes a difference, and that this difference can be demonstrated? A few reports and case studies offer examples of successful projects using RBA, but there is little evidence that systematically demonstrates the impact that RBA can have in strengthening development work. Similarly, few studies have compared RBA projects and identified "best practices" and lessons that could be used to improve the use of RBA in the field.

The Interagency Group (IAG) initiated a joint learning process to ***test the fundamental assumption*** that underlies our commitment to addressing rights through our work:

Implementing rights based approaches (RBAs) increases our program impact, and we can demonstrate that increase

With the support of DFID (and other interagency group members such as CARE International UK and Save the Children UK), the agencies undertook a rigorous one year learning process,

including evaluative case studies and joint country-focused learning workshops in Bangladesh, Malawi and Peru to examine the impact of RBA and non-RBA projects on the multidimensional experience of poverty and the realisation of the Millennium Development Goals (MDGs).

Case studies included a range of projects from members including Save the Children UK, Help Age International, CARE International UK and Voluntary Services overseas. Various other UK agencies and local partners have also participated during the in-country analysis phase.

It is time for us to test our assumption that RBAs make a difference to tackling the underlying causes of poverty and to share this learning widely. This workshop is an analysis workshop – we need your participation and your input to ensure that the outcomes of the Learning Process can be as useful as possible. Whatever findings come out of this Learning Process, whether positive or negative, we will share them with as wide an audience as possible within the development arena.

Many, many people, in Bangladesh, Malawi, Peru and UK have been involved in this study. People from governments through to communities have worked together to make it possible. Geoffrey Dennis thanked them all. He also said thank you to the steering committee members for all their hard work in organising this workshop; to DFID for generously hosting it; and to the Bangladesh, Malawi and Peru teams for coming such a long way to join us in this very important endeavour.

2. THE EVALUATION/ LEARNING PROCESS METHODOLOGY

DR SHEENA CRAWFORD
Consultant
CR2 Social Development

Testing a Fundamental Assumption

Members of the Inter-Agency Groups faced the problem that, whilst many people accept the logic behind RBAs, they are not convinced they add value to development. To date, there has been very little monitoring and evaluation work done on rights-based approaches, so there has been little evidence to prove the benefit of using RBAs in comparison to non rights-based approaches.

The Learning Process therefore set out to test the assumption that:

Implementing rights-based approaches increased our programme impact and we can demonstrate that increase

The RBA Learning in Action:

The RBA Learning Process took, as a sample, three countries (Bangladesh, Malawi and Peru). The aim was to cover a wide geographical, social, political and cultural spread which would help to show whether successes in particular circumstances are also replicated across a wide range of RBA work. In the three countries, 14 projects in total were covered. Overall, these addressed four different themes, which covered five different sectors and eight different issues.

Case study projects

Country	Projects/ Local Partners	Sectors/ Issues	International NGO Partner
Bangladesh	<ul style="list-style-type: none"> • Resource Integration Centre (RIC) • Save the Children • Gram Bikash Kendra (GBK) 	<ul style="list-style-type: none"> • Older People's Rights • Children's Rights and Children's Work • Rights of Ethnic Minority People 	<ul style="list-style-type: none"> • Help-Age • SC-UK • VSO
Malawi	<ul style="list-style-type: none"> • PACE • BESP • LIFE • CLSP 	<ul style="list-style-type: none"> • Education • Education • Health • Sustainable Livelihoods 	<ul style="list-style-type: none"> • CARE • CARE
Peru		<ul style="list-style-type: none"> • Water • Health 	

In total, six different NGOs and local partners were involved. An international consultancy team (CR2 Social Development) was contracted to develop the technical approach and, from this team, one lead consultant assisted in preparation of teams for the work in the three countries, facilitated national, multi-stakeholder workshops in Malawi and Bangladesh for presentation of findings, and will work on compilation of the synthesis report from the three countries. In each country, two national consultants were contracted to carry out the actual learning process, with staff from the local NGOs concerned, to compile country case study reports and to attend the London lesson learning.

At first, it was suggested that the whole process could be completed in the first three months of 2005. In the event, it has taken over a year to reach the stage of holding this workshop.

Who has been developing the Evaluation Framework?

CR2 has been involved in developing a framework for monitoring and evaluating rights-based work for the last two years. The requirements of the current learning process provided a great push to this development and has allowed us to build a framework which is suitable not only for assessment of rights-based projects, but of non rights-based ones as well. In developing the framework, invaluable inputs have been made by all the team members in all the countries, and by the consultants and the members of the IAG. In addition, people in communities, local, regional and national governments and organisations have all made vital contributions

The framework is now also used in different initiatives in Bangladesh, Malawi, Yemen and Indonesia.

Difficulties of Comparison

The Learning process has presented a number of real difficulties in terms of making meaningful comparisons between the different projects in the different countries. Because of the range of rights-based approaches demonstrated amongst the projects, and because projects are at very different stages of implementation, it means that we are not comparing "like with like", or even, at times, "like with similar". The framework has therefore had to identify issues and question themes which are common to all projects, so as to enable comparison to take place. Another problem has been that the organisations involved all demonstrate inadequacies in their baseline data: they simply do not have enough of the right kind of baseline data to allow us to be fully confident in what we are measuring change against. In general, NGOs have been weak in building up the kind of information which allows rigorous assessment of impact. There are also weaknesses in understanding, amongst some of the NGOs, about what impact is. Many NGOs have been resistant to the idea of assessing impact, particularly in their rights-based work. They have believed impact to be wholly related to achievement of targets measured in statistical terms, such as reduction in number of maternal deaths, or increased rate of school enrolment. NGOs have not always seen the connection between their work, to "empower" people, and this type of target. However, even with these lacks in data, the framework has allowed us to demonstrate trends

towards impacts and outcomes – which relate both to targets, and to wider goals of increasing justice, equity and dignity for all people.

It is important to note that the current learning process has been pioneering. Until recently, there has been little work which sets out to identify specific measures of success for rights-based development¹. There is, then, no body of work from which to draw understanding and on which to develop the approach.

Rights-Based Development

Since the lesson learning involved various different organisations, all of which have somewhat different understanding of, and approach to, rights-based development (RBD), we needed to find a concept of RBD which covered the approaches of all the organisations. What we set out below, are characteristics we observe in all organisations working with rights-based development – though these characteristics may be described in different ways and different organisations may have different foci, depending on their particular area of expertise.

Vision

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. To do this, we need to understand the full context of people's lives – that is, their geographical, social, political, cultural and economic circumstances. With this understanding, we work to increase people's access to, and power in, decision-making which affects their lives and their work. We also work to strengthen the willingness and readiness of all people (both as "rights-holders" and as "duty-bearers") to take up their responsibilities and to fulfil their obligations towards each other.

The Lesson Learning Framework

The Framework has been developed over the last two years. It covers the full range of issues under rights-based development but is **focused on showing whether and how interventions are achieving impacts and outcomes in relation to poverty reduction 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 which is presented here is a generic and comprehensive tool. Before it could be used by the individual projects involved in the lesson learning, it had to be adapted to the particular goals of the organisation, and tailored to particular needs. For example, whilst the main areas of the framework are relevant to all interventions (policy, project etc.) the thematic questions (see below) needed to be selected for each organisation, or project, and phrased relevantly for the organisations' work.

The Framework has been developed as a **planning, monitoring and evaluation tool** which allows for assessment of all aspects of Rights-Based Development. The Framework can be used for a wide range of interventions – from broad policy through to focused project levels. (It has now been employed in a range of contexts, in the various countries where it is in use, and builds on previous impact assessments and monitoring frameworks). The Framework was designed to encompass a range of components which work together to build up possibilities for **sustained positive change**. Ideally, in future, the framework will be used as a planning tool on

¹ See, however, Brocklesby, MA and Crawford, S: An Impact Assessment of DFID-funded Rights and Advocacy Work in Bangladesh, December 2005, and CARE/OXFAM Rights-Based Learning from Ethiopia and Bangladesh

which project (logical) frameworks can be based. This will allow for targets and indicators, for process and impacts, to be set in line with the Framework².

Components of the Framework

There are five, interlinked components of the Assessment Framework, each one centred on assessing a different aspect of programme implementation. 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 different projects and differing types of intervention.

The diagram below gives a visual representation of the Framework. It shows that all work in RBD is situated within the field of the Millennium Development Declaration (MDD), 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 (MDGs) are concrete, tangible representations of what the MDD 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 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 fulfilled³.

Using terminology drawn from the 2000 DFID Target Strategy Paper, Human Rights for Poor People, the Framework starts from the understanding that the principles and practice of participation, inclusion and fulfilment of obligation underpin all work in rights-based development. Using these principles, work in RBD has three major, inter-linked areas of focus:

- Expansion of meaningful voice and participation, and improving processes of accountability
- Transforming and re-balancing power within, and between, individuals, groups and institutions⁴, 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.

Central to all these foci, is the issue of **power and the politicization of development**. Rights-Based Development (RBD), and a multi-dimensional approach to poverty, work 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 capital, to gain information and to be able to participate fully in society as active citizens.

Successful work in the three areas of RBD focus leads to achievements in terms of Tangible Impacts – such as increased assets and decreased vulnerabilities (concretely recognized through the MDGs and other targets). Importantly, it also leads 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.

² For examples of where this is being done see CARE A-LIFH programme in Malawi and DFID-funded RAVI in Ghana

³ It is generally accepted that it will be possible to reach the MDGs whilst still ignoring the situation of at least 500,000,000 of the world's poorest and most marginalised people.

⁴ Institutions, here, are not just the institutions of state but are taken to be representative of any type of organisations which promotes particular cultural or social norms – e.g., the family, school, traditional leadership etc.

The Framework model also represents the fact that work for achievement of the principles of the MDD is a **long and on-going process**. Sustained positive changes may be made, but there will be a continuing, longer-term need to work for right-based developmental change, for participation, inclusion and fulfilment of obligation, if we are to move closer towards justice, equity and dignity for all.

Areas of Enquiry under the Framework

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. It is important to gain understanding 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 needs to be paid to the direction of accountability. Is accountability only upwards? Or do systems for mutual transparency and accountability exist?

