

# Long-Term Policy Supporting Research (PSR) 2020

## Project proposal in response to the ToR 2020/2

### Support to Human Rights Based Approach to Development

#### 1.1 Presentation of the research team

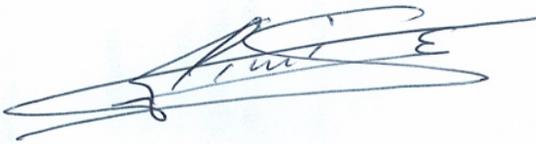
Information on the research team	
Lead researcher (Name, mail, function in your institution)	Emmanuel KLIMIS (emmanuel.klimis@usaintlouis.be), researcher
Institution (Name, faculty, department and unit)	CReSPo (Research Centre for Politics), Université Saint-Louis – Bruxelles
Other researcher(s), involved (Name, mail, function)	1) Geoffroy MATAGNE (gmatagne@uliege.be), researcher 2) Jan VAN ONGEVALLE (jan.vanongevalle@kuleuven.be), research manager Global Development 3) Sarah BRAEYE (sarah.braeye@kuleuven.be), researcher 4) Axel MARX (axel.marx@kuleuven.be), deputy director LCGGS
Institution (Name, faculty, department and unit)	1) Department of Political Science, Faculty of Law, Political Science and Criminology, University of Liège 2-3) HIVA, Research Institute for Work and Society, University of Leuven 4) Leuven Centre for Global Governance Studies, University of Leuven
What is the relevant expertise and experience of the research team related to the Terms of Reference?	
<p>In terms of <b>thematic and methodological expertise</b>, the research team has been conducting research on <u>BE and comparative international development policy</u>, esp. in post-conflict, conflict-affected, and fragile contexts for more than 15 years. Previous research work in that field resulted in several outputs, including: contributing to the conflict-sensitive approach of the country strategy programming of BE bilateral aid with Burundi (2007-2009); supporting the redaction of the <i>DGD strategic note on fragility</i> (2013); redaction of the <i>Guidance on Fragility</i> (2017); redaction of the <i>Fragility Resilience Assessment Management Exercise</i> (FRAME, 2017); redaction of the <i>Roadmap for a Comprehensive Approach for Belgian Development Policy</i> (2018); etc. The research methodology used for those outputs has systematically integrated an analysis of the <u>policies innovations and guidelines at the European and international levels in a comparative way</u> (at the EU, UN, OECD but also at the level of other bilateral Donors).</p> <p>Members of the research team have been and are still involved in the undergoing <b>Long-Term PSR on “SDGs as a compass for the Belgian Development Cooperation”</b>. The SDGs integrating transversally the Human Rights Based Approach to Development (HRBAD) and being anchored in international Human Rights principles, this will allow for an optimal coordination of the research undertaken in both programmes, and an early identification of the opportunities for synergies, notably by taking stock of the 1<sup>st</sup> year report recommendations of the PSR-SDGs programme re. the need for policy and practical guidelines as well as training sessions. The different universities organize <b>HR teaching programmes</b> and are involved in different networks in Belgium but also in partner countries such as Burundi, Burkina Faso, Benin and DRC (e.g., professional certificate in HR, supported by USaint-Louis and WBI, in Ouaga 2 University, Burkina Faso; UNESCO Chairs for Human Rights in Bujumbura, Burundi, and Cotonou, Bénin; etc.).</p> <p>A member of the research team is, or has been, part of three major <b>research projects on HRBAD</b>, namely, for the European Commission (Large-scale FP7 – coordinator) – Human Rights in EU External and Internal Policies (2013-2016, project with 19 partners globally); for the Flemish Government – Policy Research Centre (joint with</p>	

consortium of University of Leuven, University of Antwerp, Vlerick Management School and HUBrussels); for FWO International Coordination Action with World Bank on Community of Practice on Human Rights and Development Cooperation (ongoing, organize regular events on Human Rights and Development).

Regarding the team **experience related to the functioning of PSR and the need for policy-oriented outputs**, members of the research team have all been working in the framework of policy support, some for more than 15 years, through the course of 2 GRAP programmes (GRAPAX 1 and 2), 1 O-Platform (on Education for Development), 4 ACROPOLIS programmes (Aid Effectiveness with a focus on Fragile Contexts; Governance for Development; BeFinD; KLIMOS), 2 Short-Term PSR programme (Mali and Burkina Faso) and 1 still undergoing Long-Term PSR programme (SDGs).

