



# ECAR Monitoring Manual

Monitoring Racism and  
Discrimination at the Local Level

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“ECAR – European Cities against Racism” Project

## Imprint

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## Executive Summary

The present manual on monitoring (measures against) racism and discrimination on the local level was developed in the framework of the project 'European cities against racism – responsibilities of cities in counteracting racism sustainably' (ECAR) funded by the European Commission. The overall goal of this project is to improve the impact and sustainability of local strategies and actions combating racism and discrimination through the development, exchange and transfer of innovative good practices in the fight against racist discrimination. Monitoring racism and discrimination for the benefit of local actors is an associated key objective of the project. The underlying assumption is that the availability of objective data on racism and discrimination is a prerequisite for evidence-based policy making at the local level. Yet, practice shows that European cities have hardly facilitated objectively verifiable indicators to measure racism and discrimination and the impact of their actions against these still widespread phenomena.

The manual addresses this gap and presents the concrete steps that may be taken by municipalities and researchers for the development and application of a tailor-made and indicator-based monitoring scheme on racist discrimination on the local level. It is intended for the use of academics and practitioners who are interested in the evaluation of (policy measures against) racism and discrimination. The overall aim of the publication is to explain in plain language what steps have to be taken to objectify a phenomenon that is often still considered as something related to perception, instead of real facts. The key novelty of this publication is the description of an innovative, integrated and human rights-based framework for measuring racist discrimination. The manual provides detailed information on how to develop and apply a monitoring scheme based on this theoretical framework and provides guidance for the definition of meaningful indicators, the steps for operationalization and highlights issues to be taken into account for the collection of data. Frank explications are given on the lessons that have been learned from the development and application of a pilot monitoring scheme in the course of the ECAR project.

The monitoring manual is by no means intended to provide a tool for a ranking system among various municipalities. Although a list of indicators was elaborated for the selected area of public space, the manual does not seek to present a list of indicators ready to be applied by municipalities, mainly because such an approach would not be able to take into account the wide range of cultural, social and legal differences among municipalities. The guidelines for monitoring should rather help municipalities to understand that monitoring can become a valuable means to ameliorate the situation of people affected by racist discrimination.

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# 1. Introduction

Municipalities play a significant role in shaping a tolerant, united society, dealing with differences in a constructive manner and making possible a life in dignity, safety and justice for all inhabitants irrespective of national, ethnic, cultural and religious or social status. Numerous projects and actions have been developed on the municipal level to achieve these goals. An objective in-depth evaluation of the situation of racism and discrimination is a prerequisite for evidence-based policy making also at the local level. Yet, such monitoring initiatives remain very limited in practice thus far and have rarely yielded tangible results. Moreover, European cities have hardly ever facilitated objectively verifiable indicators to measure the impact of their antiracism actions. The manual addresses this gap by outlining the context of and a framework for practical steps to be taken for measuring racism and discrimination at the local level. It is intended to serve as a tool for academics, practitioners and all other people and organizations who are interested in the evaluation of (policy measures against) racism and discrimination.

The method suggested in this manual is based on an explorative endeavour to monitor (actions against) racism and discrimination at the local level. One of the innovative aspects of the methodology presented is that it consolidates various attempts to measure racism and discrimination in one single monitoring scheme. Particular attention is given to the description of the indicator developing process and to the question how to apply the monitoring scheme in practice. Beyond this contextualization of theoretical models to measure human rights, the present manual also explicates the practical knowledge acquired in the project 'European cities against racism - Responsibilities of cities in counteracting racism sustainably' (ECAR), funded by the European Commission. It is thus an essential purpose of this publication to share the lessons learned with all those who are interested in the measurement of racist discrimination and the impact of actions against these still widespread phenomena at the local level.

This manual further aims to encourage municipalities and researchers to apply monitoring as an accompanying tool for policy measures against racism and discrimination. For this purpose, the manual walks the reader through every step required for the development and application of a tailor-made monitoring scheme. After an outline of the overall goals and non-goals of monitoring racism and discrimination on the local level (Chapter 2), the manual offers an in-depth description of the process of developing a conceptual framework based on indicators for monitoring (measures against) racism and discrimination (Chapter 3). It then proposes some selected guidelines for the application of the monitoring scheme with a particular focus on how to ensure the feasibility of a monitoring measure (Chapter 4). Finally, the manual discusses key lessons learned from the pilot study undertaken in the framework of the ECAR-project and presents recommendations for the application and further development of monitoring schemes in the area of racism and discrimination on the local level (Chapter 5). An important remark for the readers and users of this manual is the use of the term 'race' and the clarification of the authors' position. The term is only used in a human rights context. Wherever appropriate it is replaced by the expression 'racist' in order to underline an ascription within a perception of others. The authors fully agree with the definition of UNESCO's Declaration on Race and Racial Prejudice of 1978. The authors refuse the notion of any biologicistic or culturalistic sort of race, but they acknowledge the concept of a (racist) social construction of a group as a "race" for the sake of oppression. This very dimension of racism in European societies is targeted by the ECAR project in general and by this manual in particular.

## 2. Why monitoring racism and discrimination on the local level?

The overall objective of this monitoring manual is to provide interested users with a thorough tool to monitor racism and discrimination on the local level in a theoretically sound and objective manner. This is by no means a purely academic endeavour. The monitoring activities that may be applied on the local level on the basis of this manual may serve a number of short-term, as well as medium to long-term goals serving both, municipalities and researchers concerned with actions against racist discrimination.

### 2.1. Short-term goals

#### **a) To monitor the status quo of racism and discrimination on the local level**

The evaluation of the municipality's current situation regarding racist discrimination in a comprehensive manner may help to get an objective picture of well-known manifestations of racism and discrimination. Moreover, a comprehensive monitoring measure may help to disclose forms and/or effects of racism and discrimination that were unknown until then.

#### **b) To provide pertinent data for evidence based policy measures**

Having available pertinent data on racism and discrimination may help policy makers to better inform their decisions. The results of an analysis of the current status quo may inform policy makers and help to develop targeted measures that respond to concrete challenges. In this regard, monitoring is a means to develop and select the effective policies in the fight against racism and discrimination.

### 2.2. Medium- to long-term goals

#### **a) To evaluate the impact of a particular measure against racism and discrimination on the local level**

An objective monitoring may help to evaluate in quantitative and/or qualitative terms the effectiveness of a particular measure against racism and discrimination and thus provide policy makers with an unbiased feedback regarding their actions taken in the past. As the fight against racist discrimination is usually regarded as a long-term endeavour, the evaluation of the impact of a particular policy measure may help identify the progress made at different points in time. Such assessments allow keeping track of improvements or regressions regarding racist discriminations.

#### **b) To raise awareness regarding data gaps**

Monitoring racist discrimination requires the collection of a wide range of highly specific data. It is a common phenomenon in practice that important data cannot be collected, simply because they are not available or usable for the specific requirements of a monitoring scheme on racist discrimination. Monitoring may help to raise awareness of such data gaps and could stimulate initiatives to close those gaps.

#### **c) To stimulate communication and establish partnerships between administration and researchers**

Monitoring racist discrimination on the local level usually requires the collaboration of researchers and staff of the municipality's administration. The joint development and application of adequate indicators may stimulate the communication between them and may help to develop a joint understanding of the overall criteria for progress and success in the fight against racist discrimination.

The present monitoring manual does not seek to present a list of ready-made indicators to be applied by municipalities. It should be made very clear from the beginning that the monitoring manual primarily aims to support municipalities and researchers in developing tools evaluating the state of and the progress in the fight against racist discrimination and to make respective policy measures more effective. The monitoring manual is by no means intended to provide a tool for a ranking system among various municipalities. A comparison of monitoring results would not be able to take into account a wide range of cultural, social, and legal differences accordingly and would thus yield only very limited benefits.

### 3. Developing indicators for monitoring measures against racism and discrimination

Several steps have to be taken for the development of an indicator-based monitoring scheme for measuring (actions against) racism and discrimination on the local level. At first, appropriate definitions have to be found for a clear delineation of the purpose of the monitoring measure. This includes a precise description of the territorial coverage of the envisaged monitoring measure, the specification of a thematic focus and the identification of the social groups facing racist discrimination, which should be subject to the monitoring. Once agreement has been found on these basic units of analysis, the designers of the monitoring scheme may begin with the development of indicators. The theoretical background outlined below describes numerous general and specific requirements all indicators have to fulfil in order to be meaningful for the purpose of measuring racist discrimination on the local level. As soon as a list of final indicators has been adopted, an evaluation scheme has to be defined, which translates the answers to the questions posed by indicators into numerical results. Finally, data has to be collected for the operationalized indicators, and indicator results have to be calculated and presented. A more precise definition of how these steps have been taken in the development of the monitoring scheme for the ECAR-project is presented below and may well serve as example for other monitoring schemes.

#### 3.1. Defining the focus of interest

##### **a) Territorial coverage**

Monitoring measures concerning racism and discrimination may generally be taken on the international, regional, national, or local level. Any conceptualization of a monitoring scheme has to make a decision on the question what administrative level should be subject to monitoring. A definition that is as precise as possible helps to clearly delineate the unit of analysis. Even a focus on the local level requires further delineation as it has to be decided, whether the monitoring scheme concentrate on one or some boroughs of a city or an entire municipality.

Certainly, this choice cannot be made on the basis of geographical considerations only, but has to take into account the political entity competent for the respective administrative level. It should also be considered, for what subject areas the administrative level chosen is competent for. It would, for instance, not make much sense to focus the municipal level in a monitoring scheme, if the subject areas that should be monitored are beyond the sphere of competence and influence of that municipality.

When selecting the proper administrative level to be monitored, the availability and more importantly the usability of pertinent data should already be considered to some extent. Choosing a too small unit of analysis (for instance, an individual borough of a small municipality) could lead to severe difficulties regarding useable data, as data collection, processing or indicator results could potentially infringe the anonymity of persons. Initial data mapping exercises or expert consultation could thus be a helpful tool for a first clarification of data availability and thus for ensuring the feasibility of the monitoring scheme.

Within the ECAR-project the local level represented by municipalities has been chosen in a first, but obvious step. Given the fact that the ECAR-consortium comprises five European cities, this choice was more or less self-evident.

##### **b) Thematic area**

After delineating the administrative and geographical focus for the monitoring scheme, the specific thematic area to be monitored has to be defined. A monitoring measure could, for instance, focus on particular types of racism and discrimination, or racist discrimination in selected areas such as housing, or the labour market.

Within the ECAR-project, the thematic focus was put on racism and discrimination within the public space of municipalities. Since the expression 'public space' is often laxly used to describe areas of a city that are intended for use by the general public mainly for social interaction, mobility or recreation, but also for business and consumption, a more precise understanding of this term had to be adopted.

Public space was therefore defined as **‘the sum of public areas of a municipality for which the local authority holds competence for regulation and/or enforcement’**.

It was also clarified that this competence comprises particularly the authority to regulate and control the access to and the use of a particular space, which is usually done by adopting and/or implementing laws, directives, ordinances, decrees, orders etc. From a human rights perspective it becomes clear that by attaining the competence for a particular space, the local authorities also become duty bearers that are bound to exercise their competence to regulate and control the access to and the use of a the public space in a non-discriminatory manner. Both free and fee-based services in the public space (ranging from public transport to public toilets) might fall under this definition of the public space, simply because the local authority might hold a competence in this regard. This understanding of the ‘public space’ also makes clear that all services and companies established according to private law (e.g. for commercial purposes) are not part of the subject of investigation. An exception to this rule was defined for selected instances in which the general public is automatically confronted with a specific usage of space without requiring active engagement by anyone. The prime examples are advertising spaces in the urban area, where the general public is automatically exposed to a passive consumption.

To allow for a more comprehensive monitoring, it was agreed within the ECAR-project to extent the thematic focus by considering also two further dimensions which are closely related to the public space.

- (1) Since political participation is a prerequisite for exerting influence on the formulation and adoption of regulations concerning the public space and for implementing them, the ability to equally exert influence on the regulation of the public space was also taken into account for measuring racism and discrimination.
- (2) Local authorities having regulation competence for a municipality are not necessarily also in charge of reacting to racist or discriminatory incidents that have happened within ‘their’ public space, simply because they might not have any competences in the executive branch. Due to the significance of executive actions taken within the public space, the behaviour of the executive branch taking action within the public space of municipalities was also taken into account for the development of the monitoring scheme.