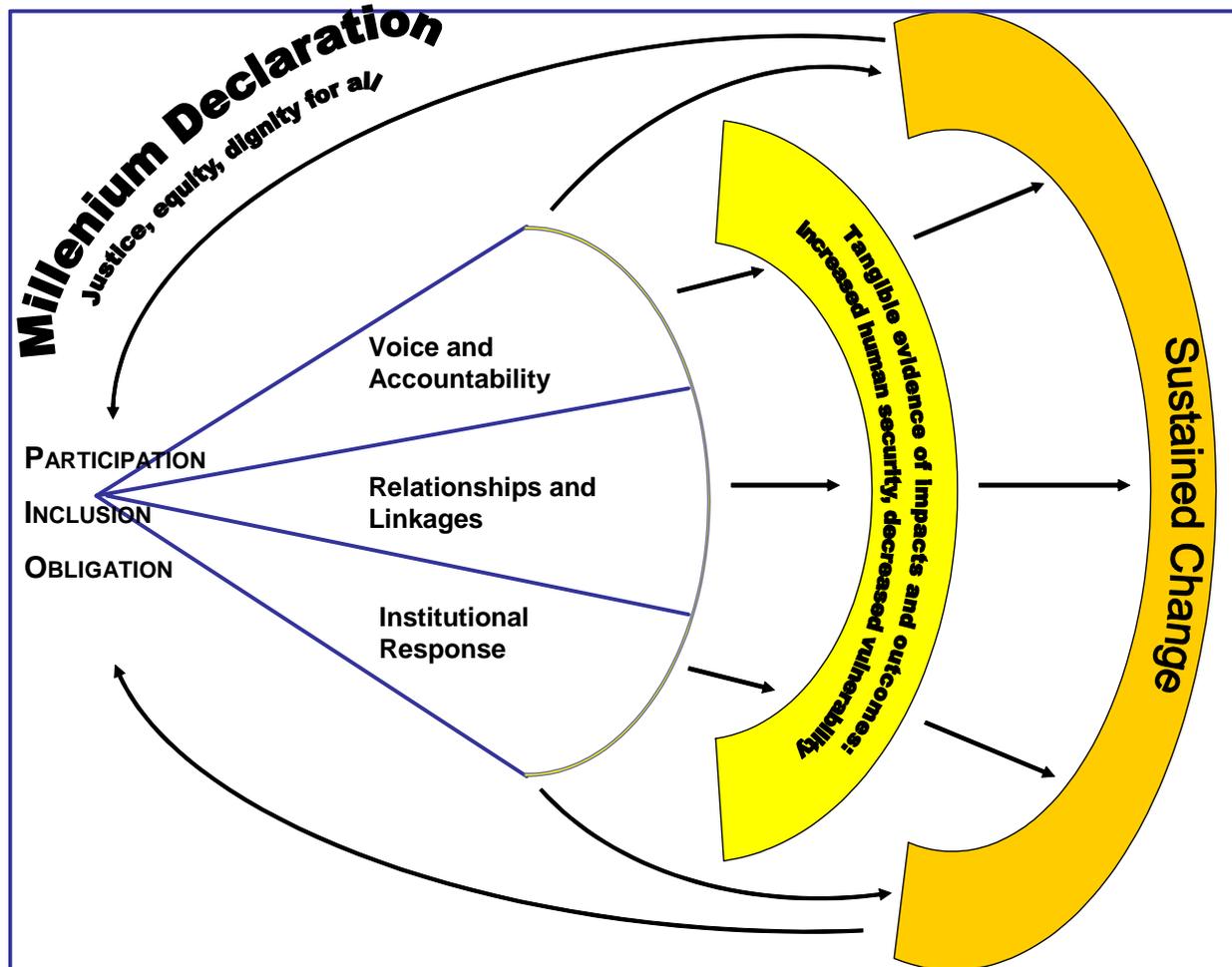
Transformation of Power: Relationships and Linkages. This component examines whether, and how, individuals, groups and organisations form links to work together and to work in partnership. Questions are also asked on how roles and responsibilities are decided and carried out. The component examines trends in relationships between individuals, groups and institutions and looks at 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 and intra-household relationships, as well as on the structural relationships formed between institutions and groups.

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.

Tangible Evidence. This component looks at the data available which points directly to impacts as measured against the concrete targets and goals which point to increased assets and decreased vulnerability (contained in Poverty Reduction Strategies, the MDGs etc.).

Sustained Change. This assesses whether gains made by the project are likely to have lasting impact (positive) which will extend beyond the designed remit of the intervention (policy or 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. This component would also consider whether increases in human security and development are leading to greater political (local, national and global) security.

Figure 1: THE LESSON LEARNING FRAMEWORK



Source: Brocklesby, M.A and Crawford, S. *Changing Relationships, Claiming Rights*, ITDG, forthcoming

Brief Summary of Issues Emerging

Issues Arising

At this stage it is only possible to give indications of issues which will be a major focus of the final RBA Learning report. This workshop will help to identify further issues, to clarify some questions which have emerged, and to encourage deeper analysis of data. However, we can note that assessment of rights-based interventions is, at present, limited because:

- There is a lack of adequate baseline data
- There has been a tendency for rights interventions to encourage a focus on process rather than product, that is, more concentration has been given to how things are done, rather than to what is achieved. Although attention to process is critical, it should not be at the expense of attention to achievement of tangible impacts.
- Indicators and targets set in rights-based projects are often out of line with rights-based goals and objectives
- Lack in understanding on what impacts are, or can be, in relation to working for sustained positive change and poverty reduction mean that organisations have avoided assessing progress towards impacts
- There is, amongst many organisations a perceived conflict between RBAs and targets such as MDGs. In reality, as demonstrated in the framework, this conflict need not exist.

Emerging Trends

In the RBA projects under assessment, it is often too soon to make watertight arguments for the comparative success of RBAs:

- Both non-RBAs and RBAs may have significant impacts (increase in assets, decrease in vulnerability, increase in human security)
- BUT: RBAs appear more likely to lead to sustained positive change than non-RBAs, with change in norms and values, structures, policy and practice and they do more to reduce vulnerability

As well as the tangible impacts demonstrated by RBAs it is highly significant that

- Inequitable power relationships have been challenged and have begun to be transformed;
- Discrimination has been reduced;
- Greater equity and inclusion has been achieved
- Changes in relationships, at individual, group and institutional levels, can be embedded and structural Citizenship becomes more active as mechanisms for mutual accountability are established and used
- People have started to realise the benefits (as well as the necessity) of taking up obligations,
- There is evidence to suggest that RBAs offer the best way to deal with structural exclusion
- RBAs require us to engage with the dynamics of institutional change

Challenges

- To date, meaningful RBA objectives, indicators of significant change, impacts and outcomes have not generally been adequately defined (through it is hoped that the framework, and developments of it, may make this easier)
- We need to broaden understanding of the context and workings of power and inclusion issues; building baselines and understanding, and working with, drivers of change at all levels
- More work is necessary, even in rights-based interventions, to ensure that the “missing margin” (the poorest and most marginalised people) are included within development
- More attention is needed on understanding and working with the politics of engagement (where, when, how and with whom to engage) and on ways to link voice and responsiveness
- We need to make more effort to address all aspects of conflict and to gain greater understanding of how to use RBAs in conflict situations.

THE FRAMEWORK: THEMES AND QUESTION AREAS

Voice, Participation & Accountability

- Trends in poor and marginal people's participation in decision-making processes
- Trends analysis of movement towards self-mobilisation and autonomy by poor and marginal people
- Changes in ability to challenge people/institutions of power
- Changes in transparency and accountability of offices and institutions between poor and marginalised people, their representatives (traditional, elected and organisational)

Power & Transformation Relationships and Linkages

- Trends in linkages between local, middle and national levels
- Changes in the partnerships and networks including poor and vulnerable people
- Changes in how constituents within programme treat each other and how conflict is addressed
- Accessibility of middle and national people and processes to local voice
- Trends in information flows
- Changes in attitudes, behaviour and practices which, over time, point to change in power relationships based on gender, age, diversity, etc.
- Trends in trust between duty bearers and rights holders over time (including elected and appointed officials)

Institutional Response

- Changes in the way organisations develop and strengthen networks and partnerships with each other and with poor and marginal people.
- Changes in accountability, transparency and equity (including redistribution), in resource allocation
- Changes in identifying and implementing more appropriate responses to the needs of poor and most marginalised people
- Changes in the processes and systems used within the organisation and between organisations
- Continual learning and organisational systems which are disaggregated in tracking outcomes and impacts on poor and most marginal people.
- Changes in mechanisms and processes of redress
- Changes in tackling issues of exclusion, poverty and marginalisation
- Changes in the way roles and responsibilities are defined and acted on in relation to meeting obligations

Tangible Evidence increased human security

- Trends analysis of programme outcomes and impacts in relation to MDG empirical data
- Change in capacity of poor and marginalised people to apply skills and competencies outside the programme
- Perspectives of poor and most marginalised people on the benefits, gains and losses from the projects
- Ability of project to maximise resource take-up in relation to targets
- Likely long-term impacts, positive and negative on inclusion and equity within the programme area and on the achievement of the MDGs

Sustained Change

- Trends in power relationships between poor and most marginal people and other social groups.
- Changes in processes to embed inclusion, equity and obligation at local, middle and national levels
- Assessment of amounts or different types of sustainability including likelihood of withstanding shocks
- Changes in the perceived vision of the future
- Changes in the influence of state and the outside world
- Changes in cultural values
- On the basis of your analysis, what are the trends towards or away from structural change?

THEMES AND QUESTION AREAS

Theme	Question Areas
VOICE, PARTICIPATION & ACCOUNTABILITY	
<ul style="list-style-type: none"> • Trends in poor and marginal people's participation in decision-making processes 	<ul style="list-style-type: none"> • Type of participation practiced at different times with different people in different circumstances? What has participation of poor and marginalised people achieved? Is it ethical? Who participates and who does not? In what fora?
<ul style="list-style-type: none"> • Trends in movement towards self-mobilisation and autonomy 	<ul style="list-style-type: none"> • Changes in ability of different interest groups to represent own views? Replication and application of principles, skills and knowledge by project constituents?
<ul style="list-style-type: none"> • Changes in people's ability to challenge offices and institutions of power (at all levels) 	<ul style="list-style-type: none"> • How do people question authorities and service providers? Are there recognised channels through which to do this? Has the process changed over time? Who can challenge? What is the effect and impact of challenging?
<ul style="list-style-type: none"> • Changes in transparency and accountability of offices and institutions between poor and marginalised people, their representatives (traditional, elected and organisational) 	<ul style="list-style-type: none"> ○ How have systems of transparency and accountability developed over time? What are these systems? Who is accountable to whom, and for what? How has this changed over time? What do people, at different levels, feel about how transparency and accountability works?
POWER AND TRANSFORMATION RELATIONSHIPS AND LIKAGES	
<ul style="list-style-type: none"> • Trends in linkages between local, middle and national levels 	<ul style="list-style-type: none"> • Are there changes over time in the ways that local, middle and national level people and organisations work together? What are the types of interactions between local, middle and national levels? (meetings, visits, participation in work and presence). What is the agenda, and what gets decided?
<ul style="list-style-type: none"> • Changes in the partnerships and networks including poor and vulnerable people 	<ul style="list-style-type: none"> • Are poor and marginalised people able to participate in partnerships (of all/ any kind)? How are organisations working together to enable this participation? What do poor and marginalised people feel about the process? How are achievements monitored? Is there any evidence of communities/ organisations taking initiatives to ensure continuing/ increasing inclusion?
<ul style="list-style-type: none"> • Changes in how constituents within programmes/ projects treat each other and how conflict and tension is addressed 	<ul style="list-style-type: none"> • How are conflicts and challenges resolved and have processes for resolution changed over time? What value is given to the way people work together and treat each other? Has this changed during the course of the project?
<ul style="list-style-type: none"> • Accessibility of middle and national people/ offices and processes to local voice 	<ul style="list-style-type: none"> • How do project constituents feel they are valued by officials and people in authority? Are people aware of the channels for accessing officials and authority at their own, and other levels? What priority is given to demands from poor and marginalised people in decision-making processes, at all levels? Have there been strategic changes in access?
<ul style="list-style-type: none"> • Trends in information flows 	<ul style="list-style-type: none"> • Number and type of information exchanges planned

