

UPR Mid-term reporting

Optimising Sustainable Implementation

Good practices for UPR stakeholders



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UPR Info is a non-profit, non-governmental organisation headquartered in Geneva, Switzerland. It aims to raise awareness of the Universal Periodic Review and to provide capacity-building tools to all stakeholders, such as UN Member States, civil society, media, and academics.



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UK Mission
Geneva

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Foreword



UK Mission Geneva

The United Kingdom of Great Britain and Northern Ireland attaches great importance to the Universal Periodic Review (UPR), and the platform it provides for improving human rights at the national level. If the UPR is to realise its full potential, implementation of the recommendations that are made in the peer-review process must be at centre stage. In this vein, the United Kingdom has taken a two-pronged approach to its own implementation efforts by pledging: 1) to provide an update to the international community on the status of implementation of up to five recommendations one year after our third UPR; and 2) by preparing a State mid-term report in 2019. These undertakings aim to ensure that implementation is approached in a sustained and concerted manner throughout the full UPR cycle, for the continuous improvement of human rights in the United Kingdom.

The Foreign and Commonwealth Office is proud to sponsor this publication, which offers good practices to stakeholders – States, civil society organisations (CSOs), and national human rights institutions (NHRI) alike – on effective mid-term reporting. It contains reference to a wealth of information to guide UPR stakeholders in their reporting including: the *traffic light system*, indicating different stages of implementation; and the opportunity to make the report more user-friendly by providing information in the form of a grid/matrix. This publication also illustrates how a multi-stakeholder consultation process preceding the publishing of a mid-term report provides a bedrock on which the national UPR momentum can be reinvigorated.

To date, 68 States have issued mid-term reports, taking stock of implementation of recommendations between reviews. The UK commends these voluntary submissions and hopes that further States will follow suit in this good practice of transparency, accountability and action. It is critical that NHRIs and CSOs also seize the opportunity to prepare, publish and disseminate their own mid-term reports to provide a balance in the assessment of human rights improvements and persisting challenges vis-à-vis UPR implementation. Mid-term reports constitute a cornerstone for inclusive and sustainable dialogue and actions that will ensure that the human rights situation is improving for all members of society. It is thus hoped that the guidance provided in this publication will act as a further incentive for all stakeholders to develop mid-term reports. The Foreign and Commonwealth Office has a long-standing relationship with *UPR Info*, including support for its Pre-sessions programme and the publication *The Civil Society Compendium – A comprehensive guide for Civil Society Organisations engaging with the Universal Periodic Review*. The Foreign and Commonwealth Office expresses its gratitude to *UPR Info* for its continued commitment to strengthen the engagement of all stakeholders in the UPR.

H.E. Mr. Julian Braithwaite

Ambassador, Permanent Representative, Permanent Mission of the United Kingdom of Great Britain and Northern Ireland to the United Nations Office and other international organisations in Geneva

1. Introduction

In 2006, the United Nations General Assembly resolution 60/251 established the Human Rights Council (HRC), with the Universal Periodic Review (UPR) as a subsidiary mechanism tasked to review the human rights performance of each UN Member State.¹ The resolution called on the HRC to evaluate its work five years after its inauguration. The evaluation process that ensued resulted in a strengthened focus on implementation of UPR recommendations and an appeal to States and other stakeholders, including civil society, to provide the Council with progress reports halfway between reviews.² In recognising the need for strengthened follow-up measures, the HRC institutionalised mid-term reporting as a critical, albeit voluntary, component of the UPR process. As of February 2018, 68 States had undertaken this exercise.³ In parallel, numerous civil society groups have contributed with mid-term reports complementing the State's assessment of implementation.

The importance of mid-term reporting is further compounded by the absence of an official UN process tasked to assess implementation of UPR recommendations. As a result, these documents constitute an important source of information on progress, or lack thereof, in relation to implementation of recommendations during the five years between reviews. The mid-term reporting stage also lends itself as an occasion to reinvigorate the national UPR momentum. In preparing the information, consultations between Governments, civil society, National Human Rights Institutions (NHRIs), parliamentarians, and media bring all UPR stakeholders to the table to discuss the human rights situation on the ground. Such multi-stakeholder discussions are imperative as they pave the way for sustainable, inclusive and transparent implementation of recommendations.⁴

The purpose of this publication is to provide States, NHRIs and civil society actors with good practices to mid-term reporting. It is anchored in standards and good practices gathered from *UPR Info's* long-standing commitment to optimise stakeholders' engagement with the mechanism. It is our hope that it will enhance the quality and increase the quantity of mid-term reports developed by States, civil society organisations (CSO) and other UPR stakeholders.

2. UPR Follow-up

The five-year UPR cycle from one review to the next is a significant amount of time in which human rights change can occur on the ground. Yet, the energy and enthusiasm during and immediately after the review stage can begin to wain as the years go by, potentially leading to stagnation in progress. It is therefore crucial that stakeholders provide information between cycles on UPR follow-up to ensure an accountable, relevant and effective process.

Submitting a consolidated mid-term report is the most comprehensive means to present information on the level of implementation of UPR recommendations. Given the voluntary nature of mid-term reports, there are few, if any, formal exigencies as to the structure, content and deadlines. Indeed, by allowing stakeholders significant flexibility in how the report will be presented, the hope is to encourage increased utilisation of this valuable source of information.

In addition to the mid-term report, there are other ways by which to shed international light on UPR follow-up.⁵ These include:

1. Oral statement



Agenda Item 6 of the HRC is dedicated exclusively to discussion of the UPR. During the Item 6 General Debate, States, as well as accredited international and regional agencies, A-status NHRIs, and CSOs can take the floor to provide brief updates on UPR implementation in any country.

Pros:

- ✓ It offers a **direct, multilateral platform to share information** with those present at the HRC session, including UN Member States, international and regional bodies, CSOs, and media.
- ✓ All sessions, including Agenda Item 6, are webcast on UN webtv, meaning that **statements are broadcasted and archived**.⁶

Cons:

- ✗ As the **speaking time is highly restrictive** – limited to a couple of minutes per speaker – it is difficult to present in much detail the level of implementation of UPR recommendations.

2. Written statement

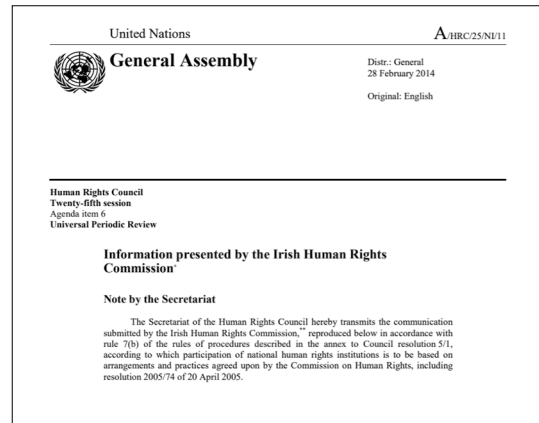
As with other agenda items of the HRC, accredited stakeholders and A-status NHRIs can submit written statements under Item 6 to highlight information regarding UPR follow-up.