### ***c) Target group(s)***

Any monitoring scheme should make clear, what social groups should be subject of investigation.

Naturally, the selection of the appropriate target group should take into account existing knowledge, for instance, relevant studies on groups of the society at particular risk of being discriminated.

Article 1 of the International Convention on the Elimination of All Forms of Racial Discrimination (ICERD) provides a legal orientation for defining the target group. According to this provision, racist discrimination ‘shall mean any **distinction, exclusion, restriction or preference based on race, colour, descent, or national or ethnic origin** which has the purpose or effect of nullifying or impairing the recognition, enjoyment or exercise, on an equal footing, of human rights and fundamental freedoms in the **political, economic, social, cultural or any other field of public life**’ (emphasis added).

Following from this provision, a monitoring scheme could gauge any discrimination based on race, colour, descent, or national or ethnic origin and investigate some or all groups at risk accordingly. However, it could also be beneficial to put an emphasis on only some selected groups for which the thematic focus chosen is of particular interest. Even within a given territorial and thematic focus, it might often go beyond the scope of a single monitoring initiative the comprehensively measure the social and legal realities of all these groups of a society that face racism and discrimination. Monitoring schemes do not necessarily have to make a claim to be comprehensive in this respect, but may set a clear focus on a selected target group. Indeed, the development and application of a monitoring scheme for only one or some particularly vulnerable groups of society provides for the possibility to zoom into their situation more deeply and more accurately. However, this remains a difficult exercise in praxis: How to ‘define’ such groups? How to ‘identify’ them? And, last but not least, how to get data on them and their situation in the respective areas (see Section 3.6.b on this issue)?

Within the ECAR-project a choice was made to concentrate on Black persons, Muslims and Roma in all project cities as these groups were identified as particularly vulnerable in the municipalities’ public space. Further target groups were added for individual municipalities in order to better reflect the di-

verse realities given in European cities. In Spain, for instance, migration is a more recent phenomenon than in northern European countries, and also has different characteristics partly due to the history of colonization which had a substantial impact on migration flows. As a consequence 51 per cent of immigrants living in Madrid stem from a South-American or Caribbean country, which is a significant amount that guided the choice of adding this target group for the monitoring in Madrid. The choice was also based on the reflection of social realities given in the public space. In Madrid, persons with immigrant background from South-America are described of having the custom to make intense use of public areas. Not least for this reason, representatives of this social group are very visible and likely to become victims of racist or discriminatory occurrences in public spaces. Given the thematic focus of the monitoring, the choice to add persons with immigrant background from South-America as target group was thus an imperative.

### 3.2. General requirements for indicators

#### **a) How many indicators?**

Indicators in general aim to measure an often complex phenomenon by giving a qualitative and/or quantitative account of a particular aspect of this phenomenon. Consequently, one single indicator will not be sufficient to gauge multifaceted social phenomena like racism and discrimination in a satisfactory manner. Only a set of indicators assembled in a well-designed monitoring scheme is able to produce meaningful statement on the subject matter. When elaborating a monitoring scheme, it also has to be accepted that indicators do not simply provide for entirely objective measurements, mainly because the definition and selection of indicators and consequently the indicator results are based on a number of subjective assumptions and choices. To justify these assumptions it is important to have conceptual clarity of the phenomenon to be measured. Moreover it is of utmost importance that the methodology and criteria applied for the identification of indicators are transparent and well documented.

#### **b) What to measure?**

In the ECAR-project several steps have been taken to further delineate the term ‘racist discrimination’. In line with Article 1 ICERD, racist discrimination was generally understood as ‘any distinction, exclusion, restriction or preference based on race, colour, descent, or national or ethnic origin which has the purpose or effect of nullifying or impairing the recognition, enjoyment or exercise, on an equal footing, of human rights and fundamental freedoms in the political, economic, social, cultural or any other field of public life’. Based on this definition, three aspects that were regarded to be of particular importance for measuring this phenomenon within the public space of municipalities have been specified. A differentiation was made between

- (1) aspects of racist discrimination of Black persons, Muslims, and/or Roma in the public space in municipalities,
- (2) aspects of measures against racist discrimination of Black persons, Muslims, and/or Roma in the public space in municipalities and
- (3) aspects of the long term progress in eliminating racism and discrimination in the public space.

#### **c) Quality of data, sources and indicators**

There are a number of further general requirements all indicators of a monitoring scheme have to fulfil in order to contribute to meaningful results. Therefore, indicators used for measuring racism and discrimination should be scrutinized on the following conditions:

- **Relevance:** indicators have to be relevant for assessing the phenomenon measured, i.e. forms of racism and discrimination that are likely to be faced by the target group;
- **Reliability:** indicators should be able to provide for consistent results, i.e. the same results are achieved when indicators are applied repeatedly with the same sources;
- **Accuracy:** indicators have to seek precise information on racist discrimination of the target groups;
- **Validity:** indicators should actually measure what they purport to measure;
- **Comprehensibility:** indicators should be easy to comprehend and should not allow (or need) extensive interpretation.

### 3.3. Specific requirements for indicators

When developing meaningful indicators for measuring racist discrimination at the local level a number of specific requirements have to be taken into consideration. In the ECAR-project the indicators have been built around the following specific requirements.

#### **a) Grasping the normative dimension of racist discrimination**

Indicators claiming to measure racist discrimination have to be rooted in recognized human rights standards. Thus, in a first step, the dimensions of racism and discrimination have to be chosen respectively. Article 1 ICERD provides an adequate normative framework for translating the legal dimensions of racist discrimination into indicators, as it stipulates that racist discrimination may take the form of

- (1) distinction,
- (2) exclusion,
- (3) restriction, or
- (4) preference

of particular groups of society. These four dimensions may very well serve as conceptual framework for the indicators gauging racist discrimination and measures geared towards fighting racist discrimination. Since the ECAR monitoring scheme also evaluates whether a particular policy measure reduced or eliminated an existing distinction, exclusion, restriction or preference, the four dimensions of Article 1 ICERD were reformulated positively for the development of indicators. In this sense, the indicators assess, if or to what extent the positive ‘counterparts’ of the four dimensions of racist discrimination as defined in Article 1 ICERD have been achieved. These counterparts are here understood as:

- (1) equality as opposed to distinction;
- (2) inclusion as opposed to exclusion;
- (3) equal opportunities as opposed to restriction;
- (4) equal treatment as opposed to preference.

The ECAR-indicators thus assess, if equality, inclusion, equal opportunities, and equal treatment have been achieved and/or evaluate to what extent a policy measure was conducive to their achievement. Certainly, it has to be taken into account for the development of indicators that not any distinction, exclusion, restriction, or preference of a particular social group amounts to racist discrimination. Article 1 ICERD provides guidance also in this regard as it stipulates that *‘special measures that are taken for securing the adequate advancement of certain racial or ethnic groups or individuals requiring such protection as may be necessary in order to ensure such groups or individuals equal enjoyment or exercise of human rights and fundamental freedoms shall not be deemed racial discrimination [...]’*. Indicators thus have to be formulated in a way that such special measures are not understood as being discriminatory to any extent. Indicators claiming to measure racist discrimination based on a normative basis should address the state of or advancements in the areas of equality, inclusion, equal opportunities or equal treatment in order to be meaningful.

#### **b) Dealing with complexity and inter-linkages**

Racist discrimination may take various more or less obvious manifestations, making it a complex phenomenon which is difficult to be measured at a particular point in time. Likewise the fight against it may take very different forms. A static mapping of the occurrences of racist discrimination would not provide a sufficiently sound picture of the overall situation as more dynamic elements, such as active policy measures against racism, would be neglected. A monitoring scheme should thus aspire to grasp existing manifestations of racism and discrimination, assess whether the measures adopted against it adequately respond to present challenges and furthermore evaluate, if and to what extent the conditions for groups being at risk of discrimination improve on the long run. Naturally, existent challenges of racism and discrimination, the measures against it and the ameliorations of the situation on long-term are interlaced. In order to deal with this complexity and inter-linkages within a monitoring scheme, it is suggested to resort to the Anti-Discrimination and Equality Index (ADIX) as a theoretical framework. The ADIX resorts to a system of three types of indicators, namely RIX-indicators, IMPLIX-indicators, and

IMPACTIX-indicators that measure racist discrimination and the fight against it on three levels, namely the current situation at a particular point in time, the policies taken by stakeholders and the change of the overall conditions on the longer run, especially those due to the policy measures taken.

#### *RIX-indicators*

Many people, as well as communities and social groups, experience and suffer from racism and discrimination in their daily lives. RIX-indicators are designed to measure the current situation of racist discrimination for each 'racialized' target group at a particular point in time. Yet, as racism and discrimination are multi-faceted phenomena relevant domains have to be defined, which should be gauged by the monitoring scheme. In the ECAR project, the crucial question for defining RIX-indicators was: What challenges exist regarding racism and discrimination against the defined target groups in the public space of the project's municipalities? A focus was put on identifying main discriminations in the access to, the use of and the enjoyment of the public space. Table 1 gives an overview of the aspects and sub-aspects of racism and discrimination of Black persons, Muslims, and/or Roma in the public space of municipalities that have been acknowledged to be significant for the development of RIX-indicators for the monitoring scheme.

Table 1: Aspects selected for measuring racist discrimination of Black persons, Muslims, and/or Roma in the public space of municipalities

<b>Aspect A</b>	<b>Racist and/or discriminating rules in regulations regarding the public space</b>
Sub-aspect A.1	Regulations concerning the public space that have a different/distinct impact on Black persons, Muslims and/or Roma
Sub-aspect A.2	Regulations concerning the public space that exclude Black persons, Muslims and/or Roma from the access to or the use of the public space
Sub-aspect A.3	Regulations concerning the public space which restrict the access to or use of the public space for Black persons, Muslims, and/or Roma
Sub-aspect A.4	Regulations which dedicate public space for a specific use that has a different effect on Black persons, Muslims, and/or Roma (preference of use)
<b>Aspect B</b>	<b>Practices by the public administration and law enforcement agencies concerning the public space</b>
Sub-aspect B.1	Measures taken by the public administration to ensure/promote the non-discriminatory access to and use of the public space for all groups of society
Sub-aspect B.2	Discriminatory treatment by the police
<b>Aspect C</b>	<b>Obstacles faced by the target groups in the everyday access to and use of the public space</b>
Sub-aspect C.1	Use of the public space: Which use do the neighbours make of the public space? Does the public administration know about the preferences different groups have for the use of the public space?
Sub-aspect C.2	Prevailing opinions/attitudes/behaviours: What are the opinions, attitudes and behaviours towards neighbours of a different origin or other cultural background?

<b>Aspect D</b>	<b>Occurrence of ethnically motivated conflicts/incidents in the public space</b>
Sub-Aspect D.1	Ethnically motivated conflicts that occurred in the public space of municipalities
Sub-Aspect D.2	Reported incidents of racist discrimination and related convictions
Sub-Aspect D.3	Hate speech/crimes committed
<b>Aspect E</b>	<b>Spreading of information on racist discrimination (in the public space) being a crime</b>
<b>Aspect F</b>	<b>Participation: Diversity in decision making positions</b>

#### *IMPLIX-indicators*

Municipalities may undertake various policy measures against racist discrimination. IMPLIX-indicators aim to gauge the performance of such measures in an objective manner. In the ECAR project, the crucial questions for defining IMPLIX-indicators were: Is the policy measure taken by the municipality a response to actual and current challenges? Is the measure appropriate to target the identified challenge of racism and discrimination? Are the formulated measures likely to be effective? Have the planned measures been taken and have the goals of implementation been met? A structured reasoning process closely considering causes and effects of existing discriminations of Black persons, Muslims and/or Roma in the public space of municipalities helped to define the aspects and sub-aspects of measures against racist discrimination of Black persons, Muslims, and/or Roma in the public space outlined in Table 2.