	and recorded between different organisations and people at different levels in each year of project lifetime? What is the quality of the information and what actions does it generate?
<ul style="list-style-type: none"> • Changes in attitudes, behaviour and practices which, over time, point to changes in power relationships based on gender, age, diversity, etc.. 	<ul style="list-style-type: none"> • Number of women engaged in public decision-making processes? How have these changed over time? What is the impact of involvement? Are young people able to join in decision-making? How? Impact of this? What are the changes in relationships in the home? Have instances/ type of domestic violence changed? How? How are financial decisions made in the home? Has this changed over time?
<ul style="list-style-type: none"> • Trends in trust between duty bearers and rights holders over time (including elected and appointed officials) 	<ul style="list-style-type: none"> • What are the perceptions of “trust” (constituents to people in authority and vice-versa)? How have these changed over time? What is the level of rights holders’ satisfaction with the action of duty bearers and how has this changed over time?
OBLIGATIONS AND STANDARDS INSTITUTIONAL RESPONSE	
<ul style="list-style-type: none"> • Changes in the way organisations develop and strengthen networks and partnerships with each other and with poor and marginal people. 	<ul style="list-style-type: none"> • Do poor and marginalised people have active roles in partnerships and networks and how has this changed over time? To what extent do the partnerships work to address the issues of poor and marginalised people and how has this changed over time? What sort of organisational partnerships, linkages and alliances exist? Are there systems and mechanisms to regulate these? Who decides on how these are organised and implemented?
<ul style="list-style-type: none"> • Changes in accountability, transparency and equity (including redistribution), in resource allocation 	<ul style="list-style-type: none"> • What is the percentage of resources (people, goods and money) given to specific interest groups, and how has that changed over time? How are decisions made on resource allocation, how are these decisions transmitted, and how has this changed? Are they publicised? How is resource use reported, and how has this changed over time? What mechanisms of accountability exist and how are they implemented and monitored?
<ul style="list-style-type: none"> • Changes in identifying and implementing more appropriate responses to the needs of poor and most marginal people 	<ul style="list-style-type: none"> • How have projects been planned? How has this changed over time? Who is involved? Whose voice is included in project planning and how is this reflected in implementation?
<ul style="list-style-type: none"> • Changes in the processes and systems used within the organisation and between organisations 	<ul style="list-style-type: none"> • What are project constituents perspectives on project systems, processes and protocols (simple? easy to understand and follow?) Have there been changes over time in response to constituents’ concerns?
<ul style="list-style-type: none"> • Continual learning and organisational systems which are disaggregated in tracking outcomes and impacts on poor and most marginal people 	<ul style="list-style-type: none"> • Does the project framework contain indicators which explicitly disaggregated by interest group? How is this disaggregation made? When were explicit indicators introduced? Who tracks outcomes and impacts and how? (Not just: are people involved in PM&E, but how, and to what ends?) How and when is learning carried out? What routine actions are taken in response to learning? How does local learning feed into middle and national levels?
<ul style="list-style-type: none"> • Changes in mechanisms 	<ul style="list-style-type: none"> • What are the trends in development and

processes and success of redress	implementation of processes by which poor and marginalised people seek to confront rights abuses (legal and cultural) (what are the mechanisms? What are the trends in success of these processes?)
<ul style="list-style-type: none"> • Changes in tackling issues of exclusion, poverty and marginalisation 	<ul style="list-style-type: none"> • Have project constituents carried values and principles of the project into other areas of their lives and work? What evidence is there for changes in practice over time in partner and network institutions tackling exclusion, poverty and marginalisation? How is inclusion envisaged by people at all levels? Who is included, who is left out? What do people at all levels understand by inclusion?
<ul style="list-style-type: none"> • Changes in the way roles and responsibilities are defined and acted on in relation to meeting obligations 	<ul style="list-style-type: none"> • Who defines R &R? How are they documented? How are they m&ed? What are the changes in the approach to accountability & systems used? Have there been changes in who is involved?
TANGIBLE EVIDENCE OF IMPACTS & OUTCOMES	
<ul style="list-style-type: none"> • Trends analysis of programme outcomes and impacts in relation to MDG empirical data 	<ul style="list-style-type: none"> • How appropriate are project outcome and impact targets in contributing to the MDGs? To what extent have/ do projects meet their outcome and impact targets? How has this changed over time?
<ul style="list-style-type: none"> • Change in capacity of poor and most marginalised people to apply skills and competencies outside programme 	<ul style="list-style-type: none"> • What are the changes in poor and marginalised people's abilities to access new opportunities? What are the changes in livelihood security (broad analysis of assets and vulnerabilities)?
<ul style="list-style-type: none"> • Perspectives of poor and most marginalised people on the benefits, gains and losses from the project 	<ul style="list-style-type: none"> • What do constituents consider to be the important changes (positive and negative) in their lives as a result of being part of the project? When did these changes happen?
<ul style="list-style-type: none"> • Ability of projects to maximise resource take-up in relation to targets. 	How has/does the project been able to be flexible in reallocating its own resources, staff and support in response to changing circumstances?
<ul style="list-style-type: none"> • Likely long-term impacts, positive or negative on inclusion and equity in the programme area and on the achievement of goals 	<ul style="list-style-type: none"> • What have been, and what are, the predicted longer-term impacts on poverty reduction, as evidenced through achievement of targets and goals?
SUSTAINED CHANGE	
<ul style="list-style-type: none"> • Trends in power relationships between poor and most marginal people and other social groups. 	<ul style="list-style-type: none"> • What has the power of poor and marginalised people changed in relation to other more powerful groups over time?
<ul style="list-style-type: none"> • Changes in processes to embed processes of inclusion, equity and obligation at local, middle and national levels 	<ul style="list-style-type: none"> • Have local and middle level actions led to changes in national policy and strategy? What are they?
<ul style="list-style-type: none"> • Assessment of amounts, or different types, of sustainability including likelihood of withstanding shocks 	<ul style="list-style-type: none"> • What are constituents perceptions of altered capacity to adapt to changing circumstances by themselves, and other organisations? What is the perceived future of the decision-making processes and systems put in place since the project started?

<ul style="list-style-type: none"> • Changes in the perceived vision of the future 	<ul style="list-style-type: none"> • How do poor and marginalised people think of their future and the future of their community? How do they perceive this has changed since their involvement in the project?
<ul style="list-style-type: none"> • Changes in the influence of state and the outside world 	<p>In what ways do constituents interact with the state (participation in electoral processes; seeking representation; lodging complaints, lobbying; etc.) Have there being changes in the way the state understands the local context and what does it do differently in response to this?</p>
<ul style="list-style-type: none"> • Changes in cultural values and practices 	<ul style="list-style-type: none"> • Has there been change in cultural values and practices that discriminate against people or may be damaging?
<ul style="list-style-type: none"> • On the basis your analysis what are the trends towards or away from structural change 	<ul style="list-style-type: none"> • What are the indicators that changes generated by the project are likely to contribute to increased equity in the longer term?

3. BANGLADESH



3.1 INTRODUCTION

PRESENTATION: MUHAMED TAHER
Consultant
Bangladesh

3.1.1 Country context

Bangladesh is a densely populated South Asian country with high levels of poverty. Half of the 140 million people are poor (income under \$1 a day) - a quarter of them extremely poor. Despite higher economic growth rate of 5.5 percent a year, poverty and inequality are still to be effectively contained. The richest 5 percent of people control over 30 percent of resources. Many experiments of development interventions and different projects have been undertaken in Bangladesh. There are examples of successful programmes on dissemination of preventive health care technology, immunization and micro-credit. However, the process of decline in the rate of poverty is very slow (under 1 percent a year).

The different phases of development experience evident in Bangladesh include:

- Relief
- Rehabilitation (physical infrastructure and asset creation)
- Development (comprehensive/integrated approach, sectoral approach, micro-credit etc)
- Conscientisation - human rights

3.1.2 The case studies

The three case studies are based on projects with three different categories of marginalized people:

- Indigenous peoples or *Adibashis* - Gram Bikash Kendra (GBK)/ Voluntary Services Overseas (VSO)
- Older persons - Resources Integration Center (RIC) /HelpAge International (HAI)
- Children – Save the Children UK (SC UK)

The various agencies put themselves and their projects forward to be documented into a case study. All Projects demonstrate a progression from non-RBA to RBA over their lifetime, with a defined “moment” when the change took place. The case studies therefore chart and analyse shifts in the focus of projects, from traditional development approaches to RBA.

The various projects aim to address similar problems including a high degree of exclusion;



Core study team

- Reefat Bin Sattar – SC UK
- Mahfuza – SC UK
- Reaz – RIC
- Abdul Haseeb Khan - RIC
- Bhupesh Chandra Roy – GBK
- Mahtabul Hakim – VSO
- Neelam Singh- Consultant
- Mohammed Taher- Consultant

charity and relief oriented community support if at all forthcoming; the fact that access to resources usually depend on patronage and social networks; and multiple vulnerability to extreme poverty.

3.1.3 Emerging trends

RBA is challenging institutions and changing political processes. Both traditional development programming and rights based programming assist in developing a social identity for highly marginalised groups. However rights based programmes base this work on a broader analysis of the political and social context and go a step further in working with excluded groups to redefine citizenship. The rights based projects connect local issues with national policy concerns and have a high media and general public profile as a result. An example of this is SC UK's contribution to the Bangladesh Poverty Reduction Strategy Paper.

3.2 PLEMENINARY CASE STUDY FINDINGS

PRESENTATION: NEELAM SINGH
Independent Consultant
Bangladesh

3.2.1 The case study projects

Rights based development is gaining currency in Bangladesh but it is still rhetoric as opposed to putting principles into practice. Understanding is varied and there is no consensus on what a rights based approach is. It was therefore **difficult to differentiate between non rights based and rights based projects.**

The table below provides an outline of the various projects documented into case studies. The case study projects (GBK, RIC and SC UK) have accepted the language of rights and are trying to put it into practice. Their transition and progress has been guided by their growing understanding of rights based development.

It is to be noted that some of the non-rights based projects have elements of rights, while some of the rights-based projects have service delivery elements.

Bangladesh case studies

Case studies	Projects	Approach	Duration	Brief Overview of the Project Activities
Gram Bikash Kendra (GBK)	Support and Awareness for Behavioural Change (SABEC)	Non-RBA	2004	<ul style="list-style-type: none"> • Provision of health and sanitation services • Basic education
	Indigenous People's Development Project (IPDP)	RBA	Ongoing since 2004	<ul style="list-style-type: none"> • Strengthening traditional people's institutions • Legal aid for addressing land issues • Basic and culturally appropriate pre-school education for children • Local level advocacy and raising of public awareness
Resource Integration Centre (RIC)	Older People's Inclusion (OPI)	Non-RBA	1990-1999 Continues as downsized project without external funding	<ul style="list-style-type: none"> • Formation of clubs and groups • Provision of pensions • Healthcare and recreation
	Older Citizen's Monitoring Project (OCMP)	RBA	Since 2002 The project funding ends 2006	<ul style="list-style-type: none"> • Mobilization of elderly into a federated organizational structure • Lobbying and networking

				<ul style="list-style-type: none"> with key stakeholders Working with the media
Save the Children (SC UK)	River Project	Non-RBA	1975-1996 After phase out, the project area handed over to partner	<ul style="list-style-type: none"> Provision of emergency relief Community development through health services Supplementary nutrition Income generation Basic education
	Poverty and Working Children (PWC) programme Part I: Child labour in shrimp industry Part II: Children in conflict with law {The two components of the PWC programme have since been included in two separate programmes: 'Violence at the workplace' under Child Protection programme and 'Preventing child labour' under Household Economic Security programme	RBA	Since 2000 Continues after being redesigned in 2005	Improving working conditions of children in the shrimp industry by negotiating and collaborating with the employers and other key stakeholders, and promoting children's participation Improving the conditions of the correctional homes so that they become child development centres by working with different stakeholders and promoting children's participation

3.2.2 Causes of marginalisation and vulnerability

The various projects target specific marginalised and vulnerable groups. Some of the causes of their vulnerability are highlighted in the following table.

Causes of marginalisation and vulnerability

Indigenous people/Adibashis/tribals/ethnic minorities	Older Persons	Children
<ul style="list-style-type: none"> Non-recognition of their identity Negative societal perceptions Discrimination Alienation from land Neglect/indifference of state institutions Socio-economic and political isolation Lack of organization 	<ul style="list-style-type: none"> Exclusion and discrimination Negative societal perception Lack of safety nets for the poor elderly Changing family structure due to urbanization and migration Lack of organization and institutional support 	<ul style="list-style-type: none"> Lack of authority Patronising societal perceptions and controls Limited opportunities and options due to poverty

3.2.3 The main similarities between RBA and non-RBA

The main similarities between non rights based and rights based development in the first and second phase of case study projects include an effort to focus on the following:

- Holistic, integrated and sustainable development
- Bringing people together
- Building people's capacities
- Building trust
- Influencing policies
- Seeking lasting changes

3.2.4 The main differences between RBA and non-RBA

The following table highlights the main differences between the rights based and non-rights based projects studied.

