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Technical Assistance for Strengthening Fundamental
Rights Sector Coordination

STRATEGIC MANAGEMENT TOOLKIT IN THE FIELD OF FUNDAMENTAL RIGHTS



WEglobal





Activity 2.6:

Develop a Toolkit on the Preparation and Monitoring of Strategies, Action Plans, and Road Maps

STRATEGIC MANAGEMENT TOOLKIT IN THE FIELD OF FUNDAMENTAL RIGHTS

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LIST OF ABBREVIATIONS

CoE	Council of Europe
DEUA	The Directorate for EU Affairs
ECHR	European Convention on Human Rights
ECtHR	European Court of Human Rights
EUCB	European Union Coordination Board
EU	European Union
FAQ	Frequently Asked Questions
FRA	European Union Agency for Fundamental Rights
IOM	International Organization for Migration
IPA	Instrument for Pre-accession Assistance
KDK	Ombudsman Institution of Türkiye
NGO(s)	Non-governmental organisation(s)
OECD- SIGMA	Organisation for Economic Cooperation and Development - Support for Improvement in Governance and Management
OHCHR	Office of the United Nations High Commissioner for Human Rights
OSCE	Organisation for Security and Cooperation in Europe
PESTLE	Political, Economic, Social, Technological, Legal, and Environmental
RACER	Relevant, Accepted, Credible, Easy, Robust
RAG	Reform Action Group
RIGHTS	Relevant and reliable; Independent in terms of data collection methods from subjects monitored/evaluated; Global and universally meaningful but also amenable to contextualisation and dissegregation by prohibited on the basis of discrimination; Human rights standards-centric, anchored in the normative framework of rights; Transparent in its methods, Timely and Time-bound; Simple and Specific
SMART	Specific, Measurable, Achievable, Relevant, and Time-Bound
SMC	Sectoral Monitoring Committee
SWOT	Strengths, Weaknesses, Opportunities, Threats
ŞÖNİM	Violence Prevention and Monitoring Centre
TİHEK	Human Rights and Equality Institution of Türkiye
UN	United Nations
UNICEF	United Nations International Children's Emergency Fund
UNDP	United Nations Development Programme
UNFPA	United Nations Population Fund
UNHCR	United Nations High Commissioner for Refugees
UNWomen	United Nations Entity for Gender Equality and Women's Empowerment



1. INTRODUCTION

This Toolkit is prepared under the Technical Assistance for Strengthening Fundamental Rights Sector Coordination Project funded during the Instrument for Pre-Accession Assistance (IPA) II period under the Türkiye-EU Financial Cooperation. The special objective of the Project is *“to strengthen institutional coordination and cooperation among stakeholders in the field of fundamental rights”*, thus aiming *“to achieve measurable progress towards the full enjoyment of fundamental rights and freedoms by all individuals in all fields, without discrimination, by supporting the promotion and protection of fundamental rights reforms”*.

The “Strategic Management Toolkit in the Field of Fundamental Rights” prepared within this framework provides a comprehensive guidance for the development and implementation of strategic management tools in the field of fundamental rights. The document explains the strategy development and implementation processes step by step while focusing on the importance of the strategic management approach in the fundamental rights sector.

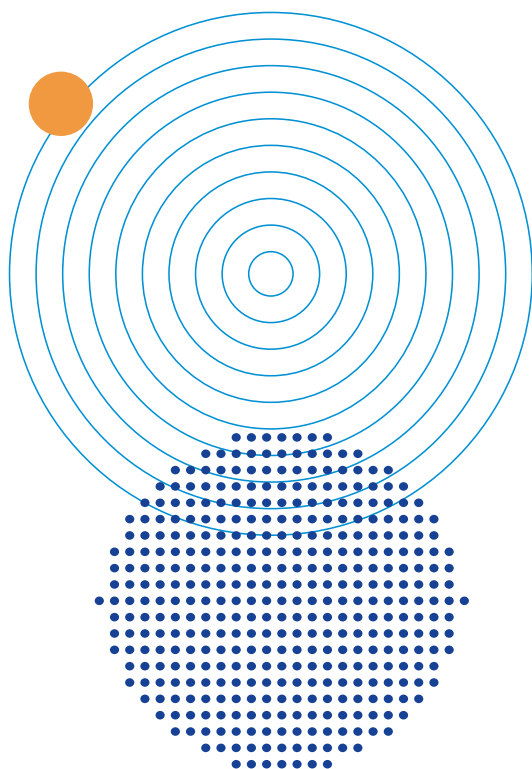
The Toolkit **primarily targets** institutions and organisations working in the field of fundamental rights, and **secondarily serves** the goal of mainstreaming fundamental rights issues for institutions working in all sectors.

The “Field of Fundamental Rights” section, following the “Introduction” section of the Toolkit, details the scope of fundamental rights, the framework of the sector, and the institutional structure, as well as emphasising the importance of the strategic management approach in the sector. The section also explains the interactions of relevant policy and strategy documents as well as the importance of these documents, while examining international approaches and the effects of these approaches on fundamental rights strategies.

The “Strategic Management Toolkit in the Field of Fundamental Rights” section provides guidelines on the general scope, target audience, and use of the strategic management toolkit. The “Concepts Related to Strategic Management Approach” section introduces the basic documents used in the strategic management process and details the main elements of the strategic management approach.

The following sections of the Toolkit explains how to initiate and carry out the strategy development process step by step. This section provides details on the preliminary work to be done at the beginning of the strategy development process, the evaluation and analysis of the current situation, the strategy development steps and methods, and the implementation, monitoring and evaluation of the strategy.

This Toolkit is expected to provide guidance on how to use strategic management tools in the field of fundamental rights. The sections, which describe the five steps of the strategy development process, cover tools and checklists for each section, aiming to share relevant documents to ensure the quality control and monitoring of the process.





2. THE FIELD OF FUNDAMENTAL RIGHTS

2.1. Scope of Fundamental Rights

The objective of the EU accession process is joining the European Union (EU) through alignment with the EU *acquis* and strengthening the administrative and judicial capacity for fulfilment of the Copenhagen Criteria. The Copenhagen Political Criteria and the Judiciary and Fundamental Rights Chapter (Chapter 23) forms the basis of the Fundamental Rights Sector.

The Copenhagen political criteria stress the requirement to have stability of institutions guaranteeing democracy, the rule of law, human rights and respect for and protection of minorities.

Protection and promotion of human/fundamental rights is one of the foundational principles of the European Union, together inter alia with the rule of law and democracy. Despite the legally binding rule making competencies of the EU are on constant increase in those fields, the EU also avails itself of the legally binding and non-binding documents/instruments/standards developed at various fora, such as international, national, local governance levels. Moreover, the products of professional bodies, non-governmental organisations (NGOs) etc. function as reference points.

The prioritisation of fundamental rights lays down the normative significance of such values for the EU and ensures the fulfilment of the practical requirements of a functioning economic integration, an area of freedom, security and justice, a credible global actorness, while requiring all existing and future Member States to embrace and promote such fundamental values. Moreover, the mentality shift that would be indispensable for such values to be internalised and properly enforced, necessitates more time and effort than some of the technical aspects of the *acquis*, since deep and comprehensive political, societal, institutional and structural transformation would be required for their success.

The need for an integrated, comprehensive and comparative approach in order to familiarise with the context and interaction between various levels of governance in Europe on fundamental human rights promotion and protection is paramount in the field. Similarly, a deep and comprehensive understanding on the interaction between the binding and non-binding legal instruments in standard setting and benchmarking, including the relevance of soft law instruments on the development and interpretation of the binding rules require a multifaceted effort both for policy design, legislative drafting and also for implementation.

Moreover, the requirement of taking into consideration and referring to the international and EU standards and principles in strategy and action development compels this approach. Similarly, the capacity to develop and make use of tools such as strategies, action plans etc., as well as legislative drafts, requires the skills to contextualise and connect such principles and standards, which shape the EU *acquis*, as indispensable components of a whole and to the performance of public service, which can only be achieved by a deep and comprehensive level of awareness, information and internalisation.

In that regard, such integrated and comprehensive approach should also extend to the design, preparation, implementation, and monitoring of policy documents such as strategies, actions plan, road map etc. The standards, norms and legal instruments, which informs the EU *Acquis* in the field of fundamental rights, should be integrated into the process of developing and implementing such policy documents both as regards the procedural and substantive aspects.

In this framework, Türkiye proclaims in the provisions stating and shaping its constitutional identity that it respects fundamental rights and freedoms in accordance with obligations derived from its own Constitution and the international human rights conventions, which would be given primacy over the conflicting national legislation by its national authorities, including the national administration and judiciary.¹

Türkiye is a party to the main regional/European and universal human rights instruments and a member to the relevant international organisations, which have the function and responsibility of developing human rights standards as well as protecting them. In that regard, Türkiye is a member of the Council of Europe (CoE) and party to the European Convention on Human Rights (ECHR) and it is bound by the judgments and in general case law of the European Court of Human Rights (ECtHR).

In order to incorporate the highest standards into its domestic legislation and practice, Türkiye undertook reforms in the field of fundamental rights for decades and such process accelerated since early 2000s. In that regard the objective was threefold: first, such standards emanated from the international treaty obligations to which Türkiye is a party. Secondly, following Türkiye's official EU candidacy status declaration in December 1999, those standards represented one of the preconditions for the beginning of the negotiations for EU ac-

¹ See Article 2 of the Constitution of Republic of Türkiye.

cession. Yet, arguably most significantly, they embodied the highest human rights standards that the Republic of Türkiye aspired to provide and guarantee for its citizens. In that regard, both the Constitution and the basic codes, legislative acts and implementing regulations, as well as the administrative and judiciary structure have been reformed incrementally and substantially over the years.

Türkiye prepared and implemented various and multifaceted strategies for EU accession, promotion and protection of fundamental rights and in certain other areas with relevance to the fundamental rights. Such strategies need be taken into consideration for both internal coherence and coordination as well as fulfilling the requirements of accession and the Fundamental Rights Sector priorities and objectives.

2.2. Legal and Institutional Set Up of the Fundamental Rights Sector

Turkish legal and constitutional order provides the legal instruments and remedies for the promotion and protection of fundamental rights. Turkish Constitution incorporates a fundamental rights catalogue², various codes and laws³, as well as secondary legislation and Türkiye's international obligations arising from international instruments⁴ provide guarantees in that regard. Moreover, a comprehensive set of remedies, domestic or international, are available against violations of fundamental rights and freedoms. In addition to the judicial ones, there are also executive/administrative and parliamentary remedies.⁵

One of the sources of inspiration and motivation for Türkiye's ongoing political reform agenda is relations with the EU and especially the accession process. The various legislative reform packages including changes to the legislation framework, establishment of new institutional mechanisms as well as strengthening the administrative and judicial application have been guided by international and EU standards.

The institutional framework for Türkiye's human rights protection has a long and complex background. Depending on the domestic developments and the international climate, Türkiye has been incrementally building a multi-layered legislative, executive and public administration and judicial capacity. Such capacity has been influenced, and sometimes even guided directly by international developments development process.

The relations with the EU, and for more than two decades the EU accession process have been amongst the main triggers in that respect. A well-functioning EU anchor facilitated the political reform process, including the steps for strengthening the promotion and protection of fundamental rights.

The institutional setting in the field covers almost all institutions in the public, private and civil society sector since the fundamental rights promotion and protection has a wide-ranging impact due to its horizontal nature. Moreover, International Organisations, including The Council of Europe and UN Agencies (e.g., UNDP, IOM, UNFPA, UNICEF, UNWomen, UNHCR), The Organisation for Security and Cooperation in Europe (OSCE), development agencies of EU Member States are also among the stakeholders of the field through providing financial and technical assistance in interventions aiming at enhancing the fundamental rights in Türkiye.

The Directorate for EU Affairs (DEUA) is defined as the Lead Institution in the Fundamental Rights Sector and is responsible for the programming, implementation, monitoring and evaluation of the projects funded in the sector. The DEUA is also expected to perform these responsibilities in cooperation and coordination with other relevant public institutions as well as civil society, where applicable.

In this respect, the DEUA, as the Lead Institution, in close cooperation with the EU Delegation to Türkiye, uses various instruments for monitoring sector performance and impact of financial assistance in the sector. The most important of these tools are "Sectoral Monitoring Committee Meetings" (IPA II-III Fundamental Rights, Civil Society and Judiciary Joint Sectoral Monitoring Committee Meetings-SMC) and the "Fundamental Rights Sector Coordination Platform" implemented under this project and other sub-tools that form this platform:

- Thematic Meetings
- Two-phases Trainings organised in Thematic Areas
- Advisory Board Meeting
- Annual Sector Coordination Meeting
- Online Meetings with International Organisations

² Constitution of the Republic of Türkiye, Part II provides an extensive catalogue of fundamental rights, and in that context Articles 17-40 regulate the rights and duties of the individual; articles 41-65 elaborates on social and economic rights and duties; and articles 66-74 refer to political rights and duties. The restrictions to human rights together with their limitations are also covered in this section.

³ For instance, the Turkish Civil Code, Turkish Penal Code, Turkish Criminal Procedure Code, Press Law, Law on Associations, Law on Foundations, Law on Meetings and Demonstration Marches, Law on the Right to Information, Law on Protection of Personal Data etc.

⁴ ECHR, various other CoE conventions, UN Conventions may be referred to here

⁵ Right to petition, applications to Ombudsman Institution etc.

These meetings enabled participants to discuss at sectoral level to review the effectiveness, efficiency, quality, coordination of the implementation of the projects, as well as their consistency with the relevant international sector strategies. Broader, more transparent and more participatory, multi-actor strategies would be activated and enabled by such an approach.

Complementary to the reforms adopted in the field, the projects being implemented made significant contributions in strengthening institutional capacities of and cooperation and coordination among public institutions in various levels in implementing the reforms and in creating transformation of the mind sets.

The sector encompasses various stakeholders such as public institutions, international organisations and NGOs, addressing a number of aspects of fundamental rights from different viewpoints. The DEUA, as the Lead Institution, is only coordinating the IPA II Fundamental Rights sub-sector and not all the legal and institutional aspects of the fundamental rights protection and promotion field. A strengthened and structured communication and coordination in policy formulation, strategy and action plan design or project preparation and implementation would demand beyond existing effective ad hoc communication.

2.3. Importance of Strategic Management Approach in the Fundamental Rights Sector

Strategic approach is the core element of good governance in any policy area. The main goal of strategic approach is ensuring that individual policy activities contribute to accomplishment of the comprehensive objectives. Strategic approach to any field of public policy introduces a results-oriented philosophy of public intervention and enables focusing on delivering specific outcomes, as well as allocating and using resources and inputs needed for this purpose.

There is no binding obligation set up by international agreements to formulate strategies in the field of fundamental rights. However, international agreements and the strategic management approach have some benefits, which should be taken into account by governments when developing strategies:

- Introducing long-term approach to policy planning,
- Opportunity to identify and address priority issues and insurmountable challenges, reaching beyond problems of operational nature,
- Demonstrating political commitment and ownership for the obligations relating to protection and promotion of fundamental rights,
- Securing long-term funding and other resources needed to address challenges in the field of fundamental rights.

2.4. Main Policy and Strategy Documents regarding the Fundamental Rights in Türkiye

In the field of promotion and protection of fundamental rights, Türkiye adopted comprehensive strategies to plan and realise a legislative and institutional transformation. These strategies can be assessed as instruments that are designed to link and shape various elements.

Due to the cross-cutting nature of the field of fundamental rights, other national strategies and action plans regarding the protection of rights of women, children, persons with disabilities and Roma people are closely linked to the objectives concerning fundamental rights.

Moreover, the policy objectives in this field are expected to be coherent with national strategies and development plans in place, as well as the strategic plans of the relevant institutions and budgetary plans in general.

Moreover, the strategic plans of the relevant public institutions should also be analysed to ensure coherence with and linkages to the goals and objectives related to the protection and promotion of fundamental rights.

Turkish national strategic framework in this context is comprised of several strategies, programmes and policy papers which focus on the rule of law, fundamental rights and judiciary.

The strategies briefly analysed below aim at mainstreaming human rights and strengthening the respect of human rights and international law.

The main strategic documents in Türkiye covering issues regarding fundamental rights are listed below:

- 1) 12th Development Plan (2024-2028)
- 2) National Action Plan for EU Accession (2021-2023)
- 3) The Judicial Reform Strategy and the Action Plan (2019-2023)
- 4) The Action Plan on Human Rights (2021-2023) and Implementation Schedule
- 5) The Fourth National Action Plan on Combating Violence against Women (2021-2025)
- 6) Strategy Document and Action Plan for the Empowerment of Women (2018-2023)
- 7) Children Rights Strategy Document and Action Plan (2023-2028)
- 8) National Programme for the Elimination of Child Labour (2017-2023)
- 9) Strategy Paper and Action Plan on Roma People (2016-2021)
- 10) Strategy Paper and Action Plan on Coordination of Child Protective Service (2014-2019)
- 11) National Action Plan on the Rights of Persons with Disabilities (2023-2025)
- 12) Barrier Free Vision Document 2030

Within the framework of the above-mentioned strategies, the following main objectives are identified:

- Ensuring the alignment of the legal framework with EU and international standards as well as to establish a solid track record in respecting fundamental rights,
- Effective and independent functioning of all the relevant structures for the promotion and protection of human rights, including the Human Rights and Equality Institution of Türkiye (TİHEK) and the Ombudsman Institution of Türkiye (KDK),
- Ensuring women-men equality and preventing discrimination,
- Combating violence against women,
- Combating discrimination against women, children, persons with disabilities, and other vulnerable groups,
- Promoting and protecting freedom of expression,
- Enhancing procedural rights of victims and suspects,
- Protecting children,
- Protecting data in line with EU *acquis*.

Brief information on the strategies is presented below,

POLICY AND STRATEGY DOCUMENTS



1. The 12th Development Plan (2024-2028)⁶ will advance to achieve Türkiye's long-term objectives through a sustainable development approach, covering the years 2024-2028 in line with the 2053 vision, and the steps to be taken to make Türkiye a global power will serve on five main axes: (1) Stable growth, robust economy; (2) Competitive production through green and digital transformation; (3) Qualified people, strong family, healthy society; (4) Disaster-resilient habitats, sustainable environment; and (5) Democratic good governance based on justice. The Plan is based on economic and social development in line with the core values and expectations of Türkiye. The main articles regarding the protection of fundamental rights and freedoms are

- *A fast, predictable, fair, transparent, accountable, accessible, reliable and human-oriented management approach that protects fundamental rights and freedoms, fights effectively against rights violations will continue to be the basis of the justice system.*
- *Fundamental rights and freedoms guaranteed in the Constitution will be strengthened.*
- *In order to strengthen freedom of expression, efforts will be carried out to identify shortcomings in implementation.*
- *The institutional capacities of institutions working in the field of human rights in Türkiye will be improved.*
- *The fight against discrimination and hatred will be strengthened.*



2. The National Action Plan (NAP) for the EU Accession (2021-2023)⁷ encompasses steps in respect to legislative alignment, as well as institutional and administrative measures. The objectives cover a range of fundamental rights related aspects such as independence and impartiality of judiciary, access to justice, protection of rights defined in the ECHR, improvement of institutional capacity on the protection of human rights including the Human Rights and Equality Institution of Türkiye and the Ombudsman Institution of Türkiye, individual application to the Constitutional Court, victims' rights, freedom of expression, increasing capacity of the Data Protection Authority and capacity of law enforcement. In line with Türkiye's zero tolerance policy/principle against torture and ill-treatment, a specific activity is envisaged to enhance effective functioning of Law Enforcement Surveillance Commission.

Among others, the NAP has specific activities on freedom of assembly and association, freedom of expression and legal aid system and victims' rights, which are identified as priorities in PFW. Regarding fight against violence, enhancing women's Shelters and Violence Prevention and Monitoring Centres (ŞÖNİMs) are foreseen along with training for law enforcement bodies to increase their capacity on the fight against domestic violence and better service provision considering the best interest of the child. In addition, the Action Plan addresses the need for increasing the capacities of institutions responsible for women rights, children rights, rights of persons with disabilities, elderly rights and protection of vulnerable groups as well as the training and awareness raising for judges, prosecutors and law enforcement on fundamental rights.

⁶ https://www.sbb.gov.tr/wp-content/uploads/2024/06/Twelfth-Development-Plan_2024-2028.pdf

⁷ https://www.ab.gov.tr/52660_en.html

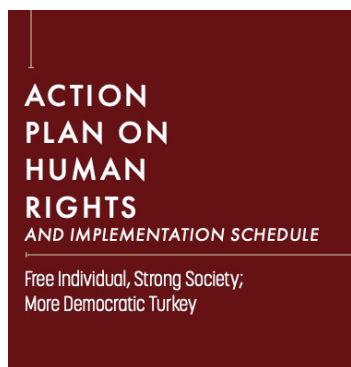


3. The Judicial Reform Strategy⁸ covering 2019-2023, has been prepared by the Ministry of Justice (MoJ) in a participatory manner with a view to build on the previous Strategy’s achievements in line with current needs and problems. The updated Judicial Reform Strategy, composed of 9 goals, 63 objectives and 256 activities, was announced on 30 May 2019. The Strategy, which was renewed for the third time, includes comprehensive goals and objectives in the fields of independence of judiciary, protection of fundamental rights, quality of services and human resources, access to justice, criminal justice system and alternative dispute resolution mechanisms. Since the adoption of the strategy, 7 judicial packages have been enacted and measures to improve the juvenile justice and victims’ rights, freedom of expression, right to liberty, right to fair trial and effectiveness of the judiciary, several amendments to the legislative framework have been adopted.

The Judicial Reform Strategy includes important measures corresponding to objectives of the IPA III framework: raising the standards on rights and freedoms such as freedom of expression, procedural rights, right to freedom and security; improving the effectiveness of individual application to the Constitutional Court, alignment of personal data protection legislation with EU acquis; improving fair trial through trial in a reasonable time, adoption of disabled friendly practices, adoption of practices for better protection of women’s rights, improvement of juvenile justice system and victims’ rights, improvement of prison conditions.

