



Guidance on Evaluating Institutional Gender Mainstreaming

Guidance Document

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This Guidance is the culmination of the collaborative efforts of UNEG members and was developed by the UNEG 'Human Rights and Gender Equality Working Group'. The following members have in particular provided substantive contribution throughout the development of the Guidance: Sabrina Evangelista, Messay Tassew and Silke Hofer (UN Women), Laurence Reichel & Matthew Varghese (UNICEF), Sabas Monroy (OHCHR), Natalie Raaber (UNFPA), Pascale Reinke-Schreiber (UNODC), Dawit Habtemariam (WFP), and Anna Viggh (GEF). Alexandra Pittman worked as a consultant and we would like to thank her for the hard work and dedication to ensuring quality product.

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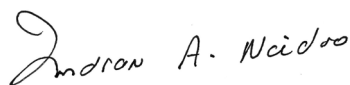
WORD FROM THE UNEG VICE CHAIR

The results of the United Nations Evaluation Group's (UNEG) collective engagement and dedication in ensuring integration of gender perspectives into our evaluation practices is bearing fruit. This is manifested through the elevation of Human Rights and Gender Equality as one of the Norms for UN system evaluations and our increased commitment to the United Nations System-wide Action Plan on Gender Equality and the Empowerment of Women (UN-SWAP) Evaluation Performance Indicator.

The development of this guidance is timed to provide the very data that the entities need to report on for the UN-SWAP 2.0 results indicators. While UN-SWAP 1.0 focused on building a community and a network, and strengthening and streamlining gender mainstreaming processes, including integration of gender perspectives into evaluation, UN-SWAP 2.0 involves a greater focus on monitoring and aggregating gender results across the system to help achieve the SDGs. Therefore, this guidance serves as a resource for UN entities wishing to undertake an evaluation of gender mainstreaming at an institutional and/or programmatic level, and to enhance coherence of information across the UN system on progress made towards gender equality and the empowerment of women.

This guidance was developed under the auspices of the UNEG Task Force on Human Rights and Gender Equality, within the framework of the 'Strategic Objective 3: Evaluation informs UN system-wide initiatives and emerging demands'.

In the context of the implementation of UN SWAP 2.0, UNEG will remain committed to promoting and applying gender equality dimensions into evaluations.



Indran Naidoo
UNEG SO3 Vice Chair

FOREWORD

Since reporting on the UN-SWAP Evaluation Performance Indicator (UN-SWAP EPI) began in 2013, we have seen a steady improvement in the integration of human rights and gender equality in evaluations. Entities reporting against the UN-SWAP Evaluation Performance Indicator have made marked progress in integrating gender equality in evaluations and the framework has helped to revitalize changes in institutional evaluation policy, strategy and systems.

The UN-SWAP 2.0 framework requires reporting on gender mainstreaming and gender equality and women's empowerment results. More evidence and detailed analysis on the linkages between gender mainstreaming and gender results is also required to have better understanding of what works and what does not work, and under what conditions. Evaluative information on this topic will therefore be in higher demand from UN entities' management and governing bodies. Thus, commitment from evaluation offices will pay off in demonstrating that UN-SWAP requirements are being met and used as a tool to accelerate achievement of gender results.

Within this context, the UN Women Independent Evaluation Service, with its dual role as co-convenor of the Human Rights and Gender Equality working group and main focal point for the UN-SWAP EPI reporting, will step up its efforts to facilitate exchanges and promote wider application of this guidance.

I am confident that the next generation of UN-SWAP 2.0 will take us considerably further in ensuring gender equality perspectives become the norm in our evaluation practices.

Inga Sniukaite
UN Women Independent Evaluation Service

ACRONYMS AND ABBREVIATIONS

AfDB	African Development Bank Group
BPfA	Beijing Declaration and Platform for Action
CEB	Chief Executives Board for Coordination
ECOSOC	United Nations Economic and Social Council
FAO	Food and Agriculture Organization of the United Nations
GBV	Gender Based Violence
GEWE	Gender Equality and Women's Empowerment
GM	Gender Mainstreaming
GRES	Gender Results Effectiveness Scale
G@W	Gender at Work Framework
ILO	International Labour Organization
MDGs	Millennium Development Goals
M&E	Monitoring and Evaluation
SDGs	Sustainable Development Goals
SIDA	Swedish International Development Cooperation Agency
ToC	Theory of Change
ToR	Terms of Reference
UN	United Nations
UNCTAD	United Nations Conference on Trade and Development
UNDG	United Nations Development Group
UNDP	United Nations Development Programme
UNEG	United Nations Evaluation Group
UNEP	United Nations Environment Programme
UNESCWA	United Nations Economic and Social Commission for Western Asia
UNICEF	United Nations Children's Fund
UN-SWAP	United Nations System-wide Action Plan on Gender Equality and the Empowerment of Women
UN Women	United Nations Entity for Gender Equality and the Empowerment of Women
WHO	World Health Organization

1. INTRODUCTION

1.1 What is Institutional and Programmatic Gender Mainstreaming in the UN System?

The Beijing Platform for Action established the strategy of gender mainstreaming (GM) in 1995. The international community recognized that in order to accelerate the achievement of gender equality it was necessary to integrate attention to gender equality in the ‘mainstream’ of activities rather than address it as an ‘add-on’ activity.¹ The United Nations Economic and Social Council (ECOSOC) Agreed Conclusions, 1997/2 described GM as: “the process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in all areas and at all levels. It is a strategy for making women’s as well as men’s concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres so that women and men benefit equally and inequality is not perpetuated. The ultimate goal is to achieve gender equality.”²

The mainstreaming strategy is meant to be implemented in different ways depending on the organizational level (institutional vs. programmatic) and activity (e.g. policy development vs. programme delivery). At an **institutional level**, gender mainstreaming involves addressing gender equality and empowerment of women (GEWE) through internal organizational changes, such as resource allocation, strategic planning, policies, culture, human resources, staff capacity, leadership, management, accountability and performance management. At a **programmatic level** gender mainstreaming ensures that gender equality is considered at all stages of a project/programme, such as resource allocation, context analysis, programme/project development, implementation, and monitoring and evaluation to ensure the equal distribution of programmatic benefits and to not reproduce or deepen existing inequalities. Institutional GM is closely connected to programmatic GM—indeed in many cases United Nations (UN) entity policies make an explicit link between institutional GM and programmatic development results.

In response to the ECOSOC request for an accountability mechanism for GM within the United Nations system (Agreed Conclusions 1997/2), in 2006 the Chief Executives Board for Coordination (CEB) endorsed the UN System-wide Policy on GEWE (CEB/2006/2). In response to the policy in 2011-2012 UN Women took the lead in coordinating the development of the UN-System Wide Action Plan (UN-SWAP) with other agencies’ support. The UN-SWAP constitutes the first GM accountability framework in the UN. In 2012, the CEB endorsed the use of the UN-SWAP throughout the UN system and ECOSOC welcomed its full roll-out through Resolution E/RES/2012/24. Its first iteration had 15 performance indicators, but the revised UN-SWAP framework has 17 performance indicators to track results, accountability, results-based management, oversight, human and financial resources, capacity, and knowledge exchange and networking.

1 United Nations, 2002. Office of the Special Advisor on Gender Issues and Advancement of Women. Gender Mainstreaming: an overview. Accessible online at: <http://www.un.org/womenwatch/osagi/pdf/e65237.pdf>

2 United Nations. Chapter IV: Coordination of the Policies and Activities of the Specialized Agencies and Other Bodies of the United Nations System. **ECOSOC 1997/2**.

In 2016, UN-SWAP 2.0 performance indicators were agreed upon as the enhanced accountability framework for implementation in 2018. The UN-SWAP framework 2.0 also extends the reach of UN-SWAP 1.0 by including new Performance Indicators on gender-related and SDG relevant results, and leadership, as well as updating existing UN-SWAP 1.0 Performance Indicators. The new framework is rolled-out in 2018.

1.2 Purpose of the Guide

This is a practical guide designed for United Nations Evaluation Group (UNEG) members, policy and programme evaluators and others who advocate for a common approach to assessing progress of institutional GM in the United Nations system. This guide responds to recommendations from the UN Women (2015a) “[Review of Corporate Gender Equality Evaluations in the United Nations System](#)”³, which was drafted in consultation with UNEG, EvalPartners, and EvalGender, and the revised Evaluation Performance Indicator for the United Nations System-wide Action Plan⁴ (UN-SWAP), which identifies a gender equality evaluation as necessary for “exceeding requirements.” The aim of the guidance is to encourage UN entities to conduct more evaluations of their respective institution’s GM approach to improve results, and to enhance coherence of information across the UN system on progress made towards GEWE.

The [UN Women review \(2015a\)](#) found gaps in institutional gender equality evaluation practice across the UN system, made recommendations and highlighted the UN-SWAP’s potential for adaptation as an evaluative framework. The recommendation to further develop the UN-SWAP framework for evaluation would help establish coherence among UN entity gender equality evaluations, contribute to more robust future system-wide reviews, and support triangulation of UN-SWAP performance reporting data that is based on self-assessment.

Toward this end, this guidance serves as a resource for UN entities wishing to undertake an evaluation of GM at an institutional and/or programmatic level. It identifies supplementary design resources and potential methods and tools that could be adapted in any evaluation. The UN-SWAP is elaborated on here as an evaluation framework, and evaluation indicators and data collection methods for each of the UN-SWAP performance indicator areas are included. The guidance also shares design ideas in relation to key issues and methods encountered when conducting an evaluation of institutional GM and related GEWE results.

1.3 Benefits to Evaluating Institutional Gender Mainstreaming

There are many benefits to evaluating institutional GM. Given that the UN-SWAP 2.0 framework requires reporting on GM and GEWE results, UN entity management and/or Executive Boards are likely to increase their demands for information on evaluating institutional GM. The UN Member States and UNEG have also promoted more substantive integration of gender equality considerations

3 UN Women. 2015a. Review of Corporate Gender Equality Evaluations in the United Nations System Accessed on April 9, 2018 at: <http://www.unwomen.org/en/digital-library/publications/2015/7/review-of-corporate-gender-equality-evaluations-in-the-united-nations-system#view>

4 The United Nations System-wide Action Plan for Gender Equality and Empowerment of Women was updated in 2016 and will be implemented in 2018. UNEG supports the Evaluation Performance Indicator. For more information see: <http://www.unwomen.org/en/how-we-work/un-system-coordination/promoting-un-accountability>.

in evaluations. Thus, commitment from evaluation offices to evaluate institutional GM will demonstrate whether or not UN-SWAP requirements are being met. Thoughtful framing and documentation of these evaluations will also benefit knowledge development and learning across UN entities, and build the evidence base of good evaluative practice.

Evaluation can serve as a catalyst for enhanced GM at an institutional level. Although all UN entities are mandated to mainstream gender, there are varying levels of commitment and action placed on this task. Some may not understand the benefits of GM and thus look at it as a technocratic “box ticking” exercise, doing the bare minimum to comply with mandates, whereas others may have a better understanding of how their technical area of work is inextricably linked with gender, and how investing both financial and human resources will lead to enhanced overall development outcomes.

Evaluation enables an understanding and assessment of the extent to which the institutional approach to GM (e.g. Gender Policies/Strategies, gender parity, Gender Marker/financial tracking systems, gender analysis in programme/project designs, and other special programmes) is effective, relevant, efficient, and impactful. Another area that requires attention is the link and correlations between strong institutional GM and development results for GEWE. More evidence and detailed analysis on the linkages between GM and GEWE results benefits the development field and understanding of what works and does not, and under what conditions.

Finally, evaluation offers the opportunity to employ creative methodologies and strategies to collect much needed data and track progress made towards the transformative aims that have been established in many UN entities’ gender policies or strategies as well as the Sustainable Development Goals (SDG). This is important to understand the nature of long-term change processes and to document effective and ineffective mechanisms for supporting transformative shifts in norms, power and existing structures of inequalities.

2. THE EVALUATIVE FRAMEWORK TO GUIDE INSTITUTIONAL EVALUATIONS OF GENDER MAINSTREAMING

Each entity has a unique set of institutional, policy, strategy and/or programmatic guidance documents that establish the core elements of institutional GM.⁵ In order to set out an appropriate evaluation framework and methodology, the unique elements of the UN entity's GM approach must be accounted for in the evaluation design. The policy, strategy or programmatic framework should form the foundation of the evaluation framework, however, the elements outlined in the UN-SWAP framework should also be captured and/or integrated.

The UN-SWAP framework is the agreed upon set of indicators that UN entities must meet as mandated by CEB. Evaluations of GM provide an excellent opportunity for validating institutional progress, captured in UN-SWAP annual reports. The goal is a more comprehensive and coherent set of data across UN entity evaluations grounded in an established system of standards for measuring and tracking contributions to gender responsive and transformative results⁶.

The UN-SWAP 2.0 (to be implemented in 2018) includes indicators for gender-related SDG results and institutional strengthening

UN-SWAP 2.0 INDICATOR AREAS

A. Gender-related SDG results

1. Commitment to gender-related SDG results
2. Reporting on gender-related results
3. Programmatic results on gender equality and the empowerment of women
4. Evaluation
5. Audit

B. Institutional strengthening to support achievement of results

1. Policy
2. Leadership
3. Gender-responsive performance management
4. Financial resource tracking
5. Financial resource allocation
6. Gender architecture
7. Equal representation of women
8. Organizational culture
9. Capacity assessment
10. Capacity development
11. Knowledge and Communication
12. Coherence

⁵ Approximately 80% of UN entities reported having a gender policy in place in the 2016 reporting cycle for UN-SWAP. Draft report, "Mainstreaming a gender perspective into all policies and programmes in the United Nations system: Report of the Secretary-General. https://www.unsceb.org/CEBPublicFiles/E_2017_57%20Mainstreaming%20a%20gender%20perspective.pdf

⁶ Entities will determine themselves what constitutes a transformative result in the context of their mandate and/or policy on gender equality and the empowerment of women, and clearly outline why the result is considered transformative. According to UN SWAP 2.0, transformative results is defined as results that contribute to changes in social norms, cultural values, power structures and the root causes of gender inequalities and discrimination. The CEB includes tackling root causes as central to implementing the SDGs: "Preventing and resolving crises, addressing root causes, managing risk, building resilience and sustaining peace are shared objectives of the entire UN system."

to support the achievement of results. For the purpose of this guidance, the UN-SWAP framework has been elaborated from an evaluation perspective in Section 3 and Annex B.⁷ For every UN-SWAP indicator, issues for evaluators to consider are identified in Section 3. The UN-SWAP matrix in Annex B highlights basic quantitative and qualitative indicators and data collection sources that can be included in any GM evaluation.

The evaluation-adapted UN-SWAP indicators in Annex B should be used as the basic structure for an evaluation framework. The evaluation framework should also include other indicators relevant to the organization's unique GM mandate and evaluation questions. Some basic framing elements of the institutional GM evaluation that should be adapted to the unique entity's mandate, GM plan or policy appear in the text box below.

SAMPLE GM EVALUATION CRITERIA, QUESTIONS AND METHODS

CRITERIA

UNEG members commonly uses and adapts the evaluation criteria of the Organization for Economic Cooperation and Development's Development Assistance Committee (OECD-DAC) to evaluate their interventions. These are relevance, effectiveness, efficiency, and sustainability as well as a stand-alone criterion on GEWE and Human Rights to ensure an in-depth analysis of these aspects.

EVALUATION QUESTIONS

Below is a sample list of evaluation questions that **should be adapted** to the entity's GM objectives as defined in the plan/strategy and evaluation purpose, e.g. formative/process assessment, summative, and/or learning. For example, in an institutional GM evaluation, an entity may only want to assess the institutional process elements without analyzing the development results or an entity may want to look at the influence of institutional results on development results. Of course, summative evaluations aim to look at results and impacts of policies, strategies, and programmes at the end of a plan or programme. However, a formative evaluation can help feed strategic information into a revised gender policy/action plan or parts of a plan, e.g. assessing the effectiveness of a Gender Marker system in terms of exploring how staff understand and implement it. Please refer to the [UNDG 2012 guidance on Gender Markers](#). See also Annex 1 for examples of different entities' GM evaluation questions.

Relevance:

- What is the comparative advantage and role of the entity in promoting GEWE and GM results at the country, regional and global levels?
- To what extent was the entity's role considered critical, important, or somewhat peripheral?
- Was the entity's support to GEWE relevant to programme countries' needs and consistent with the organization's mandate?

(continued)

⁷ For a full overview of the UN-SWAP guidelines and rating systems, please see UN Women. 2015b. "UN System-wide Action Plan for the Implementation of the CEB Policy on Gender Equality and the Empowerment of Women. Performance Indicators and Technical Notes."