Table 2: Aspects selected for assessing measures against racist discrimination of Black persons, Muslims, and/or Roma in the public space of municipalitiesw

<b>Aspect A</b>	<b>Quality of a specific measure aimed at eliminating racism and discrimination in the public space</b>
Sub-Aspect A.1	Relevance: Does the measure address a specific distinction/exclusion/restriction/preference identified?
Sub-Aspect A.2	Accuracy: Is the achievement of the goal of the measure reasonable and measurable?
Sub-Aspect A.3	Adequacy: Is the measure an appropriate means to archive equality/inclusion/equal opportunities/equal treatment?
<b>Aspect B</b>	<b>Implementation of a specific measure aimed at eliminating racism and discrimination in the public space</b>
Sub-Aspect B.1	Project milestones and major steps achieved
Sub-Aspect B.2	Participatory/inclusive approach for the implementation of the specific measure
Sub-Aspect B.3	Proper documentation of the implementation process

<b>Aspect C</b>	<b>Impact of a specific measure aimed at eliminating racism and discrimination in the public space</b>
Sub-aspect C.1	Range of the specific measure
Sub-aspect C.2	Satisfaction (of vulnerable groups) with specific measure
Sub-aspect C.3	Selected specific achievements of the measure taken

### *IMPACTIX-indicators*

Ideally, policy measures against racist discrimination bring about a positive change with regard to a particular challenge identified beforehand. IMPACTIX-indicators measure the extent to which policy measures successfully respond to the needs of individuals, communities, and societies and thus brought about changes in terms of improved conditions for individuals and population groups at risk being discriminated against. In the ECAR project, the crucial questions for defining IMPACTIX-indicators were: Has the overall purpose of the policy measure taken by the municipality been supported? Was the implemented policy successful in terms of its stated objectives, namely establishing improved conditions for individuals and population groups at risk being discriminated? Was the policy adequate and effective? How do members of the target group(s) perceive the impact? IMPACTIX-indicators therefore evaluate if the situation changed by comparing RIX results at different points in time and by additionally assessing, whether the implementation of a particular policy measure has been significant for this change. The aspects of a long term progress in eliminating racism and discrimination in the public space outlined in Table 3 were identified as appropriate for the IMPACTIX-indicators in the ECAR project.

Table 3: Aspects selected for evaluating the long term progress in eliminating racism and discrimination in the public space

<b>Aspect A</b>	<b>Improvements in RIX-indicators (varying depending on the specific measure taken)</b>
<b>Aspect B</b>	<b>Perception of the amelioration of the situation as perceived by the target groups</b>

To comprehensively gauge (actions against) racism and discrimination, a monitoring scheme combines a balanced set of RIX-, IMPLIX-, and IMPACTIX-indicators.

### ***c) Matching the multidimensional nature of racist discrimination***

The municipality's fight against racism and discrimination reflects the public authorities' duty to protect, promote and fulfil human rights. The methodological framework for measuring human rights developed under the auspices of the United Nations Office of the High Commissioner for Human Rights (OHCHR) addresses these three duties and as a result differentiates between structural, process and outcome indicators. Acknowledging the multidimensional nature of measures against racism and discrimination, the ECAR-project drew inspiration from this approach for the development of indicators and contextualized these types of indicators for the purpose of measuring racism and discrimination on the local level.

### *Structural indicators*

Indicators assessing the structural conditions for fighting racism and discrimination may take various forms. On the one hand, structural indicators help gauge the public authority's commitment to the

elimination of racism and discrimination by assessing the related legal standards on the municipal level. The standards under scrutiny comprise laws, directives, ordinances, decrees, orders and any other legal provision regardless of their formal designation. By assessing the potential effects of the existing legal framework on people at risk being discriminated, the structural indicators go beyond a mere assessment of the de jure compliance with anti-discrimination law. On the other hand, structural indicators are used in the ECAR-project to measure the quality of the approaches taken by the municipality in order to fight racism and discrimination.

#### *Process indicators*

These indicators evaluate the on-going processes within a municipality in the fight against racism and discrimination. On the one hand, they scrutinize the overall approach taken by the public administration for eliminating racism and discrimination from a procedural perspective. In the ECAR-project process indicators sought to determine processes that have been established by the municipality to secure and to promote equal access to and equal use of the public space. Process indicators therefore inquire if consultations are held with representatives of vulnerable groups and if safeguards and positive supporting measures have been established for the target group. On the other hand, process indicators were designed in the ECAR-project to assess the practical steps taken by a municipality to fight racism and discrimination from a procedural perspective. Related indicators assessed if the project milestones have been reached, if a participatory approach has been chosen for the policy measure, and if the implementation process has been documented sufficiently.

To summarize, process indicators give information on how regulations, programmes or policies have been implemented in terms of quality, quantity and achievement.

#### *Outcome indicators*

Outcome indicators help to identify the results of the municipality's efforts in eliminating racism and discrimination from the perspective of people at risk being discriminated against. In the ECAR-project, outcome indicators were used to measure, for instance, the occurrences of racism and discrimination in the public space of municipalities (RIX), the specific achievements of anti-racist measures (IMPLIX), the satisfaction of vulnerable groups with such measures, as well as the overall results of a municipality's strategy for the elimination or at least reduction of racism and discrimination (IMPACTIX).

Obviously, structural, process and outcome indicators are mutually dependent and reflect various dimensions of a municipality's fight against racism and discrimination. Therefore, all three types of indicators have to be taken into due consideration for a meaningful monitoring scheme claiming to comprehensively measure racist discrimination.

### **3.4. Defining, clustering and fine-tuning indicators**

Several steps have to be taken to elaborate a set of meaningful indicators for racism and discrimination in the public space of municipalities. First, a list of indicators has to be defined taking into account the general and specific requirement outlined above. Then, these indicators should be clustered in a monitoring matrix to find out whether the monitoring scheme is complete in the sense that the entire indicator system addresses equality, inclusion, equal opportunities or equal treatment and is composed of RIX-, IMPLIX-, and IMPACTIX-indicators, as well as structural, procedural, or outcome indicators. The list of indicators may then be subject to a further process of fine-tuning in order to meet the requirements of a comprehensive system to monitor (measures against) racism and discrimination on the local level.

#### **a) Defining indicators**

Critical reasoning is the starting point for the definition of contextually meaningful indicators. The specific requirements for indicators outlined above will provide further and even more concrete guidance. It is thus suggested to deliberate in depth on the four dimensions of Article 1 ICERD and draft a list of indicators that address those dimensions that are particularly relevant in the context of the (measure taken by the) municipality evaluated. Further indicators may be formulated by considering

closely the specific requirements for RIX-, IMPLIX- and IMPACTIX-indicators. Formulating indicators on the basis of the differentiation between structural, procedural and outcome indicators will potentially bring up some more indicators. The draft indicators are best collected in a preliminary indicator list. The first collection of indicators is then ideally discussed by a variety of participants including researchers, municipality stakeholders, national human rights institution(s), statistical offices, and non-governmental and civil society organisations. Using a workshop approach for discussing the strengths and weaknesses of individual indicators will help to validate indicators and to select the most important ones. Certainly, new ideas for indicators might arise during the discussions and should be included. Overall, such a participatory top-down initiated bottom-up approach ensures that indicators are not only developed by academic experts, but are also scrutinized by practitioners. The ownership and legitimacy of indicators for racism and discrimination is increased this way.

### ***b) Clustering indicators***

The list of indicators agreed upon in principal will most likely be an assortment of rather diverse indicators that require a thoughtful structuring. The specific requirements for indicators outlined above in Section 3.3. may serve as overall ordering principles for that purpose. Moreover, each indicator has to be described more closely by clarifying for each indicator (1) what dimension of Article 1 ICERD is addressed by it, (2) whether it is a RIX-, IMPLIX-, or IMPACTIX-indicator, and (3) whether the indicator gives information on structures, procedures, or outcomes. Allocating the attributes of the specific requirements to each indicator helps to clarify the overall meaning and purpose of the indicator and helps to ensure its quality. Only indicators that can be ascribed one attribute in each of the three dimensions shall be eligible for further consideration in the clustering exercise. In a next step, the more precisely defined indicators should be listed in the generic monitoring matrix outlined in Table 4.

Table 4: Generic monitoring matrix

Dimension related to Art. 1 ICERD	RIX			IMPLIX			IMPACTIX
	structural	process	outcome	structural	process	outcome	outcome
<b>Equality</b>							
<b>Inclusion</b>							
<b>Equal treatment</b>							
<b>Equal opportunities</b>							

Bringing together all indicators with particular attributes ascribed in one monitoring scheme is based on conceptual considerations with the principal aim to find a nuanced monitoring approach that considers both, achievements made and current dynamics in the fight against racism and discrimination. This indicator matrix constitutes the basis for measurements of existing manifestations of racism and discrimination, as well as the inputs and results of the corresponding policy measures. As can be seen from Table 4, the first organising principles are the four operationalized dimensions of Article 1 ICERD. This makes clear that each indicator has to reflect the overall purpose of fighting racism and discrimination by reflecting the aims of achieving (a higher level of) equality, inclusion, equal treatment, or equal opportunities (political dimension).

The second ordering principles are the dimensions introduced by the ADIX-framework for measurement. The allocation of indicators to these dimensions clarifies, whether an indicator seeks information on existing manifestations of racism and discrimination, on measures adopted against, or on changes of the conditions for groups being at risk of discrimination on the long run (interventional dimensions). The third and final organizing principle is based on the concept developed by the OHCHR and determines whether the indicator aims to gauge structural, procedural or outcome aspects that are related to (measures against) racism and discrimination.

**c) Fine-tuning the indicator list**

By assembling the indicators in the matrix outlined above, some gaps might become apparent which require the formulation of new indicators. However, not all categories of indicators might be required for a monitoring scheme for (measures against) racism and discrimination within a particular municipality. Especially when it comes to the measurement of a particular policy measure against racism and discrimination, only selected dimensions of Article 1 ICERD will be relevant for the definition of meaningful indicators. In other words, indicators on inclusion only have to be formulated in case a policy measure aims at increasing inclusion of a particular group of society. However, the formulation of structural, procedural and outcome related indicators for RIX-indicators for all dimensions of Article 1 ICERD is required in any case to give account of the current situation of racism and discrimination on the local level. Table 5 outlines what types of indicators are required for different conditions.

Table 5: Indicators required for the monitoring matrix

Dimension related to Art. 1 ICERD	RIX			IMPLIX			IMPACTIX
	structural	process	outcome	structural	process	outcome	outcome
<b>Equality</b>	<i>required</i>	<i>required</i>	<i>required</i>				
<b>Inclusion</b>	<i>required</i>	<i>required</i>	<i>required</i>	<i>required if addressed by policy measure monitored</i>			
<b>Equal treatment</b>	<i>required</i>	<i>required</i>	<i>required</i>				
<b>Equal opportunities</b>	<i>required</i>	<i>required</i>	<i>required</i>				

This monitoring matrix should be completed by selecting those indicators with the appropriate attributes from the draft list of indicators. The proper number of indicators for each domain has to be decided for each municipality. In many cases, one indicator will be sufficient for each domain, but as a rule two or three indicators will better serve the purpose. New indicators might be required in case some dimensions or types of indicators are underrepresented in the draft monitoring scheme. The aim is to archive a balanced system. Here, again, a consultative approach involving researchers, civil society and administration experts is suggested in order to select appropriate indicators and fine-tune the overall indicator system. A participatory approach will also help justify the choice of final indicators.

For reasons of feasibility, the issue of data availability should also be taken into consideration in principle when fine-tuning the list of indicators. The following key questions have to be preliminarily answered at this stage:

- What data are already available for the selected indicators?
- What data have to be generated?
- With what methods may new data be generated? Is the generation of new data feasible?

In order to ensure transparency, clarity and applicability, each indicator should be described in more detail in a next step. A technical description of the indicator includes definitions and additional information that is necessary to understand the indicator, as well as the rational and reasoning behind selecting the indicator. Where necessary, a concrete question with additional sub-questions should be formulated for each indicator. For reasons of clarity, the ICERD dimension addressed by each indicator should be made clear in the table as well. The description of the indicators should also include an overview of potential data sources that could be consulted in order to collect pertinent data. In a separate column, it should be specified, according to what principles the data to be collected should be disaggregated, if at all. A further column is foreseen for the data that will be collected.