Pros:

- ✓ It forms part of the HRC documentation and is published on the OHCHR website.⁷

Cons:

- ✗ Written statements that are not otherwise promoted in a dynamic manner, **may not receive much attention**, having in mind the volume of documentation submitted for each HRC session.



TIP: Use the Item 6 General Debate as a platform to publicise the availability of the formal mid-term report or the written statement.

Priority implementation

UPR Info encourages States to use Item 6 as a platform to report orally one year after its review on **five recommendations** it has identified for implementation. It should highlight concrete activities that are underway in order to implement the five priority recommendations.⁸

Good Practice: The United Kingdom



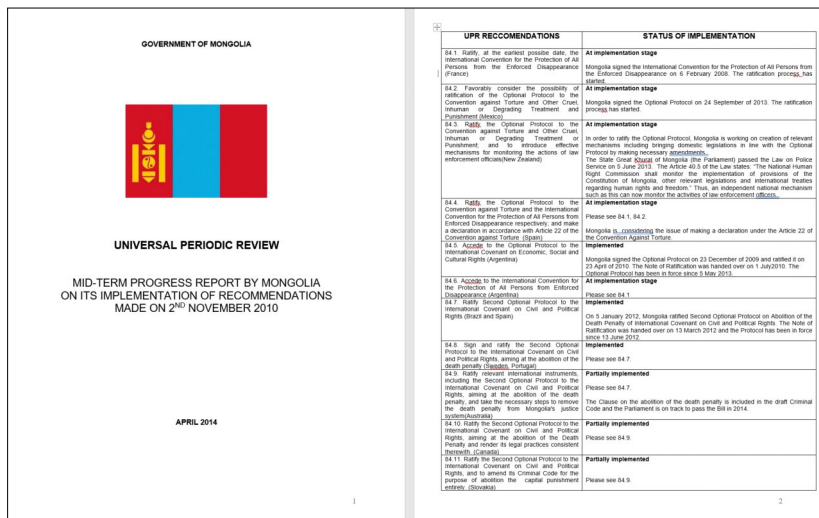
United Kingdom, UPR Report Consideration - 24th Meeting, 36th Regular Session Human Rights Council

“The UK is committed to follow up on [third cycle] recommendations with a mid-term report in 2019... We have also made the additional commitment to provide an update on up to five recommendations by May 2018...”

*The UPR is not just a three-and-a-half-hour dialogue that occurs for States every four years. Each cycle builds on the last. **Mid-term reports and other updates are an important way to demonstrate on-going commitment ahead of the next cycle.**”*

H.E. Mr. Julian Braithwaite, adoption of the United Kingdom’s third UPR, September 2017⁹

3. Mid-term reporting



Introduction of State mid-term reports

The impetus for mid-term reporting developed ahead of the five-year review of the HRC in 2011, with many States and CSOs alike advocating for increased focus on follow-up. Amnesty International suggested the introduction of designated time under Item 6 to discuss mid-term implementation.¹⁰ Similarly, several States also displayed interest to utilise Item 6 to provide information on implementation, albeit on voluntary basis, including, Colombia, Morocco and Thailand.¹¹ Norway proposed a systematic approach to mid-term reporting, including the issue of technical assistance, a position echoed by the United Kingdom.¹² Other supporters, France and Japan, submitted that mid-term reporting should be done around the two year mark after the adoption.¹³ However, not all delegations were supportive of the initiative. Azerbaijan and Bangladesh discouraged the formalisation of mid-term reporting, a stance reflected by several others who stressed that any interim updates should remain fully optional (including China, Iran, Saudi Arabia, and Singapore).¹⁴

Other suggestions on UPR follow-up included the United States' proposal for the introduction of an assessment by the OHCHR, which would identify in a separate report how States responded to recommendations, as well as highlighting obstacles for implementation.¹⁵ Meanwhile, the Maldives suggested that the OHCHR should prepare a short table containing streamlined, clustered recommendations, and States would simply update this table with areas of progress.¹⁶

The predominant sentiment to emerge from the negotiations was a distinct appetite for mid-term reporting in so far as it would remain optional.¹⁷ This outcome was reflected in the 2011 HRC Resolution 16/21 on the Review of the work and functioning of the Human Rights Council:

“States are encouraged to provide the Council, on a voluntary basis, with a midterm update on follow-up to accepted recommendations.”¹⁸

Recognition of civil society mid-term reports

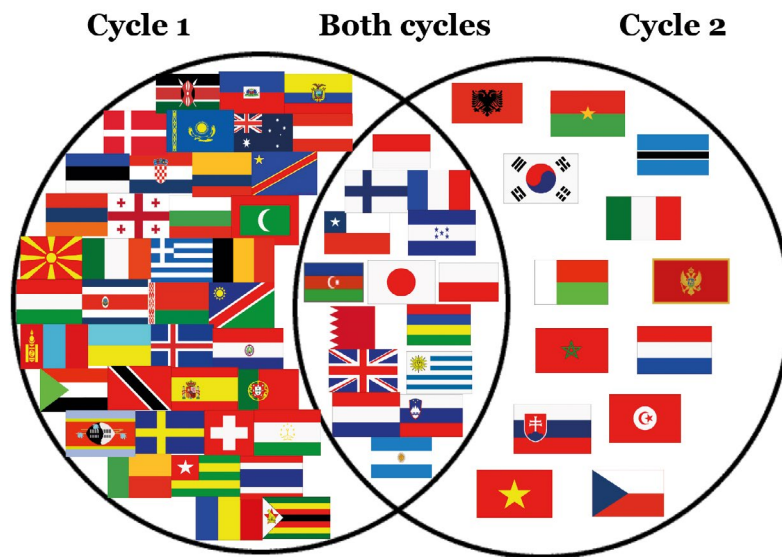
It is worth noting that initially, only mid-terms reports prepared by States were formally published on the OHCHR website. Mid-term reports submitted by civil society were not included on the UPR pages. Recognising the important

information provided by CSOs, *UPR Info* filled this gap by publishing civil society mid-term reports it received on its own website, with a view towards increasing their visibility. A welcome update of the **UPR's third cycle** is that the OHCHR has now begun to publish civil society mid-term reports.¹⁹



