



Generating Impact Indicators

European Initiative for Human Rights and Democracy

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1. Introduction

The European Initiative for Human Rights (EIDHR) relies on individual projects to make an impact on world issues, as defined in the Programming Documents (“EIDHR Programming Document” and “Programming Update”). The results attained are increasingly monitored through indicators of change, which in effect operate as key performance indicators both for the European Commission (EC) and the project operators.

The present document is a tool (tailored to EIDHR priorities) to suggest some possible country level indicators, and advise on the optimal way of generating indicators for each project individually. It is intended for EC task managers and project operators.

- In the first part of the document we outline some indicators grouped by Campaign as they are presented in the Programming Document 2005-2006. We have analysed the aims described under each campaign and called them “specific objectives”, for which we elaborate suggested indicators.
- In the second part we propose some guidelines on how partner organisations could draw up such indicators to improve their proposals and reporting.

Our understanding of the word “indicator” is drawn from the Inter-Service Quality Support Group (IQSG) and the EC Project Cycle Management.

In this understanding a verifiable indicator describes the manifestations of a process of change resulting from the pursuit of an action. This description is made operational through the selection of verifiable aspects of change (quantity, quality, nature of the target group or the field of change, time and place).

The indicators selected here are essentially indicators of impact at country or international level. This means that they are not indicators of the sole performance of EC projects, but rather of the process of change in the country or region to which these projects have contributed.

Each project operator should create their own indicators based on those listed here, having selected an area which they are confident that they can influence. The indicators must be selected according to the particular context in each country.

This means that the indicators listed here are not intended to assist in monitoring the impact of EIDHR projects as a whole, as these are rarely able to achieve country level change on their own. The aim instead is to help inspire the generation of indicators suitable to each project. It will then be the responsibility of the EC to report back on the performance of these projects, and how well they reinforce the impact of other activities funded from other sources.

2. Level of Analysis Chosen for Monitoring

In the area of programming it is essential to define the level at which monitoring of results is due to take place, in other words who will be the person in charge of carrying out the monitoring and reporting. This person should ideally be located at the level at which projects and programmes are managed, and to which specific results are attributed. This is normally the level of the specific objectives of the project or programme, in other words those changes which are “controlled” by the operator: the results are achievable under normal conditions, and the change is easily attributed to the operator. In some cases the indicators are country level indicators, in other cases they are project level ones.

The suggested list of indicators below is mostly located at the country level. This is because it is not possible to suggest adequate indicators for all possible projects under a specific objective. The suggestions we make must be translated into project level objectives, which we do in the later sections of the document.

The risk of using indicators of a more global nature is that many other factors come into play than EC funded activities. For example the EC may contribute to the general objective of the ratification of the Rome Statute of the International Criminal Court, but the significance of its contribution at the global level is difficult to measure. There are many other factors influencing the process of ratification in a given country than those which the EC can influence, not least the foreign policies of countries hostile to the ICC. To monitor the performance of the EC by tracking certain indicators such as signatures to the Statute, or, in other areas, the abolition of the death penalty, would be misleading.

The list we provide is not exhaustive. Its purpose is to give the operators, and the persons responsible for tracking them, tools for further selection and refinement.

In each country and thematic areas where projects funded by the EIDHR take place, the EC is also supporting other activities supported from regional funds. They can include for example the reform of the security sector, or support to civil society. These geographically defined programmes should also have their own indicators, which, combined for those under EIDHR, would allow the country Delegations to monitor country-level performance in a comprehensive manner. This is a step toward the ability by the Commission to track the impact which its resources are having globally – not through some worldwide monitoring system (which could be grossly unfair, as we have seen), but the identification of individual country performance.

3. Objectives for Campaign 1: Justice and the Rule of Law

Campaign 1 is intended to advance the “global public good” of the international criminal justice system and work for the universal abolition of the death penalty. It will also reinforce the work of international mechanisms which monitor and report on respect for human rights and related treaty obligations.

The general objectives of the campaign are given as:

- The functioning of the International Criminal Court and other international criminal tribunals, including their interaction with national justice systems, is improved and effective
- There is a progressively restrictive use of the death penalty leading to its eventual universal abolition;
- The work of international human rights mechanisms is reinforced.

It is understood in the EC programming document that the projects will:

1. Support the effective functioning of international criminal ad hoc tribunals (such as the UN International Criminal Tribunal for the former Yugoslavia), the UN International Criminal Tribunal for Rwanda, the Special Court for Sierra Leone, and the Extraordinary Chambers in the Courts of Cambodia). It will raise public awareness of the activities of the tribunals, building bridges between the jurisdiction of the tribunals and national judicial systems, including possible successor mechanisms.
2. Promote the universal adherence to the Rome Statute and enhance public perception of the court’s role. Secure implementation of the complementarity principle (whereby national jurisdictions have primary competence to investigate and prosecute crimes under the Rome Statute of the ICC). On a country level, the Campaign will focus on the implementation of the Rome Statute into national legislation.
3. Support the restrictive use and abolition of the death penalty. This includes raising awareness of the principal arguments against the death penalty, monitoring of the conditions of implementation of the death penalty and the application of minimum international standards, promoting the signature, ratification and implementation of the Second Optional Protocol to the International Covenant on Civil and Political Rights (ICCPR), and legal reform to limit or abolish the death penalty. Also included are awareness raising with respect to the role of Treaty Bodies, input to those bodies and implementation of Treaty Body recommendations.

4. Objectives for Campaign 2: Culture of Human Rights

Campaign 2 will enhance respect for human rights and prevent human rights violations, especially as they relate to the rights of marginalised or vulnerable groups, as well as torture and the rehabilitation of torture victims.

The general objectives of the campaign are:

- civil society organisations are strengthened in advocacy of the rights of vulnerable groups and the furtherance of related international instruments;
- the occurrence of torture is reduced, effectively implementing international instruments against torture and providing support for the rehabilitation of victims of torture;
- education, training, monitoring and awareness-raising on human rights and democratisation issues are enhanced.

There are broadly three groups of specific objectives to this Campaign, but the list below will distinguish individual objectives:

1. Advocacy, awareness-raising and training in the field of children's rights will be promoted, as they relate to the signature, ratification and implementation of the relevant international instruments and commitments, including the Convention on the Rights of the Child and its Optional Protocols, and the Plan of Action agreed at the UN Special Session on Children in May 2002.
2. Initiatives are aimed at promoting the rights of women, including their right to equal treatment and physical integrity, notably through awareness-raising and education-orientated projects, particularly to combat female genital mutilation. The issue of trafficking in children and women is incorporated in awareness-raising and advocacy programmes.
3. The rights of human rights defenders are promoted, through improved protection of, and raise awareness about, the situation of those who work, at personal risk, to advance human rights through non-violent means.
4. Training is provided for the prevention of abuses for key personnel such as police, prison and legal officials, to, inter alia, instil comprehensive knowledge of the relevant international and national provisions and ensure that procedures and practices relating to detainees comply fully with human rights norms.
5. Monitoring and awareness-raising activities increase, including the tracking of the supply of torture instruments, research into, and denunciation of, torture practices, the promotion of the signature, ratification and implementation of the Optional Protocol to the UN Convention against Torture and public awareness-raising.
6. The rehabilitation activities for torture victims – including psychotherapy, medical care, social rehabilitation and institutional strengthening of rehabilitation centres – are increased in rehabilitation centres both in Europe and abroad.
7. Programmes of higher education and training for professionals active in the field of human rights, and for those whose professional activity has an impact on human rights, are supported. The European Masters' Degree in Human Rights and Democratisation (EMA), and regional Masters Degree in Human Rights and Democratisation in South-East Europe, the Mediterranean, Africa, Asia and Latin America receive particular support, including for networking and cooperation between the different Masters degrees while overall academic coherence is ensured through the European Masters Programme based in Venice.
8. The human rights dialogues between the EU and China, and the EU and Iran are supported, leading to a non-confrontational exchange of views and a vital opportunity

to foster a culture of human rights in the two countries, including through the transfer of experience in the ratification and implementation of international human rights instruments.

5. Objectives for Campaign 3: Democratic Processes

The general objectives of the campaign aim at:

- underpinning and developing democratic electoral processes;
- strengthening the basis for civil society dialogue and democratic discourse.

