ARC resource pack

Study material

Foundation module 3

Programme design

Contents

Training material for this module

Exercises and handouts are also listed at the end of each section.

When referred to in the text, exercises and handouts are always from the list of training material at the end of the section where the reference appears, unless the reference specifically points to other sections.

This module is one of the following series of **ARC resource pack** modules.

Foundation modules

1 Understanding childhoods

2 Child rights-based approaches

3 Programme design

4 Participation and inclusion

5 Advocacy

6 Community mobilisation

7 Psychosocial support

Critical issue modules

1 Abuse and exploitation

2 Education

3 Children with disabilities

4 Sexual and reproductive health

5 Landmine awareness

6 Separated children

7 Children associated with armed forces or armed groups

The following documents are also included in the ARC resource pack CD-ROM to ensure you can make the most of these modules.

● User guide
  An introduction to the ARC resource pack and the relationships between modules.

● Training manual
  Advice and ideas for training with ARC resource pack materials.

● Facilitator's toolkit
  General guidance on how to be an effective facilitator, with step-by-step introductions to a wide range of training methods.

● Definitions of terms

● Acronyms

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Introduction

This module provides practical information, guidelines and participatory tools for taking rights-based approaches to programme planning and implementation. Guidance is provided through the course of the programme cycle, from the first steps of raising awareness and understanding of human and child rights principles, through to the monitoring and evaluation phase.

A rights-based approach to programme design is primarily a way of looking at and responding to situations of emergency and displacement that instils discipline and rigour on planning and intervention strategies. As such, rights-based concepts and principles are easily incorporated into traditional **programme cycle** frameworks.

Section 1 **Understand childhoods and child protection issues** Highlights the importance of understanding childhood and the diverse needs experienced by children at different stages of their development, including information on the factors influencing how childhood is viewed in different contexts, children's development and evolving capacities and the impact that emergencies may have on children.

Section 2 **Know the law and child rights** Describes the importance of achieving awareness of the framework of normative standards and principles of human rights and provides participants with a picture of the goal to which society aspires for children and a sense of the legitimacy of these targets in the international community.

Section 3 **Child rights situation analysis** Provides guidance on assessment methodologies appropriate to humanitarian settings and analysis tools that can explore the nature of violations of rights.

Section 4 **Planning and implementation** Enables agencies to consider how to ensure that they contribute effectively to the process of working towards high level sustainable goals (children's enjoyment of their rights) and assists agencies to consider their implementation strategies, informed by the consideration of programme choices from the previous step.

Section 5 **Monitoring and evaluating efforts to achieve change** Demonstrates how M&E can effectively be linked to high level goals and how to track progress both at programme levels and in working towards achieving change on a more global scale.

The five topics in each **Critical issue** module (listed below) relate directly to the five sections in this module.

- ● **Topic 1** The issue for children
- ● **Topic 2** The law and child rights
- ● **Topic 3** Assessment and situation analysis
- ● **Topic 4** Planning and implementation
- ● **Topic 5** Monitoring, evaluation and learning

For key characteristics and principles of a child rights-based approach, see **Foundation module 2** Child rights-based approaches.

Definitions of terms

- **Child rights programming** A framework for the analysis, planning, implementation, monitoring and evaluation of all relief and development work with children. It brings together in one unifying framework a range of ideas, concepts and experiences related to the protection and promotion of children's rights in development and humanitarian work. It is primarily based on the principles and standards of children's human rights but also draws heavily on good practice in many areas of work with children. For example: the study of children's physical, emotional, cognitive and social development. Childhood studies, early childhood education and child psychology, as well as good development practice more generally.

- **Child rights situation analysis (CRSA)** An analysis of the situation of children and their rights. It is used to set out the extent to which children's rights have been realised and to identify the obstacles to fulfilling their rights.

- **Disaggregate** Analyse data according to different groupings to show differences between certain groups (for instance, by gender, age, ethnic group).

- **Evaluation** An assessment at one point in time that can have different purposes, but is based on the assessment of pre-defined objectives, and often undertaken by external researchers in order to ensure independence.

- **Impact assessment** The systematic analysis of the lasting or significant changes, positive or negative, intended or not, in people's lives brought about by a given action or series of actions.

- **Indicators** Objective ways of measuring (indicating) that progress is being achieved. These must relate to the aims and objectives of the project.

- **Monitoring** The systematic and continuous collecting and analysing of information about the progress of a project or programme over time.

- **Programme** A collection of projects that are intended to contribute to the achievement of a common goal, supported by an agency within the same sector, theme or geographical area.

Introducing child rights-based programming

Most emergency response efforts, whether national or international, are designed at the outset to react quickly to the effects of rapid-onset crises, such as the sudden loss of homes or livelihoods. Many relief organisations continue to operate on the basis that emergencies are a temporary crisis, and thus only short-term relief is needed.

As a result, some emergency operations can be characterised by weak analysis, late intervention and early withdrawal, by lack of awareness of local resources and support for local coping mechanisms, and by failure to recognise the potential damage to the local economy, environment and social relations caused by large scale relief aid. In this way, humanitarian assistance can become part of the longer-term problem.

Additionally, the very diverse needs experienced by girls and boys at different stages of their development are often not considered in the planning of relief interventions. Too many interventions focus solely on the survival needs of younger children, and fail

to go on to address issues such as the need for play and education or the vulnerability of older children to HIV and AIDS.

Practical experience has taught humanitarian organisations that in order to be able to respond more effectively to the expressed needs of the community, and particularly children and young people, they need to involve these groups in the processes of gathering information and assessing situations. Initial assessments should take place as soon as possible. Thereafter, organisations should be continually working with local structures, communities and civil society organisations to develop and refine their understanding of the situation in which they are working, as the needs and priorities of the communities change through the different phases of the emergency. Furthermore, collection of data must be followed by a programmatic response; data collection for the sake of data is unacceptable. There are ethical problems that can result from data collection that must be taken into consideration.

In an environment where large numbers of humanitarian organisations may be operating with different agendas, policies and priorities, there should be effective mechanisms for sharing and communicating information gathered; and for planning interventions in a coordinated and complementary manner.

Why apply a rights-based approach to programme planning?

Bearing these thoughts in mind, it is essential that agencies develop rigorous systems for designing and implementing interventions in the field. As stated in **Foundation module 2** Child rights-based approaches the added value of applying a rights-based approach to programme planning and development stems from the fact that it links issues faced by children to the international human rights system.

- It focuses attention on the most marginalised and disenfranchised children.

- It encourages organisations to focus their interventions not only on immediate problems (as is often the case in humanitarian interventions), but also to understand and deal with the underlying and root causes of children's non-enjoyment of right.

- It frames these problems as challenges faced by duty bearers in meeting their responsibilities and by rights holders in exercising their rights. As a result, programme responses and interventions are seen as contributions to improving the functioning of the relationship between rights holders and duty bearers.

- It forces organisations to be strategic about the point of intervention and it encourages them to seek and work within alliances, partnerships, and networks at community, district, regional and national levels.

- It ensures that processes of planning and implementation are both empowering and inclusive.

However long or short the humanitarian intervention, these characteristics should always apply. Rights-based programme design is primarily a way of looking at and responding to situations of emergency and displacement that forces discipline and rigour on planning and intervention strategies.

What is involved? A programme cycle framework

Rights-based concepts and principles are easily incorporated into traditional **programme cycle** frameworks. Each organisation has its own in-house version.

Staff and personnel should ensure that the frameworks they use are adapted to incorporate a rights dimension. The diagram below and the steps that are included in this module are a useful way to structure training sessions on Critical issue modules using a programme cycle framework. The following diagram illustrates what this might look like:
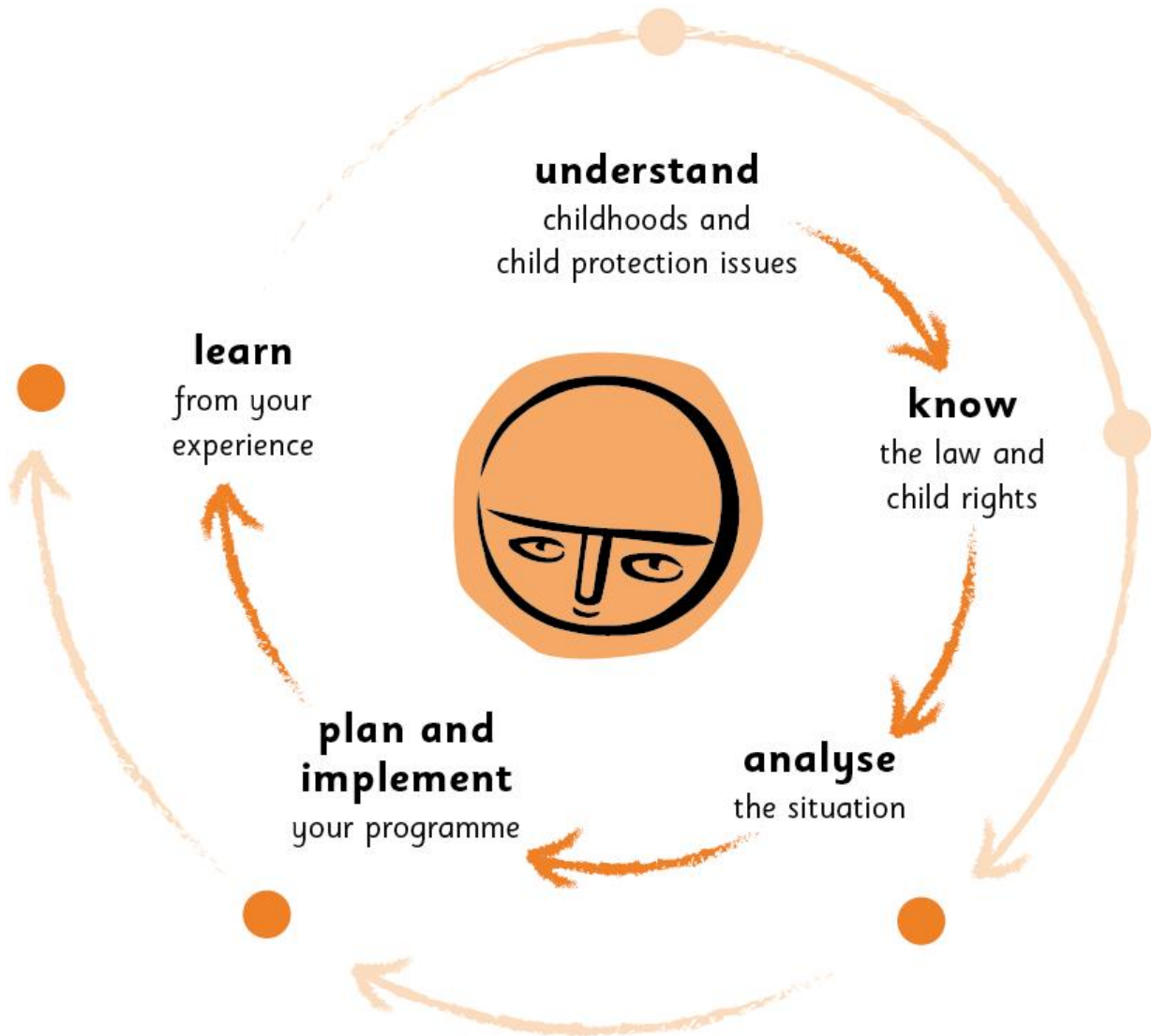
Adapted from *Getting it right for children: a practitioners' guide to child rights programming* Save the Children, 2007.

The components of this cycle can be summarised as:

Step 1 Understand childhoods and child protection issues ARC's rights-based programme cycle starts with a solid understanding of childhood, children's development and the impact that emergencies have on them. This core section is covered in **Foundation module 1** Understanding childhoods.

Step 2 Know the law and child rights Is a key component in achieving awareness of the framework of normative standards and principles of human rights. Awareness of these provides participants with a picture of the goal to which society aspires for children and a sense of the legitimacy of these targets in the international community. This is a core underpinning to the rest of the activities of the cycle as it engenders a justification and an authority to act in what can be challenging circumstances. These are discussed in more detail in **Foundation module 2** Child rights-based approaches. In some instances, where these principles and standards are new, it may require a day, or possibly more, for a group of people to resolve challenges. In other instances core thinking may already be established, but detail on standards and specifics of the particular issue may be needed.

Step 3 Analyse the situation The ARC resource pack provides guidance on assessment methodologies appropriate to humanitarian settings and analysis tools that can explore the nature of violations of rights. A rights-based approach pushes interventions not just to deal with symptoms, but to attempt to address underlying and root causes that result in children not enjoying their rights. Developing proficiency in the use of these tools can assist staff in better understanding problems and designing and negotiating solutions.