Table 6 gives an outline for the detailed description of RIX-indicators. The technical explanations for IMPLIX- and IMPACTIX indicators may be drawn up analogically. Certainly, this manual cannot provide a proposal of an elaborated list of possible indicators within the given limits, but examples of how the description of indicators can be completed are given for selected indicators in the Annex.

Table 6: Outline for detailed description of RIX-indicators

RIX structural indicators							
#	Indicator	Technical description of indicator	Questions	ICERD dimension	Disaggregation level	Data sources	Data available
1							
2							
...							

RIX process indicators							
#	Indicator	Technical description of indicator	Questions	ICERD dimension	Disaggregation level	Data sources	Data available
1							
2							
...							

RIX outcome indicators							
#	Indicator	Technical description of indicator	Questions	ICERD dimension	Disaggregation level	Data sources	Data available
1							
2							
...							

In the ECAR-project, a total number of more than 80 indicators have been identified. The RIX-indicators were formulated in a manner so that they could be applied by all cities involved. Some IMPLIX- and IMPACTIX-indicators were also found to be applicable for the diverse policy measures against racism and discrimination. However, many indicators were not harmonized intentionally in order to highlight and evaluate the particularities of the different actions against racist discrimination taken by the cities.

### 3.5. Steps for operationalization

In a next stage, essential steps for the operationalization of the indicators have to be made. The aim here is to develop an objective evaluation scheme which is applicable for all indicators. This includes the challenge of finding one proper evaluation system for indicators seeking both, qualitative and quantitative information. The fundamental question to be answered for this purpose is: According to what scheme should the data on racism and discrimination be evaluated? This requires the definition of possible (categories of) answers for each indicator and the attribution of numerical results for each of these potential answers.

Depending on the formulation of indicators, the potential answers to indicators might be expressed by way of 'yes', 'partly yes', 'partly no', or 'no', by way of absolute numbers, or by ratios. In many cases, only relational indicators that draw on ratios will provide for meaningful results. It would, for instance, not make much sense to gather the absolute numbers of assaults that have been motivated by racist discrimination in the public space, without comparing this number to the overall number of assaults in that area.

The designers of the evaluation scale have to be aware that defining possible answers, as well as the attribution of particular scores naturally is already an evaluation in itself. Not least for this reason, the question arises, who should best define the potential answers and attribute scores to them? Obviously, it has to be someone who has deep insights into the particularities of (forms, occurrences and extent of) racism and discrimination on the local level, as well as pertinent scientific skills and experience. Yet, the more fundamental question that has to be decided is, whether the scale for measurement should be defined endogenously, i.e. by the municipality's administration, or exogenously, i.e. by independent experts. It may well be assumed that the resulting evaluation scale may vary regarding emphasis and/or content.

On the one hand, experts from a local administration might focus on their practical viewpoint often requiring short-term measures and pay particular attention to the implementation of a specific policy measure against racist discrimination. They might therefore focus on the objectives of a particular project and design the scoring for the evaluation scheme respectively.

On the other hand, the perspective of experts of independent research institutes may go far beyond a project perspective and draw on idealistic or even over-idealistic expectations. Any potential results of monitoring could therefore be perceived as being too negative by the municipal authorities and create an atmosphere of tensions rather than objective and constructive feedback.

An endogenous elaboration of the evaluation scheme might often be more viable in practice, because the addressees of the results of the monitoring scheme, namely public authorities at the local level, might be more open to take into account the results in their future activities. They might benefit most from a clear and straightforward feedback on the effectiveness of their measures against racism and discrimination.

Yet both, endogenous and exogenous approaches, as well as a combined system drawing on the shared expertise of administration staff and researchers, are fully valid as long as they stick to objective criteria for defining the possible categories of answers and respective scores.

Since the ECAR monitoring scheme is a human rights based model for measurement, **the material content of respective human rights is the overall scale for objectifying the results.** In this respect, the human rights framework also prevents developers and users of the indicator system from arbitrary decisions that could potentially influence the indicator results.

In the following, guidance is provided on how to define the scale for the indicator results, as well as some proposals on how to present the monitoring results.

### **a) Defining the scale for indicator results**

Following a human rights approach, the dimensions of Article 1 ICERD shall guide the elaborating a scale for the evaluation scheme. Overall, the indicator results are expected to vary from ‘very positive’ (e.g., particular aspect of inclusion is fully archived) to ‘very negative’ (e.g., particular aspect of exclusion is not eliminated or even exacerbated). Given the fact that a lack of data may also be considered an important result, the designers of the evaluation scheme might also want to envisage a separate score in case no data is available for an indicator. In order to have a nuanced measurement of (measures against) racism and discrimination on the local level, the outcome of the assessment of each indicator is proposed to be evaluated by means of a numerical scale, ranging from (0) ‘not favourable’, to (1) ‘less favourable’, (2) ‘quite favourable’ and (3) ‘favourable’.

Using such a simple scale from 0 to 3 might have the disadvantage that complex facts and data might be simplified too much and could lead to ‘black or white’ results in the end. However, the significant advantage of such a model is its feasibility. Yet, to avoid too ‘simple results’, the number of graduations between the ‘best’ and the ‘worst’ result (again, as defined by the drafters of the evaluation scheme) may be increased in numbers. In a first step, a more detailed rating by experts from the administration and/or researchers or non-governmental organisations (NGOs) could be utilised that rate pertinent data on a scale from 1 to 12 or, for even more complex indicators on a scale from 1 to 100. Such ratings by experts from the administration and/or researchers or NGOs will be of particular importance for indicators seeking qualitative data. Having more graduations on a scale provides for the opportunity to take a larger number of significant parameters into account for one indicator. Certainly, all parameters that should be taken into account have to be defined by way of a careful description of the indicator. The more parameters are accumulated in a transparent manner, the more likely it becomes that objectivity is accomplished and too subjective judgements based on feelings and assumptions are avoided. It therefore has to be decided for each indicator on an individual basis, how many graduations are required in order to reflect the complexity of an indicator.

No matter how many graduations are defined for each indicator, any detailed rating then has to be translated into a score on the scale of 0 to 3 in order to fit the overall evaluation scheme. At first hand this seems to be a simplification of indicator results comparable to a using a scale from 0 to 3 right from the beginning. However, it should be borne in mind that the designers of the evaluation scheme may also determine a non-gradual evaluation of the scores attributed by experts, which could allow for more nuanced evaluation in the end.

### **b) Potential presentation results of monitoring**

Developers and users of the monitoring scheme on racism and discrimination should be informed about the potential outcome and presentation of the monitoring results right from the beginning. Potential reluctance to cooperate on side of the administration and false expectations on side of NGOs can be avoided this way.

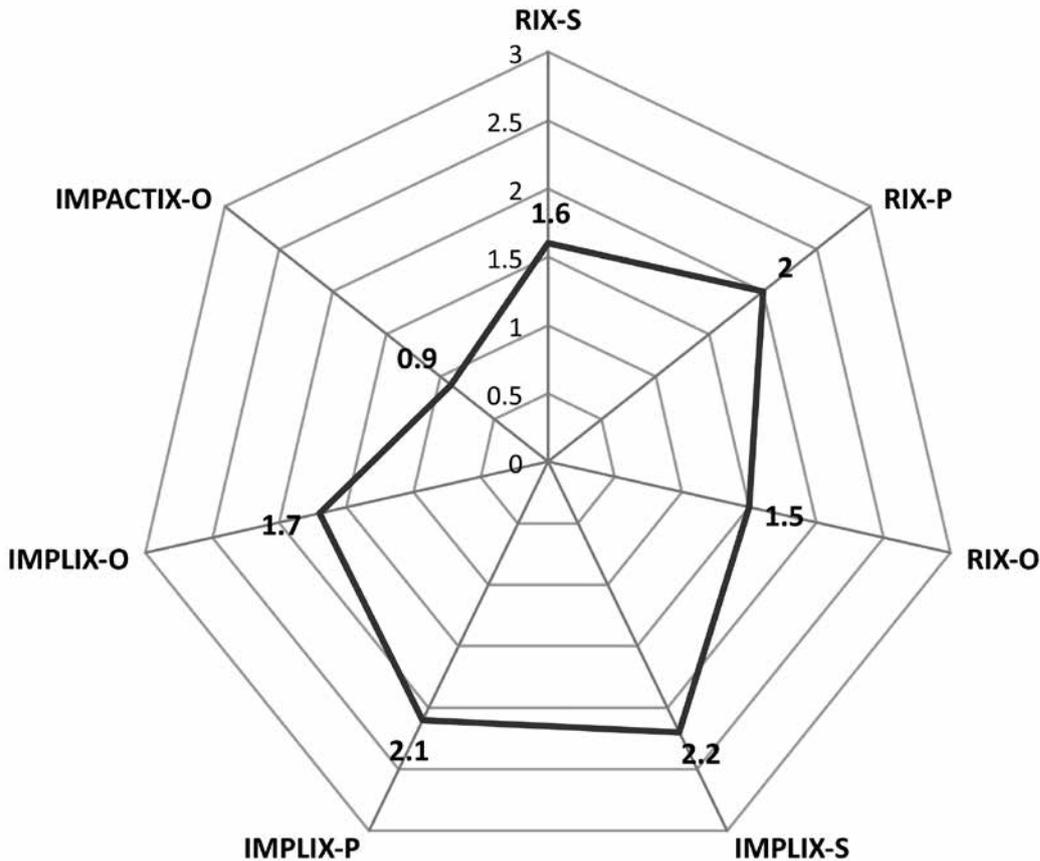
So, what results one can expect from the application of a monitoring scheme that is based on the theoretical model of the ECAR monitoring scheme? In short, the monitoring scheme aims to provide a constructive reflection on the current state of racism and discrimination, an assessment of pertinent policy measures taken by the municipalities, as well as an evaluation of the development of the situation of racist discrimination on the longer run.

It is important to understand from the start that the ECAR monitoring scheme does not aim to provide for an overall score or evaluation of racist discrimination across all its indicators. On the contrary, the indicator system is designed to provide detailed feedback on the RIX-, IMPLIX-, and IMPACTIX-indicators and sticks to separate results for each of these types of indicators. The main reason for this is meaningfulness. Consider the following situation: A city’s situation is described as problematic in terms of racist violence. Policy-makers take the right decisions and fight the phenomenon partly successfully. These facts have to be shown separately in order to give useful information to society and policy.

Depending on the scope of the monitoring measure taken and the number of indicators in each category, the scores may be presented for each indicator, or as average score of each category of indicators. Separate results are thus provided for RIX-structure-, RIX-process-, RIX-outcome-,

IMPLIX-structure-, IMPLIX-process-, IMPLIX-outcome-, and IMPACTIX-outcome-indicators. The numerical indicator results could be supplemented by a graphical presentation in form of a spider web diagram as exemplified in Diagram 1.

Diagram 1: Potential presentation of indicator results



It is highly recommended not to add up the scores from all the different types of RIX-, IMPLIX-, and IMPACTIX-indicators in the graphical presentation to have one final overall result. This, indeed, would convey more than it would reveal. Ideally, the indicator results are translated into a qualitative report reflecting also on the reasons for the scores achieved in each category of indicators. The hypothetical results presented in Diagram 1 show a situation, in which the indicators have yielded the following results.

*Indicator result for RIX-S: 1.6*

This RIX-S score points out challenges on the structural level of the fight against racist discrimination as it indicates that the situation is 'less-favourable' to 'quite favourable'. This result could, for instance, mean that a legal regulation exists in a municipality, which de facto has a different or distinct impact on Black persons, Muslims or Roma.

*Indicator result for RIX-P: 2.0*

This RIX-P score indicates that the procedural aspects of the current situation of racism and discrimination against the defined target groups are 'quite favourable'. This result could, for example, mean that clearly identifiable measures are taken by the public administration to promote the non-discriminatory use of the public space. Such a result could be achieved if pertinent consultations are held with representatives of Black persons, Muslims or Roma, or regular anti-discrimination trainings are held for the administrative staff.