- Was the GM approach relevant to addressing core country, regional or international GEWE needs?
- How has the entity been responsive to shifts in the context (e.g. adapting to diverse social, economic, cultural, traditional, religious country realities) and need to realign GEWE work accordingly to ensure its continued relevance?
- To what extent did detailed contextual analysis of gender equality inform policy and programme development (e.g. sex-disaggregated data, gender analysis, and input of local staff/partners)?
- To what extent are GM systems (including accountability mechanisms and rewards) in place, used, and considered relevant by staff?

Efficiency:

- How has money been allocated for gender mainstreaming and standalone GEWE work: has it increased, remained level or decreased over time (at the country, regional and global levels)? What were the drivers of increased/decreased attention to GM and gender equality? Are these budgets sufficient to fully integrate gender into programming and policies?
- To what extent does the gender architecture support an efficient use of resources to enhance attention to GM and GEWE in the institution?
- To what extent are collaborations and inter-agency cooperation contributing to greater efficiency, if at all?

Effectiveness:

- Was the entity successful in reaching its GM policy/plan objectives? In what ways?
- In what institutional areas were the strongest results and most progress made, e.g. in policies/plans, organizational culture, gender parity, resource tracking, leadership, accountability, and monitoring and evaluation? In what institutional areas did we see the least progress? Why?
- What factors contributed to progress and what factors inhibited progress?
- Which external and internal factors contributed to, or detracted from, the entity's adoption of new institutional processes?
- Were there particular tools or strategies that made more of a difference in integrating attention to GEWE compared to others?
- To what extent did the programme or interventions contribute to gender responsive and transformative results in the institution and/or programme? In what ways?
- To what extent has gender mainstreaming strengthened the link between institutional change and development results?
- How has the entity used partnerships to promote GEWE at global, regional and national levels?

(continued)

Sustainability:

- Which results in the evaluation are not likely to be sustained without continued investment, either technical, financial, or through other activities?
- How sustainable has national, regional or international capacity development and country ownership of GM been?
- What conditions have been put in place to ensure that GM elements and attention to GEWE are sustained beyond individual staff and management? How effective are these processes after staff and leadership transitions?
- In what ways, if at all, has the entity learned from past evaluation findings to strengthen gender equality results at the programme and institutional levels?

METHODS

- A diverse set of research methods should be used to capture changes related to GM and GEWE in alignment with indicators. Examples are shared in Annex B. Ideally, both qualitative and quantitative data are collected and analyzed. Methods that are highlighted in the UN-SWAP framework include document review, database creation and analysis, comparative analysis with other UN entities, participatory focus groups, interviews, surveys, analyzing international datasets, and using the Most Significant Change Technique and Outcome Harvesting.
- Data collection activities and protocols should be gender sensitive and evaluators should ensure equitable participation regardless of gender, status, and other social identities.

3. OVERVIEW OF UN-SWAP INDICATORS AND ISSUES TO CONSIDER IN AN EVALUATION

The following section provides a brief description of the performance indicator areas in the UN-SWAP 2.0 and some important methodological issues evaluators should consider when designing institutional GM evaluations. Examples are integrated throughout this section to stimulate creative thinking when designing evaluations that aim to capture gender responsive and transformative results. These examples are not meant to be prescriptive, but rather suggestions for adaptation based on the entity's evaluation framework and needs. Readers are encouraged to refer to existing guidance such as the UNEG “[Integrating Human Rights and Gender Equality in Evaluations](#)” (2014), UN Women “[How to Manage Gender Responsive Evaluation: Evaluation Handbook](#)” (2015) and UNEG “[Integrating Human Rights and Gender Equality in Evaluation-Towards UNEG Guidance](#)” (2011), for more information related to basic evaluation preparation, design and implementation issues, which will not be repeated here. Every year, the UN-SWAP technical notes are updated. Evaluators should also consult these as a supplement to this guidance note.

A. GENDER-RELATED SDG RESULTS

3.1 UN-SWAP Indicator 1: Commitment to Gender-related SDG Results

The SDGs highlight the importance, in alignment with the Beijing Declaration and Platform for Action (BPfA), of supporting both gender equality standalone work as well as mainstreaming gender equality in policies, programmes and institutions. SDG 5 (*Achieve gender equality and empower all women and girls*) makes achieving gender equality and women's empowerment a goal in and of itself, but it is also essential to realizing the other 16 SDGs.

UN entities should demonstrate the following UN-SWAP criteria:

-  Meeting requirements: *“Main strategic planning document includes at least one high-level result on gender equality and the empowerment of women which will contribute to meeting SDG targets, and reference to SDG 5 targets” and “Entity has achieved or is on track to achieve the high-level result on gender equality and the empowerment of women.”*
-  Exceeding requirements: *“Main strategic planning document should include at least one high-level transformative result on gender equality and the empowerment of women which will contribute to meeting SDG targets, and reference to SDG 5 targets” and “Entity has achieved or is on track to achieve the high level transformative result on gender equality and the empowerment of women”.*

As the UN-SWAP performance indicator document (2017) highlights “*Transformative results contribute to changes in norms, cultural values, power structures and the roots of gender inequalities and discrimination. The CEB includes tackling root causes as central to implementing the SDGs. [...] Preventing and resolving*

crises, addressing root causes, managing risk, building resilience and sustaining peace are shared objectives of the entire UN system.”⁸

EVALUATION ISSUES TO CONSIDER

Evaluators should assess the relevance and fit of the commitment of the entity to gender-related SDGs. Evaluators should explore the links between the technical area of the organization and its policies, strategies, programmes and projects to develop a meaningful analysis and strategy to address key gender concerns. These lines of analysis should be specific to the policy, strategies or programme’s main areas of impact. For example, see how [UN Women has highlighted the GEWE issues within each of the SDG areas](#). Evaluators should develop a theory of change if the entity does not have one.

In addition, transformative results should be assessed for the extent to which they aim to transform power relations. Because transformative change efforts require changing social norms and this often causes a redistribution of power, those now losing power often oppose these efforts and attempt to reverse any progress that has been made or threaten others in order to maintain the status quo. The high rates of violence against women’s human rights defenders in Meso-America⁹ and beyond illustrate this in its most egregious form. Feminists that work in the social change space often describe the process of transformative change as proceeding by “one step forward, two steps back.” It is important to capture this dynamic and to adequately contextualize results. This can be done in an evaluation context for example, by tracking the number of times and the extent to which women and marginalized groups faced backlash after gaining more resources, access and power.

3.2 UN-SWAP Indicator 2: Reporting on Gender-related Results

To assess progress on gender results, all UN entities’ results-based management (RBM) guidelines should address how to design gender-sensitive results and indicators, including the systematic disaggregation of data by sex.¹⁰ Formal reporting should display sex disaggregated data, present results related to GEWE, and detail how these results help, or not, to meet the SDGs, particularly SDG 5.

UN entities should demonstrate the following UN-SWAP criteria:

- Meet requirements: “*Report to the Governing Body or equivalent on the high-level result on gender equality and the empowerment of women which will contribute to meeting SDG targets, including SDG 5.*” and “*Systematic use of sex-disaggregated data in strategic plan reporting.*”¹¹

8 CEB common principles to guide the UN system’s support to the implementation of the 2030 Agenda for Sustainable Development. April 2016.

9 Binetti, A. 2015. “[Under Fire: Women’s Human Rights Defenders in MesoAmerica.](#)” Georgetown Institute for Women, Peace and Security.

10 As the UN Women (2017) SWAP 2.0 guidance notes: “Systematic disaggregation of data means disaggregation by sex of any data related to population groups (e.g. poor, migrants, refugees, employees, vulnerable, homeless, affected population, youth, older persons, people with disability, indigenous people) where there are implications related to gender for these population groups. The default should be to disaggregate by sex unless: a. sex-disaggregated data is not available which should be duly noted, along with any initiatives to facilitate use of sex-disaggregated data in the future.”

11 UN Women. 2017. Ibid.

Exceed requirements: *“Reporting every two years to the Governing Body or equivalent on implementation of the entity’s gender equality and empowerment of women policy”.*

EVALUATION ISSUES TO CONSIDER

In the evaluation context, it is useful to explore the extent to which reporting frameworks (such as RBM systems and internal databases) capture outcomes at a sex-disaggregated level, as well as discrete GEWE results, if applicable. However, it is also important to move beyond sex-disaggregated output indicators as a signpost of successful gender mainstreaming. Ultimately, we cannot truly understand if programme/project/strategy investments are efficient and effective without tracking at the outcome level.

Many UN entities have established formal GEWE tracking and reporting mechanisms. For example, UNDP has been systematically collecting sex-disaggregated statistics, gender-related institutional and programme results, and tracking whether or not country offices are contributing to gender transformative results through their Results-Oriented Annual Report system (ROAR). For example, UNESCO reports on GEWE implementation to the General Conference every two years through a standalone report: Their biannual reporting to the Executive Board includes a focus on GEWE in each of its programmes as well as a separate chapter dedicated to more in-depth coverage of their priority on gender equality work.

3.3 UN-SWAP Indicator 3: Programmatic Results on Gender Equality and the Empowerment of Women

UN-SWAP outlines two types of results¹² on which entities should report:

“Support to Member States and other counterparts, such as civil society, in achieving national, regional and international priorities, for example as set out in the SDGs. This can be through support to development and implementation of policies (i.e. normative results), capacity development, and technical cooperation. National ownership is paramount in this definition.

*Directly achieving results, in some cases working in partnership with non-state actors... (UN Women 2017 *ibid*: 10).”*

The UN-SWAP criteria UN entities should demonstrate include the following:

Meet requirements: *“Programmatic results on gender equality and the empowerment of women are met or on track to be met.”*

Exceed requirements: *“Programmatic results on gender equality and the empowerment of women are met or on track to be met” and “Programmatic initiatives consistently include transformative gender equality and the empowerment of women results.”*

¹² “Results” refer to both normative and development results on gender equality and the empowerment of women, as included in the UN-SWAP framework endorsed by the Chief Executives Board for Coordination.

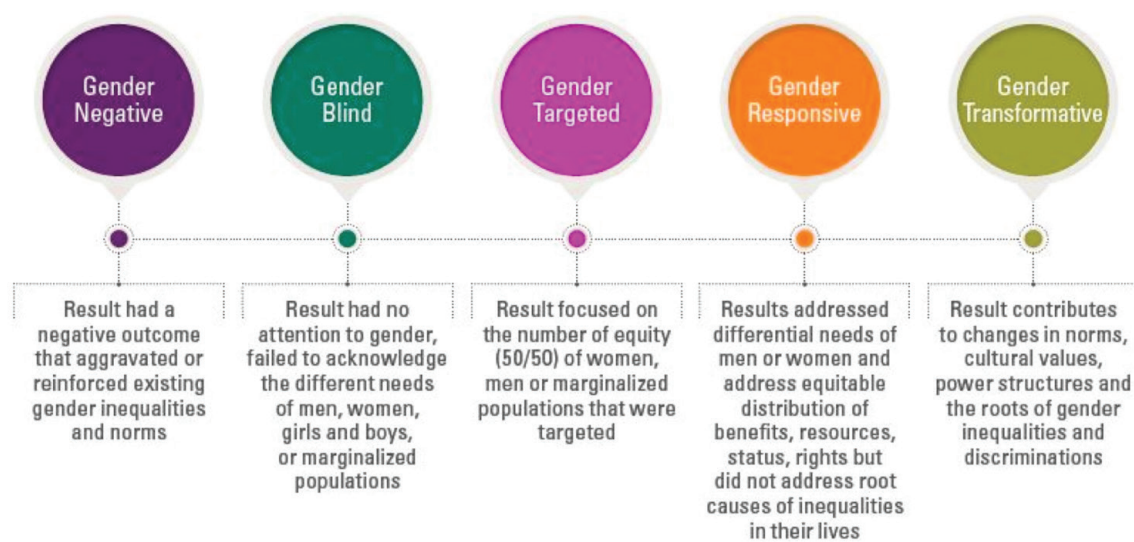
EVALUATION ISSUES TO CONSIDER

Evaluations can help assess the types of results on which the entity is delivering, e.g. gender responsive or transformative. When trying to measure GEWE results, it is often useful to employ innovative data collection methods, especially when trying to capture transformative results and normative changes in gender inequalities in relationships, institutions and communities. This can be done for example through using participatory methodologies, such as [Most Significant Change](#) or [Outcome Harvesting](#) to capture narratives of change.¹³ As part of this process, establish operational definitions to bring methodological clarity and rigor to the analysis process. See Figure 1 for an example of how operational definitions help to track the quality of results being achieved.

Once the data have been collected and analyzed, evaluators must apply a gender analysis and lens to interpret the evaluation results and provide appropriate recommendations.¹⁴ For example, if sex-disaggregated data reveals distinctive outcomes for different social identity groups (e.g. gender, race, ethnicity, class, sexual orientation), it should be ensured that there is time to ask key stakeholders follow-up questions. It is important for evaluators to examine the underlying reasons for the findings.¹⁵ This is one reason the UN-SWAP set the standard that evaluation results and recommendations should include gender analysis (see next UN-SWAP indicator below).¹⁶ This also means that there must be enough time built into the evaluation timeline for follow-up field visits.

There is no “one size fits all” approach. Creative methods for data collection and analysis must be implemented, and the analysis of results must be contextualized. What is progress in one context would not necessarily be considered progress in another. Additionally, the context and culture of the intervention should be explored, along with factors that contributed to successes and failures to support greater programmatic learning.

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- 13 For other useful data collection and analysis methodologies to employ in GEEW work, such as Harvard Analytical Framework, Moser Gender Planning Framework, Social Relations Approach, and Women’s Empowerment Framework, see [Pittman 2015](#) and p. 50 in UNEG Human Rights and Gender Equality Guidance.
 - 14 Gender analysis should be conducted in the planning stages and carried-out throughout the implementation and evaluation process to understand the effect of interventions. However, even if a gender analysis was not done at the planning stages, evaluators are still responsible for ensuring they integrate a gender analysis and lens throughout the evaluation process and in interpretation of results and recommendations.]
 - 15 For example, a recent UN agency evaluation found that after participating in an economic development programme, women’s incomes decreased from US\$67 to US\$11 per month during the project period for women who headed the household; and increased from US\$74 to US\$95 for women that were not the head of households. Evaluators did not explore the reasons for these significant differences amongst different target groups. If evaluators had engaged in gender analysis of results, additional questions would have been raised regarding the success of this intervention, particularly in terms of what was driving such significantly different trajectories for women headed vs non-headed households. Evaluators would need to identify what was happening in this community that could contribute to these disparate results, e.g. identify any cultural or social norms regarding single or widowed women in the workplace, norms related to women-headed households generally in the community, connections that were supporting higher income increases for women in relationships, etc. This information is critical to responsively target different social groups’ unique needs, which is intricately tied to measures of programme effectiveness, and to ensuring that gender, power and other social inequalities and discriminations will not be replicated by the programme.
 - 16 For other types of gender analysis that can be useful at planning or evaluation stages and for a compilation of tools, such as Moser Gender Planning Framework, Women’s Empowerment Framework, and Gender Audits, see pp. 27-28 in [Pittman, A. 2015. “Fast-Forwarding Gender Equality and Women’s Empowerment?: Reflections on measuring change for UNDP’s thematic evaluation on gender mainstreaming and gender equality 2008-2013.” UNDP IEO Occasional Paper.](#)

Figure 1: Gender Result Effectiveness Scale (GRES)

CREATING A RESULTS DATABASE AND CODING THE TYPE OF GENDER RESULTS

In the [UNDP 2015 gender mainstreaming and women's empowerment evaluation](#), the evaluation team created a database of triangulated results (collected from a previous Assessment of Development Results, other evaluations and outcomes collected from field visits), coded each result according to the following typology and analyzed them in [Impact Mapper](#): gender negative, gender blind, gender targeted, gender responsive and gender transformative. The typology was named the Gender Result Effectiveness Scale (GRES). The GRES was created to categorize what is usually not categorized — that is, the quality of gender results. This analysis revealed that UNDP gender results were overwhelmingly “gender targeted” — meaning they were limited to counting the numbers of men/women involved, despite the aim in their gender mainstreaming strategy to be contributing to gender-responsive results. The exception was in the Democratic Governance area where the majority of results were “gender responsive.” Only a handful of results were gender transformative and they mostly appeared in the Democratic Governance area. Coding results in this way gave UNDP critical information about where they needed to step-up gender mainstreaming efforts and move beyond gender targeted programming and interventions. It should also be noted that interpretation of results should be context-specific, a result may be more modest in one country context, but groundbreaking in terms of shifts in social norms in another. So, an appropriate contextual lens must be used when categorizing results. See Annex 2 for a chart of the differences in type of results achieved by different thematic areas.