Step 3 Plan and implement your programme A rights-based approach demands that, when planning interventions, agencies consider and work towards high level sustainable goals (children's enjoyment of their rights). Decisions as to which intervention strategies to prioritise are guided by a number of considerations. This step enables agencies to consider how to ensure that they contribute effectively to this process. The ARC resource pack contains both methodological modules that can assist in developing skills in a programme methodology, ie. child participation and inclusion, advocacy, community mobilisation, and also specific Critical issue modules that share current best rights-based practice on interventions that can make a difference.

Step 5 Monitoring, evaluation and learning In a rights-based approach, work should be explicitly linked to the achievement of higher-level goals (children's enjoyment of their rights). This step demonstrates how M&E can effectively be linked to these goals and how to track progress both at programme levels and in working towards achieving change on a more global scale.

Section 1
Understand childhoods and child protection issues

This section relates to **Topic 1** The issue for children in the Critical issue modules.

Key learning points

● The starting point for any intervention is an understanding of childhood and the diverse needs experienced by children at different stages of their development.

● Emergencies expose children to risks that may threaten their development.

● The notion of individual and community resilience, and the aim of strengthening protective and risk factors provide a basis for programming.

The ARC programme cycle highlights an understanding of children and childhood as the first step of the cycle. Each Critical issue module begins with a topic that covers how children are affected by that particular child protection issue. Additionally, the **Foundation module 1** Understanding childhoods provides information on the factors influencing how childhood is viewed in different contexts, children's development and evolving capacities and the impact that emergencies may have on children. The module also contains strategies for programming for resilience. This background is important to have prior to undertaking a situation analysis and implementing programming.

Childhood is neither timeless nor universal: it is not determined only by age, or by biological and psychological factors. Rather childhood is understood by reference to particular cultural and social contexts and to particular periods in history. Similarly, factors such as social roles, gender, marital status and the capacity to contribute economically may be more important than chronological age in shaping expectations of children. In some contexts, being a boy, or a girl, may be more significant than the fact of being a child. Different societies have contrasting ideas about both children's vulnerabilities and their capacities, about how they best learn, about what is good for them and what is bad for them. In beginning to think about and plan interventions, it is important to take these ideas into consideration.

Children living in emergency situations risk experiencing a number of threats to their development and wellbeing. These typically involve intense fear, witnessing and perhaps experiencing brutal violence at close quarters, witnessing the destruction of property (possibly including their own homes) and the necessity of fleeing in panic. Children living in a situation of prolonged conflict may have to face the constant anxiety of fighting or bombing intruding into their lives, coping with the presence of landmines or unexploded ordnance. Many of these experiences can have both immediate and longer-term effects on children's development and wellbeing.

Programming that focuses on resilience is one way of addressing threats to children's development. Resilience in children is a product of personal characteristics, the family environment and the availability of other forms of social support outside of the family, and the interaction between these factors. A focus on the child's resilience has the advantage of directing attention to strengths rather than weaknesses; it underlines the need to identify and strengthen existing support networks within the community; and it directs attention to those children and families whose assets and resources may

need strengthening, as well as to those who may continue to be especially vulnerable even when these resources are in place.

Training material for this section

Exercise 1   Powerwalk

Handout 1   Powerwalk identities

Section 2
Know the law and child rights

This section relates to **Topic 2** The law and child rights in the Critical issue modules.

Key learning points

● The goals of child rights-based programming are set by the standards and principles found in human rights instruments.

● An understanding of children's rights is a key step prior to planning programme interventions.

In human rights based approaches, programming is organised to a set of international standards and principles codified in human rights instruments. Human rights have been established for children to facilitate their passage through childhood and to enable them to survive and develop to their full potential. Children's rights are highly legitimised: at the time of writing there are 193 states parties to the UN Convention of the rights of the child (CRC), creating a powerful imperative for change for children.

The ARC programme cycle starts with goals set by human rights commitments. In the case of children and their rights, these standards are based on the understanding of what is necessary for a child to have input into their childhood experience. The CRC was drafted over the period of 1979 to 1989. In the past two decades the world has changed, and the rights framework for children has developed alongside it. Two Optional protocols to the CRC, one on the Involvement of children in armed conflict and another on the Sale of children, child prostitution and child pornography, have taken the rights framework further to respond to emerging issues insufficiently anticipated in the initial drafting. The recent Convention on the rights of persons with disabilities further elaborates standards and principles for children with disabilities. Other national and international laws, conventions, legal frameworks, declarations and guidelines have been created to protect children's rights and are being continually developed.

Pre-programming preparation

Before entering into the operational steps of the programme cycle, ARC modules provide material to familiarise humanitarian workers with two bodies of knowledge on standards and principles. In **Foundation module 1** Understanding childhoods and **Topic 1** in each of the Critical issue modules, core aspects of childhood and the importance of dealing with the issue are explained. In **Foundation module 2** Child rights-based approaches and **Topic 2** in Critical issue modules, material is provided to understand the rights framework and to explore the rights holder and duty bearer environment that will be the conceptual framework for the programme cycle steps that follow.

In preparation for any training event or workshop, it will be useful to ensure that this core knowledge is in place. In many instances, staff will already have these insights and a reminder may be necessary. In other instances, time will be needed to ensure understanding of these core concepts as a critical first step that provides the basis for programming. **Foundation module 1** Understanding childhoods and **Foundation module 2** Child rights-based approaches provide material that can be drawn on.

Section 3
Child rights situation analysis

This section relates to **Topic 3** Assessment and situation analysis in the Critical issue modules.

Key learning points

● A child rights situation analysis (CRSA) is an essential component in the process of programme design. It has two main components:

  ● **Assessment** What is the problem?

  ● **Analysis** Why the problem?

● Both components of a CRSA should always be the standard for which to aim, but this takes time and resources which may not be immediately available. In emergency situations, therefore, initial decisions must be taken as to what level of assessment is in children's best interests.

● CRSAs are interventions in themselves as they directly affect the lives of the people concerned. It is therefore necessary to reflect on the potentially negative impacts that assessments may have on individual or groups of children and discuss how to avoid or minimise them. Field-workers should be guided by principles set out in this section.

A CRSA uses the normative framework of the principles established in the articles of the CRC and other related human rights instruments as its point of reference for standards to achieve, and methodologies to use. A CRSA includes both assessment and analysis.

This section and the sections that follow provide guidance and tools for carrying out rights-based assessments and analyses in general. They are designed to be used alongside **Topic 3** in the Critical issue modules, which provide more information and guidance on specific issues or topics, such as separated children, education, sexual and reproductive health.

What is a CRSA?

A CRSA is an essential component in the process of programme design. It is conducted on some level throughout various strategic stages of an emergency. For example:

● at the onset of an emergency

● toward the end of the emergency phase

● when large-scale repatriation is being considered

● when there are major programme changes, for example, an influx of refugees

● when it becomes clear that refugees or internally displaced persons (IDPs) are likely to spend an extended period of time in a camp.

The following table indicates the main components of a CRSA. These are divided into two main parts:

● **Assessment** What is the problem?

● **Analysis** Why the problem?

Assessment: **What?**	Which children are not enjoying which rights? Are there differences between different groups of children? Are there groups of children who are being left out? What are the trends? Getting worse, improving, staying the same? Who are the key stakeholders, what are they doing, what is their capacity? Who is available to improve the situation? What are they already doing?
Analysis: **Why?**	What is the reason for the non-enjoyment of rights? What are the immediate and root causes of the issues children face? In relation to the problems faced by children and the rights that are involved: What is the situation of duty bearers? Are they aware of the rights of children, and their own responsibilities and duties? Do they have the capacity to meet their responsibilities? Do they have the resources and the authority to act? Do they have personal motivation? What is the situation of rights holders? Are they aware of their rights, and of who has duties and responsibilities to fulfil these rights? Do they have the capacity to affect claims on their rights?

CRSA in the humanitarian environment

Although both components of a CRSA should always be the standard to aim for, considering all of children's rights takes time and resources. Equally, in an emergency situation some or all of the following characteristics may be present.

- Humanitarian programmes frequently operate under considerable time pressure and in fluid and fast-changing contexts. Programme cycles may be compressed so that initial planning and baseline data gathering are rushed. Humanitarian action can take place within such an extraordinary context that it can be hard to identify usual reference points.

- There is frequently high staff turnover, which makes continuity or consolidation difficult.

- Although international and national law still applies and should be upheld, humanitarian programmes often operate in areas where normal accountability mechanisms such as the police, judiciary and press are overwhelmed, ineffective or under-functioning. With their focus on saving lives in extreme situations, humanitarian programmes are often accorded a high profile by the media and politicians. Pressure to respond to this can affect the way in which programmes are planned and implemented.

- Humanitarian operations may involve a multiplicity of agencies. This multiplicity is often characterised by a high degree of interdependency, where one agency's performance relies significantly on the performance of others (for funding, supply in

the delivery chain and/or the provision of complementary services). This might create challenges for developing a coordinated process and for agreeing to individual mandates for action.

● Conflicts polarise perspectives so that the same events are often subject to widely differing interpretations, diminishing the space for **objective** assessment.

● The experience of conflict or a natural disaster may traumatise individuals who may be acting as information sources.

● Teams undertaking any work related to humanitarian action experience problems such as insecurity, logistical difficulties, increased risk of illness and fatigue, which will affect the way they are able to perform.

(Adapted from ALNAP Annual review 2001, Humanitarian action: learning from evaluation)

In emergency situations, therefore, initial decisions must be taken as to what level of assessment is in children's best interests. Are there particular risks to which children are exposed that have to be dealt with urgently? Or is there time to invest in more detailed and holistic analysis? Whatever the answer, the best possible responses to an emergency, no matter the length, would include:

● a rapid and holistic assessment and analysis that feeds into collaborative ventures where State and non-State actors each have appropriate roles to play

● an understanding and accommodation of the inter-relationship of all actors

● the prioritisation of major problems

● a long-term perspective, which would mean that interventions were designed with sustainable outcomes.

Excellent guidance and tools for such assessments are provided in the Interagency First Phase Child Protection Assessment Resource Kit, included as **Handout 8**.

Ways of working

CRSAs are interventions in themselves as they directly affect the lives of the people concerned. It is therefore necessary to reflect on the potentially negative impacts that assessments may have on individual or groups of children and communities and find ways to avoid or minimise them. Ethical practice often requires finding a balance among several different sets of demands, and this is particularly challenging in emergency conditions. There are no easy answers.

Teams undertaking CRSAs in emergencies or other humanitarian settings often deal with people in difficult situations and with children who may have suffered brutality or indignity. They may be working with sensitive issues and people who may be traumatised or vulnerable. In preparing for assessments, ground rules about how to behave ethically in these situations must be set and respected.

In addition to the principles that should guide all aspects of programme planning (outlined in the previous section), field-workers should be familiar with, and abide by, the standards and behaviours described below:

The Humanitarian charter and minimum standards
Based on the principles and provisions of international humanitarian law, international human rights law, refugee law, and the code of conduct for the International Red

Cross and Red Crescent Movement and NGOs in disaster relief, the Humanitarian charter describes the core principles that govern humanitarian action and asserts the right of populations to protection and assistance. It defines the legal responsibilities of States and parties to guarantee the right to assistance and protection. When States are unable to respond, they are obliged to allow the intervention of humanitarian organisations. Both the Humanitarian charter and the code of conduct are included as handouts to this module.

The Sphere standards outline accepted minimum standards in several sectors applicable in disaster response. Sphere is three things:

1 A handbook

2 A broad process of collaboration

3 An expression of commitment to quality and accountability

More information, including the Sphere Project handbook which includes the minimum standards, can be found on the Sphere website: http://www.sphereproject.org/

The do-no-harm principle
This principle states clearly what it aims to do. In seeking to respect it, assessment teams must:

● Have a clear purpose of the assessment which they can share with children and others to avoid confusion and possible misrepresentation.

● Have a deep sensitivity on the issues that may be raised and how to interact with children in distress.

● Ensure that their interventions neither stigmatise or endanger children in any way, nor increase family separation (this should include an understanding of when to approach children or their families for individual interviews and when it is too dangerous or harmful).

● Ensure that cultural norms are respected and taken into account, especially in relation to gender and behaviour of assessors.

● Commit to probing only into issues on which they can bring about or influence change.

● Make certain that children are not repeatedly interviewed about their experiences.

● Establish a protocol for immediate action on urgent protection concerns (this is particularly important for interagency initiatives, as some agencies have internal reporting mechanisms and some do not).

