



# Stock-Taking Exercise on Policies and Guidance of UN Agencies in Support of Evaluation of Social and Environmental Considerations

## Vol II Annex

This document contains the annex to the stock-taking exercise undertaken by the UNEG Working Group on Integrating Environmental and Social Impact into Evaluations in 2020. It provides a collation of material concerning “social and environmental considerations” abstracted from UNEG Member Agency evaluation guidance documents.

The main report and annex were prepared by David Todd, consultant, under the guidance of the Working Group. It was approved as a UNEG Task Force publication as follow up to the UNEG AGM 2020.

See also: Stock-taking exercise on policies and guidance of UN agencies in support of evaluation of social and environmental consideration – Vol I Main Report

## **Introduction**

This Annex provides a collation of material concerning “social and environmental considerations” abstracted from UNEG Member Agency evaluation guidance documents. In view of the large volume of material and the variety of report formats from which it has been abstracted and collated, the text has not been systematically re-formatted. It is provided as a potentially useful resource for any further work in this area.

An additional data set is the survey of UNEG Members conducted by the WG team and the consultant. This material is held by the GEF Evaluation Office and is not provided in this document to avoid any potential issues of confidentiality.

**Document 1: CTBTO: Improving Performance and Efficiency 2010, 2011, 2017**

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Nil		
Environmental Considerations	Nil		

**Evidence**

These brief summary documents mention evaluation activities and principles. No specific mention found of social or environmental considerations.

**Document 2: CTBTO: Annual Report 2017**

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Nil		
Environmental Considerations	Nil		

Evaluation discussed but no specific relevant mentions of social or environmental considerations.

**Document 3:** ECLAC Guidelines - preparing and conducting evaluations

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Nil		
Environmental Considerations	Nil		

No specific relevant mentions of social or environmental considerations.

## Document 4: ESCAP M&E Policy and Guidelines

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Medium	The document provides substantial information on how to conduct evaluations, which appropriately address gender and human rights considerations. Gender receives more explicit and detailed attention than do human rights and it is not clear that the document provides sufficient information on the evaluation of human rights issues to be regarded as a “standalone” source in this area.	Yes
Environmental Considerations	Nil		

<https://www.unescap.org/sites/default/files/ESCAPME2017.pdf>

ESCAP commits to mainstream a gender perspective into all stages of evaluation in line with the evaluation performance indicator included in the United Nations System-wide Action Plan (UN-SWAP) on gender equality and women’s empowerment. ESCAP evaluation tools, such as the standard evaluation TOR, inception report, report template and quality criteria, ensure the integration of gender and human rights perspectives in the evaluation process, conduct and outcomes. (P22)

Gender equality and human rights analyses are essential components of analysis in all ESCAP evaluations (see [Tool 9: Mainstreaming gender and human rights](#)). It is not sufficient to count the number of male and female participants in intervention activities. Application of UN standards entails three levels of analysis:

1. Intervention design: are gender and human rights concerns mainstreamed?
2. Intervention conduct: were gender and human rights principles applied?
3. Intervention outcomes: do they align to relevant principles? How are men and women differently affected? (P35)

Is data disaggregated by sex/social groups? (P39)

### Effectiveness

- To what extent did male and female members of the target group apply or utilize the skills and knowledge (outputs) acquired from the intervention?
- Did men and women in the target groups find the capacity building activities effective in enhancing their knowledge and skills?
- Were the needs of male and female stakeholders, and stakeholders from different social groups, assessed during the design and implementation of an intervention? (P41)

### *Under Tool 2: Evaluation criteria and questions*

- Gender and human rights mainstreaming: Gender and human rights mainstreaming are key strategies of UN-supported analysis and strategic planning. This criterion assesses the extent to which gender considerations have been incorporated in the design and implementation of the intervention.
- To what extent were gender and the HRBA integrated into the design and implementation of the intervention?

- To what extent did men and women and other social groups participate in the implementation of the intervention as implementers and stakeholders?
- Has the implementation collected data disaggregated by sex and other social categories?
- To what extent does the intervention regularly and meaningfully report on gender and human rights concerns in reporting documents?
- How were men and women, and other social groups, differently affected by the subprogramme/ project outcomes? (P42)

#### *Under TOR Template*

#### 4. GENDER AND HUMAN RIGHTS MAINTREAMING APPROACH

[Explain how the evaluation will incorporate the gender mainstreaming and human rights-based approach. Discuss 1) evaluation approach and data collection and analysis methods (e.g. data disaggregated by sex is required as well as data disaggregated by other relevant social categories; participation of women and men in evaluation team and data collection); 2) gender and human rights analysis is required on intervention design, conduct and outcomes; and 3) use gender sensitive language (see Tool 9: Mainstreaming gender and human rights for further information).] (P47)

#### *Evaluators must have:*

- Knowledge of the United Nations System; principles, values, goals and approaches, including human rights, gender equality, cultural values, the Sustainable Development Goals and results-based management; (P48)

#### **HR and GE Checklist**

The 2017 ESCAP Evaluation Policy and Guidelines have mainstreamed gender and human rights in line with UNEG guidance. Guidelines and tools provide pointers and reminders for mainstreaming during evaluation preparation, conduct and use. As a general resource encapsulating references from tools 1-9 please see below checklist.

#### **Summary checklist for human rights and gender equality in Evaluation**

- *Evaluability:* Was an assessment to determine the evaluability level of HR & GE in the intervention performed?
- How will HR & GE evaluability challenges be addressed during the evaluation, based on the results of the evaluability assessment?
- *Stakeholder analysis:* Was a HR & GE stakeholder analysis performed?
- Was a diverse group of stakeholders identified from the stakeholder analysis, including women and men, as well as those who are most affected by rights violations and groups who are not directly involved in the intervention?
- How will the evaluation team reach out to stakeholders to be engaged in the evaluation?
- *Criteria:* Were evaluation criteria defined which specifically address HR & GE?
- Were additional criteria specific to the context of the intervention to be evaluated identified?
- Were evaluation questions that specifically address HR & GE framed?

- *Methodology* Does the evaluation methodology employ a mixed methods approach, appropriate to addressing HR & GE?
- Does the evaluation methodology favour stakeholders' right to participation, including those most vulnerable?

#### *Reference group and evaluation team*

- Was a reference group and evaluation team with knowledge of and commitment to HR & GE selected?
- Are the reference group and evaluation team diverse, in terms of gender, types of expertise, age, geographical origin, etc.?
- Are the reference group and evaluation team ethically responsible and balanced with equitable power relations, in line with the concepts of HR & GE? (P77)

#### *Collecting and analyzing data:*

- Were all stakeholder groups identified in the stakeholder analysis consulted during the evaluation?
- Were all stakeholder groups consulted at the end of the data collection stage to discuss findings and hear their views on the conclusions and recommendations of the evaluation?

#### *ToR, report and reporting*

- Does the evaluation report address HR & GE issues?
- Does the evaluation report address HR & GE issues, including in the recommendations section?
- How will the recommendations in the report affect the different stakeholders of the programme?
- Are there plans to disseminate the evaluation report to a wide group, in particular stakeholder groups who have an interest in and/or are affected by HR & GE issues?
- Was a management response prepared which considers the HR & GE issues raised in the report?
- Did the preparation of the management response and discussion of action points involve a diverse group of stakeholders, including those who have an interest in and/or are affected by HR & GE? (P78)



## Document 5: FAO OED Project Evaluation Manual for Decentralized Offices

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Low	Mentions compliance with codes for vulnerable groups	
Environmental Considerations	Low	This document cross-references (unpublished) procedures required for the evaluation of GEF projects.	