The “**Judicial Reform Strategy Monitoring and Evaluation Board**” was established with the Minister’s Approval dated July 22, 2020 in order to follow up the monitoring and evaluation process of the Judicial Reform Strategy Document, to monitor and evaluate the deficiencies and to further improve the implementation.

⁸ <https://yargireformu.adalet.gov.tr/Resimler/yrseng.pdf>
<https://yargireformu.adalet.gov.tr/Resimler/yrseng.pdf>



4. The Action Plan on Human Rights⁹, the main strategy on the protection and improvement of the fundamental rights was made public on March 2, 2021, addressing all fundamental rights ranging from first to third generation of rights. The Action Plan designed around 11 main principles and a total of 9 main objectives, 50 goals and 393 activities. The activities planned within the framework of each goal under the relevant aims are organised as tangibly “measurable and monitorable” actions.

The Plan envisages to create a high level of awareness and a strong system of protection oriented at resolving the problems in practice. The Action Plan as one of the main policy documents of Türkiye concerning the enhancement of human rights, with long-term and sustainable consequences, also highlights “protection of vulnerable groups and strengthening social wealth” as one of the nine aims.

The Action Plan was prepared by taking into account of the Council of Europe recommendations and other international standards including the EU acquis and the ECtHR jurisprudence. The Action Plan designed around 11 main principles and a total of 9 main objectives, 50 goals and 393 activities. The main objectives of the Action Plan are a stronger system for protection of human rights; strengthening judicial independence and right to a fair trial; legal foreseeability and transparency; protection and promotion of freedom of expression, association and religion; strengthening personal liberty and security; safeguarding private life of an individual; protecting vulnerable groups and more effective protection of right to property and high-level administrative and social awareness on human rights.



5. The Fourth National Action Plan on Combating Violence against Women¹⁰ (2021-2025) starts with categorisation of violence against women, continues with presentation of examples from statistics from Türkiye and the world as well as touching upon international and national developments. The Action Plan elaborates legal background, previous Action plans, preparation process and main structure of current plan. With “the principle of zero tolerance for violence”, the Plan aims to prevent all kinds of violence against women along with the five targets: (1) Access to justice and legislation: Reviewing the legislation and implementing it effectively and facilitating victims’ access to justice; (2) Policy and coordination: Integrating the principle/concept of zero tolerance to violence into all plans, programmes and policies; (3) Developing institutional capacity for effective provision of protective and preventive services; (4) Increasing social awareness and sensitivity to combat violence; (5) Collection of systematic, reliable and comparable data and production of statistics.

⁹ https://insanhaklarieylemplani.adalet.gov.tr/resimler/Action_Plan_on_Human_Rights_and_Implementation_Schedule.pdf
<https://insanhaklarieylemplani.adalet.gov.tr/resimler/eylemplani.pdf>

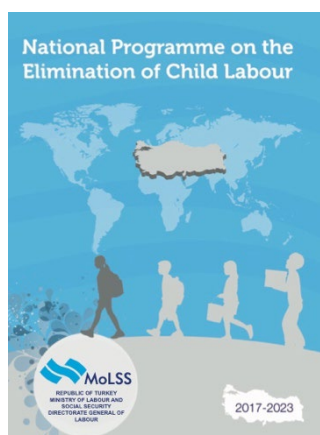
¹⁰ <https://www.aile.gov.tr/media/82082/kadina-yonelik-siddetle-mucadele-iv-ulusal-eylem-plan-2021-2025.pdf>



6. The Strategy Document and Action Plan for the Empowerment of Women¹¹ (2018-2023) is a leading policy paper covers the five basic policy axes, education (to ensure women's and girls' full access to all levels of education and their effective participation), health (to improve the health services offered to women, to increase women's health awareness), economy (to ensure that women have a voice in economic life in line with the changing labour market dynamics by providing full and effective participation in every area of working life), participation in decision -making mechanisms (increasing the representation of women at local and national levels in decision -making mechanisms and ensuring their effective participation in the decision processes) and media (to improve and strengthen the representation of women in the media, as well as women's efficient and critical usage of the media). The current situation, 5 basic objectives, 21 goals, 21 strategies, and 126 activities are identified under these five axes.



7. The Children Rights Strategy Document and Action Plan¹² (2023-2028), following child-centred approach and in line with a social state approach, identified six strategic objectives: (1) Child rights and child participation; (2) Child friendly justice; (3) Protection and support services for family and child; (4) Alternative care services; (5) Services for children, affected by disasters, crises and emergencies, (6) Access to information, technologies and safe internet use. The main policy in the field of child protection is to ensure that children grow up in a safe and developmentally supportive family environment. Alternative care services, one of these social service models, include two basic care models: family-oriented care services and institutional care services. As a reflection of policies based on the care of children in a family environment, children taken under protection are primarily intended to benefit from foster care and adoption services.



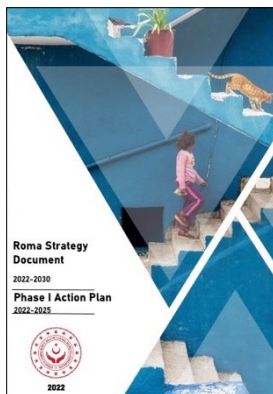
8. The National Programme for the Elimination of Child Labour¹³ (2017-2023) was launched with the goal of eradicating child labour, particularly its worst forms including strategies of (1) implementing and updating the regulation and legal arrangements; (2) strengthening the existing organisational structures and creating new organisational structures; (3) increasing awareness; (4) ensuring the participation of the social partners and the community; (5) education and improvement; (6) elimination of poverty; (7) Extension of Social Protection and Social Security Network. The priority target groups are identified as (i) children working on the streets; (ii) children working in heavy and hazardous works in small and medium-sized enterprises; (iii) working in mobile and temporary agricultural labour expect for family business.

¹¹ <https://www.aile.gov.tr/media/6315/kadinin-guecilenmesi-strajesi-belgesi-ve-eylem-planı-2018-2023.pdf>

¹² <https://www.aile.gov.tr/media/134387/c-ocuk-haklari-strateji-belgesi-ve-eylem-planı-2023-ingilizce.pdf>
<https://www.aile.gov.tr/media/134387/c-ocuk-haklari-strateji-belgesi-ve-eylem-planı-2023-ingilizce.pdf>

¹³ https://www.csgeb.gov.tr/media/1321/cocukisciligimucadele_2017_2023_en.pdf

https://www.csgeb.gov.tr/media/1321/cocukisciligimucadele_2017_2023_en.pdf



9. The Roma Strategy Document and Action Plan¹⁴ (2016-2021)

served as a key policy reference document and provided direction to public institutions that carried out projects and programmes for Roma citizens. With the expiration of the implementation period of this document, the Ministry started to work on and prepared the **new Strategy Paper on Roma People (2022-2030)** and implemented the **Phase I Action Plan (2022-2025)** for the purposes of “combating and preventing social prejudice and social exclusion; reducing poverty; increasing the participation of Roma citizens in social life through trust, cooperation and empowerment; giving importance to women empowerment and ensuring that Roma women benefit from services and programmes equally.” The Strategy has targeted with the services provided in the fields of education, health, employment, housing, social services and social assistance, through which necessary steps will be taken to increase the socio-economic welfare level of Roma citizens and to strengthen their social cohesion, both in the short and long term.



10. The Strategy Paper and Action Plan on Coordination of Child Protective Service,¹⁵ (2014-2019)

presents a detailed framework for the implementation of 10 strategic goals and targets introduced by the main strategy document along with the responsible authorities, detailed time frame, budget and indicators of progress. To this end, a Model for Türkiye was designed to include main implementation areas (early warning for identification of risks and interventions) and inter-institutional coordination, preventive, protective and supportive actions for giving priority for the benefit of the child and support the child’s well-being.

¹⁴ http://www.sp.gov.tr/tr/temel-belge/s/167/Roman+Vatandaslara+Yonelik+Strateji+Belgesi+_2016-2021

¹⁵ https://www.unicef.org/turkiye/media/4086/file/ÇOCUK%20KORUMA%20HİZMETLERİNDE%20KOORDINASYON%20STRATEJİ%20BELGESİ_%202014.pdf



11. The National Action Plan on the Rights of Persons with Disabilities¹⁶ (2023-2025) covers wide areas such as employment, accessibility, education, health, employment, participation in political life, access, justice, and protection of rights. The activities determined will be carried out taking into account the disability-related needs of persons with disabilities. The policy fields are identified under the headings of “Inclusive and Accessible Society”, “Protection of Rights and Justice”, “Health and Well-Being”, “Inclusive Education”, “Economic Security”, “Independent Living”, “Disaster and Humanitarian Emergencies”, and “Implementation and Monitoring”. The development and dissemination of diversified and new generation care services that support independent living for persons with disabilities and their families have been targeted. The National Action Plan covers 275 activities for 107 action fields for 31 goals under the 8 objectives in order to implement the 2030 Barrier-Free Vision Document.



12. The 2030 Barrier-Free Vision Document includes 31 objectives and 107 actions under the following eight headings: “Inclusive and Accessible Society”, “Protection of Rights and Justice”, “Health and Well-Being”, “Inclusive Education”, “Economic Security”, “Independent Living”, “Disaster and Humanitarian Emergencies”, and “Implementation and Monitoring”.

The document aims to strengthen the understanding of being an inclusive society where persons with disabilities can realise their potential as equal citizens with its rights-based approach.

¹⁶ https://www.aile.gov.tr/media/133056/engelli_haklari_ulusal_eylem_plani_23-25.pdf

2.5. Approach of International Organisations to Fundamental Rights Strategies and Basic Elements

In the European practice, a strategic approach to fundamental rights, structured around certain objectives, is common, especially in combination with more specific and short-term action plans.

As underlined by the European Union Agency for Fundamental Rights¹⁷ (FRA), adopting a comprehensive strategy on fundamental rights have various benefits:

- Possibility for addressing overarching and structural issues and challenges that cannot be addressed through action plans,
- Opportunity for mainstreaming of human rights issues into sectoral policies in various areas of public policy,
- Opportunity to promote human rights in general and give a strategic vision for the future, and
- Extensive involvement of civil society and all other stakeholders into shaping policy priorities.

Following this approach, numerous countries have adopted the national strategies for protection and promotion of fundamental rights. Similar approaches are also implemented by the countries applying for the membership in the European Union or cooperating with the EU on their path towards the enhanced standard of human rights protection.

The Council of Europe's actions to mainstream various issues related to vulnerable groups or to develop strategies and guidelines¹⁸ for these groups should also be considered as issues that strengthen the fundamental rights context:

- The strategy should include realistic and time-bound objectives, and should be supported by adequate human and financial resources, based on current scientific knowledge (what works) and systematically evaluated.
- Methodologies should be developed to assess the progress envisaged by the strategy and to evaluate actions at all levels, including at the cross-sectoral level.
- All actors (national, regional and local authorities, families, independent human rights organisations, professionals working for target groups, researchers, civil society and the media) relevant to the scope of the strategy should be involved in its design, implementation and evaluation.
- All information regarding the preparation and implementation of the strategy should be shared with relevant parties and feedback should be received.

Strategies for fundamental rights form a basis for national action plans in this field. National action plans focus on short-term outputs that should contribute to implementation of the mid- and long-term objectives. Development of good quality national action plans require strategic background, as national action plans should not be designed in isolation from the policy agenda of more extensive time horizon.

¹⁷ European Union Agency for Fundamental Rights (FRA), National human rights action plans in the EU Practices, experiences and lessons learned for more systematic working methods on human rights, Vienna 2019.

¹⁸ CoE's Guidelines on Strategies for the Protection of Children from Violence
<https://rm.coe.int/168046d3a0>

CoE's Manual on Development of the National Youth Strategies
<https://pjp-eu.coe.int/en/web/youth-partnership/youth-policy-manual-how-to-develop-a-national-youth-strategy>

3. STRATEGIC MANAGEMENT TOOLKIT IN THE FIELD OF FUNDAMENTAL RIGHTS

3.1. Scope of the Toolkit

The purpose of this Toolkit is to provide information on practices and tools of strategic management in the field of fundamental rights. The information is largely based on national and international approaches to the strategic inclusion and mainstreaming of fundamental rights in policy planning.

The selection of practices and tools was made by considering their international recognition and their adequacy in the case of Türkiye. Therefore, the priority was given to practices and tools developed by major international institutions and organisations operating in the field of protection and promotion of fundamental rights such as:

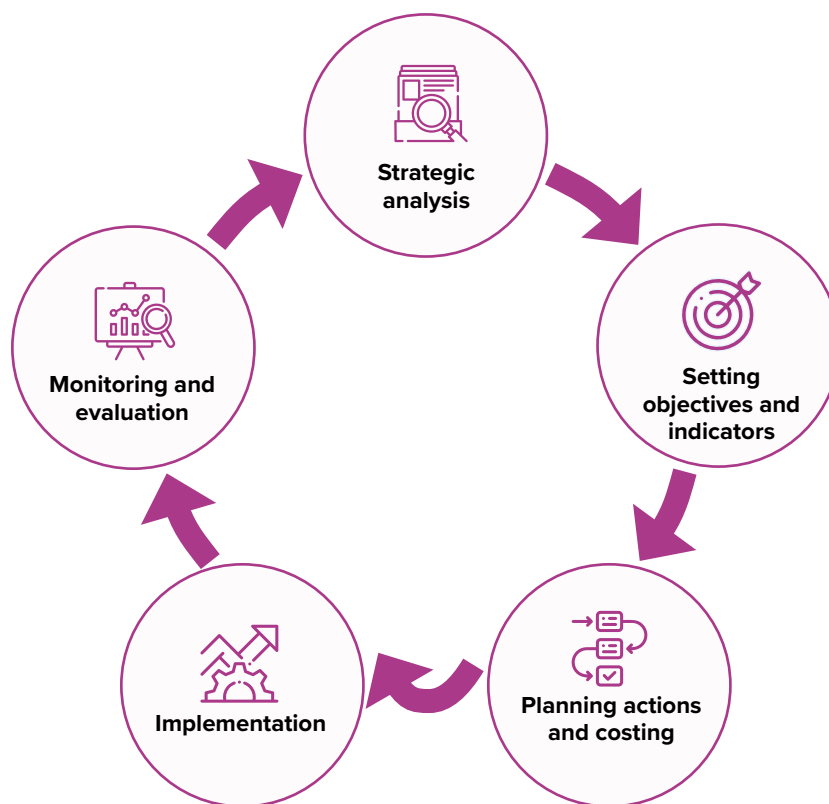
- Council of Europe
- European Union
- Organisation for Economic Cooperation and Development (including Support for Improvement in Governance and Management Programme - SIGMA)
- UN Agencies
- International NGOs

Further, some national practices were selected, considering their adequacy and level of advancement with regard to application of strategic management mechanisms. However, the Toolkit mainly focuses on tools and approaches developed and/or recognised by international organisations.

This study is not a comprehensive handbook of strategic management, but rather a toolkit focused on practical methods and instruments to be used in design, implementation and monitoring of execution of strategic documents. Therefore, the theoretical considerations are very limited and provided only in case, when they are necessary to explain the relevant tools.

The structure of the study follows the overall logic of the strategic management cycle presented in the simplified form on the graphic below:

Strategic Management Cycle



3.2. Target Audience of the Toolkit

This Toolkit addresses the needs of key stakeholders involved in the development of the strategies and management of implementation of the strategies. The stakeholders include:

- Senior decision makers responsible for initiation of the strategic processes and ensuring their continuous implementation,
- Operational-level staff of public institutions responsible for managing strategic processes (They are also seen as the main beneficiaries of the Toolkit since they will have primary responsibility for the entire process.)
- Representatives of the external stakeholders, including NGOs and public bodies involved in strategic processes, so that they can get the basic understanding of the key stages in the process.

3.3. Use of the Toolkit

The Toolkit guides the users through the process of the preparation, development and implementation of the strategies in the field of fundamental rights. To this end, it covers theoretical introduction to the relevant instruments to be used at each stage of the process, presentation of the tools and methods, and templates for relevant tools. The Toolkit also includes checklists for each phase of the strategic process that could be used to verify whether all crucial steps were completed prior to advancing further in the process of development and implementation of strategies.

4. CONCEPTS RELATED TO STRATEGIC MANAGEMENT APPROACH

4.1. Basic Strategy Documents

There are many strategy documents that adopt the strategic management approach and are shaped and named according to institutional preferences and priorities. The most common of such documents are action plans, strategy documents, roadmaps, policy documents and strategic plans. Each document is designed for a specific purpose with its unique functions and scope, and when used together, they form a comprehensive strategic management framework.

An Action Plan is a document that defines in detail the steps to be taken to achieve a specific strategic objective. The action plan usually focuses on short-medium term objectives and includes specific, measurable, achievable, realistic and time-bound (SMART) objectives. Such a plan identifies the responsible institutions, timetable and required resources for each step. The action plan focuses on the practical implementation phase of the strategy and ensures that daily operations are carried out to reach objectives.

A Strategy Document is a comprehensive document that defines the long-term vision, mission and strategic objectives of an institution, determines the general development direction of the institution and outlines the ways to achieve these objectives. This document identifies the long-term plans, priorities and strategic initiatives of the institution from a broader perspective. The strategy document usually covers a time period of 3-5 years and includes key performance indicators to measure the success of strategic objectives.

A Roadmap is a plan that details the steps and timetable to be followed to achieve strategic objectives. The roadmap defines the steps to be taken in certain periods and the relation between these steps. The roadmap can be thought of as a more detailed version of a strategy document. The roadmap lays down the sequence of strategic initiatives, key milestones and success criteria, thus materializing the implementation of the strategy and makes it traceable.

A Policy Document is a document that defines formal policy orientations and objectives on a specific issue. This document usually provides legal frameworks and normative guidance. The policy document explains the stance and approach of an institution or a government in a specific area, sets out the legal basis and details the implementation process of these policies. The policy document is the basic reference document that guides decision-making processes on specific issues and usually includes long-term perspectives.

A Strategic Plan is a document that includes the strategic objectives that an institution aims to achieve in a certain period of time (usually 3-5 years) and the activities planned to achieve these objectives. The strategic plan is a comprehensive document and may include action plans, roadmaps and policy documents. The strategic plan defines the vision, mission, values and long-term objectives of an institution as well as the resources, timetables and performance indicators required to achieve these objectives. The strategic plan outlines the general strategic direction and priorities of an institution and ensures the harmonious operation of the entire organisation towards these objectives.

All these documents play critical roles in strategic management processes. The action plan focuses on the details of daily operations while the strategy document and strategic plan address long-term objectives and general management. The roadmap details the process of achieving these objectives, while the policy document defines the institutional stance and legal framework on specific issues. Each of the documents requires different levels of planning and implementation, but when used together, they serve as important tools that enable institutions or sectors/thematic areas to effectively achieve their objectives. Strategies in the area of fundamental rights may be designed and implemented in different forms, ranging from comprehensive horizontal strategies to acts narrower in scope, i.e. strategies focusing on pursuing specific rights or mainstreaming fundamental rights into relevant areas of public policy. The following table lists the main types of international fundamental rights strategies:

Horizontal and comprehensive strategic documents	Strategies focused on specific rights and freedoms	Human-rights based approach to sectoral policies
<ul style="list-style-type: none"> Multi-annual strategies for promotion and protection of fundamental rights National action plans for human rights 	<ul style="list-style-type: none"> Gender equality analysis Strategy on the rights of persons with disabilities Strategy for protection of the rights of the children Strategy against human trafficking 	<ul style="list-style-type: none"> Strategy for housing Strategy for disaster risk management Strategy against poverty Strategy for public health and healthcare system Strategy for education system

4.2. Main Elements in Strategic Management Approach

4.2.1. Actors and Their Roles

Development and implementation of the strategy in the field of fundamental rights requires concerted actions of at least four groups of stakeholders:

- Senior decision makers that should formally initiate the strategic process, ensure resources and continuous support for its implementation, as well as removing any obstacles in the implementation of the strategies,
- Public institutions responsible for the development and implementation of strategies (owners of strategies, beneficiary-executive institutions),
- Public institutions participating in the implementation of strategies (public institutions that are supporters-stakeholders of strategies since strategies in the field of fundamental rights generally intersect with other issues horizontally and require the cooperation and participation of many public institutions),
- External stakeholders, in particular NGOs (external supporters of the strategy), that play crucial role by providing inputs to the strategies, ensuring strong legitimization of the whole strategic process and advocating for the strategy.

4.2.2. Processes

Developing a strategy based on solid foundations and with high ownership in the field of fundamental rights requires the design and implementation of many processes and activities as well as the scope and content of the strategy. The issues that must be addressed at a minimum level are listed below:

- Defining the vision, goals, priority areas and basic principles that will guide the strategy,
- Specifying the priority/focus areas (priority areas of intervention) and establishing sub-objectives accompanied with indicators (structural, process, outcome indicators) and targets,
- Setting up institutional framework for strategic process – mapping stakeholders, defining responsibilities, setting framework for participation process, implementation, monitoring and evaluation of the strategy,
- Comprehensive review of the situation in the field – identification of the major problems and challenges, review of institutional (central and local) capacities and external factors influencing strategic intervention; identification and mitigation of gaps in data availability and taking necessary measures to fill the gaps,
- Developing main actions at different levels for the implementation of strategic objectives: a) legislative changes; b) institutional arrangements; c) education and capacity building activities;
- Improving data management in the field of human rights – creating database of human rights data/indicators, enhancing quality of data, cooperation with institutions collecting data,
- Enhancing capacities of the institutions involved in formulation and implementation of the strategy – benefiting from workshops, toolkits, and other assistance,
- Establishing setup for monitoring and evaluation of the strategy.