	Non-Rights based projects	Rights based projects
Project Focus	Projects focused on: <ul style="list-style-type: none"> • identifying and addressing problems • the role of projects participants • ensuring cordiality in relations with duty bearers. 	Projects focused on: <ul style="list-style-type: none"> • identifying and addressing the underlying causes of poverty, • the role of duty bearers • voice and accountability.
Project constituents	Project constituents were identified as having a social role and were selected due to the agencies particular geographical focus.	Project constituents were identified as having both a social and political role and were conceptualized as an interest group with a vision for the larger community.
Partnerships	Partnership is largely about being social and cooperating with state institutions.	Partnership was regarded as a strategic common interest to utilise different ways of working. There is critical engagement with state institutions and a growing recognition of the role of non-state actors.
Service delivery	Service delivery is regarded as either an entry point and/or the only approach.	Service delivery is perceived as having a strategic role.
Capacity building	Capacity building is focused on the provision of literacy, education, information and skills.	Capacity building is focused on empowerment through participation, soft skills and the quality of education
Basic needs/ rights	Projects focus on survival and respite from extreme hardships/ crisis.	Projects focus on rights holders' ability to negotiate with duty bearers through increased social networks, stronger organizations and improved social status. Projects have a longer term perspective/ vision and immediate needs may be neglected.
Influencing policies	There is no evidence on work to influence policies.	Projects influenced policy through increased recognition of the legitimacy of claims and the development of stronger interest groups; growing constituency of supporters; and development of relations with local governance.

3.2.5 Challenges

All projects faced similar challenges including:

- Addressing immediate needs
- Dealing with Macro issues
- Dealing with wider political processes
- Ensuring representation of views and interests of all not some
- Maintaining and sustaining relationships with state institutions and non-state actors
- Planning, Monitoring and Evaluation for a dynamic rather than a linear process of social change

3.3. GROUP DISCUSSION AND FURTHER ANALYSIS

GROUP FACILITATOR: MARRY-ANN BROCKLESBY

Consultant

CR2 Social Development

3.3.1 Fundamental Differences between RBA and non-RBA projects

Fundamental differences in the goals and objectives of non RBA and RBA projects include the following:

- There is a continuum between non-RBA and RBA.
- The more rights based the project, the more focus there is on structural long-term change.
- In RBA projects, values and processes are explicit and central to what is being done.
- RBA explicitly aims to open up political space.

3.3.2 The Impacts of RBA

The relative impacts of rights based projects include the following:

- Changes in power: by promoting collective, social and political identity.
- Changes in expectations: Non-RBA projects tend to limit expectations to the delivery of services and goods. As we move along the continuum of RBA, expectations are broader.
- Changes in behaviour: RBA promotes change in the behaviour of the State and of duty-bearers. There is change at the institutional level (supply side) as well as a change on the behaviour of people (demand side).

3.3.3 RBA and Non-RBA factors leading to successes or barriers.

It is important to work across all levels of exclusion. Advocating for continuous inclusion so that highly marginalized people are targeted and included is essential. Social mobilisation rarely reaches the very poorest or most marginalised, and in itself can be excluding as it may require certain skills such as literacy, mobility and so on.

Addressing power relations opens up potential for success by changing relationships and mutual accountability. However, there is potential for conflict which must be dealt with creatively and constructively by spotting safe spaces.

4. MALAWI



4.1 INTRODUCTION

NORMAN ISHUMAEL K. TEMBO
Education Project Manager
CARE Malawi

4.1.1 Contextual issues

Since becoming independent in 1964, Malawi went through three decades of one-party dictatorship until the country held multiparty elections in 1994. During the one-party era there was wide repression of freedom of association and as a result, Malawi has a relatively weak civil society.

There is a low level of education. With regard to access, there is low completion rate in primary school (30 percent). Lack of equity is a serious problem with 34 percent literacy among women as compared to 50 percent literacy among men. Quality is poor with pupil/ teacher classroom ratio of 94:1.

The health status in Malawi is also poor with a high maternal mortality rate of 1800/100,000 (2000) and life expectancy at 38 years mostly due to HIV and AIDS.

Extreme poverty and inequitable access to resources and services is the norm with 65 percent of the population living under \$1 a day. Malawi is ranked 163 out of 174 in the HDI; Gini co-efficient is 0.63.



4.1.2 The Case studies

Summary of case studies

Case study 1	
<i>Partnership in Capacity Building in Education (PACE)</i>	<i>Civil Society Basic Education Support Project (CS-BESP)</i>
<ul style="list-style-type: none"> • Strengthening Partnerships with different stakeholders at different levels (Obligation and responsibility) <ul style="list-style-type: none"> – Govt: Min. of Educ.; District Assemblies – Civil Society (local & international NGOs; SMC; PTA) • Social Inclusion <ul style="list-style-type: none"> – Participation of local communities in management of primary schools – Access of OVC to quality education – Participation of women in school governing boards (SMC; PTA) 	<ul style="list-style-type: none"> • Institutional capacity building of indigenous Civil Society Organisations (CSOs) <ul style="list-style-type: none"> – Skills development – Improving systems & structures – Strengthening Governance – Building external relations • Enhance collective representation of CSOs e.g. in Government Budget Monitoring Exercises

Case study 2	
Local Initiative for Health (LIFH)	Central region Livelihood Security Project (CLRSP)
<ul style="list-style-type: none"> • Development of partnerships among service providers • Capacity building of communities to demand their right to health (quality and equitable services) • Enhanced capacity of service to provide quality and equitable services 	<ul style="list-style-type: none"> • Promoting food security (access to inputs and effective utilisation of natural resources) • Village level institutional development and capacity building (link with local governance structures – decentralisation) • Enhancing / diversifying household income sources (small enterprise activity development: promoting savings)

4.1.3 Conclusion

- RBA projects are challenging underlying causes of poverty through changing power relations (positions) and structures – systems
- RBA redefines active citizenship thereby institutionalising possibilities for sustained positive change
- A challenge is that power systems and relationships are built over long periods of time while projects only secure short-term funding

Study team

- Desmond Kaunda, Consultant
- Miriam Chalimba, Consultant
- Francis Lwanda, Development Planning, CARE Malawi
- Innocent Cleo Kommwa, Learning, M&E Coordinator, CARE Malawi
- Norman Ishumael K. Tembo, Education Project Manager, CARE Malawi
- Peter Ngalawa Phiri, Social Development, CARE Malawi
- Harris Kachale Rachael, District Education Manager (Ntcheu)
- Official from ministry of education
- Input from **RBA synergy group** (international and national NGOs in Malawi employing RBA approach in their work, e.g. Oxfam, VSO etc.)

4.2 PRELIMINARY CASE STUDY FINDINGS

PRESENTATION: MIRRIAM CHALIMBA
Consultant
Malawi

4.2.1 The main similarities between RBA and non-RBA projects

All projects:

- aim to addressing Malawi's PRS, the MDG, the decentralisation policy and vision 2020.
- aim to improving access to quality of social services
- rely on using existing structures and institutions
- work in partnership and establish linkages between institutions
- are based on /designed around research findings although the RBA projects focus on structures behind events.
- aim at and talk about participation and use participatory approaches

4.2.2. The main differences between RBA and non-RBA projects

There are significant differences between rights based and non-rights based projects. The following table outlines some trends.

	Non-Rights based projects	Rights based projects
Focus	Projects increase asset bases (e.g. school enrolment) without necessarily addressing underlying causes (structural, systemic relationships etc.)	Projects attempt to both increase asset bases and address the underlying causes of poverty.
Voice and Accountability	There are no mechanisms for institutionalising transparency and accountability. There is also no deliberate mechanism for inclusion of voice & participation of all stakeholders. This is left to 'self-targeting' which means that many are excluded)	Projects work for the institutionalisation of mechanisms for transparency and accountability among duty bearers as well as voice and participation among rights holders as a major goal. Projects require attitude and practice transformation amongst all stakeholders so power imbalances are addressed and primary stakeholders are listen to as equals
Statistical outputs	Projects focus on <i>statistical</i> outputs.	Projects focus on <i>equity of statistical outputs</i> (rather than statistical outputs per se). Projects combine quantitative and qualitative outputs which is an added value. As NGOs are learning as they go along, lack of quantitative statistics will be addressed over time.
Participation	Participation is mechanical (' for e.g. chief stands and commands all to participate in constructing road') focusing on listed institutions that already have power (so actually disempowering for others)	All stakeholders including <i>the most marginalised participate</i> in decision making. This is not just about numbers. It's about asking which women attend meetings? Are these the poorest and most vulnerable women? The powers of chief are consequently diffused by ensuring participation and inclusion.
Service providers and users	Service providers and users do not interact but operate in different camps.	Projects provide forums for service providers and users to discuss and agree on steps required to improve service delivery. They aim to create space for all to participate.
Claims/ entitlements	Rights claims not institutionalised.	Projects aim for rights holders to claim entitlements i.e. confront service providers.
Power differences	There is a high potential for increasing (or just maintaining the status quo) with regard to power differences, because projects have little or no influence on social positions of stakeholders.	Projects address power differences (in systems, structures and relationships) by looking at how all stakeholders participate and benefit.
Sustainable change	Projects are likely to see diminishing results (impacts) after project completion. For example, equipment in schools are not closely looked after at the end of the project as there is no focus on social relationships and processes.	There is evidence that the rights based projects evaluated demonstrate sustainable processes driven by active citizenship. Some tangible impacts of PACE include some of the following: A significant number of urban teachers moved to rural areas, resulting in an increase in the number of teachers per schools in rural areas. In turn, the teacher/ pupil ratio improved- i.e. one qualified teacher to a moderate number of pupils. Schools in the project area also benefit from the assistance of 2-3 volunteers from the community. Before PACE, 90 percent of school committees were dormant. Today, 80 percent of committees are active. <i>'From this study there is clear evidence that RBA adds value to project performance and impact.'</i>
Impact	Positive change is narrowly 'measured in a linear increase in the behaviour of a phenomenon'. i.e.	Positive change processes pass through various phases, which can be messier (as challenging beliefs and mindsets) than conventional

	Change is measured in terms of a clear, tangible impact (e.g. road has been constructed), rather than the processes involved in building the road, which may in the long term be more significant.	processes that non RBA donors and agencies would see as successful i.e. Positive change is recognised as passing through various phases and is not a simple progression from point A to point B. (For instance complex changes in social relations and attitudes may need to take place before significant improvement in the quality of education occurs). This can be harder to capture and more difficult to prove as significant impact to donors and agencies.
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4.2.3 Key Challenges

- It is challenging for short term projects to analyse impact on long term change (e.g. power relations, systems etc).
- Conventionally, intangible outputs and outcomes are rated as less valid in comparison to tangible and statistically measurable outputs and outcomes. This presents a challenge to rights programming as outputs can not always be quantified.
- There are different approaches to defining impact benchmarks such as rights standards versus rights contexts.
- Dealing with resistance among people in positions of power is a major challenge. Rights based approaches are political as they deal with power transfers which can create conflict.
- The focus on rights is new and approaches are evolving. Agencies are engaged in hands-on learning to improve rights based practice. Gaps and weaknesses may not be inherent in Rights based principles as such but in how agencies attempt to put these principles into practice.

4.3. GROUP DISCUSSION AND FURTHER ANALYSIS

FACILITATOR: MANDY HESLOP
Training and Research Manager,
HelpAge International

4.3.1 Fundamental Differences in the goals and objectives of non-RBA and RBA projects

- Projects have similar poverty reduction goals (addressing targets in PRS, MDG, Vision 2020) but objectives are very different.
- Both RBA and non-RBA projects aim to improve for example, access to, quality of and equity in education. However, RBA projects go a step further in trying to understand and address child rights abuses in context such as child work, child marriage and child exploitation.
- Both rights based and non-rights based approaches to education for example focus on access, quality, equity etc. However, RBA will also focus on broader issues which may affect a child's access to quality education e.g. child labour, child marriage etc.
- RBA addresses structures and systems whereas non RBA is more concerned with tangible resource issues.
- RBA projects have broad objectives (e.g. increase in access to means of production) whereas non-RBA projects have very focused objectives (e.g. 40 percent increase in

household income). This 40 percent increase would be an output for RBA projects not an objective.