● Ensure that a system is in place to follow-up on the immediate action that was taken.

Preparing for a CRSA: practical considerations

As stated previously, assessment assists in understanding which rights are being violated, not enjoyed, and by whom. Analysis assists in finding out more about why this is the case and to identify ways to improve the situation. In a rights-based approach, analysis tools are used which explore the functioning of the relationship between the rights holder and the duty bearer. With this information, decisions about implementation strategies can be made more effectively. This section provides guidance on setting up teams and processes to carry out a CRSA, and proposes ways of involving children in these processes.

Planning assessments and analyses

No two CRSAs look the same. They contain different information, and are likely to be expressed in a range of languages and approaches to contribute to the needs of decision makers. However, they require similar preparation and should be guided by the same core sets of questions. Preparation activities contain the following components.

Terms of reference

The first step is to define the purpose of the assessment and analysis to inform what information should be gathered, from whom, and by whom. The objectives are likely to be drawn up in answer to the following questions.

- What rights are being violated, and which are the most urgent child protection issues?

- What is the timeframe: short term, medium and/or long term?

- Whose views and experience would be relevant?

- Who could benefit from the process of being involved in analysing problems and working out solutions?

- Who has the right to be involved? For example:

  - CRC Article 12 Children have the right to have their views taken into consideration in decisions that have an impact on their lives.

  - CRC Article 5 Parents have the responsibility to guide their children in the exercise of their rights and bear the primary responsibility for their children's best interests.

- What immediate decisions does the situation analysis need to inform?

- Who is making decisions about the way forward? What level of analysis or detail do they need?

- Who is expected to act on those decisions?

- Whose active support is essential for the success of the agreed programme of action?

The terms of reference should be drawn up in consultation with children and the community.

A risk assessment

Situation analyses in unstable or emergency situations, especially those which focus on protecting children, can inadvertently put children and the affected communities at increased risk. The assessment team too may find itself at risk of violence or harm. Thus, it is important that a risk assessment is carried out before starting the CRSA.

The team composition

Those affected by the emergency, including children, have a right to influence the design of humanitarian interventions. The assessment team therefore should provide for this by ensuring that they have the capacity to work with and include key members of the community. Wherever possible, it is also wise to include interdisciplinary and interagency representation. This encourages more holistic thinking, ensures that gaps are covered and reduces the number of times that populations who have suffered traumatic experiences are interviewed.

The inclusion of local authorities in the assessment team may facilitate access to areas, information, and national and international decision makers, but in situations

where security is tense and there is limited trust of governmental intentions, their inclusion may act as an obstacle to information and impede analysis. All members of this team should be aware of and able to abide by relevant child protection policies and codes of conduct.

(See *Setting the standard* Tearfund and the National Society for the Prevention of Cruelty to Children, 2003)

Make use of existing assessments and knowledge
In emergencies, too often the same members of the community are repeatedly asked sensitive questions by numerous organisations. In order to avoid such unnecessary intrusion and duplication of work, start by collating information available from existing sources, such as previous assessments, interviews with those who have conducted assessments and organisations already active in the field, and through attending coordinating meetings. Coordinate assessment work between relevant UN agencies, NGOs and government bodies, and try to involve other agencies who want to undertake child protection assessments in a joint assessment.

Plan the information collection process carefully
Be transparent about information collection and establish criteria for site and key informant and/or interviewee selection. This reduces tensions with national and local authorities.

Data protection guidelines
It is essential to pay a high level of attention to the protection of any data gathered in the field. Many organisations have their own guidelines, which usually include the following.

- Keep named records separate from all detailed records coded with a study number.

- Substitute numerical codes to encrypt identifiable data.

- Remove any pages which contain identifiable personal information (eg. address, birth date).

- Record information from group discussions without identifying individual participants.

- Ensure all team members, including drivers and translators, understand confidentiality.

- On a daily basis, ensure papers are stored in locked cabinets and that there is password protection for computerised documents.

- Limit access to identifiable data to key staff.

- Written field notes should be destroyed if they have been typed up.

- Dispose of records and notes in a way that they cannot be found, ie. shred, burn or send them out of the country if deemed that they would be useful in the future.

- Witnesses and survivors of violations should not be taped or photographed in principle.

- Establish clear guidelines about how the final information will be shared with those involved, such as agencies participating in the assessment and other interested parties, including informants.

Be aware of the sensitivity of the subject matter
There are a number of issues to consider regarding the nature of the questions that are asked, the way in which they are asked and the way that they are recorded.

Respect the dignity and self worth of individuals

This involves continually ensuring that methods of inclusion and communication are adequately responding to the situation on the ground. It includes the understanding of local strengths and capacities to cope; sharing information; ensuring that the diversity and capacities of children themselves are represented; and actively seeking out the participation of women and children.

Prioritise security and confidentiality

This involves the protection of sources and identities where necessary; consideration of the potential threat to people who are seen to be talking to strangers; careful selection of translators; the clear understanding of and sensitivity to local power dynamics; and ensuring the safety of the assessment team.

Provide follow-up

The assessment is a tool and not an end in itself. Its completion must not delay urgent action. For example, the implementation of sexual violence projects can provide a safe means for survivors to come forward and hence create a continuous source of new assessment information, leading to a more comprehensive picture of sexual violence needs. Asking people to report on the incidence of sexual violence and other child protection problems in the absence of services is unethical; there is potential for further harm: physical, moral and psychological.

Assessments must be continuously updated

An initial assessment or situation analysis leads into later assessments and monitoring of rights abuses, as well as the effectiveness of programmes. It is a continual process of gathering, reviewing information, and assessing how to respond.

Complementarity between agencies

It is essential for effective planning that agencies have a **current** overview of all protection and assistance activities that are taking place with and for the affected communities. This means that each organisation or agency's assessments should be informed by an understanding of what others are doing and not doing to protect and fulfil the rights of the children in the community.

Support for staff

Those working in emergencies feel the stresses of the situation, especially as they are seeking to understand and analyse violations and protection issues for children. National staff are often affected by circumstances (eg. accessing new areas of destruction, or the brutality of war), by the events themselves (eg. the loss of family members, home or possessions), or may come under pressure resulting from fear and prejudice expressed by those around them. Their own attitudes and resilience may be affected, as may their capacity to function at work. Consideration should be given both to practical and emotional support that they might need in order to be able to function effectively.

Involving children in the process

Make the assessment process participatory where safe to do so.

If safeguards are in place, and it is safe to engage children as informants or participants in assessment or monitoring and evaluation activities, then active planning should be done to include children, women, and other community members. It is important to remember that participation by children and adults should extend, wherever possible, beyond the information gathering phase to include their

involvement in analysis of protection concerns that require immediate attention and in subsequent decision making.

Children's vulnerability assessments improve communities

In Vietnam children have led assessments looking at disaster risks and mitigation. A disaster training project in seven provinces developed preparation and response plans to identify threats and look at means of mitigation. The training programme looked at different disaster risks and especially at how children are affected. Assessments were conducted in communities to identify resources as well as vulnerabilities. Survey members included children and some assessments were led by children. Assessments by children have resulted in improved school roads, clean water and toilets, swimming lessons, ready supplies of lifejackets, safe play areas and public address systems (Chen and Thompstone 2005: 42). In addition, both adults and children felt changed by the process. Children felt more confident, they said, about themselves and their abilities to handle potential disasters. Adults reported greater respect for children's capabilities.

The following list provides some thoughts on involving children in these processes. **Foundation module 4** Participation and inclusion provides further information and exercises to support this information.

Before an emergency
- Prepare staff

  - Train staff in a range of appropriate consultation methods with children.

  - Develop a list of personnel available for and competent in working with children.

- Prepare methods of work

  - Work with children preparing assessment methods and their roles during an emergency.

  - Prepare methods of decision making that include children where appropriate.

  - Prepare methods for planning and implementation that involve children.

During emergency response
- Staffing and agency response

  - Have competent staff available for research, assessment and consultation with children and young people.

  - Consult with children about relief agency work.

  - Learn about local life and issues from children and young people.

  - Incoming agencies in emergencies can learn about local culture and community dynamics from children and young people, and use this as a starting point for engagement, providing a sense of continuity and a future.

  - Use mechanisms such as theatre, art workshops, research workshops, forums and other creative activities for children and young people to identify and raise concerns and issues.

- Include children in assessments and surveys

  - Ensure children are consulted and included throughout in assessments and surveys, including post recovery reconstruction in all forms.

  - Ensure assessments and consultations cover a diversity of children and young people, paying attention to age, gender, ethnicity and disability.

  - Ensure marginalised groups are included, such as migrants and street children.

  - Include children and young people in consultation, decision-making and action in programme responses.

  - Facilitate assessments and surveys led by children and young people.

  - Provide training for children to conduct assessments and surveys.

  - Work in partnership with children and young people and involve their contributions in designing houses, schools, other facilities they use, and the community environment.

- Recognise the value and importance of the process of involving children in assessment

  - Communicating ideas and being listened to is an important part of the recovery process.

  - Follow-up on problems and issues in partnership with children and young people.

Gathering information for CRSAs

Tools for analysis and assessment are dependent on gathering relevant information. This section considers from where such information can be sourced and what types of information are needed. **Foundation module 4** Participation and inclusion provides guidance and exercises on how to involve children in these processes.

Sources of information

Information is gathered from two principle sources: primary information and secondary information.

Primary information

- Information collected directly from the source using different information gathering techniques

- Primary sources include key informants from the community: parents; children; carers; teachers; health workers; community leaders; government officials or anyone who is or will be affected by the intervention that is being planned

- Provides specific information directly from those involved

- Can be costly and time consuming

- Requires special skills to collect and analyse

Secondary information

- Information which has already been collected, analysed and reported to others

- Includes information found in books, reports, surveys, censuses, databases and maps

- Is a low cost activity and can save time

- Provides only general information

- Does not provide all the information needed to make a situation analysis

An important source of secondary data in terms of analysis of children's rights includes analysing documentation from the CRC. This should capture progress in the realisation of child rights and includes:

- State party reports (outlining the government's official assessment of child rights in the country and their plans to address violations)

- supplementary or alternative reports (produced by NGO coalitions in the country, outlining their views on priority issues)

- records on the proceedings of the meetings between the UN Committee and the government representatives

- concluding observations made by the UN Committee (including their recommendations on priority actions).

Other existing information

- National government publications

- Websites (CRIN; Relief-Web, NGOs)

- Annual reports like World Bank or UN development reports

- Economist intelligence unit country reviews; reports from agencies as appropriate; project reports and records

- Recent or current emergency assessments, and any other available documentation (or verbal briefing) about the place, people or problems. If there is a protection cluster or child protection sub-cluster established, this should be the logical starting point for this type of information.

- Refugee registrations can be used as a source of vital survey information, for example in identifying and quantifying numbers of vulnerable groups of refugees such as separated children, single-parent and child-headed households, people with disabilities.

In reviewing secondary information sources, it is advisable to consider their current validity by asking the following questions.

- **Source** Who is the information from? What is their track record? Known bias?

- **Transparency** Sources, methodology and limitations of data should be noted.

- **Validity** Was there clarity in design methodology?

- **Precision** How certain is data? How far can you generalise?

- **Who is excluded?**

- **Bias among primary sources and data collectors** How was this dealt with?

- **Plausibility** Does it make sense? Does it fit with what is known?

- **Logical causal analysis** Are conclusions supported by the data?

- **Timeliness** Are findings still valid?

Qualitative and quantitative data

Within these two groups, information can be further classified into types.

Quantitative data Commonly numerical and can therefore be counted or measured. The strengths of collecting and using quantitative data are that it allows personnel to compare information; it is easy to standardise, tabulate and analyse; and it is based on measurement and can therefore be seen as **precise**. However collecting quantitative data is likely to produce only part of the picture.

Qualitative data Descriptive, often verbal, and tends to emphasises personal perceptions. The strengths of gathering qualitative data include the fact that it provides insights into **what lies below the surface**; it provides more answers to the **how** and **why** type of questions; it provides answers that have not been anticipated. However, it can be difficult to compare qualitative information from different respondents, and it is often difficult to tabulate and standardise.

Both quantitative and qualitative information have their strengths and weaknesses and using a combination of both when gathering information is advisable.

General guidelines for the collection of information

- Information gathering must be systematic. It should attempt to develop understanding by examining a situation fully and not from a single, personal viewpoint.

- A mixture of quantitative and qualitative information gathering is usually required.

- Avoid making assumptions without carefully checking them out. For example, observing a preponderance of men waiting to be seen at a clinic may not indicate that men's health is better than women's.