4.2.3. Methods and Tools

This Toolkit provides a catalogue of major analytical tools to be used throughout the process. Each of these tools is useful at different steps of the process, from analysis to strategy formulation, and to monitoring and evaluation of the strategy.

The table below provides short definitions of the key tools to be presented in details in the following parts of the Toolkit.

USE AND BENEFITS OF THE TOOL	
Analysis	
SWOT (Strengths, Weaknesses, Opportunities, Threats) Analysis	<ul style="list-style-type: none"> Identifying the internal and external conditions that influence the capacity to implement strategic intervention by taking into account different perspectives; determining the strong and weak elements simultaneously while considering and evaluating threats and opportunities,
PESTL (Political, Economic, Social, Technological, Legal, and Environmental)	<ul style="list-style-type: none"> Identifying major external trends and socio-economic, political, social and similar circumstances that should not be ignored when planning strategic intervention, Identifying the external factors and conditions that might be utilised for more effective intervention,
Stakeholder Analysis	<ul style="list-style-type: none"> Identifying the potential partners who may contribute to the strategic intervention, but also actors whose involvement, at least through consultation, is necessary, evaluating their roles and participation patterns,
Problem Tree Analysis	<ul style="list-style-type: none"> Determining the main problem to be addressed (by also assessing secondary problems) and its causes in order to identify the necessary intervention area,
Development of the Strategy	
Checklists for Objectives – SMART criteria	<ul style="list-style-type: none"> Basic verification tool for checking the methodological accuracy of strategic objectives against established criteria,
Indicators Matrix	<ul style="list-style-type: none"> Guidance to formulation of indicators measuring implementation of strategic objectives, based on distinction between structural, process-related and outcome-related types of indicators,
Indicators Passport	<ul style="list-style-type: none"> Tool for more detailed description of indicators, in particular methodology for collection of data necessary for calculation of their value,
Checklist for Indicators – Verifying the Quality of Indicators	<ul style="list-style-type: none"> Test for checking quality of the indicators through set of standardized requirements relating to their content and formulation,
Cost Breakdown	<ul style="list-style-type: none"> Tool for calculation of the major categories of costs of strategic intervention,
Risk Management: Analysis and Measures	<ul style="list-style-type: none"> Identifying factors that can impede the success of the proposed strategic intervention and/or adversely affect the process as well as developing measures to mitigate them,
Monitoring and Evaluation	
Monitoring Framework for Action Plan	<ul style="list-style-type: none"> Regular monitoring (within the institution) of progress in the implementation of the strategy, identifying problems and their sources during the implementation period, and developing a tool for reviewing solutions,
Monitoring Report for Strategy Implementation	<ul style="list-style-type: none"> Using tools for reporting the progress in structured manner on regular basis (e.g. semi-annually, annually or biannually), especially to steering/executive committee or relevant external stakeholders,
Evaluation	<ul style="list-style-type: none"> By also using the findings obtained during the monitoring process, analysing the appropriateness, effectiveness, adequacy, added value, compatibility/coordination level with other policies and programmes, (short-medium-long term) impact and sustainability of the actions and interventions, outputs, towards the objectives.

5. STEPS OF STRATEGY DEVELOPMENT IN THE FIELD OF FUNDAMENTAL RIGHTS: WHERE TO START?

5.1. Step One: Preliminary Works

Prior to launching the analytical work for the purpose of development of the strategy, it is important to establish foundations of the whole process by undertaking the following activities:

- Mobilising a team (teambuilding) responsible for the development of the strategy and managing its implementation,
- Granting official/institutional authorisation for the development of the strategy,
- Developing a work plan and a timetable elaborating activities at each stage of the strategic process,
- Launching studies to collect high-quality, up-to-date, reliable and compatible data with other institutional/sectoral data for the purpose of strategy development.

5.2. Step Two: Assessment of the Current Situation (Analysis Process)

The Assessment of the Current Situation (Analysis Process) is the initial phase of strategic management process that focuses on collection and analysis in structured manner all information that could feed the development of the strategy. The Analysis Process enables to better understand the environment in which the strategy will be developed and implemented, identify the main challenges and opportunities, as well as specify the main priorities for strategic intervention. Data and evidence collected in the course of analysis will be subsequently used in the development of objectives of strategic intervention. The analytical studies commonly used in the analysis process are listed below:

- Problem analysis
- Analysis of internal and external factors, relying on PESTL analysis and/or SWOT analysis
- Stakeholder mapping.

5.3. Step Three: Strategy Development

In this step, based on the data, evidence and information collected about the current situation in the analysis stage, strategic objectives are developed in cooperation with stakeholders so as to primarily respond to the identified basic problem. The strategy development also includes the identification of the indicators to be used in measuring the success of the objectives and defining concrete actions that will ensure the achievement of the objectives. Moreover, the strategy development includes the identification of the risks related to the implementation of the strategy, evaluating the probability of occurrence and measures to manage the risks.

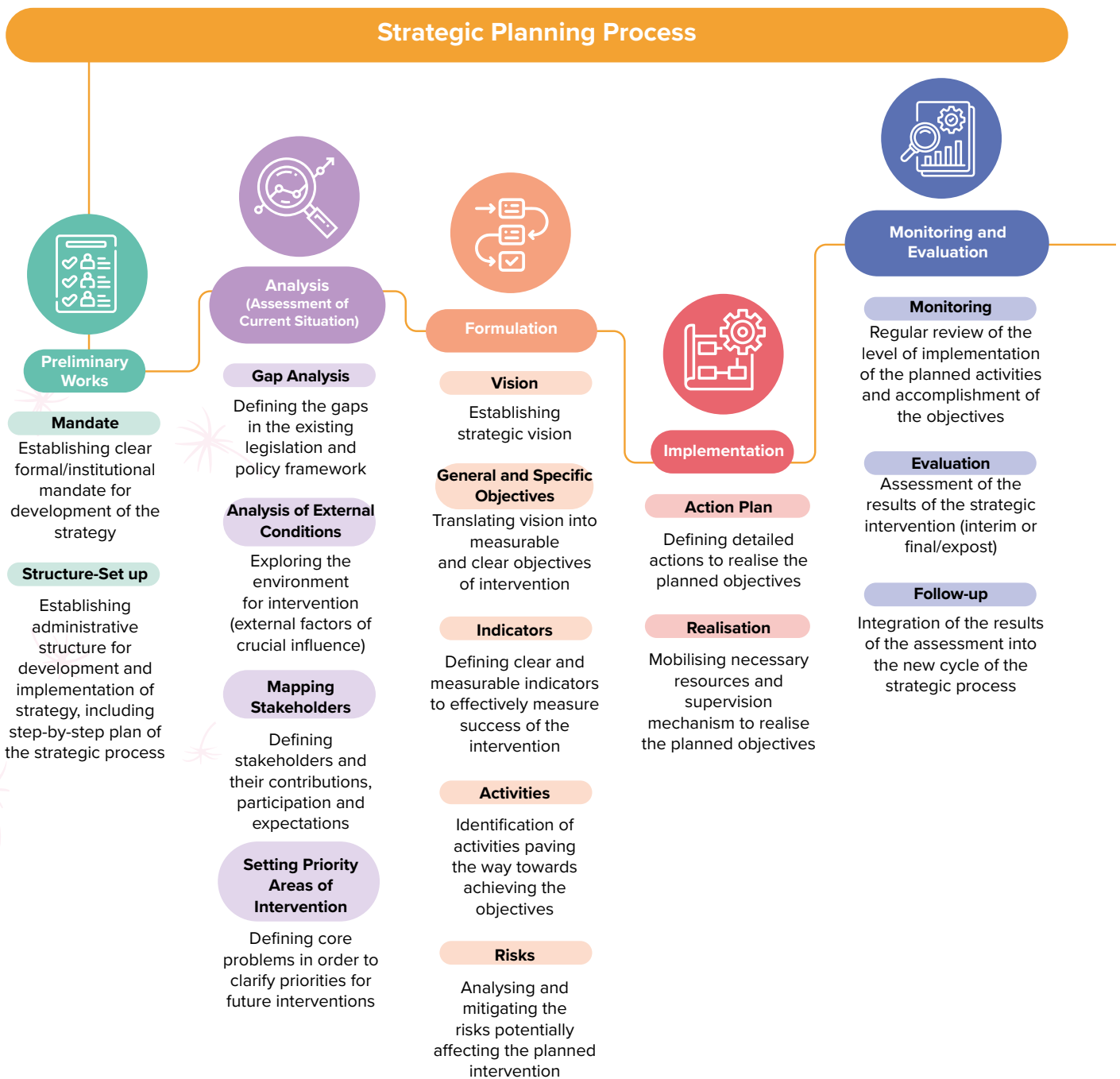
5.4. Step Four: Implementation Process

The implementation step includes the implementation of concrete actions that will ensure the achievement of strategic objectives in accordance with the action plan and timetable.

5.5. Step Five: Monitoring and Evaluation Process

The final stage of the strategic management cycle involves the process of monitoring and evaluation of the implementation of the strategy. Monitoring should be present throughout the whole cycle, while evaluation can be conducted at selected phase (e.g., interim period(s)) and at the end of implementation.

Flowchart



6. STEP-BY-STEP DEVELOPMENT OF A STRATEGY DOCUMENT IN THE FIELD OF FUNDAMENTAL RIGHTS

6.1. Step One: Preliminary Works

6.1.1. Institutional Ownership

Initiation of a strategic process requires clear mandate for the relevant institution responsible for development and implementation of strategy. This mandate should be formally established in the primary or secondary legislation, or in other policy document adopted by the Government. Each strategy needs clear ownership, i.e. explicitly assigned leading or stakeholder institutions with clearly defined responsibilities.

This mandate should specify the main parameters and key responsibilities of the strategic process, including:

- Scope of the strategy
- Time frame of the strategy (the period to be covered by the strategy)
- Priority areas of intervention
- Main stakeholders and key external stakeholders responsible for preparation and implementation of the strategy, as well key external stakeholders
- Timeline for development of the strategy.

6.1.2. Team Building

It is essential to ensure that in all the stages of the strategic process, concrete allocation of responsibilities and reporting/accountability mechanisms are provided. The institutional setup to be established should guarantee the high-level political representation combined with strong operational capacities. The table below presents possible stakeholders in the institutional setup for the strategic process:

Institutional Design of Strategic Process

ACTOR	COMPOSITION	RESPONSIBILITIES	WORKFLOW
Strategy team/ secretariat	Core team of specialists with knowledge and competences relating to fundamental rights and strategic management	<ul style="list-style-type: none"> • Conducting analytical exercises necessary for strategy development (strategic analysis), • Developing the draft strategy and accompanying documents, including action plan, • Monitoring implementation of the strategy, • Conducting internal evaluations of the implementation, • Facilitating communication between all the stakeholders involved in implementation of strategy, • Liaising with external stakeholders (consultants, contractors, etc.), • Developing and implementing communication activities, • Reporting to the Steering Committee and Consultation/Stakeholders Committee, 	Daily operations combined with regular (e.g. weekly) meetings of the whole team to plan work and assess the progress,

Steering committee	High level political decision-makers and top civil servants from the core institutions involved in development and implementation of the strategy	<ul style="list-style-type: none"> • Setting direction of strategic intervention and deciding on key objectives, • Reviewing and approving major outputs, in particular draft strategy, action plan, reports from implementation of the strategy, • Monitoring progress in implementation of the strategy, • Undertaking intervention in case of delays or problems, • Addressing issues requiring high level political intervention, • Providing continuous political support to the implementation of the strategy, 	Meetings on biannual or quarterly basis, depending on the timeline of the main milestones, Meetings organised and technically supported by the strategy team/secretariat
Consultation / stakeholders committee	Representatives of key stakeholders, particularly NGOs, academia, the private sector and the media	<ul style="list-style-type: none"> • Providing structured and up-to-date inputs to the setting direction of strategic intervention, • Consulting the draft strategy, action plan, • Providing feedback on implementation of the strategy, • Participating in evaluation of the implementation of strategy, • Supporting visibility of the strategy and awareness raising activities. 	Meetings on biannual/triannual basis, Meetings organised and technically supported by the strategy team/secretariat

The team directly responsible for development of the strategy should be provided with adequate capacity building support (training, experience sharing meetings, thematic meetings and working groups, etc.), especially on the methodology of preparation of the strategic documents. These supports should focus on techniques and methods for development of strategic documents, methods and tools of cooperation with the external stakeholders, public communication of the strategies, as well as tools for monitoring and internal evaluation.

6.1.3. Developing a Work Plan

The process of developing, implementing, monitoring and evaluating strategies requires special attention from the management perspective since the process may require considerable resources, continuous commitment of multiple institutions and organisations, regular involvement of external stakeholders during the whole process and effective institutional and organisational setup. Therefore, it is recommended to develop a comprehensive work plan.

The work plan related to the preparation of the strategy should define specific tasks for each phase of the process, allocate responsibilities among the main actors, and determine timelines and outputs for each phase. Ideally, the work plan should also contain estimations about the necessary resources (financial, human, material) needed for implementation of the relevant tasks.

The whole process cannot be confined to efforts aiming at production of strategic documents. Although a good strategy, based on sound data, is an essential success factor, lack of adequate institutional ownership and commitment during the implementation phase, usually combined with lack of adequate monitoring, leads to the ineffective implementation and hence failure of the strategies. Therefore, resources, institutional arrangements and continuous political commitment are equally important conditions for the success of the strategies.

6.1.4. Data Collection

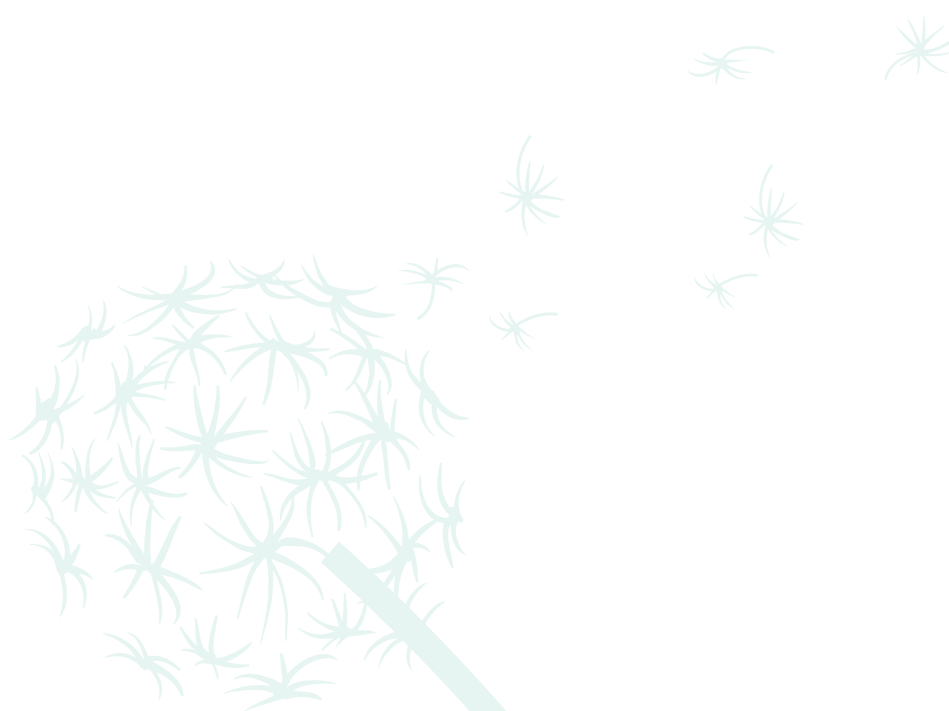
A good strategy is based on high quality data supporting a comprehensive analysis and subsequently enabling the development of the strategic documents. Developing a good data infrastructure requires significant effort and time and is crucial for the effectiveness of the whole strategic process.

The following sources and techniques regarding data collection should be employed in the process of development of the strategy (*OECD SIGMA, Toolkit for the preparation, implementation, monitoring, reporting and evaluation of public administration reform and sector strategies*¹⁹, Paris 2020):

- Desk research (monitoring, evaluation or other reports, regulatory review, use of national statistics and administrative data, etc.)
- Brainstorming sessions
- Focus group meetings
- Interviews
- Targeted surveys (structured surveys)
- Surveys and opinion polls.

The OHCHR Guide recommends the following data sources for developing strategies in the field of fundamental rights (*OHCHR, Human Rights Indicators, A Guide to Measurement and Implementation*²⁰):

- Events-based data – data on human rights violations qualitative or quantitative data that can be linked to events characterized by the occurrence of human rights violations,
- Administrative data - information generated and collected by line ministries and the regulatory authorities of the public institutions,
- Statistical surveys – quantitative and qualitative information on population subsets,
- Population censuses - complete enumeration of all members of the population of a country or any other territory, unlike statistical surveys, where only selected members of the population are surveyed.



¹⁹ <https://www.oecd-ilibrary.org/docserver/37e212e6-en.pdf?expires=1715007789&id=id&accname=guest&checksum=C560B429C-37C20580581133E568FEF38>

²⁰ https://www.ohchr.org/sites/default/files/Documents/Publications/Human_rights_indicators_en.pdf

6.1.5. Checklist for Step One

Checklist for Step One (Preparatory phase)

Action	Owner	Due date	Completed	In process	Overdue
Formal/institutional processes for strategy development started.					
<ul style="list-style-type: none"> Relevant decision on launching the strategy development process drafted by the Government/ Ministry. 					
<ul style="list-style-type: none"> The Draft Decision consulted with public institutions and external stakeholders. 					
<ul style="list-style-type: none"> The Draft Decision adopted by the relevant institution/ organisation. 					
Institutional setup for strategy development established.					
<ul style="list-style-type: none"> Key institutional mechanisms for strategy development defined. 					
<ul style="list-style-type: none"> General responsibilities of each institution/unit involved clearly defined. 					
Core team responsible for strategy development set up.					
<ul style="list-style-type: none"> Detailed responsibilities of the core team defined. 					
<ul style="list-style-type: none"> Selection of the staff and leadership of the core team completed. 					
Work plan established for the whole strategic process.					
<ul style="list-style-type: none"> Key steps in the strategy development process defined. 					
<ul style="list-style-type: none"> Responsibilities within each step clearly defined. 					
Preliminary database of key data sources established.					
<ul style="list-style-type: none"> Desk research on available/ existing sources conducted. 					
<ul style="list-style-type: none"> Cooperation with relevant partners established (including statistical offices for the purpose of data collection/provision). 					
<ul style="list-style-type: none"> Initial database established. 					

6.2. Step Two: Assessment of the Current Situation (Analysis Process)

6.2.1. Scope and its Importance

The preparation of the strategy begins with collection and analysis in structured manner all information that could feed the development of the strategy. The Analysis Process enables to better understand the environment in which the strategy will be developed and implemented, identify the main challenges and opportunities, as well as specify the main priorities for strategic intervention. It is also important in the course of strategic analysis to identify the key stakeholders - actors who could be potentially relevant in influencing the detailed content of the strategy, and who might be further involved in implementation of the strategic objectives. Data and evidence collected in the course of strategic analysis will be subsequently used in the development of objectives of strategic intervention.

The analysis should include determining the external stakeholders and institutional capacities, identifying the scope and targeted fields of the strategic intervention, and in particular defining the problems to be addressed. For this purpose, a variety of the analytical tools could be applied.

6.2.2. Actors and their Possible Roles

The analysis process is mainly the responsibility of the core working team (secretariat, strategy team) responsible for strategy development. However, the brainstorming/consultation meetings held especially for the purpose of conducting the problem analysis should also involve external stakeholders and senior decision makers in order to build broad consensus about the priority intervention areas. Considering that the problem analysis will subsequently determine the development of objectives, there is particular need to ensure that it focuses on the issues and areas perceived as priority by broadest possible group of stakeholders.

6.2.3. Available/Existing Tools

6.2.3.1. Reviewing Legislation and Policy/Strategy Documents (in order of hierarchy)

The review of legislation involves collection of the primary and secondary legislation shaping the binding commitments and standards relating to the field in which the strategy is being prepared. The same applies to analysis of the strategies and policy documents in place. This exercise should also involve any evaluations (ex post assessments) of the legislation and policy documents.

The review of legislation and policies could particularly take the form of gap analysis with the purpose of identifying the most important shortcomings affecting the level of protection of the fundamental rights. The gap analysis should rely mainly on desk research of the relevant pieces of legislation, but may also involve interviews with relevant stakeholders, as well as analysis of independent reports and studies. The gap analysis might be concluded not only with diagnosis of the fundamental shortcomings but include also recommendations for the necessary changes.

6.2.3.2. Stakeholder Analysis

The stakeholder analysis enables to identify potential partners for consultation in designing the strategy and its objectives. The identification of stakeholders might be also needed to specify (mapping according to the task, area of interest/work) the beneficiaries and other types of actors impacted by the strategic intervention. Following mapping of the stakeholders, they might be involved in the process of developing strategy through different means and arrangements: open consultation, working groups and committees.

The stakeholder analysis might take different forms: simple mapping/listing of all stakeholders, identifying what their interests are and how they could be potentially involved in drafting, implementation, monitoring and evaluation of the strategies. The identification of the groups of stakeholders will depend on the area. For example, UNICEF distinguishes the following groups of stakeholders in the area of children's rights:

- **Youth Organisations:** Children's clubs and child-led clubs (organisations that are run for children and by children) organised through schools, community centres, NGOs, places of worship, etc.
- **NGOs and International Organisations:** NGOs, community-based organisations or international organisations that have a direct focus on children and youth or that have a direct interest in the specific issue that is being explored (e.g., focus on natural resource use, environmental pollution, community development, online security).