*Indicator result for RIX-O: 1.5*

This RIX-O score indicates that the situation currently faced by people at risk being discriminated against is in between ‘less-favourable’ and ‘quite favourable’. Such a result could, for instance, be achieved in case there is evidence that ethnically motivated conflicts occur in the public space to a certain degree. The score thus reveals that there is a risk that certain people, communities and social groups currently experience and suffer from racism and discrimination in the public space.

*Indicator result for IMPLIX-S: 2.2*

This IMPLIX-S score indicates that the structural aspects of a policy measure taken against racist discrimination are ‘quite favourable’ to ‘favourable’. Such a result could, for instance, reveal that the anti-racist action taken is considered as highly relevant because it addresses a specific distinction/exclusion/restriction/preference identified beforehand and adequate, because it is broadly considered as an appropriate means to archive equality/inclusion/equal opportunities/equal treatment.

*Indicator result for IMPLIX-P: 2.1*

The IMPLIX-P score indicates that the procedural aspects of a policy measure taken against racist discrimination are more or less ‘quite favourable’. Such a score could be achieved in case the most milestones and major steps of the policy measure have been reached, a participatory approach has been implemented rather successfully, and/or the implementation process was documented in an appropriate manner.

*Indicator result for IMPLIX-O: 1.7*

This IMPLIX-S score indicates that the outcomes of a policy measure are ‘less favourable’ to ‘quite favourable’. This result could, for instance, be explained by the fact that only parts of the specific achievements initially envisaged by the policy measure have been made in practice or that people at risk of being discriminated against were satisfied with the outcome of the action taken only to a minor degree.

*Indicator result for IMPACTIX-O: 0.9*

This means that the policy measures taken respond to the needs of individuals, communities, and societies in a ‘less-favourable’ to ‘quite favourable’ manner. It can be concluded from this result that the policy measures taken did not bring about the expected changes in terms of considerably improved conditions for individuals and population groups at risk being discriminated against.

Taking a closer look at the IMPACTIX-O in relation to the average scores of RIX and IMPLIX can potentially lead to insights into the dynamics of anti-racist policies and measures. It has to be noted, however, that the score for IMPACTIX-O covers a different period of time than the scores for the RIX- and IMPLIX-indicators. The reason for this lies in the fact that the IMPACTIX-O gives information on the improvements in RIX-data and the long-term impacts of the measures that were evaluated with IMPLIX-indicators in a previous monitoring period. This means that no meaningful IMPACTIX-O score can be determined in a first round of monitoring due to the lack of reference data. Table 7 illustrates what monitoring periods are covered by the different types of indicators in each monitoring period.

Table 7: Time-frame of scores covered by different types of indicators

	<b>RIX</b>	<b>IMPLIX</b>	<b>IMPACTIX</b>
<b>Monitoring period 1 (e.g. 2013-2014)</b>	score for monitoring period 1	score for monitoring period 1	no score possible
<b>Monitoring period 2 (e.g. 2014-2015)</b>	score for monitoring period 2	score for monitoring period 2	score for monitoring period 1
<b>Monitoring period 3 (e.g. 2016-2016)</b>	score for monitoring period 3	score for monitoring period 3	score for monitoring period 2

In the hypothetical result presented above, the IMPACTIX-O score of 0.9 is comparatively low when compared to the average RIX-score of 1.7 and the average IMPLIX-score of 2.0. This means that the initial situation of racist discrimination ranged somewhere between ‘less-favourable’ and ‘quite favourable’ and that the performance of the actions taken against racist discrimination were ‘quite favourable’. Yet, the low IMPACTIX-score clearly reveals that the overall purpose of the policy measure taken by the municipality during the previous period has been supported only to a minor degree. This result could give rise to deliberations and consultations on the causes, why the municipality’s measure taken during the previous monitoring period could not live up to the expectations.

### 3.6. Data collection

Once the indicators have been developed and a sound evaluation scheme has been defined, pertinent data has to be collected for all indicators. This is probably one of the most demanding steps for measuring racist discrimination on the local level. While in general both, qualitative and quantitative information is potentially useful, researchers will have to make considerable efforts to collect data that is truly suitable for measuring racism and discrimination at the local level. In the following, an overview is given of the data sources that could be consulted.<sup>1</sup>

#### a) Data sources

##### *Official statistics*

The official statistics most relevant for collecting data on racist discrimination are administrative records, population census and household surveys. Typical administrative records include registers that deal with education, employment or taxes. Well-developed register systems provide information on, for instance, school attendance, educational attainment, labour market participation, income, wealth, housing, social security, social benefits and services. A population census usually provides information on size, composition and spatial distribution of the population in addition to socio-economic and demographic characteristics. The core topics are inter alia place of usual residence, place of birth, sex, age, marital status, educational attainment, current activity status, occupation, status in employment, industry (branch of economic activity), country/place of birth, country of citizenship. Household surveys are usually sample-surveys, i.e. surveys where a part of the population is selected from which data are collected and the inferences are made to the whole population. In practice, a special module on racist discrimination could be attached to a household survey focused on another topic, or a specialised survey targeting a specific group can be conducted.

##### *Complaints data*

The concept of complaints data is used in a broad sense, in reference to formal complaints filed with the police, courts of law, tribunals and other bodies with competence to investigate claims of discrimination, and informal complaints filed for instance with specialist non-governmental organisations. Complaints data can for instance provide a point of comparison to the results of victim surveys, and can form a rich source for qualitative research.

Courts, tribunals and other judicial bodies are important sources of complaints data, particularly if bodies such as an ombudsperson or an equality body have been set up for the purposes of handling complaints on discrimination. Statistical information regularly compiled on the basis of judicial processes are data on the number and types of discrimination claims processed during a particular time period such as a calendar year; information on outcomes (how many cases were declared inadmissible, accepted or rejected, with breakdown by type of discrimination); aggregate information on complaints and respondents; data on the number of pending complaints; average number of days taken to reach a decision.

Complaints data may be generated also in the course of the work carried out by organisations or bodies that are not part of the formal justice system but provide advice and/or support to victims of discrimination, e.g. community-based associations, human rights NGOs, anti-discrimination organ-

<sup>1</sup> The following description is based on the information provided in Timo Makkonen, European handbook on equality data, Office for Official Publications of the European Communities, Luxembourg, 2007.

isations, and trade unions. The information regularly recorded include particulars of the victimised person (e.g. age, gender), type of discrimination (area of life where discrimination took place, ground of discrimination, nature of discriminatory event, direct or indirect, harassment), mode of contact (telephone, mail, e-mail, visit), course of action advised and/or course of action taken.

### *Research*

Several research methods may fill the knowledge gaps regarding the actual extent and nature of racist discrimination and paint a more comprehensive and reliable picture of reality. Victim surveys collect two kinds of information that are useful for measuring racist discrimination. First, respondents are usually asked to give basic demographic and social information about themselves, such as age, sex, occupation and place of residence. Second, they are asked to provide information about their possible discrimination experiences, including:

- Has the respondent experienced discrimination over a specific period of time? If yes, how many times?
- Under what circumstances was discrimination experienced: the field of life involved (e.g. workplace), the ground of discrimination (e.g. ethnic origin), nature of discrimination (e.g. harassment), relationship to the perpetrator (e.g. colleague).
- What were the effects of discrimination, both economic and non-pecuniary (e.g. health-related)?
- Were the events taken to a court or a judicial body, reported to the police or some other competent body? In case no action was taken, what was the reason for doing so?
- To what extent is the respondent aware of the fact that there are laws against discrimination, and does he/she know where to turn to in order to file a complaint?
- Further questions could inquire, if people have trust in the justice system, or whether they are afraid of victimisation.

Self-report surveys differ from victim surveys regarding the subject of inquiry. They put a focus on the respondent's behaviour or attitudes, not on what has happened to him or her. A broad distinction can be made between two types of self-report surveys, namely surveys that focus on attitudes, stereotypes and/or opinions and surveys that focus on behaviour, such as workplace practices, intergroup contact, social distance and discrimination.

Qualitative research focuses on capturing the motives, actions and experiences of specific groups of people, and/or on obtaining a deeper understanding of social processes involved. There are two alternative ways of obtaining the data: Primary data collection ('fresh' information), e.g. by means of structured/unstructured interviews, focus groups, group interviews, participant observation. Secondary data collection, i.e. the use of pre-existing materials, such as court and police records, media sources, records from political processes, annual reports released by companies and other organisations. Frequently-used qualitative research strategies include case studies, in-depth interviews, ethnography and focus groups. Case studies are in-depth, longitudinal examinations of a single instance or event in order to obtain a comprehensive understanding of the case. During in-depth interviews a researcher engages one or more subjects in an extensive, more or less structured conversation, to gain information that is richly detailed. Ethnography denotes a study of groups of people in their natural setting, typically involving researcher being present for extended periods of time in order to collect data systematically about their daily activities and the meaning attached to them. Focus groups typically have 6 to 12 participants, where the interviewer has more the role of a facilitator that sets out the agenda of the meeting and prescribed time limits, which usually amount to one or two hours. The topic of racist discrimination has been subject to various kinds of further research within many academic disciplines, including sociology, psychology, social psychology, economics, law and political philosophy. Research in the area of media and communication studies focuses on the various dimensions of communication that takes place in different social arenas, such as schools, court houses or Parliaments, television, newspapers, the Internet, film, radio, magazines, music, and games. Common research strategies include content analysis and discourse analysis, the former being usually more quantitatively oriented than the latter.

The concept of laboratory experiments refers to a diverse group of research strategies the common denominator of which is that they take place under circumstances that are controlled by the re-

searchers conducting the study. These studies have been highly useful for examining psychological processes and have provided powerful evidence that supports the observation that modern forms of discrimination can be subtle, covert and possibly unconscious. They are absolutely necessary for constructing theories about the relationship between prejudiced attitudes and discriminatory behaviour. Research into the justice system often focuses on the criminal justice system, covering all stages of the criminal justice system, including informal actions by the police, such as stop-and-question and stop-and-search practices; profiling in the investigation of crimes; treatment/mistreatment during apprehension or custody; charging, verdicts and sentencing. Research in this area often proceeds by means of statistical comparisons, which may involve a comparison of the treatment different groups receive at particular stages of the justice system, or a comparison of the percentage share of one group at a particular stage of the justice system in respect of its proportion at the society at large, so as to identify possible overrepresentation.

#### *Discrimination testing*

Discrimination testing is a form of social experiment in a real-life situation. Two or more individuals are matched for all relevant characteristics other than the one that is expected to lead to discrimination, e.g. ethnic origin. The testers apply for a job or some good or service, on a high number of occasions, and the outcomes and the treatment they receive are closely monitored.

### **b) Key data issues identified during the application of the ECAR monitoring scheme**

#### *Data collection*

During the application of the ECAR monitoring scheme in five European municipalities, the researchers involved drew on numerous of the data sources mentioned above. Genuine research was conducted to generate data for some indicators under the condition that the cost for collecting data was proportional to the needs of stakeholders.

However, a number of challenges have significantly restricted the availability of both, qualitative and quantitative data. The feasibility of data collection depends on the time to be covered by the monitoring measure itself. In the ECAR project data not older than 24 month was taken into account. In a lot of cases, the official data available was outdated and could not be used for this reason.

Moreover, it turned out that very few data on racism and discrimination was already collected so far specifically for the local level and specifically for the given purpose.

Therefore it was necessary for some indicators to supplement data for the local level with data from other units of analysis. Yet, it turned out to be difficult to utilise, for instance, data collected on the national level for the purpose of measuring racist discrimination on the local level.

The lack of existing data on racism and discrimination was also partly explained by the fact that provisions on data protection restricted the collection of ethnic data.

Data gaps were further exacerbated by the fact that much of the data available did not fit the thematic focus of the ECAR monitoring scheme, namely racism and discrimination in the public spaces of municipalities.

To fill these gaps and in order to collect data that is not available to the public, plentiful contacts were established with the police, NGOs or other stakeholders, such as public transport companies. Yet, reluctant reactions and only sporadic data were rather the rule than the exception.

From all these experiences it can be concluded that identifying proper means of verification as well as collecting pertinent data is a tricky issue for the topic at hand. Considerable time and efforts have to be invested to achieve satisfying results.