The specific objectives are the following:

1. EU Election Observation Missions (EU/EOM) are deployed in priority countries on the basis of the criteria laid down in this Communication and the related Council Conclusions¹.
2. Pre-election conditions are improved, particularly at the level of civil society, along with follow-up on the recommendations made on conclusion of EU/EOMs accomplished.
3. Civic and voter education, public awareness-raising programmes, capacity building for domestic observers and for the media in their reporting about electoral processes, as well as the capacity of regional organisations for electoral observation, are improved.
4. National Election Commissions and Parliaments promote political pluralism by advocating legal regimes that enable political parties to form and to function, mainly thanks to training for parliamentarians and key staff of these institutions.
5. Freedom of association is enhanced, in particular the free formation of professional associations, of groups intending to bring legislation into line with international human rights standards, and which raise awareness among decision-makers, as well as establish networks of information.
6. Changes occur in the media environment toward independent press and broadcasting, in particular through the elimination of legal and technical obstacles to the freedom of the press, through adequate communication/media legislation, as well as legitimate, unimpeded access to the internet.
7. Media organisations are increasingly committed to raising professional standards, to enhancing their role in ensuring accountability of government and to promoting tolerance and ethical reporting about minorities.
8. Viable community media increasingly reach local people and enable marginalised sections of society to gain a voice.
9. Civil society stakeholders are more able to engage in democratic governance and policy dialogue, in particular through the equal participation of women in political processes and decision-making.

¹ Council Conclusions on Elections Assistance and Observation, 31 May 2001, 9990/01

6. Objectives for Campaign 4: Equality, Tolerance and Peace

Focusing on political, civil and cultural rights, Campaign Four embraces the issues of racial discrimination and xenophobia, the rights of minorities and indigenous peoples. The campaign underscores the critical influence of these issues in the field of conflict prevention and post-conflict reconciliation.

The general objectives of the campaign are given as:

- securing **equal rights and treatment** of persons and **minorities** irrespective of racial, ethnic or caste origin;
- **intercultural and interethnic understanding**;
- securing respect for the rights of **indigenous peoples**;
- reinforcing the engagement of civil society in **conflict prevention and resolution**.

Drawing on the Durban Plan of Action, it is understood in the Programming Document that Campaign 4 will:

1. Support awareness-raising and advocacy to realise the rights of persons and minorities facing discrimination on grounds of racial, ethnic or caste background.
2. Encourage the adoption of anti-discrimination legislation and policies at national level and the removal of discrimination in access to employment, education and other rights.
3. Promote fair representation and participation of all ethnic groups at all levels of decision-making.
4. Develop the capacity of anti-discriminatory bodies and support projects to promote intercultural and interethnic understanding, including by encouraging the development of community groups and positive media engagement.
5. Make a particular contribution to the EU's efforts in the sphere of conflict prevention and resolution; this might also include civilian crisis management training.
6. Focus on activities aimed at raising public awareness of the situation and living conditions of indigenous peoples, and promoting knowledge and understanding of their rights, in particular the right to live on their own land.
7. Encourage projects of capacity building, including enhancing information flows, providing specialised workshops and supporting network building of indigenous peoples' organisations at national and regional level.
8. Support the preparation and activities of indigenous peoples' representations participating in relevant international forums, and for cooperation with international organisations.

These underpin the specific objectives against which performance can be defined.

7. Indicators of Impact

The first numeral indicates the number of the Campaign, the second numeral indicates the specific objective provided by the EC EIDHR programming document under that Campaign.

7.1. Specific Objective: Strengthening of International Tribunals (1.1.):

The functioning of international criminal ad hoc tribunals (such as the UN International Criminal Tribunal for the former Yugoslavia), the UN International Criminal Tribunal for Rwanda, the Special Court for Sierra Leone, and the Extraordinary Chambers in the Courts of Cambodia) is improved. Public awareness of the activities of the tribunals, building bridges between the jurisdiction of the tribunals and national judicial systems, including possible successor mechanisms, are improved.

- Transfer of cases to and from national and international Tribunals.
- Changes in national legislation implementation reflecting the principle of universality of jurisdiction of the Tribunals.
- Changes in the average delays in court proceedings, number of cases brought to trial, changes in the average number of trials concluded.
- Changes in the number of people who are interviewed in the key Ministries and of informed outsiders who report that the Court's career system is based on skills and job performance
- Evidence of entry level training as well as regular further training on the particularities of international tribunals
- Better formulation of negotiating positions of the smaller states in international conferences, particularly in UN Working Groups; evidence of original research on legal implications of ratification.

7.2. Specific Objective: Awareness of International Criminal Courts (1.2.):

Progress is made toward the universal adherence to the Rome Statute, toward a better public perception of the court's role, toward the implementation of the complementarity principle, and toward implementation of the Rome Statute into national legislation.

- Emergence of national lobby groups and coalitions to support ratification by a given state of the Statutes of international criminal courts
- Evidence of trust and active relations within a network of professional experts in areas relevant to the Courts;
- evidence of a strong community of purpose, in particular in the number of subscriptions to specialised newsletters, number of "hits" to a specialised website, participation in meetings, participation in demonstrations.

- Recurrence of key words in the national press, particularly the most popular media, and in specialised legal literature.
- Judges and magistrates are selected in a public and transparent manner which is commented on in national communities.

7.3. Specific Objective: Restrictions to Death Penalty (1.3.):

The restrictive use and abolition of the death penalty are generalised, through raised awareness of the principal arguments against the death penalty, monitoring of the conditions of implementation of the death penalty and the application of minimum international standards, and through the promotion of the signature, ratification and implementation of the Second Optional Protocol to the International Covenant on Civil and Political Rights (ICCPR), and legal reform to limit or abolish the death penalty. Also raised are awareness of the role of Treaty Bodies, input to those bodies and implementation of Treaty Body recommendations.

- Increase in the number of the states having made additional international undertakings not to use the death penalty²
- Increase in the number of states changing national law as needed to reflect their international commitments
- Increase in number of governments having changed policy to restrict the use of the death penalty (e.g. an official or de facto moratorium on the death penalty introduced)
- Reduction in number of states which re-introduce the death penalty
- Among countries applying death penalty, percentage increase in those restricting death penalty:
 - only for the most serious crimes (e.g intentional crimes with lethal or other extremely grave consequences) ;
 - not for protected groups (minors at time of crime, the insane, pregnant women or new mothers)³ ;
 - only pursuant to a final judgement rendered by a competent court after a fair trial⁴. Including special protection for children.
- Percentage increase in number of those sentenced to death who have an effective right of appeal and an effective right to seek pardon or commutation of sentence
- Among countries applying death penalty, percentage increase in those restricting the death penalty:
 - Only for crimes for which the death penalty was prescribed at the time of its commission;
 - Only where a lighter penalty has not become law since the crime.

²For example, by acceding to the ICCPR and/or its Second Optional Protocol, CRC or in Europe ECHR or the Protocols 6 or 13 of the ECHR on the death penalty, or in the Americas the Protocol of the Inter-American Convention on Human Rights on abolition of the death Penalty

³ There may well be topics (e.g children on death row etc) where project implementers need to find/assess info available officially from Ministries etc and to add new research where there are gaps in that info.

⁴At least equal to those contained in article 14 of the International Covenant on Civil and Political Rights, including the right of anyone suspected of or charged with a crime for which capital punishment may be imposed to adequate legal assistance at all stages of the proceedings, public hearing etc.

- Increase in states demonstrating improved conditions on death row (e.g increase in regular inspection of penal institutions and services by qualified and experienced inspectors appointed by a competent authority ; increase in death row prisoners visited daily by a medical officer ; increase in proportion of prisoners with 24-hour access to clean water and toilet facilities; reduction in population beyond capacity; increase in availability of information about the administrative complaint process and access to materials necessary to file complaints....)
- percentage increase in number of states applying death sentence only in a manner so as to inflict the minimum possible suffering ; and only in non-degrading manner, including not in public
- percentage increase in those having received a capital punishment sentence who submit complaints to international protection mechanisms (from countries having ratified them)
- percentage reduction in people whose death sentence was carried out whilst having a complaint examined under international protection mechanisms
- Non-discrimination in application of death penalty, conditions of detention and fair trial (no distinction of any kind, such as race, colour, sex, language, religion, political or other opinion, sexual orientation, national or social origin, property, birth or other status):
 - reduced disparity among groups regarding frequency with which prosecutor seeks death penalty ; regarding success on appeal, commutation of sentence, pardons, and regarding frequency of carrying out death penalty once it is imposed (see Scoping Guide regarding System of Justice)
 - reduced disparity among groups regarding conditions of detention (see Guide regarding Torture)
 - reduced disparity among groups regarding fair trial e.g access to lawyer, delay, presumption of innocence etc (see Scoping Guide regarding System of Justice)
- percentage or number of target CSOs that say they can obtain needed information from key public agencies, percentage increase of population aware of debate on death penalty reform. percentage of pop. supportive of death penalty reform. Number of responses to CSO affirming support; or of citizens participating in supporting such initiatives in some manner (volunteering, contributions in cash, etc.).
- percentage increase in number of key opinion formers expressing support for abolition/restriction of death penalty (e.g retired judges/ Bar association in academic articles, conferences; editors of national/local papers; trades union leaders &, leading NGOs in press statements, demonstrations etc)
- Increase in percentage positive articles/segments in key publications and broadcast programs
- Increase in number of opposition parties/parliamentarians changing in policy to promote the restriction of death penalty
- Increase in number of advocacy initiatives carried out by civil society coalitions for death penalty reform.
- Increase in the number of civil society organisations active in advocacy coalitions.
- Increase in number/type of new mechanisms for dialogue between government/administration and civil society created, including public hearings, appointment of CSO reps. on government bodies.