Separate guidelines are available for the conduct of mid-term reviews of GEF funded FAO interventions (not yet published) (P1)

FOR GEF projects please refer to the FAO-GEF guidelines on MTR (P27)

For GEF evaluations, evaluation preparation occurs during regular meetings held between the Project Evaluation Team and the GEF-FAO Coordination Unit. (P18)

For GEF evaluations, the GEF-FAO Coordination Unit should be involved in evaluation planning discussions along with the BH and the Lead Technical Officer. (P19)

Evaluations of GEF interventions, whenever relevant, should include meetings with the GEF Focal Points at country level. (P24)

GEF interventions have dedicated templates for both Final evaluation and mid-term reviews. For more information refer to the FAO-GEF Guidelines on GEF Mid-term Reviews. (P27)

## Document 6: FAO Guidelines for the assessment of gender mainstreaming

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	High	The document provides guidance on how to approach the evaluation of <b>gender equality and mainstreaming</b> issues in FAO's programmes and projects. It includes detailed questions to be asked, assessment frameworks, etc. Guidance is embedded in FAO evaluation procedures and could serve as a "standalone" source for evaluation in this specific area.	
Environmental Considerations	Nil		

1. The Policy states that all processes led and supported by the evaluation function (OED) need to consider the extent to which FAO addresses **gender equality issues**. In its evaluations, the Office of Evaluation (OED) therefore needs to include an assessment of FAO's contribution towards the gender objectives stated in the Policy.

2. These guidelines are prepared to provide FAO evaluators and staff with step-by-step guidance on how the Office of Evaluation (OED) conducts gender assessment in the different types of evaluations. It complements FAO Evaluation Manual released in April 2015. In addition to these guidelines, a gender evaluation framework was developed by the Office of Evaluation (OED) (see Annex 1) to provide examples of evaluation questions based on FAO's gender objectives. (P3)

The Guidelines cover the following aspects in some detail:

### 3. Step by step guidance

#### 3.1 Launching the evaluation

#### 3.2 Defining and designing the evaluation

#### 3.3 Analysis

#### 3.4 Drafting and quality control of the report

### 4. Annexes

#### Annex 1. Gender framework

#### Annex 2. Outline for the assessment of SO/SP contributions to gender equality objectives

#### Annex 3. Outline for the assessment of Country programme/project contributions to gender equality objectives

**Document 7: FAO OED Capacity Development Evaluation Framework**

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Medium	The document offers guidance on evaluating the results of capacity development activities, which can be regarded as a “social consideration”. Gender and youth approaches and results form a particular focus. The guidance is not sufficiently detailed to constitute a “standalone” source on evaluation of the areas it covers.	
Environmental Considerations	Low	Some of the capacity areas (e.g., Natural Resource Management) focus on or include environmental aspects.	

**If Capacity Development is defined as a “social consideration,” the entire Framework Document can be seen as a contribution in this area.**

Did the trainings include a component on gender and youth issues to promote cultural change in the organization? (P13)

Indicators: The trainings address gender issues such as women role in the specific sector, women empowerment and participation in the decision-making process and other vulnerable groups issues. (P13)

Did target participants acquire new technical knowledge, skills and behaviours? How many (men and women)?

Indicators: Number or percentage of women/young participants that feel confident they acquired new skills (both technical and functional), knowledge (perception). (P14)

**Whose capacity has been developed?**

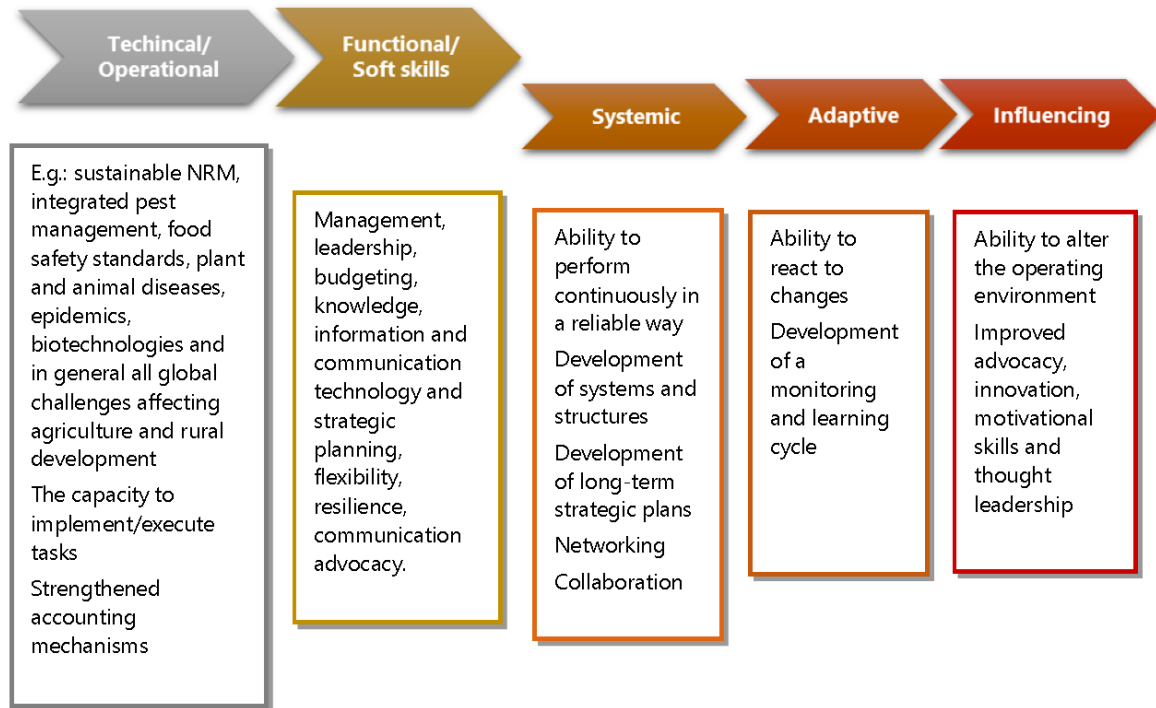
2. The first thing that the evaluation manager should identify is the dimension(s) the intervention or “evaluand” has focused on.

**Figure 2: The Who of the intervention**



(P22)

**Figure 4: The What of the intervention**



(P25). This can be seen as also encompassing “environmental considerations”.

**Document 8: FAO OED Evaluation Manual**

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Nil		
Environmental Considerations	Nil		

No relevant sections.

**Document 9: FAO OED Responsibilities and procedures for management responses and follow-up reports on evaluations**

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Nil		
Environmental Considerations	Nil		

No relevant sections.

**Document 10: GEF: Guidelines for GEF Agencies in Conducting Terminal Evaluation for Full-sized Projects**

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Medium	The guidelines outline social considerations, which need to be addressed in GEF TEs. These are broader than in most documents reviewed. As well as gender, issues such as changes in socio-economic status, whether positive or negative are highlighted. Assessment of adherence to social safeguards is also to be addressed. The document does not provide sufficient information on how to evaluate these to be regarded as stand-alone in this area.	
Environmental Considerations	High	The guidelines outline evidence required through qualitative and quantitative methods in such areas as stress reduction, environmental status change, observance of environmental safeguards and environmental impacts. Guidance is sufficiently detailed in this area to be seen as a standalone source.	

*Environmental Considerations*

The evaluators should **report the available qualitative and quantitative evidence on environmental stress reduction** (e.g. GHG emission reduction, reduction of waste discharge, etc.) and **environmental status change** (e.g. change in population of endangered species, forest stock, water retention in degraded lands, etc.). When reporting such evidence, the evaluator should note the information source and clarify the scale/s at which the described environmental stress reduction is being achieved. (P8)

The evaluators should cover project’s contributions to changes in policy/ legal/regulatory framework. This would include observed changes in capacities (awareness, knowledge, skills, infrastructure, monitoring systems, etc.) and governance architecture, including access to and use of information (laws, administrative bodies, trust-building and conflict resolution processes, information-sharing systems, etc.). Contribution to change in **socioeconomic status (income, health, well-being, etc.) should also be documented.**

22. Where the **environmental and social changes** are being achieved at scales beyond the immediate area of intervention, the evaluators should provide an account of the processes such as sustaining, mainstreaming, replication, scaling up and market change, through which these changes have taken place. The evaluators should discuss whether there are arrangements in the project design to facilitate follow-up actions, and should document instances where the GEF promoted approaches, technologies, financing instruments, legal frameworks, information systems, etc., were adopted/implemented without direct support from, or involvement of, the project. Evidence on incidence of these processes should be discussed to assess progress towards impact.