- **Academic Staff or Professional Specialists:** Individuals with professional or academic expertise on child rights or a particular issue that have done research/project/publication on child development issues (e.g., children’s vulnerabilities in the online world, environmental pollution).
- **Parents/Caregivers:** Guardians, who can provide insights about children’s welfare, their activities or use of resources (e.g., company donations or public services).
- **Public Institutions:** National or local committees or ministries for children (e.g., Ministry of National Education), Children’s Ombudsperson and Children’s Commissioners; national human rights commissions, which may also work on child rights issues in the absence of a Children’s Ombudsman.
- **Private Sector:** Companies that are sector peers, or are operating in the same geographical area or present in the same value chain – such companies can provide insights on child rights issues and how they are addressing their impacts, either on an individual or collaborative basis
- **Labour Organisations:** Trade union, labour union or other labour organisations that can provide insight on working conditions of workers or of young workers.
- **Professionals in Contact with Children and/or Community Leaders:** Teachers, doctors, health workers, lawyers, child protection and/or social workers; village or community leaders and religious leaders who may have knowledge about the welfare of children (e.g., people who can take responsibility and provide information about diseases caused by water pollution in villages).
- **Children:** Groups of children (e.g., young workers, community members, children of employees) that may be positively or negatively impacted by business.²¹

More advanced stakeholder analysis includes particularly indication of potential interests of relevant stakeholders and the possible forms and scope of their engagement (See Section 6.2.6: Annexes for Stakeholder Analysis Template). The table below presents example of such stakeholder analysis developed for the strategy aiming at improvement of the quality of data relating to equality issues,.

²¹ UNICEF, Engaging stakeholders on children’s rights, 2014, p. 14.

Example for Stakeholder Map

Stakeholder	Interest	Participation
Public Institutions	Collectors and users of equality data. Will be the focus of actions to share good practice and learning, and their input will be required to disseminate key outputs and ensure join up with ongoing work across the public sector.	Representatives from public institutions with a key interest in mainstreaming equalities will be invited to join the Project Board. Representatives from public institutions will be invited to attend workshops, consultation events and information sharing sessions, where relevant.
Academics and data experts	May wish to share expertise on data collection, analysis and presentation. Input may be sought from academics and data experts.	The Project Board will write to selected academics and experts to arrange a meeting, where a need for input is identified.
Data owners	May be asked to share datasets or information about the datasets they own on a voluntary basis.	Data owners will be contacted where their input would be helpful.
Data collectors	May be asked to share information about the data they collect and their experiences of equality data collection on a voluntary basis.	Data collectors will be contacted where their input would be helpful.
Senior Experts	May wish to share their experience and ensure that this is taken into account. Their views can inform the development of the programme. This information will guide the programme, including the current and/or future priorities. It will also ensure that best practice guidance reflects the experience and expertise of people with different characteristics.	Experts by experience can provide input on the programme in writing Input will be sought in a project-specific basis to ensure their anonymised contribution is sought on key issues, and is coordinated in way to ensure the same groups are not overburdened.
Institutions and networks representing protected characteristics	May wish to express their views and ensure these are taken into account. Input from stakeholder organisations will be sought on a project-specific basis, especially as the programme moves towards developing a new Equality Evidence Strategy and an accompanying equality evidence programme for the period 2022-2025.	Stakeholder institutions can provide input on the programme in writing The Project Board will contact stakeholder institutions/units, where a need for input would be helpful.
Regulatory and scrutiny institutions	May wish to provide their views on what equality data is collected and how it is used.	Regulatory and scrutiny institutions will be contacted, where a need for input would be helpful. The membership of the Project/Consultation Board will be kept under review, and invitations will be extended to relevant institutions where a need for contribution would be helpful.

Source: <https://www.gov.scot/publications/equality-data-improvement-programme-communications-and-engagement-strategy/>

Involvement of stakeholders is essential during the process of drafting and implementation of strategic documents. As underlined by the OHCHR: *“The principal actors, and non-State alike, should engage in consultations about the process from the outset. The end result will be much more effective if it is produced as a result of partnership between public civil society rather than as a government-driven exercise. It is true that, at the end of the day, obligations to fulfil the plan fall primarily on government, and from that point of view it is impractical to have a plan that provides for measures that the government cannot or does not wish to carry out. However, a genuine process of dialogue should produce an understanding between government and civil society that lays the basis for a realistic plan enjoying broad community support.”* (OHCHR, Handbook on National Human Rights Plans of Action, 2002, p. 56).

As noted by the European Union Agency for Fundamental Rights, there are several challenges, but also promising practices relating to the forms and specific rules of stakeholders’ involvement.

Challenges and Promising Practices in the Context of Stakeholder Consultations

Challenges	Inspiring Practices
<ul style="list-style-type: none"> • How to select NGOs to consult (selection criteria: how to ensure diversity, representability, inclusiveness, and transparency of the process)? • How widely to consult? • How to avoid consultations becoming political? • How to find the balance between real participation of the consulted, while still being in charge of the drafting process as public institutions? • How to deal with expectation management of the consulted? • How to keep consultation sessions focused? • Consultations are time consuming. • How to deal with conflicting views/competition between different institutions that you consult? • How to build trust? • How to make sure that you are inclusive within a certain stakeholder group? 	<ul style="list-style-type: none"> • The use of different tools, rather than a one-size-fits-all approach, e.g. hearings, consultations, outsourcing) • Consulting the general population (broad masses representing the whole society) instead of/as well as with NGOs. • Outsourcing the analysis of input given (as a means to deal with issues of capacity and independence). • Thinking about the persons present at the consultation: outsourcing can tackle a possible issue with trust; having (high-ranking) civil servants present can lead to a more informed discussion; having politicians present increase political commitment. • Collaboration with the Ombudsman • Financial assistance for travel for the consulted • Ensuring broader perspectives by consulting widely • Working with umbrella institutions to reach more stakeholders • Taking a decentralised approach (also including the local/regional level) • Searching for available funds to help with the process of setting up the framework to consult civil society • Involving the NHRI in the design of the consultation • Consultations not only during the drafting process, but also during the evaluation process.

Source: Fundamental Rights Agency, National human rights action plans in the EU Practices, experiences and lessons learned for more systematic working methods on human rights, 2019.

6.2.3.3. SWOT Analysis

The SWOT (Strengths, Weaknesses, Opportunities, Threats) Analysis is generally the assessment of the internal and external factors that may positively or negatively influence the effectiveness and efficiency of strategic intervention. The SWOT analysis involves identification of the internal strengths and weaknesses of the organisation, as well as external opportunities and threats of potential impact on the planned intervention.

The SWOT analysis is widely used in preparation of strategies in the field of fundamental rights (See Section 6.2.6: Annexes for the SWOT Analysis Template). As an example, below an example SWOT analysis for strategic intervention in the field of equality.

SWOT Analysis for Strategic Intervention (Example)

Strengths	Weaknesses
<ul style="list-style-type: none"> • Equality as a fundamental right is related to all public and private activities as well as to relations between individuals • International norms and international case law, including the EU anti-discrimination directives • The new more comprehensive Non-Discrimination Act which covers the gaps in EU legislation • The new Non-Discrimination Ombudsman and National Non-Discrimination and Equality Tribunal as easily-accessible legal remedies • The more extensive statutory obligation related to equality planning • International human rights actors also bring up challenges related to equality and new forms of discrimination are identified • Discrimination is also addressed by the EU and in national foreign policy • The Government Programme mentions zero tolerance for racism • Research information on discrimination is available (discrimination monitoring system) and awareness has increased • Institutions representing groups at risk of discrimination are active • Citizens regard equality and gender equality as important values 	<ul style="list-style-type: none"> • Comprehensive addressing of different forms of discrimination, in particular intersecting discrimination, is challenging • Gaps in the EU anti-discrimination legislation • Victim surveys, statistics and evaluations by international human rights actors indicate that extensive problems are associated with the realisation of equality • Recognition of several different forms of discrimination is challenging both for victims and perpetrators, especially in the case of indirect and structural discrimination • Discrimination at work, in particular in recruitment, is often not exposed • Victims of discrimination seldom report of discrimination cases • A high threshold for claiming redress at court, a slow and heavy process with the risk of legal expenses • Challenging to obtain sufficient evidence on discrimination, especially in a criminal procedure but also in a civil procedure • Persons belonging to visible minorities face discrimination particularly frequently.

Opportunities

- The more extensive obligation related to equality planning
- New tools for assessing equality and for equality planning
- Discrimination can be prevented by assessing the equality impacts of legislation and actions
- New Non-Discrimination Act allows for building up case law on new forms of discrimination
- Strong civil society and tradition of organisational activities, exposure of discrimination experienced by various groups
- Joint actions of various social groups against discrimination may also increase solidarity and improve relations between social groups
- Non-discrimination and accessibility may constitute a competitive advantage and an important part of the image in the international labour market and in tourism marketing
- Non-discrimination is a guarantee of civil peace.

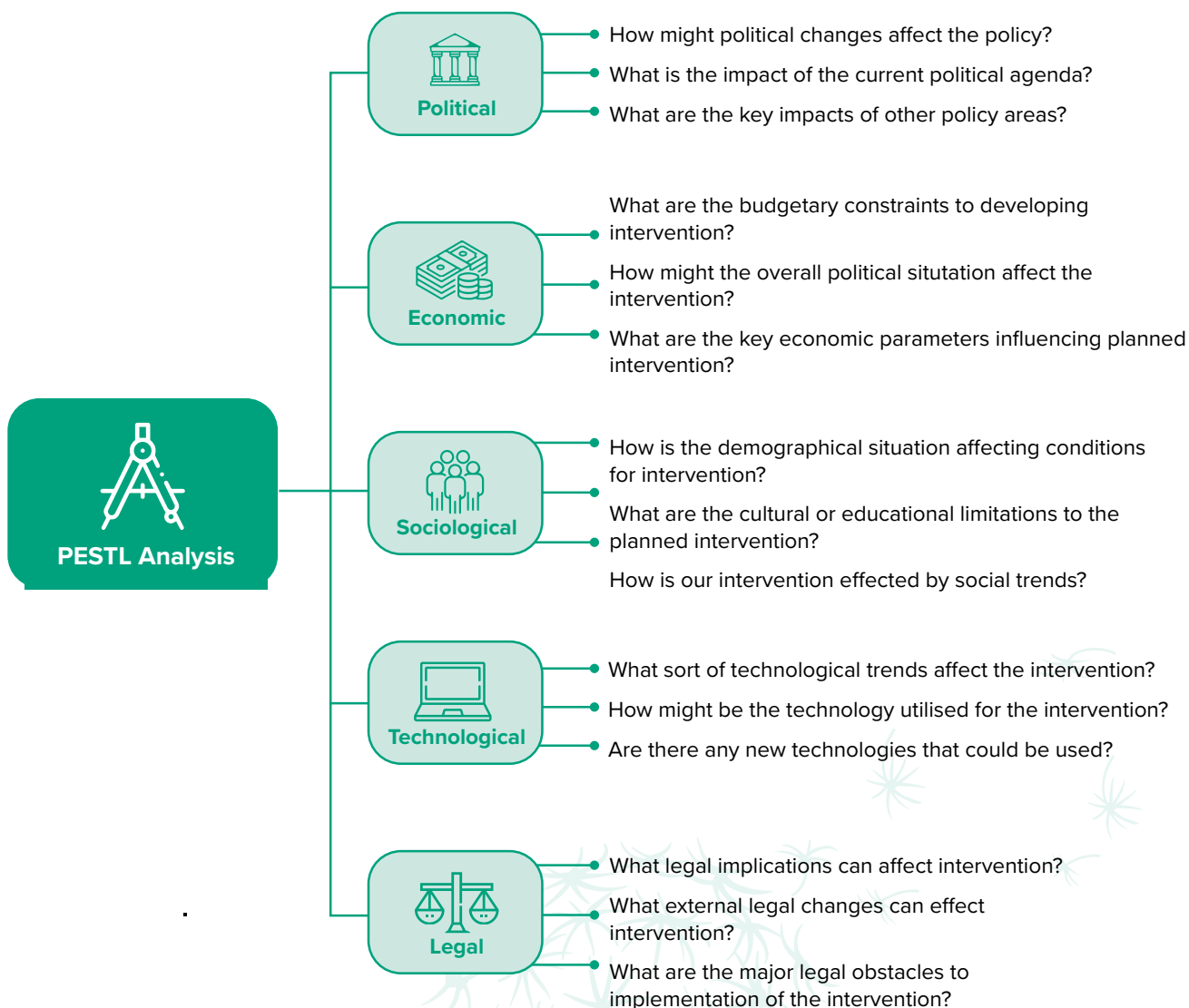
Threats

- Spreading of hate speech in the social media, in particular, and its influence on prejudices and consequently on discrimination and violence
- Hardening of attitudes and polarisation of debate and their influence on the prevalence of discrimination
- Discrimination impairs relations between population groups and undermines trust that is important to society
- Threats and hate speech directed, in addition to individuals and groups, at the representatives of various professional groups when they bring up and address discrimination (e.g. researchers, journalists, judges)
- Juxtaposition of the challenging economic situation and various groups may impair relations between population groups
- Discrimination may result in serious problems, such as marginalisation, which is expensive for society and also wastes resources
- Impacts of legislative amendments if no thorough equality impact assessment is performed

Source: Government of Finland, National Action Plan on Fundamental and Human Rights 2017–2019, p. 56, https://julkaisut.valtioneuvosto.fi/bitstream/handle/10024/79849/OMML_25_2017.pdf?sequence=1&isAllowed=y

6.2.3.4. PESTL Analysis

The PESTL Analysis focuses on recognising political, economic, social, technological, legal and environmental external factors that may positively or negatively affect the planned interventions. The table below provides list of guiding questions for PESTL analysis, accompanied with some additional explanation about use of this tool.



Why PESTL analysis is needed?

- It provides a general assessment of the environment in which the strategic intervention takes place,
- It enables to identify factors that both may enable or hamper successful implementation of the intervention,

How to conduct PESTL analysis?

- The PESTL analysis requires joint analytical knowledge and effort from different disciplines,
- The most useful approaches for developing PESTL analysis are thematic meetings, consultation meetings, brainstorming sessions and workshops.

6.2.3.5. Problem Analysis/Tree

The core element of the strategic analysis is determination of the targeted area of strategic intervention; i.e. Identification of the main problem or problems to be addressed as well as their root causes (that need to be eliminated or reduced). Therefore, the method of the problem tree is extensively used. The problem tree enables in particular to identify the core problem and reasons behind it (See Section 6.2.6 for Problem Tree Template). In extended form, it may also involve defining the consequences (impacts, effects) of the core problem.

The development of the problem tree includes six major steps:

1. Consultation/brainstorming about the problems – completely open or more directed towards predefined high priority issues,
2. From the problems identified, agreeing on the main or core problem,
3. Identifying the causes and effects of the core problem,

CAUSES - Identifying the causes/root cause of the problem, considering that one problem may have different causes,

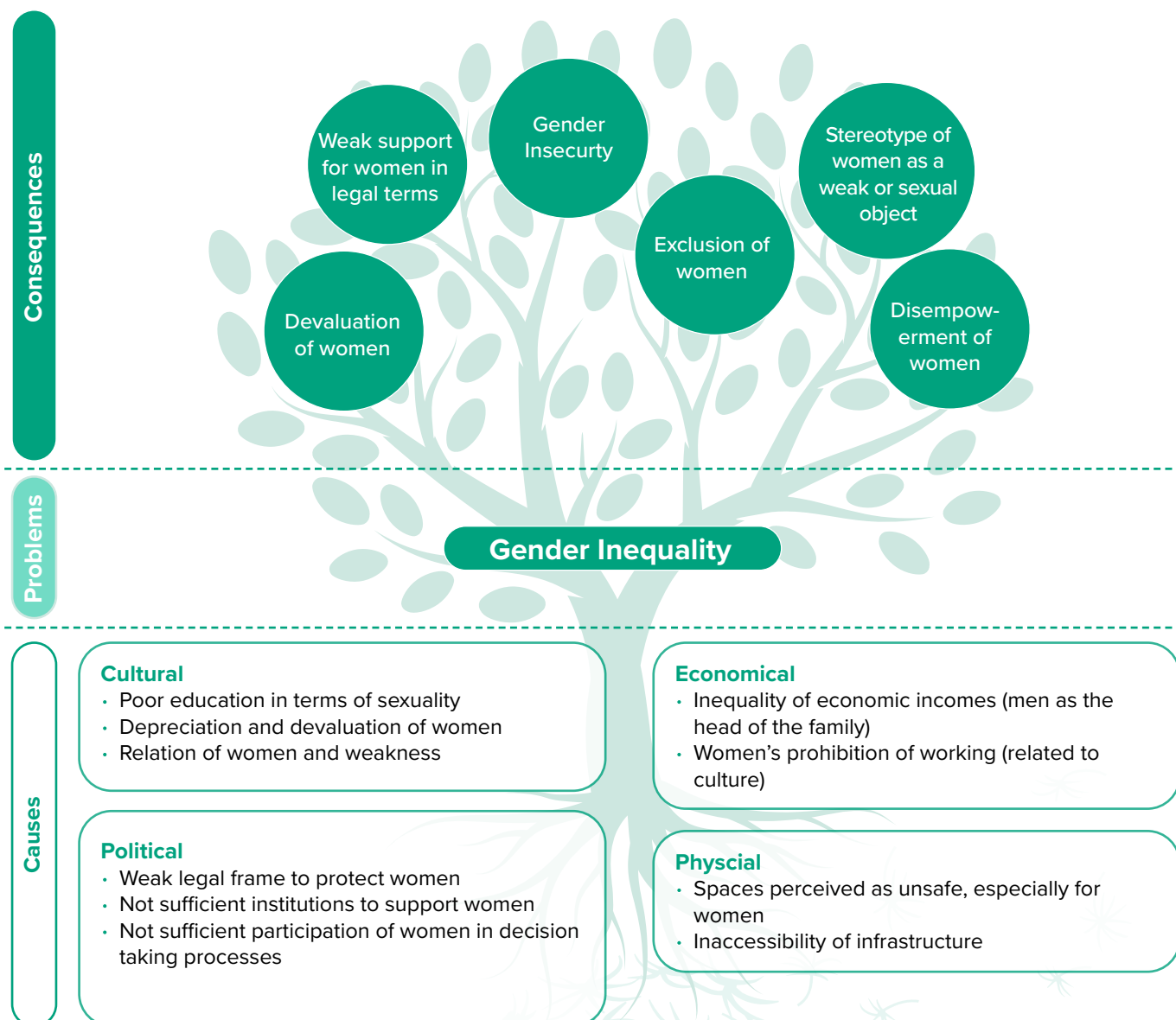
EFFECTS – considering the effects of the problem by asking “What happens then?”, starting from most direct effects of the core problem, in order to identify the possible effects of the core problem.

4. Establishing hierarchy of causes and effects – identifying the causes of the main problem from direct causes to more indirect; identifying direct and further effects,
5. Connecting problems with cause-effect arrows,
6. Preparing a graph/figure that includes all steps, review it thoroughly to ensure all steps are included – verify the overall logic of the analysis.²²

Graphic below demonstrates simplified version of the problem tree relating to problems of sexual violence against women. It concentrates only on identification of causes (reasons) behind the core problem. The identification of core problem reflects the broadest possible identification of the phenomenon requiring public intervention.

²² International Committee of the Red Cross, *Programme/project management: The results-based approach*, 2008 s. 37-40.

Problem Tree Example Including Causes and Effects



Source: https://www.britishcouncil.org/sites/default/files/gender_guide_external_july_2019.pdf

6.2.4. Potential Problems/Challenges and Recommendations for Solution

Potential Problems/Challenges	Potential Solutions
Low engagement of external stakeholders in strategic analysis process	More tailored approach to relevant groups of stakeholders rather than an approach that is suitable for all stakeholders
Low capacities of the strategy team to conduct comprehensive strategic analysis	Assigning temporary experts/procurement of services to conduct analysis (when funding is available)
Poor access to data necessary for strategic analysis due to lack of cooperation from other institutions	Raising cooperation issues with senior decision-makers – requesting higher-level intervention

6.2.5. Checklist for Step Two

Checklist for Step Two (Strategic Analysis)

Action	Owner	Due date	Completed	In process	Overdue
Relevant legislation and policy documents reviewed.					
• Analysis of relevant international commitments conducted.					
• Analysis of the relevant national legislation conducted.					
• Strategies and policies in place reviewed.					
Gap analysis of the legislation and policy documents completed.					
• Initial scoping of the major areas of interventions conducted.					
• Detailed mapping of the key gaps in the current framework finalised.					
Stakeholders mapped.					
• Identification of stakeholders conducted.					
• Duties, responsibilities, interests and possible participation of the stakeholders analysed.					
SWOT analysis conducted.					
• Data for SWOT analysis collected.					
• SWOT matrix completed.					
SWOT analysis conducted.					
• Data for SWOT analysis collected.					
• SWOT matrix completed.					
Problem tree completed.					
• Consultation/brainstorming session on the core problem conducted.					
• Core problems agreed upon.					
• Causes and effects relating to the core problems defined.					

6.2.6. Annexes

Stakeholder Analysis Template

Type of Stakeholder	Actors	Interest and Potential Involvement
Ministries and public institutions		
Parliament		
Local administrations		
International and regional actors		
National human rights institutions		
NGOs		
Private sector		
Labour unions and other representatives of the workers		
Media		
Academia and independent experts		

Description:

Type of Stakeholder: Stakeholders grouped into main categories, depending on their status

Actors: Please indicate by title all most relevant stakeholders from each group. It is recommended to list the actors here in order of their relevance to the topic.