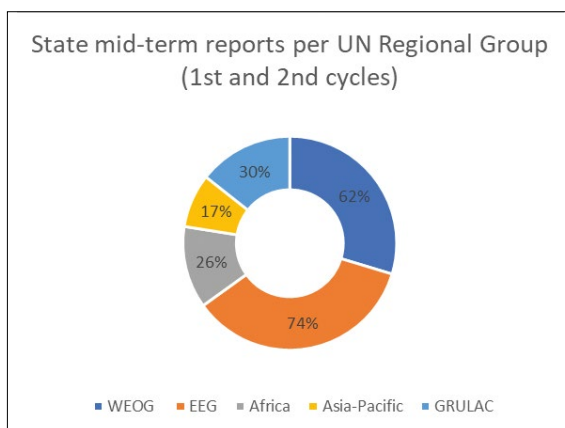
3.1 State mid-term reporting

The extent to which States have operationalised mid-term reporting has varied significantly by cycle and by UN Regional Group. On the global level, the most recent statistics show that 68 States have so far submitted mid-term reports.²⁰ Of these 68, 55 States have submitted mid-term reports for the first cycle;²¹ 28 States have submitted for the second cycle;²² and 15 States have submitted for both first and second cycle.²³ The relatively low number for the second cycle should also take into account that four UPR sessions have not yet reached the mid-term point,²⁴ and thus it is possible that reports can still be made on these 53 States.²⁵

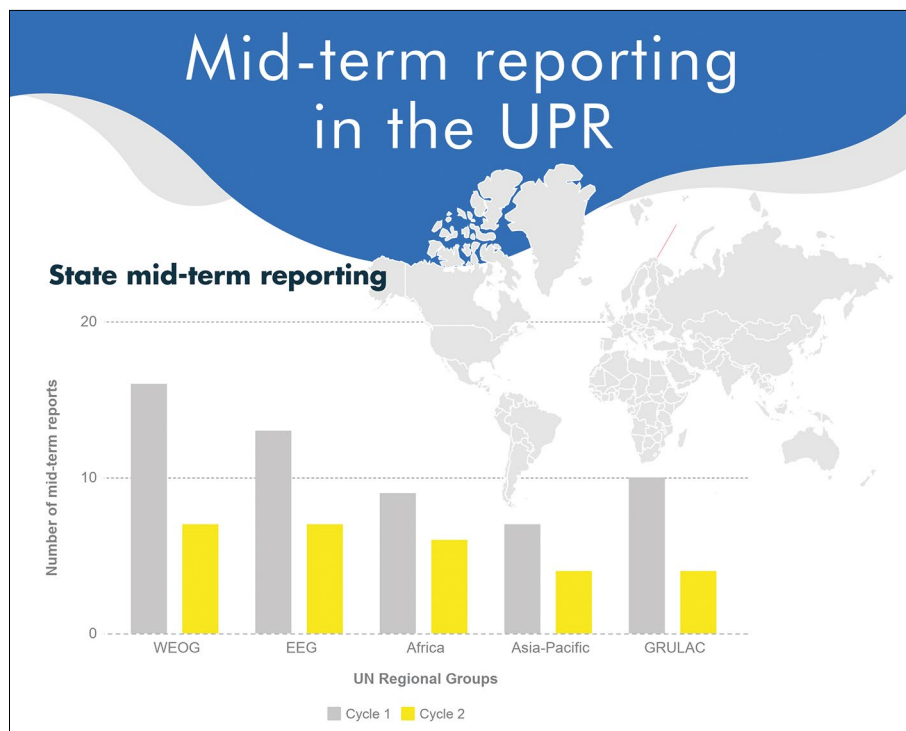


Overview of all State UPR mid-terms for first and second cycle

At the regional level, mid-term reporting has achieved mixed results. Looking at the 68 States that have submitted at least one mid-term report, the Eastern European Group (EEG) has engaged the most, with 17 States (74% of all regional Member States) having submitted. 18 States (62%) from the Western European and Others Group (WEOG) have submitted mid-term reports, followed by 10 States (30%) from Latin American and Caribbean Group (GRULAC); 14 States (26%) from the African Group; and nine States (17%) from the Asia-Pacific Group.



With the third UPR cycle consciously focussed on implementation, it is hoped that States from all Regional Groups will engage more with mid-term reporting (the first mid-term reports for the third cycle are due around November 2019).²⁶ States seeking to prepare mid-term reports can be guided by good practices of their peers, many of which are highlighted below.



TIP: Increasing State mid-term reporting

■ Recommending States can expressly encourage mid-term reporting in UPR recommendations to States under Review:

E.g. “Incorporate the results of this UPR into its action plans for the promotion and protection of all human rights, taking into account the proposals of civil society and **present a midterm evaluation report to the Human Rights Council on the implementation of the recommendations of this session.**” (Hungary to Benin, Second cycle UPR)

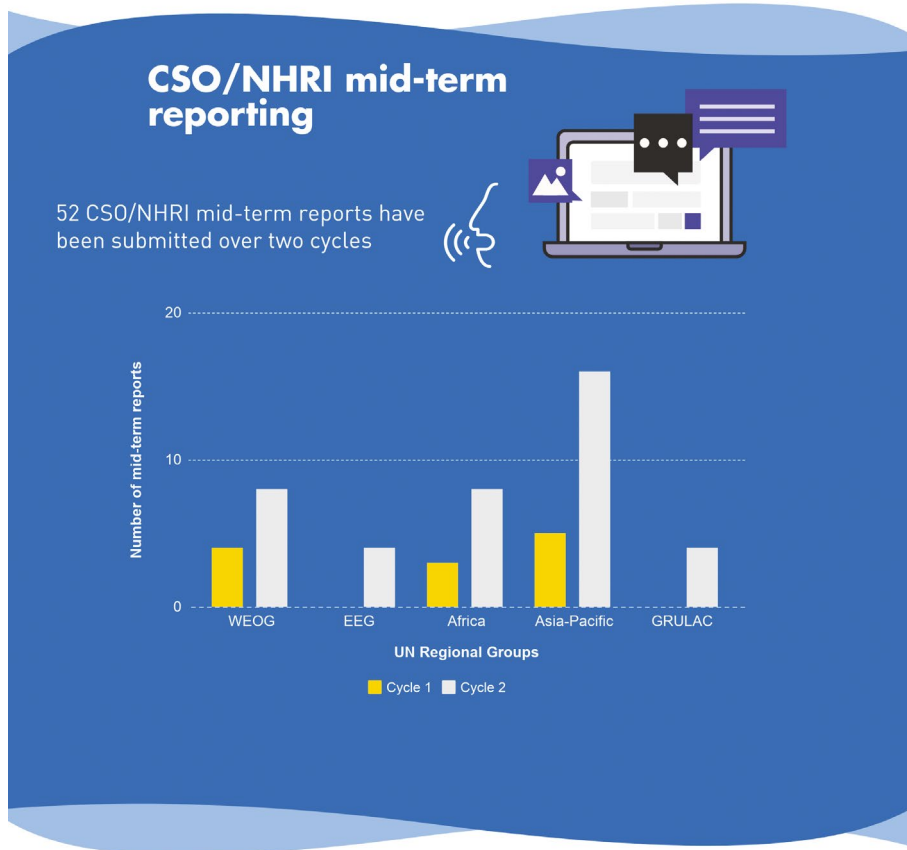
■ **States under Review** that would like to draft a mid-term report can reach out to States who have previously submitted to request technical guidance/sharing of good practices. States under Review can also inform relevant UN bodies, including the UN Resident Coordinator, and UN Country team, OHCHR, and UNDP to seek technical assistance and capacity-building.