The team is therefore deeply familiar with policy support procedures and DGD, incl. **administration-relevant and policy-oriented output formats, uptake and diffusion strategies**. They notably developed user-friendly guidelines and tools such as the *Guidance on Fragility* (2017). They are already familiar with DGD / Enabel / other BE actors working on and in Central and West Africa partner countries, and built a relationship of trust with many of them over the years, enabling results to be more easily achieved and mainstreamed.

Signature of the lead researcher



## 1.2 Plan of action and research methodology, including former experience with DGD / Belgian development cooperation

Please explain how the research team will respond to the Terms of Reference. What are the objectives of the project? What is the research question? What is the link with current or previous research done? Is there experience in working with DGD or Belgian development cooperation? What methods will be applied? What (potential) results will be achieved? What products will be delivered? In which timeframe?

### Objectives and research question

The project intends to 1) analyse the way HRBAD has been conceived and operationalized by BE but also other bilateral and multilateral development actors so far; 2) to identify lessons learned, best practices and (conditions for) added-value of HRBAD 3) develop user-friendly policy guideline and instruments that are aligned with BE vision and priorities and that can be used by BE actors to improve the integration of a HRBAD and 4) train DGD, and more broadly FPS, staff to the BE approach to HRBAD and the aforementioned tools (capacity building).

The inclusion of Human Rights in the development policy of Belgium is not new. The 25 May 1999 law on international cooperation enshrined Human Rights as part of the *general objective* of development, democracy and Rule of Law support (art. 3 and art. 4 & 5 of the 19 March 2013 law). The fifth intervention sector of the Belgian aid, as defined in the 25 May 1999 Law on international cooperation, was broadly defined as covering conflict prevention and state-building, *incl. the support to human dignity, the Human Rights and fundamental freedoms*, which led to the implementation of specific programmes and projects in several countries. The 19 March 2013 law adjusted the focus by enshrining Human Rights as a *priority theme* (art. 11§1) of its development policy. Belgium also implemented HR promotion through conditionality mechanisms, especially with the *incentive instalments* in Central Africa, and the promotion of Human Rights is a massive issue in the post-conflict and fragility contexts, which constitute the main priority for BE in terms of selected countries of intervention. More recently, the notion of HRBAD as such has been knowing a growing success in the international agenda of aid, and is particularly linked with the SDG's and the *Leaving no one behind* (LNOB) principle.

This research will therefore bring more precision to the notion, and mainly question how does the HRBAD fit in the Belgian development aid at both conceptual and operational levels, and what are its (potential) added value and specificity. It will focus on the issue of operationalising HRBAD in actual projects and programmes, and provide guidelines for such an operationalisation, as well as training sessions dedicated to specific tools and/or sectors and themes of intervention. The participatory methodology and results of the HRBAD study will help make sure the training sessions are aligned with participants needs and informed by lessons learned from BE experiences.

#### **Link with current or previous research done and experience in working with DGD and Belgian development cooperation**

The research will be led by an inter-university team showing a sound familiarity with DGD organisation, structure and procedures, and an in-depth experience of the Belgian Development policy, built-up on previous policy-supporting research projects, both in the French- and Flemish-speaking universities of the country.

See point 1.1. for more details on links with relevant expertise and experience.

#### **Research methods and plan of action**

The research will be based on a mixed-methods approach: 1) analysis of relevant literature and policy sources; 2) qualitative semi-structured interviews and participatory workshops and focus groups; and 3) field research missions. It will include the following axes:

- 1) Research (interviews and documentation analysis) on the definition and scope of existing different HRBAD approaches, interventions and tools a) in academic literature; b) in grey literature, i.e. institutional documents produced by policy actors; c) among BE actors (DGD, ENABEL, BIO, NGAs), and d) in other international and bilateral donors' practice;
- 2) Cross-analysis on HRBAD's added-value for the Belgian development cooperation policy and its place in the programming cycle:
  - a. as an entry point in a programme of country portfolio, as compared with former 5<sup>th</sup> sector in 25 May 1999 Law (overall encompassing sector of intervention on conflict prevention, Human Rights and good governance);
  - b. as a leverage tool, as compared with conditionality (HR as a sanction, in negative conditionality policy EU type; HR as an incentive, in former *tranches incitatives*);
  - c. as an approach impacting all sequences of the programming cycle (context analysis, design, implementation, monitoring and evaluation).
- 3) Cross-analysis on the relationship between HRBAD and other key BE strategic issues and priorities, specifically SDGs (and LNOB principle) and Fragile contexts (cf. key principles of intervention: promote non-discrimination, make prevention a priority, etc.);
- 4) Specific challenges posed by HRBAD in specific sectors (2013 law, art. 19) (agriculture, health, education, infrastructure), *priority themes* (2013 law, art. 13) (Human Rights, incl. children's rights; decent labour; society consolidation), and/or *cross-cutting themes* (gender, environment).