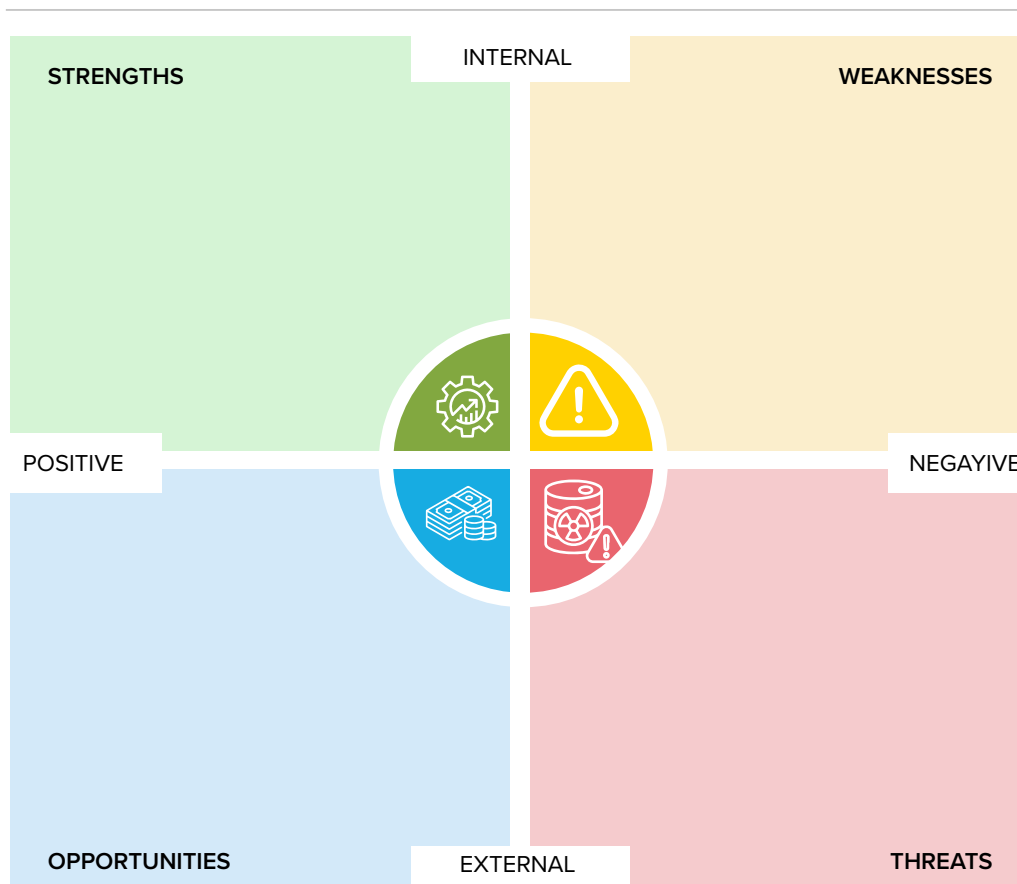
Interest and Potential Involvement: Please describe for each of the actors:

- 1) What kind of interest they present or might present towards the strategy;
- 2) How each actor could be potentially involved in the strategic process. At the minimum level, this should include considerations about engaging them in the process of consultation of the strategies. However, also more advanced mechanisms for involvement could be analysed, e.g. direct engagement in drafting strategy or role in the management of the strategic process, as well as its evaluation.



SWOT Analysis Template

SWOT Analysis



STRENGTHS:

- Capacity of the institution that can be used for successful implementation of strategic intervention, e.g., resources available, areas of special expertise, etc.

WEAKNESSES:

- Institutional deficiencies in the institution’s capacity to successfully implement the strategic intervention; for example, inadequate knowledge of responsible staff, inadequate resources, including financial resources.

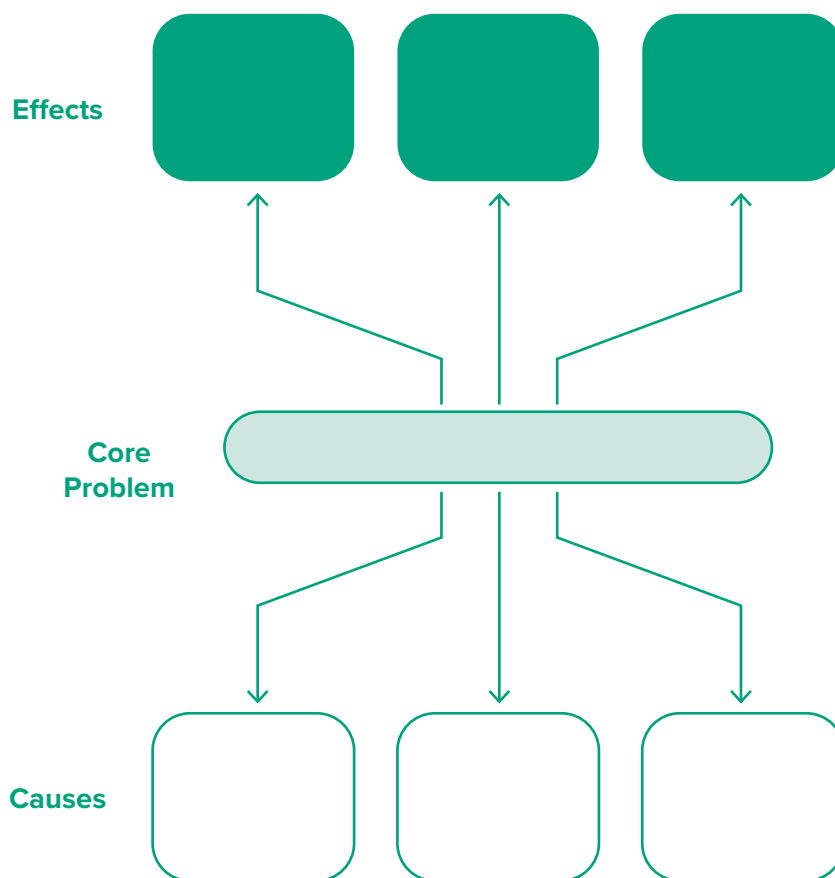
OPPORTUNITIES:

- Positive trends, especially in the economic, political, technological environments that can be utilised to maximise the effectiveness of strategic intervention.

THREATS:

- External factors and trends that could significantly hinder successful implementation of the planned strategic intervention, e.g., deterioration of the economic structure and conditions, poor capacities of institutions involved in the implementation of policy in the area of the strategic intervention

Problem Tree Analysis



Development of the Problem Tree – Steps:

1. Consultation/brainstorming about the problems – focusing on completely open or more pre-defined concrete topics with high priority issues,
2. Agreeing on main or core problem,
3. Identifying the causes and effects of the core problem,
4. Establishing hierarchy of causes and effects – identifying the causes of the main problem from direct causes to more indirect, identifying direct and further effects,
5. Connecting problems with cause-effect arrows,
6. Reviewing the entire problem tree and associated figure.

Source: International Committee of the Red Cross, *Programme/project management: The results-based approach*, 2008 s. 37-40.

6.3. Step Three: Strategy Development

6.3.1. Scope and its Importance

Following the completion of the analysis and the collection of all necessary data, the development of the strategy can start. This stage is completed with the institutional work on additional elements such as the strategy document and the accompanying action plan or (draft) budget preparation and the acceptance of the strategy.

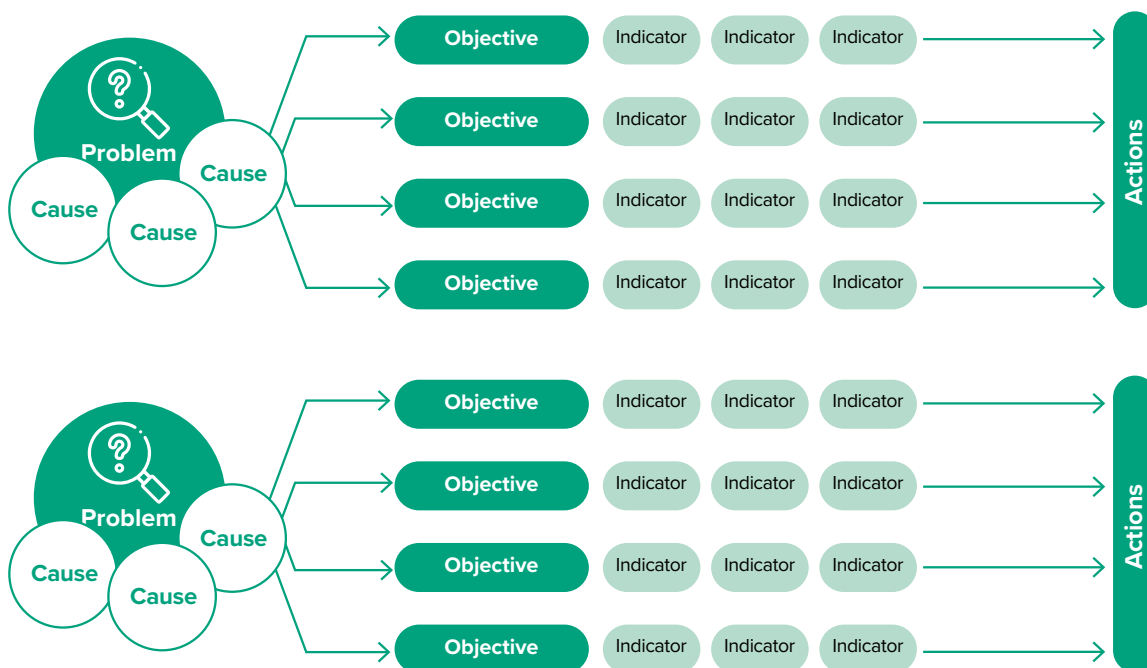
This crucial part of the process involves the following main steps:

- Identifying general and specific/sub-objectives based on the previously identified problems and their causes,
- Developing indicators (preferably at different levels, goals, activities, etc.) for measuring the progress towards objectives and assessing success of strategic intervention,
- Identifying activities paving the way towards realising the objectives,
- Calculating resources necessary for implementation of activities, especially financial inputs,
- Identifying risks that may potentially affect implementation and elaborating risk mitigation plans.

These steps should be implemented in cooperation, through mutual consultation and joint work with all stakeholders identified in the first stage. Nevertheless, key decisions on objectives of strategic intervention, as well as resources to be allocated, should be made at the level of senior management, considering the significance and impact of the strategy.

The complete strategy should be based on the logical framework depicted on the chart below. Each problem and each cause should be translated into objectives addressing the core problems and their causes. Each objective should be accompanied with indicators ensuring assessment of the effectiveness of the implementation of objectives. Finally, activities/actions should be comprehensively listed needed for the implementation of the objectives. Activities might be accompanied by detailed catalogue of outputs specifying the products/services to be delivered with the full implementation of the activities.

Flowchart: The Logic of Strategic Intervention



6.3.2. Actors and their Possible Roles

As underlined by international organisations, such as the OHCHR, the sharing of responsibility for drafting the strategy is an important stage and can be achieved using various methods presented below:

- Strategy team/secretariat (the main institution/unit responsible for managing the whole strategic process),
- Various sectoral working groups, whose contributions can then be harmonized by the secretariat,
- External expert/consultant support,
- Public institutions and NGOs, who can contribute to sections of the strategy according to their areas of responsibility,

By following the methods, the process should be collaborative and interactive, leaving a lot of room for consultation and cooperation among stakeholders in the development of the core elements of the strategy. Methods and tools for engaging all stakeholders may include:

- Open public consultation,
- Working groups with representatives of stakeholders,
- Thematic meetings, advisory boards,
- Workshops and focus groups
- Surveys (face-to-face or online),
- Public consultation/opinion polls.

6.3.3. Basic Concepts

6.3.3.1. Vision

Vision is not mandatory element of the strategy, but it could be helpful for articulating and promoting the main message of the strategy. The vision provides description of the state of affairs resulting from strategic intervention. As noted by SIGMA: *“Vision statement should be concise, short, clearly written, easy to remember, and should clearly provide future direction. The best vision statements are considered to be only one or two sentences long. While lengthy vision statements should be avoided, some additional explanation can be provided to support the vision statement, if deemed necessary.”*

In case of institutional strategies, vision could be supplemented with the mission indicating the core task of the institution, as well as set of fundamental values, guiding the institution in the process of implementation of their tasks. The box below provides an example of the mission-vision-fundamental values statement of one of the national human rights institutions.

Mission-Vision-Values Statement of a National Human Rights Institution (Example)

MISSION

The Institute is to protect and promote human rights and equality.

VISION

A world in which everyone is guaranteed full respect for their human rights and equality.

VALUES

The Institute has four fundamental values.

We take these values seriously. This means that they provide direction for our priorities and decisions every single day. The fundamental values are interdependent, they reinforce each other, and they are crucial in ensuring our legitimacy and impact.

Independence

It is vital for a national human rights institution to be, and be seen to be, independent. This means that we make our own decisions and we do not allow ourselves to be influenced by party-political or commercial interests, for example.

Collaboration

Continuous and active collaboration with other stakeholders is a precondition for ensuring that our work is relevant and makes a real difference for people. This applies to work with different stakeholders and abroad and to collaboration across professional competences and work areas inside the organisation.

Expertise

The core of the Institute's activities is our high level of professionalism and expertise, as is expected by the surrounding world. To meet this expectation, we implement methods such as, inter alia, encouraging our employees to specialise and ensuring that employees with the most comprehensive knowledge are assigned.

Credibility

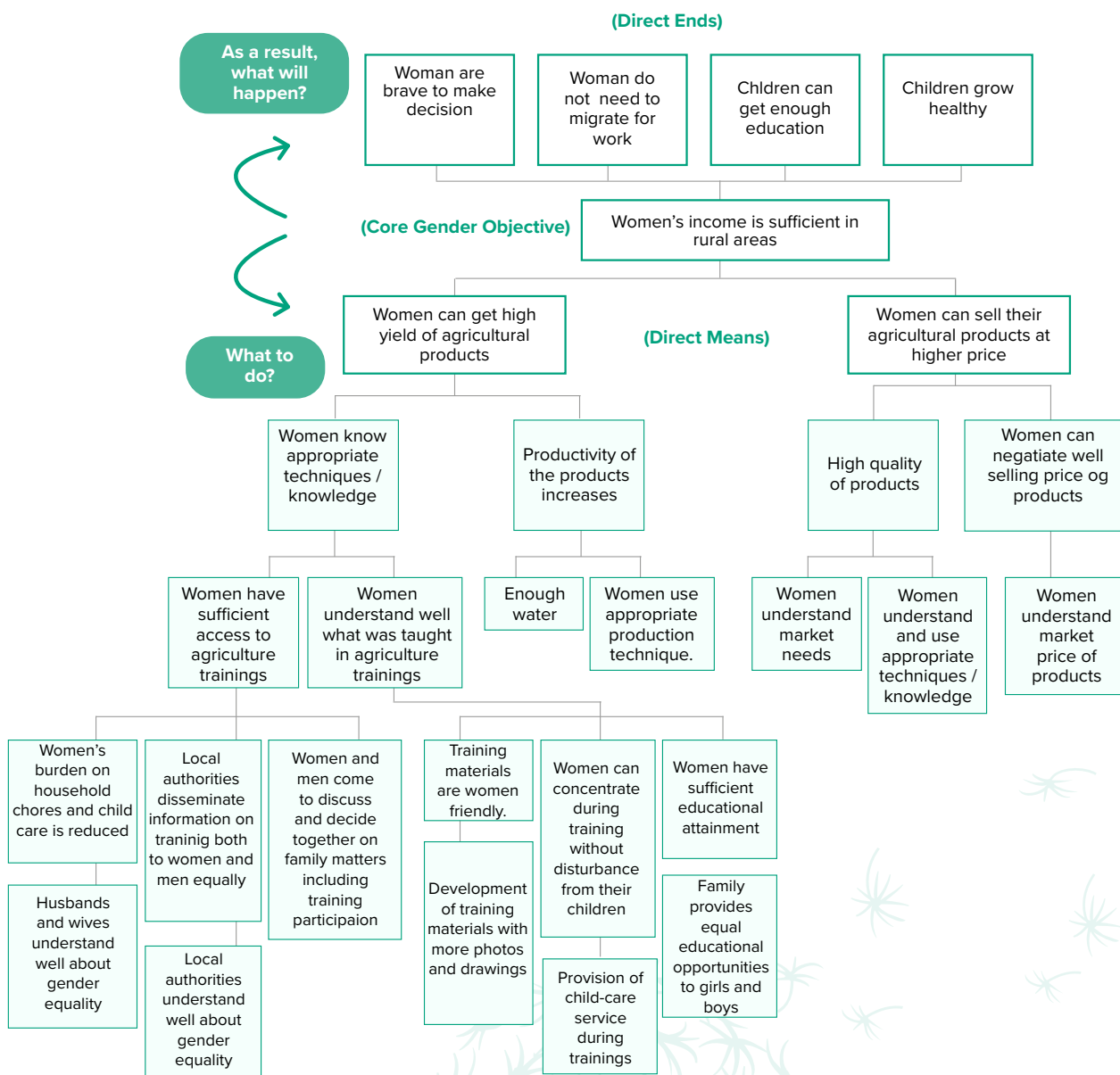
We safeguard our credibility, as it is pivotal in enabling us to create the change for human rights we have been put on this earth to do. We are open about what we do, how we do it, why we do it, and who we do it with.

Source: <https://www.humanrights.dk/about-us/strategy>

6.3.3.2. Setting Objectives

Based on the evidence and information collected at the analysis stage, the strategic objectives should be identified in cooperation with the stakeholders, responding primarily to the core problem identified. Objectives should target both core problem and its root causes. They should describe the desired outcome of strategic intervention, i.e. state of art following successful implementation of the strategy. There could be distinction between main objective concentrating on the core problem and more sub-objectives addressing mainly the causes. While setting objectives, the problem tree used in the analysis process can be used. A sample objective tree is provided below:

Example of Objective Tree



Source: https://www.jica.go.jp/Resource/project/cambodia/023/materials/bh0jqv0000005ypa-att/cambodia_01.pdf

While setting objectives, it is crucial to identify each objective in line with the SMART criteria.

S – Specific, simple and significant

M – Measurable

A – Achievable and attainable

R – Realistic, relevant, results-oriented

T – Time-bound, time-limited

For example, an objective in compliance with SMART criteria/benchmarks can be defined as follows:

- “Reduce human rights violations by 20% by 2028 to protect and promote rights”.

Annex 6.3.6 includes a checklist of SMART criteria/benchmarks that can be used for objectives.

6.3.3.3. Performance Indicators

One of the most fundamental processes of the strategy development step is the identification of performance indicators. It is expected that indicators will be identified at different levels. For example, objectives should be accompanied with indicators enabling measurement of the progress in implementation of objectives. Indicators might be quantitative, qualitative or binary (yes/no type). The indicators should but also be identified by considering the specific features of the area of fundamental rights. For example, in the field of human rights, three types of indicators are commonly used:

- ‘Structural’ indicators: relate to the availability of aspects such as formal commitments to international human rights standards, adoption of legislation, and establishment of enforcement and monitoring mechanisms.
- ‘Process’ indicators relate to, for example, the existence of policies, effectiveness of various complaints mechanisms, and whether a governance system is sufficiently adapted to deal with fundamental rights issues.
- ‘Outcome’ indicators relate to the situation on the ground, with respect to how people materialise rights as being experienced in practice, or not²³.

²³ Agency of Fundamental Rights of the European Union, Using indicators to measure fundamental rights in the EU: challenges and solutions, 2011, p. 18.

Indicators for Human Rights Indicators in the Field of Rights of Persons with Disabilities - Example

Objective	Structural Indicators	Process Indicators	Outcome Indicators
Lifting legal and administrative barriers	<ul style="list-style-type: none"> Article 29 of the Convention on the Rights of Persons with Disabilities Article 12 of the Convention on the Rights of Persons with Disabilities National disability strategies Restrictions on right to vote of people without legal capacity Requirement to register to vote Alternative ways of voting Ensuring persons with disabilities who stay/live in institutions for a long time to vote. Duty to provide assistance Legally able to access Complaint mechanisms 	<ul style="list-style-type: none"> Accessible information about Complaint mechanisms Cases considered by courts Cases considered by non-judicial complaint bodies Cases considered by international complaint bodies 	<ul style="list-style-type: none"> National MPs with a disability Members of municipal authorities with a disability
Increasing rights awareness	<ul style="list-style-type: none"> Article 29 of the Convention on the Rights of Persons with Disabilities National disability strategies Training for election officials 	<ul style="list-style-type: none"> Commitment to accessible manifestos Guidelines on accessible polling stations 	<ul style="list-style-type: none"> Accessible information websites Accessible information television broadcasts Accessible election manifestos
Making political participation more accessible	<ul style="list-style-type: none"> Article 9 of the Convention on the Rights of Persons with Disabilities Accessibility standards for the internet Accessibility standards for audio-visual media Accessibility standards for public buildings Accessibility standards for polling stations Duty to provide assistance 	<ul style="list-style-type: none"> Commitment to accessible declarations and notifications (election manifestos) Guidelines on accessible polling stations Accessible information about Complaint mechanisms 	<ul style="list-style-type: none"> Accessible polling stations Accessible public buildings Accessible information websites Accessible information television broadcasts Accessible election manifestos

Source: Agency of Fundamental Rights of the European Union, *Indicators on the right to political participation of people with disabilities*, 2014, çevrimiçi: <https://fra.europa.eu/en/publication/2014/indicators-right-political-participation-people-disabilities>.

There are several methods to ensure and assess the methodological quality of indicators. In particular, the identification of indicators in the field of fundamental rights should comply with certain criteria recommended and used by international organisations, such as the RIGHTS and RACER criteria. However, the application of the checklist for the quality of indicators developed by the Vera Institute could also be considered (see Section 6.3.6).