23. When assessing contributions of GEF project to the observed change, the evaluators should also assess the contributions of other actors and factors. The evaluators should assess merits of rival explanations for the observed impact and give reasons for accepting or rejecting them. Where

applicable, the evaluators are encouraged to identify and describe the barriers and other risks that may prevent further progress towards long-term impacts.

24. The evaluators should document the unintended impacts – both positive and negative impacts – of the project and assess the overall scope and implications of these impacts. **Where these impacts are undesirable from environmental and socio-economic perspectives, the evaluation should suggest corrective actions.** (P8,9)

Environmental and Social Safeguards: The evaluator will assess whether appropriate **environmental and social safeguards**, including those on **mainstreaming of gender concerns**<sup>14</sup>, were addressed in the project's design and implementation. It is expected that a GEF project will not cause any harm to environment or to any stakeholder and, where applicable, it will take measures to prevent and/or mitigate adverse effects.

d. **Gender Concerns: The evaluator will determine the extent to which the gender considerations were taken into account in designing and implementing the project.** The evaluator should report whether a gender analysis was conducted, the extent to which the project was implemented in a manner that ensures gender equitable participation and benefits, and whether gender disaggregated data was gathered and reported on beneficiaries. In case the given GEF project disadvantages or may disadvantage women, then this should be documented and reported. The evaluator should also determine the extent to which relevant gender related concerns were tracked through project M&E. (P11)

**Stakeholder Engagement:** The evaluator should, where applicable, assess aspects such as involvement of civil society, indigenous population, private sector, etc. (P12)

Wherever possible, terminal evaluation reports should include examples of good practices in project design and implementation that have led to effective stakeholder engagement, successful broader adoption of GEF initiatives by stakeholders, and large-scale environmental impacts. (P12)



**Document 11: IAEA-OIS Charter**

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Nil		
Environmental Considerations	Nil		

No relevant sections.

## Document 12: IFAD Evaluation Manual

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	High	A broad range of issues are included within evaluation topics, including rural poverty impact, gender equality and women's empowerment. Detailed listing of issues and questions to be explored. Guidance is sufficiently detailed in this area to be seen as a standalone source.	
Environmental Considerations	High	Environment and natural resource management, adaptation to climate change. Detailed listing of issues and questions to be explored. Guidance is sufficiently detailed in this area to be seen as a standalone source.	

### *Rural poverty impact (P37)*

Impact is defined as the changes that have occurred or are expected to occur in the lives of the rural poor (whether positive or negative, direct or indirect, intended or unintended) as a result of development interventions.

#### *Four impact domains*

- **Household income and net assets:**

Household income provides a means of assessing the flow of economic benefits accruing to an individual or group, whereas assets relate to a stock of accumulated items of economic value. The analysis must include an assessment of trends in equality over time.

- **Human and social capital and empowerment:**

Human and social capital and empowerment include an assessment of the changes that have occurred in the empowerment of individuals, the quality of grass-roots organizations and

institutions, the poor's individual and collective capacity, and in particular, the extent to which specific groups such as youth are included or excluded from the development process.

- **Food security and agricultural productivity:**

Changes in food security relate to availability, stability, affordability and access to food and stability of access, whereas changes in agricultural productivity are measured in terms of yields; nutrition relates to the nutritional value of food and child malnutrition.

- **Institutions and policies:**

The criterion relating to institutions and policies is designed to assess changes in the quality and performance of institutions, policies and the regulatory framework that influence the lives of the poor.

### *Other performance criteria (P38)*

#### **Gender equality and women's empowerment**

The extent to which IFAD interventions have contributed to better gender equality and women's empowerment, for example, in terms of women's access to and ownership of assets, resources and

services; participation in decision making; workload balance and impact on women's incomes, nutrition and livelihoods.

### ***Innovation and scaling up***

The extent to which IFAD development interventions:

(i) have introduced innovative approaches to rural poverty reduction; and (ii) have been (or are likely to be) scaled up by government authorities, donor organizations, the private sector and others agencies.

### ***Environment and natural resources management***

The extent to which IFAD development interventions contribute to resilient livelihoods and ecosystems. The focus is on the use and management of the natural environment, including natural resources defined as raw materials used for socio-economic and cultural purposes, and ecosystems and biodiversity – with the goods and services they provide.

### ***Adaptation to climate change***

The contribution of the project to reducing the negative impacts of climate change through dedicated adaptation or risk reduction measures. Overall project achievement (P38)

This provides an overarching assessment of the intervention, drawing upon the analysis and ratings for rural poverty impact, relevance, effectiveness, efficiency, sustainability of benefits, gender equality and women's empowerment, innovation and scaling up, as well as environment and natural resources management, and adaptation to climate change.

### ***Evaluation questions by criterion***

- Includes detailed sections on:
- Rural poverty impact
- Sustainability of benefits
- Gender equality and women's empowerment
- Environment and natural resource management
- Adaptation to climate change

Box 7 Criteria to be applied at the loan portfolio level (P69)

- Rural poverty impact
- Relevance
- Effectiveness
- Efficiency
- Sustainability of benefits
- Gender equality and women's empowerment
- Innovation and scaling up
- Natural resources management and adaptation to climate change (one section with two separate ratings)

Box 11 Example of specific objectives (P88)

- Assess the relevance and evaluate the implementation of IFAD 's 2005 private-sector strategy;
- Evaluate the emerging results of IFAD -supported projects designed after the adoption of the private-sector strategy;
- Assess the evolving approaches, as well as good and less than satisfactory practices, to IFAD 's private-sector development efforts;
- Examine the instruments and experiences of other development organizations in engaging the private sector in agriculture and rural development, with the aim of identifying lessons that could be pertinent for IFAD ; and
- Generate a series of findings and recommendations that might serve as building blocks for IFAD 's future engagement with the private sector.

Box 12 Example of building blocks (P89)

**IFAD 's performance with regard to gender equality and women's empowerment**

- An analysis of the evolution of gender-related concepts and development approaches, and a comprehensive documentary review of the policy and evaluation documents prepared by other development organizations (i.e. a benchmarking review);
- An assessment of IFAD 's key corporate policy and strategy documents;
- A meta-evaluation of past IFAD -funded operations based on existing evaluative evidence, plus a review of recent country strategies and project designs, and five country visits to collect the perspectives of in-country partners and evidence on the ground about the evolving approaches and results of IFAD -funded projects; and
- A review of selected corporate business processes that have implications for IFAD's performance in promoting gender equality and women's empowerment in partner countries.

Impact Evaluation questions

***Each impact evaluation will aim to respond to the following main questions:***

- How much have beneficiary incomes changed since the project?
- Have household net assets changed due to the intervention?
- Did household food security and nutrition improve and by how much?
- Has the intervention contributed to enhance natural resources and environmental management, and resilience to climate change?