However, making stakeholders aware of existing data gaps can be understood as an important auxiliary function of monitoring measures. For this reason, existing data gaps could be analysed further by enquiring whether the required data could potentially be generated in future, for instance by way of conducting a survey, or whether there are any fundamental obstacles to the collection of the required data. Such an analysis will help generate information on the feasibility of indicators and thus point out the required modifications of the monitoring scheme.

### *Disaggregating categorisation*

Beyond the considerable data gaps, the disaggregation of existing data is a further intricate issue when measuring racist discrimination on the local level. In case the data collected indicates certain distinctions, restrictions, exclusions or preferences of a particular group of society the question arises, by what criteria should this data be assigned to one or more of the categories defined as 'Black person', 'Muslim' or 'Roma'? Such categories are socially constructed and are derived from self-identification, attribution through the perception of others, or through the image conveyed by the media, which is particularly important to assess, since this image contributes significantly to the formation of public attitudes towards minorities.

In the context of the ECAR-monitoring scheme it was found that disaggregation of data should be done on the basis of the self-identification by the person concerned in a first step. The reason for this is the simple fact that it is every person's right to choose whether or not to be treated as belonging to a particular group. Yet, given the characteristics of existing data on racist discrimination on the local level, this approach alone might not always lead to meaningful results. Therefore, the attribution by others should to be considered in a second step.

To illustrate what is meant by this, the example might be considered that a person is not identifying with Muslim faith, but is perceived as being Muslim because of his or her name and thus treated disadvantageously.

## 4. Guidelines for the application of the monitoring scheme

The ECAR monitoring manual is intended for use in different situations of various municipalities and, accordingly, it does not suggest an indicator scheme ready to be used. It does, however, describe the steps required to develop a tailor-made monitoring scheme on racist discrimination and aims to share the lessons learnt during the development and application of the ECAR monitoring scheme in pilot studies. Therefore, a summary of the steps to be taken for developing and applying a monitoring scheme measuring racist discrimination on the local level is given below, followed by a number of recommendations on how to increase the feasibility of monitoring measures, which have been drawn from the practical experience of the ECAR project.

### 4.1. Summary of steps to be taken to measure racism and discrimination on the local level

The development and application of a monitoring scheme for racist discrimination is a complex undertaking requiring several steps. Table 8 summarizes the main steps to be taken for elaborating and applying the monitoring scheme, which have been described in more detail above in Chapter 3. It is suggested to follow these steps in a consecutive manner.

Table 8: Steps to be taken to measure racism and discrimination on the local level

<b>Step 1</b>	<b>Definition of the main goals of the monitoring measure</b>
	Define the short-, medium-, and long-term goals of the envisaged monitoring measure.
<b>Step 2</b>	<b>Definition of the focus of interest</b>
	Define the administrative level that should be subject to monitoring. Define the thematic focus of the monitoring measure. Define the thematic focus of the monitoring measure.
<b>Step 3</b>	<b>Identification of indicators</b>
	Identify potentially meaningful indicators. Ensure that all indicators fulfil the general requirements (reliability, validity, etc.). Ensure that all indicators fulfil the specific requirements (ICERD, ADIX, OHCHR). Facilitate a participatory approach for drafting a list of potential indicators.
<b>Step 4</b>	<b>Elaboration of a list of contextually meaningful indicators</b>
	Conduct a feasibility check for the indicators identified. Cluster indicators according to the generic monitoring matrix. Complete and fine-tune the indicator list according to indicator requirements. Agree on the final indicator list with main stakeholders.
<b>Step 5</b>	<b>Operationalization of indicators</b>
	Define possible results for agreed indicators. Design an appropriate evaluation scheme.
<b>Step 6</b>	<b>Data collection</b>
	Collect data for all indicators. Conduct own research to fill data gaps.
<b>Step 7</b>	<b>Evaluation and presentation of results</b>
	Attribute scores to the data collected according to the evaluation scheme. Calculate results. Present monitoring results.

## 4.2. Means to ensure the feasibility of monitoring schemes

When taking the steps summarized above, a number of strategic decisions have to be made that entail the risk that the monitoring scheme becomes difficult to implement or even unfeasible in practice. Most of these decisions concern the selection of a proper focus for the monitoring scheme, the question when to develop indicators and when to conduct the monitoring, as well as the question on how to ensure cooperation by all the stakeholders involved. Based on the experience gained in the development and application of the ECAR monitoring scheme, some guidelines and recommendations are here proposed that may help ensuring the feasibility of monitoring efforts on racism and discrimination on the local level.

### **a) Choosing a proper focus for the indicators**

The overall design of the ECAR monitoring scheme could be used to focus on different types of indicators. Once the basic decision has been made by a local authority to engage in monitoring activities, a first evaluation focussing on RIX-indicators could be a starting point for identifying the key challenges of racist discrimination given within the municipality. Where available, this step could also be replaced and/or supplemented by pertinent studies and surveys already available. Once such a baseline measurement of racist discrimination has been successfully applied and policy measures are envisaged to address the challenges identified, the municipality could utilise a monitoring scheme focussing on IMPLIX-indicators to accompany and evaluate that particular measures. A third round of monitoring may ultimately concentrate on IMPACTIX-indicators after a longer period of time (for instance, one to three years), in order to evaluate the long-term impact of policy measures taken. Thus, comprehensive monitoring measures may be designed to focus on RIX-, IMPLIX- or IMPACTIX-indicators in a consecutive manner.

From a practical perspective, this three-staged model might be comprehensible, but could appear too 'academic' and not very feasible in practice. As a matter of fact, political realities and thus commitments for engaging in such wide-ranging monitoring activities over a long period of time might change during the implementation of a three-staged monitoring. Pragmatically, it might thus be more advisable to start with a monitoring scheme that can be implemented within a shorter period of time and which is likely to yield utilizable results.

It is therefore recommended to design a monitoring scheme resorting mainly to RIX- and IMPLIX-indicators first. Using both, RIX- and IMPLIX- indicators in one monitoring measure has the significant advantage that links between the current state of racist discrimination and policy measures against these phenomena may unfold or missing links may become apparent. Yet, references to RIX-indicators might often be indispensable to evaluate the relevance, accuracy and adequacy of a particular policy measure by way of IMPLIX indicators.

Putting a special emphasis on IMPLIX-indicators will increase the monitoring scheme's feasibility even further, since data for this type of indicators is most likely to be available, e.g. through the documentation of a specific action against racist discrimination.

Although not complete, a monitoring scheme focussing on RIX- and IMPLIX-indicators may still be assumed to produce meaningful results for researchers, the public and political authorities alike. As a matter of fact, it will also provide these stakeholders involved with significant experience for developing and applying even more far-reaching monitoring schemes.

### **b) The appropriate time for developing IMPLIX-indicators**

IMPLIX-indicators seek information on structural, procedural and outcome-related aspects of specific policy measures of municipal authorities aimed at eliminating racism and discrimination on the local level. Each of these policy measures naturally differ from each other and accordingly stakeholders envision different impacts and different milestones for each project.

Generally, the definition of suitable IMPLIX-indicators calls for fairly delineated objectives of the policy measure to be monitored. Yet, developers of monitoring schemes on racist discrimination should be very well aware of the fact that developing IMPLIX-indicators includes a valuable in-depth reflection upon the overall objectives of the policy measure envisaged.

This means that defining indicators has the potential to assist policy makers already at an earlier

stage, namely during the development and design of a policy measure against racist discrimination. The main reason for this lies in the fact that the same deliberations guiding the definition of indicators, such as the relevance, accuracy and adequacy of a policy measure to address the four dimensions of Article 1 ICERD, should ideally also guide the design of an action against racist discrimination. While it is obvious that data on many IMPLIX-indicators, such as the level of satisfaction of vulnerable groups with the specific measure, will naturally be available only after the implementation of a measure, the experience of the ECAR project provided clear evidence that monitoring should be a concurrent and accompanying endeavour of a specific measure against racist discrimination right from the start. Searching for indicators already at an early stage was found to be particularly valuable for specifying meaningful objectives of a policy measure against racist discrimination. Ideally these objectives are based on RIX-data already available, because this information helps to make all stakeholders involved aware of what precisely should be improved with a policy measure and guides them when deciding what indicators are capable of measuring such a progress.

It may very well be assumed that a mutual adjustment of indicators and objectives of a policy measure increases the overall feasibility of the monitoring. This is mainly so because such a coordination provides for a clear understanding of the parameters gauged by the indicators among all stakeholders involved. Moreover, data gaps could be reduced this way, as it is made clear from the start, what data will have to be collected during the project implementation phase.

Yet, in some cases it might turn out to be difficult to define appropriate IMPLIX-indicators concurrently with the design of a particular policy measure against racist discrimination. Especially in case a policy measure is taken, which rather serves as an overall framework in the fight against racist discrimination (e.g. the adoption of action plans, framework decisions, etc.), it might turn out to be difficult to specify outcome-related IMPLIX-indicators already during the elaboration of the project design. Many sub-tasks and outcomes will be difficult to forecast also due to participatory approaches often applied during the implementation phase. Likewise, iterative measures against racism are frequently open for a change of focus or a thematic reorientation during the implementation phase. It would thus not make much sense to define indicators at an early stage and find out later during the application of the monitoring scheme that the indicator is not meaningful anymore, simply because the focus of a project has been adapted to the needs identified later on. Appropriate indicators might thus have to be defined *ex post* for this kind of policy measures, while the evaluation design still may help reflecting on the appropriateness of measures and the definition of operationable goals. Another possible solution to increase the feasibility of monitoring under such circumstances would be to concentrate more on process-oriented indicators right from the start.

### ***c) Seeking cooperation and participation***

A crucial aspect for ensuring the feasibility of monitoring measures on the local level is related to the aptitude and commitment of the persons involved in the entire process. The main stakeholders are supposed to be staff from the municipality's administration, researchers, representatives of statistical offices, civil society organisations and NGOs, as well as the police and business actors within the focus area. The experience gained in the ECAR-project revealed that monitoring racist discrimination on the local level in a detailed manner as proposed by the ECAR monitoring scheme is a rather new endeavour for many of them. The complexity of indicators and the novel and sometimes intricate terminology certainly make high demands on all the persons involved. For many of them, the monitoring scheme may even appear to be unfeasible for these reasons at first sight.

Frequent meetings and joint workshops with all stakeholders involved are a useful means to overcome such misgivings. Where possible, it is also advisable to invite representatives from the target group to these workshops. Their perspective might be highly valuable for fine-tuning the indicators and reconfiguring the monitoring scheme.

Most likely, each participant will bring in different expectations and perspectives on monitoring racist discrimination during the meetings. This certainly is an asset, rather than a limitation. Indeed it is highly advisable to exchange academic expertise and practical experience among the entire monitoring team so that all stakeholders involved come to a common understanding of the requirements and particularities of the monitoring measure. It may very well be assumed that these consultations and discussions help to allay the scepticism and concerns of participants. Indeed, recurrent meetings may

help to create an atmosphere of openness and mutual understanding, which is required for monitoring to be a truly joint and successful endeavour.

Especially representatives from the municipality's administration will realize that monitoring measures can provide a helpful feedback to achieve the best results in the fight against racist discrimination with the available resources.

A successful monitoring finally needs both, the political support and the motivation of administration staff. Thus, politicians need to be involved by making them interested in the results, administration staff needs to be encouraged by making clear their benefit (e.g. giving evidence that monitoring is a precondition of fulfilling their tasks more efficiently in the areas the monitoring is focussing on).

## 5. Lessons learnt and resulting conclusions

The development of the ECAR monitoring scheme started as an explorative endeavour to monitor (measures against) racism and discrimination on the local level. During the project, the conceptual framework presented in this manual was elaborated and indicator sets have been developed for Berlin, Botkyrka, Graz, Madrid, and Växjö. Pertinent data has been gathered and indicator results have been produced for internal use. The development of the monitoring matrix and the application of the indicators within the ECAR consortium constitute a substantial step forward. A number of lessons have been learnt in this process and have inspired the following recommendations.