7.4. Specific Objective: Awareness of Children's Rights (2.1.):

There is an increase in awareness in the field of children's rights, as they relate to the signature, ratification and implementation of the relevant international instruments and commitments, including the Convention on the Rights of the Child and its Optional Protocols, and the Plan of Action agreed at the UN Special Session on Children in May 2002.

- Recurrence in interviews of statements which reflect that a) "All human beings have human rights" and "b) children have human rights tailored to specially protect them as children"
- Enrollment rates in schools by gender which reflect the belief among authorities and also parents that education is equally important for boys and for girls
- Enhanced perception by journalists and experts of the increase in awareness of human rights issues among children
- Enhanced perception among children of the increase in awareness of human rights issues
- Increase in % of national budget allocated to education at primary and secondary levels
- Effective introduction/staffing/operation of system of juvenile justice system e.g separation from adults; juvenile courts, specialised remand homes

7.5. Specific Objective: Promotion of the Rights of Women (2.2.):

Initiatives are aimed at promoting the rights of women, including their right to equal treatment and physical integrity, notably through awareness-raising and education-orientated projects, particularly to combat female genital mutilation. The issue of trafficking in children and women is incorporated in awareness-raising and advocacy programmes.

- Increase in accession/ratification of main international human rights treaties as regards women
- Increase in human rights reporting by the state to treaty bodies (for example Human Rights Committee reports: <http://www.unhchr.ch/html/menu2/6/hrc.htm>)
- Increase in civil society mobilisation around the state reporting to international treaty bodies, especially the production of NGO alternative report to the treaty bodies, and advocacy campaigns around it
- Number and quality of regular / ad hoc publications by NGOs on aspects of women's human rights
- Integration of respect for human rights, and particularly women's human rights, in the national curricula at primary and secondary levels
- Integration of human rights, and women's human rights in particular, in the training of teachers; and their perception of the quality of these courses
- Increase in recurrent statements during interviews of sample groups of the population who respond "yes very much" or "yes a little" to the question "Do you consider yourself ('more' delete) knowledgeable now about women's rights issues at stake in the country?"

- Number, and types of reported human rights violations relating to women collated by NGOs; number and types of violations collated by state institutions (e.g a national human rights institution); availability of disaggregated data; the scale of the gap between this and the number of reports made by women to authorities e.g police in the case of a crime against her
- Percentage of reported crimes against women that are successfully prosecuted
- Reasonable proportion of experts interviewed responding “Yes, very much” to the question “Do you feel that women victim of human rights violations are better off now than X years ago?”
- Number of women / children / refugees who report having suffered from torture, cruel, inhuman or degrading treatment or punishment
- National indicators of women who have effective access to health care; who are homeless; displaced; entitled to inherit on equal basis with men; entitled to and exercising the vote;
- Percentage of members of Parliament/ political parties/ local authority officials/civil servants/trades unions etc who are women
- Mechanisms tailored to needs of women to ensure their active participation in development at local/regional/national level
- Number and coverage of NGOs that support women victim of human rights violations

7.6. Specific Objective: Human Rights Defenders (2.3.):

The rights of human rights defenders (*HRD*) are promoted, through improved protection of, and raise awareness about, the situation of those who work, at personal risk, to advance human rights through non-violent means.

- Effective recognition in law and practice of freedom of expression, association and assembly and access to information
- Specific protection in law and practice for the role of HRDs as journalists, trades unionists, etc
- Increase in number/media coverage of CSOs active in supporting or fielding human rights defenders
- Reduction in reported incidents of violence/threats/intimidation targeting human rights defenders by state/non-state actors
- Increase in successful prosecution of crimes committed against HRDs due to their work (e.g death threats, assaults etc)
- Effective measures in place to ensure protection of HRDs from ill-treatment or intimidation as a consequence of their complaint or any evidence given to authorities
- Increase in the number of HRDs who feel their work is regarded by authorities as legitimate; and who feel unhindered and safe in carrying out their work

7.7. Specific Objective: Security Sector Training (2.4.):

Training is provided for the prevention of abuses for key personnel such as police, prison and legal officials, to, inter alia, instil comprehensive knowledge of the relevant international and

national provisions and ensure that procedures and practices relating to detainees comply fully with human rights norms.

- Number of judges, lawyers, detention staff, police officers, staff of law enforcement agencies, teachers and social security officers trained in the field of human rights who can show evidence of written material distributed at training.
- Existence and availability of archives of news on Human Rights issues within state detention and security institutions
- Resources made available in institutions for informing civil servants about human rights and equal opportunity issues
- percentage of CSOs who consider that human rights related issues at stake in the country are receiving increased attention from staff of law enforcement agencies
- Proportion of trained civil servants in sample interviews who respond “yes very much” or “yes a little” to the question “Do you consider yourself more knowledgeable now about HR issues at stake in the country?”
- Proportion of trained civil servants in sample interviews who can respond with specific examples of how they apply their knowledge about HR issues at stake in their work
- Methods of judicial selection safeguard against judicial appointments for improper motives.

7.8. Specific Objective: Torture Awareness (2.5.):

Monitoring and awareness-raising activities increase, including the tracking of the supply of torture instruments, research into, and denunciation of, torture practices, and organisations promote the signature, ratification and implementation of the Optional Protocol to the UN Convention against Torture and public awareness-raising.

- Number of organisations engaged in awareness raising and tracking of trade in torture instruments or potential torture instruments
- Prompt and regular access is given to doctors and lawyers and, under appropriate supervision when the investigation so requires, to family members.
- All detainees are held in places that are publicly recognized
- There is a central register available to persons concerned, such as relatives (containing names and places of detention ; names of persons responsible for their detention)
- Confessions or other evidence obtained through torture or other prohibited treatment inadmissible in court.
- The time and place of all interrogations is recorded, with names of those present (and info made available for judicial or administrative proceedings)
- All places of detention free from any equipment liable to be used for inflicting torture or ill-treatment
- The crime of torture is accurately defined in national law, providing appropriate penalties (e.g mental as well as physical torture)⁵

⁵ No law enforcement official may inflict, instigate or tolerate any act of torture or other cruel, inhuman or degrading treatment or punishment, nor may any law enforcement official invoke

- The legal system effectively guarantees the immediate termination of all acts of torture or inhuman or degrading treatment or punishment

7.9. Specific Objective: Rehabilitation of Torture Victims (2.6.):

The rehabilitation activities for torture victims – including psychotherapy, medical care, social rehabilitation and institutional strengthening of rehabilitation centres – are increased in rehabilitation centres both in Europe and abroad.

- Degree to which the state ensures that every victim of torture obtains redress and has an enforceable right to fair and adequate compensation, including the means for as full rehabilitation as possible.
- Number of former victims receiving professional training; Number of members of the victim's families (in particular spouses and children) who are offered treatment and counselling in rehabilitation centres
- Proportion of recognised victims of serious human rights violations who acknowledge having received rehabilitation assistance
- Average monthly salaries of former identified victims and percentage of unemployed people amongst former victims; percentage of former victims receiving pensions as compensation
- Number of health professionals and other caregivers in rehabilitation centres. Degree to which medical attention, psychosocial support and legal services are offered in rehabilitation centres
- Absolute estimated numbers of citizens participating in civil society associations and local/national bodies whose actions are directed towards the rehabilitation of torture victims
- In the event of the death of the victim as a result of an act of torture, proportionate number of his dependants entitled to and who receive adequate compensation.

7.10. Specific Objective: Training in Human Rights (2.7.):

Programmes of higher education and training for professionals active in the field of human rights, and for those whose professional activity has an impact on human rights, are supported. The European Masters' Degree in Human Rights and Democratisation (EMA), and regional Masters Degree in Human Rights and Democratisation in South-East Europe, the Mediterranean, Africa, Asia and Latin America receive particular support, including for networking and cooperation between the different Masters degrees while overall academic coherence is ensured through the European Masters Programme based in Venice.