E.g. During its preparation of the mid-term report on second-cycle recommendations, **Montenegro** credits the support of UNDP, UNICEF, UNHCR, WHO, and IOM.

3.2 Mid-term reporting by CSOs and others

Civil society organisations and National Human Rights Institutions (and other non-State actors) have utilised the mid-term stage to report on progress and to issue recommendations on how to accelerate implementation. Data collected from *UPR Info*’s website shows that 52 CSO/NHRI mid-term reports have been submitted over two cycles.²⁷ While statistics vary between regional groups, only 12 CSO/NHRI mid-term reports were submitted in the first cycle, a number that more than tripled in the second cycle to 40 reports. CSOs/NHRIs from the Asia-Pacific Group have been the most ardent authors of interim reports, and account for 21 mid-term reports (40%) over two cycles. This stands in contrast to States under Review from the same region which have submitted the least amount of mid-term reports. Conversely to this example, CSOs/NHRIs from the EEG have submitted, together with CSOs/NHRIs from GRULAC, the least amount of mid-term reports,

whereas EEG States have submitted the most State mid-term reports. The significant increase in CSO/NHRI mid-term reporting is likely a result of the UPR gaining in overall popularity, CSOs/NHRIs growing increasingly aware of entry points offered by the mechanism, and the absence of an established follow-up procedure.



Follow-up on recommendations is vital to ensure that each review is not treated in isolation, and that States are held accountable for the human rights commitments they undertake at the UPR. Increased attention by CSOs/NHRIs to mid-term reporting will strengthen the link between reviews. A comprehensive mid-term report constitutes an important source of information for the international community, and can influence the recommendations the State under Review will receive at the next review.



TIP: Increasing Civil society mid-term reporting

■ Civil society organisations keen on drafting a mid-term report can consult with States, inter-governmental organisations and UN agencies to seek technical assistance and funding.

*E.g. The mid-term report submitted by the *The Coalition of Malaysian NGOs in the UPR Process (COMANGO)* covers ten specific human rights themes, and was supported by the *Commonwealth Foundation*.²⁸*

■ A comprehensive mid-term report facilitates the development of the CSO submission prior to the review

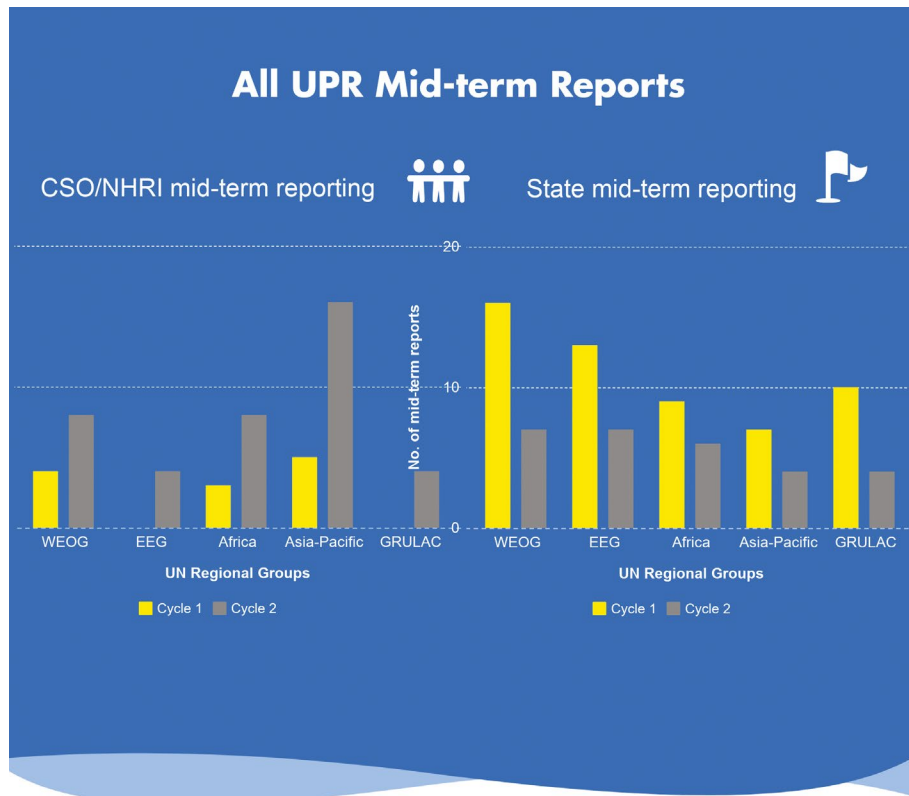
*E.g. Prior to the second UPR of Ukraine, the *Coalition of Ukrainian Human rights organizations on preparation to the UPR* submitted an alternative report.²⁹ Building on this experience, the same coalition, gathering over 80 organisations, issued*

a joint mid-term report in 2015, with support from UNDP, to take stock of the recommendations which Ukraine had received at the review.³⁰

■ To boost visibility of the report, CSOs present in Geneva with ECOSOC Consultative Status should also consider introducing the findings of their report under **Human Rights Council (HRC) Item 6 General Debate**.³¹

Overview of all UPR mid-terms (State, civil society, NHRI) for first and second cycle

UN REGIONAL GROUPS	FIRST CYCLE		SECOND CYCLE	
	STATE MID-TERM REPORTS	CIVIL SOCIETY/NHRI MID-TERM REPORTS	STATE MID-TERM REPORTS	CIVIL SOCIETY/NHRI MID-TERM REPORTS
African	9	3	6	8
Asia-Pacific	7	5	4	16
Eastern European	13	0	7	4
GRULAC	10	0	4	4
WEOG	16	4	7	8
TOTAL	55	12	28	40



4. Mid-term timeline

With the introduction of the third cycle of the UPR (2017–2021), the period between two reviews has increased from 4.5 to 5 years. As such, and in the absence of an official deadline for mid-term reports, *UPR Info* suggests an artificial deadline of 2.5 years after the review. Several months in advance of the deadline, *UPR Info* circulates a reminder to CSOs and NHRIs that engaged in the review about the possibility to contribute to the mid-term stage. They are also encouraged to send the report to both *UPR Info* and the OHCHR for publication on their respective websites.