- RBA projects attempt broad coverage, ultimately at the national level (though this may also be the case for non-RBA) with the aim of influencing national policy levels. In contracts, non-RBA projects attempt to address specific needs, with specific inputs during a specified time-frame.

These differences are reflected in project approach and measures of success. For example, RBA and non-RBA projects have different approaches to participation. RBA consciously encourages participation of ALL; particularly those who do not normally have a voice. For example, its not just '60 people participated' but '*which* 60 participated'). Non RBA encourages participation but without conscious inclusion of those less powerful. Participation in RBA is sustained over time; not confined to a particular project. Access to information by different actors and transparency is key in RBA.

4.3.2 The relative impacts of the approaches on sustained positive change

- In non-RBA, impact is on specific set targets (e.g. 65 percent increase in household income). RBA also looks at specific targets but *also* changes in systems over time (e.g. what is the distribution of the increase in household income within the household). Are there other impacts (positive and negative)?
- In RBA, project participants are involved in setting targets and objectives according to *their own* priorities.
- Non-RBA addressing immediate symptoms of poverty so often hits structural barriers (a ceiling to development).
- RBA addressing underlying causes of poverty through three pillars: 1) addressing systems and structures that prevent people from accessing their rights and entitlements; 2) engaging in active networking and advocacy; and, 3) following up with practical actions.
- RBA addresses quality as well as quantity. For instance, in Malawi RBA addresses structural issues related to education quality (e.g. how to prevent male teachers having sex with female pupils) and not just quantity (girls' enrolment rates).
- RBA is a linked up approach. For example, it's about linking the issue of access to education to HIV and AIDS prevent and impact mitigation and gender analysis. As a result, one project can potentially contributing to progress towards several MDGs.
- Elements of RBAs been part of some projects in the past, but now rights more *conscious part in programme planning*
- Various strategies utilised by RBA projects are evident in non-RBA projects. The difference is that for RBA projects, rights realisation is a *conscious focus* in programming planning
- However, there are some ***unintended negative impacts*** of RBA. RBA can overload communities with voluntary responsibility, i.e. 'tyranny of participation'? For example, women are expected to juggle participation in meetings with household responsibilities. This all depends on how process of participation is facilitated in individual projects.

4.3.3 RBA and Non-RBA factors leading to successes or barriers

Success factors

There is a fundamental question on whether service delivery is a necessary part of RBA.

- 'RBA without service delivery can be less effective'. This however relates **not** to NGOs acting as the direct service provider which is unsustainable; but more as facilitators/ monitors of quality service provision.
- RBA involves a shift in power relations regarding service provision, emphasising the accountability of service providers to service users.
- Service delivery is an entry point to working with communities on rights issues as it helps the project to understand their needs and priorities.
- Service delivery is only one component of an RBA. It complements other activities including strengthening institutions and networking/advocacy.

4.3.4 Challenges/Barriers

- RBA digs up underlying causes of problems and this can generate conflict in communities due to resistance against change by those in positions of power. These conflicts are not always resolved when the NGO leaves after project completion.
- Development workers are accustomed to "doing things for disadvantaged groups such as children or the elderly. There is resistance to accepting certain rights principles such as children's rights to participation in issues concerning them.
- Rights can be perceived as a western concept because the "culture" of international conventions do not easily transfer to different cultures. Benchmarks can be constraining if based on international rights standards alone. They should be understood in relations to local contexts and priorities.

5. PERU



5.1 INTRODUCTION

MARIA ELENA FORT MEYER

National Coordinator: Planning, Evaluation and Learning
CARE Peru

5.1.1 Facts and figures

Peru is a middle income country with vast inequalities. More than 50 percent of the population lives in poverty and 20 percent in extreme poverty, especially in rural areas. Social discrimination & exclusion is prevalent specifically in relation to ethnicity, cultural and gender disparities.

Peru is in the process of post-conflict recovery after 20 years of political violence due to social conflicts for greater redistribution of resources and weak democracy.

5.1.2 Peruvian case studies

Two case studies were undertaken in Peru: a CARE Peru water and sanitation (W&S) project and a Save the Children UK and TAREA (local Partner) education project.

CARE Peru, Pilot Project Rural Drinking Water and Community Health (PROPILAS)

With regard to water and sanitation, 37 percent of the rural population are without access to safe water; 70 percent are without sanitation; and 68 percent of the water systems do not bring safe water and are non sustainable.

CARE Peru progressed from a W&S project focusing on direct implementation of W&S to PROPILAS which promotes the fulfilment of government obligations and participatory management of local communities for sustainable access to W&S. Actors involved included the national government, local government, W&S grassroots organisations, the national university and the private sector.

As a result of this project, the local government is responsible for ensuring that communities exercise their right to safe water. Moreover, local communities have strengthened their relationship with local authorities and their capacity to deal with co-management issues of public interest.

Save the Children/TAREA: Education

Public Schools in Ayacucho are spaces of social exclusion, authoritarianism, inequality and discrimination. Approximately 70 percent of students in rural and semi-urban public schools in Ayacucho speak Quechua.



Peru Study Team

- Save The Children UK: Teresa Carpio
- TAREA: José Luis Carbajo
- CARE Peru: Ariel Frisancho, Mare Fort
- PROPILAS: Consuelo Alvarez
- Consultants: Marusia Ruiz Caro and Rosario Murillo
- And: Propilas and TAREA Education team, Jay Goulden (CARE Peru)
- More than 60 institutions and organisations were involved in the learning process: local workshops, national workshops.

The project has shifted its focus over time from promoting student participation in public schools to encouraging institutional change for the democratisation of public education. Actors involved include regional and local governments, educational authorities, school authorities and students.

As a result of this project, students have acquired a 'voice' to participate in debates concerning the education system and other issues related to their rights. Furthermore, education authorities have recognized and institutionalised student participation in the management of the education system.

5.1.3 The study: Main findings and challenges

The comparative studies do not provide enough evidence to conclude that an RBA approach has a greater impact on MDGs than a non-RBA approach.

Does a rights based approach need to have a greater impact or can we look for other kinds of impacts (added value) that we are not yet measuring in all the projects (at least not in a systematic way)? We need an agreed set of impact indicators for RBA projects.

RBA projects could achieve the same impact, be potentially more sustainable, or have greater impact in the future.

5.2 PRELIMINARY CASE STUDY FINDINGS

PRESENTATION: MARUSIA RUIZ CARO YEYES
Independent Consultant,
Peru

5.2.1 Water and sanitation

Lack of access to safe water in rural areas

This case study compares a basic needs type watsan project and PROPILAS, a new type of project, which was not designed with RBA in mind, but has essential elements of an RBA project.

Participation of community in decision making

In which community do we work in? Which system do we build? These are decisions traditionally made by agencies like CARE. Technical options are not chosen at the level of the family or the community. With RBA, project participants are citizens that are able to choose between different options and are able to take responsibility for decisions made. They are cognisant that different systems imply different types of responsibility (for people, for authorities, for CARE). A big difference between RBA and non-RBA projects is how decisions are made.

Community organisational strengthening

Both RBA and non RBA projects aimed at strengthening community organisation. However PROPILAS brought with it a new dimension in terms of the level to which it worked with JASS (the community level organisational structure). PROPILAS also established relationships with the private sector, local authorities and other local actors. Furthermore, it linked into decentralisation processes with the aim of putting issues of watsan in district processes. The big difference brought about by PROPILAS is that new relationships were established and the project meant involvement in more political decisions.

Local government obligation in water and sanitation

The non-RBA project had no linkages and collaboration was only occasional. CARE acted as a service provider. Water and sanitation was not approached as a state responsibility. However in PROPILAS, a major focus was on strengthening the local government to fulfil its obligations – this acted as a reference point on all issues of watsan.

In many cases there is distance between local government and rural communities. PROPILAS tackled this issue of distance. It also addressed the issue of local governments not caring about rural populations in cities. The difference is that better conditions were created for working with local government – and willingness and capacities to fulfil obligations were improved.

Joint responsibility for project finance

The needs based project looked for community donations in terms of free labour and materials. PROPILAS however promoted co-financing amongst all actors including government and community. PROPILAS dealt with sustainability in terms of responsibilities for looking after and maintaining the systems. It is not easy to approach a community with a co-financing project – but PROPILAS was successful in achieving this. The difference is the relationship of co-responsibility – also the submission to what government decides – assuming active role, oversight role, as to fulfilment of obligation regarding decisions made.

Joint project management

A difference is found in terms of project management. In PROPILAS joint agreements are made between all participants. Project management is more front-line.

Impacts

There are differences in the types of impacts of the non-RBA and the RBA project mainly because PROPILAS for example is strong in advocacy. It brought about policy changes at the national and local level e.g. local governments have clearer roles with regard to rural areas; participatory processes have been established.

Poverty

In terms of impact on the MDGs, there was no significant difference between the projects. However, there are differences in the processes resulting in different affects and 'other' impacts. Nevertheless, there were no indicators to actually measure them.

Sustainability

PROPILAS succeeded in strengthening community/ government relations broadly and in creating better conditions for sustainability (e.g. at district level). No statistical data was collected, however some interviews were conducted and information collected at district level. It remains to be seen whether this will lead to increased government budgeting for watsan.

The majority of stakeholders participating in the study hold the view that more sustainable processes were promoted by PROPILAS.

PRESENTATION: ROSARIO MURILLO HERNANDEZ

Independent Consultant

Peru

5.2.2 Education

This case study was not 2 projects as such, but a continuous project with two phases. The project represents a local experience in a very complicated area. The area where the project operates is the most affected by political violence, including being the birth place of the Shining Path, as well as a centre for production of coca/coke, drug trade and crime. Many elements come together to create an overarching attitude of violence. TAREA is an organisation that is active in the attempt to build a more democratic society.

The first phase (1999-2001) of the project aimed to increase the participation of students in public education. The target population was secondary school students. The second phase (2001 till date) aims to make schools and education more democratic in a broader sense.

The two phases do not represent a move from non-RBA to RBA per se. The first phase, at a conceptual level, did look at how identity promotes recognition as a citizen, whereas the second phase carried out more detailed analysis on elements which define identity – e.g. vulnerability, marginalisation, experiences of abuse, being Quechua speaking etc.

Although both phases aim to increase participation, the second phase introduced the concept of social inclusion.

Differences

First phase:

- Students to participate much more, to recognise right to participate.

Second phase:

- Why is participation so low, what is to be solved here – aim to promote participation of all actors, teachers, authorities, ministries, together to make sure that issues of discrimination are addressed.
- Specific mechanisms within schools for inclusion of all youth including those who live far, work late, have to work, timetable to be more flexible, specific measures to be taken
- One initiative was killed Called Me by My Name – instead of the habit in Peru to use nicknames that can be pejorative – to generate respect.
- Now students can talk opening about their issues (to authorities for example). Different forum to talk issues. Institutional change – changed definition – democracy and human rights (part of curricula, whole criteria for management)
- Institutionalising change: about democracy and human rights – become part of curricula, and criteria for management. Requires empowerment of students on individual level and all participants/stakeholders to be involved
- What have we found? Focus on institutionalisation of processes. Are these processes being adopted?
- Also results are not consistent across schools. With similar processes happening in different schools, rates of abandonment or female student numbers have been found to be different

5.3. GROUP DISCUSSION AND FURTHER ANALYSIS

FACILITATOR: PHIL HUDSON
Institute of Commonwealth Studies

5.3.1 Fundamental Differences in the goals and objectives of RBA and non-RBA projects

RBA projects have different goals and objectives to non-RBA projects. In rights based programming, a new/ different set of criteria is used when shaping goals/objectives. For example, there is a stronger focus on quality of participation, and not just quantity. There is a politicisation of economic and social programmes as goals focus on power relations and inter-relations, whether at personal or organisational levels. Economic, Social and Cultural rights and civil and political rights cannot be easily disentangled. There are political aspects to Economic, Social and Cultural rights and vice versa, thus prioritising one set of rights over another is a pointless academic exercise.