Reproduced from UNDP. 2015. Illustrated Summary “[Evaluation of UNDP's Contribution to Gender Equality](#).” UNDP. IEO.

3.4 UN-SWAP Indicator 4: Evaluation

Annually, UN entities produce a report on the extent to which they are meeting UNEG gender related norms and standards in the evaluations that they implement using the UN-SWAP framework.

UN entities select a sample of evaluation reports, which are scored against the following three criteria:

1. GEWE is integrated in the evaluation scope of analysis and evaluation criteria and questions are designed in a way that ensures GEWE related data will be collected.
2. A gender-responsive methodology, methods and tools, and data analysis techniques are selected.
3. The evaluation findings, conclusions and recommendation reflect a gender analysis.

This indicator also calls on all reporting UN system entities to conduct at least one evaluation to assess corporate performance on gender mainstreaming every 5-8 years. This might constitute, but not be limited to, corporate evaluation of gender policy, mainstreaming, and strategy or equivalent”.

Every evaluation in the sample is given a rating from 0-3, for each criterion above:

0 = Not at all integrated. Applies when none of the elements under a criterion are met.

1 = Partially integrated. Applies when some minimal elements are met but further progress is needed and remedial action to meet the standard is required.

2 = Satisfactorily integrated. Applies when a satisfactory level has been reached and many of the elements are met but still improvement could be done.

3 = Fully integrated. Applies when all the elements under a criterion are met, used and fully integrated in the evaluation and no remedial action is required.

The UN-SWAP criteria UN entities should demonstrate include the following:

➤ Meet requirements: *“Meets the UNEG gender-related norms and standards and applies the UNEG Guidance on Integrating Human Rights and Gender Equality in evaluation during all phases of the evaluation.”*

➤ Exceed requirements: *“Meets the UNEG gender equality-related norms and standards, applies the UNEG Guidance on Integrating Human Rights and Gender Equality in Evaluation during all phases of the evaluation, and conducts at least one evaluation to assess corporate performance on gender mainstreaming or evaluation of its gender equality policy/strategy every 5-8 years.”*

EVALUATION ISSUES TO CONSIDER

Evaluators could validate the scoring process (because most entities conduct their own internal reviews) and assess the extent to which recommendations related to GEWE/GM are being taken up by the entity. Focusing on recommendation uptake is critical for ensuring change. Evaluations may include a gender-responsive approach, but if nothing substantive and measurable is included in the recommendations, then the entity is not held accountable for instituting change. Another important issue to address is that once the UN-SWAP assessments are done, the evaluator does not receive feedback about how well they addressed GEWE issues in the evaluation, which limits their ability to improve their work in the future. Moreover, this data could also be used by evaluation managers to improve hiring practices by better matching entity needs and evaluator skills in the future.

3.5 UN-SWAP Indicator 5: Gender Responsive Auditing

Regular audits are recommended to identify and document the extent to which risks associated with GEWE results are being addressed and managed in workplans.

The UN-SWAP criteria UN entities should demonstrate include the following:

-  Meet requirements: *“Based on risks assessments at engagement level, internal audit departments have developed tools for auditing gender equality and the empowerment of women related issues (e.g. policy compliance, quality of reporting etc.) and apply these as appropriate in all relevant audit phases.”*
-  Exceed requirements: *“Relevant gender equality findings are systematically presented in annual reports of the internal audit departments” and “Internal audit departments undertake a targeted audit engagement related to gender equality and the empowerment of women at least once every five years.”*

EVALUATION ISSUES TO CONSIDER

Evaluators should assess the entity’s use of audit results and the audit contributions to strengthen institutional and programmatic attention to GEWE. This includes the extent to which audit results have been followed up on and what actions have been taken to ensure attention to GEWE. Evaluators can also explore the effectiveness of those actions. This way evaluators can assess the extent to which entities are learning from the past and are committed to progress on GEWE.

B. INSTITUTIONAL STRENGTHENING TO SUPPORT ACHIEVEMENT OF RESULTS

3.6 UN-SWAP Indicator 6: Policy and Plan

UN entities must have a current gender equality and women's empowerment policy or plans in place that addresses GM and GEWE. Ideally, the policy or plan should also include senior management accountability mechanisms. UN Women (2014) prepared [guidance](#) to support the development of GEWE and GM policies and strategies in alignment with the UN-SWAP.

Under this criterion, UN entities should demonstrate the following:

- Meet requirements: *"Up-to-date gender equality and women's empowerment, including gender mainstreaming and the equal representation of women, policies and plans implemented."*
- Exceed requirements: *"Up-to-date gender equality and women's empowerment, including gender mainstreaming and the equal representation of women, policies and plans implemented" and "Specific senior level mechanism in place for ensuring accountability for promotion of gender equality and the empowerment of women."*

EVALUATION ISSUES TO CONSIDER

Evaluators should assess how gender equality is conceptually positioned vis-à-vis the entities' mandate. This includes exploring the relevance of the gender policy given the global context and organization's mandate. In addition, they should assess if the policy/plan is conceptually and operationally linked with corporate strategic plans and explicit theories of change (TOCs). Since the UN system is composed of many different types of entities ranging from funds, agencies, coordination bodies, etc., it is important to assess the positioning of the policy and GM approach in the specific context of each entity. Without meaningful management and implementation arrangements, the focus on GEWE and GM strategic plan may just be fulfilling a bureaucratic requirement. Thus, it is also important to assess the extent to which the policy/plan is known, understood, accepted and acted upon throughout the organization.

EXAMPLE OF GENDER POLICES AND STRATEGIES IN SELECT UN AGENCIES

ESCWA Policy on GEWE:

https://www.unescwa.org/sites/www.unescwa.org/files/page_attachments/epgewe2014-2018.pdf

FAO Policy on Gender Equality:

<http://www.fao.org/docrep/017/i3205e/i3205e.pdf>

IOM Gender Equality Policy:

<https://governingbodies.iom.int/system/files/en/council/106/C-106-INF-8-Rev1-IOM-Gender-Equality-Policy-2015-2019.pdf>

UNDP Gender Equality Strategy:

<http://www.undp.org/content/undp/en/home/librarypage/womens-empowerment/gender-equality-strategy-2014-2017/>

UNCTAD Mandate on Gender:

<http://unctad.org/en/Pages/DITC/Gender-and-Trade/Gender-Mandate.aspx>

UNEP, Gender and the Environment Policy:

<http://web.unep.org/gender/what-we-do/policy>

UNICEF Gender Action Plan 2014-2017:

https://www.unicef.org/esaro/UNICEF_Gender_Action_Plan_2014-2017.pdf

UNOG Gender Equality Strategy:

[https://www.unog.ch/80256EDD006B8954/\(httpAssets\)/39C4CDA076258F74C12580200033AFF0/\\$file/PolicyGenderEqualityEN.pdf](https://www.unog.ch/80256EDD006B8954/(httpAssets)/39C4CDA076258F74C12580200033AFF0/$file/PolicyGenderEqualityEN.pdf)

World Food Programme:

http://documents.wfp.org/stellent/groups/public/documents/communications/wfp276754.pdf?_ga=2.228911836.1304286016.1498402874-1197111508.1498402874

ASSESSING THE AGENCY'S APPROACH TO AND CONTENT OF GENDER MAINSTREAMING POLICY/STRATEGY

GM policy should be assessed against international best practices and by comparison with similar agencies. UN-SWAP reporting and other evaluations of GM could be used for comparative purposes. Where indicators of achievement are specified, these should be integrated into the evaluation framework. Possible evaluation questions include:

- ➡ How was the gender policy developed (i.e., in a consultative manner)?
- ➡ Does the policy clearly state the objectives?
- ➡ Are the requirements for implementation clearly stated in the policy?
- ➡ Is the policy linked to the wider programming objectives of the entity as outlined in the Strategic Plan or equivalent?
- ➡ Are the requirements feasible given available resources? In what ways?
- ➡ Did the entity take on a gender transformative, gender sensitive, targeted or neutral approach and is this approach adequate in light of its mandate?
- ➡ Does the policy make the connection between gender mainstreaming and achievement of development results? How?
- ➡ What is the underlying theory of change about this connection, if any?
- ➡ Are there adequate indicators to measure progress against objectives, outcomes and outputs?
- ➡ To what extent are indicators sex-disaggregated?
- ➡ Does the policy have a mechanism to monitor the process of gender mainstreaming as well as the results at the outcome level?
- ➡ Is there a mechanism to monitor the implementation of the policy? If yes, please describe.
- ➡ How is the content of the policy different or similar to that of policies of other agencies?
- ➡ Does the policy require reporting to senior managers and the Executive Board (or equivalent) on its progress?
- ➡ Are staff aware of the policy and able to articulate the key tenets for implementation?

3.7 UN-SWAP Indicator 7: Leadership

Senior leaders should ensure that a vision promoting GEWE is articulated and goals and strategies to reach this objective are clear. Moreover, gender bias should be challenged, and leaders should act as role models in not tolerating unconscious bias or discrimination in any form, and supporting organization policies that advance GEWE. See CEB 2017 “The United Nations Leadership Framework” for more details.

The UN-SWAP criteria UN entities should demonstrate include the following:

- Meet requirements: *“Senior managers internally and publicly champion gender equality and the empowerment of women.”*
- Exceed requirements: *“Senior managers proactively promote improvements in UN-SWAP Performance Indicators where requirements are not met/exceeded.”*

EVALUATION ISSUES TO CONSIDER

Evaluators should design measures to capture dimensions of political will and leadership’s commitment to promoting GEWE both internally and externally in statements and beyond. While all UN entities have the GM mandate, the level of attention given is ultimately a political choice. Results from a 2012 review of 26 donor GM evaluations by African Development Bank Group (AfDB), [“Mainstreaming Gender Equality: A Road to Results or a Road to Nowhere?”](#), found that leadership, political and staff capacity issues were all highlighted as critical elements for more successful GM efforts. Evidence of political commitment to prioritizing GEWE should be tracked, e.g. seeing if internal and external political statements align with dedicated resources and budget lines. Exploration of the following 2016 Evaluation Innovation resource, [“Measuring Political Will: Lessons from Modifying the Policymakers Ratings Method”](#), may be useful for adaptation. Assessing the extent to which staff perceive that leadership promotes GEWE is another important point of triangulation data, which often can be gained through a staff survey.

3.8 UN-SWAP Indicator 8: Gender-responsive Performance Management

Gender equality and cultural sensitivity must be integrated as a core competency for all UN staff. Moreover, to be more effective at enhancing attention to GM and GEWE, incentives or systems of recognition should be put in place.

The UN-SWAP criteria UN entities should demonstrate include the following:

- Meet requirements: *“Assessment of gender equality and the empowerment of women integrated into core values and/or competencies for all staff, with a particular focus on levels P4 or equivalent and above.”*
- Exceed requirements: *“Assessment of gender equality and the empowerment of women integrated into core values and/or competencies for all staff, with a particular focus on levels P4 or equivalent and above including decision making positions in all Committees, Missions and Advisory Bodies” and “System of recognition in place for excellent work promoting gender equality and women’s empowerment.”*

EVALUATION ISSUES TO CONSIDER

Evaluators should understand the extent to which incentives are in place and functioning, as well as explore how performance management systems are working or not to promote GEWE in the institution. The [2012 AfDB research](#) found that leaders often failed to prioritize gender mainstreaming because of multiple competing priorities, such as the internationally agreed development goals, as well as the lack of clear accountability standards, incentives and performance management structures. However, senior managers were found to be more responsive when incentives and rewards were attached to GM and GEWE work, e.g. international visibility, additional resources, or opportunities for career advancement.

3.9 UN-SWAP Indicator 9: Financial Resource Tracking

Financial tracking systems to assess the amount of resources dedicated to GEWE and GM must be in place. The UNDG has developed [Gender Marker guidance \(2012\)](#) applicable to all UN system, including its agencies, funds and programmes within their respective organizational mandates to track gender-related resource allocation and expenditure, including through the promotion of the use of gender markers to promote GEWE.

The UN-SWAP criteria UN entities should demonstrate include the following:

- Meet requirements: *“Financial resource tracking mechanism in use to quantify disbursement of funds that promote gender equality and women’s empowerment.”*
- Exceed requirements: *“Financial resource tracking mechanism in use to quantify disbursement of funds that promote gender equality and women’s empowerment” and “Results of financial resource tracking influences central strategic planning concerning budget allocation.”*

EVALUATION ISSUES TO CONSIDER

Evaluators should assess the effectiveness of financial tracking mechanisms in ensuring funding for GEWE and GM work. In an evaluation of institutional GM, evaluators could look at whether or not the establishment of the financial resource tracking system had an impact on financial resource allocation over time and explore if there are links between greater resources and progress in programmatic results in GEWE.

Research has shown that clear financial benchmarks and tracking mechanisms can contribute to strengthening GEWE investment and accountability.¹⁷ Many agencies have already developed Gender Marker systems, e.g. IFAD, UNDP, UNICEF, and UNFPA to track financial allocations and GEWE contributions to outputs or results. However, tracking financial allocations is not enough to ensure adequate attention to implementation of GM. The [UNDG Gender Equality Marker Guidance note](#) published in 2012, offers some standards for UN agencies in tracking financial allocations to GM and GEWE initiatives. See Annex 3 for a sample of the UNDG standards.

17 UN Women. 2015b. Ibid.

ECOSOC ENDORSEMENT OF GENDER MARKERS

“Applying gender markers to institutional programming and financing instruments is a good practice adopted by the UN system. The gender markers have shown effectiveness in mobilizing and coordinating financing towards realizing women’s rights. They also help improve the effectiveness of development assistance and more broadly improve the design and implementation of programmes. Nevertheless, the ability of the UN system to systematically assess gender-related resource allocation and expenditure continues to be limited by the existing financial mechanisms. Inadequate coding, lack of systematic reporting, and incomplete data continue to challenge the implementation of gender markers and the definition of a system-wide tracking mechanism that allows aggregation and comparability.”

3.10 UN-SWAP Indicator 10: Financial Resource Allocation

In order to ensure adequate resources for GEWE and GM, UN entities must establish a financial benchmark for resource allocation in all of its budgets, including HQ, regular, core and extra-budgetary resources.

Under this UN-SWAP criteria UN entities should demonstrate include the following:

- Meet requirements: “*Financial benchmark for resource allocation for gender equality and women’s empowerment mandate is met.*”¹⁸
- Exceed requirements: “*Financial benchmark for resource allocation for gender equality and women’s empowerment mandate is exceeded.*”

EVALUATION ISSUES TO CONSIDER

Evaluators should review the use of the financial benchmark to support leadership’s and management’s budgeting decisions over time. Evaluators should assess the extent to which funding trends related to GM and GEWE standalone work has changed over time and assess the extent to which there is connection between the establishment of the benchmark system and actual allocation trends (i.e., increasing or decreasing over time). The evaluation should also explore the alignment of actual financial resource allocation with stated GM policies or plans. An entity’s prioritization of GEWE is evidenced by proxy through financial allocations and benchmarks. This tracking process surfaces difficult decisions about how an entity distributes and prioritizes, often scarce, resources. For example, if an entity’s plan makes considerable mention of its prioritization of GEWE and GM, and yet decreasing trends in resources occur throughout the plan period, there is a priority disconnect, which should be highlighted.

18 UN Women. 2015b. *ibid.*

3.11 UN-SWAP Indicator 11: Gender Architecture

Gender architecture consists of the gender department/unit and staff that support its functioning, such as Gender Focal Points or gender specialists. A well-functioning gender architecture has adequate resources, clear mandates, terms of reference and action plans for staff, adequate training and information and support from senior staff and leadership.

The UN-SWAP criteria UN entities should demonstrate include the following:

- Meet requirements: *“Gender focal points or equivalent at HQ, regional and country levels are: a. designated from staff level P4 or equivalent and above for both mainstreaming and representation of women, b. have written terms of reference, c. at least 20 per cent of their time is allocated to gender focal point functions.”* And, *“Gender department/unit is fully resourced according to the entity mandate.”*
- Exceed requirements: *“Gender focal points or equivalent at HQ, regional and country levels are: a. appointed from staff level P5 and above for both mainstreaming and representation of women b. have written terms of reference c. at least 20 per cent of their time is allocated to gender focal point functions d. specific funds are allocated to support gender focal point networking”* and *“Gender department/unit is fully resourced according to the entity mandate.”*

EVALUATION ISSUES TO CONSIDER

Evaluators should assess the relevance, effectiveness, efficiency and influence of the Gender Focal Points and Gender unit. An important dimension to assessing the effectiveness of the gender architecture is tracking the ability of a Gender Focal Point to have influence on institutional decisions and to do their job effectively with a clear agenda for action. A reflection on whether the Gender Focal Points' have power within the institution is necessary to understand the effectiveness of having Gender Unit and Gender Focal Point(s), i.e., if staff do not have power and influence in the office, then it becomes very difficult to adequately promote and advance important GEWE and GM agendas (this can again point to political will issues). The context must also be taken into consideration in terms of number of Gender Focal Points, their salary grade and management reporting lines, and work load (which could be measured in financial allocation, programmes/projects across the institution, etc.).