It is recommended to begin the **data collection process at least six months prior** to the planned release date of the report. A generous timeframe enables consultations with UPR stakeholders and corroboration of information before starting the drafting process.

Timeline for UPR engagement in the current cycle



Sample timeline for UPR engagement from UPR Info website

5. Multi-stakeholder participation

In preparation of the mid-term report, whether it is being undertaken by State, civil society or other UPR stakeholders, collecting information through broad consultations is strongly advised. This offers the most representative and balanced information, as well as lending credibility and legitimacy to the report. Ideally, consultations should take place across and amongst Government officials, civil society groups, NHRIs, parliamentarians, media, resident diplomats, and UN agencies. This open and diverse flow of information is key to successful mid-term reporting.

5.1 Inter-governmental consultations

Implementation of human rights recommendations at the national level normally involves concerted efforts across many governmental line ministries and bodies. The same inter-ministerial cooperation is often needed for monitoring the efficacy of measures that are being taken, as well as to report on the identified progress and challenges. UPR recommendations are no different; if anything, given their broad ambit across all human rights norms, it often takes significant energies of numerous ministries and governmental bodies to implement recommendations.

Ideally, States should create a national mechanism for reporting and follow-up (NMRF) to facilitate the implementation and reporting process of human rights recommendations.³² The mandate of the NMRF would encompass UPR recommendations, as well as those of the human rights treaty bodies, Special Procedures, and other international and regional mechanisms. Numerous States have successfully introduced NMRFs, with many lending their political support through the *Group of Friends on national implementation, reporting and follow-up*.³³ The NMRF provides a solid basis from which to coordinate national reporting efforts, having in mind its focussed mandate and broad representation. The NMRF is equally well-placed to lead the process for UPR mid-term reporting and should include this step in its planning.

Good practice: Morocco



The Inter-ministerial delegation for human rights (*Délégation Interministerielle aux droits de l'homme*) [DIDH], played a significant role in preparing Morocco's second-cycle UPR mid-term report (2014). In April 2014, the DIDH, with the support of UNDP, organised a meeting in the city of Oujda to discuss input for the UPR mid-term report. The meeting brought together civil society, parliamentarians, the NHRI, academics, media representatives, and UN agencies.³⁴

Shortly after the regional workshop, the DIDH presented the report in the country's capital, Rabat, during another consultative meeting with stakeholders. The DIDH invited feedback and modifications to the report before its finalisation.³⁵ This approach of the DIDH is commendable for having ensured regional participation in the drafting process, as well as the inclusive manner of ensuring multi-stakeholder input.

5.2 Government/civil society consultations

When a CSO is planning to submit a mid-term report, it should strive to inform the Government as a constructive way to initiate consultations.³⁶ If the Government decides to develop a mid-term report, it should in turn invite civil society groups

to provide input to their text. Joint Government/civil society consultations should involve two stages:

- 1. Thematic consultations:** For example, when assessing implementation of health-related recommendations, CSOs working on the issue approach the relevant ministry to learn about their implementation efforts to date, and what actions they will undertake ahead of the next review. This way, an added impetus is placed on implementation.
- 2. Validation meeting:** A validation meeting where representatives from the Government and civil society provide input to each other's mid-term reports increases the credibility and legitimacy of each report (see the example by the DIDH Morocco above). Even if the Government is not producing a report, line-ministries can be invited to the validation of the mid-term report developed by civil society. It is a sign of goodwill which can foster collaboration beyond the mid-term stage.

Good practice: State/civil society collaboration



The UK, ahead of its second UPR mid-term report, facilitated an online submission system where stakeholders could provide information on the implementation of recommendations.³⁷

5.3 Consultations amongst civil society organisations

Since UPR recommendations cover a wide range of rights issues, it is essential for civil society organisations to consult broadly amongst one another to reflect expertise across different human rights. To be effective, such consultations should be:

- a. Broad-based:** Consultations should go beyond the capital to engage rural and grassroots organisations. These groups frequently possess first-hand information regarding the human rights situation in the area in which they operate. Consultations also serve the purpose of raising awareness of the UPR, which in turn allows rights-holders to hold the Government accountable to their human rights commitments.
- b. Representative:** Input should be gathered from a cross-section of society, including testimonies from at-risk and marginalised groups. Consultations should address how human rights issues affect women and girls, as well as implications in urban and rural areas.
- c. Meaningful:** Consultations should not be a box-ticking exercise but done with the intent of including the information obtained in the final mid-term report.

Good practice



The joint mid-term report submitted by DITSHWANELO, a CSO coalition in **Botswana**, outlines the consultative process through which information was gathered. Under the umbrella of the *UPR NGO Working Group*, 12 national CSOs covering a wide range of human rights issues, discussed implementation and provided input to the report. The report also refers to a consultation between the Government of Botswana and CSOs in the preparation of the State mid-term report.³⁸

5.4 Engagement of other stakeholders

National Human Rights Institutions (NHRIs) should be encouraged to develop their own independent mid-term report. They should engage with both Government ministries and civil society actors in the process. NHRIs can utilise their independent mandate to organise mid-term consultations between the Government and CSOs. Independent institutions can also be a useful source of information to a civil society mid-term report, but may not sign on to the report due to their impartial mandate.

Good practice: Australia



The Australian Human Rights Commission (NHRI) has published a series of annual progress reports following the first UPR of Australia. Each report assesses implementation under three domains: Equality before the law and non-discrimination; Migrants, refugees and Asylum seekers; and Right to life, liberty and security of the person. The NHRI utilised Agenda Item 6 General Debate of the HRC to deliver oral follow-up statements.³⁹

Good practice: Finland



The *Finnish Human Rights Centre* (NHRI), comprising a 40-member Human Rights Delegation and the Office of the Parliamentary Ombudsman submitted a commentary to Finland's State mid-term report.⁴⁰ It addressed both specific recommendations and overarching human rights themes. The submission was officially part of the State's mid-term report as an annex.⁴¹

Embassies in the State under Review are likely to take an interest in a civil society mid-term report as it measures implementation levels of recommendations their State has made. Resident diplomats may be tracking the recommendations they made and thus have vital information which should be considered for the report. Embassies may also have funds at their disposal to support the development of the report.

Good practice: Norway



Some Norwegian embassies have developed follow-up plans tracking implementation of recommendations stemming from the UN human rights system. It is beneficial for civil society organisations that are in the process of developing a mid-term report to be aware of such initiatives in order to exchange information.