RIGHTS criteria require indicators to be:

- Relevant and reliable
- Independent in its data-collection methods from the subjects monitored/evaluated
- Global and universally meaningful but also amenable to contextualisation and disaggregation by prohibited grounds of discrimination
- Human rights standards-centric; anchored in the normative framework of rights
- Transparent in its methods
- Timely and Time-bound
- Simple and Specific

The RACER criteria also introduce similar features regarding indicators:

- Relevant: closely linked to the objectives to be reached, consider policy support, past and future trends and sensitiveness
- Accepted: by the management, the staff, the stakeholders and other users
- Credible: accessible to non-experts, unambiguous and easy to interpret, transparent and sound
- Easy: feasible to monitor and collect data at reasonable costs, no complex monitoring
- Robust: not easily manipulated, traceable and reproducible

In the identification of the indicators, it might be useful to refer to widely available sets of human rights indicators, developed by international institutions and governments, for example:

- Database of Exemplary Indicators for Various Human Rights and Freedoms produced by the UN-OHCHR²⁴,
- Minimum Set of Gender Indicators produced by United Nations Statistics Division²⁵,
- Core Set of Child Protection Indicators developed by UNICEF²⁶,
- Catalogue of Indicators for National Action Plan for Human Rights developed by the Finnish Government²⁷.

For each indicator, it should be ensured that both baseline (initial and preferably interim) and target values are established. The baseline value informs about the current situation, while the target value reflects the desired situation, resulting from the strategic intervention. Target value should be established in realistic terms, considering the available resources. However, it must also show that the situation can be significantly improved and that it is achievable and realistic with the resources that will be allocated.

It is also useful to ensure that data for calculation of the indicators (especially more complex ones) are collected and analysed in line with consistent methodological approach. For this purpose, each indicator could be accompanied by indicator passport, describing particularly the methods for data collection and the process for calculation, including indication of the person/organisational unit responsible for this task (See Annex 6.3.6).

²⁴ https://www.ohchr.org/Sites/Default/Files/Documents/Publications/Human_Rights_Indicators_En.Pdf

²⁵ <https://gender-data-hub-2-undesa.hub.arcgis.com>.

²⁶ <https://www.unicef.org/eca/statistical-manual-core-set-child-protection-indicators-europe-and-central-asia>

²⁷ https://julkaisut.valtioneuvosto.fi/bitstream/handle/10024/163742/VN_2022_6.pdf?sequence=1&isAllowed=y

6.3.3.4. Development of Actions

Once objectives and indicators are identified, the next step includes the description of actions that are necessary for implementation of objectives. Actions, generating concrete outcomes (goods-supplies, services, infrastructure, etc.), should guarantee effective implementation of the strategic objectives. Actions may involve various types of activities such as: drafting and adoption of policy documents and legislation, undertaking awareness raising activities, conducting trainings, developing infrastructure, purchasing equipment, carrying out public campaigns and advocacy activities, providing specific services to the beneficiaries of public intervention (See Annex 6.3.6 for the Action Plan Template).

A catalogue of actions that could be integrated into strategies relating to fundamental rights have been developed by the OHCHR. This catalogue, divided by areas of intervention, is not an exhaustive list of possible actions and activities, but can be used as examples for the development of interventions.

Examples of Actions to be Included in Policies on Fundamental Rights

Area	Actions
International and national legal frameworks	<ul style="list-style-type: none"> • Ratification of United Nations or other international human rights instruments, including an outline of specific steps that the State will take to achieve this objective, • Overcoming any delays that impede the countries' compliance with its reporting obligations, including the establishment of time frames, • Withdrawal of any reservations the countries has entered to international human rights instruments, • Accession to optional protocols to human rights treaties, including complaint procedures, • Incorporation of international human rights standards in domestic law and practice, including appropriate research and implementation steps.
Economic, social and cultural rights	<ul style="list-style-type: none"> • Commitment to take legislative and administrative measures to entrench the recognition and observance of economic, social and cultural rights, • Commitment to effective means of redress for violations of economic, social and cultural rights, • Elaboration of benchmarks for the realisation of economic, social and cultural rights in line with the country's human rights obligations and development of specific programmes to achieve associated targets in areas such as: <ul style="list-style-type: none"> - The right to an adequate standard of living, including nutrition and housing, - The right to health, - The right to education - The right to social security, - The right to participate in cultural life, - The right to work, - The right to just and decent conditions of work and to form and join trade unions, • Elimination of discrimination in the observance of economic, social and cultural rights, • Development of mechanisms to monitor on a regular basis the observance or non-observance of economic, social and cultural rights, • Conduct of public inquiries into systemic problems in the areas of economic, social and cultural rights, • Proposal of programmes of awareness of economic, social and cultural rights both for relevant officials and workers and for the general public, • Promotion of research and debate on economic, social and cultural rights.

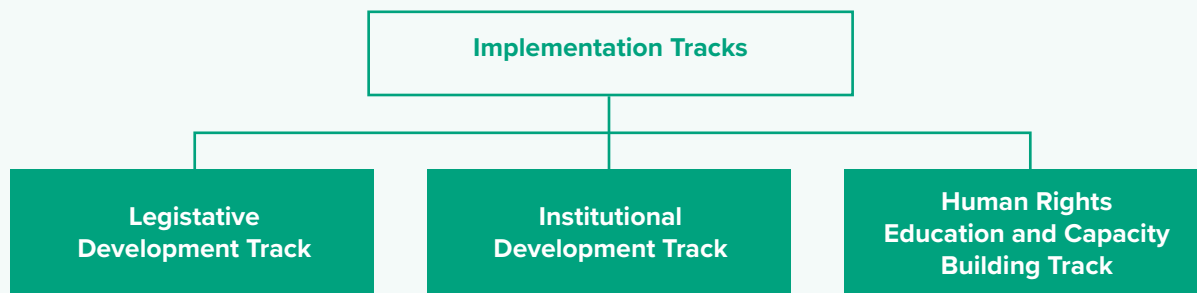
<p>Civil and political rights</p>	<ul style="list-style-type: none"> • Commitment to enact legislation protecting civil and political rights, including legislation addressing issues such as violence against women and exploitation of children, • Legal reform with a view to bringing the criminal procedure code and other key legislative acts into conformity with the relevant human rights treaties, • Proposed measures aimed at strengthening the independence of the judiciary, • Proposed training on human rights issues for the judiciary, police, correctional services workers and security authorities, • Provision of adequate resources to ensure that the court system and the general administration of justice operate effectively, that police operations are able to give full attention to the rights of citizens and that correctional institutions are better able to observe the rights of detainees, • Establishment of standing monitoring mechanisms (such as a prison inspectorate) and commissions of inquiry where needed to investigate and formulate recommendations on specific issues, • Establishment of operational policies and guidelines for the judiciary, police, correctional service workers and security authorities that ensure actions are in accordance with internationally recognized human rights standards, • Steps to strengthen the electoral system to ensure it provides for periodic elections in accordance with international human rights standards and international best practice, • Establishment of effective mechanisms aimed at the eradication of impunity, including grievance procedures in relation to public administration and effective measures of redress for violations of human rights, • Steps to promote freedom of information, particularly access to State-owned broadcasting media, • Steps to promote freedom of religion, • Establishment or strengthening of provisions for legal aid.
<p>Particular groups/vulnerable groups</p>	<ul style="list-style-type: none"> • Indication of legislation or administrative action aimed at improving observance of the human rights of groups such as: women, children, indigenous peoples, racial, ethnic, religious, linguistic and other minorities, persons living in extreme poverty, persons with disabilities, persons living with HIV/AIDS, older persons, the mentally ill, refugees and asylum-seekers, migrant workers • Indication of steps to prevent discrimination
<p>Collective rights</p>	<ul style="list-style-type: none"> • Promotion of research and debate on collective rights, • Coverage of collective rights in human rights education programmes, • Promotion of awareness of the right to development among government national planning or development assistance agencies, • Promotion of consideration of the right to development and human rights issues in international forums dealing with economic issues, • Development of policies that integrate human rights into the development process,

Source: OHCHR, UN's Handbook on National Human Rights Plans of Action, 2002, p. 77-81.

It may also be useful to organise the implementation of the strategy around some thematic areas separated by the nature of the activities. An example of this approach applied in the national human rights strategy is provided below:

Example of the Management of the Strategy Implementation Process

“The implementation of the strategy depends on making progress in three parallel tracks:



First Track: Legislative Development

The current legislation is rich in guarantees for the promotion and protection of human rights. However, there is still a need to build upon progress achieved in this area in order to enhance consistency between national laws, on the one hand, and principles and guarantees stated in the Constitution and international and regional human rights instruments ratified, on the other hand, either by amending certain existing laws or promulgating new ones.

According to Article 3 (10) of the Prime Minister’s Decree constituting the Supreme Standing Committee for Human Rights, the Committee is mandated to “propose laws and legislative amendments related to the promotion and protection of human rights“, which would contribute to achieving the strategy’s target results related to legislative development.

The effective enforcement of laws in practice, together with the development of necessary mechanisms, and the respect to and compliance with laws are indispensable for the strategy to achieve its goals and a necessary requirement to enhance the rule of law.

Second Track: Institutional Development

There is a rich institutional edifice for enhancing respect for and protection of human rights. The discharge of all relevant institutions of their mandates effectively and efficiently shall have a positive impact on enhancing the human rights situation. This includes proposal, elaboration and implementation of policies as well as the development of their institutional capacity, work methodologies and tools.

The institutional edifice for enhancing respect for and protection of human rights is being developed continuously. The establishment of the Supreme Standing Committee for Human Rights, towards the end of 2018 (replacing the main Human Rights Committee of the Ministry of Justice constituted in 2016 with membership of relevant bodies) is a significant addition in this regard. It reflects a political will to operationalize the constitutional and legislative frameworks related to the protection of rights and freedoms and to enhance the implementation international and regional human rights obligations. The Committee is mandated to: prepare the national human rights strategy; propose necessary legislative measures and procedures related to the promotion and protection of human rights; prepare national reports to be submitted to international and regional human rights mechanisms; follow-up the implementation of recommendations issued by these mechanisms; draft periodic reports monitoring and analysing human rights issues; prepare official responses to communications of international and regional human rights mechanisms; and draft an action plan on national capacity building in the field of human rights. These tasks are fulfilled in coordination with units and departments concerned with human rights in all ministries, governorates and bodies. In 2012, a human rights sector was established in the Ministry of Interior, with a department which monitors crimes of violence against women, children and persons with special needs. There are also anti-violence against women departments in all security directorates. (...)

The institutional edifice for human rights promotion and protection also comprises the National Council for Human Rights, as the national independent human rights institution, the National Council for Women, the

National Council for Childhood and Motherhood and the National Council for Persons with Disabilities. These councils are responsible for reporting any violations related to their fields of work to public authorities and provide opinions on draft laws and regulations related to their fields of work. The independence of the councils is guaranteed by the Constitution.

Third Track: Human Rights Education and Capacity Building

Human rights education and capacity building are main pillars underlying the human rights edifice. Therefore, further dissemination and consolidation of the human rights culture shall save subsequent efforts needed to protect human rights and fundamental freedoms as well as contribute to addressing any violations, especially those resulting from certain incorrect cultural legacies. Moreover, the capacity of the authorities assigned by the protection of human rights are built and developed by means of ongoing training programmes and courses. This is indispensable for enhancing respect for human rights and fundamental freedoms.²⁸

6.3.3.5. Identification of Costs (Budgeting)

While most of the strategies on fundamental rights do not contain detailed costing of the planned intervention, it is potentially useful to consider also this aspect. As a minimum, rough estimation of the total cost of the strategy should be provided. However, it is also possible to provide more detailed calculations, based on the taxonomy of costs provided below.

It is also recommended that costs be reviewed according to current market rates.

Taxonomy of Costs in Human Rights Policies (Example)

Type of costs	Examples
Recurrent costs (personnel)	<ul style="list-style-type: none"> Salaries of the project team and other staff directly engaged in implementation of the strategy Trainings for the staff
Recurrent costs (non-personnel)	<ul style="list-style-type: none"> External services (e.g. consultancy) Purchase of materials Maintenance of infrastructure
Investment costs	<ul style="list-style-type: none"> Buildings Equipment Software
Process-related costs	<ul style="list-style-type: none"> Consultation meeting expenses (roundtable meetings, municipal council meetings, focus group meeting, citizens panels, public opinion survey, etc.) Monitoring committees Communication activities Publication and dissemination of outputs

Source: Equal in Rights, *A Guide to Costing Human Rights*, 2011.

Annex 6.3.6 provides a *Cost Breakdown Template* that can be used to determine costs.

²⁸ Source: National Human Rights Strategy 2021-2026 (Egypt).

6.3.3.6. Risk Assessment

During the development of the strategy, it is beneficial to consider the major risks that could be potentially affect the effectiveness of implementation of the strategy. This should include both identification of the risks and developing measures aiming at their elimination, reduction, transferring or management.

Once the risks are identified, they should be assessed/rated according to the matrix described below, focusing on analysis of likelihood and impact of the risks. Based on this analysis, the risks should be ranked, starting from those with the highest rating, requiring greatest attention and most extensive mitigation measures. Following the risk analysis, risk mitigation and risk management measures should be developed.

Likelihood	Scoring	Impact	Scoring
Rare – may occur in exceptional circumstances	1	Insignificant – no impact	1
Unlikely – not expected, but there’s a slight possibility it may occur at some time	2	Minor – some (limited) negative impacts	2
Possible – might occur and there is a history of similar occurrences	3	Moderate – negative outcomes that could be managed	3
Likely – there is a strong possibility the event will occur as there is a history of frequent occurrence	4	Major – resulting in serious disruption of the project	4
Almost certain - the event is expected to occur in most circumstances as there is a history of regular occurrence	5	Catastrophic – massive disruption leading to failure of the project	5

Risk mitigation/management measures may take different forms depending on the specific nature of each risk. However, the following examples of measures should be particularly considered:

- Deployment of additional staff to support implementation of the respective activities,
- Allocation of additional financial resources,
- Strengthening the monitoring of implementation of activities,
- Developing additional guidelines and instructions relating to implementation of the relevant activities,
- Reducing the scope of activities to the necessary minimum,
- Providing additional training to the staff involved, building capacity,
- Strengthening the political support for change,
- Seeking (if needed) external assistance/support in implementation of the activity.

As an example, the table below demonstrates results of risk assessment and risk mitigation plan for the Council of Europe’s Strategy for the Rights of the Child 2022-2027. It is based on simplified methodology, but it is sufficient as a tool for identification and tackling the risks of highest importance.

Risk Assessment and Mitigation in Practice

Risk	Exposure	Impact	Mitigation Measures
Changing context with newly emerging challenges requiring immediate responses	High	High	Reviewing priorities and adapting the Strategy in the most transparent manner
Lack of political willingness to support the implementation (European and national levels)	Medium	Medium	Stepping up promotion and political negotiation
Changes in allocated resources causing delays	Medium	Medium	Reviewing priorities and adapting the Strategy in the most transparent manner
Lack of voluntary contributions or co-operation projects concluded	Medium	Medium	Re-adjusting the ambitions of the Strategy and relevant frameworks

Source: Council of Europe, *Strategy Rights of the Child (2022-2027)*, p. 53.

Annex 6.3.6 provides the *Risk Assessment and Risk Mitigation Plan Template* that can be used during the risk assessment phase.

6.3.4. Potential Problems/Challenges and Recommendations for Solution

Potential Problems/Challenges	Potential solutions
Accomplishment of the specific objectives is not fully under control of the institutions implementing strategy	Objectives could be narrowed down so that they include mostly objectives that institutions implementing strategy could fully control.
There is no clarity about funding available for the implementation of strategy	Identification of objectives should concentrate primarily on objectives that could be reached without substantial extra funding.

6.3.5. Checklist for Step Three

Checklist for Step Three (Strategy Development)

Action	Owner	Due date	Completed	In process	Overdue
Strategic vision established.					
• Vision drafted and internally consulted.					
• Vision approved by the leadership of the institution.					
General and specific objectives identified.					
• General objectives established.					
• Specific objectives for each general objective defined. Linkage/complementarity between general and specific objectives established.					
• General and specific objectives approved by the senior managers the institution.					
Performance indicators for each objective specified.					
• Indicators drafted for each objective.					
• Indicators assessed within the framework of certain criteria (RIGHTS/RACER).					
• Methods for data collection and verification for each indicator defined.					
Key activities for each objective defined.					
• Drafting the activities necessary for implementation of the objectives.					
• Activities approved by the senior managers of the institution.					
Costing of activities conducted.					
• Establishing categories of costs adjusted to the activities.					
• Cost estimations (calculation) determined according to market conditions.					
Risk analysis completed.					
• Identification (mapping) of risks conducted.					
• Assessment of the risk carried out.					
• Risk mitigation plan established.					

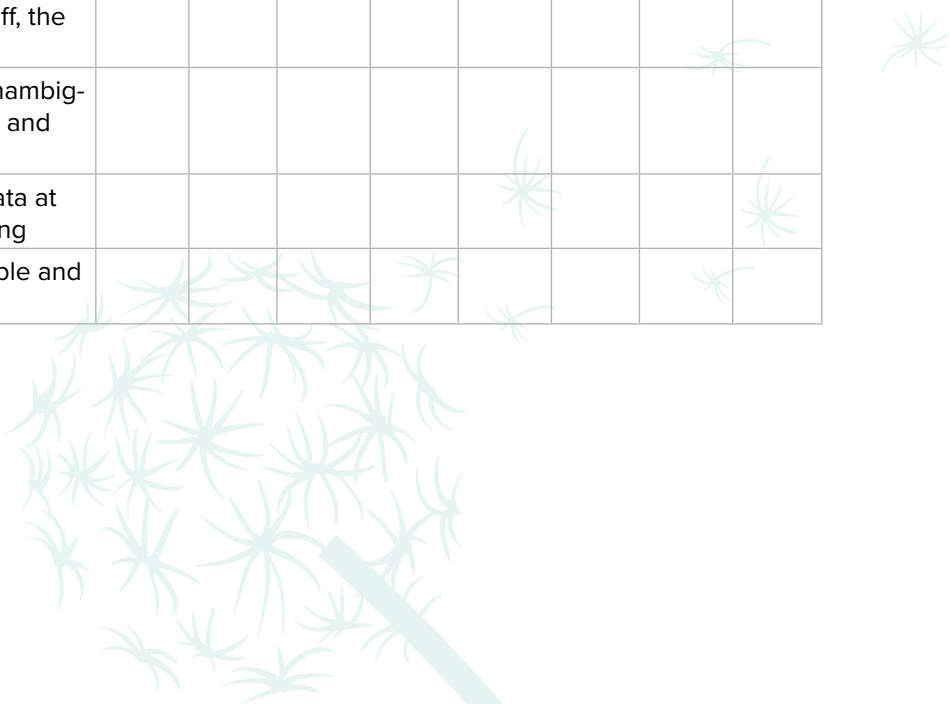
6.3.6. Annexes

Checklists for Objectives – SMART criteria

SMART criteria	Objective: []		Objective: []		Objective: []		Objective: []	
	Yes	No	Yes	No	Yes	No	Yes	No
<p>S – Specific, simple and significant</p> <p><i>Is the objective specific and concrete?</i></p> <p><i>Is it clearly defined what the objective aims to achieve?</i></p>								
<p>M – Measurable</p> <p><i>Are there specific criteria to measure whether the objective is achieved?</i></p> <p><i>Are the measurable outcomes and metrics of the objective identified?</i></p>								
<p>A – Achievable and attainable</p> <p><i>Can the objective be achieved with current resources and capacity?</i></p> <p><i>Is the achievability of the objective assessed?</i></p> <p><i>Is the capacity and knowledge required to achieve the objective available?</i></p>								
<p>R – Relevant, realistic, results-oriented</p> <p><i>Is the objective aligned with general strategic objective?</i></p>								
<p>T – Time-bound, time-limited</p> <p><i>Is a specific time frame defined for the objective?</i></p>								
<p>Based on: https://www.mindtools.com/a4wo118/smart-goals</p>								

Checklist for Indicators – Verifying the Quality of Indicators

RIGHTS criteria	Indicator: []		Indicator: []		Indicator: []		Indicator: []	
	Yes	No	Yes	No	Yes	No	Yes	No
Relevant and reliable								
Independent in its data-collection methods from the subjects monitored/evaluated								
Global and universally meaningful but also amenable to contextualisation and disaggregation by prohibited on the basis of discrimination								
Human rights standards-centric; anchored in the normative framework of rights								
Transparent in its methods								
Timely and time-bound								
Simple and Specific								
RACER criteria	Indicator: []		Indicator: []		Indicator: []		Indicator: []	
	Yes	No	Yes	No	Yes	No	Yes	No
Relevant: closely linked to the objectives to be reached, consider policy support, past and future trends and sensitiveness								
Accepted: by the management, the staff, the stakeholders and other users								
Credible: accessible to non-experts, unambiguous and easy to interpret, transparent and sound								
Easy: feasible to monitor and collect data at reasonable costs, no complex monitoring								
Robust: not easily manipulated, traceable and reproducible								



Vera Institute Checklist	Indicator: []		Indicator: []		Indicator: []		Indicator: []	
	Yes	No	Yes	No	Yes	No	Yes	No
Valid – measure what they purport to measure								
Balanced – reducing ambiguity of measurement								
Sensitive – sensitive towards desired changes and towards specific groups								
Motivating – induce intended performance								
Practical – affordable, accurate and available								
Owned – legitimate in the eyes of those who are affected by them								
Clear – are target groups likely to understand them?								

Indicators Matrix

Specific Objectives	Structural Indicators		Process Indicators		Outcome Indicators	
	Baseline	Target Value	Baseline	Target Value	Baseline	Target Value
Objective []						
Objective []						
Objective []						

Description:
Specific Objectives: List of objectives from the strategy/action plan.
Structural Indicators: Legislation, strategies, policy documents, institutional setup
Process Indicators: Implementation mechanisms, governance system, effectiveness of complaint mechanism
Outcome Indicators: Actual level of implementation of the rights

Indicators Passport

INDICATOR: []				
Description of indicator				
Format of indicator				
What data to be collected				
Source of data				
Who collects data?				
What is frequency of data collection?				
How is the data collected (methodological approach)?				
Baseline	Year			
	Value			
Objective		Year	Year	Year
	Target value			
Based on: OECD SIGMA, Toolkit for the preparation, implementation, monitoring, reporting and evaluation of public administration reform and sector strategies (adapted).				