- Information can be cross-checked (sometimes referred to as triangulation) by collecting information in different ways, such as by using different tools and techniques and gathering information from different sources.

- By self-consciously identifying possible sources of bias and error, their effects can be minimised.

- Guard against the possibility of informants giving inaccurate information. For example, the fact of an unrelated child having been taken into the family may be concealed because of fears that their ration card might be withheld. Political considerations may also result in people giving false information.

- Making the process of assessment transparent ie. sharing observations, perceptions and understandings with the affected populations helps to avoid the dangers of missing certain key items of information and of misinterpreting the data.

- Certain ethical principles should be upheld. These include:

  - obtaining parental or family consent before interviewing children

  - preserving confidentiality of personal or sensitive information

  - taking care not to raise people's expectations unrealistically that assessment will result in particular benefits to them.

Involving children in gathering and analysing information

Foundation module 4 Participation and inclusion provides invaluable guidance in enabling children of different ages and abilities to identify and analyse violations of risks and rights affecting them in their local communities during or following the onset of emergencies. See *Description of participatory tools* table in **Foundation module 4** Participation and inclusion, **Section 5** for a guide to exercises that can be used in order to better understand how to implement these techniques.

Information that is gathered with, by or from children must be disaggregated according to issues of difference to identify the distinct experiences, views, suggestions and priorities of different groups, ages and gender of children.

Tools for analysing the rights environment

In a rights-based approach, it is important to use analysis tools that can explore the functioning of the relationship between the rights holder and the duty bearer, and which produce information that can contribute to how this can be improved. For this purpose, there are a number of tools, some of which may be familiar, others of which are more recent and focus more specifically on the functioning of a right.

This section introduces three newer tools which enable personnel to develop analyses which focus on the rights environment in humanitarian and/or settled situations. It concludes with a single tool which merges elements of the first three, and which may prove to be more practically applicable in humanitarian situations. These tools are meant to be used as part of a sequence. The sequence of exercises used in a Programme design workshop would go:

1 Powerwalk (**Section 1, Exercise 1**)

2 Causal analysis (this section, **Exercise 1**)

3 Responsibility mapping (this section, **Exercise 2**)

4 Capacity gap analysis (this section, **Exercise 3**)

and then into **Section 4** Planning and implementation *Programme choices* and *Implementation strategies.*

In preparation for this sequence it is necessary to agree issues for children that would be the focus of the series of analyses and programming exercises. This can be done as a generic exercise (learning how the tools work) or as a Critical issue based exercise, in which case participants will use the relevant Critical issue module as a source of additional information for analysis and guidance on intervention good practice. The Arcodia case study (**Handout 3**) can also be used and has been developed to minimise the risk that training participants will argue over the details of case study environments, or get bogged down in details from real situations. This is especially relevant when participants are practising the use of assessment and analysis tools.

Tool 1 **Understanding the causality of a problem**

Causal analysis, also known as problem tree analysis, or **but why** analysis provides a means of structuring the understanding of the causes of a problem that's been identified. It provides a means to distinguish between the immediately obvious causes, and those underlying and **root** reasons why the problem is experienced. It is the identification of underlying and root causes that add value to a rights-based approach,

as this provides information that can help guide programme interventions that have a better possibility of long-term impact, rather than just dealing superficially with symptoms that will re-occur once the initiative is complete.

As a general rule:

- Immediate causes determine the current status of the problem.

- Underlying causes are often the consequence of policies, laws and availability of resources. They may reveal related complex issues and require interventions that take significant time in obtaining results (at least five years).

- Root or structural causes reveal conditions that require long-term interventions in order to change societal attitudes and behaviour at different levels, including those at the family, community and higher decision-making level.
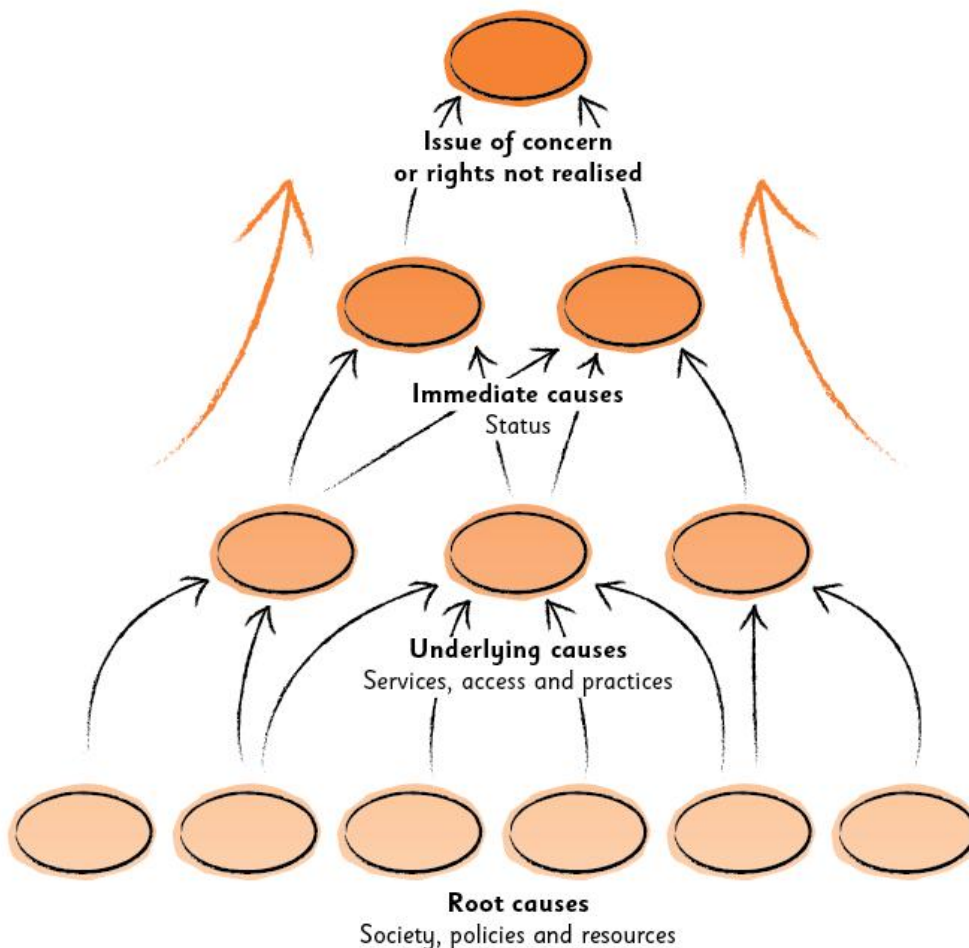
Practical considerations

Causal analysis can be considerably assisted by the use of conceptual frameworks developed for particular issues. These provide structure to distinguish not only between immediate, underlying and root causes, but also different types of failure. For example, UNICEF's Conceptual framework for child protection highlights failures of individuals, failures by systems, and failures by society as prompts to organise the causal tree. **Handout 4** accompanying **Exercise 1** illustrates the use of conceptual frameworks, which can also be found in UNICEF's *Programme policy and procedures manual*, 2007:71. (Diagram adapted from UNICEF Rights-based programming slideset (PE04 slide 19)).

Overlapping problems

Commonalities may be present between the underlying and root causes representing more than one problem. For example, a causal analysis of HIV and AIDS suggests that gender discrimination is a fundamental issue. An analysis of the reasons for girls not attending school also finds gender discrimination as an issue. This suggests that gender discrimination is an issue affecting the realisation of several rights.

How and who

A Causal analysis could be undertaken by an individual or small team, but is probably better done as a collective exercise designed not only to identify causality, but to generate ownership in the causes of a problem and the need to work not just on the symptoms but to get at root causes. As such it is a valuable tool in community development (see **Foundation module 6** Community mobilisation). The process of undertaking causal analysis can start with identifying who can best inform the analysis. Causal analysis can be undertaken by separate groups to get different perspectives on causality, and then brought together in a plenary session. An efficient team, with prior experience of undertaking tree analysis will be able to complete one in a shorter time than a larger group, where debate on causes can take time.
See **Exercise 1**.

Tool 2 Mapping responsibilities

Mapping patterns of obligation and responsibility allows the identification of the duty bearers that should be considered, who should take responsibility, and how duty bearers link with each other. The enjoyment of a right is never a simple, bilateral relationship between two individuals. People who have duties and responsibilities (duty bearers) are part of a chain of delivery of the right, starting with the State, with its responsibilities to respect, protect, provide and fulfil, and ending with the child's parents, specifically mentioned in the CRC as jointly having responsibilities for the child. This tool enables a mapping of the linkages between the different duty bearers who were discussed in **Foundation module 2** Child rights-based approaches.

In an emergency situation this tool may identify that a duty bearer critical to the enjoyment of a right is absent, overwhelmed, or completely unable to fulfil the role required of them. The absence of this duty bearer may indicate the desirability of a gap filling intervention. Identifying this capacity gap in context is important, as gap filling should as far as possible be done in conjunction with other duty bearers, so that after gap filling is no longer needed, there is capacity for sustainability.

Obligation/claims patterns at different levels
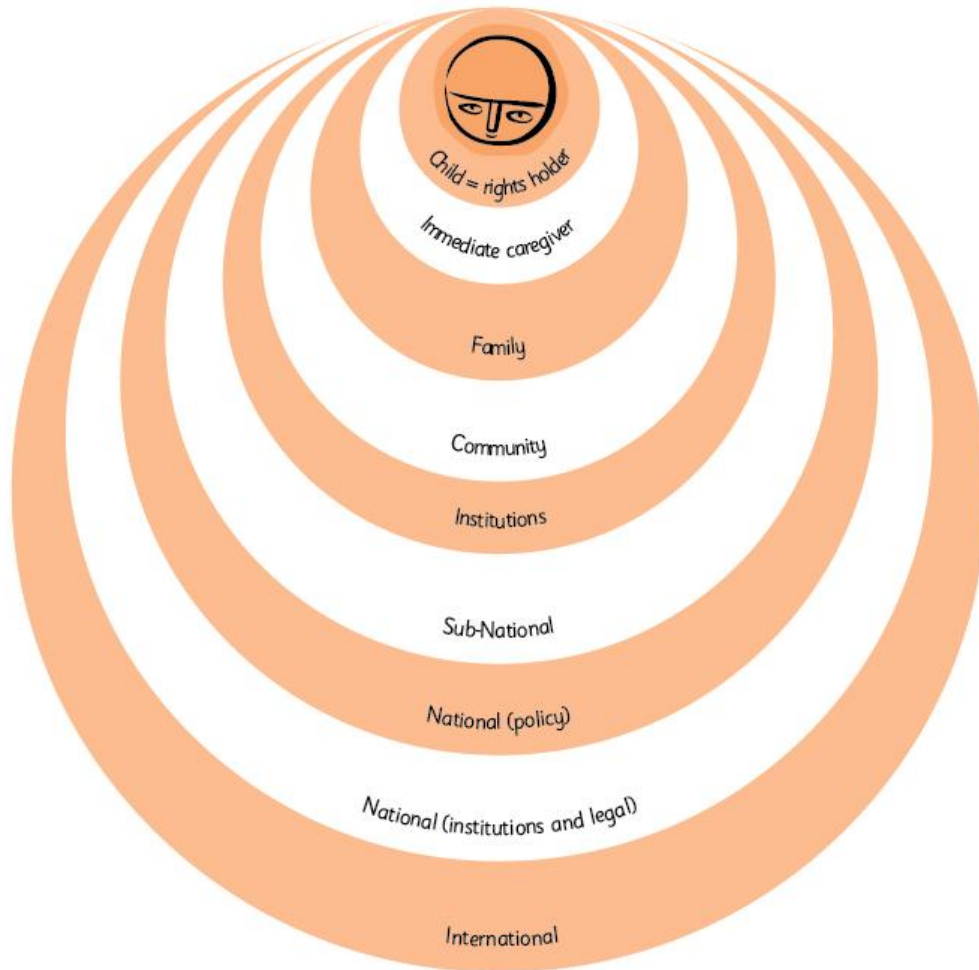
From *The Human rights approach to programming, what have we learnt*
Fabio Sabatini 2002

Practical considerations

Obligation mapping starts with agreement on the rights that are relevant to the issue being discussed. There may be a number of inter-related rights. The CRC's general principles, rights to participate, to be protected from discrimination, to good process and prioritisation of resources will be relevant to all rights.