UN agencies and other international organisations may have contributed to the UN compilation report ahead of the review. Consequently, they may be monitoring implementation and have access to information that could boost the mid-term report. International organisations could also be approached as potential donors for the production of the report.

Good practice: Kyrgyzstan



In Kyrgyzstan, UNDP supported civil society monitoring of UPR recommendations with a emphasis on youth and human rights. Through a thematic workshop and multi-stakeholder roundtable inclusive of youth activists, NGOs, and the Ministry of Migration, Labor and Youth, this initiative enhanced their knowledge of, and engagement with, the UPR.⁴²

Parliamentarians play a crucial gate-keeper role in the realisation of legislative change for the improvement of human rights. It is estimated that over 60% of UPR recommendations need parliamentary action for implementation.⁴³ In the preparation of mid-term reports, it is advisable to convene a meeting with members of parliament, especially sitting members of the national mechanism for reporting and follow-up (NMRF), where such exists.⁴⁴ Draw on their expertise and institutional knowledge to enquire as to what extent UPR recommendations have been tabled and acted upon at the parliamentary level. Foster this relationship in order to continue information-sharing and to develop support for future legislative action regarding UPR implementation.

Parliamentarians should not be overlooked by CSOs in their advocacy activities. As parliamentarians hold their positions longer compared to those appointed by the Government, they can be key allies in keeping the UPR on the agenda of the Government. Where Parliamentary Committees on Human Rights exists, they provide an enabling entry point for discussions.

Good practice: Nepal



The CSO coalition *Informal Sector Service* (INSEC) has interacted with the Parliamentary Human Rights Committee to make it more attentive to the UPR and to bring up UPR recommendations for discussion in parliament. They have also informed parliamentarians about their role in the follow-up phase.⁴⁵

Good practice: Mongolia



The *Mongolian Human Rights NGO Forum* linked the competencies of parliamentarians with UPR recommendations, including the adoption of the state budget, to get their attention. As a result, they met with the Head of the Human Rights Subcommittee of the Parliament of Mongolia, the Heads of the Political Parties and several other Members of Parliament to inform how they can contribute to UPR implementation.⁴⁶

Good practice: Togo



Members of the Togolese parliament participated in the Multi-stakeholder Dialogue on UPR Implementation in the aftermath of the country's second UPR. Co-organised by *UPR Info* in Togo, parliamentarians resolved to remain active on the UPR and to establish a Network of parliamentarians for the UPR.⁴⁷

6. Presentation of the report

6.1 Structure

There is no official word count or set structure for mid-term reports. In this light, several good practices have been developed:

1. **Introduction:** Summarise briefly (2–3 paragraphs) the proceedings of the UPR, including:
 - i The date of the review and adoption;
 - ii How many recommendations were supported and noted by the State;
 - iii What ministries/national actors were identified to support implementation;
 - iv What type of implementation framework was adopted e.g. UPR-specific implementation plan or mainstreaming UPR recommendations into the national human rights action plan; and
 - v For CSO mid-term reports, it is important to include a presentation of the organisations behind the submission.

Good practice: State



Kenya's first cycle mid-term report⁴⁸ provides a comprehensive introduction into its UPR proceedings, including: the number of recommendations it received; how it came to its decision on supporting/noting recommendations; the approach adopted for implementation; and the consultative meetings it had with the NHRI, parliamentarians and civil society to support implementation efforts.

Good practice: Civil Society



The *UPR Coalition in Montenegro* gives an introduction to its member organisations and informs about how information was collected; findings from human rights monitoring activities conducted by Coalition members, first-hand evidence from victims of human rights abuses and analysis of secondary sources from judicial and public administration bodies including the Ombudsman.⁴⁹



Tip: ALL civil society organisations can submit a UPR mid-term report. You do not need to have ECOSOC or other status.

2. **Methodology chapter:** The report benefits from a methodology chapter which informs about consultations and how the collected data was assessed.

Good practice: State



The **United Kingdom's** second cycle mid-term report identifies the different levels of consultations and how the information on implementation was gathered. This includes meetings across England, Wales, Scotland, and Northern Ireland, as well as input via an online submission platform.⁵⁰

Good practice: Civil Society



Information from research conducted by faculty, staff, and students at Columbia University and the University of Connecticut constitute the backbone of the mid-term report submitted by *Human Rights Educators USA* and the *University and College Consortium for Human Rights Education*. Focusing on human rights education obligations by the US, it analyses whether 133 higher education institutions have made direct reference to a) human rights; b) to human rights related topics; or c) no reference to human rights in their respective missions and visions, courses, programme requirements, learning objectives, student groups, or research centres.⁵¹

- 3. Measure all recommendations:** In keeping with the universal element of the UPR, it is critical to measure progress of all recommendations made to the State in its previous review. A fair assessment must therefore incorporate noted recommendations.

Good practice: State

Denmark,⁵² Haiti⁵³ and Italy⁵⁴ are amongst States that share information regarding noted as well as supported recommendations. Denmark also provides information on recommendations where its original position had changed by mid-term e.g. from noted to supported; or noted to under consideration.




Good practice: Civil society



The Coalition of Malaysian NGOs in the UPR Process (COMANGO) decided to evaluate implementation of both supported and noted recommendations in their second cycle mid-term report:

“This is done in the spirit and understanding that Malaysia is a member of the United Nations and by that expressed commitment, is obligated to always pursue higher standards in ensuring the respect, protection and fulfilment of human rights for all persons in Malaysia based on the principles of equality and non-discrimination, and the preservation of human dignity.”⁵⁵

- 4. Present implementation in a clear manner:** In order to be user-friendly, it is critical that mid-term reports are not overburdened with text, but rather that key information is readily discernible. While it is advisable to have brief introductory paragraphs to provide an overview of the process and the methodology of the data collection, the information as to the level of implementation can be effectively presented through a table. As it is not always black and white as to whether recommendations have been “implemented” or “not implemented”, introducing a spectrum of implementation as well as colour coding can help to accurately reflect the realities on the ground.