5.3.2 The relative impacts of the approaches on sustained positive change

Rights based programming leads us to question what we mean by impact. For example, can and should impact include processes? How do we capture impact on reduced vulnerability?

MDGs are inadequate measure for rights based programming. There is no ownership of the goals at local levels where goals are regarded as part of a politically imposed agenda. Furthermore, nationally aggregated data often does not take into account local inequalities and contexts.

Although rights based programming is new for many agencies, it is about long term processes. It is therefore too soon to evaluate relative impacts.

5.3.3 RBA and Non-RBA factors leading to successes or barriers

Success factors

There are various critical success factors in rights based programming, including the following:

- Different definitions of RBAs makes implementation adaptable.
- Good facilitation is a prerequisite for rights based processes.
- It is essential to generate stakeholder ownership/buy-in of the approach. Project stakeholders - from ministers of planning to community representatives as well as the wider community – have demonstrated enthusiasm for RBAs and recognise its value.
- Effective partnership is a key element for implementation.
- Working through government decentralization processes to ensure a real shift of power towards the local level and that local decision making is transparent.
- It is critical to have local teams implementing projects, and not outsiders
- Stakeholders feel able to affect higher level processes and policies

Barriers

There are various human resource challenges which can form barriers to the effective integration of RBAs. One of the biggest barriers is lack of staff willingness to change power relationship between them and the communities with which they work (i.e. staff are not willing to give up decision making power).

RBA challenges staff to enter into a more politicised arena which they are not always willing to engage with as development workers.

Staff are required to develop different skills and experiences to be able to better integrate RBA. For example, an engineer is no longer just an engineer, s/he is also a facilitator, a power analysis expert, a social inclusion expert and so on. Staff already have many demands on their time and see human rights as a new fad and an additional burden.

The cultural relativism argument is often raised by staff – that RBAs are based on international guidelines and standards which are not contextualised and locally owned.

6. PLENARY DISCUSSION: IDENTIFICATION OF EMERGING ISSUES

RAPPORTEUR: BRIDGET SLEAP

Policy Officer
HelpAge International

The objective of the plenary discussion was to identify emerging issues to be further unpacked during day two of the workshop.

1. Universal versus local

A concern was expressed that western based human rights could not be translated into something that everyone subscribes to in developing country contexts. Universal rights must be placed in the local context, for example child work may not be acceptable in the UK but it is in Bangladesh so NGOs, whilst not legitimising the practice, have to recognise this acceptance and work around it.

Every country context is different and the reality of each country must be examined. Challenges differ and therefore measures must differ accordingly. For example, local resistance may also be a factor in preventing realisation of rights (and not just state resistance). The example of girls being kept out of school by families so they can contribute to the running of the household was cited as one where it wasn't state resistance that was preventing the right to education for all. In this context the solution was found at and within the community level. Constraints may also be due to lack of resources at state level (e.g. teachers) and therefore need to be put in an economic and political context.

2. Long term sustainable change

The question was asked how we can achieve long term sustainable change but was not addressed in the plenary discussion.

3. Monitoring and evaluation and impact

Impact assessment is a challenge and more work is required on basic monitoring and evaluation. If, as the Peru Team has stated, this evaluation did not provide enough evidence to say whether RBA has a greater or lesser impact than non-RBA, what has this study contributed to the debate on RBA impact?

The Peru team's answer is that the study demonstrated that the relative impacts of non-RBA and RBA approaches is about equal. However, there are other positive changes resulting from the RBAs that were difficult to measure because no explicit objectives were set and no specific indicators were monitored from the start of the projects. It is therefore essential to clarify what RBA projects are trying to impact on - what objectives and indicators need to be set - so that end impact evaluations capture the added value of RBA.

It was pointed out that RBA projects are only beginning to think about what they are trying to measure. The following questions need to be answered:

- How can we describe and identify impact?
- How can we relate this to what donors and constituents value?
- How can we use convincing arguments to justify RBA?

4. Engaging with the international framework of human rights

It was felt that the RBA debate stays within the development sector too much at the INGO level and does not sufficiently include the human rights sector. This prevents the development sector from asking the difficult questions that RBA poses. The lack of an inter-disciplinary approach prevents us being able to change practice. INGOs need to understand that real innovation lies in challenging the development power dynamic and this is where this group could contribute, by asking these difficult questions.

At the local NGO level, it was stated that projects in all three countries were confronting power relationships, were dealing with conflict creatively, both in terms of the process they engaged in and in impact. Debates at a local level on rights were highly contested and INGOs are not part of these debates. INGOs need to acknowledge what local NGOs are doing and use this experience to help define what a RBA is. Most INGOs are aware of the gap between local reality and international intentions. It was felt that INGOs should commit to a clearer anti-discrimination agenda, set clearer indicators and discuss the relationship with duty bearers.

5. Engagement with duty bearers

An analysis is needed on how efforts to “empower” people relate directly to authorities:

- What is the role of the facilitating organisations?
- What are the possibilities of success?
- What are the characteristics of engagement?
- What should facilitate this engagement?
- What are the challenges?
- How much support needs to be given to duty bearers for RBA to be successful? What type of support?

6. RBA in the emergency and humanitarian sector

Rights are prominent in emergency discourse and there is a need to look at RBA in this context. This research process looks at rights based development specifically and there is a gap in terms of our understanding on the impact of rights based emergency work e.g. impact of Sphere compliance.

7. Human Rights, Risk and Conflict

It is critical to analyse conflict and assess risk within rights based programming – for example, within Care, the question has been asked whether there is space for evolution towards a conflict-sensitive rights based organisation?

When looking at conflict, it is important to think about redress for individuals and institutionalising processes for positive change.

8. Tension between aspiration and reality

It is essential to recognise the tension between the RBA aspiration that is universal rights for all and the local economic, social and political constraints. We should localise what we do, find small answers and look at who we can work with at a local level. This will help with impact analysis.

9. Integrating systems of redress within development processes

Long terms processes are frustrating for people who are waiting for change. They want individual redress for social injustices against them and also want to be treated with equity in systems of social justices. A major gap in rights based programming thus far is the inability to link rights and social justice. If rights based practice struck this link, it would help differentiate it from non RBA and improve reflection on everyday conflict situations.

10. Engaging service providers

It is impossible to do RBA without some kind of engagement with authorities and service providers especially with regard to how they can engage with civil society. How do we ensure the accountability of service providers? Do we expect too much when public service wages are so low?

DAY TWO – 18 JANUARY 2006

1. PLENARY SESSION – REVISION OF EMERGING ISSUES

In plenary, various themes emerging from day one's analysis were identified. These included the following:

- Engaging with politics
- Networking and partnership
- Impact and measurement
- The Conflict continuum
- Accountability

Participants were divided into cross country groups to unpack these themes further. In addition, various cross-cutting themes emerged and were factored into all group discussions including:

- *Organisational change*: Recognising and redressing our own unequal power relations as NGOs versus project constituents and disadvantaged people; RBA integration as an internal organisational learning and mainstreaming issue as well as a programmatic issue.
- *Equity, equality and discrimination*: What are the benefits and limits of universalism of rights? How do we put equality/ anti-discrimination at the centre of the development agenda? It is critical to maintain a gender focus and analysis throughout.

2. POLITICS OF ENGAGEMENT (GROUP ONE)

FACILITATOR: PHIL HUDSON
Institute of Commonwealth Studies

Implications of RBAs in terms of political engagement in country. Do we inevitably become more politicised when integrating RBAs?

2.1 Learning from RIC's experience in Bangladesh

RIC took local government elections as an entry point to politicise Older people's (OP) rights issues. OP became more politicised when they started to ask candidate MPs about their plans for OP is elected. As a result OP's issues became more politicised in political event and were put higher up the local political agenda. OP became visible as a large voting group, despite having been marginalised in all aspects of the election process.

RIC felt that it was vital to start working at the local level before working up to the national level. RIC linked its work at the local level (local level consultation with government offices and with grassroots community) to the national level through advocacy with the prime ministers' office.

RIC took a facilitating role which may have contributed to the fact that, as an NGO, they did not face resistance from local government officials. It has proved to be crucial, as an NGOs, to be non-partisan and work across all political parties. However, NGOs will not be able to avoid the inevitable conflicts involved in working at a party political level.

2.2 Learning from Peru

Despite networking and coalition building, NGOs often have limited influence in consultation processes designed by government. For example, the participatory budget process in Peru has been much lauded, but in reality only a very small part of the overall budget (2 percent) is open to discussion and monitoring. Poor people's voices are not heard in this process because NGO representatives are the always the same players and do not necessarily have strong links with grassroots women and children. Women and children themselves are not aware of their right to

participate and are not always able to do so. Furthermore, there are competing interests of community needs and more powerful sections of the community often have more influence.

At the end of the day, budgetary decisions made at the local level are revised by the regional and then the national levels which means that the original local decision are lost.

2.3 Implications of nature of right/group/issue and political resistance

The type of rights issue or group of marginalised people we work with may make a difference to the level of political support we receive. RIC felt little resistance to the issues of older people in Bangladesh. However, issues of land reform and indigenous people would face much more resistance. The way rights issues are presented is important. Alliances should be put in place before a group engages politically. In Peru, the water and sanitation sector has not traditionally used the discourse of rights. Civil society is not seen as a legitimate actor in this field and so there is more political resistance encountered.

2.4 Lobbying MPs – legitimacy of NGOs

Lobbying MPs is necessary as they are elected but are often not representative of people's issues. NGOs facilitate dialogue between MPs and people but do not represent/make decisions on behalf of people in the lobbying process – ie NGOs are facilitators only. In some contexts the voluntary sector has a negative reputation and lacks legitimacy to speak on behalf of the people. Creating space for people to speak for themselves can be a way of dealing with this perception that NGOs do not have legitimacy.

2.5 Problems of engaging with political process

There is a danger that NGOs will be regarded as having been co-opted by government agendas. Furthermore, NGOs face difficulties in analysing political processes and capitalising on them.

2.6 How to engage with political process

NGOs need to identify their rightful position in a rights based approach. Ideally, NGOs should facilitate and create space - i.e. lead from behind the people. This may be an incremental process, since this is not something that can happen overnight if the NGO has led from the front in the past.

2.7 Learning from Malawi on engagement with political processes

CARE has identified that its role is to facilitate process and help develop mechanisms for civil society engagement with government/political process at all levels: grassroots, district and national. At the grassroots level, CARE facilitates rights analysis with schools and helps create school contracts (between the students and the school). At the district level, CARE facilitates the development of district education networks which then engage with the district government. At the national level, CARE helped established the Civil Society Network for Quality Basic Education which conducts advocacy on policy formulation and implementation. At first CARE was the secretariat but now the coalition has grown in capacity and is independent.

Direct engagement with national level government is legitimate but NGOs have more traction if they work as part of a coalition. NGOs can be political but must avoid party politics.

2.8 Who really sets the agenda – NGOs or the people they are accountable to?

Competition for resources and working on narrow issues can lead to the agenda of NGOs taking precedence over that of the people they are working with/for.

NGOs have ambitions and do not always see how they can fit into a wider agenda by forging alliances and integrating cross-cutting issues. It is critical for an NGO with a very narrow focus to make wider alliances in order to get its issue on other agendas e.g. moving from older people's issues to an intergenerational approach. RBA focuses on the interdependence rights which may help us to look beyond single focus issues to multi-dimensional and holistic approaches.

INGOs must avoid being seen as the senior partner in networks/ coalitions by ensuring wide ownership and ability of other members to set the agenda. As the capacity of network/ coalition members vary, it is essential to focus on capacity building to ensure equal participation by all members.