TABLE 14 **Impact domains and analytical areas of focus**

Impact domains	Analytical areas of focus	
	Quantitative	Qualitative
(i) Household income and assets	Data on: overall household income and household assets (including livestock, land)	Value of goods and services received in kind. Access to social services (education, health).
(ii) Human and social capital and empowerment	Data on gender equality and women's (and vulnerable groups in particular tribal communities) and youth empowerment	Changes in grass-roots organizations that have been facilitated by the project and their benefit to the poor, women, vulnerable groups, youth. Improved knowledge on watershed and crop/livestock management and adoption rate by gender. Improved knowledge on tribal rights by vulnerable groups (especially by women). Changes in gender roles, including participation in income generating activities, participation in community-level activities, group membership and leadership, division of workload, household food security and nutrition and land ownership.
(iii) Food security and agricultural productivity	Data on variability and average value of production as well as variability and average yields per hectare Data on commercialized production Data on child malnutrition	Improved access to input and output markets. Changes in pricing policies. Improved research and extension advice.
(iv) Institutions and policies		Changes in policies and pro-poor orientation of public agencies and private sector organizations.

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## ANNEX II Indicative set of additional questions

These questions supplement the core questions outlined in chapter 3. They are suggestions to help inform the evaluative inquiry, and are to be used selectively.

### Rural poverty impact: impact domains

#### Household income and assets

Issues to explore:

- The change in the composition and level of household incomes (income sources, diversification, stability) including intra-household incomes and assets, and financial assets (savings, debt, borrowing, insurance)
- Changes in physical assets (farmland, water, livestock, trees, equipment, houses, bicycles, radios, television sets, telephones, etc.)

Questions:

- To what extent were the rural poor able to access financial markets more easily?
- In what way did the rural poor's access to input and output markets change?
- Can better health and education promoted by the programme explain a change in incomes and more assets?

#### Human and social capital and empowerment

Issues to explore:

- Changes in rural people's organizations, grass-roots institutions, social cohesion and local self-help capacities
- Changes in access to the information needed for the rural poor's livelihoods
- Questions:
  - To what extent do the rural poor play more effective roles in decision-making?
  - In what way did the project empower the rural poor vis-à-vis development actors and local and national public authorities?

#### Food security and agricultural productivity

Issues to explore:

- Changes in availability and stability of access to food
- Changes in cropping yield and intensity, land productivity and returns to labour

- Changes in children's nutritional status (e.g. stunting, wasting, underweight)

Questions:

- How did agricultural productivity impact on household food security?
- What was the role of improved access to input and output markets in enhancing the productivity of the rural poor?
- What are the links between productivity and access to food of the rural poor?

#### Institutions and policies

Issues to explore:

- Changes in rural financial institutions (e.g. in facilitating access for the rural poor)
- Changes in local governance, public institutions, NGOs and private sector that provide service delivery for the rural poor

Questions:

- What were the major ways in which the rural poor were affected by national/sectoral policies and the regulatory framework?
- What were the contributions of the project to changes in market structures and other institutional factors that can explain changes in poor producers' access to markets?

#### Relevance

Issues to explore:

- Consistency, coherence and complementarity with: national agriculture and rural development strategies, policies and programmes; other development partners' programmes and focus; the COSOP and relevant IFAD sector and subsector policies; and the needs of the rural poor.

Questions:

- Did the project benefit from available knowledge (for example, the experience of similar projects in the area or in the country) during its design and implementation?
- Were project objectives realistic?
- Did project objectives and design remain relevant over the period of time required for implementation?

- What are the main factors that contributed to a positive or less positive assessment of relevance?

#### Effectiveness

Issues to explore:

- Changes in the context (e.g. policy framework, political situation, institutional set-up, economic shocks, civil unrest, etc.)
- Degree to which objectives have been met and what may still be outstanding

Questions:

- Are adopted approaches technically viable?
- Do project users have access to adequate training for maintenance and to spare parts and repairs?

#### Efficiency

Issues to explore:

- Cost ratio of inputs to outputs
- Timeliness of loan effectiveness and implementation
- Administrative costs
- Economic rate of return

Questions:

- Was the project implemented in the most efficient way compared to alternatives?
- What are the major factors that account for project efficiency performance?
- What are the possibilities of benchmarking with peers?

#### Sustainability of benefits

Issues to explore:

- Expressions and indications of government commitment and capacity to sustain the project (provision of funds for selected activities, human resources availability, continuity of pro-poor policies and participatory development approaches, and institutional support)
- Engagement, participation and contributions from local communities, grass-roots organizations, and the rural poor

Questions:

- What is the likely resilience of economic activities to shocks or progressive exposure to competition and reduction of subsidies?

- What are the measures taken in terms of, for example, a specific exit strategy or approach prepared and agreed upon by key partners to ensure post-project sustainability?
- What factors militate in favour of or against maintaining benefits?

#### Gender equality and women's empowerment

Issues to explore:

- Volume and nature of project resources invested in gender equality and women's empowerment activities
- Changes to women's access to resources, assets and services; to women's influence in decision-making; in workload distribution among household members; in women's health, skills, income and nutritional levels; in gender relations within households, groups and communities in the project area; etc.

Questions:

- Did the initiative contain specific activities for gender equality and women's empowerment, and what was their effect on the rural poor? Did any activities give rise to unintended consequences on gender equality and women's empowerment?
- In terms of design, were corporate objectives on gender adequately addressed and integrated in the project activities/the results-framework of COSOPs? And were gender dimensions adequately addressed in the implementation structure and included in the project's annual work plans and budgets?
- During implementation, to what extent did the project: (i) monitor gender-disaggregated outputs to ensure gender equality and women's empowerment objectives were being met; (ii) adapt project implementation as required to better meet gender equality and women's empowerment objectives; (iii) address and report on gender issues in supervision and implementation support; (iv) systematically analyse, document and disseminate lessons on gender equality and women's empowerment; and (v) engage in policy dialogue to promote changes to government and other partner systems and processes that would improve gender equality and women's empowerment?

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- What factors, including strengths and weaknesses of the contributions of IFAD and the government, were the most significant in promoting or hindering the corporate objectives on gender equality and women's empowerment?
- To what extent is the gender-related impact likely to be sustainable after completion of the IFAD-funded project?

#### Innovation and scaling up

Issues to explore:

- The innovative aspects of the project and examples/potential of scaling up
- Ways in which innovation and scaling up in the project has been documented and disseminated (e.g. workshops, exchange visits, MTRs, project supervision reporting, etc.)
- Strategic partnerships with organizations that could potentially be involved in scaling up of successfully piloted innovation

Questions:

- To what extent did the initiative being evaluated specifically address innovation and scaling up?
- To what extent did the project build on prior successful experiences and lessons with scaling up that may be well-established elsewhere, but new to the country or project area?
- Was an explicit strategy defined, including identifying the origin of innovation and pathways and drivers for scaling up? Was an ultimate scale target included?
- Did project implementation, including through the M&E system, support the development of relevant drivers (e.g. in terms of resource allocation for knowledge management) that are essential for scaling up?
- Through what processes has the project innovations been replicated and scaled up and, if so, by whom? If not, what were the obstacles and what are the realistic prospects that they can and will be replicated and scaled up by the government, other donors and/or the private sector?

#### Natural resources and the environment

Issues to explore:

- Status of the natural resources base (land, water, forest, pasture, fish stocks, etc.)
- Changes in protection, rehabilitation or depletion of natural resources and the environment

Questions:

- Did the initiative contain specific activities for rehabilitation or protection of natural resources and ecosystem services?
- In what way has the project impacted on environmental vulnerability (e.g. exposure to pollutants, climate change effects, volatility in resources, potential natural disasters)?
- In terms of design, was the rehabilitation or protection of natural resources and ecosystem services adequately addressed, in line with corporate objectives on environment and natural resources management, and included in the project's annual work plans and budgets?
- During implementation, to what extent did the project monitor changes in rehabilitation or protection of natural resources and ecosystem services and address and systematically analyse, document and disseminate lessons on rehabilitation or protection of natural resources and ecosystem services?

#### Adaptation to climate change

Issues to explore:

- Climate resilience, disaster preparedness measures, for example, in terms of agro-meteorological warning systems, drought contingency plans, response to flooding, weather-indexed risk insurance, etc.
- Volume and nature of funds allocated to measures aiming at adapting to climate-change related risks

Questions:

- Did the initiative contain specific adaptation activities, and what was their effect on the rural poor?