- Tracking the number of graduates, and their subsequent career.
- Opinions of a representative sample of graduates and teaching personnel concerning the content of training

superior orders or exceptional circumstances such as a state of war or a threat of war, a threat to national security, internal political instability or any other public emergency as a justification of torture or other cruel, inhuman or degrading treatment or punishment

- Evidence of inadequate training given by graduates who do not work in the field of human rights
- Evidence of changes in legislation and structure triggered by graduates from training.

7.11. Specific Objective: China and Iran (2.8.):

The human rights dialogues between the EU and China, and the EU and Iran are supported, leading to a non-confrontational exchange of views and a vital opportunity to foster a culture of human rights in the two countries, including through the transfer of experience in the ratification and implementation of international human rights instruments.

Indicators not required

7.12. Specific Objective: Election Observation (3.1.):

EU Election Observation Missions (EU/EOM) are deployed in priority countries on the basis of the criteria laid down in this Communication and the related Council Conclusions

- Degree to which polling sites are located in familiar places and are monitored by independent observers; Geographic density of polling stations which are monitored.
- Estimated numbers and percentage of eligible voters who could not vote because polling stations were not accessible enough
- Differences between regions where EC monitors have been deployed or not concerning the number of violent incidents reported during Election Day
- Coverage rate of polling stations with independent election observers registered with the electoral administration
- Percentage of polling places opening on time at Election Day
- Percentage of polling places that ran out of material on Election Day

7.13. Specific Objective: Election Conditions (3.2.):

Pre-election conditions are improved, particularly at the level of civil society, along with follow-up on the recommendations made on conclusion of EU/EOMs accomplished.

- Percentage of a selected sample of citizens (which could be randomly selected and could be based on a particular region or population group of concern) who respond “Very satisfied” to the question “How satisfied are you with the way the electoral authority conducts the elections?”
- Proportion of interviewed experts responding “yes, very much” to the question “Is the voter register comprehensive, inclusive, accurate and up to date?”
- Degree of ability of external stakeholders to challenge inaccuracies in voter registry, particularly by political parties

- Degree to which voter registers are made available for inspection at no cost to the requester
- Proportion of cases where vote tabulation is verified independently and shown to have been carried out accurately and transparently
- Number of days required to tabulate and announce the official results
- Percentage of a selected sample of citizens (which could be randomly selected and could be based on a particular region or population group of concern) who answer “yes, very much” to the question “Do you think that in your country everyone has the right to take part in the government, directly or through freely chosen representatives?”
- Percentage of a selected sample of citizens (which could be randomly selected and could be based on a particular region or population group of concern) who answer “yes, very much” to the statement “The will of the people is the basis of the authority of government and is expressed in periodic and genuine elections which are organised by universal and equal suffrage and held by secret vote or equivalent free voting procedures”
- Degree of protection of voters from the wrongful disclosure of personal data as evidenced by complaints made publicly or in interviews
- Degree to which election legislation is stated in clear and unambiguous language
- Degree to which election legislation avoids conflicting provisions between laws governing national elections and laws governing sub-national (provincial or state) and local elections
- Proportion over time of experts interviewed who answer “yes, very much” to the question “Are the respective powers and responsibilities of the national and local electoral management bodies, and governmental bodies, clearly stated, distinguished and defined in a way to prevent conflicting or overlapping powers being exercised by other bodies?”
- Percentage of experts interviewed near the election date who answer “yes, very much” to the question “Is the election legislation enacted sufficiently far in advance of an election date to provide political participants and voters with adequate time to become familiar with the rules of the election processes?”
- Degree to which the election legislation is enacted in accordance with the applicable legal provisions governing the promulgation of laws by the legislature
- Proportion over time of experts who answer “yes, very much” to the question “Is the election legislation published and made available sufficiently far in advance of an election date for the intended users including the general public?”

7.14. Specific Objective: Voter Education (3.3.):

Civic and voter education, public awareness-raising programmes, capacity building for domestic observers and for the media in their reporting about electoral processes, as well as the capacity of regional organisations for electoral observation, are improved.

- Consistency of answers among voters interviewed who respond “very well” to the question “Do you feel sufficiently informed about where to vote and how?”
- Consistency of answers among citizens who respond “I strongly agree” to the following question “Do you agree if one says you have enough information about political life and the actions of government?”
- Evidence of awareness among opinion leaders and journalists about how the political system functions
- Number of public meetings held by the leadership of the parties and that involve dialogue with party members and citizens
- Number of NGOs and other civil society stakeholders / representatives participating in public debates
- Numbers over time of individual citizens participating in public debates about political issues held by NGOs / CSOs
- Consistency of response of political actors and citizens who respond “Yes, very well” to the question “How well do you think you understand the way the political system works?”
-

7.15. Specific Objective: Freedom of Political Association (3.4.):

National Election Commissions and Parliaments promote political pluralism by advocating legal regimes that enable political parties to form and to function, mainly thanks to training for parliamentarians and key staff of these institutions.

- Number of studies published and evidence of dissemination concerning the legal regime governing political parties
- Proportion of citizens interviewed who respond “I strongly agree” to the statement: “People can join any political organisation they choose”
- Degree to which political representation is proportionate to relevant population groups (e.g. minorities, gender, income, ethnicity, geographic coverage)
- Evidence of reform of the laws to enable more freedom of political association
- Percentage of interviewed experts responding “very high” or “high” to the question: “To what degree is there real competition for political power?”
- Number of calls for a boycott of the elections by political parties
- Degree to which political opposition is institutionalised in the form of legal political parties

7.16. Specific Objective: Freedom of Professional Association (3.5.):

Freedom of association is enhanced, in particular the free formation of professional associations, of groups intending to bring legislation into line with international human rights standards, and which raise awareness among decision-makers, as well as establish networks of information.

- Number of studies published and evidence of dissemination concerning the legal regime governing unions and professional groupings
- Proportion of citizens interviewed who respond “I strongly agree” to the statement: “People can join any association they choose”

- Degree to which labour representation is in line and broadly representative of relevant population groups (e.g. minorities, gender, income, ethnicity, geographic coverage)
- Evidence of reform of the laws to enable more freedom of professional association
- Percentage of interviewed experts responding “very high” or “high” to the question: “To what degree is there real competition for the leadership of professional associations?”
- Number of calls for a boycott, strike, demonstration, or change in legislation by professional groups
- Degree to which networks are institutionalised in the form of legal entities

7.17. Specific Objective: Media Environment (3.6.):

Changes occur in the media environment toward independent press and broadcasting, in particular through the elimination of legal and technical obstacles to the freedom of the press, through adequate communication/media legislation, as well as legitimate, unimpeded access to the internet.

- Number of law suites against media organisations for criticising government
- Average % of media revenues derived from advertising by target independent media entities
- Number of incidents of violence targeting journalists
- Number of media space/time devoted to news analysis
- Level of acceptance of media outlets by political actors as neutral and unbiased watchdogs of the electoral process
- Level of public confidence, as evidenced in interviews, that media outlets serve as neutral and unbiased watchdogs of the electoral process
- Circulation of print media in vernacular languages

7.18. Specific Objective: Media Standards (3.7.):

Media organisations are increasingly committed to raising professional standards, to enhancing their role in ensuring accountability of government and to promoting tolerance and ethical reporting about minorities.

- Constitutional or statutory guaranteed mechanisms for media input in the decision making bodies
- Laws supporting freedom of association and speech are implemented
- Average length of time for registration for a media outlet, and quality of registration documentation
- Laws permitting media to raise funds/income
- Institutional mechanisms in place for the extensive participation of various stakeholders in decision making
- Number of prosecution of journalists for biased or distorted reporting

7.19. Specific Objective: Local Media (3.8.):

Viable community media increasingly reach local people and enable marginalised sections of society to gain a voice.

- Number of local media outlets, evidence of subscriptions, readership, audience
- Changes in the number of quotes of local journalism made by persons interviewed in the local population
- Representation of groups from the community in the staff of local media outlets, use of vernacular languages, evidence of sensitivity to local issues in coverage.
- Level of awareness of national issues at the local level, and articulation of local political arguments in a manner that shows their connection to national issues.
-

7.20. Specific Objective: Strengthening Civil Society (3.9.):

Civil society stakeholders (or organisations, known as CSOs) are more able to engage in democratic governance and policy dialogue, in particular through the equal participation of women in political processes and decision-making.