Template for Action Plan

Activities	Deliverables (Products/Services)	Responsible actor(s)	Timeframe

6.4. Step Four: Implementation Process

6.4.1. Scope and its Importance

The implementation process of a strategy ensures that the objectives determined for many sectors and areas, including the fundamental rights area, are implemented with concrete steps and includes the implementation of the policies, projects and/or activities determined during the strategy development stage. This process is critical in terms of protecting and developing fundamental rights since it determines the effectiveness and success of the envisaged strategy by transforming the strategy developed in this area from a theoretical framework to practice. It also ensures that the strategy reaches the target audience.

6.4.2. Stakeholders/Actors and their Possible Roles

The concrete definition of the stakeholders/actors that will take part in the implementation process and their roles is very important for the effective management of the process. To this end, the actors and their possible roles in the implementation stage of a strategy are given below:

- **Strategy Team (Secretariat):** Coordinating the planned activities, monitoring the progress and making the necessary correspondence and preparing the reports, performing secretarial services (the main team responsible for the implementation of the strategy).
- **Senior Decision Makers/Managers in Public Authorities:** Establishing, implementing, monitoring the legal and political framework, and making decisions to solve problems encountered in practice.
- **Stakeholder Public Institutions:** Implementing the strategy, conducting and monitoring advocacy activities.
- **NGOs:** Advocacy, raising awareness and generally providing support for strategy implementation.
- **International Organisations:** Providing technical support, advocacy, financial assistance and international standards.
- **Universities, Research Institutions and Institutes:** Collecting data, conducting research and analysis, developing training programmes and presenting policy recommendations.
- **External Consultants and Contractors:** Providing technical support during the implementation process, contributing in areas requiring specific expertise.
- **Private Sector:** Supporting fundamental rights through corporate social responsibility projects, advocacy.
- **Media:** Informing, raising awareness and creating public opinion.

6.4.3. Tools and Methods to be used

Various tools and methods can be used to effectively implement a strategy document or action plan developed in the field of fundamental rights. These tools and methods are critical in increasing the effectiveness of the strategy as well as ensuring stakeholder participation and overcoming the challenges encountered. The following key tools and methods will provide assistance in the implementation stage of strategies:

1. **Annual Activity Planning:** Annual activity planning serves as a basic tool in the implementation of strategies/action plans, especially those prepared on a multi-year basis. This planning determines the necessary steps to achieve strategic objectives and ensures that the implementation process is managed effectively. The annual activity planning helps structure the strategy/action plan in the form of concrete, measurable and time-bound activities. Annex 6.4.6.1 provides a template for annual activity planning and an application example of the template. The template can also be used for periodic reporting.
2. **Implementation Guidelines/Manuals/Handbooks:** These are guidelines that follow the methods and steps to be followed during the implementation process, facilitate the management of the process and provide detailed instructions and guidelines on how to implement the strategy. During the development of an implementation guidelines, some of the documents developed at the international level for the protection and promotion of fundamental rights, which are given below, can be used:

- **Human Rights Training Handbook:** Published by the Office of the United Nations High Commissioner for Human Rights, this guide²⁹ provides methods and documents for human rights training.
 - **Practical Guides to the Implementation of the European Convention on Human Rights:** Published by the Council of Europe, these guides³⁰ explain how to implement certain articles of the Convention and how to apply to the European Court of Human Rights.
 - **Implementation Handbook for the Convention on the Rights of the Child:** Published by UNICEF, this handbook³¹ includes methods and examples of good practice for implementing the Convention on the Rights of the Child.
 - **Handbook for Legislation on Violence against Women³²:** Published by United Nations Women (UN Women), this handbook provides guidance on implementing the CEDAW and developing gender equality policies.
 - **Training Guide: The Convention on the Rights of Persons with Disabilities:** Published by the Committee on the Rights of Persons with Disabilities³³. Provides methodologies and policies for implementing the Convention on the Rights of Persons with Disabilities.
 - **Factsheet - Human Rights Defenders³⁴:** Published by the Special Rapporteur on Human Rights Defenders, provides information on the risks faced by human rights defenders and how to address these risks.
 - **A Handbook on Procedures and Criteria for Determining Refugee Status under the 1951 Convention and the 1967 Protocol relating to the Status of Refugees³⁵** (the United Nations High Commissioner for Refugees (UNHCR): Provides guidance on protecting migrant and refugee rights and how to align these rights with national policies.
- 3. Case Studies and Best Practices:** Case studies and best practices show how strategies and projects that have been successfully implemented in other countries have been implemented and help implement similar practices (See Section 6.4.6.1).
- 4. Frequently Asked Questions (FAQ) and Solutions:** Common problems that may be encountered during the implementation process and their solutions can be included in the implementation guides to be prepared or prepared as a separate document. This section provides practical information and quick solutions to practitioners.
- 5. Efficient Use of Resources:** Efficient use of resources is critical for the successful implementation of a strategy/action plan. To this end, human resources and financial resources must be managed correctly and efficiently.
- **Human Resources:** The staff with the necessary competencies must be assigned during the implementation process and capacity/training support for implementation must be provided when necessary.
 - **Financial Resources:** The necessary budget must be allocated for the implementation of the strategy and financial resources must be managed effectively, transparently and by following relevant procedures.
 - In the implementation of strategies/action plans, various resources and programmes can be used to ensure financial and operational sustainability and to achieve objectives. Financial support programmes launched at national and international levels provide the necessary resources for the implementation of strategies and enable the implementation of various strategies, programmes and projects simultaneously or subsequently. In this regard, when necessary, capacity development and training support should be provided on issues such as financial-funding resources, how to use international organisation/donor programmes, application processes, management and reporting.
 - **Resource Sharing:** It is essential to encourage resource sharing among stakeholders for the successful implementation of strategies/action plans. Resource sharing is a critical tool for reducing costs, increasing efficiency and creating synergy. Sharing information, financial resources and human resources among stakeholders can ensure more effective implementation of strategies.

²⁹ <https://www.ohchr.org/en/publications/training-and-education-publications/evaluating-human-rights-training-activities-0>

³⁰ <https://www.coe.int/en/web/human-rights-rule-of-law/human-rights-handbooks>

³¹ <https://www.unicef.org/lac/media/22071/file/Implementation%20Handbook%20for%20the%20CRC.pdf>

³² <https://www.unwomen.org/en/digital-library/publications/2012/12/handbook-for-legislation-on-violence-against-women#:~:text=The%20Handbook%20first%20outlines%20the,women%2C%20divided%20into%20fourteen%20chapters.>

³³ <https://social.desa.un.org/issues/disability/crpd/convention-on-the-rights-of-persons-with-disabilities-crpd>

³⁴ <https://www.ohchr.org/en/publications/fact-sheets/fact-sheet-no-29-human-rights-defenders-protecting-right-defend-human>

³⁵ <https://www.unhcr.org/media/handbook-procedures-and-criteria-determining-refugee-status-under-1951-convention-and-1967>

6. Management and Leadership: Leadership support and governance structures play a critical role for a successful implementation process. While the commitment and support of senior managers to the strategy increases the effectiveness and efficiency of the implementation process, solid governance structures ensure that decision-making and advocacy processes and operational activities are carried out properly.

- **Institutional Ownership:** This support provides the motivation required for the achievement of strategic objectives, encourages the effective use of resources and increases harmony and cooperation at the institutional level. Therefore, the commitment, ownership and support of senior managers to the strategy must be ensured.
- **Governance Structures:** It is beneficial to establish committees or working groups that will oversee and direct the implementation of the strategy. These governance structures ensure that decision-making processes are organised, operational activities are carried out smoothly, and all stakeholders work in line with strategic objectives. These structures also create the necessary mechanisms for monitoring, evaluating, and taking corrective measures when necessary for strategic objectives.

7. Communication, Coordination, and Collaboration: Effective communication, coordination, and collaboration between different stakeholders (internal and external stakeholders) are critical for the success of the implementation process. Below are some tools for ensuring communication, coordination, and collaboration among stakeholders throughout the implementation process:

- Regular meetings and workshops
- Institutional communication platforms
- Information and document sharing/management systems
- Two-way feedback mechanisms (including sharing and reporting which feedbacks are taken into account and the reasons why they are not)
- Public information and awareness-raising campaigns
- Stakeholder meetings
- Thematic meetings

6.4.4. Potential Problems/Challenges and Recommendations for Solution

Potential Problems/Challenges	Potential Solutions
Inadequacy of financial and human resources during the implementation phase (resource deficiency)	Utilising national and international funds, programmes, establishing partnerships, using resources efficiently
Failure in generating expected deliverables through the planned activities	Investigating the reasons for failure, especially determining whether they are of external (objective) nature or result from institutional causes
Lack of harmony and cooperation between different actors (lack of coordination)	Organising coordination meetings, keeping communication channels open, creating cooperation platforms
Existence of opposing groups or institutions that oppose the strategy (resistance to the strategy and possible reactions)	Organising effective communication and information campaigns, using dialogue and negotiation channels with stakeholders, strengthening advocacy efforts
Inadequacy or incompatibility of legislation (legislative and regulatory barriers)	Advocating for necessary legal regulations, encouraging policy changes
Lack of sufficient knowledge and awareness in society about fundamental rights (lack of information and awareness)	Organising different capacity-building activities such as training programmes and raising awareness with media and communication tools
Impossibility of implementing planned activities due to changing external conditions	Reviewing and updating the strategy, adding up-to-date/new activities that have an equivalent effect on achieving the objectives instead of the initially planned activities, updating the existing institutional structure or coordination mechanisms

6.4.5. Checklist for Step Four

Checklist for Step Four (Implementation)

Action	Owner	Due date	Completed	In process	Overdue
Annual Activity Planning					
<ul style="list-style-type: none"> A comprehensive implementation calendar (timeframe) established for the implementation of the strategy/action plan. Annual activity planning established for some key activities. 					
Resource Management					
<ul style="list-style-type: none"> Resources (human, financial) to be used in the implementation process determined and allocated. Budget planning and expenditure monitoring mechanisms established for the effective management of financial resources. 					
Communication, Coordination, and Collaboration					
<ul style="list-style-type: none"> Scope and importance of the strategy clearly communicated to all stakeholders. Regular and two-way feedback mechanisms among stakeholders established. Regular meetings planned to ensure effective communication, coordination and collaboration among stakeholders. 					
Institutional Ownership					
<ul style="list-style-type: none"> Commitment and support of senior managers to the strategy ensured. Governance structures (committees or working/thematic groups) established to oversee and guide the implementation of the strategy. Representation of all stakeholders (public, private, civil society) ensured in committees or groups. 					

6.4.6. Annexes

6.4.6.1. Annual Activity Plan / Reporting Template Example

Activity	Responsible Institutions/Organisations	Period I Tasks/Outputs (January-April)		Period II Tasks/Outputs (May-August)		Period III Tasks/Outputs (September-December)	
		Projected	Realised	Projected	Realised	Projected	Realised
(Activity defined in the Action Plan)	(Institution/organisation defined for cooperation in the Action Plan)	(Projected works for Period I of the year related to the activity; entered during the annual plan preparation phase)	(Realised/implemented works for Period I of the year related to the activity; entered during the reporting phase of Period I)	(Projected works for Period II of the year related to the activity; entered during the annual plan preparation phase)	(Realised/implemented works for Period II of the year related to the activity; entered during the reporting phase of Period II)	(Projected works for Period III of the year related to the activity; entered during the annual plan preparation phase)	(Realised/implemented works for Period III of the year related to the activity; entered during the reporting phase of Period III)
		(Projected resources for Period I of the year related to the activity; entered during the annual plan preparation phase)	(Used resources for Period I of the year related to the activity; entered during the reporting phase of Period I)	(Projected resources for Period II of the year related to the activity; entered during the annual plan preparation phase)	(Used resources for Period II of the year related to the activity; entered during the reporting phase of Period II)	(Projected resources for Period III of the year related to the activity; entered during the annual plan preparation phase)	(Used resources for Period III of the year related to the activity; entered during the reporting phase of Period III)
		Explanation (reasons for differences between projected and realised works, if any; entered during reporting phase of Period I)		Explanation (reasons for differences between projected and realised works, if any; entered during reporting phase of Period II)		Explanation (reasons for differences between projected and realised works, if any; entered during reporting phase of Period III)	
Example: 1.1.1. Providing training to 300 women living in five neighbourhoods in the central district on their rights to combat violence	Example: Directorate of Public Education Bar Association	Example: <ul style="list-style-type: none"> Determining trainers Preparing training materials Designing and printing 1000 brochures and 100 posters for the announcement Announcing trainings and receiving applications for Period I Providing training to 100 women 	Example: <ul style="list-style-type: none"> Trainers determined Training materials prepared Trainings announced and applications received for Period I Training provided to 70 women 	Example: <ul style="list-style-type: none"> Announcing trainings and receiving applications for Period II Providing training to 100 women 	Example: <ul style="list-style-type: none"> Trainings announced and applications received for Period II Training provided to 120 women 	Example: <ul style="list-style-type: none"> Announcing trainings and receiving applications for Period III Providing training to 100 women 	Example: <ul style="list-style-type: none"> Trainings announced and applications received for Period III Training provided to 150 women
		Example: <ul style="list-style-type: none"> 2 trainers (Directorate of Public Education) 1 trainer (Bar Association) 100 training sets (500 TL, Directorate of National Education) Brochures and posters (3,000 TL, Directorate of National Education) Training hall (Directorate of Public Education) 	Example: <ul style="list-style-type: none"> 3 trainers assigned (Directorate of Public Education and Bar Association) 100 training sets prepared (350 TL, Directorate of National Education) 300 brochures and 30 posters printed (1000 TL, Directorate of National Education) Hall allocated (Directorate of Public Education) 	Example: <ul style="list-style-type: none"> 2 trainers (Directorate of Public Education) 1 trainer (Bar Association) 100 training sets (500 TL, Directorate of National Education) Training hall (Directorate of Public Education) 	Example: <ul style="list-style-type: none"> 3 trainers assigned (Directorate of Public Education and Bar Association) 120 training sets prepared (400 TL, Directorate of National Education) 300 brochures and 30 posters printed (1000 TL, Directorate of National Education) Hall allocated (Directorate of Public Education) 	Example: <ul style="list-style-type: none"> 2 trainers (Directorate of Public Education) 1 trainer (Bar Association) 100 training sets (500 TL, Directorate of National Education) Training hall (Directorate of Public Education) 	Example: <ul style="list-style-type: none"> 4 trainers assigned (Directorate of Public Education and Bar Association) 150 training sets prepared (475 TL, Directorate of National Education) 300 brochures and 30 posters printed (1000 TL, Directorate of National Education) Hall allocated (Directorate of Public Education)
		Example: Due to insufficient applications, only 70 women could be reached. More widespread announcements are needed. It was decided that brochures and posters would be printed periodically as needed.		Example: More applications were received than expected as a result of the widespread announcements. Additional trainings were provided.		Example: The number of trainings was increased due to more applications than expected. Additional trainer support was provided by the Bar Association.	

Case Studies and Best Practices Report Template

1. Title

- **Name of the Action Plan:** (A concise name of the action plan)
- **Thematic Area:** (Scope of the action plan, e.g. freedom of expression, anti-discrimination, women's rights, children's rights, etc.)

2. Introduction

- **Background of the Action Plan:** (Process of development of the action plan and background)
- **Place of Implementation:** (Location, country, region where the action plan is implemented)
- **Implementation Period:** (Duration of implementation of the action plan)

3. Description of the Action Plan

- **Purpose and Objectives:** (Purposes and objectives of the action plan)
- **Fundamental Rights:** (Fundamental rights on which the action plan focuses and protection/promotion of these rights)

4. Implementation Process

- **Planned Actions:** (Specific actions to be carried out under the action plan)
- **Responsible Units:** (Institutions and units responsible for the implementation of the action plan)
- **Timetable:** (Action plan implementation process and important milestones)

5. Intervention and Responses

- **Official Responses:** (Reactions and interventions of government, local authorities or international organisations)
- **Civil Society Responses:** (Reactions of NGOs, human rights defenders, media and public)

6. Solutions and Results

- **Measures Taken:** (Measures taken and interventions carried out during the implementation of the action plan)
- **Outcomes and Impacts:** (Outcomes of the implementation of the action plan and their impact on society)
- **Lessons Learned:** (Lessons learned from the implementation of the action plan and recommendations for similar plans in the future)

7. Best Practices

- **Successful Strategies:** (Strategies and methods used and successful in the implementation of the action plan)
- **Good Practices:** (Good practices that can be applied in similar situations)
- **Innovative Approaches:** (Innovative and effective approaches contributing to the implementation of the action plan)

8. Resources and Additional Information

- **References:** (Resources, reports, documents used in the implementation of the action plan)
- **Additional Information:** (Additional documents and links that may be useful for further information about the action plan)

6.5. Step Five: Monitoring and Evaluation Process

6.5.1. Scope and its Importance

Monitoring the implementation of the strategy is a continuous process that involves collecting and analysing data that provides information about the progress in implementation. The aim is to inform the relevant stakeholders in case of delays or any risk/threat/event that seriously hinders the successful implementation of the strategy, and to ensure that the necessary corrective measures are taken. A good monitoring framework should especially include the following:

- Regular review and measurement of the progress in the implementation of the activities in terms of time-cost-quality,
- Early detection of any serious obstacles and risks to implementation of activities,
- Collection and analysis of data relevant for potential revision of the strategy or adjusting planned activities.

The evaluation process is a different application that focuses on a more comprehensive analysis of strategic intervention results with its aspects that differ from monitoring. It should be carried out at certain intervals during the implementation period of the strategy, or (mostly) at the end of the implementation period of the strategy or following its completion, by also utilising monitoring data. The main purpose of the evaluation is to enable improvements in the strategic process and to understand in which areas the strategic intervention is successful/effective, in which areas and why it is inefficient/ineffective, what lessons can be learned for future strategies, and what the key factors behind the interventions are.

SIGMA reveals the fundamental differences between monitoring and evaluation in the context of strategic processes by drawing attention to the following points:

Dimension	Monitoring	Evaluation
Frequency	Regular	Episodic/Intermittent
Function	Surveillance - data-based analysis	Evaluation - in-depth analysis within criteria
Aim	Information; Improvement of implementation – management (+accountability)	Improvement of efficiency, effectiveness – design (+accountability)
Focus	Objectives, targets, activities	Efficiency, effectiveness, relevance, impact
Methods	Review of reports, investigation	Research and various data collection methods
Sources of information	Progress reports, meetings, indicator data	Reports, surveys, empirical data
Costs	Routine (base budget)	Intermittent (additional resource - additional budget)

Source: OECD SIGMA, Toolkit for the preparation, implementation, monitoring, reporting and evaluation of public administration reform and sector strategies.

Evaluation is core to institutional learning. It is a source of reliable and comprehensive information about the positive and negative outcomes of our actions, serving as a tool for constant enhancement of our interventions. Evaluation is not aimed at rewarding or sanctioning strategic performance. It is rather food for thought and necessary element of the continuous learning loop.

6.5.2. Actors and their Possible Roles

Monitoring implementation of the strategy requires appropriate institutional setup, i.e., Concrete division of responsibilities between all actors involved in the process of implementation. In this institutional setup, it is crucial to ensure that progress in implementation is monitored both at the technical level and by the political leadership.

In the international practices, there are numerous examples of frameworks for managing and monitoring implementation of the strategies in the field of fundamental rights. Every strategy should contain the description of activities in this regard combined with assignment of responsibilities. The table below presents some examples of monitoring frameworks developed for various strategies and plans in the field of fundamental rights.

Strategy/plan	Implementation and Monitoring Framework
CoE's Strategy for the Rights of the Child	<p>The progress under the Strategy will be measured every two years on the basis of the Action Plan within the Council of Europe and with involvement of different collaborating bodies and sectors. The outcomes of this internal evaluation will allow for adjustments to the Strategy and developing new activities as appropriate, in light of the resources available. This evaluation exercise is first a technical evaluation undertaken between different Secretariat units of the Council of Europe. The institution facilitating progress made will be the Inter-Secretariat Task Force on the Rights of the Child.</p> <p>Based on the Action Plan, and progress measured through the logical framework matrices, a progress report will be prepared for the Committee of Ministers, equally in a biannual rhythm, thus leading to a more institutional evaluation, undertaken under the oversight of the CDENF.</p>
Country Example – Human Rights Strategy	<p>In order to achieve the goals and objectives set out in the National Human Rights Strategy, the Government will prepare an "Action Plan for the Protection of Human Rights" for the period 2014-2016. This plan will provide a more detailed description of the concrete actions and measures identified to implement human rights objectives in the country, as well as timeframes for implementation, indicators and institutions responsible for implementation.</p> <p>During this period, the institutions responsible for implementation will be required to submit annual progress reports to the Government. This will enable the Government to better monitor the progress of the development and to carry out regular checks on the effective implementation of the Action Plan. At the end of the period covered by the Action Plan, the Government will draft a summary report – to be presented before the Parliament – providing a comprehensive assessment of the performance of the Action Plan, relevant recommendations, as well as the outcomes of any periodic monitoring reports.</p> <p>Qualitative criteria for the evaluation of the Action Plan will be determined based on the general and targeted outcome observations of the Ombudsman, international organisations and local NGOs. Due consideration should be given to all outcome observations submitted at the beginning and end of the relevant Action Plan period.</p> <p>For the assessment of the quantitative criteria of the Action Plan, the Government, together with institutions responsible for implementation (Ombudsman and all relevant international organisations and NGOs), will need to examine both progressive and problematic aspects of the development process and formulate and present before the Parliament the relevant disaggregated statistical data.</p> <p>At the end of the Action Plan period, preparation of a new Action Plan will begin based on the relevant evaluation criteria determined by the Government bodies and actively involved international organisations and NGOs.</p>

<p>Country Example – Gender Equality Strategy</p>	<p>An Inter-ministerial Committee (IMC) on Gender Equality & Mainstreaming monitored by Human Rights Directorate (HRD) will be set up to ensure coordination between Ministries and the HRD in its implementation. The IMC will consist of focal points from each ministry, who are able to push the agenda forward and report back on progress made.</p> <p>A crucial aim of the IMC within its first six months of operations will be that of determining the timeline and budget foreseen for each measure within the Action Plan. While national funds will mostly be used to finance the GEMSAP, the IMC will also explore the possibility of tapping into relevant EU funding opportunities.</p> <p>The Gender Mainstreaming Unit (GMU) within the Human Rights Directorate is the lead coordinating body of this Strategy and Action Plan, responsible also for its day-to-day monitoring and implementation. Monitoring of the Action Plan will be carried out at the end of each quarter. The GMU will be responsible for evaluating the progress on achieving the outlined measures and actions across all objectives of the action plan, which will be reported annually. The annual report will highlight whether the implementation of measures is on track or otherwise, and, if not, propose remedial action from the implementing entity. Moreover, an independent body will be engaged to evaluate interim and final reports to ensure a stronger monitoring system. The monitoring and evaluation of this Action Plan will also feed into the second Action Plan, following the implementation of this first document.</p> <p>The GMU will maintain regular contact with the Consultative Council for Women’s Rights (CCWR) with regards to the implementation and progress made on the Action Plan. The Council was established with the aim of representing women’s rights and to serve as a platform for policy development and legislative proposals. The members of the Council are appointed from among persons active in NGOs working in the field of women’s rights.</p> <p>The annual progress report will be presented during the annual gender equality conference organised by the GMU. The conference will also serve as a platform for communication with different NGOs through a number of workshops and discussions which will be organised.</p>
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There is multitude of evaluation techniques and possible approaches, relying both of self-evaluation by the institutions directly responsible for implementation of the strategies, as well as external evaluations. The most comprehensive approach includes also wide participation of external stakeholders in the evaluation process, making it interactive and opening possibilities for confronting various perspectives.

