



UN HABITAT  
HRBA MONITORING AND EVALUATION

9 Dec 2014

## Briefing Note

**Human rights-based monitoring has two major objectives: (1) to help identify, on an ongoing basis, the areas on which duty-bearers may need to concentrate, or to which it may need to redirect its attention if its targets for the realization of human rights are to be attained in the most expeditious and effective manner; and (2) to enable a right-holder to hold the duty-bearer accountable for its failure to discharge its duties.**

Monitoring and evaluation of activities are also essential for tracking whether activities are being carried out as planned and whether they are having the anticipated impact. A coherent and coordinated monitoring and evaluation system can ensure that:

- relevant, timely and accurate data are made available to enable informed decision making;
- selected quality data is reported to national programme leaders; and
- national programmes are able to meet donor and international reporting requirements.

The UN Common Understanding of a Human Rights-Based Approach recommends that, “Programmes should monitor and evaluate both outcomes and processes guided by human rights standards and principles”. However, most current development practices are usually focusing on the monitoring of desirable outcomes only, and seldom pays any significant attention to the quality of the processes. **The equal attention to monitoring both outcome and process is a fundamental premise in human rights monitoring.**

### Why does a HRBA focus so much on process?

- to ensure that the most marginalized people are getting involved and contributing to the programme;
- because in development, the effectiveness of a programme is seen not only in its outputs, but also in its processes;
- because the final outcomes of a programme as it relates to the progressive realization of human rights may only be visible in the long term, a good way of checking the effectiveness of the programme is to ensure the process is human rights-friendly.



A comprehensive monitoring and evaluation plan sensitive to human rights concerns will address process, outcome and impact data as a means of assessing programme progress and effectiveness. A human rights-based monitoring and evaluation plan will also be culturally sensitive, because it requires some introspection on your part as to how and why you are supporting this national programme and whether it is an appropriate programme for the context in which you are working. Continuous monitoring and evaluation can help you determine if the programme is taking on the cultural nuances that may be necessary in order to ensure success in the long term.

The purposes for using **indicators** in monitoring include: (1) assessing the progressive realization of specific human rights; (2) identifying the degree to which duty-bearers have met their duties, in particular the extent to which governments have met their obligations, in order to exercise accountability; (3) identifying unintended human rights impact of laws, policies and programmes; (4) improving laws, policies, strategies and programmes; and (5) exposing issues that have been neglected or silenced.

The most important criteria for monitoring indicators are the following:

- **Reliability:** Different users at the same or at different times should get the same result.
- **Validity:** The indicator should measure what it intends to measure.
- **Consistency:** The indicator should be consistent over time.
- **Possibility to disaggregate:** It should be possible to disaggregate the data according to, for example, sex, ethnic group, geographic area and income group.
- **Policy relevance:** The indicator should measure issues that can be influenced, directly or indirectly, by policy action.
- **Affordability:** The indicator should be sustainably affordable.
- **Realistic:** The indicator should be based on data that is available and accessible.

Accountability is an important human rights principle that depends on, but goes beyond monitoring. An accountability mechanism provides claim (right)-holders with information to judge how well duty-bearers meet their duties in relation to a specific right. Duty-bearers, however, cannot be held accountable if they lack capacity to act.

Therefore, a comprehensive M&E plan sensitive to human rights concerns addresses:

- Results and indicators
- Processes (both development processes and processes for monitoring and reporting)
- Process monitoring



- Evidence that vulnerable groups are involved in programme implementation and benefit equally from programme results
- Assurance that intended beneficiaries are able to participate freely in monitoring and reporting processes
- Guarantee that both duty-bearers and claim-holders are addressed

### Data Disaggregation

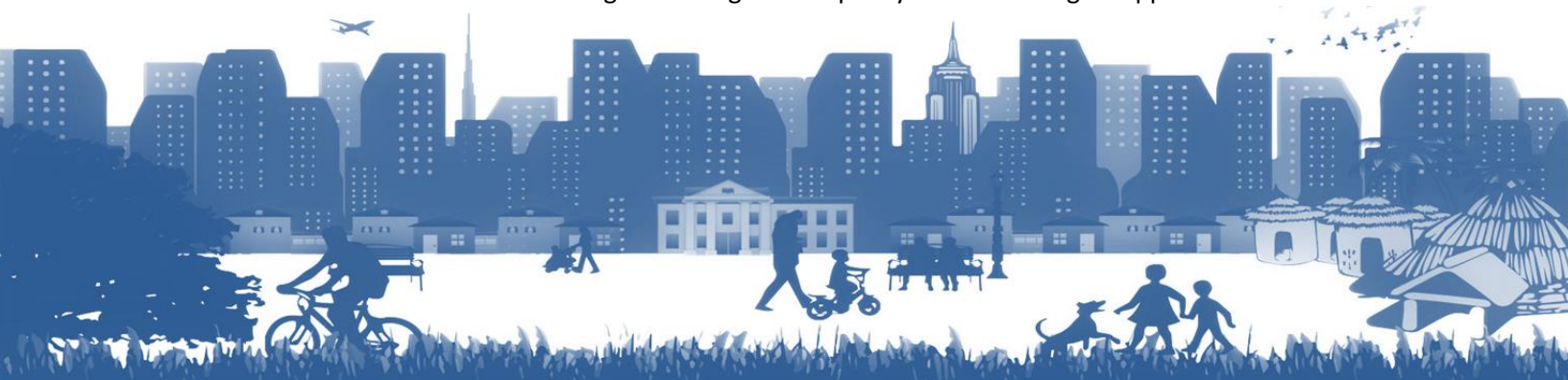
Availability of disaggregated data is essential to be able to identify the most vulnerable groups and diverse needs. Commonly marginalized groups include: children and adolescents; women (across groups); persons with disabilities; indigenous peoples, ethnic, religious or linguistic minorities; internally displaced people and refugees; migrants, particularly undocumented; and persons living with HIV or AIDS.