GOVERNMENT OF MONGOLIA	
 UNIVERSAL PERIODIC REVIEW MID-TERM PROGRESS REPORT BY MONGOLIA ON ITS IMPLEMENTATION OF RECOMMENDATIONS MADE ON 2 ND NOVEMBER 2010 APRIL 2014	
UPR RECOMMENDATIONS	STATUS OF IMPLEMENTATION
84.1. Early, at the earliest possible date, ratify the International Convention for the Protection of All Persons from Enforced Disappearance (France) 84.2. Further consider the possibility of ratification of the Optional Protocol to the Convention against Torture and Other Cruel, Inhuman or Degrading Treatment and Punishment (Czechia) 84.3. Ratify the Optional Protocol to the Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment, and to introduce effective mechanisms for monitoring the actions of law enforcement officials (New Zealand) 84.4. Ratify the Optional Protocol to the Convention for the Protection of All Persons from Enforced Disappearance respectively, and make a declaration in accordance with Article 22 of the Convention against Torture (Spain) 84.5. Accede to the Optional Protocol to the International Covenant on Economic, Social and Cultural Rights (Argentina) 84.6. Accede to the International Convention for the Protection of All Persons from Enforced Disappearance (Austria) 84.7. Ratify Second Optional Protocol to the International Covenant on Civil and Political Rights (Brazil and Spain) 84.8. Sign and ratify the Second Optional Protocol to the International Covenant on Civil and Political Rights, aiming at the abolition of the death penalty (Czechia, Portugal) 84.9. Early, revised, encourage institutions including the Second Optional Protocol to the International Covenant on Civil and Political Rights, aiming at the abolition of the death penalty, from Mongolia's justice system (Austria) 84.10. Ratify the Second Optional Protocol to the International Covenant on Civil and Political Rights, aiming at the abolition of the Death Penalty and render its legal practices consistent therewith (Czechia) 84.11. Ratify the Second Optional Protocol to the International Covenant on Civil and Political Rights, and to amend its Criminal Code for the purpose of abolishing the capital punishment (Czechia, Slovakia)	At implementation stage Mongolia signed the International Convention for the Protection of All Persons from the Enforced Disappearance on 6 February 2008. The ratification process has started. At implementation stage Mongolia signed the Optional Protocol on 24 September of 2010. The ratification process has started. At implementation stage In order to ratify the Optional Protocol, Mongolia is working on creation of relevant mechanisms including amending domestic legislations in line with the Optional Protocol by means necessary amendments. The State Court of Mongolia (the Parliament) passed the Law on Police Services in 5 June 2012. The article 40.3 of the Law states: "The National Human Rights Commission shall monitor the implementation of provisions of the Convention of Mongolia, other relevant legislations and international treaties regarding human rights and freedom." Thus, an independent national mechanism will be set up to monitor the activities of law enforcement officials. At implementation stage Please see 84.1, 84.2. Mongolia is considering the issue of making a declaration under the Article 22 of the Convention Against Torture. Implemented Mongolia signed the Optional Protocol on 23 December of 2009 and ratified it on 23 April of 2010. The Note of Ratification was handed over on 1 July 2010. The Optional Protocol has been in force since 5 May 2011. At implementation stage Please see 84.1. Implemented On 5 January 2012, Mongolia ratified Second Optional Protocol on Abolition of the Death Penalty of International Covenant on Civil and Political Rights. The Note of Ratification was handed over on 13 March 2012 and the Protocol has been in force since 13 June 2012. Implemented Please see 84.7. Partially implemented Please see 84.7. The Clause on the abolition of the death penalty is included in the draft Criminal Code and the Parliament is on track to pass the bill in 2014. Partially implemented Please see 84.9. Partially implemented Please see 84.9.

Good practice: State

Mongolia presented a simple table for its second-cycle mid-term review. The table provided an overview of the level of implementation of supported recommendations, which was classified under three headings: *implemented*; *at implementation stage*; or *partially implemented*. Each heading was supplemented with substantive information as to what actions had been taken.⁵⁶

Good practice: Civil society



The traffic light system is an effective way of presenting information. It consists of a series of colour-codes, each representing a different status of implementation. The *Americans for Democracy and Human Rights in Bahrain* used a system comprised of 5 colours: **[green]** Fully implemented; **[yellow]** Perceived progress; **[orange]** Technically implemented (but no perceived progress); **[red]** Not implemented (no perceived progress); **[black]** Recommendation not accepted.⁵⁷ In its mid-term report, the Irish civil society coalition *Your Rights Right Now* offers a three-pronged colour coding system in their second cycle mid-term report: **[green]** change has occurred (recommendation has been implemented); **[orange]** Some progress has been made; **[red]** No movement.⁵⁸ The respective report provide comments which justifies the colour that each recommendation has been given.

- 5. Way forward:** It is recommended to include suggested solutions to implementation gaps and identify ways that UPR stakeholders can support implementation.

Good practice: State



At the conclusion of its mid-term report, Haiti identifies in a frank and self-appraising manner the challenges impeding full implementation of UPR recommendations across certain human rights issues. It reiterates its political will to proceed with implementation, with the support of international cooperation.⁵⁹

Good practice: Civil society



In their mid-term reports, several CSOs provide recommendations to the State under review on how to address implementation gaps. In this vein, the *Coalition of Libyan Human Rights Organisations* recommended Libya to, inter alia; “consult and cooperate with Libyan civil society during both the formulation of an implementation action plan and during the implementation of UPR recommendations.”⁶⁰

6.2 Joint CSO mid-term reporting

The decision to submit a joint or independent mid-term report should be taken based on consultations with other CSOs active on the UPR in the concerned country. There is no limit to the number of joint, or individual, mid-term reports that a civil society can associate itself with. Joint reports are often preferred as they boost:

1. **Legitimacy:** Civil society organisations can submit a mid-term report in partnership with national, and international, civil society organisations. National groups often benefit from the UN knowledge acquired by their international counterparts. Vice versa, international organisations depend on the information and networks provided by national CSOs. It is important to seek broad consensus for the report as a high number of signatories, together with credible first-hand information, increases the legitimacy of the report.
2. **Coalition-building:** Joint reporting increases awareness of different human rights topics as groups share information and experiences from working in their respective areas. As such, it constitutes an enabling environment to build partnership between CSOs and creates a framework for sustained engagement with the UPR.

A popular approach to joint reporting is to establish **thematic drafting groups** consisting of civil society representatives, from different organisations, working on a specific theme. If a civil society coalition exists, the lead organisation can function as the **secretariat** and compile the draft report based on the texts from the various groups. Before finalisation, all groups that contributed to the report should enjoy the opportunity to provide comments to the compiled text. If possible, this process could take place at a **validation meeting**. Organisations which did not contribute to the drafting process can be invited to **endorse the report**, thus raising the profile of the document.

Good practice: Working Group on Human Rights and the UN



The Indian CSO coalition *Working Group on Human Rights in India and the UN* (WGHR) published an assessment of the Government’s implementation of first cycle UPR recommendations in the form of a chart. It comments on the status of implementation and sets out further actions required by the Government for full implementation.⁶¹

6.3 Publishing and popularising the report

Once the mid-term report is finalised, the aim is to present it to the widest possible audience. *UPR Info* publishes both State and civil society mid-term reports on its website, and subscribers to the relevant country page will receive a notification once it has been uploaded. The **Office of the High Commissioner for Human Rights** also publishes mid-term reports submitted by States and civil society organisations on its website. It is important to share a copy of the final report with all stakeholders that were involved in the preparation phase, including Government officials; civil society; NHRIs; media; parliamentarians; academics; and UN agencies.