As with causal analysis, an initial task in mapping patterns of obligation is to identify who best can inform the analysis. Here it is important to make the point that there may be different perspectives by different stakeholders on who should take responsibility for what. These can reflect the differences between customary law, and its associated social norms, and more recent policy that reflects shifts to international human rights standards. In the mapping exercise the picture of what should be in place is the objective. Where there are differences in opinion, this is then an important learning for the next exercise, capacity gap analysis.

Responsibility mapping table

Duty bearers	Rights holders				
	Child has a right to an education Article 28 and Article 29 of the CRC	**Mother** **Father**	**Community**	**Teacher**	**Head teacher**
Child	Child has a responsibility not to bully others	Child has the responsibility to voice concerns to parents if problems		Child has the responsibility to take advantage of lessons	
Mother **Father**	Parents support the child without discrimination		Assist the community to build schools	Parents have duty to engage with parent – teacher meetings	
Community	Community has a responsibility to ensure children enjoy safe environment	Community has a responsibility to support parents, censuring if not sending children		Community supports teacher, holds to account if problems in attendance	Community support school environs
Head teacher		Head teacher makes sure that parents know their input is necessary		Head teacher ensures teachers have appropriate resources and leadership	

Adapted from *Getting it right for children: a practitioners' guide to child rights programming* Save the Children, 2007

A responsibility mapping exercise will aim to show a matrix of duty bearers juxtaposed against rights holders. In relation to children's rights, the rights holder of primary

concern is the child. However, there are also relationships between duty bearers, where one duty bearer requires support from another in order to fulfil their responsibilities. Although this is (in most instances) not a legal responsibility, it is a practical consideration.

Tool 3 Capacity gap analysis

Capacity gap analysis takes an analysis of patterns of obligation a step further, and identifies the obstacles and constraints experienced by duty bearers in meeting the responsibilities associated with the rights involved in the problem or issue being discussed. As such, it is more likely to be used at a later or more settled stage of an emergency. This analysis is essential to inform interventions with duty bearers who are not meeting their responsibilities.

Three types of capacity are relevant to Capacity gap analysis

● The duty bearer has access to, and control over, sufficient resources, which can include financial, human resources, skills and institutional capacity to meet their responsibilities.

   ● **Human** Existence of adequate skills, knowledge, experience, time, commitment, motivation and willpower

   ● **Economic** Land, natural resources, means of production (tools, equipment), technology, income and credit

   ● **Organisational** Existence of institutions and administrative structures

● State and society recognise that the duty bearer has that responsibility and have given the duty bearer the authority to act. That authority may include legal, moral, spiritual or cultural responsibility.

● The duty bearer accepts personal responsibility for fulfilling claims by rights holders.

		Capacity analysis		
Level of duty	**Role analysis**	**Motivation**	**Authority**	**Resources**
As defined in relation to the issue and local situation	Who is supposed to do what to help solve the problem?	Does the duty bearer accept the responsibility? **If not, why not?**	Does the duty bearer have the authority to carry out the role? **If not, who does?**	Does the duty bearer have the knowledge, skills, organisational, and human and material resources? **If not, what's missing?**
Immediate caregiver				
Household				
Community group				
Local govt.				
National govt.				
International				

From *Programme policy and procedures manual* UNICEF, 2007:73
See also *Getting it right* Save the Children Alliance p32

Practical considerations

This analysis tool can build on the earlier mapping of obligations exercise, taking the output of that exercise as its starting point. A group of five or six persons, guided by someone familiar with this tool, can produce an analysis in one to two hours depending on the complexity of the issue. Those undertaking the exercise will probably find that they don't know all of the things that are necessary to complete the analysis or that there may be contradictory understanding by different stakeholders as to whom, or which institution, should take responsibility for what. This in itself is valuable (being clear on responsibilities may constitute a programme intervention itself) and the absence of knowledge is a prompt to further information gathering. The analysis from this tool may be built up over a period of time.

Summary Capacity gap analysis may be a useful tool to assist in planning for information gathering as it can identify information gaps and suggest which groups of people may be useful to consult with.

In exercises and practical group work, the complexity of an example exercise can be reduced by asking participants to focus on a situation that they are familiar with, that is not perhaps part of their work but part of their life. Exploring capacity gaps in relation to the education rights of their own children gets across the applicability of the

tool, and the importance of analysis in a personal framework. Such a tactic can also reinforce the participants' engagement with a rights-based way of exploring issues, as they will likely be able to structure issues that concern them in a rights-based framework.

Handout 7 provides an example of a tool, developed by CARE International, which combines the key features of all these processes into one tool.

The analysis from the three analysis tools above will be used in the exercises in the following sections to inform programme choices and implementation.

Training material for this section

Exercise 1	Causal analysis
Exercise 2	Responsibility mapping
Exercise 3	Capacity gap analysis
Handout 1	The Red Cross and NGO code of conduct
Handout 2	The humanitarian charter
Handout 3	The Arcodia case study
Handout 4	The PESTLES framework
Handout 5	Responsibility mapping table
Handout 6	Capacity gap analysis table
Handout 7	Causal-responsibility analysis
Handout 8	Interagency first phase child protection Assessment resource kit

Section 4
Planning and implementation

This section relates to **Topic 4** Planning and implementation in the Critical issue modules.

Programme choices

Key learning points

- Programme goals must be linked to human rights standards.

- Programming should be seen as a contribution to changes in children's lives. Achievement of actual changes in children's lives will be subject to many factors and potentially involve interrelated rights.

- It is of paramount importance that decisions about implementation strategies are shared and coordinated with other agencies operating in the area.

Goal-based planning

> Programmes of humanitarian and development intervention concerning children should aim to further the realisation of children's human rights as laid down in the CRC and other international human rights instruments

In rights-based programming the project logic is to improve children's lives through achieving the realisation of their rights. Rights established through the CRC provide standards that can be used to set targets, and principles which can be used to guide approach and practice.

Rights-based programming starts with a goal, the realisation of a right. Analysis should identify the obstacles and constraints to realising that right. A mapping of the obstacles can be used to develop a list of outcomes that can be the focus of interventions to improve children's lives. In some organisations this process is called **goal based planning**, in others it is known as **outcome mapping**. It differs from the type of planning that starts with a problem, by starting with the end point to be achieved: the goal.

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1 Identify goal (the realisation of Right X)

2 Reverse mapping of outcomes to achieve the goal

3 Identify interventions to achieve the outcomes

4 Identify stakeholders (including duty bearers) and their responsibilities in relation to interventions

5 Identify priority actions

6 Define the objectives

This work can only be expected to make a contribution to the achievement of a right, and a contribution to an improvement in children's lives. Inevitably there will be many interlinked rights and varied circumstances. It is most likely that a number of streams of work and interventions will be necessary both for improving the enjoyment of rights and achieving changes in children's lives. The example in the box below illustrates how work on different rights can contribute to the achievement of a **higher level** goal, here expressed as children enjoying a childhood free of abuse.

Higher-level goals
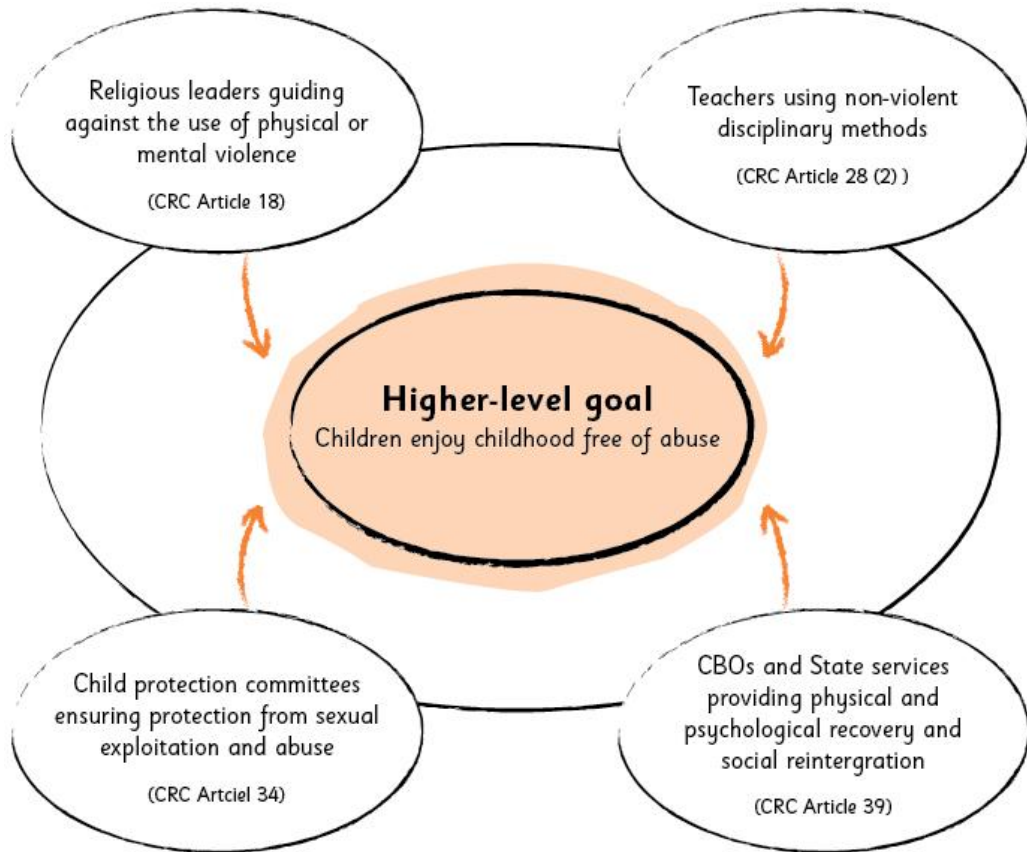
Combining these two concepts, the goal based planning or outcome mapping tool and the idea of multiple interventions contributing to change for children is important to planning and to the choices of where best the work can intervene.

It also assists in programme management, by clarifying the rights-based logic behind the program. There will rarely be a simple, linear relationship between the interventions and the results. Others must be involved, collaboration and partnerships are necessary, and the intervention should accommodate changes in the social, political, and security environments.

A coordinated approach and partnerships

There are potentially several agencies working in the same area at the same time. Each agency has different, and often complementary, strengths. It is critical that

decisions about implementation strategies are shared and coordinated with other agencies operating in the area. In so doing, agencies are more likely to:

- Strengthen communities and their capacity to hold duty bearers to account
- Create a platform for accountability and openness
- Understand the importance of working in partnership to fulfil children's rights
- Have identified a range of potential partners who can work to bring about changes in children's lives (including the State)
- Increase legitimacy (on a long-term basis, children's rights are better secured through national rather than international organisations)
- Improve the sustainability of interventions through developing and supporting local structures
- Increase the potential scale and scope of the interventions
- Encourage mutual learning through cooperative relationships.

Programme choices thus need to be made both in the context of who is best placed to do what, and also in the recognition that there are often inter-related interventions contributing to change for children.

Implementation strategies

Key learning points

- A clear understanding of the historical context and the potential for realising rights should influence programme choices.
- Implementation strategies should address a range of resources constraints, motivation, leadership, the working environment, and systems.
- Three types of strategy are potentially needed to improve the realisation of a right.
  - Filling gaps in provision and direct actions on violations of children's rights.
  - Strengthening the capacity of duty bearers to meet their obligations.
  - Strengthening the understanding and capacity of children, their carers' and civil society to claim rights and to hold each other to account.
- The changes necessary to achieve the realisation of rights frequently require shifts in policy, in prioritisation, in leadership, in social norms. Advocacy may be necessary to achieve progress in some of these areas.
- Child rights monitoring at the international level may be one way to hold duty bearers accountable for children's rights.

A CRSA provides a body of information that can inform decisions as to where best to contribute to improvements in children's lives. These choices depend not only on the situation faced by children, but on the environment of duty bearers, the agency's own positioning, its capacities, its strategic niche and relationships relative to other actors and the likely scenarios. A rights-based approach requires a holistic approach to children's rights.

The capacity of staff to make programming decisions that are in children's best interests is essential in emergency settings. Knowledge of children and childhoods, and of the CRC and other relevant human rights instruments, is a pre-requisite for good decision making and a key component of applying the **best interests** and **survival and development** principles. The materials in the ARC resource pack contribute to the development of this knowledge base, but the child rights capacity of decision makers should be a consideration in establishing responsibility for programme design and a factor to consider in staff development. See **Foundation module 2** Child rights-based approaches for more information.

Intervention strategies

The choice of appropriate intervention strategies is informed by good analysis of the problems experienced by children. Their present situation can be viewed in light of available standards, an understanding of the operating environment and a risk assessment, the resources available and the availability (or not) of key actors. In any programme decision making, there is a need to identify those criteria that are the most critical. What are the critical factors? Which are resolvable? What are the timeframes?