- CSO are known by other actors, number of registered CSOs and umbrella organisations
- Number of civil society groupings functioning with regular meetings
- Number of papers published by CSO on national strategies
- Number of references in national documents referring to the contribution of CSOs
- Type of dialogue mechanisms: number of concertation conference or processes with CSOs and Government on various sectors
- Financial autonomy of CSOs, level of skills of staff, availability of methodological and technical expertise, transparency of management of CSOs

7.21. Specific Objective: Minority Rights (4.1.):

Awareness-raising and advocacy are supported concerning the rights of persons and minorities facing discrimination on grounds of racial, ethnic or caste background.

- Number of projects or volume of funding to ensure that non-discrimination is subject to judicial review and other legal recourse procedures.
- Initiatives aimed at training judicial and law enforcement officials in respect of the human rights obligations undertaken by the state concerning discrimination.
- Percentage of people who can name particular rights. Are people aware of their rights
- Standards of the law concerning discrimination are translated into all the official languages of the country and disseminated in public for such as schools, municipal buildings, prisons, etc...
- percentage of population who respond “I strongly agree” to the statement “All inhabitants are equal to one another”
- percentage of population who respond “I strongly agree” to the statement “Even when jobs are scarce, people from group X should not have more rights to a job than those of group Y”
- percentage of people who respond “I strongly agree” or “I agree” if one says “All people who were born in this country, regardless of what group they belong to, should be treated as equal citizens”

- Perception by journalists and experts of the increase in awareness of the importance of discrimination issues among the population
- Ability of a sample drawn from the public to identify a number of fundamental human rights of minorities, in the political and civil sphere as well as the economic and cultural sphere.
- Scope and nature of the perception of the importance of publicising human rights violations nationally and internationally within a sample group
- percentage of population who respond “I strongly agree” to the statement “Everybody should be treated equally and fairly by the government”
- Percentage of interviewed experts responding “very high” or “high” to the question “To what extent has discrimination against minority groups been reduced in the last years?”

7.22. Specific Objective: Anti-Discrimination (4.2.):

Adoption of anti-discrimination legislation and policies and the removal of discrimination in access to employment, education and other rights are encouraged at national level.

The following changes in legal codes can be observed concerning civil and political rights:

- Changes in the law concerning acts of discrimination in the enjoyment of: freedom of movement and residence within the state;
- Changes in the right to leave the country, including one's own, and to return to one's country;
- Changes in the right to nationality;
- Changes in the right to marriage and choice of spouse;
- Changes in the right to own property alone as well as in association with others;
- Changes in the right to inherit; freedom of thought, conscience and religion;
- Changes in the right to freedom of peaceful assembly and association.

Changes in the law concerning the following social and cultural rights can be observed:

- Laws against acts of discrimination in the enjoyment of economic, social and cultural rights,
- the rights to work, to free choice of employment, to just and favourable conditions of work, to protection against unemployment, to equal pay for equal work,
- the rights to just and favourable remuneration;
- the right to form and join trade unions;
- the right to housing; The right to public health, medical care, social security and social services;
- the right to education and training; The right to equal participation in cultural activities;
- Right access to any place or service intended for use by the general public.

Changes in the law concerning:

- acts of discrimination in the enjoyment of: freedom of movement and residence within the state;
- right to leave the country, including one's own, and to return to one's country;
- the right to nationality;
- the right to marriage and choice of spouse;

- the right to own property alone as well as in association with others;
- the right to inherit;
- the right to freedom of thought, conscience and religion;
- The right to freedom of peaceful assembly and association.

7.23. Specific Objective: Representation Promotion (4.3.):

Fair representation and participation of all ethnic groups at all levels of decision-making are promoted.

- Effective measures have been taken to review governmental, national and local policies, and to amend, rescind or nullify any laws and regulations which have the effect of creating or perpetuating any ethnic discrimination.
- States Parties increasingly assure everyone within their jurisdiction of effective protection and remedies, through the competent national tribunals and other State institutions, against any acts of ethnic discrimination which violate his human rights and fundamental freedoms, as well as the right to seek from such tribunals just and adequate reparation or satisfaction for any damage suffered as a result of such discrimination
- Increase in civil society organisations' (CSO: this includes NGOs and community based organizations) perception of the willingness of public institutions to engage in dialogue with them (surveys);
- Number of civil society organisations (CSOs) grounded in minority groups which have been created and which have institutional mechanisms in place for the extensive participation of various stakeholders in decision making;
- Degree to which people have the right to organise in different political parties; existence of political parties which include ethnic concerns in their doctrine;
- Degree to which electoral law facilitates multiple political parties with representation from minority and marginalised ethnic groups in the electoral system;
- Presence of members of ethnic minorities at all levels of the state hierarchy, reflecting the proportion of such population in the country;

7.24. Specific Objective: Capacity of Anti-Discrimination Bodies (4.4.):

The capacity of anti-discriminatory bodies is developed and projects to promote intercultural and interethnic understanding supported, including by encouraging the development of community groups and positive media engagement.

- Increase in number/type of new mechanisms for dialogue between public administration and civil society, including public hearings, appointment of community representatives on government bodies, etc
- Number and quality of regular / ad hoc publications by NGOs on aspects of victims' (of discrimination) rights
- Existence of training courses on cultural and ethnic aspects of human rights issues attended by teachers and perception of the quality of these courses
- Growing percentage of population who respond "yes very much" or "yes a little" to the question "Do you consider yourself more knowledgeable now about HR regarding ethnic and cultural issues at stake in the country?"

- Growing percentage of citizens participating in civil society associations and local/national bodies whose actions are directed towards human rights monitoring and/or protection
- Increases in degree of implementation of internationally accepted children's rights, and their application in schools as regards cultural rights and cultural understanding;
- Changes in the number and coverage of NGOs that support victims of human rights violations in the area of discrimination concerning inter-ethnic and inter-cultural relations;

7.25. Specific Objective: Conflict Prevention (4.5.):

A contribution is made to the EU's efforts in the sphere of conflict prevention and resolution, including civilian crisis management training.

1. Early Warning
 - Reports are issued for given countries in systematic manner and correctly predict events
 - Degree to which analysis is carried out by partners based on plausible conflict risks
 - Shifts in policy in target organisations can be attributed to recommendations for action
2. Mediation, facilitation, reconciliation
 - Number of meetings held between the leadership of the parties to conflict, or number of times such meetings are referred to by public media or political leaders; number of descriptions of successful peace processes where such meetings are mentioned.
 - Shifts in public discourse following meetings and events concerning the conflict (use of key words and concepts).
 - Importance attached to mediation or reconciliation efforts by leadership in the parties to the conflict (the more importance, even if contesting, the better).
 - Degree of use of expressions of ownership concerning the reconciliation and mediation activities, colloquial reference to such activities and approaches
3. Confidence building
 - Examples of interaction and exchange which did not occur prior to the measures
 - Surveys of changes of attitudes and behaviour in the general population (usually this will have to be based on recall, in some cases there are surveys which can be used as initial baselines).
 - Changes in the patterns of movement of the general population, or of flight (visits to shops, numbers of internally displaced, return, etc...)
4. Training modules
 - People who participated in training sessions begin to use new techniques taught in those sessions, such as conflict impact assessments built on indicators.
 - Proportion of personnel in international crisis management missions (not necessarily EC led) who have attended training;
 - Accounts of beneficiaries of the usefulness of the training received (preferably after one or more missions) or percentage who say that they have acquired new skills not available otherwise;

- Alumni career tracking for a small sample proving that they continue to occupy decision making positions for long periods of time;
- Changes in the practice of conducting international missions, particularly as relates to established rules of the art such as human resource management, and monitoring of performance;

7.26. Specific Objective: Awareness of Indigenous People (4.6.):

Activities are supported to raise public awareness of the situation and living conditions of indigenous peoples, knowledge and understanding of their rights are promoted, in particular the right to live on their own land.