### 5.1. Monitoring is a welcomed tool to make policy measures more effective

Although monitoring racist discrimination is a demanding and laborious endeavour, its added value is undisputed among all stakeholders that have been involved in the development and application of the ECAR monitoring scheme. A baseline assessment drawing on RIX-indicators is a helpful starting point for developing meaningful measures against racism and discrimination. In particular, a systematic and focused monitoring of racism and discrimination helps to establish objectivity for a phenomenon that is often considered as something related to perception, instead of real facts. Monitoring is also commonly regarded as an important and helpful tool to design and review policy measures. After a baseline measurement has been undertaken, the initial results can be compared to the data of measurements after specific reform effort took place. Given this potential and the positive experience of the ECAR-cities, it is recommended that further municipalities consider the application of the ECAR monitoring scheme.

### 5.2. Indicators have to be refined for different contexts of cities

A monitoring scheme for measuring racist discrimination is not capable to propose a list of ready-made indicators to be applied by any municipality. In order to be meaningful, the indicators require a thorough contextualisation for the specific situation of a city taking into account the different threats and vulnerabilities of the target groups. The ECAR monitoring scheme provides a sound conceptual framework and suggests practical steps for developing an appropriate indicator system. However, it has to be accepted that even a well-constructed set of indicators might even require a further adaptation after pilot testing. It is thus recommended to draw on the ECAR monitoring scheme to develop tailor-made monitoring approaches and to define and refine meaningful indicators.

### 5.3. A participatory approach is needed for the development and application of indicators

Communication and cooperation among the municipality's administration and other relevant authorities, researchers, statistical offices, and non-governmental organizations is a crucial asset for the successful development and application of a monitoring scheme. A participatory approach ensures that indicators are developed not only by academic experts, but are also scrutinized and validated by practitioners. Ownership and legitimacy of indicators for racism and discrimination is thus increased. Moreover, the joint identification of relevant indicators helps minimize the risk that indicators are formulated in a manner that provides for the opportunity to improve the indicator results through artificial policy measures that mainly aiming to provide for good results for indicators, instead of good results for the people at risk being discriminated against. It is thus recommended to seek participatory approaches where possible, when developing and applying a monitoring system for racism and discrimination on the local level.

### 5.4. Monitoring racist discrimination remains a demanding and complex endeavour

Monitoring (measures against) racism and discrimination on the local level is a complex issue and indeed cannot be simplified too much. However, a too elaborate monitoring scheme and too intricate indicators could be an obstacle as such and prevent potential users from applying them. It is thus

recommended to carefully balance feasibility with meaningfulness when developing a tailor-made discrimination monitoring scheme.

### 5.5. Significant data gaps exist

Significant data gaps have been identified in the course of the application of the monitoring scheme. Currently, only few pertinent data are already available on the local level to measure racist discrimination of Black persons, Muslims and Roma. Much data is outdated, much data is not directly related to the public space and much data collected at the national level would require difficult interpretation for the local level. Often, more precise data is needed for completing the highly specialized ECAR monitoring scheme. It is thus recommended to pursue a more rigorous collection of data on racism and discrimination wherever possible, in order to provide for systematically collected data over longer periods of time. Until then, it is recommended to design feasible indicators considering given data gaps right from the start.

### 5.6. Difficulties of data disaggregation have to be addressed

Finding an appropriate method of data disaggregation by appropriate categories constitutes a significant challenge. Any rethinking of the required disaggregation of data has to deal with the question on how to properly conceptualize, manage and achieve individualisation? The main reason for this lies in the fact that there is no objective way to define the categories of 'Black person', 'Muslim' or 'Roma'. Moreover, it is every person's right to choose whether or not to be treated as belonging to a particular group. Existing data collections also do not take, for example, ethnicity (despite of the absence of any generally agreed definition) into consideration, or if they do, the data might be an oversimplification of a more complex reality. To partly overcome this difficulty, it is recommended to apply a twofold approach for the data disaggregation: In a first step, the persons' self-identification of identity shall be taken into account. As this might not always lead to meaningful results, the attribution by others should be considered in a second step.

### 5.7. On the interpretation and presentation of indicator results

Indicator results have to be interpreted with care as it is hardly possible to strictly isolate the impact of a city's measure against racism and discrimination from other factors leading to an amelioration or deterioration of the situation. Often it will be difficult to determine, what variables can be considered as constant. Despite the complexity of the ECAR monitoring scheme these constraints cannot be fully overcome. An overall scoring of the across all indicator results will not reflect the complex realities, nor will it be able to give detailed account of the impacts of related policy measures. It is thus recommended to resort to qualitative reports as preferred tool of presenting the indicator results.

### 5.8. Limited comparability of indicator results

At first sight, it might be tempting to compare the indicator results of different cities or establish some sort of ranking among them. Yet, given the tailor-made approaches that are required for monitoring the different approaches and situations of highly diverse cities one should resist such a temptation. A comparison of indicator results among cities is not a useful goal and the benefits of a comparison would be very limited. Indeed, any such comparisons are unable to take into account cultural, social, and legal differences. It is thus recommended to concentrate on what can realistically be achieved with a monitoring scheme on racist discrimination and therefore treat it as a tool to evaluate the very specific situations and policies of particular municipalities.

### 5.9. Blaming cities as being 'racist'?

An important political argument might be raised against the ECAR discrimination monitoring scheme: What if indicators accuse a city of being a racist city?

This is clearly not the intention of the presented monitoring scheme. The conclusion is definitely false. If RIX reveals an unfavourable situation, the municipality is challenged to implement respective policies. This duty derives from the obligation to respect and to protect human rights. If IMPLIX reveals inappropriate policy measures, policy should be held accountable anyway. If IMPACTIX reveals the ineffectiveness of policies, they need to be improved.

Why should not count what is not counted? Does an unfavourable situation change without naming it?

## Annex: Illustrative examples of selected indicators

Building on the aspects of racist discrimination identified in the ECAR project, this Annex presents examples of the actual list of indicators. The indicators are structured according to the ADIX-scheme (RIX, IMPLIX, IMPACTIX) and further specified according to the dimensions introduced by the work of the OHCHR on indicators (structure, process, outcome). A short '**Indicator name**' is suggested for each indicator. The overall topic addressed by the indicator is given under '**Topic covered by the indicator**'. Each indicator is described in more detail under '**Definition**' and the main reasons for resorting to the indicator are given under '**Rationale**'. The (positive) dimension of ICERD addressed by the indicator, i.e. equality, inclusion, equal opportunities, or equal treatment is given under the heading '**Dimension addressed by the indicator**'. '**Cities**' describes for which cities the indicator is relevant and should be applied (B=Berlin, G=Graz, M=Madrid, B/V=Botkyrka/Växjö). Suggestions for the actual questions that could be posed in order to gather information and data relevant for the indicator are given under '**Question**' together with a proposal for a '**Score for possible answers**'. '**Means of verification/ data sources**' outlines suggested ways how to gather information and relevant data for the indicator. '**Disaggregation level**' explains to which extend data should be disaggregated by the different groups studied, if possible. Finally, some explanatory '**Remarks**' are given for the indicator where relevant.

### A. Structural RIX-indicators

**Indicator name:**

RIX-S-1

**Topic covered by the indicator:**

Regulations concerning the public space that have a different or distinct impact on Black persons, Muslims or Roma

**Definition:**

The regulations covered by this indicator may take various forms, such as laws, directives, ordinances, decrees, orders, or any other legal provisions regardless of their formal designation. The regulations for this indicator have to concern the public space (as defined by the project) and must have been officially adopted by the local authority concerned (usually, but not necessarily on the basis of its competence). The regulation has to be in force at the time of the study. It has to be noted that regulations concerning the public space might legitimately have a distinct or different effect on particular groups of society (e.g. a special measure/positive action). Regulations that aim to improve the situation of vulnerable groups have to be legitimate and have to be necessary in a democratic society. They further have to respect the principles of fairness and proportionality and need to be temporary. All regulations that fulfil these criteria shall not be taken into account for this indicator in order to avoid a paradoxical score.

**Rationale:**

Official regulations are an important indicator of racist discriminations existing in the legal framework regulating the public space. This indicator entails the different or distinct impacts official regulations de iure or de facto have on Black persons, Muslims and Roma.

**Dimension addressed by the indicator:**

Equality

**Cities:**

B, B/V, G, M

**Questions:**

<b>RIX-S-1-Q1</b>	Are there regulations in place that have a different or distinct impact on the access of Black persons, Muslims or Roma to the public space?
<b>RIX-S-1-Q2</b>	Are there regulations in place that have a different or distinct impact on the use of the public space by Black persons, Muslims or Roma?
<b>RIX-S-1-Q3</b>	Are Black persons, Muslims or Roma explicitly targeted by any such regulation?

**Scores for possible answers:**

	RIX-S-1-Q1	RIX-S-1-Q2	RIX-S-1-Q3
Yes	0	0	0
No	1	1	1

**Means of verification/data sources:**

Analysis of regulations concerning the public space; research and complaints data for de facto impact

**Disaggregation level:**

Black persons, Muslims, Roma

**Remarks:**

Note that the scores for RIX-S-1-Q1, RIX-S-1-Q2 and RIX-S-1-Q3 are added for an overall indicator score for RIX-S-1.

**Indicator name:**

RIX-S-2

**Topic covered by the indicator:**

Regulations concerning the public space that exclude Black persons, Muslims, or Roma from the access to or the use of the public space

**Definition:**

See above under RIX-S-1

**Rationale:**

See above under RIX-S-1

**Dimension addressed by the indicator:**

Inclusion

**Cities:**

B, B/V, G, M

**Questions:**

<b>RIX-S-2-Q1</b>	Are there regulations in place that exclude Black persons, Muslims or Roma from the access to the public space?
<b>RIX-S-2-Q2</b>	Are there regulations in place that exclude Black persons, Muslims or Roma from the use of the public space?
<b>RIX-S-2-Q3</b>	Are Black persons, Muslims or Roma explicitly targeted by any such regulation?

**Scores for possible answers:**

	RIX-S-2-Q1	RIX-S-2-Q2	RIX-S-2-Q3
Yes	0	0	0
No	1	1	1

**Means of verification/data sources:**

Analysis of regulations concerning the public space; research and complaints data for de facto impact

**Disaggregation level:**

Black persons, Muslims, Roma

**Remarks:**

Note that the scores for RIX-S-2-Q1, RIX-S-2-Q2 and RIX-S-2-Q3 are added for an overall indicator score for RIX-S-2.

**Indicator name:**

RIX-S-3

**Topic covered by the indicator:**

Regulations concerning the public space which restrict the access to or use of the public space for Black persons, Muslims, or Roma

**Definition:**

See above under RIX-S-1

**Rationale:**

See above under RIX-S-1

**Dimension addressed by the indicator:**

Equal opportunities

**Cities:**

B, B/V, G, M

**Questions:**

<b>RIX-S-3-Q1</b>	Are there regulations in place that restrict Black persons, Muslims or Roma from the access to the public space?
<b>RIX-S-3-Q2</b>	Are there regulations in place that restrict Black persons, Muslims or Roma from the use of the public space?
<b>RIX-S-3-Q3</b>	Are Black persons, Muslims or Roma explicitly targeted by any such regulation?

**Scores for possible answers:**

	<b>RIX-S-3-Q1</b>	<b>RIX-S-3-Q2</b>	<b>RIX-S-3-Q3</b>
<b>Yes</b>	0	0	0
<b>No</b>	1	1	1

**Means of verification/data sources:**

Analysis of regulations concerning the public space; research and complaints data for de facto impact

**Disaggregation level:**

Black persons, Muslims, Roma

**Remarks:**

Note that the scores for RIX-S-3-Q1, RIX-S-3-Q2 and RIX-S-3-Q3 are added for an overall indicator score for RIX-S-3.

**Indicator name:**

RIX-S-4

**Topic covered by the indicator:**

Regulations which dedicate public space for a specific use that has a different effect on Black persons, Muslims, or Roma (preference of use)

**Definition:**

See above under RIX-S-1

**Rationale:**

See above under RIX-S-1

**Dimension addressed by the indicator:**

Equal treatment

**Cities:**

B, B/V, G, M

**Questions:**

<b>RIX-S-4-Q1</b>	Are there regulations in place that (temporarily) dedicate parts of the public space for a specific use, which impacts differently on Black persons, Muslims or Roma?
<b>RIX-S-4-Q2</b>	Are Black persons, Muslims or Roma explicitly targeted by any such regulation?