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- In terms of design, were issues related to adaptation to climate change adequately addressed, in line with the corporate objectives of IFAD's climate change strategy and included in the project's annual work plans and budgets?
- To what extent were the climate-related considerations integrated in a coherent, consistent and logical manner across the project design?
- To what extent did the project include explicit measures to reduce the vulnerability of livelihoods to climate shocks and stresses?
- During implementation, to what extent did the project monitor changes in capacity to manage climate change, and systematically analyse, document and disseminate lessons on climate resilience?

### Performance of partners

#### IFAD

Issues to explore:

- Volume and nature of resources mobilized (funding, time, technical expertise)
- Where applicable, role and performance of IFAD's country presence team (including proxy country presence arrangements) and support provided by headquarters to its country presence team (resources, follow-up and guidance, delegation of authority)

Questions:

- Has IFAD effectively and efficiently exercised its developmental, project management, and fiduciary responsibilities?
- At design stage, to what extent were (i) specific efforts made to incorporate the lessons and recommendations from previous independent evaluations in project design and implementation, and (ii) the design process participatory (with national and local agencies, grass-roots organizations) thus promoting ownership by the borrower
- During implementation, to what extent did IFAD: (i) take prompt action to ensure the timely implementation of recommendations stemming

from the supervision and implementation support missions, including the MTRs; and (ii) undertake the necessary follow-up to resolve any implementation bottlenecks?

- In what way has IFAD actively created an effective partnership and maintained coordination among key partners to ensure the achievement of project objectives, including the scaling up of pro-poor innovations?
- Has IFAD, together with the government, contributed to planning an exit strategy to ensure continued funding and sustainability of results?

#### Government

Issues to explore:

- Volume and nature of resources provided (staffing, counterpart funds, technical support, and project management)
- Project management, audit, observance of loan covenants, policy guidance to project management staff, and coordination of the various departments involved in project execution

Questions:

- Has the government assumed ownership and responsibility for the project? Judging by its actions and policies, has the government been fully supportive of project goals?
- During implementation did the government: (i) take the initiative to suitably modify the project design (if required); (ii) take prompt action to ensure the timely implementation of recommendations from supervision and implementation support missions, including the MTR?
- Did the M&E system generate information on performance and impact, which is useful for project managers, and has appropriate action been taken on the basis of this information?
- In what way has the government facilitated the participation of NGOs and civil society, where appropriate, and what were the implications?

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**Document 13: IFAD Corporate Level Evaluation Brief**

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Nil		
Environmental Considerations	Nil		

No relevant sections.

**Document 14: IFAD Brief on Evaluation Synthesis Reports**

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Nil		
Environmental Considerations	Nil		

No relevant sections.

## Document 15: IFAD Evaluation Brief: Impact Evaluations

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Low	For impact evaluation, rural poverty is identified as a major focus. No further details are provided.	
Environmental Considerations	Nil		

The prime focus of impact evaluations is on assessing rural poverty impact (P1)

The core of impact evaluations is to identify a proper counterfactual - a situation or condition which hypothetically may prevail for individuals, organizations or groups where there was no development intervention - and to be confident that impact can be attributed to IFAD operations. This may be done by assessing the situation of the beneficiaries “before and after” and “with or without” the project, by comparing them with the counterfactual on a set of observable and unobservable socio-economic characteristics in order to assess impact and attribute it to a given operation. (P1)

**Document 16: IFAD Evaluation Brief: Project Performance Evaluations**

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Nil		
Environmental Considerations	Nil		

No relevant sections.

## Document 17: IFAD Country Strategy and Programme Evaluations Brief

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Low	Rural poverty eradication identified as major focus of country strategy and programme evaluations. No further details provided.	
Environmental Considerations	Nil		

The main objectives of the country strategy and programme evaluations (CSPEs) conducted by the Independent Office of Evaluation of IFAD are to:

- Assess the results and performance of the IFAD-financed strategy and programme in a given country; and
- Generate findings and recommendations for the future partnership between IFAD and the concerned country for enhanced development effectiveness and rural poverty eradication. (P1)

## Document 18: ILO Policy Guidelines for evaluation.

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Medium	ILO principles for evaluation are outlined, to include gender equality and non-discrimination, social justice, decent work, diversity, disability. Further discussion of how these issues can be assessed. Insufficient detail to suggest that this could be used as a standalone document.	
Environmental Considerations	Nil		

### BOX 3. Specific ILO principles for evaluation

- Promote and facilitate the use of results for decision-making processes and organizational learning to better fulfil the ILO’s mandate.
- Limit of management influence over TOR, scope of the evaluation and selection of evaluators.
- Involvement of constituents and others as appropriate, in the planning, implementation and reporting process.
- Uphold of the ILO mandate and mission by selecting an evaluation approach and methods that reflect the tripartite organization, its focus on social justice, and its normative and technical mandate.
- Adequacy of treatment of core ILO cross-cutting priorities, such as **gender equality and non-discrimination**, promote **standards, tripartite processes** and constituent capacity development. (P8)

**DWCPs** are the main vehicle for delivery of ILO support to countries and represent distinct ILO contributions to UN country programmes. The ILO supports independent evaluations of DWCPs to provide its national and international partners with an impartial and transparent assessment of the ILO’s work in specific countries. They are a means of identifying challenges, achievements and the ILO’s contribution towards national development objectives, DW and related DWCP Outcomes that are established in the P&B. (P18)

This chapter describes key aspects on how to plan and manage decentralized evaluations. This section describes EVAL’s policy for conducting these activities by describing the following topics:

- Defining the purpose, scope and stakeholders of an evaluation;
- Theory of change and evaluability;
- Stakeholder involvement;
- Consideration of gender issues;
- Defining evaluation questions and criteria;
- Drafting and circulating the Terms of Reference (ToR);
- Establishing the evaluation budget; and
- Evaluation teams for independent evaluations: roles and skills. (P29)

The ILO's primary stakeholders are the tripartite constituents, who comprise its organizational membership. Other key stakeholders may be relevant to HQ and field staff as well as national partners, such as United Nations officials from partner agencies, government officials in collaborating ministries, implementing agencies and representatives of other partners such as donor representatives, as listed in **box 6**. Another important group of stakeholders are the beneficiaries of ILO's work. Participation by these stakeholder groups can help to ensure the evaluation is relevant and useful. Participation and sensitivity to diversity is one of the guiding principles of ILO's tripartite approach and one of its comparative strengths. The core stakeholders should participate as early as possible in the planning stage to create a common understanding about the purpose and use of the evaluation and the approach to be taken. The relevant stakeholders should be involved in defining the main focus and the key questions that the evaluation should address. (P31,32)

Gender and non-discrimination are considered cross-cutting policy drivers for ILO work. This means that all projects and programmes should take these into account during project design and implementation. Because of this, all evaluations should ensure that there is appropriate consideration of gender and non-discrimination issues in their design, analyses and reporting. This includes assessing the extent to which projects are sufficiently addressing these issues in their projects. EVAL has communicated its commitment to supporting the examination of gender issues in evaluation by mandating that any TOR, which are disseminated for an evaluation, must include, at a minimum, the following language:

*The gender dimension should be considered as a cross-cutting concern throughout the methodology, deliverables and final report of the evaluation. In terms of this evaluation, this implies involving both men and women in the consultation, evaluation analysis and evaluation team. Moreover, the evaluators should review data and information that are disaggregated by sex and gender, and assess the relevance and effectiveness of gender-related strategies and outcomes to improve lives of women and men. All this information should be accurately included in the inception report and final evaluation report.*

Certainly, this is the first step towards ensuring gender issues are well represented in evaluations.