- States increasingly respect, preserve and maintain knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity and promote their wider application with the approval and involvement of the holders of such knowledge;
- Innovations and practices of indigenous people are more encouraged, and examples can be given of the equitable sharing of the benefits arising from the utilisation of such knowledge, innovations and practices;
- More widespread existence and availability of archives of news on Human Rights issues concerning indigenous people, containing in particular examples of violations, are accessible within state institutions;
- Increasing resources are made available in institutions for informing civil servants about indigenous people, their rights and specificity, encouraging equal opportunity adjustments;
- Increasing percentage of CSOs who consider that indigenous people's human rights related issues at stake in the country are receiving increased attention from staff of the law enforcement agencies;
- Growing percentage of civil servants in key state institutions responding "yes very much" or "yes a little" to the question "Do you feel that your institution contributes to a better understanding between people belonging to different social or ethnic groups?"
- Attendance rates at research seminars, conferences and workshops held on land ownership issues by civil servants of key state institutions; number of papers and reports produced by large companies, NGOs and state institutions concerning the particular nature of the relationship of indigenous people to their land of origin;
- Growing proportion of trained civil servants who respond "yes very much" or "yes a little" to the question "Do you consider yourself more knowledgeable now about land ownership norms relating to indigenous people in the country?"
- Increasing degree to which relevant international instruments are ratified into national law, particularly as regards education, land ownership, and registration to vote and for enjoyment of citizenship rights;
- Increasing degree to which the principles of equal opportunity are applied and respected in institutions in all aspects of access to natural resources and land tenure (particularly revealing are processes for the allocation of leases for extractive industries);
- Growth in the number of training schemes for managers of institutions dealing with awareness about indigenous people;

- Degree to which recruitment initiatives are consistent with non-discriminatory practices and include a minimum number of indigenous people within local administration (particularly legal institutions and police);
- Growing number of citizens who express a concern over the treatment of indigenous people by institutions in terms of equality and respect of their culture;
- Degree to which provisions concerning the judicial protection and compensation available to individuals in the event of discrimination have been strengthened; availability of legal services (in terms of physical access, cost, and vulgarisation of documents);

7.27. Specific Objective: Enhancing Information on Indigenous People (4.7.):

Local capacity is built, including enhancing information flows, providing specialised workshops and supporting network building of indigenous peoples' organisations at national and regional level.

- In those States in which indigenous people exist persons belonging to such minorities are not denied the right, in community with the other members of their group, to enjoy their own culture, to profess and practise their own religion, or to use their own language
- Increasing recognition of the right of members of national minorities to carry on their own educational activities, including the maintenance of schools and ... the use or the teaching of their own language;
- Existence and effectiveness of an authoritative independent judiciary that has the ability to question the legality and constitutionality of the laws
- Increasing percentage of cases holding hearings which are open to the public;
- Number of complaints involving vulnerable people at the Human Rights protection institutions
- Number of Human Rights violations and abuses reported involving vulnerable people
- percentage of judges who participate in activities in which they have a direct or indirect pecuniary or personal interest that may give rise to a perception of bias
- Degree to which the institutional structure of the decision-making environment brings influence to bear upon the judges or fetters their objective consideration of the evidence
- Existence of cases where the institutional structure of the decision-making environment has favoured one of the parties
- Degree of public acceptance of judicial decisions
- Degree of public confidence in judges

7.28. Specific Objective: Indigenous Representation (4.8.):

The activities of indigenous peoples' representations participating in relevant international forums are supported, as well as their cooperation with international organisations.

- Number of new organisations opened and registered officially with a minimum of administrative capacity in rural and urban areas with concentrations of indigenous populations;
- Number of public defenders, legal aid and law clinics defenders per 100,000 indigenous individuals; number of non-judicial conflict resolution organisations per 100,000; flow of documentation from these to international organisations and commissions;
- Percentage of the indigenous population who know how and where to access the legal system, and percentage who can name one international organisation or forum where issues of rights and culture are also addressed;
- Percentage of international meetings dealing with issues relevant to indigenous people which are attended by them; proportion of the attendance;
- Percentage of judges, prosecutors, members of international organisations and of internationally funded community programmes who are members of indigenous groups;
- Number of trans-national / multinational companies which have endorsed codes of conduct and Corporate Social Responsibility standards concerning indigenous groups in a given country or internationally;
- Number of documents flowing from international organisations and forums which have been translated into languages that can be understood by indigenous people; number of radio programmes and public meetings held on the subject which are accessible to indigenous people.

8. Reflections on Indicators

The field of human rights and democracy is complex. What matters about performance cannot be captured in one or even a dozen performance measures. Yet these are important tools designed to bolster improvements in planning, risk management and accountability. Good quality information enables people to participate in programmes, and equips managers to drive improvement.

The objective of identifying indicators for democracy and human rights projects is, for the European Commission, to improve the management of external co-operation actions⁶ – such as projects by measuring project impact and the extent to which the impact of specific projects can be linked to overall changes in the situation of Democracy and Human Rights in a country.

The indicators listed above are intended to help clarify the objectives of EIDHR, and to inspire the elaboration of indicators which are operationally useful for each project. The specific objectives are not necessarily binding on what can be funded, but are also there to indicate directions of work which can be funded.

Indicators⁷ are an important tool for signposting objectives and measuring their attainment in all parts of project management. They describe the project's objectives in terms of quantity, quality, target group(s), time, place.

They are the operational description of:

- ❖ the overall objectives of a project (which have been listed above as examples)
- ❖ the specific objective (or project purpose, which need to be defined project by project)
- ❖ the results, activities and resources.

The specific objectives listed above are in fact the general objectives (or intended impact) of the projects to be funded by EIDHR.

An indicator is a measure that helps ‘answer the question of how much, or whether, progress is being made toward a certain objective’. It measures the performance of a specific program by comparing actual results with expected results. It does not answer the question of why progress is or is not being made.

A good indicator should:

⁶ The bases for this document are the following European Commission Staff Working Documents: “EIDHR Programming Document” (undated but containing five chapters and four annexes) which covers the period 2002-2004, and “EIDHR Programming Update 2004”

⁷ Our understanding of the word “indicator” is drawn from the Inter-Service Quality Support Group (IQSG) and the EC Project Cycle Management.)

- ❖ relate closely to a desirable change defined as an objective, of which it is a manifestation;
- ❖ be verifiable within acceptable costs
- ❖ be linked to a timeframe, target group, and geographical or institutional area.

Example: *Project objective:* *'Improve the administration of justice '*

Select the indicator: *'Time spent in preventive detention reduced'*

Define the targets:

- *quantity:* *'Time is reduced by 25% compared to year x...';*
- *target group:* *'...For all detainees irrespective of the accusation...'*
- *place:* *'... in the Southwestern Region...'*
- *time:* *'...two years after the beginning of the project'.*

9. Recommended Process to Generate Indicators

The structure of the EIDHR into four campaigns, each with specific objectives, has been described above. The notes which follow are intended for organisations which will be working on these objectives, and seek to link their planning to the Commission documents.

STEP 1: Selection of General Objectives

You must select as general objective for your project some of the specific objectives listed in the previous sections above as the general objective of your project. This should be related to the mandate and capacities of your organisation.

STEP 2: Selection of Specific Objectives

Choose a specific objective for your project (some organisations prefer to have many specific objectives, while others argue that having more than one leads to confusion in the project – there is no hard and fast rule on this).

The development of the general and specific objectives of your project, the results you are seeking to achieve, your activities, and work plan, are the first steps in developing indicators, and good objectives are necessary for good performance monitoring and measurement. A good objective is one with the following criteria:

- ❖ **impact-oriented**, so that it represents a program objective rather than the output of particular activities;
- ❖ **manageable**, in that it can be materially affected by your project;
- ❖ **time-limited**, in that it is achievable within the time frame of your project;
- ❖ **uni-dimensional**, so that it targets a single problem; and
- ❖ **specific**, so that it cannot be interpreted in different ways.

Taken together, these characteristics mean that the objective will be clear specific, and understandable. If the objective is vague or unrealistic, accurate and meaningful measurement will be difficult.

STEP 3 : Selection of Activities

Select your results and activities. For more information on how to identify an objective, results and activities, see the section below on the logical framework.

STEP 4: Developing and selecting indicators:

4.1 Use a participative process for identifying indicators

Once the objective has been clearly articulated and defined, you should ask: “how will we know if that result is occurring?” Determining what information is necessary to answer this question and how to provide the necessary information is the process of developing performance measurement indicators.

The choice of indicators has to avoid two difficulties: excessive optimism (often connected with the fact that the indicators are used as a slogan rather than as a decision-making tool) and a high level of generality (showing excessive prudence). One way to avoid these two excesses is to follow a transparent process involving the project’s stakeholders (any individuals, groups of people, institutions or firms that may have a relationship with the project).

The usefulness of indicators is increased since all stakeholders choose the signs for verifying results and determine the ways in which results are to be interpreted. The process of drawing up and agreeing indicators promotes dialogue and ownership of the activities by all stakeholders working together.

4.2 Match the indicator to the type of entity and result you are trying to achieve

At project level, indicators will need to be selected which best target the issue intended to be addressed. This could be a very narrow and specific aspect of a human right, or the project could intend to contribute to the enjoyment of a many-faceted human right with many other actors seeking to influence the same issue.

Number and/or percent of people, as well as ratios based on population statistics are appropriate when the objective involves changing individual attitudes, beliefs, or behaviours or when the objective involves the provision of services to the population. Numbers and/or percent of other entities, such as service delivered, decisions, meetings, cases, etc. are appropriate when the results involve those types of entities. Check that the indicator is crafted so that gender, or minority-specific information can be collected, and that it will reflect change over time.