3.12 UN-SWAP Indicator 12: Equal Representation of Women

Gender parity focuses on the equal representation of men and women in higher level posts and senior leadership roles. Gender parity is an essential condition for achieving GEWE in the UN system and in each entity.

The UN-SWAP criteria UN entities should demonstrate include the following:

- Meet requirements: *“The entity has reached the equal representation of women for General Service staff and P4 and above levels.”*
- Exceed requirements: *“The entity has reached the equal representation of women for General Service staff and at P4 and above levels, including the senior most levels of representation in Field Offices, Committees, Advisory Bodies and Funds linked to the entity irrespective of budgetary source.”*

EVALUATION ISSUES TO CONSIDER

Evaluators should assess the role of gender parity in contributing to more effective GEWE supportive policies (e.g. flexible work arrangements and parental leave) and/or programming. It is necessary to track changes in parity over time and explore barriers and contributors to equitable representation of women in staff and leadership positions. In the institutional context, while there has been progress made in terms of gender parity numbers across the UN system, the factors that support or inhibit women's promotion and advancement have not been thoroughly explored.¹⁹ Gender parity does not necessarily equate with improved approaches to GEWE if leaders do not bring in a gender lens and promote a GEWE approach, which is necessary to institutional transformation. Indeed, men and women leaders should be engaging in the work from a gender responsive and transformative perspective for deeper institutional change to occur.

3.13 UN-SWAP Indicator 13: Organizational Culture

A positive and supporting organizational culture has been identified as a key enabler in the promotion of gender equality and the empowerment of women. As the [UNEG UN-SWAP technical note](#) highlights, organizational culture includes, “*as a set of deeply rooted beliefs, values and norms (including traditions, structure of authority and routines) in force within the institution; and a pattern of shared basic assumptions internalized by the institution. This is materialized in the following: Ways in which the institution conducts its business, treats its employees and partners; Extent to which decision-making involves workers (irrespective of rank, grade or opinion) and power and information flows (formal and mostly informal); Commitment of workers towards collective objectives.*” The ILO has developed a [participatory audit tool](#) that many have implemented across the UN and other agencies.

The UN-SWAP criteria UN entities should demonstrate include the following:

- Meet requirements: “*Organizational culture fully supports promotion of gender equality and the empowerment of women.*”
- Exceed requirements: “*ILO Participatory Gender Audit or equivalent carried out at least every five years.*”

EVALUATION ISSUES TO CONSIDER

Evaluators should assess the effectiveness of policies designed to promote an equitable non-discriminatory working environment, such as no sexual harassment or no gender, racial, ethnic or sexual orientation discrimination. Evaluators can also explore office norms, such as feeling respected and having equal power and influence in the office, and work-life balance. Having policies in place is the first step. However, often even more important is ensuring an organizational culture that is supportive of the use and full implementation of those policies. For example, if flexible work arrangements are available, to what extent are they being used? What sort of barriers might exist to full-use of existing policies?

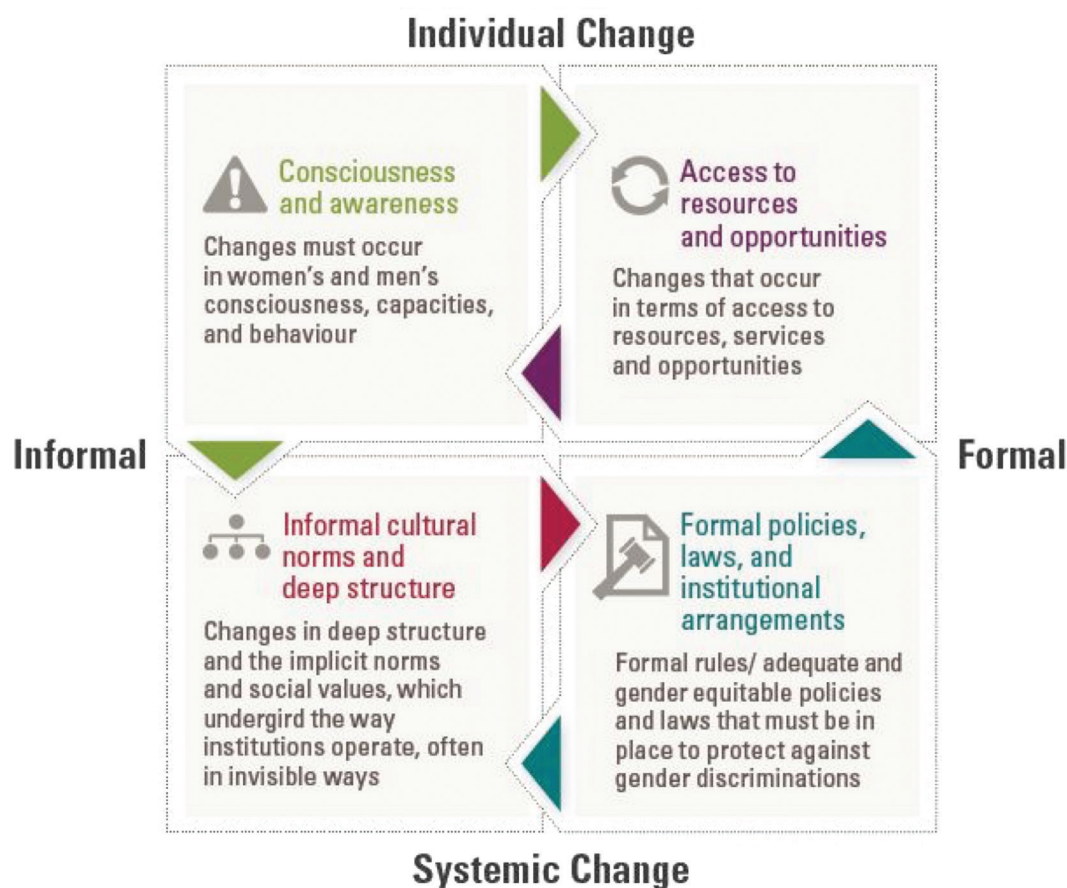
(continued)

¹⁹ UN Women. 2015a. Ibid.

Assessing where there are areas of support and resistance for GM in the institutional culture is important. Unspoken resistance to GM or seeing it as a 'checking the box activity' threatens the potential for achievement of GEWE.²⁰ Deeper structural transformations of office culture and norms about whose work and voice are valued and respected are necessary.

Agencies have begun to track issues related to office and institutional culture in global staff surveys, which can be analyzed over the time-span that the evaluation covers to identify patterns. It is important to consider context when analyzing organizational culture, such as linking changes in leadership (both within the entity and Secretary General for example), changes in UN-wide policies, etc. Evaluators may also want to use tools to assess the normative dimensions of institutional change, such as the [Gender@Work](#) (G@W) framework highlighted below.

Figure 2: G@W Framework



²⁰ Reflecting on experiences with both UNDP's and other international development agencies' gender mainstreaming work, a source reflects: "Gender is still deeply rooted in personal attitudes and behavior. Although many country programs do address gender in an open and positive way, there are still many occasions where the issue of gender is met by defensiveness, resistance or other emotional behaviour not found in other programmatic areas. It can be very difficult... to unpack the reasons for resistance or reticence. Sometimes it is clear that the persons responsible are just frustrated and insecure because they have not had the resources, support or clear guidance to 'do gender,' but at other times, there may be deeper personal attitudes. This may point to a need to address attitudes and values in training along with more technical issues." As seen in Pittman, Alexandra. 2014. "Fast-forwarding Gender Equality and Women's Empowerment? Reflections on Measuring Change for UNDP's Thematic Evaluation on Gender Mainstreaming and Gender Equality 2008-2013." UNDP IEO Occasional Paper.

USING THE G@W FRAMEWORK

- Option 1:** For an institutional evaluation, a team could document and list all of the changes that occur within the office in each of these four categories, including the normative quadrant.
- Option 2:** Staff (ideally in collaboration with relevant stakeholders) could go through each of the quadrants and identify specific things that need to change in that area in the institution in order to have a gender transformative effect. This list could be then turned into outcomes, and indicators could be created. If this has not been done within the institution before, this would serve as the baseline and in a follow-up evaluation, data could be gathered to assess progress.
- Option 3:** Looking at programmatic results, a team could use the G@W categories to code results. The team would then see concentration of results (in terms of frequency and percent) in each of the areas and see if there were gaps or convergence in certain quadrants.

3.14 UN-SWAP Indicator 14: Capacity Assessment

Many staff do not have the necessary capacity to implement the UN mandate on GEWE and GM, despite commitment to it. Lack of capacity in understanding GEWE issues has been identified as one of the main blockers of progress on GM and GEWE. Assessing staff capacity is a critical step in improving staff performance and leadership's attention to GEWE and GM generally.

The UN-SWAP criteria UN entities should demonstrate include the following:

- Meet requirements: *“Entity-wide assessment of capacity of all relevant entity staff at HQ, regional and country levels in gender equality and women’s empowerment is carried out” and “A capacity development plan is established or updated at least every five years.”*
- Exceed requirements: *“Entity-wide assessment of capacity of all relevant entity staff at HQ, regional and country levels in gender equality and women’s empowerment is carried out” and “A capacity development plan is established or updated at least every three years.”*

EVALUATION ISSUES TO CONSIDER

It is important for evaluators to explore staff’s understanding and application of key GM concepts and tools. Tracking staff capacities and needs, building training opportunities that are meaningful to addressing deeper held values, attitudes, and beliefs and that are connected to the realities in which staff work are all areas that require deeper attention. For example of an assessment tool, see UN Women Training Centre 2016 [“Gender Equality Capacity Assessment Tool.”](#) Time-constrained staff often do the bare minimum to fulfil the bureaucratic requirements

(continued)

of the GM strategy.²¹ But these lower rates of implementation may also be accompanied by a lack of staff understanding of key GM concepts, such as gender analysis or applying a Gender Marker and why it makes a difference to the achievement of development results.²² Disentangling these issues are important in the evaluation. Ways to gain greater understanding of staff capacity could include: to conduct a document analysis of past projects which had gender analysis at the planning and implementation stage and develop a ranking system to assess the quality of gender analysis and understanding of key GEWE issues, or to conduct a reliability review of past project ratings for the Gender Marker.

3.15 UN-SWAP Indicator 15: Capacity Development

GEWE training should be mandatory for all staff with additional training offered for Gender Focal points, specialists, and managers.

The UN-SWAP criteria UN entities should demonstrate include the following:

- Meet requirements: *“Ongoing mandatory training for all levels of entity staff at HQ, regional and country offices.”*
- Exceed requirements: *“Ongoing mandatory training for all levels of entity staff at HQ, regional and country offices”* and *“Senior managers receive tailored training during orientation.”*

EVALUATION ISSUES TO CONSIDER

Evaluators should assess the effectiveness of trainings and capacity development opportunities. Too often the outcomes of trainings are not tracked, only the outputs related to rates of staff participation. Ultimately this is not useful for understanding what is working and not in terms of training processes and identifying barriers to effective GM implementation. Some examples of methods for assessing the effectiveness of trainings could be implementing pre- and post-surveys assessing shifts in knowledge and application of key GEWE concepts or conducting interviews or focus groups to get a sense of how effective the trainings were and how, if at all, the content from the trainings has influenced staff's work.

21 A 2012 review of 26 donor GM evaluations by African Development Bank Group (AfDB), *“Mainstreaming Gender Equality: A Road to Results or a Road to Nowhere?”* found that while GM tools and policies existed across donor agencies, actual implementation was rarer (e.g. only 22 of 26 evaluations had gender analysis sufficiently integrated throughout the project cycle, not just in the project design phases). Some organizations felt that doing this type of analysis was a “luxury”, “add-on” a “burden” or a “problem to address.” In many cases, new practices or tools would be introduced, and use would be high at first before tapering off.

22 UN Women 2015a. Ibid. review underscored that *“staff’s perception of the relevance of gender mainstreaming is strengthened when gender equality policies clearly articulate a link between GEEW results and the entity’s overall development results.”* Also see Evaluation Cooperation Group (ECG) 2012 analysis.

3.16 UN-SWAP Indicator 16: Knowledge and Communication

The UN system commits to ensuring efficient GEWE knowledge and data sharing related to tools, best practices and methods. This includes participation in inter-agency knowledge sharing activities.

The UN-SWAP criteria UN entities should demonstrate include the following:

-  Meet requirements: *“Knowledge on gender equality and women’s empowerment is systematically documented and publicly shared” and “Communication plan includes gender equality and women’s empowerment as an integral component of internal and public information dissemination.”*
-  Exceed requirements: *“Knowledge on gender equality and women’s empowerment is systematically documented and publicly shared”, “Communication plan includes gender equality and women’s empowerment as an integral component of internal and public information dissemination” and “Entity is actively involved in an inter-agency community of practice on gender equality and the empowerment of women.”*

EVALUATION ISSUES TO CONSIDER

Evaluators should track the disbursement patterns and influence of GEWE knowledge and communication products in the field. Evaluators can leverage social media and network analysis methods to track the dissemination and reach of key institutional publications on GM and GEWE (e.g. through downloads or surveys of users). Using methods that for example track Twitter retweets and Facebook shares can show where nodes of influencing power are and what types of publications and what issues are promoted the most across different sectors. Tools such as [NodeXL](#) can be useful for this purpose.

3.17 UN-SWAP Indicator 17: Coherence

Inter-agency participation and collaboration enhances coherence and consistency of practice across diverse UN entities. The main UN network related to GEWE coordination is [the Inter-Agency Network on Women and Gender Equality](#). Peer reviews help to strengthen the quality and accuracy of UN-SWAP reporting and identify performance gaps.

The UN-SWAP criteria UN entities should demonstrate include the following:

-  Meet requirements: *“Participates systematically in inter-agency coordination mechanisms on gender equality and the empowerment of women” and “Participates in UN-SWAP peer review process.”*
-  Exceed requirements: *“Participates systematically in inter-agency coordination mechanisms on gender equality and the empowerment of women”, “Participates in UN-SWAP peer review process” and “Supports implementation of at least one UN-SWAP Performance Indicator in another entity.”*

EVALUATION ISSUES TO CONSIDER

Evaluators should uncover the strategic value and impact of partnerships, joint programming and coordination mechanisms. Evaluators can assess the extent to which duplication of efforts is reduced through inter-agency collaboration or not, identify the extent to which collaborations are drawing on each partner's unique comparative advantage or not, and explore any challenges or opportunities that affect the implementation of GEWE work.

Some examples of methods that could be used to gather this information could be standard interviews or an interactive focus group exercise with a network identifying the comparative advantage of different members' expertise and highlighting any tensions and facilitating factors that affect the implementation of the shared work. The added benefit of embedding a participatory exercise such as this in an evaluation is that it helps strengthen the network and their strategic reflection and planning processes as well. The evaluation exercise is not extractive, but rather gives back to communities (an important principle in a feminist approach to evaluation).

4. GENERAL ISSUES TO CONSIDER WHEN EVALUATING INSTITUTIONAL GENDER MAINSTREAMING

The following general issues are relevant to any institutional GM evaluation and should be addressed by evaluation managers and evaluators.

4.1 Operational Definitions

In many cases, UN entities may have plans and objectives to advance GM. However, they may not have an existing typology for different types of gender results. Without proper guidance, staff may then select gender outcomes and indicators for plans, policies, or programmes that are primarily focused on gender balance (the number of men and women) rather than gender responsiveness (the response to the differential needs of men, women, and transgender persons) and gender transformation (the shifts in norms, power, institutions, and relationships). The lack of valid operational definitions prevents an accurate assessment of the effectiveness of the entity's GM policy, strategy or programme. It is therefore critical to select appropriate operational definitions for the entities' gender results to ensure that they measure what was intended to be measured as set out in the entity's policy, programme, or strategy. For example, the Gender Results Effectiveness Scale (GRES) discussed earlier provides a five-point scale of different levels of effectiveness, ranging from less effective to more effective: gender negative, gender blind, gender targeted, gender responsive, and gender transformative. The operational definition of gender results in this case is the entity's score on the scale. See Section 3, UN-SWAP Indicator 3 on page 17.²³ Once this is done, then valid and reliable indicators and appropriate data collection methods can be developed.