The coordination with the PSR programme dedicated to SDGs will, among other actions and outputs, result in a specific policy brief that will focus on the HRBA-LNOB nexus, and frame this debate in the context of the SDGs. Leading publications on LNOB refer to at least five intersecting factors that explain why individuals and/or groups are left behind. The intersectional nature of many LNOB challenges demands integrated approaches that address issues from multiple perspectives at the same time. In doing so, policy documents contain multiple references to violations against Human Rights, and at least hint at the relevance of HRBAD to respond to the LNOB challenge. This raises the question of how development programmes which build on HRBAD principles can develop a more explicit understanding and sensitivity for the LNOB agenda. The policy brief will bring together the latest literature on this issue as well as insights from the ongoing PSR-SDG research to develop operational guidelines on how the HRBAD can provide development actors with a valuable methodology to not only raise the importance of LNOB within HRBAD programmes but to translate this principle into action.

The programme will also benefit from research done in an existing international research network on HRBAD, leading its own complementary activities, such as a roundtable, to be held in Washington, next April, on the new French approach towards the HRBAD, with the World Bank and the French Ministry of Foreign Affairs.

Field missions are part of the research project, both for data collection (actual taking into account / implementation of HRBAD tools on the ground, by various Donors and partners) and for training and dissemination. The selection of geographic areas for the field missions will be decided in accordance with the importance of the concerned countries in the BE portfolio in terms of HRBAD-related interventions, as well as according to the interest and availability of BE development staff on the field, but exploratory contacts with Enabel already showed an interest for a joint reflection on some of the countries where HRBAD was integrated, last year, to the formulation phase of the programming cycle of intervention, i.e. West-Africa (Bénin, Burkina, Guinea and Mali) and Rwanda.

**Results and outputs**

The following outputs will be delivered:

1. HRBAD study “Approaches, practices and recommendations”: mapping and analysis of BE and international HRBAD approaches, policies and interventions, incl. best practices, lessons learned and recommendations.
2. Guidelines on HRBAD for BE development, incl. topical tools and notes, notably, the synthesis of a literature mapping; notes on how and where to integrate HRBAD in the programming cycle of BE development interventions; two substantial sections on, respectively, HRBAD and SDGs (taking stock/building up/fitting in); and HRBAD and fragile and post-conflict contexts.
3. Training sessions (3 two-days sessions, not including sessions during field missions) and policy briefs on HRBAD specific issues re. its application in sectors, priority themes and cross-cutting themes of the Belgian aid (see *supra* for details). Training sessions will also include, without being limited to, the use of NTIC for further dissemination, e.g. through *webinars* (on-line seminars), tailor-made adjusted from a module dedicated to Human Rights as part of a Massive Online Open Course on SDGs.
4. Ad-hoc policy support to DGD in relations with initiatives at EU and international levels as well as the activities of the Task force HRBAD.

Other outputs may also include research papers and other potential non DGD-targeted products.

**Timeframe and key research phases**

The research team is available to start the research assignment within the timeframe set in the general call for proposals Long-Term Policy Supporting Research 2020 document that indicates a communication of selection results and start of the PSR period on 2<sup>nd</sup> of March 2020, for a duration of 1 year (extendable).

The research will be conducted in different phases to be validated with DGD at inception of the project.

	03/20	04/20	05/20	06/20	07/20	08/20	09/20	10/20	11/20	12/20	01/21	02/21
Inception	■											
HRBAD study	■	■	■	■	■	■	■					
Ad-hoc support	■	■	■	■	■	■	■	■	■	■	■	■
Field missions				■	■	■	■	■	■	■		
Draft guide-line/tools/notes		■	■	■	■	■	■	■	■	■		
Final. of guide-line/tools/notes								■	■	■	■	■
Training sessions							■	■	■	■	■	■
Final report												■

### 1.3 Strategy for uptake and outreach

Please explain the strategy for uptake and outreach of the research team. How will the team ensure hands-on and user-friendly practical applications for DGD, as well as dissemination and use by third parties?

The strategy for uptake is conceived as a key pillar of the programme, through 1) specific activities dedicated to training and capacity building; 2) a participatory research process (in Brussels and partner countries during field missions) leading to the elaboration of user-friendly guidelines.

The uptake and outreach strategy of this project will be carried out bearing in mind the capacity-building output. In other words, as presented *supra*, it will rely on the achievement of intermediary (desk study, data collection, field mission reports) as well as final outputs (Guidelines, training sessions). It will therefore seize the opportunities of meetings and consultations to offer seminars and training sessions to the relevant stakeholders. e.g., during the field missions, the team will propose 1/2 day of training session to the embassy staff, in order to make sure of the actual ownership, as well as practical relevance, of the findings and research results.