The ILO has an obligation to report on several indicators related to the inclusion of gender issues in evaluation reports in the UN System-wide Action Plan on Gender Equality and the Empowerment of Women (UN SWAP on gender). Evaluation managers and stakeholders should consider gender issues and other issues related to non-discrimination whenever developing or responding to TOR and assess whether or not these issues are adequately represented. Furthermore, these same groups should examine inception reports, data collection plans, evaluation reports and any other deliverables which an evaluator may produce to ensure gender is or will be appropriately addressed. While disaggregation of data by gender is an important first step in understanding how programmes

and policies affect men and women differently, it is not always sufficient. A more comprehensive approach should involve an investigation of how gender inequality interacts with other forms of inequality.

Additionally, gender inequality should be examined as a structural and systemic issue anchored in cultural norms and standards. In addition to gender, the ILO Gender, Equality and Diversity branch (GED) has made disability a priority area of its work and has published a strategy document (ILO 2015) related to this topic and an *ILO Action Plan for Gender Equality* (ILO 2016a). Given the guiding principles outlined in the above-mentioned document, ILO evaluation should consider the extent to which:



- projects incorporate disability inclusion into their designs and subsequent implementation;
- the implementation adheres to the above-mentioned principles; and
- projects contribute to increased inclusion of people with disabilities.

The ILO's 2014–2017 Disability Inclusion Action Plan highlights the intent of the ILO to have disability inclusion explicitly referenced in its programming and in outcome areas, cross-cutting themes and governance outcomes. If project documents specifically refer to the incorporation of such issues, it is imperative that the evaluation take this into account during the design and implementation stages. (P32,33)

## Document 19: IOM Guidance for Addressing Gender in Evaluations (2018)

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	High	Gender equality and mainstreaming are explored in some detail and this document could be used on a standalone basis for this specific area.	Yes
Environmental Considerations	Nil		

Integrating gender equality aspects in the overall Monitoring and Evaluation (M&E) processes is in line with IOM's evaluation and monitoring policies where one of the common objectives is "to guarantee inclusion of cross-cutting issues such as gender and accountability to affected populations". This will help IOM to:

- Improve overall programming and gender mainstreaming by delivering relevant, targeted and efficient services to its beneficiaries; and
- Understand better what the Organization achieves and reports on in relation to its gender equality mandate and overall results. (P4)

Regional Offices (ROs) and Country Offices (COs), with the support of the OIG/Evaluation, are recommended to guide and review the quality of gender equality content in regional- and country-level evaluations, in line with the IOM Project Handbook (Second edition) 2017, the UNEG Handbook for Conducting Evaluations and Guidance on Integrating Human Rights and Gender Equality in Evaluations<sup>2</sup> 2014, and UN Women Evaluation Handbook on how to Manage Gender-Responsive Evaluation 2015<sup>3</sup>, which provide detailed and practical examples and guidance on gender-sensitive criteria, indicators and tools. (P4)

For each evaluation reviewed, OIG/Evaluation reports on the following criteria:

- Gender considerations are integrated in the **Evaluation Scope of Analysis**, and **Evaluation Criteria and Evaluation Questions (EQs)** are designed in a way that ensures gender equality data will be collected;
- A gender-responsive Evaluation Methodology, Methods, Tools and Data Analysis Techniques are selected;
- The evaluation Findings, Conclusions and Recommendations reflect gender analysis; and
- The entity has commissioned at least one evaluation to assess Corporate Performance on Gender Mainstreaming or evaluation of its GE Policy/Strategy or equivalent every 5-8 years.

A more extensive explanation and guidance can be found in the updated UN-SWAP Evaluation Performance Indicator Technical Note<sup>8</sup> and UNEG Guidance on Evaluating Institutional Gender Mainstreaming. (P6)

Areas covered in more detail in the Guidance:

- Evaluation core gender indicators
- Gender dimension in evaluative work:
- Step 1: Integration of Gender in Evaluation ToRs
- Step 2: Addressing Gender in Evaluation Criteria and Questions
- Step 3: Making Evaluation Methodology and Data Collection and Analysis Methods Gender-Responsive
- Step 4: Reflecting Gender Analysis in Evaluation Findings, Conclusions and Recommendations

## Document 20: IOM Gender and Evaluation Tip Sheet

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Medium	Covers approaches to evaluate gender equality and mainstreaming and refers to UN Gender SWAP. As a tip sheet, presents medium level of information on how to evaluate these issues, but would not work as a self-standing document.	
Environmental Considerations	Nil		

Summarises Document 19 above in a user-friendly format.

Integrating gender equality aspects in the overall Monitoring and Evaluation (M&E) processes will help IOM to:

1. Improve overall programming and gender main-streaming by delivering relevant, targeted and efficient services to its beneficiaries; and,
2. Understand better what the Organization achieves and reports on in relation to its gender mandate and overall results. (P1)

To integrate gender equality into evaluations, IOM has made the UN System-wide Action Plan on Gender Equality and the Empowerment of Women (UN-SWAP) a central aspect of the M&E tasks, demonstrating the Organisation’s commitment to the UN-SWAP. This Tip Sheet focuses on concrete ways in which IOM can perform its evaluation functions per UN-SWAP. The four-step approach (where Step 1 aims at evaluation managers and Steps 2-4 aim at those who conduct the evaluations) consists of: (P1)

- Step 1: Integration of Gender in Evaluation ToRs
- Step 2: Addressing Gender in Evaluation Criteria and Questions
- Step 3: Making Evaluation Methodology and Data Collection and Analysis Methods Gender-Responsive
- Step 4: Reflecting Gender Analysis in Evaluation Findings, Conclusions and Recommendations (P2)

**Document 21: IOM Evaluation Guidelines 2006**

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Nil		
Environmental Considerations	Nil		

No relevant sections. Superseded by Documents 19 and 20 above.

**Document 22: IOM Evaluation and Monitoring Strategy**

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Nil		
Environmental Considerations	Nil		

No relevant sections. Superseded by Documents 19 and 20 above.

## Document 23: ITC Evaluation Guidelines

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Medium	Human rights and gender equality identified as cross cutting evaluation issues. Medium level of guidance, not at self-standing level. Cross-references UNEG guidelines for further information.	Yes
Environmental Considerations	Low	Environment and climate change identified as cross cutting evaluation issues.	

It is important to note that ITC has two guidance documents which should be made use of at the project design stage, these are Environmental Mainstreaming: A Guide for Project Managers; and ITC Gender Mainstreaming Policy. The use of these two mainstreaming documents will guide projects in these two SDG dimensions. (P8)

### CROSS-CUTTING DIMENSIONS (of ITC Evaluations)

**Human Rights and Gender Equality.** This is to assess whether human rights and gender equality are sufficiently embedded in the intervention, and the extent to which the intervention has contributed to their enhancement.<sup>41</sup>

**Environment and climate change.** This is to assess, in the trade development context, to what extent the interventions have contributed to protection and rehabilitation of natural resources and the environment, and to climate adaptation and resilience.

**Innovation.** This is to assess to what extent the intervention has introduced innovative approaches to achieve ITC's goals or better adapt to emerging contexts, and the innovations have been replicated or scaled up by development partners. (P16)

**Table 5: Evaluation matrix: Integrating cross-cutting dimensions into evaluation criteria**

#### Human Rights and Gender Equality (P28, 29)

(all of the evaluation issues and possible evaluation questions provided for human rights and gender equality are extracted from United Nations Development Group (2014), *Integrating Human Rights and Gender Equality in Evaluations*, pp. 77-79.)

#### Environment and climate change

The contribution to changes in the protection and rehabilitation of natural resources and the environment, and to climate adaptation and resilience

- Has the intervention led to changes in the environment and natural resources protection and rehabilitation through trade support interventions?
- – What activities have been taken into consideration of climate adaptation and resilience, and what are the results? (P30)

**Document 24: JIU Norms and Standards**

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Nil		
Environmental Considerations	Nil		

No relevant sections.