Evaluation of the EU's Disability Strategy 2010-2020 serves as a good example of comprehensive, multi-stakeholders' approach to evaluation of the strategic interventions in the field of fundamental rights. The example below provides excerpts from the evaluation report, describing participatory approach to evaluation.

The evaluation required a range of consultations with different types of stakeholders operating at both EU and Member State level. This involved EU level stakeholder interviews, Member State level consultation (interviews and focus groups), and online surveys participated by the public. (the consultation was published on the European Commission's 'Have your say' portal). On-line surveys were also undertaken among NOGs) and Member State representatives on the Disability High Level Group (DHLG).

When undertaking these consultations, it was important to ensure that a wide range of persons with disabilities and stakeholder groups had the opportunity to provide input into the evaluation. An inclusive research methodology for enabling consultees to participate through forms of consultation that were appropriate for them was delivered in the following ways/methods:

- During the consultations conducted at EU and Member State levels, plain language was used to describing the purpose and scope.
- For interviews, consultees were offered the opportunity to provide input according to the most suitable method (e.g., in written format, via Skype call, telephone, teleconference, or face-to-face interview).
- Where focus groups were conducted in Member States, they involved organisations representing persons with disabilities to discuss the Strategy and future EU disability strategy. Focus group attendees were provided with information prior to meetings. This information outlined the purpose of the study and the key issues to be discussed during the focus group.
- Prior to focus groups, an assessment of participant requirements was undertaken by experts to understand accommodation and participant requirements. This involved assessing the need for and organising sign language and/or hearing support. Where appropriate, participants in consultations were given the opportunity to participate in the evaluation through written feedback.
- The opinion poll used a version that was simple in terms, easy to read and contained a limited number of questions to ensure that as many people as possible responded to the questions.

Source: European Commission, Evaluation of the European Disability Strategy 2010-2020, pp. 73-74.

6.5.3. Available Tools

6.5.3.1. Monitoring Framework/Dashboard

Monitoring involves regular update of the monitoring control framework/dashboard and generation of regular monitoring reports. Control dashboard should provide real-time data on the activities implemented and inform about any delays and problems in their implementation. Therefore, this control dashboard should be updated very frequently, e.g., weekly or at least monthly.

Monitoring dashboards should be used to detect any major delays in implementation of activities and areas requiring some extraordinary intervention and addressing obstacles in implementation. For this purpose, simple traffic lights system could be applied, informing about the status of implementation of each task: This method is also used by international organisations and some monitoring-evaluation mechanisms.

	<p>MAJOR RISK The activity has not yet been started or has encountered major obstacles. This situation weakens progress towards completion of the activity. There is a need for immediate intervention in order to eliminate/mitigate the problems identified. Lack of intervention may result in failure in implementation of the activity.</p>
	<p>INTENSE MONITORING (CLOSE FOLLOW-UP) IS REQUIRED Completion of the activity is not under major threat, but there are delays hindering finalization of the activities according to the programme/strategy. There is a clear need for more intense monitoring and supervision over implementation of the activity.</p>
	<p>SATISFACTORY PROGRESS Implementation of the activity is progressing according to the programme/strategy and no major risks were identified, potentially hindering successful completion of the task. No special/urgent action required.</p>

An example of simple monitoring dashboard (framework) is provided below. This example demonstrates the progress in implementation of the activities included into the EU Strategy for the Rights of Persons with Disabilities 2021-2030.

Monitoring Framework for the EU Strategy for the Rights of Persons with Disabilities 2021-2030 (Example)

Actions	Timing	Status	Progress	More information
1. <u>Flagship initiative 1</u> : In 2022 the Commission will launch a European resource centre AccessibleEU to increase coherence in accessibility policies and facilitate access to relevant knowledge. This cooperation framework will bring together national authorities responsible for implementing and enforcing accessibility rules with experts and professionals from all areas of accessibility, to share good practices across sectors, to inspire policy development at national and EU level, as well as to develop tools and standards aiming to facilitate implementation of EU law. The Commission will start preparations for AccessibleEU within the newly established Disability Platform.	2022	On track	The European Commission has initiated discussions on AccessibleEU with Member States and civil society in the framework of the Disability Platform. The Commission is also consulting on a draft standardisation mandate to develop standards for products and services for the implementation of the European Accessibility Act.	Accessibility Standardisation Standardisation requests
2. The Commission will also provide, in 2021, practical guidance to Member States to support the implementation of the accessibility obligations under the public procurement Directives, and promote training for public procurers to buy accessible.	2021	Completed	The Commission published a new “Buying Social” guide on socially responsible public procurement on 26 May 2021.	Buying Social guide
3. Include, in 2021, accessibility and inclusiveness in the reinforced EU governments interoperability strategy, focusing on human-centric and user-friendly digital public services across Europe that respond to the needs and preferences of European citizens, including the needs of persons with disabilities.	2021	Delayed	The Interoperability Expert Group issued recommendations to the Commission on 5 October 2021, endorsed by all Member States. The adoption of a legal text is planned for Q2 2022.	Register of Commission expert groups and other similar entities (europa.eu)
4. Evaluate, in 2022, the application of the Web Accessibility Directive and assess whether the Directive should be revised to address any gaps identified, such as scope, technological advances, and coherence with other relevant EU legislation.	2022	On track	The Commission held a public consultation on the Web Accessibility Directive, including easy-to-read survey (all EU languages), from 19 July to 25 October 2021. The Commission Decision of 11 August 2021 harmonised the latest European standard EN 301 549 V3.2.1 (2021-03) on ‘Accessibility requirements for ICT products and services’.	Public opinion poll European standard EN 301 549 V3.2.1 (2021-03) Commission decision of 11 August 2021

Source: Monitoring framework for strategy implementation – EU Strategy for the Rights of Persons with Disabilities 2021-2030, online: <https://ec.europa.eu/social/main.jsp?catId=1552&langId=en>

The monitoring report provides more in-depth insight into progress in implementation of the strategy, informing also about the progress in reaching targeted values of the indicators. This type of report should be prepared at regular intervals (once in 3-6 months, or at least annually).

According to SIGMA, a good monitoring report for strategies should include the following:

- **Visually attractive and easy to read.** Presenting data and information in a more creative way using graphs, pictures, tables, and other modern visualization tools will be more effective in terms of strategic communication.
- **Short and well structured.** No one will read a long, descriptive account of activity implementation, but most will skim through a short paper with informative and catchy headings, a few bullet points, and a number of graphs and tables. Additional information or more lengthy justifications can be presented in annexes, if needed. This approach to presentation has a better chance of attracting the attention of decision makers.
- **Result-oriented.** It would be beneficial to provide the most important points/results. For example, what has changed in a particular policy/thematic area (i.e. the impact made since the adoption of the strategy or since the last report), how far the planned commitments have been achieved at the time of reporting, what has not worked well and why, and what needs to be changed and how (i.e. recommendations for corrective measures or action).
- **Factual.** The statements within the report should be based on facts, verified information and valid proofs.
- **Analytical.** Reports should be written in a way that helps the readers to reach conclusions and that tells a story about both the achievements and, especially, the difficulties and their underlying causes³⁶.

Monitoring reports may have more technical form providing concise information on the accomplishment of the objectives and targets. However, they can also be prepared in extended format, with more developed narrative parts (See Section 6.5.6 Monitoring Report Template). The box below demonstrates example of the structure of progress report on implementation of the European Disability Strategy 2010-2020.

Case Study: Structure of the Monitoring Report on Implementation of Strategy.

Example of Progress Report on Implementation of the European Disability Strategy 2010-2020

Evaluation of the Situation of Persons with Disabilities:

Areas for action:

- Description of objectives of strategic intervention in each area,
- Brief description of main progress reached with regard to each objective,

Analysis of responses to the public consultation on the review of the strategy

Table of implementation of all activities (status, main progress)

Status of implementation of the recommendations of the UN Committee by key actions of the strategy

Review of legislative acts relevant for the implementation of strategy

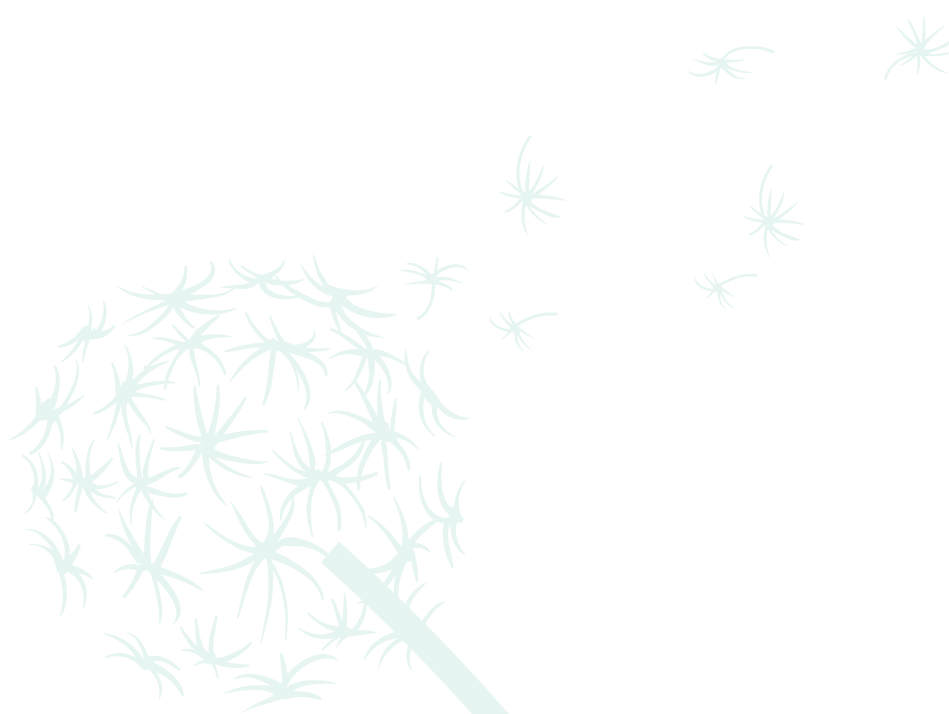
Source: European Commission, Progress Report on the implementation of the European Disability Strategy (2010 - 2020), 2017.

³⁶ OECD SIGMA, Toolkit for the preparation, implementation, monitoring, reporting and evaluation of public administration reform and sector strategies, p. 88.

6.5.3.2. Evaluation Framework

Although the scope is different, the evaluation approach developed by the OECD/DAC can also be used to evaluate the implementation process of strategies and interventions in the field of fundamental rights. This approach relies on in-depth analysis and evaluation of the strategy/interventions against the following six criteria: These criteria are also used by international organisations and many countries in the evaluation of country strategies or comprehensive strategies and country programmes in thematic areas.

- **Relevance:** The extent to which the strategy objectives and design respond to beneficiaries, global, country, and partner/institution needs, policies, and priorities, and continue to do so if circumstances change.
- **Coherence:** The compatibility of the strategy with other strategies in a country, sector or institution.
- **Effectiveness:** The extent to which the strategy achieved, or is expected to achieve, its objectives, and its results, including any differential results across target groups.
- **Efficiency:** The extent to which the strategy delivers, or is likely to deliver, results in an economic and timely way in terms of benefit/cost assessment.
- **Impact:** The extent to which the strategy has generated or is expected to generate significant positive or negative, intended, or unintended, higher-level effects.
- **Added value:** The level of value added of impact to beneficiaries from the implementation of the strategy (in comparison with the absence of strategy)
- **Sustainability:** The extent to which the concrete (financial, institutional, political) benefits of the strategy continue or are likely to continue³⁷.



³⁷ <https://www.oecd.org/dac/evaluation/dacriteriaforevaluatingdevelopmentassistance.htm>

These criteria might be further detailed in terms of the specific questions guiding the evaluation process. The table below demonstrates example of more detailed evaluation criteria/questions that were used for evaluation of the European Disability Strategy.

Evaluation Criteria	Guiding Questions
Relevance	What difference did the strategy make for the beneficiaries? To what extent did the strategy have effect on various groups of stakeholders?
Coherence	To what extent is the strategy coherent internally, i.e., how do selected thematic areas and implementation instruments work together? To what extent is the strategy coherent with other policies and strategies? To what extent is the strategy coherent with international commitments in the respective field of fundamental rights?
Effectiveness	To what extent have the objectives set out in the strategy been achieved overall and for each main area of action? To what extent actions envisaged by the strategy in each area of intervention have been implemented? To what extent the strategy contributed to implementation of international commitments in the respective field of fundamental rights? What have been success factors in implementation of strategy? What have been the main obstacles that hindered implementation of the strategy's objectives? To what extent have stakeholders been actively engaged in the strategy's implementation and how have they been affected?
Efficiency	To what extent has the strategy been cost effective? Were the objectives and activities implemented on time?
Impact	To what extent to which the intervention has generated or is expected to generate significant positive or negative, intended or unintended, higher-level effects?
Added value	What is the added value of strategy in eliminating key problems affecting the beneficiaries compared to what is likely to have been achieved in the absence of strategy?
Sustainability	Are the impacts of the strategy likely to be long-lasting? Other aspects of sustainability (financial, political, institutional, etc.)

The Evaluation Report Template and the Evaluation Matrix format are presented in Section 6.5.6.

6.5.4. Potential Problems/Challenges and Recommendations for Solution

Potential Problems/Challenges	Potential Solutions
Monitoring-evaluation mechanism not in place. Design of monitoring-evaluation mechanism incompatible with strategy	Design of concrete steps for establishing institutional ownership and institutional monitoring mechanism
Not allocating sufficient resources for implementation of monitoring activities	Ensuring that responsibility for monitoring is clearly defined and implementation of the monitoring activities is supervised at the top management level
Lack of adequate/timely reaction to the shortcomings/delays/problems identified in monitoring	Flagging the problems to the top management (political) level
Problems in accessing up-to-date, healthy and disaggregated data during the monitoring and evaluation process	Conducting studies to emphasise the importance of data and evidence-based monitoring through institutional and inter-institutional advocacy activities; taking steps to harmonize data collected by different institutions.



6.5.5. Checklist for Step Five

Checklist for Step Five (Monitoring and Evaluation)

Action	Owner	Due date	Completed	In process	Overdue
Monitoring plan/framework developed					
• The list of all monitoring activities is planned and ready..					
• Responsible unit or person for each activity identified.					
• Timetable established and deadline determined for each monitoring activity.					
• Necessary resource allocation for monitoring activities made.					
Monitoring responsibility clearly determined.					
• Monitoring team identified.					
• Monitoring task clearly communicated to the relevant unit or person.					
• Responsibilities relating to monitoring identified.					
Guidelines elaborating the monitoring procedures and principles prepared.					
• Format of monitoring report prepared.					
• Template for monitoring report approved					
Mechanism for implementation of monitoring activities established					
• Workflow and timeline (frequency) of monitoring established					
Evaluation mechanism established.					
Action	Owner	Due date	Completed	In process	Overdue
Evaluation plan/framework developed; decision made on according to which procedures and principles the evaluation would be conducted.					
• Evaluation method and time frame determined.					
• Necessary resource allocation for evaluation activities made.					
• Evaluation criteria determined. Evaluation matrix format (draft) prepared.					
• Template for evaluation report approved.					
Institutional responsibilities determined according to the evaluation method.					
• Team that will manage the evaluation process determined.					

6.5.6. Annexes

Monitoring Plan Template

Monitoring Activity	Timing/Monitoring Frequency	Status	Tasks Completed	Last update / person

Description:

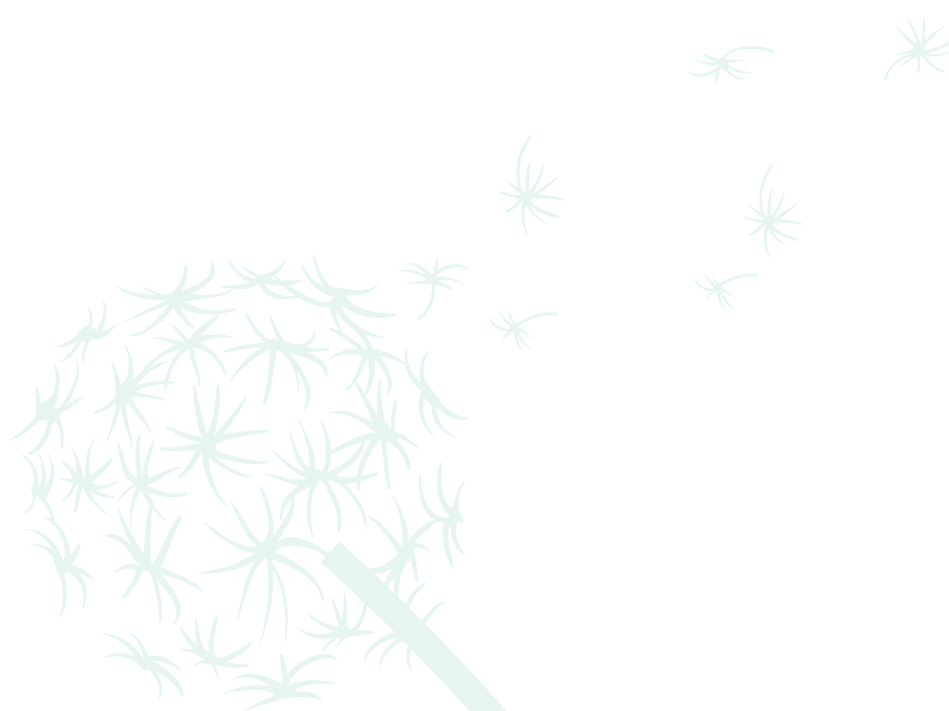
Activity: Title and number of activities, according to the strategy/action plan

Timing-Monitoring Frequency Implementation time, frequency, duration of monitoring activity according to strategy/action plan

Status: Completed/On track/Delayed/Withdraw/Suspended. Issues requiring urgent intervention.

Tasks Completed: Completed sub-tasks and delivered outputs related to the activity

Last update/Person: Information on when and who updated the monitoring plan



Monitoring Plan Template

Reporting Period				
Report Prepared by:				
General Remarks/Key Observations				
Objective []	Indicators	Planned result/target	Delivered target	Outputs delivered
Result of Monitoring/ Evaluation:	Off track		On track	
Comment				
Objective []	Indicators	Planned result/target	Delivered target	Outputs delivered
Result of Monitoring/ Evaluation:	Off track		On track	
Comment				
Objective []	Indicators	Planned result/target	Delivered target	Outputs delivered
Result of Monitoring/ Evaluation:	Off track		On track	
Comment				
Objective []	Indicators	Planned result/target	Delivered target	Outputs delivered
Result of Monitoring/ Evaluation:	Off track		On track	
Comment				
Objective []	Indicators	Planned result/target	Delivered target	Outputs delivered
Result of Monitoring/ Evaluation:	Off track		On track	
Comment				

Evaluation Matrix Template

Evaluation Criteria	Evaluation Questions (EQ)	Judgement Criteria	Sub-questions	Indicators	Source of Data	Data Collection Method	Analysis Method
1) Relevance	EQ1.						
2) Coherence	EQ2.						
3) Effectiveness	EQ3.						
4) Efficiency	EQ4.						
5) Sustainability	EQ5.						
6) Impact	EQ6.						
	EQ7.						
7) Added Value	EQ8.						
	EQ9.						
8) Horizontal Principles	EQ10.						
	EQ11.						

Evaluation Report Template

1. Introduction	
Purpose and Scope	
Evaluation Method and Tools Used	
Evaluation Team	
Evaluation Matrix	

2. Findings	
Background Information	
Relevance	
Coherence	
Effectiveness	
Efficiency	
Sustainability	
Impact	
Added Value	
Horizontal Principles	

3. Overall Assessment	

4. Conclusions and Recommendations	
Lessons Learned	
Recommendations	

5. Annexes	
Data Collection Tools List of Institutions and Evaluation Participants Interviewed	
Evaluation - Terms of Reference	
Survey Results	
Notes of Focus Group/Individual/Group Interview	
References	





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