Contacts will also be made with the already existing Task Force on HRBAD, in order to build on previous reflection and fit in the already running process.

### 1.4 Collaborations with other parties

Please explain if within the project you / your team will collaborate with other parties, for example other Belgian universities, university partners from the South, other partners of the Belgian Development Cooperation, global networks, non-university centres and networks, private sector, ... In case you are part of a network that is of relevance to the theme, please indicate and elaborate how.

Apart from the three universities in partnership for this project (Université Saint-Louis – Bruxelles, Université de Liège, Katholiek Universiteit Leuven), the research will reach a much broader network of researchers and practitioners, both in Belgium and abroad, in order to confront perspectives, get relevant feedback, and be able to forage in a pool of third-party expertise, should it be required on specific sectors or sub-themes.

In Belgium, solid working relationships were already established, through previous research project on BE development aid, with the following partners: University of Ghent (esp. the Conflict Research Group, and the Governance in Conflict international research network); Université libre de Bruxelles (esp. the Centre for Public Health); the Université Saint-Louis – Bruxelles and the University of Liège are also both part of an interuniversity teaching programme on gender studies, including several colleagues working on gender and development.

Abroad, a major contact would be Dr Siobhan McInerney-Lankford, Senior Counsel in the Legal Vice-Presidency at the World Bank who is co-organizing with one of the members of this research, a Community of Practice on Human Rights and Development (<https://ghum.kuleuven.be/ggs/research/cop-human-rights-and-development>).

Also, several colleagues in the South could be associated to fieldwork, depending on the final choice of countries for field missions; in particular in Burkina Faso (Faculty of Law of Ouaga 2 University), in Rwanda (Rwanda University and Institute of Research and Dialogue for Peace), in Bénin (UNESCO Chair on Human Rights), in DRC or Tanzania (University of Dar es Salam). The team members have also developed structural collaboration with HRBA-relevant international and local NGOs actors, e.g. Oxfam, WSM, Save the Children Sweden, RCN-Justice & Démocratie, etc.

## 1.5 Budget

<b>Tasks</b>	<b>USLouis</b>	<b>ULiège</b>	<b>KUL</b>	<i>Total number of days * daily fee</i>
<b>Inception</b>	<b>0,5</b>	<b>1</b>	<b>0,5</b>	<b>2</b>
Kick-off meeting with DGD	0,5	0,5	0,5	1,5
Final Plan of Action		0,5		0,5
<b>HRBAD Study</b>	<b>25</b>	<b>36</b>	<b>5</b>	<b>65</b>
<i>Data collection and analysis</i>	10	10		20
<i>Interviews and consultations</i>	10	10		20
<i>Writing draft and final research report</i>	5	16	5	26
<b>Guideline and tools</b>	<b>21</b>	<b>14</b>	<b>12</b>	<b>48</b>
<i>General guideline</i>	13	10		23
<i>Policy note on SDG's and LNOB</i>			12	12
<i>Policy note on fragile contexts</i>	8	4		12
<b>Field missions</b>	<b>20</b>	<b>20</b>		<b>40</b>
<i>Mission 1</i>	10	10		20
<i>Mission 2</i>	10	10		20
<b>Training sessions</b>	<b>18</b>	<b>18</b>	<b>18</b>	<b>54</b>
<i>Preparation, incl. teaching support</i>	12	12	12	36
<i>Training session 1</i>	2	2	2	6
<i>Training session 2</i>	2	2	2	6
<i>Training session 3</i>	2	2	2	6
<b>Ad hoc support / specific requests</b>	<b>5</b>			<b>5</b>
<i>Specific support request from DGD (coordinated by USL-Bruxelles)</i>	5			5
<b>Total number of days * daily fee</b>	<b>89,5</b>	<b>89</b>	<b>35,5</b>	<b>214</b>

How does the proposed action plan and methodology justify the proposed number of days?

The proposed number of days are presented in the table above in relation with 1) the four key outputs and 2) the field missions that are justified in the plan of action and based on the research methodologies detailed in section 1.2.

## 1.6 Other

Any other information that you would like to share?

A meeting with DGD and other relevant actors would take place at inception of research process, in order to further define the project and validate a final and detailed plan of action, esp. with respect to the choice of country case studies for field missions, and to the choice of targeted sectors/themes/topics for the training sessions.

A CV of the members of the research team, as well as a list of their relevant publications, both academic and policy-oriented, are available upon request.

*Please limit the proposal to 6 pages maximum.*