ARC resource pack modules are written for those working in emergency situations, where conflict, disaster and displacement have disrupted the lives of children, their families and those around them who would be responsible for ensuring their rights are fulfilled. A number of factors are relevant to the rights analysis in situations of emergency.

Understanding the historical context and potential for the realisation of rights

The CRC came into force in 1990. In the past 18 years most countries in the world have embarked on processes and investments to improve the realisation of rights. It is critical for field staff to understand what systems and structures were already in place before the emergency, so that they can build on these.

- Has there been a review of policy and legislation?
- Are children and adults aware of their rights?
- Have necessary systems and training been initiated or put into place?
- Is disaggregated data available?
- Are there institutions supportive of children's rights?

(See **Handout 3**)

It is important to see progress in achievement of rights on a continuum, to conceptualise the changes involved beyond the constraints of the term of the emergency.

Emergency or humanitarian and development environments

Development	Emergency	Development

In a normal development environment:
- Many or most countries starting to adjust to children as subjects of rights
- Systems and capacities to realise children's rights in process of development
- Shifts to children as actors in their own right starting to happen

In an emergency or humanitarian setting:
- State capacities and authority compromised
- Family priorities altered, less able to draw on state support
- Increased opportunity to exploit and abuse
- Role of state complemented or taken over by external agents

Returning to a normal development environment:
- Moving on from emergency: use as an opportunity to build back better eg. improved resources, attitudes, commitment to children's rights
- State encouraged and supported to reassume responsibility
- Family priorities align to future situation. Opportunities and challenges

Implementation strategies

Informed by the consideration of programme choices (above), agencies consider their implementation strategies. As stated in the previous section, capacity gap analysis will provide pointers to where duty bearers experience obstacles in meeting their responsibilities. The three different types of capacity gaps suggest different types of interventions, dealing with a range of resource constraints, with motivation, with leadership, working environment, and systems.

Exercise 1 and **Handout 1, Handout 2** and **Handout 3** on implementation choices provide an opportunity for participants to develop a table of potential interventions based on their analysis process.
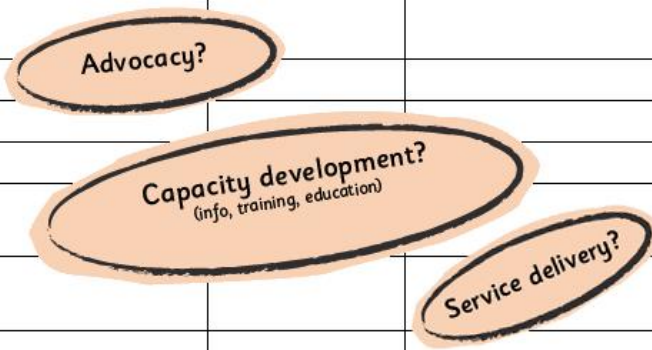
The Capacity gap analysis framework is equally useful to inform thinking about the capacity of rights holders to make claims on their rights. Interventions may be desirable both with rights holders (at the most basic to increase awareness of rights) and with duty bearers for the rights relationship to be functional.

Capacity gap analysis table with intervention options

The causal analysis found that problem(s):

violate(s) the right to:

Duty bearer	Role analysis	Capacity analysis		
As defined in relation to the issue at hand and local situation	Who is supposed to do what to help solve the problem?	Motivation Does the duty bearer accept the responsibility? If not, why not?	Authority Does the duty bearer have the authority to carry out the role? If not, who does?	Resources Does the duty bearer have the knowledge, skills, organisational, human and material resources? If not, what's missing?
Immediate care giver				
Household		Advocacy?		
Community				
Institution				
Local government		Capacity development? (info, training, education)		
National government				Service delivery?
International				

UNICEF Framework from programme policy and procedures manual, 2007

Save the Children's **Three pillars** of child rights programming brings work with duty bearer and work with rights holders together, as a tool to combine the different types of intervention necessary to achieve improvement in the enjoyment of rights.

The Three pillar conceptual framework can be a good prompt for thinking of the inter-relationship between different implementation strategies. It should be stressed that the contents of the three pillars could be shared across a number of agencies as well as being components of a single intervention by one agency.

Pillar 1 Direct actions on violations of children's rights and gaps in provision

In situations of emergency, agencies need to engage in direct actions in order to ensure that children survive and develop. There may be many reasons why this is necessary, but within a rights framework of duty bearers and rights holders it is desirable to be clear on the rationale. It may, for example, be support to a state that is overwhelmed by demands being made following a crisis beyond its capacity eg. the 2006 Tsunami, or where the state's functioning is compromised, for example, in a war setting, or where the state fulfils its obligations by collaborating with an agency to assist in the delivery of the right. Practical considerations include the following.

● Supporting initiatives that meet the standard set by international law and humanitarian standards.

● Using methods and approaches that respect the rights of those with whom they are interacting, both children and adults. Good process is as important as good outcome.

● Supporting initiatives that are likely to form the basis of future relationships between rights holders and duty bearers, and to avoid situations where actions may undermine the eventual realisation of rights eg. by setting up parallel systems to those of the government.

● Supporting the development of expectations in rights holders such that they place demands on duty bearers through their participation in claims and in political processes.

Examples of such activities could include therapeutic feeding for under-fives, counselling for girls experiencing sexual violence, the provision of material to support primary education.
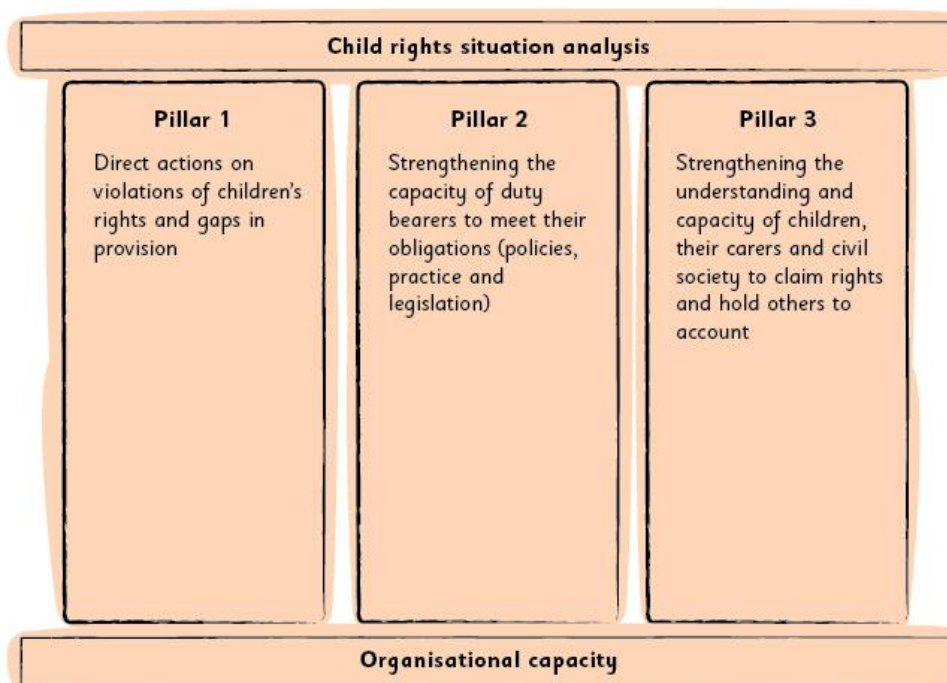
Child rights situation analysis

Pillar 1	Pillar 2	Pillar 3
Direct actions on violations of children's rights and gaps in provision	Strengthening the capacity of duty bearers to meet their obligations (policies, practice and legislation)	Strengthening the understanding and capacity of children, their carers and civil society to claim rights and hold others to account

Organisational capacity

From *Getting it right for children: a practitioners' guide to child rights programming*
Save the Children, 2007

Pillar 2 **Strengthening the capacity of duty bearers to meet their obligations**

A right is enjoyed when duty bearers fulfil duties and responsibilities associated with the right and, as far as possible, this situation can be sustained. Achieving them, not just in the short term, but for future generations, requires more than a one-off injection of resources and inputs. The concept of **capacity** and **capacity gap** in a rights-based approach requires thought on the more inter-personal aspects of a relationship between a rights holder and duty bearer. The sorts of duty bearer capacities that are necessary to achieve the enjoyment of rights can be thought of in three ways, each of which suggests different forms of intervention.

● **Capacity relating to personal motivation** Interventions to increase acceptance of responsibility for the duties associated with this right.

● **Capacity relating to authority to act** Interventions to improve authority to act, through government, culture, religion, or even internal agency policy.

● **Capacity relating to the resources to do what is necessary**

  ● **Human capacity** Adequate skills, knowledge, experience, time, commitment

  ● **Economic capacity** Technology, income, credit

  ● **Organisational capacity** The institutions, administrative structures to both administer and sustain the right for example, through the creation of systems of accountability, and the rule of law.

Pillar 3 **Strengthening capacity of children, their carers', and civil society to claim their rights and to hold each other accountable**

The capacities of rights holders are equally important to the process of achieving the realisation of a right. Capacity starts with knowledge about rights and the means by which they are claimed. This is a responsibility for the State (CRC Article 41 requires states to make the principles and provisions of the CRC known to adults and children) but an activity that often falls to civil society agencies to supplement. The second pillar thus emphasises the responsibilities of the State as main duty bearer, and calls for actions that bring about improvements in legislation, policies and practice, structures, mechanisms and resource allocation.

The third pillar is concerned with strengthening the understanding and capacity of children (as rights holders) and their carers' and civil society to hold duty bearers to account and to claim rights for children. Activities could include supporting networks promoting children's rights (particularly child-led organisations), organisational development of community-based organisations, raising awareness of children's rights, training and mobilisation of the national media, mobilising professional groups, working in international coalitions, and many others.

Activities could include the integration of child protection measures into a poverty reduction strategic plan, budget monitoring with local authorities, the establishment of decision-making mechanisms that involve children, influencing law reform, the creation of a children's ombudsmen, and so on.

Exercise 1 on implementation choices provides an opportunity to work with capacity gap analysis through a case study.

The role of advocacy in advancing children's rights

Advocacy is a key component of a rights-based approach. It will always be needed to provide a voice for children in emergencies, to ensure that responses are appropriate to children's needs and rights, and to ensure that they respect humanitarian principles.

Advocacy complements all of the strategies described above by increasing the breadth and resources of available mechanisms for strengthening humanitarian responses, increasing protection for children and preventing further risks.

Advocacy covers many forms and draws on a range of tools that are covered in depth in **Foundation module 5** Advocacy.

Training material for this section

Exercise 1   Implementation choices and scope of interventions

Handout 1   Questions to consider when deciding how to resolve capacity gaps

Handout 2   Capacity gap analysis table with intervention options

Handout 3   Implementation obligation table

Section 5
Monitoring and evaluating efforts to achieve change

This section relates to **Topic 5** Monitoring, evaluation and learning in the Critical issue modules.

Key learning points

● A rights-based approach to monitoring and evaluation has implications for both **how** monitoring (rights-based monitoring process) and evaluation are undertaken and **what** is monitored and evaluated.

● Monitoring and evaluation should be participatory, culturally appropriate and ethical, and should monitor fulfilment of rights as well as needs.

● For a humanitarian response, any monitoring and evaluation should look at the output and outcome level as a minimum. Monitoring impact is unlikely to be appropriate or practical for a short term emergency response, but should be considered in longer term or chronic situations.

● Successful and useful monitoring and evaluation requires a number of steps to set up a system. These include developing indicators, collecting data, analysing data and using data to improve programming. It is essential to highlight who is responsible for all steps in the process and to ensure that this is well managed.

● Data collected at the intervention level may be used to feed into national level and international level monitoring and reporting.

In a rights-based approach, all work should be explicitly linked to the achievement of higher-level goals (children's enjoyment of their rights). This step demonstrates how M&E can effectively be linked to these goals, and how progress can be tracked, both at project levels and in working towards achieving change on a more global scale.

What is monitoring and evaluation?

The more fragile the situation, the more likely the rights of children and adults are of being violated, left unprotected and unfulfilled (particularly the poor, vulnerable and marginalised). If the aim of project and programme work is to ensure that children's rights are met, planning, monitoring and evaluation are critical and should be included from the beginning of the response. Without ongoing monitoring and evaluation, activities can easily be misdirected and important opportunities missed to make lasting impact in the lives of children.