## Document 25: JIU Standards and Guidelines

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Nil		
Environmental Considerations	Nil		

No relevant sections.



## Document 26: MDGF Achievement Fund Guidance note on Final Evaluation Reports

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Low	Each evaluation should address gender mainstreaming and inequalities. No further information.	
Environmental Considerations	Nil		

Key issues that need to be addressed by each evaluation are:

- To what extent **gender mainstreaming and inequalities**, the two cross-cutting issues of the Fund's joint programmes, have been incorporated **in programme design and implementation**. (P1)

**Document 27: OCHA Strategic Plan 2018 – 2021**

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Nil		
Environmental Considerations	Nil		

Contains Evaluation Plan.

No relevant documents found.

**Document 28: OHCHR Evaluating Human Rights Training Activities. A Handbook for Human Rights Educators**

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	High	Detailed handbook on specific social consideration, evaluating human rights training activities. Includes evaluation of gender effects and impacts. Standalone document on specific evaluation area.	
Environmental Considerations	Nil		

This 280 Page technical handbook covers **evaluation of human rights training** in extensive detail. It is probably the most comprehensive guidance document on a “social consideration” in the UN evaluation system. It is not therefore necessary or possible to draw too many extracts from its contents.

Evaluating the impact of HRE is a complex undertaking, as this type of education, whose ultimate **goal is greater respect for human rights leading to social change**, is difficult to measure in isolation from political, economic and social factors. (P1)

The Handbook is divided into **five parts**:

**Part 1, Evaluating human rights education: exploring the basics**, begins by reviewing the goals, content and process of human rights education. Key concepts of educational evaluation are then introduced as well as two models of educational evaluation that can guide human rights educators in incorporating evaluation into their HRE work.

**Part 2, Evaluating human rights education: a step-by-step process**, outlines a five-step process for evaluating human rights training sessions for adult learners. This process, which includes training needs assessment, defining results, formative evaluation, end-of-training summative evaluation and impact and transfer evaluations, directly links the design of evaluation with the different phases of a training design cycle. The evaluation process presented will assist human rights educators in building evaluation into their human rights education activities. This will ensure that evaluation is not just an afterthought but rather an integral part of the training design.

Data analysis methods and techniques as well as different means of communicating results are also addressed.

**Part 3, Particular evaluation concerns**, looks at a number of important issues and questions that human rights educators will need to deal with when evaluating human rights education activities and also provides some useful strategies for addressing them. Issues discussed in **Part 3** include: **the role of gender in evaluation**, the effects of culture and language, evaluation of evaluations, and finding time and resources for evaluation.

**Part 4, Tools and techniques for evaluation in human rights education**, presents a collection of evaluation tools and techniques for the different types of evaluation - **from training needs assessment to evaluating transfer and impact**. The tools and techniques included in this part of the Handbook have been developed by human rights educators working in the field and can be easily adapted to suit your particular needs.

**Part 5, Useful resources for human rights education evaluation,** contains a variety of resources consulted in the development of this Handbook, including print and electronic materials, and a list of relevant websites. (p5)

**Document 29: OIOS-DESA Inspection and Evaluation Manual. 2014**

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Medium	Includes extensive guidance on evaluation processes to ensure coverage of human rights and gender aspects of projects and activities. Not standalone but cross-referenced more detailed documents.	Yes
Environmental Considerations	Nil		

**1.6 Ensuring Human Rights and Gender-Sensitive Evaluations**

In line with GA mandates and the UN Evaluation Group (UNEG) norms and standards (Part I, Section 1.5), OIOS-IED integrates human rights and gender perspectives into its evaluation practice. **Human rights and gender equality-responsive evaluation** has two essential elements. It is about what the evaluation examines and how the evaluation is undertaken. It is not an approach just for programmes with an explicit focus on human rights and/or gender equality, but rather provides a holistic and meaningful assessment of any and all programming.

OIOS-IED strives to integrate human rights and gender equality throughout the different steps of its evaluation process, including: putting together evaluation teams balanced on gender and other dimensions, wherever feasible; mapping evaluation stakeholders with a view to gender and human rights considerations; reflecting any relevant human rights or gender-specific aspects of the programme in the evaluation Programme Impact Pathway (PIP) or Thematic Impact Pathway (TIP) Part II; ensuring appropriate questions are included in the inception paper or ToR that focus on these dimensions, and framing them accordingly; and collecting disaggregated data and writing the evaluation report. In doing so, OIOS-IED intends to contribute to strengthened accountability for and learning within the Organization on what is and is not working in its quest to advance human rights and gender equality. (P23)

There are a number of resources on integrating human rights and gender equality in evaluation, including those produced by the **UNEG**, with OIOS-IED’s involvement [UNEG. 2011a] [UN Women. 2010a] [UNICEF. 2011a] [Gender and Evaluation] [Feminist Evaluation] [My M&E] [BetterEvaluation]. OIOS-IED staff members (re-) familiarize themselves with these important sources of guidance right at the outset of every new evaluation. (P24)

Project-specific advisory panels are established to include subject-matter and/or methodology experts. As the term suggests, advisory panel members provide input into evaluation projects at critical stages, such as during scoping, development of the inception paper, data collection and drafting of the evaluation report. The panels can be used in various capacities, depending on project needs. Some function as external reference groups of experts, whose role is to provide a non-UN perspective on the subject matter at hand. Others might include other evaluators familiar with a highly specialized technique, such as population surveys. Yet others help develop sample lists of stakeholders that OIOS-IED might otherwise have difficulty developing on its own. Whatever the specific purview of the evaluation advisory panel, it is good practice to develop an advisory panel ToR [IED #12] so that its members are clear on what is expected of them - and so that OIOS-IED profits from their expertise in an optimal manner. OIOS-IED mentions the use of advisory panels in the methodology section of its evaluation reports and provides a brief description of the panel, its function and membership. (P28)

(Under lesson-learning) How effectively did we incorporate a gender and human rights (Part I, Section 1.6) as well as environmental sustainability lens into our conduct of the evaluation? (P110)

**Document 30: OPCW Standard Operating Procedure for Evaluation of the Results of OPCW Proficiency Tests**

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Nil		
Environmental Considerations	Nil		

No relevant text found.

### Document 31: UNAIDS 12 Components Monitoring and Evaluation System Strengthening Tool

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	High	Detailed and standalone document to evaluate national HIV AIDS programmes.	
Environmental Considerations	Nil		

Detailed technical tool for M&E systems for national HIV AIDS programmes. Taking this as a “social consideration” this document is a stand-alone tool for evaluators of this specific area.

**Document 32: UNCDF Strategic Framework Evaluation Plan 2018 – 2021\***

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Low	Thematic evaluations will include effects on poor, vulnerable, under-served, gender equality, women and youth. No details of methods. No cross-reference to UNDP Evaluation Guidelines.	
Environmental Considerations	Nil		

As stated in the Strategic Framework, UNCDF will actively seek to cooperate with interested partners to finance and conduct at least two thematic evaluations that would address the following two questions:

- UNCDF’s performance in supporting the move from innovation to scale and the effects of its interventions at the broader policy and market systems level over time across the organization;
- UNCDF’s performance in **making finance work for poor, under-served and vulnerable populations, especially women and youth in the LDCs and the effects on the lives and livelihoods of women and the development of communities in which they work;** (P3)

Evaluation teams are expected to fully respect good practice in the conduct of international development evaluation, including the need for transparent, triangulated data collection and **systematic assessment of programs’ performance in supporting gender equality and the empowerment of women.** (P3)

**\*UNCDF evaluation falls under UNDP Evaluation Policy. Therefore, UNDP evaluation guidelines could also be applied in UNCDF evaluations, in which case this rating would follow that for UNDP in entry 34 below.**



**Document 33: UNCTAD Participatory Self Evaluation. A Guide for Project Managers**

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Low	Outlines requirements for evaluation to cover gender equality, women’s empowerment, human rights, equity and for participation in evaluation processes. Little detail.	
Environmental Considerations	Low	Evaluation should consider environmental sustainability, mainstreaming environmental protection and sustainable natural resource management. Little detail.	