4.2 Gender Analysis

Gender analysis is one of the most misunderstood tools. When used properly, it can have the most influence on the quality of GEWE evaluations. Too often people think that gender analysis is a technical 'checking the box' exercise to be done at the beginning of a planning process only. However, gender analysis should be an integral lens that evaluators consistently return to in order to contextualize the policy interventions, programmes, monitoring and evaluation processes and their results.²⁴ In the programme context, not using GM tools such as gender analysis jeopardizes the equitable distribution

23 There is a difference between results of increased women's participation in the labour force as a bricklayer in terms of if their participation was just based on a quota and ensuring equal numbers of men and women were involved in the initiative (50/50 or 70/30) (gender targeted) or if women were trained as bricklaying skills and gained specific skills and increased access to jobs to lift them out of their unique adverse conditions (gender responsive) versus an approach that aims to change the conditions of women's unequal power and resources in this field, by training her in job skills, budgeting, and confidence, engaging men in the field in trainings to reduce gender stereotypes around leadership and hireability, and support building of women's control and access to income and other opportunities (gender transformative).

24 UN Women (2015a) *ibid.* underscored the need for gender analysis to be integrated in strategic planning and country programme documents.

DEFINITIONS OF GENDER ANALYSIS

Gender analysis identifies, assesses and informs actions to address inequality that come from: 1) different gender norms, roles and relations, 2) unequal power relations between and among groups of men and women, and 3) the interaction of contextual factors with gender such as sexual orientation, ethnicity, education or employment status. (Source: WHO)

Gender analysis is a tool for identifying and addressing the different impacts of a policy, programme, action and initiative on women and men. The goal of gender analysis is to portrait in detail the social processes, gaps, differences, and similarities in the situation of women and men in a particular sector. Additionally, the tool helps ensure that proposed development interventions equally meet women's and men's needs and have beneficial impact on gender equality situation in general. (Source: UNDP)

of benefits among diverse social groups. Evaluation managers should be judging the quality of the evaluations and the evaluators that they hire based on the strength of their gender analysis and ability to infuse a gender lens throughout the evaluation process and product. In addition, too often UN evaluations lack gender analysis at the planning, implementation and evaluation stages, which means that evaluators are left without a baseline to compare results to, constraining assessment of progress. See Annex 4 for some basic gender analysis questions. See Annex 6 for sample context-related data to be collected in different areas, such as climate change, post-conflict and infrastructure programmes.

Gender analysis should be aligned with the objectives of individual evaluations. For example, if the aim of gender policy or strategy is to make transformative shifts in the institutional culture so that women have equal status and influence as men, then methods and indicators to capture the transformative

dimension of this change as well as potential barriers to achieving this outcome must be developed and employed. Moreover, the evaluator must use a transformative gender lens to interpret the data and results to make the call if the policy/strategy objectives have been achieved.

Gender analysis should also be intersectional to correctly identify target groups and assess the extent to which results were effective across different statuses. For example, analyzing how diverse identities—such as race, class, ethnicity, sexual orientation, ability status, religion, gender—intersect to deepen marginalization, oppression and discrimination in different contexts, institutions, or relationships must be accounted for in order to see if the policy, strategy or programme had any impact in increasing equality, access, or power in different contexts. This is particularly important in the context of the Sustainable Development Goals (SDGs), where the focus on reduced inequalities requires an intersectional lens. Annex 6 provides an overview of key datasets that can be used to contextualize gender inequalities and positive conditions to scope a policy, programme, or project's strategic intervention areas.

4.3 Link Between Gender Mainstreaming Policies and Achievement of Development Results

Entities should be making explicit the underlying theories of change and the links between gender mainstreaming policies and development results. The important thing is to unearth the assumptions and links—ideally this should be done at the programme/policy design phases and integrated into a monitoring and evaluation (M&E) system. In order to explore the extent to which there is a link between policies and development, evaluations should include at least one question exploring this link. For examples of a Theory of Change (TOC) see Annex 7.

4.4 Use of Evaluation and Audit Results

Too often the results from an evaluation, UN-SWAP assessment or audit process are not used strategically by the entity to improve practices, programmes, or policies. In an evaluation context, the use and integration of past evaluations, UN-SWAP results or audits should be explored. Evaluators should assess the extent to which the results have been used internally, if at all and what sort of gains, rollbacks, and learnings have occurred.

4.5 GEWE in Crisis Context and Humanitarian Situations

Fully considering the gender dimensions of conflict and humanitarian situations is necessary. In conflict and humanitarian situations women experience higher rates of gender-based violence and sexual violence than men, and women's security is more at risk than men's, e.g. given the placement of roads, lights, toilets, and water. Some of these analysis issues were highlighted in Annex 5 in relation to gender analysis and should be considered by evaluators assessing programme benefits and effectiveness.

5. SUMMARY STEPS FOR EVALUATIONS OF INSTITUTIONAL GENDER MAINSTREAMING

This section briefly summarizes practical steps to support evidence gathering on institutional evaluations of GM in alignment with the evaluative framework discussed.

STEP 1

Scoping phase: Gather existing data and resources and compare with UN-SWAP framework to determine what other data collection is needed.

- a. Engage in stakeholder analysis to gain better understanding of the key actors, context and narrow the evaluation scope.
- b. Establish a reference group that will provide feedback at key stages. It is important to consider how the Gender Focal Point/Unit will be engaged in the evaluation.
- c. Collect gender mainstreaming policy, strategic plan, tools, and any other key documents.
- d. Collect all evaluations, monitoring data and reports, programme documents, and previous UN-SWAP reports, including comparative performance analysis provided by UN Women.
- e. Gather data on resources allocated (Gender Marker data if it exists) to different projects/programmes/architecture for standalone and gender mainstreaming work.
- f. Gather relevant staff survey data and identify what else should be asked from an institutional culture perspective and what other data collection methods might be utilized.

STEP 2

Terms of Reference: Establish evaluation scope, criteria, questions and methodological design.

- a. Determine the evaluation scope – for example whether it will address institutional aspects of GM, programmatic aspects, or both. The scope of the evaluation will change based on the type (formative vs summative) and its aims as described in Section 2.
- b. Establish the overarching evaluation framework, identifying important elements from the institutional GM plan and framework and the UN-SWAP framework.
- c. Draw from design resources established in this guidance note, as well as other existing UN guidance,²⁵ e.g. to establish the evaluation framework and methods.

25 Institutions may also have their own guidance for gender-responsive evaluation to draw upon. Evaluators could use steps outlined in UNEG “[Integrating Human Rights and Gender Equality in Evaluations](#)” (2014 & 2011) and UN Women “[How to Manage Gender Responsive Evaluation: Evaluation Handbook](#)” (2015a) for example.

- d. Reconstruct or elaborate upon the TOC, as necessary. Many GM policies and plans have articulated TOCs to surface underlying assumptions about why the policy interventions should achieve intended institutional and/or development outcomes. If the plan does not have a TOC, evaluators may wish to reconstruct one to guide the evaluation data collection and analysis efforts.
- e. Establish criteria to hire an evaluation team with strong gender expertise and technical area expertise.

STEP 3

Primary data collection is conducted through diverse means, such as country and field visits, interviews, focus groups, surveys, or other participatory methods.²⁶

- a. Conduct analysis of the GM plan or policy, establishing a Theory of Change where one doesn't exist.
- b. Conduct gender analysis throughout the evaluation— from context setting to interpretation of results and recommendations. Compare results to the baseline obtained from gender analysis in the planning phases.
- c. Collect and analyze data on outcomes using diverse and mixed methods, some examples could include:
 - Conduct focus groups or use other participatory methods, such as [Most Significant Change](#) or [Outcome Harvesting](#) with staff around institutional culture to explore results and resistance to and accelerators of progress.
 - Conduct a participatory capacity assessment of GM tools and concepts with staff.
 - Develop surveys/interview protocols to address key institutional GM issues, e.g. political commitment, influence of Gender Focal Points and gender staff, institutional culture, progress toward development results.
 - Compile a results database and consider applying the GRES, G@W framework or another coding schema to track the type of gender results achieved. To narrow the sample, analyze a sample of data with different Gender Marker ratings or stratify the sample based on regional representation, thematic area, populations, or any other criteria that is relevant to hold constant.
 - Engage in a comparative analysis with other UN entities around UN-SWAP performance, Gender Marker, Gender Parity, or staff culture issues. [UN Women regularly reports on these issues to the ECOSOC](#) and provides factsheets to UN entities.

STEP 4

Draft a report that goes beyond stating outputs: Use the report to address the evaluation questions, and when applicable, links between institutional gender mainstreaming and development results.

26 See Pittman. 2014. Ibid. for a diverse list of data collection tools for GEEW work.

STEP 5

Participatory validation: Engage staff and key stakeholders in discussions on the preliminary results to identify gaps, omissions and misinterpretations of information.

STEP 6

Facilitate learning and integrate results into the institution: As a learning and accountability tool, share with staff the results and specific action steps for improving attention to GEWE. A management response should be prepared by the organization and ideally presented to the Executive Board or equivalent. Internal and external learning conversations with relevant stakeholders should be a result of the evaluation, so leadership and staff can strategize on how to improve prioritization of GEWE in resources, policies and practices at the operational, institutional, and programmatic levels.

STEP 7

Disseminate and communicate evaluation results.

6. CONCLUDING REMARKS

This document provides insights and a basic evaluation framework (i.e. UN-SWAP framework elaborated with evaluation indicators) that evaluation managers and evaluators can adapt and use as a base for developing any GM evaluation. The guidance is not meant to be prescriptive, but rather offers deeper understanding of key gender concepts that all strong GM and GEWE evaluations should address at a bare minimum. From this base, evaluators should be creative in designing and adapting the evaluation framework to the unique entity, its policy/plan/programme and core assessment needs.

This guidance helps to clarify a number of key evaluation issues and areas that should be attended to. It also suggests a common baseline of indicators that if collectively integrated across UN entities would generate a stronger evidence base on institutional GM and GEWE outcomes. In particular, it is essential for evaluators and evaluation managers (in order to hire well and provide appropriate feedback throughout the process) to fully understand and apply key principles of strong gender analysis throughout the evaluation process—from context analysis, design, data collection, data analysis and interpretation of results and recommendations. Engaging in institutional GM and GEWE work, involves challenging existing power structures, resource allocations and relationships. As such, when UN entities set the benchmark in their policy or plans to explicitly work towards achieving transformative results, it requires an evaluation framework which takes power and social norm changes seriously. This can only be done through clear operational definitions that can distinguish transformative results from other types of results (e.g. responsive, targeted or negative) and by also including meaningful indicators that can capture norm change and power shifts. Finally, any evaluation results must be contextualized to understand the broader mechanisms and processes involved in progress, challenges, backlash or reversals. This aids in better understanding of the relevance and effectiveness of strategies in different contexts and can offer insights into improving policies and plans in the future, ultimately supporting forward momentum on achieving GEWE and better GM practices. The stronger evidence base yielded by entities using the UN-SWAP framework elaborated for evaluation work will ultimately aid in coherence across the UN and allow for greater clarity and assessment of key gaps, strengths and results across and within UN entities.

ANNEX A

Annex 1: Sample Gender Mainstreaming Evaluation Questions

A. World Bank (2010): Gender Policy Evaluation Questions

Relevance and appropriateness of the Bank's gender policy:

- To what extent is the World Bank's policy resulting in the "right" gender issues (that is, issues relevant for poverty reduction and economic growth, as noted in OP/ BP 4.20) being adequately addressed at the country level?

Integration of gender into Bank support:

- To what extent did the Bank implement its 2001 Strategy and OP/ BP 4.20?

Results of the policy:

- To what extent has the Bank contributed to documented results in reducing gender disparities and enhancing women's empowerment in selected countries?
- To what extent has the Bank supported the development of gender-disaggregated data in client countries in these areas?
- What has worked well? What needs to be strengthened?

B. ILO (2014): Guidance Note on Integrating GE into Monitoring and Evaluation of Projects

Relevance and strategic fit:

- Does project align with ILO's mainstreaming strategy on gender equality and make explicit reference to it?
- Does project align with national gender-related goals?
- Was a gender analysis included during the initial needs assessment of the project?

Validity of design:

- Did the project design adequately consider the gender dimension of the planned interventions?
- Was a needs analysis and/or baseline study carried out that specifically address gender issues?
- Do the project objectives and outcomes adequately include gender concerns?
- Is the project strategy adapted to the identified needs and capacities of female and male partners and beneficiaries?
- To what extent are the output and outcome indicators of the project gender-inclusive?

Project progress and effectiveness:

- Are women and men likely to benefit differently from project's activities?
- Do results (outputs and outcomes as effects of activities) affect women and men differently? If so, why and in which way?
- Do results (effects of activities and outputs) affect women and men differently? If so, why and in which way?
- What effects (expected/unexpected) are the interventions likely to have on gender relations?
- In which way do the project's outputs and outcomes contribute to gender equality?
- Did the project achieve its gender-related objectives?
- What kind of progress was made, what were the obstacles?
- Were the project's political and implementing partners (ILO's constituents and others) aware of ILO's and the project's gender-related objectives?
- Were they sensitized and trained on gender issues?
- Which alternative strategies towards gender equality would have been possible or are still possible?

Adequacy and efficiency of resource use:

- How much resources were spent on male and female beneficiaries?
- How does this compare to the results achieved for men and women?
- Were resources (funds, human resources, time, expertise etc.) allocated strategically to achieve gender-related objectives?

Effectiveness of management arrangements:

- Does the management team have adequate gender expertise?
- Was technical backstopping sought and received from gender specialists when needed?
- Did the project make strategic and efficient use of external gender expertise (e.g. consultants) when needed?
- Were ILO gender guidelines and tools used where available?
- Does the project have an M&E system in place that collects sex-disaggregated data and monitors gender-related results?
- Did the project communicate effectively its gender-related objectives, results and knowledge?

Impact orientation and sustainability:

- What are the possible long-term effects on gender equality? Are the gender-related outcomes likely to be sustainable?

C. UNDP (2015): Evaluation Questions and Sub-Questions

Has UNDP contributed to gender equality and women's empowerment development results?

- How effective has UNDP been in contributing to development results being gender responsive?
- To what extent has UNDP contributed to development results being gender transformative?
- What is UNDP's value added in promoting GEWE results?
- How has UNDP used partnerships to promote GEWE at global, regional and national level?

Has UNDP integrated gender equality across the institution at the programme, policy, technical, and cultural levels during the period 2008-2013?

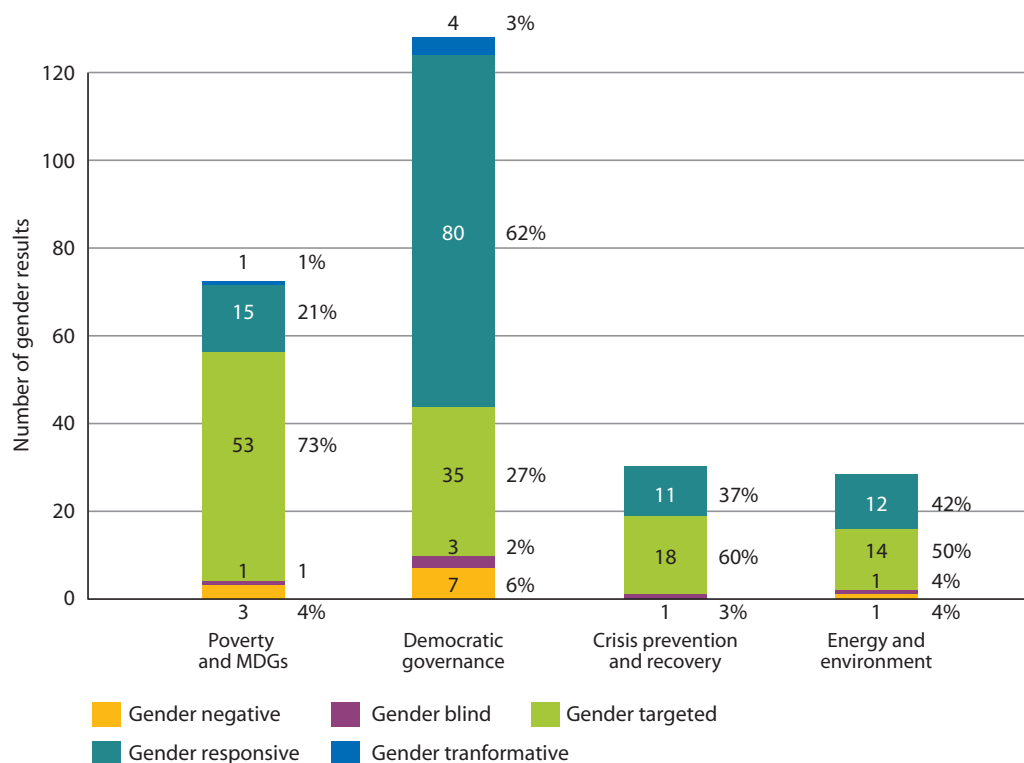
- How effective has UNDP been in implementing gender mainstreaming and contributing to institutional change results?
- How effective has UNDP been in building in-house gender equality capacity and accountability frameworks?
- To what extent is gender equality a priority in the culture and leadership of the organization?