Monitoring and evaluation is important in:

● Ensuring that project and programme interventions respond to violations in children's rights, as articulated by them ie. that the interventions are relevant

● Allowing a flexible response to the ever-changing situation at hand eg. people move from place to place, other agencies become active in the same area, affected populations are becoming involved in finding solutions as more is learned about what is and what is not relevant and effective

● Anticipating obstacles and problems and resolve them (in collaborative, consultative, and participatory ways) before they become incapacitating

● Providing an opportunity for affected populations, including children, to monitor and relate whether the response is relevant and effective, and whether things are changing which require a response.
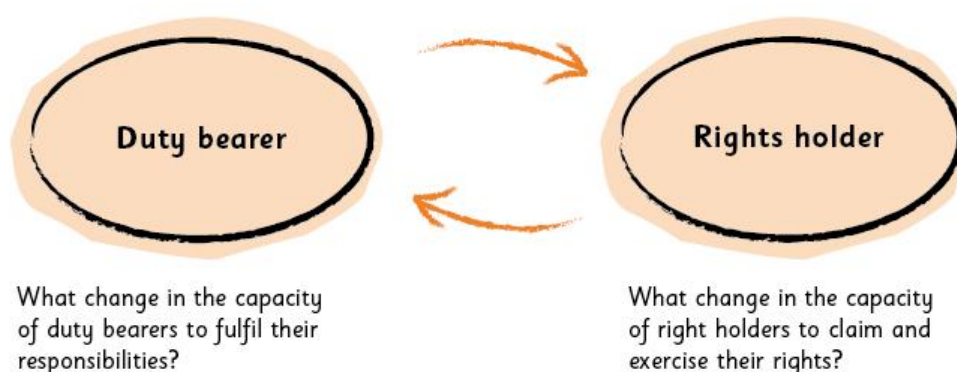
A conceptual framework

Throughout the ARC resource pack the use of a rights-based approach has been stressed. The goal is a situation whereby children enjoy their rights. The work being done should contribute to duty bearers being willing and able to fulfil their obligations to children: those who need to be part of a system of protection will be aware and mobilised, they will have the resources, institutions, skills, and systems to do their jobs and to be called to account when this does not happen.

Different levels and domains (family, community, state institutions) work together in the realisation of a right, and so assessment of the realisation of the right (or rights) in question should not just consider whether the child is enjoying their education, but whether the whole chain of duty bearers delivering on rights obligations functions and can be sustained.

Pragmatically, in some emergency or humanitarian settings, the day when this happens may be distant, as structures and systems to enable children's rights are perhaps in their infancy and badly compromised by the humanitarian environment. In such cases, other external institutions may be filling gaps through, for example, service delivery, until such point that the rights relationship can be properly established. In others, however, the emergency is an event in a much longer term process of change for children's rights and interventions should contribute to this ongoing change, even taking the opportunity to **build back better**.

How well do practices of humanitarian agencies live up to rights obligations in their own operating processes?

Duty bearer

Rights holder

What change in the capacity of duty bearers to fulfil their responsibilities?

What change in the capacity of right holders to claim and exercise their rights?

What change in the support from civil society for changes in children's rights?

Adapted from Joachim Theiss

In humanitarian settings (perhaps more so than in stable, uncompromised environments) there is a need to keep on top of **how** the intervention is being undertaken (process) as well as what is being achieved (change). This applies not only to situations where the state is functioning, but is especially so when an agency is gap filling, as they are effectively acting as a proxy for the state.

When constructing monitoring systems, the diagram above can be a useful prompt as to what to include.

The impact chain and good process in monitoring
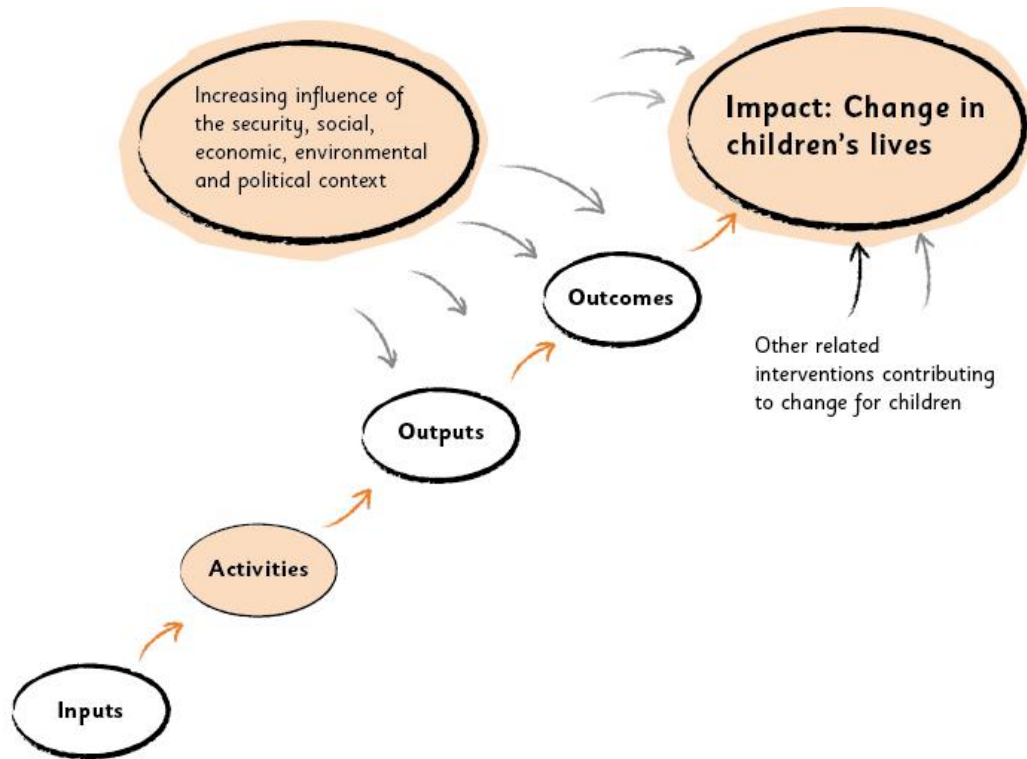
At the beginning of any intervention, little more can be done than to track the inputs that are provided and the activities undertaken. As these inputs are used they produce tangible outputs, for example a trained protection committee, or constructed schools, which can be recorded. As these outputs are then used, they should begin to impact on the lives of those who are supposed to benefit from the resource or service that has been created.

In time, it can be determined what change has been experienced by those children who are the focus of concerns.

This logical progression of an impact chain is important to recognise as it provides the core framework for monitoring. Although the ultimate goal is to gauge the impact an intervention has had in creating change in children's lives, throughout the process practical information is needed that can assist in managing and making adjustments. If the source of inputs disappears, there is a need to know and act. For example, if the intended output, trained village leaders, cannot be achieved because they were all unavailable due to a competing event, it is imperative to make some adjustment to scheduling or to reconsider who should have the training.

Once the pieces are in place, there is an expectation that some changes in children's lives will begin to occur. If thorough analysis and design has been established using good processes, then the level of impact that's achievable should become clear, though there is still uncertainty involved. The project logic may have been impeccable at the time of design, but could need reconsidering in the light of changes in the social, political, economic or security environment. It might be that the methodology chosen favours children in one social group, but excludes another.

There is then a need for a source of information that helps to identify when things are not going as planned and to bring out any false assumptions or unanticipated risks so that actions may be adjusted. The influence of the security, social, economic, environmental and political context will become more significant further up the impact chain. Being able to recognise and then respond to these influences should be facilitated by the monitoring system in place.

There should be consideration for change in one or more of three different domains:

- change at the level of the individual child or adult
- change at the level of civil society and community
- change at the structural level eg. government policies and practice, institutions, mechanisms.

Thus, there may be a need for information that enables monitoring of changes in each of these interlinked domains, and to have the systems in place to adjust what is being worked on if necessary.

The importance of good process

The importance of affected people's participation in the process of identifying, designing, implementing and monitoring of interventions has long been accepted as good practice. In rights-based approaches, good practice must be re-contextualised as a right of those who are impacted upon by an intervention. In both stable and humanitarian settings there is an obligation to ensure a range of process rights, for example to be protected from discrimination, to have views sought in decision making, to information, to association.

The monitoring of good process is different than monitoring change and impact; it is an ongoing check on good practice and an issue of management and accountability.

It is also necessary to monitor:

- the extent to which affected people have actively participated in the interventions (and the broader effects of this)
- the degree to which equity has increased and discrimination decreased through the interventions.

Monitoring processes must be participatory and culturally appropriate

Affected populations, including children, should be involved in monitoring and evaluation. This means working with them to decide what to monitor and evaluate as well as how and when. Affected populations should be key players in assessing, planning, implementing, monitoring and evaluating the response. This makes the response more relevant and accountable, and allows affected populations to have better ownership of the outcomes and to eventually take full control of the situation.

Communities should participate in data collection, data analysis and also using the data, for example, developing future plans and feeding back to others on what has been achieved. This will ensure that information is relevant and useful to them, as well as to the programme more broadly. Affected populations should have the choice as to whether or not they wish to participate in the monitoring and evaluation, but they must be given the opportunity to do so in a meaningful way. Critically, their views on whether the interventions provided are relevant and effective, and on whether they think the agency has acted appropriately and fairly, should be sought, since they are in the best place to decide the success, or otherwise, of the interventions. Involving communities is one way of ensuring the agency is accountable to affected populations.

Foundation module 4 Participation and inclusion and **Foundation module 6** Community mobilisation provide valuable guidance on involving communities and children in these processes.

Ethical monitoring and data collection

Monitoring and evaluations that collect sensitive and personal information must be especially responsive to issues of ethics and informed consent (from parents and children themselves). Often it may be challenging to obtain the informed consent of beneficiaries and evaluation participants, particularly in the case of children whose parents or caregivers may not be available. Nonetheless, real efforts must be made to explain the monitoring and evaluation activities to beneficiaries and to obtain their verbal consent. It is their right to be informed about things that may affect them. Most importantly, participants should understand that whether they agree to take part for example in surveys, interviews of focus groups or discussions, or not, will not have an impact on their continued receipt of programme services.

Children have a right to privacy, and confidentiality must always be observed, especially in regards to collection of information and data. It is important to secure records and files, and clear procedures must be established with regards to information collection, storage and dissemination. Staff, stakeholders, and beneficiaries need to be informed of how information is collected and shared. Children and families have a right to expect and request that their information, including stories of their lives, are kept confidential.

In an emergency response it is often the case that many assessments for different sectors take place at the same time. It is important to minimise the disruption to children and communities caused by data collection and to ensure that participation in the process does not lead to any negative effects for those involved.

Specific examples of output and outcome indicators are provided in **Topic 5** in each of the Critical issue modules.

Collectively these can be expressed in the following table.

Point of measurement	What is measured	Indicators
Impact	**Change** What changed for children and the enjoyment of their rights?	Difference from the original situation
Outcomes	**Effect** What happened?	Use of outputs, and sustained resolution of capacity gaps
Outputs	**Effort** What was done?	Implementation of activities
Process	**Ways of working**	Practice standards
Inputs and activities	**Efficiency**	Records

Setting up a monitoring and evaluation system

There are several key steps to setting up a monitoring and evaluation system.

Monitoring

Step 1 Agreeing on project objectives and activities or method
The strategy for monitoring and evaluation in an emergency should be based on the project response rationale, activities and implementation. Broadly speaking, monitoring and evaluation examines how successful a project has been in achieving what it set out to do for children and communities. The project objectives are thus a very important place to start.

Interventions in humanitarian contexts can be evaluated on three levels:

● the most immediate project **outputs**, based on activities undertaken

● intermediate project **outcomes**

● longer-term **impacts**.

The difference between these terms (defined in the section above) is important to understand. For a humanitarian response, any monitoring and evaluation should look at the output (what was done) and outcome (the result of this) level as a minimum. Specific examples of **output** and **outcome** objectives are provided in **Topic 5** in each of the Critical issue modules.

Assessing impact may not always be practical or appropriate in a humanitarian context and may be beyond the scope and capacity of the intervention and the staff and timeframes involved. Whether or not to develop and monitor indicators at the impact level should be decided according to the context, but the principle should be that it is necessary to build in the capacity to assess significant changes in children's lives.

Step 2 Developing key indicators to monitor objectives and activities
For all project or programme objectives, it is necessary to identify indicators for defining success and measuring progress in an objective way. Indicators can refer to each of the three levels.

● **Output indicators** are usually very straightforward to develop as they are often the concrete activities that have been completed, such as number of people trained, number of services set up, number of children reached in a workshop.