2.9 Discourse of RBA – victim of own success?

How can we get a language (jargon) that is more transferable and does not become in itself excluding? If successful, how can RBA avoid becoming a discourse of power (therefore negating its own objectives)?

3. POLITICS OF ENGAGEMENT (GROUP TWO)

GROUP FACILITATOR: MARRY-ANN BROCKLESBY
CR2 Social Development

Group two explored the challenges involved in engaging with a broad range of actors in political processes aimed at achieving rights based goals. There were no conclusions or recommendations since it was recognised that this issue is right at the boundaries of rights-based development practice. There are no guidelines: we are learning as we go along. Hence the overarching need – expressed elsewhere in the workshop to document and analyse both processes and outcomes from all our rights-based work.

3.1 Critical issues around the politics of engagement

- The inevitable tensions/conflicts which arise when working with different actors with different agendas.
- The challenge of working at different levels and entry points simultaneously.
- The nature of engagement in different contexts (taking into account increasing global insecurity) including engagement in the context of fragile states; conflict situations; emergencies (CPE, slow onset, rapid onset); and, the deepening HIV and AIDs crisis.
- How to engage with the rule of law - state structures and institutions (and how they relate to religious and community structures)?

3.2 The rule of law: how to engage with state-wide structures and institutions

- Development practitioners will need to understand all the facets of existing power structures (this includes the historical and the underlying power structures)
- Group two recognised that new relationships between power holders and those who take risks are forged in the process of making rights real – Yet we also recognised that as practitioners we don't as yet have the mechanisms and tools that can embed institutionally these new types of relationships (including the values and principles on which such relationships are founded e.g. participation, inclusion and obligation).
- Nor have we developed clearly identifiable rights-based mechanisms of collaboration with state wide structures and institutions. As practitioners, we have not yet identified ways to institutionalise positive methods/mechanisms of collaboration (e.g. an organisational approach that looks to apply methods/mechanisms as appropriate to the context)

Structures and institutions can often be discriminatory as there is lack of willingness to be equitable. ***The sorts of structures/institutions Group two were talking about included:***

- Legal frameworks
- Local structures and institutions

- Customary law and informal institutions
- Bureaucracy
- Illegality, corruption, graft
- De facto power (as held by the military, finance institutions, big business, global institutions, multi national institutions etc)
- Networks of elites – patronage
- Cultural norms – “mind-sets”
- Several of the above are linked e.g. elite networks across de facto power structures and involve generational / dynastic power: keeping hold of power for the next generation.

How do we go about engaging with deep structures of power?

- New relationships between local power holders and those taking risk to confront power should be developed. Those that are attempting to change the terms of engagement usually have less “automatic” power (driven by ideology) and are most at risk. Those that have the power, and would be least “at risk” are often not willing to engage. E.g. Combating child trafficking has led to new relationships developing across national boundaries and regions through linking programme interventions, co-ordinating changes in legal provision and law enforcement as well as innovative use of the internet to coordinate actions and disseminate information.
- Working with and through the mass media is critical.
- Power analysis is also essential, including both current and historical mapping to identify sources of power with whom to engage. This will include thinking through lessons to be learnt from historical confrontations with power. E.g. Rape cases: in the 1970s lobbying and advocacy led to radical change in law, yet now the situation is worse: date rape a huge issue. Other questions to address include: what are the most difficult power structures? What stops us engaging at these deep levels of power? What opportunities are there for engaging? Power mapping would need to be used: a fundamental and practical tool.
- As development practitioners seeking to engage with power structures, it will be necessary to move away from a narrow issue-based focus e.g. primary education for girls and look at ways of working with others in networks and alliances to address the full range of issues which together work to maintain inequitable, unjust and exclusionary power structures.
- Operational norm of donors pose a challenge to rights-based development practice that relies on funding. We have yet to think through how this might constrain work on sensitive or confrontational issues (e.g. Donors don’t confront major economic forces, or military, and very rarely touch highly political issues) In many cases NGOs do the work (accountable to donor), and take the risks. The partnership is not equal nor is it always developed in order to meet agreed rights-based goals. Yet it is not uniform; the role of a donor often determined by the power it has. E.g. in Peru, DFID had little power, and very little money and because of this was seen to have a much more equal relationship with CSOs based on shared goals and to engage extensively with a wide range of actors at all levels. In Africa, where DFID is a power holder, roles very different between DFID and NGOs, and the “presence” of DFID nearly non-existent outside of central government relationships. The situation is different for multilaterals. E.g. UNDP is invited in by the government and that relationship is core to their mandate. Different organisations play different roles – what are the limits on defining roles? Is there flexibility to discuss, negotiate?
- Global networks necessary to confront political power
- We, as development practitioners, have yet to establish the legitimacy of external actors such as internally CSOs in engaging in national political processes. There are no obvious

accountability mechanisms and at times little transparency in the way external actors engage. This will have to change.

- We as agencies should better understand how we can use the rule of law – international and national laws and structures.
- As changes in the ways organisations operate and engage both internally between staff and externally with other organisations are important in RBA. Yet while agencies do their own power, institutional mapping, lessons learned processes, there is a gap (in all development practice) in getting together across organisations to carry out a process mapping exercise: which processes have organisations used – what are the lessons learned, what has worked well, what needs to change, what do we need to embed institutional change in our organisations. For RBA process is important, therefore reflection on and the monitoring of process should be a prerequisite. This should include setting indicators and milestones to measure processes.
- As yet it is not clear what we mean by partnership under RBA. Is it different to other approaches, what is strategic partnership. It is clear that in meeting the goal of rights fulfilment, finding common ground and working with organisations with different values and agendas will be critical but so far practitioners have not systematically addressed this issue.

3.3 Do we react to rights opportunities – or do we create the space for rights?

- **It is difficult but essential to engage with very poor and marginalised people: the fact that approximately 500 million people throughout the world are unlikely to benefit at all from the global push to reduce poverty is testimony to this.**
- **We do not have over arching (rights) mechanisms to reverse growing inequality, exclusion and human insecurity partly because it is much more difficult to engage around social and economic rights**

Points we highlighted in group two include:

- Strong Peruvian experience and organisations in mobilising around civil rights issues– but yet to organise into umbrella organisations around wider human rights (including social and economic rights)
- Conflict – different to post conflict: from civil rights to social-economic: can we learn from the conflict to apply to post conflict situations
- Civil right agenda ongoing (disappearances, torture) as not resolved -
- Lots of development actors, not rights advocates vis-à-vis social, economic rights
- Social protection is the answer of mainstream development to extreme poverty, but structural issues that create inequality, and the need for social protection, rarely tackled
- Latin America: rights, and exclusion used synonymously – unlike elsewhere – though they are not the same

Questions in plenary:

Did we look at using international human rights mechanism to address power abuses within the state?

What about engagement with powerful actors that are not formal duty bearers?

4. IMPACT MEASUREMENT (GROUP ONE)

FACILITATOR: MAGDALENE LAGU

Rights Advisor,
Care International UK

4.1 Challenges NGOs face in institutionalising impact assessment

The NGOs around the table discussed the various challenges they face in institutionalising impact assessments. This study revealed that many M&E plans and baselines are flawed/weak from the outset, making it difficult to conduct rigorous impact assessment. This is the case with both RBA and non-RBA projects and programmes. As a result, NGOs are good at measuring processes but not impacts. This raised various questions: Is this a mindset issue as opposed to an M&E methodological issue? Do we need to identify alternative methodologies which are less costly (i.e. being creative with various qualitative methodologies)? What is clear is that there is a gap in the analysis skills of staff. Particularly, there is little capacity building efforts directed towards the analysis skills of field staff as opposed to policy staff. Furthermore, NGOs face many challenges integrating multiple expectations: ours, donors', partners', communities' and so on.

4.2 What are we measuring?

Table 1 below outlines the type of M&E training field practitioners receive. Programme impact is usually defined as sustainable improvements in human conditions or well-being. There are some problems with this definition. Measuring human conditions such as productivity and livelihood income, accumulation of capital, human capabilities and access to resources makes it easier to demonstrate impact on the MDGs.

However, rights based programming has impact on other levels including social position (improving social equity) and enabling environment (improving governance). It is therefore necessary to measure impacts at these levels and link these to positive change in human conditions. This is both a methodological and a mindset challenge. (see FIG 2 - CARE International's Unifying Framework for Poverty Eradication & Social Justice)

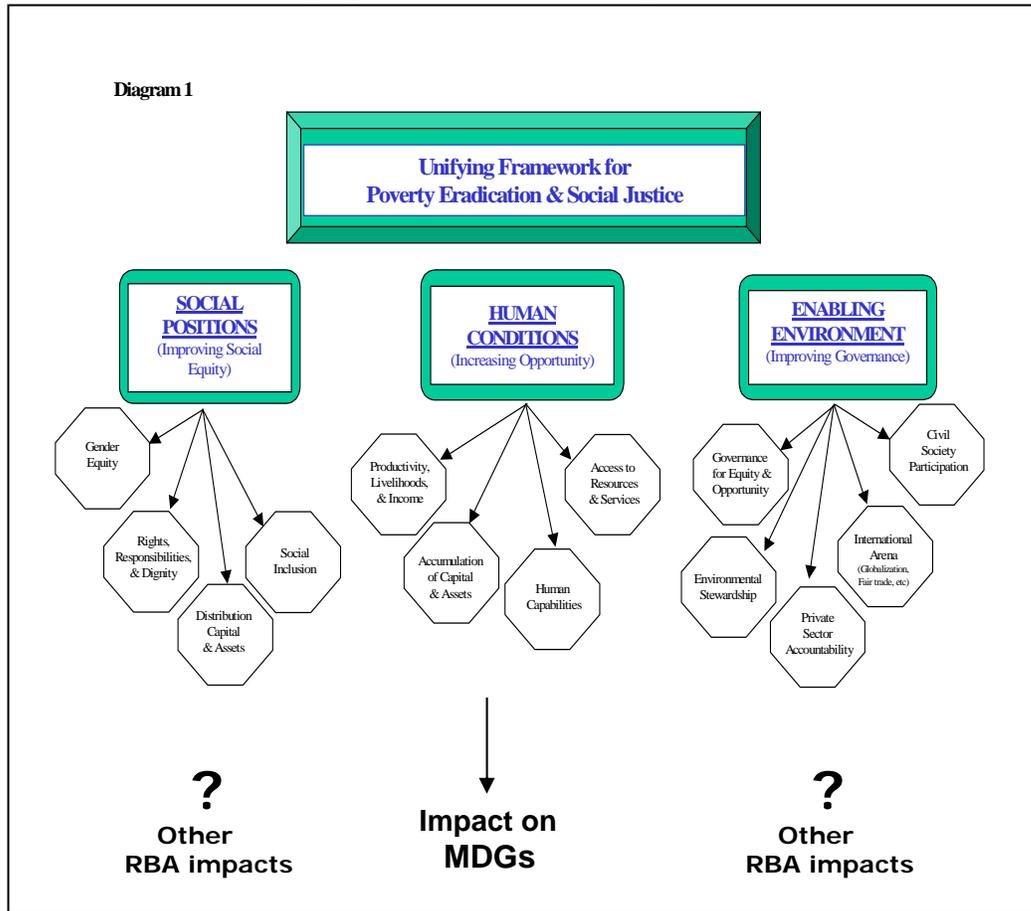
Participants discussed how **CARE Malawi's 'A-LIFH's M&E system'** (one of the Malawi projects) has managed to address some of these challenges by adapting the Evaluation/Learning process methodology as well as **Save the Children UK's 'Global Impact Monitoring'** framework which is widely utilised by SC UK's country programmes.

Care's Terminology of project hierarchy.....