Where have UNDP's institutional change results been the most and least successful in improving gender equality and women's empowerment development results?

- To what extent has UNDP's gender mainstreaming strengthened the link between development results and institutional change?
- What are the key factors contributing to successful GEWE results?
- To what extent has UNDP learned from past evaluation findings to strengthen gender equality results at the programme and institutional levels?

Annex 2: UNDP (2015) Evaluation, GRES Analysis by Thematic Area

Level of effectiveness of gender results from ADR meta-analysis and country visits 2008–2014 — all focus areas



Source: UNDP IEO ADR meta-analysis and country visits

Examples of results along the GRES

	Gender Targeted	Gender Responsive	Gender Transformative
Service Delivery	# of men and women with access to legal aid services # of Gender-Based Violence (GBV) cases receiving judgment	- Legal outcomes favored women's and men's justice - Men's and women's perception of it adequately served/justice	Legal outcomes changed the structure of power and/or norms in a given community
Women's Economic Empowerment	- Increased income through microcredit or loans - Increased # of new businesses operated by women	- Increased financial contribution of women to their families and communities - Increased and sustained businesses operated by women - Increased status in their communities	- Increased power and control over income or increased bargaining and/or decision-making power within the household - Increased mobility of women in the communities
Women's Political Participation	- Increased # of women are elected to office after political participation - Women gained technical electoral and policymaking skills in the programme - Not necessarily gender champions	- More women gender champions are elected to office - Women have strengthened skills and support systems in place to navigate discrimination	- More women gender champions form a critical mass of advocates within and across party lines - Women have equal power and status as men within the political establishment

Annex 3: Gender Marker Examples

UNDG (2012) Gender Equality Marker Standards

Common Standard 1: Unit of analysis

The gender equality marker will be applied to outputs/projects. Given institutional differences, the unit of analysis may vary from entity to entity, but each organization should strive to mark at either an “output” or project level. At a minimum, each agency should rate their outputs annually.

Common Standard 2: Stage of programme cycle

Gender Marker coding is applied in the planning stage and reflected in the approved budget and actual expenditures. Reporting will distinguish between budget allocation and actual expenditure data.

Common Standard 3: Definitions

Entities may adopt different categories of scales to code the extent of contribution to gender equality from different outputs/projects, depending on institutional mandates and structures. However, regardless of institutional differences, each entity must at a minimum be able to provide comparable data to a system-wide report on the number (and related financial value) of projects/outputs that:

- a) Have gender equality and/or the empowerment of women and girls as the **primary** or **principal** objective;
- b) Make a **significant** contribution to gender equality and/or the empowerment of women and girls;
- c) Make a **limited** contribution or **no** contribution to gender equality and/or the empowerment of women and girls.

Coding definitions will be supported by agreed interpretation guidelines common to all entities. The criteria defining each level of coding should be designed to minimize subjectivity in the coding process.

Common Standard 4: Integration into internal financial reporting systems

The gender equality marker will be part of the internal financial reporting system and/or results reporting structures. It will be included as a mandatory element (applying a gender equality marker code to a new initiative will not be optional).

Common Standard 5: Setting the financial benchmark

Each entity is encouraged to set a financial target/benchmark as per the standards within the System-wide Action Plan for implementation of the CEB Policy on gender equality and the empowerment of women.

Annex 4: Sample Gender Analysis Questions and Dimensions

UNDP, “Basics of Gender Mainstreaming.”

Gender analysis will take into account local context and reveal the following information:

- the relationships between men and women
- gendered division of labor and activities
- gender roles, behaviors, and needs
- access to and control over resources by women and men
- gender equality in law and in practice
- different choices that women and men have
- the various opportunities that exist for women and men
- the different constraints that women and men face
- the vulnerabilities that women and men experience
- the different patterns of involvement of women and men
- the different impacts that legislation, cultural practices, policies, and programs can have on women and men

How:

- Collect sex-disaggregated data and use gender sensitive indicators
- Consult different groups of beneficiaries before and during project
- Involve a gender expert

disaggregated data + analysis + gender perspective = gender analysis

Key questions:

- Who are beneficiaries of this intervention: women, men, boys, girls, ages, rural/urban, education?
- Who does what at home and in society in this sector (gendered division of labor)?
- What are expectations from and needs of women and men in society, what are their own experiences, needs and priorities in this sector?
- Is disaggregated statistics available? Are there gender gaps in statistics of this sector?
- Do women and men have equal skills and knowledge and opportunity to use them in this sector?
- What is the access of women and men to information, credit, training, technical assistance, organization, land, tools, and other benefits?
- Is there explicit or implicit discrimination in the law and in practice in this sector?
- How will project overall and each activity impact women and men and gender equality situation?
- Will project generate more equal resources (time, money, opportunities, knowledge, skills) for women & men in target beneficiary group?
- Are there any barriers and constraints (traditional gender roles, lack of skills, legal barriers) that may deter women or men from participating/benefiting? What specific targeting can be done to mitigate such effects?

- Will the planned intervention challenge current barriers to gender equality? Or will it reinforce these barriers? What can be done to mitigate negative effects?

UNWRA, “Gender Analysis Toolkit” (2015: pp.23-36)

Unique checklists of questions to ask in gender analysis for different UNWRA services are provided: including education, income generation, healthcare access, emergency settings, etc. See example below.

Checklist to ensure gender is taken into account:

- Are all statistics disaggregated? Are there area/location with specific gender gaps?
- Who has the right to be registered?
- Who is eligible for services?
- Who collects the information? Is it done in a gender balanced manner? For example, use of male and female social workers.
- Who provides the information? Head of family (female or male)
- Who benefits from cash assistance?
- How different is women’s employment rate as compared to men’s?
- What obstacles do women face in finding employment?
- Do women face restrictions on mobility (physical, cultural, social etc.) that prevent them from accessing all the assistance or employment available to them?
- What kinds of employment do men and women do? Is stereotyping a problem?
- Do men and women receive equal pay for equal work?
- What roles do men and women have in the household? Do cultural expectations of who should work outside/inside the home affect employment in practice?
- Who controls household resources and how are financial decisions made?
- Does working outside the home expose women to sexual harassment/abuse or GBV – either in the workplace or as a result of shifting gender roles in the household?
- Do job-creation schemes represent men and women equally?
- Do poverty-alleviation schemes take into account gender-needs and different kinds of households e.g. female-headed?
- What is the level of organization of women, men, youth etc.? Are the vulnerable using informal networks in the community for support and does this differ by gender?
- Is the time and place services are provided adequate to both genders? Is equal access provided to women and men through CBOs? Is there access for people with disabilities (women and men)?
- Is the social services workforce gender balanced?
- Who takes the management roles in CBOs?

Annex 5: Examples of Data to be Collected for Gender Analysis in Evaluations

Note: This is not a comprehensive list, merely suggestions for evaluators to use as a launching point

Gender and environment related to climate change

Context indicators: Disaggregated data should be gathered on differential risks and effects of climate change for men and women and marginalized groups in given country, region or community, e.g. poverty rates, employment status, wage gaps, vulnerable household status (female headed households) and any social norms that may deepen livelihood risks to environmental threats and disasters related to climate change. Moreover, data should be gathered or inferred from other natural disasters that highlight mortality and violence disparities, e.g. more women dying than men in natural disasters especially in floods and tsunamis, increased rates of gender based violence and sexual violence that often occurs after natural disasters, and the impact of depression/suicides after natural disasters. This data helps to set the context and determine the relevance and effectiveness of the approach in targeting beneficiaries to adequately mitigate risks.

Results analysis: Apply gender analysis to results. Disaggregate result data by gender or other relevant social groups, assess if there was equitable access to and understanding of mitigation system and if so, by whom, which social groups – e.g. were there class, gender, literacy, ethnic differences to access? If there was an employment/income generation aspect to the programme/project: assess gender and other social group disaggregated results in terms of increase in employment rates, increase in income, who controlled income, etc., if gendered division of labor and gender stereotypes were present in the focus of the employment activities, were the positions gained by women continued to be held by women over time or after the project did men take over those positions over time, other perceived social benefits or repercussions based on existing or shifts in gender or social norms, which further explain results, etc.

Post-conflict contexts

Context indicators: Gender disaggregated data should be collected on number of deaths, threats, injury, sexual violence, and displacements, social norms related to women's participation or victimhood in conflict that affect the institutions objectives.

Results analysis: Apply gender analysis to results. Disaggregate result data by gender or other relevant social groups. For example, if programmes/projects were aiming to reduce sexual violence rates, data to track could include number of men and women by social group accessing services (including Gender-Based Violence (GBV) and legal services), quality of services in addressing rights violations, number of GBV cases receiving judgment in the first instance of the formal justice system and non-GBV receiving judgement, formal or informal laws/regulations against GBV, gender sensitive policing or community justice mechanisms, norms related to justice and GBV changing in that community, etc.

Infrastructure development

Context indicators: Current infrastructure and gaps in countries or communities. If relevant gender disaggregated data on infrastructure use exists, include this.

Results analysis: Apply gender analysis to results. Disaggregate result data by gender or other relevant social groups. In infrastructure programmes/projects, gender analysis and mappings should be done to understand which groups primarily access and use the new infrastructure as well as how, why and when, benefits and limitations of new infrastructure compared across men and women, and explore if there are safety and security concerns for men and women as who actually accessed new infrastructure such as water or roads. This is important as often there are additional security risks for women in accessing water, latrines, schools, etc. due to long walking distances, threats of sexual harassment or violence due to placement, low lighting, etc. Some of these infrastructure related issues may also be relevant to humanitarian development.

Annex 6: Gender Databases to Aid in Gender Analysis

Note: First four data sources have been reproduced from IFAD 2017, last 2 additions by author.

The Global Gender Gap Index, prepared by the World Economic Forum, quantifies the magnitude of gender disparities and tracks their progress over time, with a specific focus on the relative gaps between women and men across four key areas: health, education, economy and politics; <http://reports.weforum.org/global-gender-gap-report-2016/>

The Social Institutions and Gender Index, prepared by the Development Centre of the Organization for Economic Co-operation and Development, covers five dimensions of discriminatory social institutions, spanning major socio-economic areas that affect women's lives: discriminatory family code, restricted physical integrity, son bias, restricted resources and assets, and restricted civil liberties; <https://www.genderindex.org/>

The Women's Empowerment in Agriculture Index (WEAI) measures the empowerment, agency, and inclusion of women in the agricultural sector. The WEAI can also be used more generally to assess the state of empowerment and gender parity in agriculture, to identify key areas in which empowerment needs to be strengthened, and to track progress over time; <http://www.ifpri.org/publication/womens-empowerment-agriculture-index>

The Gender Development Index measures gender gaps in human development achievements by accounting for disparities between women and men in three basic dimensions of human development - health, knowledge and living standards using the same component indicators as in the Human Development Index. The Gender Development Index shows how much women are lagging behind their male counterparts and how much women need to catch up within each dimension of human development; <http://hdr.undp.org/en/content/gender-development-index-gdi>

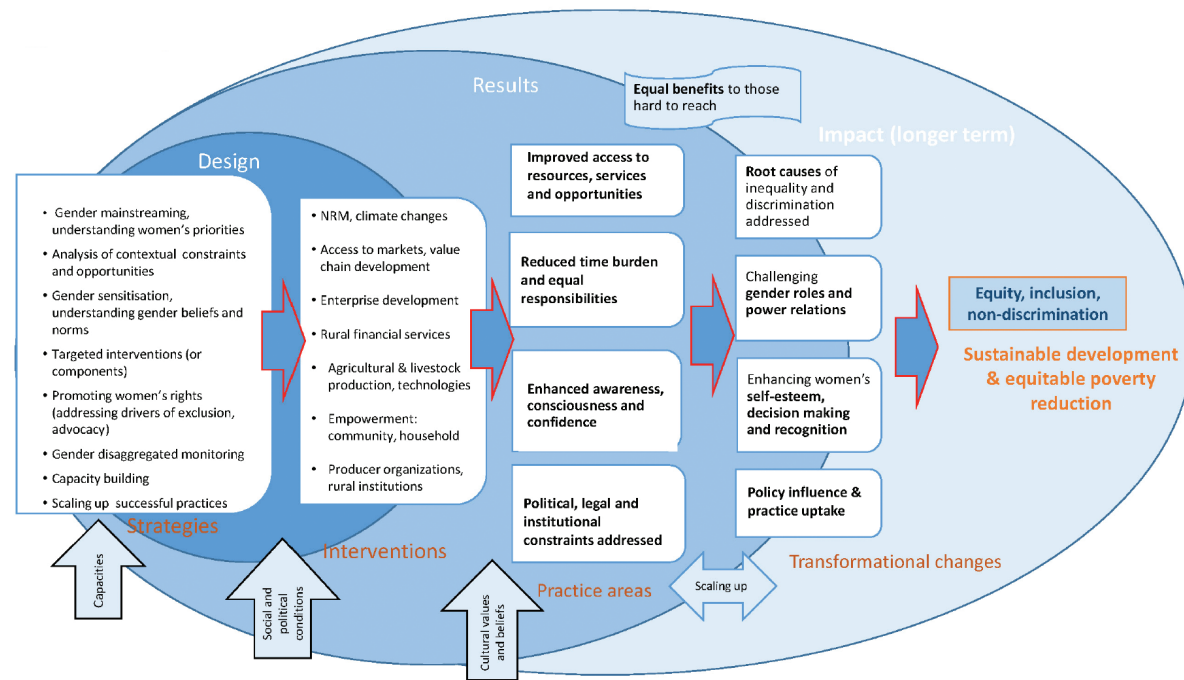
Demographic and Health Surveys (DHS). DHS surveys collect population level data on key demographic indicators, and at times conducts surveys that include data on gender based violence, gender norms, stereotypes, etc. Raw data and reports are online to explore for 90 countries. The reports can be very useful getting deeper insights into specific cultural practices that inhibit women's empowerment and gender equality if data is available; <https://dhsprogram.com/Data/>

CEDAW Reports and Shadow Reports. Includes thorough gender analysis of the context, data collection and evidence around key themes in CEDAW. Provides a strong analysis of core gender equality and women's empowerment issues to consider in a country; <http://www.un.org/womenwatch/daw/cedaw/reports.htm>

Annex 7: IFAD Theory of Change

IFAD's Theory of Change for GM and GEWE (2017: pp. 19-20).

GEWE Theory of Change



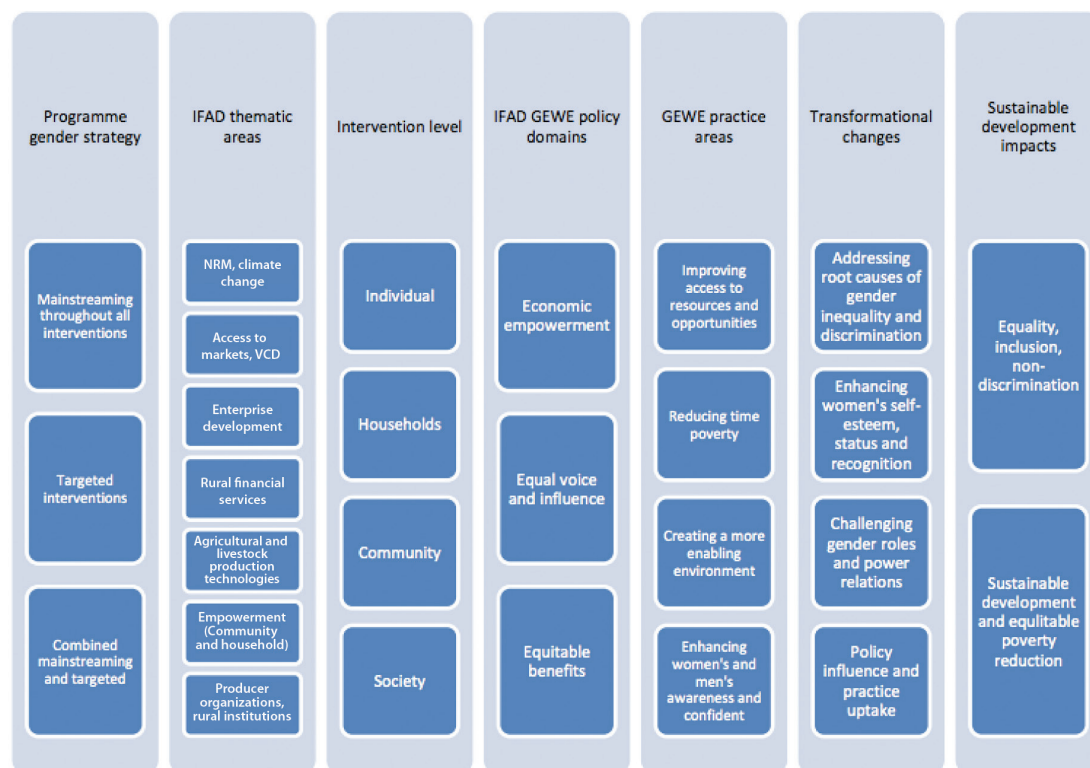
“On the right side, the ToC highlights the ultimate GEWE impact. This is an integral part of sustainable development and equitable poverty reduction, and is IFAD's Strategic Framework Goal. It expands the description, to highlight the more ambitious and transformative nature of the Agenda 2030 goals: a) Equity, which focuses on the conditions of access to assets and opportunities; b) Inclusion, highlighting the multidimensional and ‘deeper’ nature of constraints women face; and Non-discrimination, which describes individuals or (usually) groups being denied opportunities and access.