Qualitative indicators should not be considered as of a lesser quality than quantitative indicators. In many cases, particularly in the human rights and

democracy field, reality is too complex to lend itself to measurement, and verifiable indicators are better chosen in terms of qualities, although qualitative indicators do not lend themselves to aggregation and comparison. Quality ratings by experts or peers (usually using a list of criteria) are appropriate when quality improvement is the objective, such as the quality of a piece of legislation.

4.3 *Measure the result as directly as possible*

Example:

Result: Expanded citizen knowledge of human rights

Weak Indicator: Numbers reached by civic education

Better Indicator: % of specified target group understanding specific rights

Explanation: the number reached by civic education programs is not necessarily the same as the number of those with expanded understanding of rights. To assess the knowledge of rights conveyed through program interventions, a sample survey is required. The information from such a survey would provide valuable information to managers, allowing them to adjust the content of their programs if the messages are not being heard and retained.

It is better to establish several indicators for each element to be measured (4-5 ideally). Together, these will provide reliable information on the achievement of objectives, which can be compared, and will reduce the risks involved in interpretation of results ('perverse indicators'): In country A, after five years of justice sector reform, time spent awaiting trial has been reduced and the number of alleged criminals processed through the system each year has increased by 200%. This looks positive, yet would risk providing a perverse incentive to police and prosecuting authorities to wrongly arrest people, and have them released by the courts – to keep numbers processed high. Efficiency alone is not an indicator of justice, it must be combined with qualitative indicators of the fairness of trials.

Using several indicators to measure the same outcome can also help explain why the change is occurring ... and what alternative explanations are ruled out. For example, statistics which show that country A has not applied death penalty in three years alone do not indicate why. It may be because of a legislative change to abolish the death penalty, or because the justice system is over-loaded, prisoners are on remand for years in life-threatening conditions, and tend to die before reaching trial.

4.4 *Explore potential data sources for candidate indicators*

Sometimes an indicator matches a result perfectly but is too difficult to measure or too costly. In these cases, project operators will need to turn to proxy, or second-best, indicators, but there can be trade-offs. Decisions about which to use should be based on the utility of the information that the indicator provides.

For each of the applicable indicators, explore what data sources are available. Only indicators for which it is feasible to collect data in a given country or an institutional population should be used.

Contact people knowledgeable about various data sources (e.g., partners, government statistical or service agencies, public opinion survey organizations,

university social science research centers, etc.). They will help you understand what data are already being collected, whether existing data would be appropriate for a candidate indicator, whether the candidate indicators are relevant and feasible for the situation, and possibly what alternatives may work. If there are no feasible or reliable data sources available, then consider proxy indicators for which good data will be available.

4.5 *Refine the indicators according to verification modes*

The last step is putting in place indicator details to make them fully operational. Check that there are appropriate and easily obtainable sources of verification (documents, reports and other sources providing information that makes it possible to check each indicator. The most common sources of indicator data are:

- administrative databases;
- surveys;
- third-party reports (including other project reports);
- press reports, specialised media
- legislation.

Specify the source of verification for each indicator in your proposal:

- ❖ The format in which the information will be made available (e.g. progress reports, project accounts, project records, official statistics etc.);
- ❖ Who will provide the information;
- ❖ How often it will be provided. (e.g. monthly, quarterly, annually etc.).

The work and costs of collecting information to be produced by the project itself should also be estimated and adequate means provided. If data for an indicator is found too expensive or complicated to collect, it should be replaced by a simpler, cheaper and often indirect (proxy) indicator.

Survey data can go beyond the reporting of events and conditions to capture the experience, perceptions, and attitudes of individuals. As a quicker and cheaper alternative to large representative surveys, often use small group surveys. By using structured samples of a range of social groups—including people in poverty—small group surveys can provide a range of useful information, although the small number of people contacted increases the risk of bias. Surveys can also focus more narrowly on professional staff within an organization, or even more narrowly, on a small group of experts (NGO representatives, lawyers, community leaders...) who are likely to have good insights into a particular phenomenon. Surveys should involve standardized questions that allow quantification of responses.

More informal assessments combining interviews, analysis of texts, as well as group discussions, will be more appropriate in conflictual situations, where the collection of information may be sensitive, and will involve pragmatic decisions about where to go and whom to talk to. The methodology for the verification and choice of sources must be made very explicit, to safeguard the legitimacy of the monitoring and evaluation.

In addition to administrative data and surveys, narrative reports produced by government agencies, civil society groups, and the media can shed light on social

phenomena of interest. These might include meeting minutes, annual reports of activities, and press reportage. To make these reports meaningful, you must extract data and compile indicators systematically, so that the exercise can be repeated over time to measure progress.

4.6 Prepare in advance for the verification process

In many cases the indicators have been chosen with a view to describing the objectives, and not to facilitate the assessment of performance. The project proposal stage should invest sufficient time into the formulation of objectives and the selection of indicators to be satisfied that a return to the original document two years after the initiation of the project will still find it relevant. The team designing the project should give as much importance to indicators as they give to good performance and the good reputation of their agency.

During implementation it will be necessary to report on and possibly change the indicators. The use of three or four sets of indicators should lead to a reduction in the volume of reporting and an increase in its interest to external readers. This should ideally be done by the project manager, or an experienced information manager within the project.

Conventional evaluation of development projects is objective-oriented, comparing the performance of target groups after the project with their performance before it, and with a control group which was not targeted by the project. End of project evaluation is increasingly encouraged by the Commission as the primary form of quality assurance. This is not a low cost activity, however, if it is to be done effectively. The price of an evaluation will depend to a great degree on two variables: the accessibility of sources of verification of indicators (and the quality of indicators and of the reporting against them), and the amount of travel involved in accessing sources. Typically evaluations cost 1 to 5% of a total project cost.

The timing of internal monitoring and external evaluation are important to the management of indicator information. While monitoring should be done periodically as a discrete task, ideally three to four times during the life of the project, evaluations must occur towards the end of the project. Tenders or contract negotiations begun in advance will increase the chances that the team will be of high quality. It may occasionally be necessary to carry out mid-term evaluations. These will rely more heavily on resource and results indicators, rather than impact indicators.

And remember... Indicators can be added or refined during implementation, once additional information is available.

10. Recommended Link to the Logical Framework

1. How to build a logical framework

Logical frameworks facilitate project planning, implementation and evaluation by explaining the expected chain of causes and effects :

- by drawing a clear distinction between the objectives and the means of achieving them;
- by ensuring a clear and realistic definition of the Project Purpose which must always entail sustainable benefits for the target group(s);
- by incorporating risks and assumptions into the project: major external factors which could significantly affect project success.

Developing a logical framework for a project reflects the different steps which should be carried out for a standard project identification:

Problem analysis

Any individuals, groups of people or institutions that may have a relationship with the project are defined as stakeholders. In order to maximize the social and institutional benefits of the project and minimize its negative impacts, a problem analysis carried out with stakeholders should take place at an early stage in the identification of a project.

In all societies, there are differences in the roles and responsibilities of women and men, and in their access to and control over resources and their participation in decision-making. Gender inequalities harm development. Failure to adequately address gender issues can damage the effectiveness and sustainability of projects, and even increase existing disparities. It is therefore vital to analyse the gender differences and inequalities and to take them into account in the intervention, its objectives, strategies and resource allocation.

In an ideal case the project should be designed in a participatory planning workshop, involving representatives of the main stakeholders, ensuring balanced representation of the interests of women and men. Problem analysis identifies the negative aspects of an existing situation by identifying the major problems faced by target groups and beneficiaries.

Once the problem is identified and shared by all, the project manager can carry out:

The analysis of objectives

Analysis of objectives is employed to describe the situation in the future once problems have been remedied, with the participation of representative parties. The 'negative situation' of the problems identified previously is converted into a solution, expressed as a 'positive achievement'. To come back to our example of a project fighting the death penalty,

Ex: the problem : 'there is no legal counsel available to death row inmates' is converted into 'legal counsel is available to death row inmates'.

This positive achievement can be translated into the project objective.

Analysis of strategy

The final step involves selecting the strategy which will be used to achieve the desired objective. This step requires:

- ❖ The identification of the different possible strategies to achieve the objectives
- ❖ The choice of the project strategy

The most relevant and feasible strategy is selected on the basis of a number of criteria, for instance: priorities of stakeholders (both women and men), likelihood of success, budget, relevance of the strategy, time required, contribution to reducing inequalities, including gender inequalities, etc.