● **Outcome indicators** are more difficult to develop as they measure the differences that have occurred as a result of the intervention activities: the **What happened?** questions. They are perhaps best thought of in the context of capacity gaps addressed and overcome. They might involve providing a measure of increased access to, and utilisation of, quality and appropriate support services, measures of children's acquisition of new skills or knowledge, changing attitudes or opinions in a positive way, or fostering new or stable relationships.

● **Impact indicators** measure longer term or broader changes that have resulted from these outcomes and can be the most challenging to identify. Examples include the changes in proportion of children in an affected population experiencing violence or exploitation, or the number of separated children reunited with their families who are still living there in a safe environment 12 months later. As much as possible, attempts should be made to identify changes (impact) as the intervention progresses. Children are in an excellent position to describe any changes that they experience in their lives as a result of the intervention. The table below expresses the core components of a Save the Children monitoring tool that has been used to track change.

From 'Dimensions of change' *Getting it right for children* Save the Children

Changes in the lives of children and young people.
Which rights are being better fulfilled? Which rights are no longer being violated?

Changes in policies and practice affecting children and young people's rights.
Duty bearers are more accountable for the fulfilment, protection and respect of children's and young people's rights. Policies are developed and implemented, and the attitudes of duty bearers take into account the best interests and rights of the child.

For each M&E indicator, data should be collected, analysed, and **used**. Therefore, it is important to limit the number of indicators: a total of three to six indicators per objective is suggested. The following are good practice principles to use in developing indicators:

● **Relevance**

Is the indicator clearly linked to the change your intervention seeks to achieve?

● **Specific**

   ● Does the indicator describe a single piece of data to be collected?

   ● Is it clear what will be measured? Would two persons with no knowledge of the intervention be able to use it without generating conflicting results?

● **Efficient**

   ● Is the data in the indicator burdensome to collect and monitor?

   ● Can the indicator be measured and monitored with the resources and skills available?

Specific examples of output and outcome indicators are provided in **Topic 5** in each of the Critical issue modules.

Step 3 **Developing data collection tools and processes**

Once indicators have been identified, decisions should be taken and plans made as to how data will be collected, how often to collect it and who will do the collection. It is vital that the processes for data collection are set out at the very beginning and that this includes clearly defined roles and responsibilities for who needs to do what and by when. All of this information should be clearly set out in an information flow chart and shared with those involved.

There are two main methods of data collection.

● **Quantitative** Including surveys, counting, distribution data, attendance records.

● **Qualitative** Including focus group discussions, key informant interviews, observation, participatory methods including community maps, role play, ranking exercises.

Quantitative methods measure the scale of achievement and the number of people affected. Qualitative methods measure the depth of the changes and how and why the changes occurred. In order to provide information on both scale and depth of change as a result of an intervention, it is best to use both quantitative and qualitative data collection methods together.

An important but often forgotten part of any monitoring and evaluation system is the system for organising and securely storing any data collected. If there is a large amount of data from different locations, it may be useful to set up a database to hold all of the data in a central place. Security and confidentiality are required for any child specific data (child's name, personal details, and other sensitive information). Only staff with permission should have access to this information and it must be clear how and when data should be shared. This requires clearly defining how data will flow between different people and departments within the emergency response, and what will happen to it at each stage. For example, someone collects the data and gives it to the data entry person, who then enters the data and gives it back to the data collector, who sits with their manager and representatives of the community to analyse the data.

Monitoring and evaluation requires resources, both financial and human, and this should always be adequately budgeted for in the project proposal and used only for M&E activities.

Step 4 **Collecting data for indicators**

Once indicators, data collection methods and processes have been identified, data collection can begin. The best way to monitor and evaluate the effect of an intervention is, over time, to compare outputs and outcomes for children and communities who receive support with those in comparison groups. In humanitarian contexts, this may not always be practical, therefore a second best method to track progress over time is to assess beneficiaries' status on core indicators before programming begins (the baseline), at key points, for example, monthly, and at the end of the project.

Other key aspects of data collection include:

● disaggregating indicator data for key groups of children eg. girls and boys, age groups, socioeconomic group

● quality assuring data for each indicator

● aggregating indicator data from community, to district and to national level.

In an emergency there may be a number of organisations collecting similar data in the same locations. Coordination with other agencies on data collection is important as it can economise on amount of time spent by each agency carrying out data collection. It also reduces the amount of time asked of affected populations to be involved in these processes and enhances accountability to these populations by ensuring a more coordinated and holistic response.

In monitoring relief or recovery work, children have their own observations and bring unique perspectives about their needs. They can observe how needs are being met and where and how aid is distributed. They are often concerned about justice and equity and have been disturbed and unhappy when operations have been perceived to have been undertaken in unfair ways. The formation of children's committees for evaluation and accountability in Zimbabwe provides a good practice model.

Foundation module 4 Participation and inclusion, **Section 7** provides considerable and detailed guidance on children's involvement in monitoring and evaluation, including exercises. This includes tools for measuring children's participation itself, one of the process monitoring requirements.

Step 5 Analysing, reporting and USING monitoring data
Just as with data collection, it is very important to establish at the very beginning of a project a process for analysing, reporting and using monitoring data. As valuable resources are used to collect data, it is vital to make maximum use of it to improve responses. Key activities and issues to consider include:

- The need to analyse and share data in clear and simple report formats that are easily understood

- Setting up regular meetings, including with senior management, to discuss monitoring data and the implications for programming. These meetings should also take place with affected populations

- Discussing data at district and national levels

- Using data to inform project management and make improvements in real time

- Sharing data with children and other stakeholders.

Evaluation

Step 6 Undertaking an evaluation
This section has so far only discussed regular monitoring. Where an intervention is large or significant, it is also important to undertake an evaluation. This may be a real-time formative evaluation to inform programming part way through the emergency response as well as an end-point evaluation to generate lessons and recommendations for the next emergency.

Like monitoring, evaluation should be participatory, culturally appropriate, ethical, and should measure improvements in capacities that will result in the realisation of rights as well as meet needs. It should also look at unintended changes as a result of a humanitarian response, both positive and negative.

Key activities and issues to consider in designing and undertaking an evaluation include.

● **Putting together an evaluation team** This may include an external consultant where the project is large or if a donor requires it, internal staff and managers, partners, children and communities and other stakeholders.

● **Developing terms of reference (ToR)** This is a very important step and it is advisable to get expert advice from an M&E adviser to help develop the ToR. It is important to consider carefully and set out in the ToR the research questions, the design of the evaluation, the timeframe and the expected outputs.

● **Data collection** An evaluation should look at whether objectives have been achieved by reviewing all of the data collected for the periodic monitoring indicators described in the previous sections. However, it should also look more broadly and in depth at unintended outcomes and why any change has occurred. This will require additional data collection, such as interviews or focus group discussions with children, communities, government and other stakeholders.

● **Analysis and reporting** An evaluation report must contain sections on: rationale, objectives of evaluation, methodology, findings, lessons learned and recommendations. The voices of children and community members should be reflected throughout.

● **Learning and dissemination** In order to increase accountability to children and beneficiaries, findings must be disseminated back to communities, to governments and to other stakeholders. This can be done through distributing short leaflets summarising the findings, holding meetings and presentations and undertaking media interviews, amongst other things. Innovative and inclusive ways to involve and inform children are particularly important. It is also important to disseminate and use learning from evaluations within individual organisations in order to ensure continual improvements in working methods.

Monitoring at the national and international level

Although not categorised as project related monitoring, it is appropriate to discuss national and international monitoring processes associated with children's rights as these are an important part of the broader framework for change and a link to international influence and support. There is potential for humanitarian M&E work to tap into this process. For example, any new data collected through project or programme monitoring or evaluation may be used in the civil society alternative report to the Committee on the Rights of the Child.

National level

To date, monitoring of child rights in countries has been mainly associated with the production of a five-yearly periodic report, submitted to the Committee on the Rights of the Child. The 2005 Committee on Conventions and Recommendations General comment number 5 concerning implementation of the CRC, provides guidance as to the characteristics of indicators that can track changes in the realisation of rights. In addition to periodic monitoring, states are also required to put in place independent monitoring mechanisms, human rights commissioners or ombudsman offices that can provide an independent means to monitor and raise challenges with government.

There is also a reporting mechanism under the African charter on the rights and welfare of the child by which countries who have ratified the charter have an obligation to report on implementation. States were due to submit their initial reports about the measures they have adopted to implement the provisions of the African charter two years after they have ratified the charter, and every three years thereafter. The African charter also contains mechanisms for individual complaints about violations of children's rights and investigating issues arising from the charter based on allegations of violations of child rights and on measures taken by States parties to implement the charter.

International level

With regard to the CRC, states have an obligation to monitor and periodically report on progress in achieving children's rights. The states initial, and then five-yearly periodic reports, are heard in a public session by the Committee on the Rights of the Child. The committee is also able to hear supplementary reports by civil society and specialist agencies. The public nature of this process, its requirements to consult widely and share the outcome, the official record of the meeting, and the observations and recommendations provide both a system to engage within country as well as a structure and legitimacy for change.

More recently, UN Security Council Resolution 1612 (2005) creates an additional mechanism for monitoring the situation of groups of children affected by armed conflict which is managed internationally. The output of this monitoring is heard at the Security Council and thus provides a very high level opportunity to ensure violations of rights are heard. As above, data or information collected through interventions and programmes can potentially feed into the monitoring and reporting mechanism process.

In addition to periodic monitoring, states are also required to put into place independent monitoring mechanisms, such as human rights commissioners and ombudsman offices, that can provide an independent means to monitor and raise challenges with the government. Guidance for the functioning of these institutions is provided in the **Paris principles**
http://www2.ohchr.org/english/law/parisprinciples.htm
(not to be confused with the Paris principles for children associated with armed forces or armed groups).

Training material for this section

Exercise 1   Monitoring and evaluation (M&E)

Handout 1   Higher-level goals

Handout 2   M&E table

Further reading

- *A principled approach to humanitarian action training programme,* PATH UNICEF, 2006

- *A trainer's guide for participatory learning and action* Pretty JN, Ghuijt I, Scoones I, and Thompson J, IIED, London 1995

- *Child-led disaster risk reduction: a practical guide* Save the Children, 2007

- *Children and participation: research, monitoring and evaluation with children and young people* Save the Children UK
  http://www.savethechildren.org.uk/en/54_5123.htm

- *Child rights programming: how to apply rights-based approaches to programming* Save the Children, 2005

- 'Development guidelines no 6' *Social survey methods: a fieldguide for development workers* Nichols P, Oxfam, Oxford 1991

- *Ethical approaches to gathering information from children and adolescents in international settings guidelines and resources* Population Council
  http://www.popcouncil.org/horizons

- *Gender mainstreaming in emergency response: handbook for programme staff* Save the Children UK, 2006

- *Getting it right for children: a practitioners' guide to child rights programming* Save the Children Alliance, 2007

- *Humanitarian principles training: a child rights protection approach to complex emergencies* COEDMHA, (Session 7 Protecting children)

- *Impact assessment for development agencies: learning to value change* Roche C, OXFAM, 1999 pp 164-191

- *Impact measurement and accountability in emergencies: the good enough guide* Emergency Capacity Building (ECB) Project
  http://www.ecbproject.org/page/41

- *Initial assessment in emergency situations* UNHCR, 1997

- *It is the young trees that make a thick forest* Redd Barna, Kampala Uganda and IIED, London 1994

- *Listening to smaller voices: children in an environment of change* Johnson V, Hill J and Ivan-Smith E, ACTIONAID, London (undated)

- *PLA notes no. 24: critical reflections from practice* IIED, London October 1995

- *PLA notes no. 25: includes special issue on children's participation,* IIED, London February 1996

- *Programme policy and procedures manual* UNICEF, 2007

- *Project evaluation database system* Emergency Capacity Building (ECB)
  http://209.160.33.30/Home.aspx

- *Reaching children through dialogue* Jareg E and Oslo P, Redd Barna, 1994 (particularly chapters 2 and 4)

● *Refugee children: guidelines on protection and care* UNHCR, 1994, Chapter 3

● 'Studies on emergencies and disaster relief no 6' *Doing the right thing: relief agencies, moral dilemmas and moral responsibility in political emergencies and war* Slim H, Afrika Institutet, Uppsala Nordiska 1997

● *The reflect mother manual* REFLECT, Actionaid

● *Toolkits: a practical guide to assessment, monitoring, review and evaluation* Gosling L and Edwards M, London SCF 1995, especially Chapter 9 and Tool 2: surveys

● *Toolkits: a practical guide to planning, monitoring, evaluation and impact assessment* Save the Children UK (not free to download) http://www.savethechildren.org.uk/en/54_2359.htm