As is common in a ToC, the impact on the right of the diagram is not measurable, or expected to be measured within the scope of projects or interventions; measurable change is found to the left of the ToC. The pathways indicate there is a likely (reasonable) impact from the interventions to the ultimate goal. GEWE contributes to the ultimate impact in two ways, each considered transformational in the sense of Agenda 2030. First, the ‘no one left behind’ agenda is articulated as providing equal benefits to those hardest to reach: this means reaching women, but also the most marginalized of women, as women do not form a homogenous group, and gender needs to be specific to context, location, ethnicity, etc. This can be through women-specific interventions or components and/or gender mainstreaming, making the reduction of gender inequalities “an integral part of the organization's strategy, policies and operations”. Second, a transformational agenda is not just about benefits to poor women, but is also about addressing the economic, political and cultural barriers of gender inequality. The latter is harder to measure and monitor, and typically requires a deeper analysis of underlying structures and norms of exclusion and discrimination, and often more in-depth gender training of programme and monitoring staff.

These changes are expected to be achieved through measurable changes (stated GEWE results) in four areas: improved access to resources and opportunities; more equal work burden and reduced time poverty of women; increased decision-making power at various levels; and changes in norms and values around gender equality. It is expected that these dimensions (of empowerment) are likely to interact and be inter-dependent. Project results typically do not exist or are not recorded in all areas; in fact, most of the evidence of project results is, as one would expect, in the sphere of access to resources, while evidence from elsewhere highlights, in particular, the need to address women's time burden and constraints simultaneously.

The set of interventions describes elements of the various projects and components of projects; these are elaborated below. The strategies on the left of the ToC describe the various approaches and instruments put in place by IFAD within the various programmes and projects (in line with the policy action areas in the IFAD Gender Policy). This highlights the importance of both gender mainstreaming, and targeted interventions (through projects or project components). It also notes the importance of training staff at various levels, particularly to ensure sensitivity to possible underlying gender discrimination. Society-wide gender constraints and women's rights are not necessarily addressed in projects, but awareness of these is important for successful GEWE interventions. Finally, the ToC stresses the need for monitoring instruments to be disaggregated by gender, as well as cross-cutting axes of exclusion, such as ethnicity, race and location."

Typology of strategies, interventions, practices and results



Annex 8: List of Resources Relevant for Institutional Gender Mainstreaming Evaluations

Samples of Institutional Evaluations of Gender Mainstreaming and Reviews

AfDB. 2012. “Mainstreaming Gender Equality: A Road to Results or a Road to Nowhere?” Synthesis Report. Operations Evaluation Department. AfDB.

Byron, Gabriela and Örnemark, Charlotte. 2010. “Gender Equality in Swedish Development.” Final report. SIDA.

ECG. 2012. “Gender Equality and Development Evaluation Units. Lessons from Evaluations of Development Support of Selected Multilateral and Bilateral Agencies.” ECG Paper #5.

IFAD. 2017. “What works for gender equality and women’s empowerment – a review of practices and results.” IEO.

OECD-DAC. “The DAC Gender Equality Policy Marker.”

Pittman, Alexandra. 2014. “Fast-forwarding Gender Equality and Women’s Empowerment? Reflections on Measuring Change for UNDP’s Thematic Evaluation on Gender Mainstreaming and Gender Equality 2008-2013.” UNDP IEO Occasional Paper.

UNDP. 2015. “Evaluation of UNDP’s Contribution to Gender Equality.” UNDP. IEO.

UNICEF. 2007. “Gender Mainstreaming Self-Assessment.” Synthesis Report.

UN Women. 2015a. “Review of Corporate Gender Equality Evaluations in the United Nations System.”

World Bank. 2010. “An Evaluation of World Bank Support, 2002-2008 Gender and Development.” IEG.

UN Guidance Documents and Methodological Supports for Institutional Evaluations of Gender Mainstreaming

CEB. 2017. “The United Nations Leadership Framework”

Davies, Rick and Dart, Jess. 2005. “The ‘Most Significant Change’ (MSC) Technique.” Funded by CARE, Oxfam Australia, Oxfam New Zealand, Ibis, Lutheran World Relief.

Evaluation Innovation. 2016. “Measuring Political Will. Lessons from Modifying the Policymakers Ratings Method.”

Gender @ Work. “The Gender@Work Framework.”

ILO. 2014. “Guidance Note on Integrating GE into Monitoring and Evaluation Projects.”

Pittman, Alexandra. 2016. “ADR How-To-Note on Gender.” UNDP IEO. Internal Document.

UNDP. 2012. “Assessment of the UNDP Gender Marker. Successes, Challenges and the Way Forward.”

- UNDP. “UNDP Gender Equality Seal. A Guide for Country Offices/Regional Service Centres/Regional Bureaus.” Internal document.
- UNDG. 2012. “Gender Equality Marker Guidance Note.”
- UNEG. 2005. “[Norms for Evaluation in the UN System.](#)”
- UNEG. 2011. “[Integrating Human Rights and Gender Equality in Evaluation – Towards UNEG Guidance.](#)”
- UNICEF. 2010. [Gender Equality Marker – 2010, PPT.](#)
- UN Women. 2014. “[Guidance on the development of gender equality and the empowerment of women policies.](#)” UN Women Coordination Division.
- UN Women. 2015b. “[UN System-wide Action Plan for the Implementation of the CEB Policy on Gender Equality and the Empowerment of Women. Performance Indicators and Technical Notes.](#)”
- UN Women. 2015c. “[How to Manage Gender Responsive Evaluation: Evaluation Handbook.](#)” IEO.
- UN Women. 2016. “UN-SWAP 2.0 Performance Indicators on results and leadership.”
- UNWRA. 2015. “[Gender Analysis Manual.](#)”
- UN Women Training Centre. 2016 “[Gender Equality Capacity Assessment Tool.](#)”
- Wilson-Grau, Ricardo and Britt, Heather. 2012. “[Outcome Harvesting.](#)” Ford Foundation.

ANNEX B. UN-SWAP INDICATORS ELABORATED WITH EVALUATION INDICATORS

THE UN-SWAP 2.0 INDICATOR AREAS APPEAR BELOW:

A. Gender-related SDG results

1. Commitment to gender-related SDG results
2. Reporting on gender-related results
3. Programmatic results on gender equality and the empowerment of women
4. Evaluation
5. Audit

B. Institutional strengthening to support achievement of results

6. Policy
7. Leadership
8. Gender-responsive performance management
9. Financial resource tracking
10. Financial resource allocation
11. Gender architecture
12. Equal representation of women
13. Organizational culture
14. Capacity assessment
15. Capacity development
16. Knowledge and Communication
17. Coherence

The UN-SWAP 2.0 includes indicators for gender related SDG results and institutional strengthening to support the achievement of results (see text box). The first two columns in each of the areas on the following pages include the SWAP requirements for meeting or exceeding expectations. In order to adapt the SWAP framework for evaluation purposes, the next two columns, Evaluation Application and Data Collection Sources, present quantitative and qualitative indicators and data collection sources for that SWAP area that could be included in an institutional or programmatic GM evaluation. Evaluators can use this matrix as a supporting document as they finalize their specific evaluation design according to their entities' evaluation objectives and questions.

A. Gender-related SDG Results

1. COMMITMENT TO GENDER-RELATED SDG RESULTS

Meets requirements	Exceeds requirements	Evaluation Application	Data Collection Sources
1bi. Main strategic planning document includes at least one high level entity result on gender equality and the empowerment of women which will contribute to meeting SDG targets, and reference to SDG 5 targets and	1ci. Main strategic planning document includes at least one high level transformative result on gender equality and the empowerment of women which will contribute to meeting SDG targets, and reference to SDG 5 targets and	Quantitative Indicators Gender analysis in strategic plan (or equivalent) in relation to key SDG areas, including SDG5 The Strategic plan (or equivalent) includes more than one specific outcome/expected accomplishment that contribute to SDG5 The Strategic plan (or equivalent) includes more than one specific indicator on GEEW contributing to SDG5 The introductory section to central strategic planning documents make explicit reference to the ways in which the UN entity will promote GEEW and refer to relevant international normative agreements (e.g. SDGs, CEDAW, Beijing, etc.).	Document review Document review Document review Document review
1bii. Entity has achieved or is on track to achieve the high level result on gender equality and the empowerment of women	1cii. Entity has achieved or is on track to achieve the high level transformative result on gender equality and the empowerment of women	Qualitative Indicators Description of extent to which gender result is gender responsive or transformative Extent to which gender analysis addresses the key GEEW issues as aligned with the organization's comparative advantage and domestic, regional or global realities Gender analysis in SP includes analysis of the roots of inequalities, such as unequal social norms and institutions, power imbalances, and gender stereotypes and bias that sustain gender discriminations seen in the country, region, or international setting	Document review Document review, interviews Document review, external research/databases, interviews with women's rights experts, activists and movement actors

2. REPORTING ON GENDER-RELATED RESULTS

Meets requirements	Exceeds requirements	Evaluation Application	Data Collection Sources
2bi. Reporting to the Governing Body or equivalent on the high level result on gender equality and the empowerment of women which will contribute to meeting SDG targets, including SDG 5 and 2bii. Systematic use of sex-disaggregated data in strategic plan reporting	2ci. Reporting to the Governing Body or equivalent on the high level result on gender equality and the empowerment of women which will contribute to meeting SDG targets, including SDG 5 and 2cii. Systematic use of sex-disaggregated data in strategic plan reporting and 2ciii. Reporting every two years to the Governing Body or equivalent on implementation of the entity's gender equality and empowerment of women policy	Quantitative Indicators Regular reporting to the Governing Body or equivalent on the high level result on gender equality and the empowerment of women contributes to meeting SDG targets, including SDG 5 Entity outcome related data is sex-disaggregated in strategic plan reporting (or rationale for not disaggregating exists) GEEW results are reported on at the outcome level Qualitative Indicators Report includes action plans and strategies to fast forward achievement of GEEW in related Strategic Plan indicators, including SDG 5 targets	Document review Database (entity reporting system) Database (entity reporting system) Document review

3. PROGRAMMATIC RESULTS ON GENDER EQUALITY AND THE EMPOWERMENT OF WOMEN

Meets requirements	Exceeds requirements	Evaluation Application	Data Collection Sources
3b. Programmatic results on gender equality and the empowerment of women are met or on track to be met	3c. Programmatic results on gender equality and the empowerment of women are met or on track to be met and 3ci. Programmatic initiatives consistently include transformative gender equality and the empowerment of women results	Quantitative Indicators Programmatic results on gender equality and the empowerment of women included in programme documents, and the extent to which they are transformative # and % of gender blind, negative, targeted, responsive and transformative results achieved in programme Qualitative Indicators Programmes track and address possible backlash effects of women gaining more resources, access and power. Description of programmatic results on GEEW and if objectives were met Description of factors of success and inhibitors to progress of GM and GEEW Exploration of instances of backlash, reversals of change and resistance (institutionally and programmatically) Extent to which programmes are developed based on a gender analysis that includes analysis of the roots of inequalities, such as unequal social norms and institutions, power imbalances, and gender stereotypes and bias that sustain gender discriminations in the country	Document review, M&E plan Database (entity reporting system) analysis of gender results and additional information from interviews, surveys, focus groups, other evaluations, Most Significant Change, Outcome Harvesting, etc Interviews, focus groups, surveys Interviews, focus groups, surveys and other participatory methods Interviews, focus groups, surveys and other participatory methods Interviews, focus groups, surveys and other participatory methods Document review, external databases

4. EVALUATION

Meets requirements	Exceeds requirements	Evaluation Application	Data Collection Sources
4b. Meets the UNEG gender equality - related norms and standards and applies the UNEG Guidance on Integrating Human Rights and Gender Equality in evaluation during all phases of the evaluation	4c. Meets the UNEG gender equality - related norms and standards, applies the UNEG Guidance on Integrating Human Rights and Gender Equality in Evaluation during all phases of the evaluation, and conducts at least one evaluation to assess corporate performance on gender mainstreaming or evaluation of its gender equality policy/strategy every 5-8 years	Quantitative Indicators Criteria applied to a sample of agency evaluation reports annually: scorecard assesses integration of 5 criteria²⁸: • Evaluation Scope of analysis and Evaluation Indicators ensure GEEW data will be collected • Evaluation Criteria and Evaluation Questions specifically address how GEEW • Gender-responsive Methodology, Methods and Tools, and Data Analysis Techniques • Evaluation Findings, Conclusions and Recommendation reflect a gender analysis • Evaluation of corporate performance on gender mainstreaming or evaluation of its gender policy/strategy is conducted every 5-8 years Evaluation policy integrates GEEW and refers to UNEG norms and standards Extent to which evaluation guidance and training programmes integrate GEEW and refer to UNEG norms and standards # Opportunities for staff learning and capacity development on integrating GEEW in evaluation Evaluation quality assurance systems aligned with UN SWAP # of evaluations of corporate gender mainstreaming that link GEEW institutional results with GEEW development results # of recommendations from evaluations of corporate gender mainstreaming that are followed up on/implemented	Criteria analysis Document review Document review Document review Document review Document review Meeting agendas and notes, document review and interviews, survey

(continued)

27 These are expected to be updated in 2017 for roll-out in 2018 – please see the UNEG website for updates.

4. EVALUATION (continued)

Meets requirements	Exceeds requirements	Evaluation Application	Data Collection Sources
		UN-SWAP results from previous evaluations are shared with key staff involved # of actions and recommendations from UN-SWAP analysis taken up/addressed Qualitative Indicators Description of action steps and results taken from UN-SWAP analysis e.g. • Hiring • Evaluator competencies • Evaluator understanding and application of gender analysis in evaluation • Integration of GEEW and HR principles in methodology	Document review and interviews, survey Document review and interviews, survey Document review and interviews, survey

5. AUDIT

Meets requirements	Exceeds requirements	Evaluation Application	Data Collection Sources
5b. Based on risks assessments at engagement level, internal audit departments have developed tools for auditing gender equality and the empowerment of women related issues (e.g. policy compliance, quality of reporting etc.) and apply these as appropriate in all relevant audit phases	5ci. Relevant gender equality findings are systematically presented in annual reports of the internal audit departments and 5cii. Internal audit departments undertake a targeted audit engagement related to gender equality and the empowerment of women at least once every five years	Quantitative Indicators Annual consultation on risks related to GEEW as part of the risk based audit annual planning cycle. ILO Participatory Gender Audit or equivalent carried out at least every five years Qualitative Indicators % of audit results followed up on and actions taken to support gender mainstreaming and commitment to GEEW	Document review Audit analysis Document review, interviews

B. Institutional Strengthening to Support Achievement of Results

6. POLICY AND PLAN

Meets requirements	Exceeds requirements	Evaluation Application	Data Collection Sources
6b. Up-to-date gender equality and women's empowerment, including gender mainstreaming and the equal representation of women, policies and plans implemented	6ci. Up to date gender equality and women's empowerment, including gender mainstreaming and the equal representation of women, policies and plans implemented and 6cii. Specific senior level mechanism in place for ensuring accountability for promotion of gender equality and the empowerment of women	Quantitative Indicators Gender equality policy and plan of action in place Senior Managers' Compacts include a performance measure for compliance of Gender Policy/strategy reporting requirement	Document review Performance management data
		Qualitative Indicators Gender equality policy/plan is conceptually and operationally linked with corporate strategic plans thereby linking GEEW results with organizations development results with explicit theories of change.	Document review
		Gender equality policy/plan includes the objective to at minimum contribute to gender responsive results, with the aim of towards supporting transformative work.	Document review
		Gender equality policy/plan includes gender analysis which highlights the roots of inequalities, such as unequal social norms and institutions, power imbalances, and gender stereotypes and bias that sustain gender discriminations.	Document review