The launching event at the national level can take the shape of a briefing session to share the findings of the report. The logistical elements of the activity require some consideration:

- 1. Identify a venue:** For the State under Review, they may wish to launch the mid-term report at the ministry that has led on its preparation, or at an otherwise convenient location. For civil society mid-term reports, it is a good idea to collaborate with a host institution to help gather political momentum. In-country UN agencies, EU Delegations or embassies could be approached to explore if they are interested to host a launching event as a donation in kind.
- 2. Invitations:** Issue invitations well in advance the donor and diplomatic community. The State under Review should invite civil society, the NHRI, the media, and other UPR stakeholders. Civil society/NHRIs should in turn consider to invite governmental representation. Ensure to have plenty of hard copies in relevant languages at hand.
- 3. Press conference:** To optimise the buzz around the report the briefing session should be complemented with a separate media event where the report is introduced. Ample time should be given to questions from the journalists.



Tip: Mid-term factsheets

Mid-term factsheets, which visualise findings through statistics and infographics, are a good way of making the report more accessible and user-friendly. It is also a handy document to share with the public, other UPR stakeholders and can be used as a cornerstone in social media campaigns.



E.g. In 2017, *Impact Iran* published a Follow-up report⁶² and a Mid-term factsheet⁶³ addressing Iran's implementation of recommendations received during its second UPR. Both documents constitute compelling examples of how to visualise UPR statistics using infographics.

Where to submit reports

OHCHR

State mid-term reports: uprstates@ohchr.org

Other stakeholder mid-term reports: uprsubmissions@ohchr.org

UPR Info

info@upr-info.org

As discussed above, States as well as accredited civil society organisations and NHRIs can also make an oral intervention under **HRC Item 6 General Debate** to present their report. This is a particularly good opportunity for CSOs/NHRIs to encourage the State under Review to accelerate its implementation efforts.⁶⁴ The publishing of the report should be accompanied by strategic outreach activities. Consider how to get the attention of target groups and shape communications accordingly. If relevant, the report should be **translated to national languages** to increase accessibility. Much can be achieved on a tight budget by **combining human and financial resources** with other civil society groups. **Social media campaigns** can prove effective in sharing implementation statistics as well as highlighting achievements and shortcomings.

7. Actions for the UN



Several UN agencies are working towards implementation of UPR recommendations. Through its project “Universal Periodic Review Follow-up Facility”. UNDP supported implementation of UPR recommendations in: Armenia, Belarus, Bosnia and Herzegovina, fYr Macedonia, Georgia, Kazakhstan, Kyrgyzstan, Moldova, Serbia and Ukraine.⁶⁵ In Moldova, UNDP engaged civil society to carry out regular monitoring and reporting on implementation of UPR recommendations.⁶⁶

Good practice



UNDP in Ukraine, with financial support from the Ministry of Foreign Affairs of Denmark, has provided continuous assistance to CSOs in the UPR process, including support to a joint civil society mid-term report,⁶⁷ a joint CSO submission⁶⁸ and a side-event in Geneva comprising representatives from UNDP, national civil society and the Ukrainian Ombudsperson to discuss the human rights situation in Ukraine at the margins of its third UPR.⁶⁹

OHCHR manages the Voluntary fund for financial and technical assistance (Voluntary fund for implementation) financed by UN Member States. Its main focus has been to contribute to effective and integrated follow-up of human rights recommendations through strengthening NMRFs and key UPR recommendations.⁷⁰ As the apex human rights agency of the UN, it is hoped that OHCHR will continue to increase the appetite for mid-term reporting. Activities that could be considered include:

- 1. Upgrade online visibility:** While OHCHR publishes State, and civil society, mid-term reports on a dedicated page, they are not linked to the UPR country pages.⁷¹ Making both State and civil society mid-term reports accessible at the webpage where the rest of the UPR documentation is compiled would increase readership, thus adding an incentive to stakeholders to develop mid-term reports.
- 2. UN compilation report:** Ensure that the UN compilation report notes whether the State under Review, civil society or the NHRI, issued mid-term reports. If such sources exist, the UN compilation report should refer to their respective findings.

8. Conclusion

At first glance, mid-term reporting can be perceived as a time-consuming, and potentially costly, endeavour. The exercise is made easier if implementation plans and corresponding action strategies containing progress indicators are developed in the immediate aftermath of the review, and periodically followed up on. As evidenced by the examples above, technical and financial support can be sought from UN agencies, inter-governmental organisations and States. For CSOs, working in national UPR coalitions creates a platform for sharing information and pooling human and financial resources to generate maximum effect.

The mid-term stage offers space for self-reflection. As such, a mid-term report can analyse not only implementation efforts by the Government, but also complementary actions undertaken by CSOs, NHRIs, UN agencies, and other actors.

With five years between reviews in the third cycle, and in the absence of an institutionalised follow-up mechanism, mid-term reporting is critical to maintain UPR implementation as a cross-cutting priority at the national level. An additional benefit of mid-term reporting is that it facilitates the drafting of the national report and/or NHRIs/CSO submission ahead of the next UPR, as implementation has already been measured halfway between reviews. In this sense, mid-term reports can be an important catalyst for sustained governmental, NHRI, and civil society engagement with the UPR.

It is hoped that this publication has provided inspiration and guidance for all stakeholders interested to engage with the Universal Periodic Review, in particular at the mid-term stage. *UPR Info* remains available to provide further information and support throughout the UPR process.



References

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- 4 *UPR Info*, “Ensuring sustainable UPR implementation” (2016) https://www.upr-info.org/sites/default/files/general-document/pdf/upr_info_third_cycle_ensuring_sustainable_implementation_2016.pdf (last accessed 27/02/2018).
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- 12 See above, note 11.
- 13 See above, note 11.
- 14 See above, note 11.
- 15 See above, note 11.
- 16 See above, note 11. It is worth noting that this suggestion has been taken on board for the third cycle vis-à-vis the matrices for implementation. The Maldives further suggested a separate page on the OHCHR website to host the mid-term reports, which was ultimately introduced: <http://www.ohchr.org/EN/HRBodies/UPR/Pages/UPRImplementation.aspx> (last accessed 27/02/2018).
- 17 Other States that encouraged updates on implementation included: Algeria; Argentina; Austria; Bosnia Herzegovina; Brazil; Chile; Qatar; Republic of Korea; Turkey; and Uruguay.
- 18 A/HRC/RES/16/21, see above note 2.

- 19 <http://www.ohchr.org/EN/HRBodies/UPR/Pages/UPR-NGOs-Mid-term-reports.aspx> (last accessed 26/02/2018).
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