The quality of each level is measured by the next higher level

R E S U L T S	O U T C O M E		PROGRAM IMPACT Reduction in malnutrition rate among children under five	
		IMPACT Sustainable improvements in human conditions or well-being	PROJECT IMPACT Decrease in the incidence of diarrhoea	IMPACTS!
		EFFECTS Changes in individual behaviours or systemic capacity	EFFECTS Parents of children practice sanitary behaviours	EFFECTS which, if our hypothesis is valid, should be shown to lead to
	P R O C E S S E S	OUTPUTS Products of project activities	OUTPUTS Parents acquire knowledge about sanitary practices	OUTPUTS , which if our assumptions hold true, the effectiveness can be measured by
		ACTIVITIES Interventions/ processes implemented by project	ACTIVITIES Parents given training in sanitary practices	ACTIVITIES (intervention) which should lead to
		INPUTS Resources needed by project (e.g. funds, staff, commodities)	INPUTS Funding obtained, staff trained, training centre set up	If sufficient INPUTS are received, then we will be able to do

CARE International's Unifying Framework for Poverty Eradication & Social Justice⁵



4.3 How should we measure impact?

We should measure impact through methods which increase community participation and empowerment. Impact assessment then becomes a process when all stakeholders get together and agree achievements. This requires a change of mindset – for us to perceive learning as an important aspect of programming.

4.4 Limitations and constraints

Many NGOs are facing difficulties measuring impact in relation to the MDGs. With regard to short-term projects, it is difficult to demonstrate quantitative impacts on the MDGs although qualitative impacts are achieved. This is because the setup of projects makes it difficult to make quantitative links to MDGs.

Most NGOs face difficulties attributing change to their interventions. Should the contributions of different players and initiatives towards MDGs be acknowledged and collated? If so, who's responsibility is this?

A major change for NGOs is to make the transition from ad hoc M&E systems to more structural systems.

⁵ M. Katherine McCaston (August 2004) Summary Paper: Unifying Framework & Underlying Causes of Poverty, Care International

It is essential to develop indicators around RBA principles (accountability/ obligations, participation, non-discrimination) and how that impacts on changes in people's lives. These indicators should demonstrate stages in rights realisation – clarifying and measuring the sequence of change.

Changing mindsets to perceive learning as an important aspect of programming is essential.

5. IMPACT MEASUREMENT (GROUP TWO)

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5.1 Definition of impact

The main problem is that there are various definitions and ways of understanding impact. Can we find a working definition of impact for ourselves?

Impact is a long-term concept. Unfortunately, information on impact often gets lost or is not gathered because once projects end, there is usually no further evaluation.

Impact is about change in people's lives. Our definition of impact should be the same as that of communities'. Buy-in of all stakeholders into the definition is important since accountability should be directed towards the communities, too, not only upwards to the donor. However, capacity is a major problem as communities and even project staff only regard immediate changes as valid impacts. Much learning is required.

In order to measure impact we should measure sustainable change as well as immediate gains; all stakeholders should agree on impact indicators and assessment methodologies; and, it is necessary to ensure a common understanding of impact among all stakeholders.

5.2 Challenges organisations face in institutionalising impact assessment processes

CARE International has 6 programming principles (promoting empowerment, working in partnership, ensuring accountability and responsibility, opposing discrimination, opposing violence and seeking sustainable results) which encapsulate its rights based approach. These principles are integrated into DME systems to ensure that they are translated into practice.

TAREA has realised that it is important for organisations to institutionalise a common concept of impact. Indicators should measure changes which are sustainable over time and across several projects. Indeed, NGOs usually focus on project based donor reporting as opposed to programmatic reporting (across various projects) which makes it difficult to capture impact. CARE Malawi has established change indicators in its Long Range Strategic Plan which now serves as a framework to track change during annual reviews. This is a work in progress and the main challenge is securing funds and donor buy into this method of measuring impact.

Oxfam has been doing programme impact reports for the last 5 years which has been suspended this year. The current intention is to encourage country office experimentation with impact assessment. For example, some country offices are using the Most Significant Change methodology in order to increase community participation.

It is very difficult to report back to the general public - who are key donors - in a balanced way. On the one hand the public expects concrete facts, and on the other hand NGOs conduct fundraising as if we are only still engaged in service delivery.

Sometimes it is difficult to demonstrate impact due to the context/politics of engagement. For example, a small project of ten years in a remote area of the Peruvian jungle may demonstrate

little change in the quality of life of communities but has increased community engagement at the political level which can potentially lead to sustainable change. Major challenges include how we attribute change and how we define indicators of long term change from the outset.

5.3 Challenges identifying progress towards tangible impacts and outcomes (MDGs, PRS)

MDGs and PRS should not be regarded as the only tangible measures of impact. MDGs are often seen as impacts in themselves although they are rather proxy indicators for wider change. We should also flesh out other indicators relating to empowerment, discrimination and power relations which are more related to the underlying causes of poverty. RBA indicators have to measure institutional and policy changes. Increased empowerment to exercise rights could be a tangible progress. Seeing people stand up for their rights can be measured as progress. For example, in Darfur rape cases went unreported initially, but now women are coming forward to report.

We don't produce impact; we just contribute to it and wider social change. We should be aware of our assumptions of how changes happen. A major challenge is how to define clear benchmarks with clear assumptions for progress to be measured?

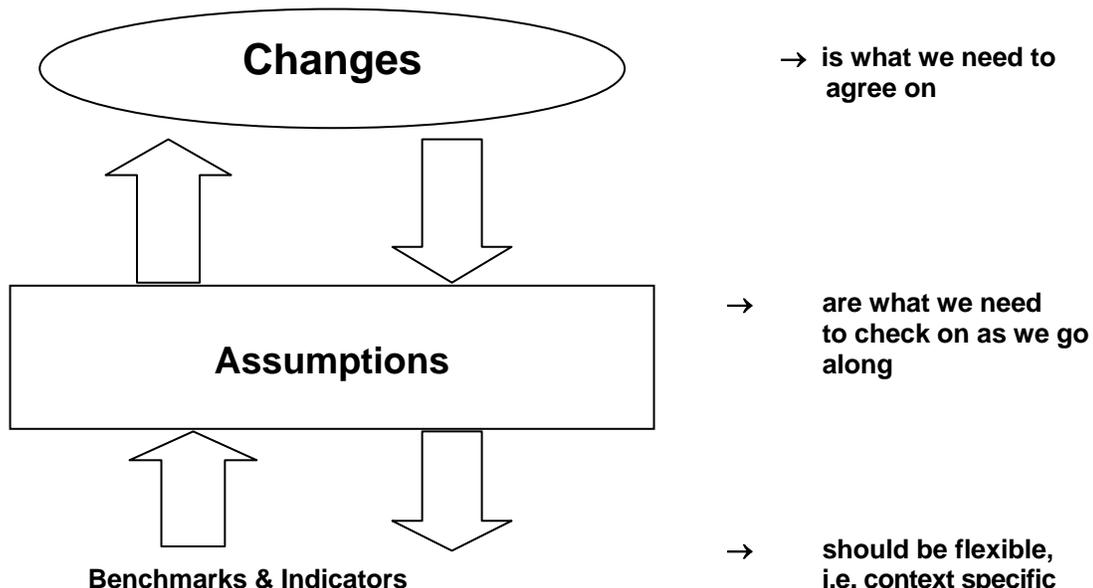
5.4 Do we have need a common idea of what should be measured?

It was argued that we do not need common ideas of what should be measured. However, we do need common ideas about change – what needs to change and what does sustainable change look like? Accordingly, there should be flexibility for context specific indicators. For example, Save the Children has developed Five Dimensions of Change which are rights-based for its Global Impact monitoring. There is a set of questions under each dimension of change which enable contexts specific indicators to be developed. CARE has its programming principles which set benchmarks to measure progress. Projects develop their own context specific indicators accordingly. It is also essential to asses both positive and negative change, the intended and unintended. This should be followed up with concrete actions to deal with negative impacts.

5.5 How do we measure social long-term social change?

MDG are proxy indicators and are a starting point. We should develop indicators which monitor incremental steps towards rights realisation. Indicators should be based on changes that show progress towards sustained change (defining change at different levels). Furthermore, we need to better institutionalize impact assessment so that it is undertaken over a long period of time to enable us to better capture systematic change.

The main points which the group agreed on can be summarized in the following diagram:



6. NETWORKING AND PARTNERSHIP

FACILITATOR: DUNCAN TROTTER

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The following table outlines some of the strengths/ opportunities and weaknesses/ challenges of working in networks and in partnership:

Strengths/ opportunities	Weaknesses
Working together Strengths in numbers Increased impact Greater visibility	Membership Roles, responsibilities Leadership Contribution Inequity Guilty by association
Communication Exchange Legitimacy enhanced Forum for conflict resolution	Support Creating dependency More support available to higher level networks
Learning and resources Sharing learning and resources Greater pool of skills Replication: avoid reinventing the wheel	Lack of linkages Link between local, national and international level No networking between NGOs in country Too many networks working on same thing Utilising learning

Issues

- National – international gap
- Donor conditionality on networks and their work
- Need for clarity on scope, boundaries and common language on rights
- Complementing not competing with other networks

Proposal

- Clarity about rules of engagement and membership
- Build in mechanisms for learning in plans for coalition
- Greater engagement with international human rights institutions and mechanisms
- Increased clarity on who best to work with/ influence

7. PLENARY DISCUSSION: GIVEN PRELIMINARY FINDINGS, WHY ARE RIGHTS-BASED APPROACHED IMPORTANT FOR THE FUTURE OF DEVELOPMENT PRACTICE?

Jane Alexander from DFID commented on rights work in the context of new aid instruments. Development practice is changing with increased focus on country lead approaches and new aid instruments such as direct budgetary support and Sector Wide Action Plans (SWAPs). How do we do rights work in the context of new aid instruments? The focus on pro-poor growth dominates the donor paradigm. How do rights interact with this?

Suggesting that RBA is a panacea is not an effective way of convincing sceptics. It is better to highlight the various contributions that rights can bring with regards to looking at issues of social exclusion, participation and obligations.

It is important for INGOs to challenge donor behaviours. However, is RBA the correct phrase/ language to use? We don't have an exclusion based approach. Is language the problem with regard to perpetuating scepticism? RBA better addresses issues of excluded groups, thus contributes to pro-poor growth. DFID has a new policy on exclusion and there is much traction in this area. Does it matter if we push on social exclusion as opposed to RBA per se?

The questions raised by Jane were discussed in plenary. Some argued that it is possible to integrate human rights in development practice through less explicit approaches such as social exclusion. Other argued that RBA has added value which will be lost through a narrow focus on exclusion. Economists prefer the language of social exclusion. Inclusion is an important first step but more is needed to ensure rights realisation. Without subsequent steps we can not truly influence pro-poor growth policies.

RBA advocates need to better document (and communicate) the added value of RBA to better respond to sceptics. This is why the interagency group ventured into this evaluation/ learning process in the first place.

Preliminary findings indicate that:

- RBAs opens up the possibility of getting closer to, and engaging the 20 percent of disengaged citizens. These groups are threatened and are regarded as threatening because they are forgotten. RBA deals with both exclusion and power.
- RBAs have an efficiency dimension with regard to service delivery as they lead to more targeted and efficient services.
- RBAs provide powerful tools because they help us address both rights and entitlements and responsibilities. As RBAs regard partnership and networking as a central requirement, they enable duty bearers to share their responsibilities e.g. as with regard to social protection. Furthermore, with regard to new aid modalities, budgetary support for example can be centralised in Finance Departments. RBAs can provide a safe guard in ensuring that processes are more accountable and participatory.
- Many agencies have worked on rights issues for several years. However, RBAs have enabled agencies to begin to better institutionalise rights.

8. NEXT STEPS AND CLOSE

The **purpose** of this analysis workshop was to discuss preliminary case study findings and help the various research teams to push their analysis further and identify gaps for further inquiry.

The next step in the process is for the various research teams to document, review and finalise the case studies.

The Interagency Group and the lead researcher (Dr Sheena Crawford) will then compile a synthesis report with the various case studies annexed. The learning process should be finalised by end of June/ beginning of July 2006.

The final report will be circulated within participating organizations, stakeholders at national level as well as to the wider development community.

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