*Ex: the objective of reducing the application of the death penalty can be achieved with different strategies, such as:
strengthening the defence of death penalty cases, informing and supporting strategies for replacing the death penalty,
carrying out a study on how states' death penalty systems comport with minimum standards designed to protect due process and fairness,
with a programme for public education an outreach to the media,
with assistance to death penalty organisations,
among others. Each project will have to select one (or more, if complementary and manageable) strategy to achieve the objective.*

Building the logical framework

The logical framework is a way of presenting the substance of a project / programme in a comprehensive and understandable form. The matrix has four columns and four rows, so that you can read :

- on the vertical axis what the project intends to do, the causal relationships and the assumptions and uncertainties beyond the project manager's control;
- on the horizontal axis, the measurement of the effects of, and resources used by, the project through key indicators, and the sources to verify them.

a) First column: Intervention logic

The four levels are defined as follows:

1. The Overall/General Objective of the project explain why it is important to society, in terms of the longer-term benefits to final beneficiaries and the wider benefits to other groups. They also help to show how the programme fits into the EIDHR objectives. It should therefore be expressed as a desired change in a particular human rights and democracy area (see EIDHR specific and sub-objectives table above). The General Objectives will not be achieved by the project alone (it will only provide a contribution to the achievement of the General Objectives);

*Ex, in the case of death penalty reduction projects, the general objective should be:
To work towards universal abolition of the death penalty and where it still exists, for it to be progressively restricted and carried out according to minimum standards (EIDHR Specific Objective 2)*

2. The Specific Objective for your project (sometimes called Project Purpose) is the objective to be achieved by implementing the project and which is likely to outlive the project. The Purpose should address the core problem, and be defined in terms of sustainable benefits for the target group(s). The Purpose should also express, if possible, the equitable benefits for women and men among the target group(s). There should only be one Project Purpose per project. Having more than one Project Purpose could imply an excessively complex project, and hence possible management problems; multiple Project Purposes may also indicate unclear or conflicting objectives. For example, the purpose ‘To enable women to take an active part in the democratic transformation of South Africa through education and training on a grass-roots level, and mobilise against violence in general and domestic violence against women in particular’, portrays contrasting objectives and requires different sets of activities and outputs.

Clarifying and agreeing precisely what will define the project’s success is therefore a critical step in project design.

Ex of project purpose: To ensure that public opinion can take an informed decision on the death penalty

3. Results are “products” of the activities undertaken, the combination of which achieve the Purpose of the project. They are ‘goods’ and ‘services’ delivered by the project as a result of project activities. Thus the output from training activities is improved knowledge or application of a skill, not number of people trained; the output from building rural roads is number of people with improved access, not miles of road constructed.

*Ex of results:
The general public is aware of alternatives to the death penalty;
The media can provide viewers/readers with correct data and information concerning the death penalty;
School children are aware of international legal instruments concerning the right to life and the abolition of the death penalty;
Etc...*

4. Activities are the actions (and means) that have to be taken / provided to produce the results. They summarise what will be undertaken by the project.

Ex of activities:

Production of advertising material; formulation of inputs for school curricula; public information campaign for the general public and in schools; production of training materials; training of journalists...

Experience shows that the two middle levels (outputs and purpose) hold the key to project design. Outputs and purposes are commonly mis-specified. Outputs should define the delivery of goods and services which the project management can be held accountable for.

b) Second column: Objectively Verifiable Indicators

(see previous sections of this document on how to produce indicators)

c) Third column: Sources of verification

Here you must refer to the sources and data used to calculate or measure your indicator (see point 4.6).

d) Fourth Column: Assumptions

It will have become apparent during the Analysis Phase that the project alone cannot achieve all the objectives identified to solve an existing problem. Once a strategy has been selected, objectives not included in the intervention logic and other external factors remain. These will affect the project's implementation and long-term sustainability but lie outside its control. These conditions must be met if the project is to succeed, and are included as assumptions in the fourth column of the Logframe. So, Assumptions are the answer to the question: "What external factors are not influenced by the project, but may affect its implementation and longterm sustainability?" The probability and significance of external conditions being met should be estimated as part of assessing the degree of risk of the project. Some will be critical to project success, and others of marginal importance.

Ex of assumptions:

People are willing to change their views about the death penalty; media are willing to present unpopular views; children will relay what they have learnt to their family; people will lobby the authorities for change; authorities will respond to public pressure....

Quality factors

A project can be said to be sustainable when it continues to deliver benefits to the project target groups for an extended period after the main part of the donor assistance has been completed. In the past it has been found that projects have failed to deliver sustainable benefits because they did not take sufficient account of a number of critical success factors. Quality is not an issue only to be considered

shortly before the end of a project, but should be kept in mind from the planning stage onwards.

Experience has demonstrated that the longer-term sustainability of project benefits depends on the following factors (the substance and relative importance of these factors will depend on the context and on the specific features of the project), in addition to gender and environmental concerns :

1. Beneficiary ownership

The extent to which target groups and beneficiaries of the project (including men and women) have participated in its design and are involved so that it can have their support and be sustainable after the end of the EC financing. The types of questions you should ask yourself during project planning are: What evidence is there that all target groups, including both women and men, support the project? How actively are and will they be involved / consulted in project preparation and implementation? What is their level of agreement on and commitment to the objectives of the project?

It is important to note however that beneficiary ownership is not always desirable in situations of open or latent conflict, which often characterises conflict prevention and human rights programmes.

2. Policy support

The quality of the relevant sector policy, and the extent to which the partner government has demonstrated support for the continuation of project services beyond the period of donor support. Is there a comprehensive, appropriate sector policy by the Government? Is there evidence of sufficient support by the responsible authorities to put in place the necessary supporting policies and resource allocations (human, financial, material) during and following implementation?

3. Appropriate technologies

Whether the technologies applied by the project can continue to operate in the longer run (e.g. availability of spare parts; sufficiency of safety regulations; local capabilities of women and men in operation and maintenance). Is there sufficient evidence that the chosen technologies can be used at affordable cost and within the local conditions and capabilities of all types of users, during and after implementation?

4. Socio-cultural Issues

How the project will take into account local socio-cultural norms and attitudes, and which measures have been taken to ensure that all beneficiary groups will have appropriate access to project services and benefits during and after implementation. Does the project take into account local socio-cultural norms and

attitudes, also those of indigenous people? Will the project promote a more equitable distribution of access and benefits?

7. Institutional and management capacity

The ability and commitment of the implementing agency to deliver the project, and to continue to provide services beyond the period of donor support. Is there sufficient evidence that the implementing authorities will have the capacity and resources (human and financial) to manage the project effectively, and to continue service delivery in the longer term? If capacity is lacking, what measures have been incorporated to build capacity during project implementation?

8. Economic and financial viability

Whether the incremental benefits of the project outweigh its costs, and the project represents a viable long-term investment. Is there sufficient evidence that the benefits of the project will justify the costs involved, and that the project represents the most viable way to addressing the needs of women and men in the target groups?

How to identify Means and Costs

The boxes “Means” and “Costs” replace objectively verifiable indicators and sources of verification. Objectively verifiable indicators and Sources of verification are thus not specified for Activities in the Logframe, but may be specified later when preparing an Activity Schedule. The physical and non-physical means (inputs) necessary to carry out the planned activities are placed instead in the ‘bottom’ row of the second column.

Means are physical and non physical resources (often referred to as “Inputs”) that are necessary to carry out the planned activities and manage the project. A distinction can be drawn between:

- ❖ human resources and
- ❖ material resources.

Costs should be presented in a standardised format, which will specify the contribution of the EC, the Government and any other party, such as target groups and beneficiaries. The Activities should therefore be worked out sufficiently to enable estimates of the necessary physical and non-physical means. This will include the means and costs required for management support activities. An area for particular attention is the cost of collecting data on indicators. This estimate should be completed at the end of the formulation phase.

How to develop an Activity Schedule (or work plan)

The Logical Framework for a project describes often quite broadly, what activities are to be undertaken. After the logframe matrix has been completed, usually

during the formulation phase, further planning can take place to add operational detail to the plan.

An activity schedule is a method of presenting the activities of a project, which identifies their logical sequence and any dependencies that exist between them, and provides a basis for allocating management responsibility for completing each activity. With the activity schedule prepared, further specification of means and scheduling costs can start. Both activity and resource schedules ought to be drafted during the feasibility study. Detailed information about net recurrent cost implications of the project may then lead to reformulation of the scope and ambition of the project.

The overall activity schedule (sometimes also called “implementation – or work - schedule”) is updated and detailed activity and resource schedules are to be prepared during the first months of project implementation (inception phase).