7. LEADERSHIP

Meets requirements	Exceeds requirements	Evaluation Application	Data Collection Sources
7bi. Senior managers internally and publicly champion gender equality and the empowerment of women	7ci. Senior managers internally and publicly champion gender equality and the empowerment of women and 7cii. Senior managers proactively promote improvements in UN-SWAP Performance Indicators where requirements are not met/exceeded where requirements are not met/exceeded	Quantitative Indicators # and description of public statements on GEEW % senior managers that gave UN-SWAP feedback to relevant parties (staff, evaluators) to improve internal attention to GEEW <i>*See also management related questions in Section 13 from Staff survey</i> Qualitative Indicators Description of results from internal and public promotion of GEEW Extent to which GEEW issues have been adequately addressed by senior leadership and management in terms of office culture Description of unspoken assumptions or resistance to attention to GEEW that you've seen in your office and leadership. Extent to which senior level managers have demonstrated competencies in GEEW	Internal and external communications, document review UN-SWAP feedback Staff survey Interviews, focus groups Interviews, focus groups Interviews, focus groups, staff survey Interviews, focus groups, staff survey

8. GENDER-RESPONSIVE PERFORMANCE MANAGEMENT

Meets requirements	Exceeds requirements	Evaluation Application	Data Collection Sources
8b. Assessment of gender equality and the empowerment of women integrated into core values and/or competencies for all staff, with a particular focus on levels P4 or equivalent and above	8ci. Assessment of gender equality and the empowerment of women integrated into core values and/or competencies for all staff, with a particular focus on levels P4 or equivalent and above including decision making positions in all Committees, Missions and Advisory Bodies and 8cii System of recognition in place for excellent work promoting gender equality and women's empowerment	Quantitative Indicators Core values/competencies integrate GEEW (particularly at P4+) Extent to which respect for diversity is built into the corporate competencies and ethical standards of all job descriptions and vacancy announcements System in place for recognizing excellent performance in promoting GEEW (e.g. gender equality award or allocation of additional resources to units which display excellent performance) Qualitative Indicators Performance assessments review the extent to which the above were achieved Description and results of system in place for recognizing excellent performance in promoting GEEW (e.g. gender equality award or allocation of additional resources to units which display excellent performance)	Job description, hiring criteria Job description, hiring criteria Document review Document review Document review, interviews, focus groups

9. FINANCIAL RESOURCE TRACKING

Meets requirements	Exceeds requirements	Evaluation Application	Data Collection Sources
9b. Financial resource tracking mechanism in use to quantify disbursement of funds that promote gender equality and women's empowerment	9ci. Financial resource tracking mechanism in use to quantify disbursement of funds that promote gender equality and women's empowerment and 9cii. Results of financial resource tracking influences central strategic planning concerning budget allocation	Quantitative Indicators Existence of clear guidelines of staff application for financial tracking mechanism (i.e., Gender Marker) % staff that know the purpose of the financial tracking mechanism for GEEW % staff understand how to apply financial tracking mechanism % staff feel GEEW tracking mechanism is relevant and useful for the organization Qualitative Indicators Staff's perception of usefulness of the GEEW tracking mechanisms Staff's perception of the effectiveness of the tracking mechanism in prioritizing GEEW internally and in achievement of development results Extent to which the financial tracking mechanism has resulted in higher attention to GEEW or higher allocation to GEEW specific programming	Document review Document review Survey, interviews, focus groups Survey, interviews, focus groups Survey, interviews, focus groups Survey, interviews, focus groups Document review, Survey, interviews, focus groups

10. FINANCIAL RESOURCE ALLOCATION

Meets requirements	Exceeds requirements	Evaluation Application	Data Collection Sources
10b. Financial benchmark for resource allocation for gender equality and women's empowerment mandate is met	10c. Financial benchmark for resource allocation for gender equality and women's empowerment mandate is exceeded	Quantitative Indicators Financial target is set and achieved for meeting its GEEW mandate (as identified in the Strategic plan or equivalent) in all of its budgets, including HQ, regular, core and extra-budgetary resources Financial resource tracking mechanism in use to quantify disbursement of funds that promote GEEW Total amount and % increase of resources in gender mainstreamed and GEEW programmes and projects year to year up to benchmark Total amount % increase of investment in gender responsive and gender transformative results from year to year up to benchmark Qualitative Indicators Extent to which tracking mechanisms influences budgeting practices and processes in the entity	Document review Financial analysis/database Financial analysis/database Financial analysis/database Interviews, focus groups

11. GENDER ARCHITECTURE

Meets requirements	Exceeds requirements	Evaluation Application	Data Collection Sources
11bi. Gender focal points or equivalent at HQ, regional and country levels are: a. appointed from staff level P4 and above for both mainstreaming and representation of women b. have written terms of reference c. at least 20 per cent of their time is allocated to gender focal point functions and 11bii. Gender department/unit is fully resourced according to the entity mandate	11ci. Gender focal points or equivalent at HQ, regional and country levels are: a. appointed from staff level P5 and above for both mainstreaming and representation of women b. have written terms of reference c. at least 20 per cent of their time is allocated to gender focal point functions d. specific funds are allocated to support gender focal point networking and 11cii. Gender department/unit is fully resourced according to the entity mandate	Quantitative Indicators # and % of gender focal point/equivalent at HQ, regional, and country levels appointed at P4 level or higher # and % of gender focal point/equivalent at HQ, regional, and country levels P3 level or lower # and % of gender focal points with 2 or more years of experience in gender # and % of Gender Focal Point with direct reports to senior management # and % of dedicated gender specialists in Country Offices. Gender focal point/equivalent has a written TOR and action plan Gender focal point/equivalent spends at least 20 percent of their time on gender focal point functions Specific funds are allocated to support gender focal point networking Gender department/unit is fully resourced according to the entity mandate Qualitative Indicators Evidence of gender focal point influence and power in the office Extent to which existence of a gender focal point improves or not the attention to GEEW or quality of the attention to GEEW	Human resource database Human resource database Survey Survey Human resource database Survey Survey Financial database Financial database Interviews, surveys Interviews, surveys

12. EQUAL REPRESENTATION OF WOMEN

Meets requirements	Exceeds requirements	Evaluation Application	Data Collection Sources
12b. The entity has reached the equal representation of women for General Service staff and P4 and above levels	12c. The entity has reached the equal representation of women for General Service staff and at P4 and above levels, including the senior most levels of representation in Field Offices, Committees, Advisory Bodies and Funds linked to the entity irrespective of budgetary source	Quantitative Indicators Gender parity plan in place Gender parity plan addresses key institutional barriers to women's professional advancement (policies, normative, gender stereotype/bias levels) # and % representation of women General Service staff compared to men increased year by year to target rate # and % representation of women at P4 – P5 including the senior most levels of representation in Field Offices, Committees, Advisory Bodies and Funds linked to the entity irrespective of budgetary source increased year by year to target rate # and % representation of women in D-1 and D-2 compared to men increased year by year to target rate # and % representation of women in Assistant Secretary General in entity compared to men increased year by year to target rate Accountability system in place: Senior managers (in the Secretariat) must report annually through the Senior Manager's Compacts with the Secretary General on equal representation Range of policies and practices related to the equal representation of women: including temporary special measures, sexual harassment policies, flexible work arrangements, exit interviews and gender balance scorecards Level of use of above policies/practices by both women and men by level Global staff survey asks: (a) I feel I have equal opportunities for advancement in my office. (b) I feel that I have equal power and standing as other colleagues in my professional grade in my office. (c) Gender bias does not impede my professional advancement in this office. Qualitative Indicators Description of opportunities and barriers to professional advancement of women and recommendations for future Comparative analysis of gender parity trends in your entity vs other UN entities	Document review Document review Human resource database Human resource database Human resource database Human resource database Document review, interviews Document review Human resource database, interviews Global staff survey (sex disaggregated data) Global staff survey (sex disaggregated data) Global staff survey (sex disaggregated data) Interviews Annual Report of Secretary General, human resource database

13. ORGANIZATIONAL CULTURE

Meets requirements	Exceeds requirements	Evaluation Application	Data Collection Sources
13b. Organizational culture fully supports promotion of gender equality and the empowerment of women	13ci. Organizational culture fully supports promotion of gender equality and the empowerment of women and 13cii. ILO Participatory Gender Audit or equivalent carried out at least every five years	Quantitative Indicators Implementation of UN Ethics-related Legal Arrangements % of staff that complete the mandatory ethics training Evidence of the zero tolerance for unethical behaviour implemented (% of cases that were followed-up on) Evidence of implementation of the policies for the prevention of discrimination and harassment. • # and % of staff that experienced sexual harassment in the office. • # and % that reported sexual harassment. (#/% of complaints that were followed-up on) • # and % of staff saw another colleague be sexually harassed in the office (#/% of complaints that were followed-up on) • # and % that reported seeing a colleague being sexual harassed. (#/% of complaints that were followed-up on) • # and % of staff that experienced gender discrimination in the office. (#/% of complaints that were followed-up on) • # and % of staff saw a colleague be discriminated against based on gender in the office. (Description of type of discrimination) Evidence of facilitative policies in place for maternity, paternity, adoption, family and emergency leave, breast-feeding and childcare Evidence of facilitative policies in place that related to work-life balance, including part-time work, staggered working hours, telecommuting, scheduled breaks for extended learning activities, compressed work schedules, financial support for parents travelling with a child and phased retirement Promote existing UN rules and regulations on work-life balance with an internal mechanism available to track implementation and accessibility by gender and grade.	Document review Participation rosters/documentation Documentation, Interviews Global staff surveys, Documentation, Interviews Document review Document review Database, interviews

(continued)

13. ORGANIZATIONAL CULTURE (continued)

Meets requirements	Exceeds requirements	Evaluation Application	Data Collection Sources
		Periodic staff meetings by units are scheduled during core working hours and on working days of staff working part-time, with teleconference or other IT means actively promoted % of staff up taking facilitative policies Staff survey conducted on regular basis and action plan developed Staff exit interviews conducted and action plan developed % of Actions taken based on staff survey and exit interviews # of % of men/women/other perceptions of office culture:²⁹ • Employees are treated fairly without regard to race, ethnicity, religion, gender identity, sexual orientation, age, nationality, disability or language. • I am treated with respect and dignity by my peers. • I am treated with respect and dignity by my senior managers. • In order to get promoted in this office, I feel like I need to work overtime. • The workload is distributed fairly in my office. • I feel comfortable expressing my views in the office. • I can have open and frank discussions with management. • I have the authority to make decisions about how to do my job • My managers are sensitive to my work and personal balance. • Women have equal power as men in this office. Qualitative Indicators Staff's experience of office culture and their perceptions of gender, racial, religious, sexual orientation equality and recommendations for improvement Evidence of linkages between a facilitative organizational culture and results in terms of other institutional indicators	Meeting schedules, Interviews Database Staff surveys Exit interviews, interviews, documentation Documentation, Interviews Global staff survey Interviews Interviews, surveys, focus groups, document Review

28 Indicators from UNDP GSS survey, could be adapted by each agency.

14. CAPACITY ASSESSMENT

Meets requirements	Exceeds requirements	Evaluation Application	Data Collection Sources
14bi. Entity-wide assessment of capacity of all relevant entity staff at HQ, regional and country levels in gender equality and women's empowerment is carried out and 14bii. A capacity development plan is established or updated at least every five years	14ci. Entity-wide assessment of capacity of all relevant entity staff at HQ, regional and country levels in gender equality and women's empowerment is carried out and 14cii. A capacity development plan is established or updated at least every three years	Quantitative Indicators Capacity assessment conducted every three years Implemented a plan, with resources and timelines outlined, to meet capacity gaps at all levels at least every five years # and % staff that feel confident in applying a gender lens/analysis in their work # and % staff that feel they have adequate guidance and support to apply a gender lens/analysis in their work # and % of staff that feel that they have adequate knowledge to analyze from a gender and power perspective • programme/project • policy/strategy • context analysis • institutional culture # and % staff that have implemented gender and power analysis into their work strengthen the effectiveness of the work (Policies, Strategies, Country Action Plans, Programme/project designs, implementations, evaluations) Qualitative Indicators Quality of gender analysis in key documents drafted by staff Description of main challenges and needs to implementing gender mainstreaming Description of main factors that have supported implementing gender mainstreaming Uptake of recommendations to improve capacities	Document review Document review Survey Survey Survey OR participatory focus group exercise each staff member conducts own gender analysis of programme and then discussion of capacity needs/challenges/successes (Rating according to Gender Marker or GRES) Survey Document review (Rating according to Gender Marker or GRES) OR participatory focus group exercise each staff member conducts own gender analysis of programme and then discussion of capacity needs/challenges/successes (Rating according to Gender Marker or GRES) Interviews, focus groups Interviews, focus groups Interviews, document review

15. CAPACITY DEVELOPMENT

Meets requirements	Exceeds requirements	Evaluation Application	Data Collection Sources
15b. Ongoing mandatory training for all levels of entity staff at HQ, regional and country offices	15ci Ongoing mandatory training for all levels of entity staff at HQ, regional and country offices and 15cii. Senior managers receive tailored training during orientation	Quantitative Indicators % of staff that received training on GEEW (should take place for all relevant staff - at least one day of training for new staff during the first year, minimum of one day of training once every two years after this) % of Gender specialists and gender focal points that receive specific, tailored training (minimum two days of training a year on gender equality and women's empowerment) % of managers (P5 +) that received in-depth training on GEEW # and % staff feel that training programs established have been effective in: • being relevant and useful to their work • understanding the difference between sex and gender • understanding how GM is linked to ensuring equal distribution of programme benefits • understand GM links to agency's effectiveness in achieving development results • being able to identify gender stereotypes in different programmes/projects/ office interactions/policies/ communications • in applying a gender analysis to a project that is not gender specific • in applying a gender analysis to a project that is gender specific • In applying a gender analysis to evaluation results • in setting up tracking mechanisms to capture gender disparities • in applying a Gender Marker to projects/programmes/results	Document review, database analysis Document review, database analysis Document review, database analysis Survey, interviews, focus groups

16. KNOWLEDGE AND COMMUNICATION

Meets requirements	Exceeds requirements	Evaluation Application	Data Collection Sources
16bi. Knowledge on gender equality and women's empowerment is systematically documented and publicly shared and	16ci. Knowledge on gender equality and women's empowerment is systematically documented and publicly shared and	Quantitative Indicators # of publications disseminated that synthesise knowledge related to the org's mandate and gender equality % of internal and public communications that are gender-sensitive and draw attention to the gender dimensions of issues	Document review Document review
16bii. Communication plan includes gender equality and women's empowerment as an integral component of internal and public information dissemination	16cii. Communication plan includes gender equality and women's empowerment as an integral component of internal and public information dissemination and	# of publications that provide information on the representation and status of women within the institution Qualitative Indicators Influence and reach of key publications with key stakeholders	Document review Social media/ network analysis, survey
	16ciii. Entity is actively involved in an inter-agency community of practice on gender equality and the empowerment of women	Networks that key publications are reaching	Social media/ network analysis

17. COHERENCE

Meets requirements	Exceeds requirements	Evaluation Application	Data Collection Sources
17bi. Participates systematically in inter-agency coordination mechanisms on gender equality and the empowerment of women 17bii. Participates in a UN-SWAP peer review process	17ci. Participates systematically in inter-agency coordination mechanisms on gender equality and the empowerment of women and 17cii. Participates in a UN-SWAP peer review process and 17ciii. Supports implementation of at least one UN-SWAP Performance Indicator in another entity	Quantitative Indicators Participation in the IANWGE network and meetings Participation in UN-SWAP peer review In country participation in the GTG Existence of collaboration and coordination with UNW around GEEW Qualitative Indicators Extent to which entity engages in joint programming on GEEW Extent to which there is coordination amongst agencies with strategic partners in support of GEEW Extent to which the coordination of SP's has resulted in enhanced GEEW focus or coordination between similar indicators Quality and benefits/challenges/needs of inter-agency coordination Extent to which collaboration has contributed to results and to reducing duplication of efforts	Participation rosters Participation rosters Document review Document review Document review, Interviews Document review, Interviews Document review, Interviews, participatory focus groups Document review, interviews, participatory focus groups Document review, interviews, participatory focus groups



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