**Scores for possible answers:**

	RIX-S-4-Q1	RIX-S-4-Q2
Yes	0	0
No	1.5	1.5

**Means of verification/data sources:**

Analysis of regulations concerning the public space; research and complaints data for de facto impact

**Disaggregation level:**

Black persons, Muslims, Roma

**Remarks:**

Note that the scores for RIX-S-4-Q1 and RIX-S-4-Q2 are added for an overall indicator score for RIX-S-4.

**B. Process-oriented RIX-indicators**

**Indicator name:**

RIX-P-1

**Topic covered by the indicator:**

Measures taken by the municipality to ensure and promote the non-discriminatory access to and use of the public space

**Definition:**

This indicator describes how the non-discriminatory access to and the use of the public space is secured and promoted by the public administration of municipalities. It consists of three subthemes: (1) consultations, (2) safeguards, and (3) positive measures.

**Rationale:**

Consultations are here assumed to be the basis for identifying the needs of Black persons, Muslims or Roma in ensuring and promoting the access to and use of the public space. Safeguards indicate a commitment by the local authority to undertake steps that support the realisation of a non-discriminatory access to and use of the public space. The provision of funding for associations, organisations, and projects of Black persons, Muslims or Roma is used as an example for a positive measure.

**Dimension addressed by the indicator:**

Equality

**Cities:**

B, B/V, G, M

**Questions:**

<b>RIX-P-1-Q1</b>	Are consultations held with representatives of Black persons, Muslims or Roma?
<b>RIX-P-1-Q2</b>	Which of the following safeguards have been established by the municipality? (a) Transparent complaints mechanisms are established for cases of discriminatory treatment within the administration. (b) Clear disciplinary measures are foreseen in case of discriminatory treatment within the administration. (c) Anti-discrimination trainings are regularly held for the administrative staff. (d) Accessible and transparent information is provided on where to turn to in case someone faced discriminatory treatment within the administration.
<b>RIX-P-1-Q3</b>	Are positive measures taken by the municipality by way of funding of associations, organizations, and projects of Black persons, Muslims or Roma?

**Scores for possible answers:**

<b>RIX-P-1-Q1</b>	
Yes, representatives of Black persons, Muslims and Roma are engaged in formal/ structural consultations with local authorities.	1
Yes, representatives of Black persons, Muslims or Roma are engaged in formal/ structural consultations with local authorities or representatives of Black persons, Muslims and Roma are engaged in ad hoc consultations with local authorities.	0.5
No, representatives of Black persons, Muslims or Roma are not engaged in any consultations with local authorities.	0

<b>RIX-P-1-Q2</b>	
Yes, transparent complaints mechanisms are established for cases of discriminatory treatment within the administration.	0.25
Yes, clear disciplinary measures are foreseen in case of discriminatory treatment within the administration.	0.25
Yes, anti-discrimination trainings are regularly held for the administrative staff.	0.25
Yes, accessible and transparent information is provided on where to turn to in case someone faced discriminatory treatment within the administration.	0.25

<b>RIX-P-1-Q3</b>	
Yes, funding (of associations, organisations, projects) is regularly provided without conditions.	1
Yes, funding (of associations, organisations, projects) is regularly provided depending on criteria defined by local authority.	0.5
No or only marginal funding is provided for associations, organisations, or projects.	0

### C. Outcome-related RIX-indicators

**Indicator name:**

RIX-O-1

**Topic covered by the indicator:**

Amount of ethnically motivated conflicts that occurred in the public space of municipalities

**Definition:**

This indicator describes the ratio of ethnically motivated conflicts that occurred in the public space of municipalities in relation to the number of conflicts that occurred in the public space without being ethnically motivated. The reference period is the last 24 month.

**Rationale:**

The prevention of the actual occurrence of ethnically motivated conflicts in the public space is here assumed to be one of the main goals of anti-racist policies.

**Dimension addressed by the indicator:**

Equality

**Cities:**

B, B/V, G, M

**Questions:**

<b>RIX-O-1-Q1</b>	Ratio of ethnically motivated interethnic conflicts in the public space to other conflicts in the public space.
<b>RIX-O-1-Q2</b>	Is there evidence that ethnically motivated conflicts are underreported?

**Scores for possible answers:**

RIX-O-1-Q1	
<b>High</b>	0
<b>Medium</b>	1
<b>Low</b>	2

Note that the scores for the ratios have to be defined for each municipality, ranging from 0 (high), 1 (medium) to 2 (low).

RIX-O-1-Q2	
<b>Yes, there is substantial evidence.</b>	0
<b>Yes, there is minor evidence.</b>	0.5
<b>No</b>	1

**Means of verification/data sources:**

Complaints data; surveys

**Disaggregation level:**

Black persons, Muslims, Roma

**Remarks:**

Note that the scores for RIX-O-1-Q1 and RIX-O-1-Q2 are added for an overall indicator score for RIX-O-1.

## D. Structural IMPLIX-indicators

**Indicator name:**

IMPLIX-S-1

**Topic covered by the indicator:**

Quality of the specific anti-racist measure taken by municipality

**Definition:**

The quality of the specific anti-racist measure is evaluated by assessing its relevance, adequacy and accuracy to improve/archive equality, inclusion, equal opportunities or equal treatment (depending on the specific measure taken).

**Rationale:**

The quality of the specific measure taken by a municipality is assumed to be a key indicator for its potential success and effectiveness.

**Dimension addressed by the indicator:**

Equality/inclusion/equal opportunities/equal treatment

**Cities:**

B, B/V, G, M

**Questions:**

<b>IMPLIX-S-1-Q1</b>	Relevance. Does the measure taken by the municipality address a specific distinction/exclusion/restriction/preference identified beforehand?
<b>IMPLIX-S-1-Q2</b>	Accuracy. IMPLIX-S-1-Q2 consists of the following four sub-questions.
	<p>IMPLIX-S-1-Q2.1: Were alternative measures considered beforehand?</p> <p>IMPLIX-S-1-Q2.2: Was the measure identified as the most suitable one?</p> <p>IMPLIX-S-1-Q2.3: Have proper assumptions and risk assessments been made?</p> <p>IMPLIX-S-1-Q2.4: Is the measure likely to have a direct/traceable impact?</p>
<b>IMPLIX-S-1-Q3</b>	Adequacy. IMPLIX-S-1-Q3 consists of the following two sub-questions.
	<p>IMPLIX-S-1-Q3.1: Is the measure an appropriate means to achieve equality/ inclusion/equal opportunities/equal treatment?</p> <p>IMPLIX-S-1-Q3.2: Has a participatory approach been chosen?</p>

**Scores for possible answers:**

<b>IMPLIX-S-1-Q1</b>	
Yes, the distinction/exclusion/restriction/preference is identified in the legal document that serves as basis for the measure and is backed with relevant and up-to-date data.	1
Yes, the distinction/exclusion/restriction/preference is identified in the legal document that serves as basis for the measure, but the distinction/exclusion/restriction/preference identified is not backed with relevant and up-to-date data.	0.5
No, it is not entirely clear what distinction should be addressed with the measure.	0

	IMPLIX-S-1-Q2.1	IMPLIX-S-1-Q2.2	IMPLIX-S-1-Q2.3	IMPLIX-S-1-Q2.4
Yes	0.25	0.25	0.25	0.25
No	0	0	0	0

Note that the scores of IMPLIX-S-1-Q2.1, IMPLIX-S-1-Q2.2, IMPLIX-S-1-Q2.3 and IMPLIX-S-1-Q2.4 are added for the IMPLIX-S-1-Q2 score.

	IMPLIX-S-1-Q3.1	IMPLIX-S-1-Q3.2
Yes	0.5	0.5
No	0	0

Note that the scores of IMPLIX-S-1-Q3.1 and IMPLIX-S-1-Q3.2 are added for the IMPLIX-S-1-Q3 score.

**Means of verification/data sources:**

Analysis of the document that serves as a basis for the measure; analysis of project documentation

**Disaggregation level:**

Black persons, Muslims, Roma

**Remarks:**

Note that the scores for IMPLIX-S-1-Q1, IMPLIX-S-1-Q2 and IMPLIX-S-1-Q3 are added for an overall indicator score for IMPLIX-S-1.

**E. Process-oriented IMPLIX-indicators**

**Indicator name:**

IMPLIX-P-1

**Topic covered by the indicator:**

Achievement of the project milestones

**Definition:**

Each anti-racist measure consists of various steps of implementation. The most relevant project milestones of the project that are subject of this indicator have to be identified individually for each anti-racist action taken by the municipality.

**Rationale:**

The achievement of project milestones is assumed to be an essential indicator for the actual implementation of an anti-racist measure.

**Dimension addressed by the indicator:**

Equality/inclusion/equal opportunities/equal treatment

**Cities:**

B, B/V, G, M

**Questions:**

<b>IMPLIX-P-1-Q1</b>	Have the project milestones of the anti-racist measure been achieved?
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**Scores for possible answers:**

<b>IMPLIX-P-1-Q1</b>	
No, the project has not been started.	0
Yes, some of the project milestones have been achieved, or many project milestones have been achieved with a serious delay.	1
Yes, many project milestones have been achieved in time.	2
Yes, all project milestones have been achieved in time.	3

**Means of verification/data sources:**

Analysis of the documentation of the measure taken

**Disaggregation level:**

Black persons, Muslims, Roma

**Remarks:**

Note that the number of milestones usually depends on the size and duration of the project. Therefore, it has to be decided individually, which or how many project milestones have to be achieved for the possible answer that 'some' or 'many' milestones have been achieved.

**F. Outcome-related IMPLIX-indicators****Indicator name:**

IMPLIX-O-1

**Topic covered by the indicator:**

Satisfaction of the target groups with the anti-racist measure taken by the municipality.

**Definition:**

The satisfaction of the target groups is evaluated with the ratio of persons of the target groups that were satisfied with the measures taken.

**Rationale:**

The satisfaction of the target groups is assumed to be an important indicator for the overall success of anti-racist measure taken by the municipality.

**Dimension addressed by the indicator:**

Inclusion

**Cities:**

B, B/V, G, M

**Questions:**

<b>IMPLIX-O-1-Q1</b>	How many persons of the target groups' participants were very satisfied or satisfied with the measures taken?
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**Scores for possible answers:**

	<b>0-25%</b>	<b>26-50%</b>	<b>51-75%</b>	<b>76-100%</b>
<b>IMPLIX-O-1-Q1</b>	0	1	2	3

**Means of verification/data sources:**

Analysis of the documentation of the measure taken; questionnaires; surveys

**Disaggregation level:**

Black persons, Muslims, Roma

**Remarks:**

Note that the above mentioned possible answers for IMPLIX-O-1-Q1 are indicative only and may be subject to revision in light of the project’s circumstances.

**G. Outcome-related IMPACTIX-indicators**

**Indicator name:**

IMPACTIX-O-1

**Topic covered by the indicator:**

Reduction of incidents of everyday racism in relation to the previous monitoring period

**Definition:**

The reduction of cases of everyday racism is evaluated by a comparison of the number of cases of everyday racism occurring in the public space of municipalities before and after a specific anti-racist action. Depending on the circumstances the parameters (e.g., areas in which to measure cases of everyday racism) have to be further defined individually for each municipality. The results of the RIX-indicators might inform this decision.

**Rationale:**

The reduction of cases of everyday racism is assumed to be a key aim of anti-racist actions.

Dimension addressed by the indicator: Equality

Cities:

B, B/V, G, M

**Questions:**

<b>IMPACTIX-O-1-Q1</b>	Is there a decrease in numbers of racist incidents in the public space?
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**Scores for possible answers:**

<b>IMPACTIX-O-1-Q1</b>	
No, there is no significant reduction observable.	0
Yes, but there is only a slight reduction observable in only some areas of the public space.	1
Yes, significant reduction is observable in many areas of the public space.	2
Yes, significant reduction observable in the entire public space.	3

**Means of verification/data sources:**

Surveys; analysis of complaints data; questionnaires

**Disaggregation level:**

Black persons, Muslims, Roma

**Remarks:**

Note that it has to be defined individually for each municipality what reduction is assumed to be ‘significant’.





Senate Department  
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Landesstelle  
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gegen Diskriminierung



Långt ifrån lagom