**Baselines** should ideally contain disaggregated data (gender, age, socio-economic stratification, etc.) to ensure that the project targets the most vulnerable individuals and groups. If such disaggregated baselines are not available at project inception, projects must include in their design methodologies for obtaining disaggregated data and policies to address the findings as relevant. Through the establishment of disaggregated data/baselines, methodologies for **monitoring** must be defined from the beginning of the project to rectify any challenges during project implementation.

### Terms of Reference (TORs) for an Evaluation

The TORs for an evaluation should contain questions to assess whether the human rights, gender, youth, and environmental dimensions have been adequately considered by the intervention during its design and implementation. The evaluation manager will have the greatest influence at the initial consideration stage and it is important that the evaluation manager has a good understanding of applying human rights, gender and environment in the UN system. If this expertise is missing, it is desirable to seek assistance during the planning and development of the TORs. The following are typical objectives for a programme or project evaluation.

- To assess the programme achievement vis- a- vis its objectives
- To assess the relevance, efficiency, effectiveness and sustainability of the programme/intervention
- To assess the extent to which the design and implementation of the programme to into consideration of cross-cutting issues of gender equality and human rights approach



- To identify concrete recommendations for improvement
- To assess the efficiency with which the outputs are being achieved

The following questions should be considered when creating TORs for evaluation:

- ✓ Do the TORs include assessment of cross-cutting issues such as human rights, gender equality and environmental aspects?
- ✓ Do the TORs include evaluation questions within the framework of evaluation criteria?

<b>Check-list for evaluability, monitoring and evaluation of human rights dimension of an intervention</b>	
	<b>Evaluability</b>
✓	Did the intervention identify problems and challenges of particular groups, inequalities and contextual or violations of human rights?
✓	Are human rights issues reflected in intervention design, including the logframe, indicators, activities and reporting mechanisms?
✓	Did the intervention design include the stakeholders analysis, taking into account dimensions of human rights, advantaged and disadvantaged groups to participate in the design, implementation and monitoring of the intervention?
✓	Did the intervention benefit from specific human rights analysis?
✓	Were specific indicators to monitor and report on the human rights issues included in the intervention design?
	<b>Monitoring</b>
✓	Did stakeholders of different groups participated in implementation of the intervention in a meaningful manner?
✓	Have monitoring systems captured human rights information?
✓	Has data been collected in a disaggregated manner reflecting diversity of stakeholders?
✓	Do progress and results reports for the intervention include human rights information?
	<b>Evaluation</b>
	Was framing of the evaluation questions based on the theory of change to assess the design, planning, implementation and results?
✓	Have the evaluation criteria ( Relevance, Efficiency, Effectiveness, Sustainability and Impact) been applied to assess the integration of human rights?
	<b>Relevance questions</b>
✓	Was the intervention formulated according to the needs and interests of all targeted stakeholder groups?
✓	Did activities undertaken operationalize a human rights based approach?
✓	Did the activities address the underlying causes of inequality and discrimination?



✓	Are results contributing to the realization of human rights?
✓	Did the intervention results respond to the needs of stakeholders, as identified at the design stage?
✓	Did the design of intervention follow the theory of change and included human rights dimensions?
✓	Where human rights achievements and indicators to measure them stated?
	<b>Effectiveness questions</b>
✓	Did the intervention's theory of change incorporate the human right's dimension?
✓	Is the human rights issue well-articulated in the performance monitoring framework and implementation plans?
✓	During implementation, were appropriate efforts made to include various groups of stakeholders, including those who were most likely to have their rights violated?
✓	Was monitoring data collected and disaggregated according to relevant criteria ( gender, age, ethnicity, etc.)?
✓	What were the main results achieved by the intervention towards the realization of human rights?
✓	Did the intervention reduce the underlying causes of inequality and discrimination?
	<b>Efficiency questions</b>
✓	To what extent is human resource a priority in the overall budget of the intervention?
✓	Were there any constraints that made it difficult to address human rights efficiently during implementation? What level of effort was made to overcome the challenges?
	<b>Sustainability questions</b>
✓	To what extent were stakeholders involved in the preparation of the intervention?
✓	Did the planning framework build on an existing institutional and organizational context?
✓	Did the intervention activities aim at promoting sustainable changes in attitudes, behaviors and power relations of different stakeholders?
✓	How was the monitoring data used to enhance sustainable change on human rights issues?
	<b>Impact questions</b>
✓	Did the intervention design consider how impact on human rights could be assessed at a later stage?
✓	How did the intervention activities relate to long-term results on human rights?
✓	Were there any positive or negative unintended effects on human rights during the implementation? How were they addressed?