**Cross-Cutting Issues: Gender, Human Rights And The Environment**

UNCTAD project managers are required to assess the extent to which **gender equality and women’s empowerment** issues are sufficiently embedded in the interventions. It is also important to assess to what extent the intervention has contributed to the **promotion and protection of human rights (including labor rights) or equity issues**. In order to do this, a special section in the PSE template to create a report is included, for both project managers and stakeholders.

Besides addressing gender equality and human rights through a set of questions, the project manager should make all reasonable efforts to sure that gender is mainstreamed throughout the whole process of PSE, including gender balanced stakeholder participation on the PSE workshop. Women, as well as persons representing various (including vulnerable) groups, should be included in the consultation process, in order to be able to assess how the results of the project/programme benefited women and men from various groups.

Finally, where relevant, the **evaluation should also assess the extent to which environmental sustainability considerations** have been integrated into activities. This could involve **mainstreaming environmental protection and sustainable natural resource management** into project activities or mitigating any adverse environmental impacts of programmes and projects. (P7)

## Document 34: UNDP Evaluation Guidelines

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	High	Evaluations need to integrate gender equality, mainstreaming, women’s empowerment, human rights, including vulnerable, excluded, etc. Detailed questions provided and evaluation quality assessment questions on these issues. Standalone on these issues.	Yes
Environmental Considerations	Low	Procedures for validation of GEF Terminal Evaluations described. Little detail.	

### Box 4. Integrating gender equality and women’s empowerment perspectives in the terms of reference for an evaluation

In principle, all evaluations conducted or commissioned by UNDP must **integrate human rights and gender equality and aim to “meet” the requirements of the United Nations System-wide Action Plan on Gender Equality and the Empowerment of Women Evaluation Performance Indicator** (see section 6 for more on the assessment and the indicator). Integrating gender equality and women’s empowerment in the scope of the evaluation, as expressed in the terms of reference, is a critical first step. A gender-responsive evaluation should be carried out even if the subject of evaluation was not gender-responsive in its design.

The **UNEG guidance document, ‘Integrating Human Rights and Gender Equality in Evaluations’,<sup>13</sup>** provides examples of how to incorporate these elements in the definition of the evaluation’s purpose, objectives, context and scope and to add a gender dimension to the standard evaluation criteria. Examples of tailored evaluation questions are also provided (P13).

#### Gender, exclusion sensitivity and rights-based approach

UNDP evaluations are guided by the principles of equity, justice, gender equality and respect for diversity.<sup>25</sup> As appropriate, UNDP evaluations assess the extent to which UNDP initiatives have addressed the **issues of social and gender inclusion, equality and empowerment**; contributed to strengthening the application of these principles to various development efforts in a given country; and incorporated the UNDP commitment to rights-based approaches and gender mainstreaming in the initiative’s design.

**Mainstreaming a gender perspective** is 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 gender equality-related concerns 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. UNDP evaluations should assess the extent to which UNDP initiatives have considered addressing gender equality issues in the design, implementation and outcome of the initiative and if both women and men can equally access the programme’s benefits to the degree they were intended. Similarly, evaluations should also address the extent to which UNDP has advocated for the principles of equality and inclusive development, and has contributed to empowering and addressing the needs of the most disadvantaged and vulnerable populations in a given society.

The rights-based approach in development efforts entails the need to ensure that development strategies facilitate the claims of rights-holders and the corresponding obligations of duty-bearers. This approach also emphasizes the important need to address the immediate, underlying and structural causes for not realizing such rights. The concept of civic engagement, as a mechanism to claim rights, is

an important aspect in the overall framework. When appropriate, evaluations should assess the extent to which the initiative has facilitated the capacity of rights-holders to claim their rights and duty-bearers to fulfil their obligations. (P17)

The mainstream definitions of the OECD-DAC criteria are neutral in terms of human rights and gender dimensions and these dimensions need to be added into the evaluation criteria chosen (see page 77, table 10 of Integrating Human Rights and Gender Equality in Evaluations). (Section 4, P35)

### **Evaluation cross-cutting issues sample questions**

#### **Human rights**

- To what extent have poor, indigenous and physically challenged, women and other disadvantaged and marginalized groups benefited from the work of UNDP in the country?

#### **Gender equality**

- To what extent have gender equality and the empowerment of women been addressed in the design, implementation and monitoring of the project?
- Is the gender marker data assigned to this project representative of reality?
- To what extent has the project promoted positive changes in gender equality and the empowerment of women? Were there any unintended effects? (Section 4, P38)

6.10.3 Cross-cutting issues: Does the evaluation report address gender and other key cross-cutting issues?

- 3.1 Are human rights, disabilities, minorities and vulnerable group issues addressed where relevant?
- 3.2 Does the report discuss the poverty/environment nexus or sustainable livelihood issues, as relevant?
- 3.3 Does the report discuss disaster risk reduction and climate change mitigation and adaptation issues where relevant?
- 3.4 Does the report discuss crisis prevention and recovery issues as relevant?
- 3.5 Are the principles and policy of gender equality and the empowerment of women integrated in the evaluation's scope and indicators as relevant?
- 3.6 Do the evaluation's criteria and evaluation questions specifically address how gender equality and the empowerment of women have been integrated into the design, planning and implementation of the intervention and the results achieved, as relevant?
- 3.7 Are a gender-responsive evaluation methodology, methods, tools and data analysis techniques selected?
- 3.8 Do the evaluation findings, conclusions and recommendations take aspects of gender equality and the empowerment of women into consideration?
- 3.9 Does the evaluation draw linkages to the Sustainable Development Goals and relevant targets and indicators for the area being evaluated?

- 3.10 Does the terminal evaluation adequately address social and environmental safeguards, as relevant? (GEF evaluations)

(Section 6 Page 10).

#### 6.10.5 Validation of GEF terminal evaluation results

This section is used only for GEF evaluations to validate the project ratings identified during the initial terminal evaluations. In order to undertake the quality assessment of GEF terminal evaluations and to validate the rating of project implementation identified by the initial evaluator, additional documentation will be provided to quality assessment reviewers. This will include:

- The project's concept note and identification forms (PIF/Pdf A & B), project document (ProDoc) including results framework.
- Project implementation reviews (APR/PIR).
- Tracking tools (as available).
- Midterm evaluation, if carried out.
- The terminal evaluation report and TOR.
- The terminal evaluation management response.

(Section 6, Page 12)

#### 6.11 UN-SWAP evaluation performance indicator and assessment

The United Nations System-wide Policy on Gender Equality and the Empowerment of Women was endorsed by the Chief Executives Board for Coordination in October 2006 as a means of furthering the goal of gender equality and women's empowerment in the policies and programmes of the United Nations system. In 2012, the United Nations agreed on the System-wide Action Plan on Gender Equality and the Empowerment of Women (UN-SWAP) to implement the aforementioned gender policy. The UN-SWAP assigned common performance standards for the gender-related work of all United Nations entities, including evaluation. The UN-SWAP includes an evaluation performance indicator (EPI). In 2018, the UN-SWAP was updated, including a revision to the EPI.

UNDP is required to report against the EPI annually, assessing both independent evaluations and decentralized evaluations. Detailed information on the EPI is available [here](#). The present chapter summarizes key elements of the EPI and explains the UNDP assessment process.

##### 6.11.1 What is the UN-SWAP evaluation performance indicator?

The EPI assesses the extent to which the evaluation reports of an entity meet the gender-related United Nations Evaluation Group (UNEG) Norms and Standards for Evaluation and demonstrate effective use of the UNEG Guidance on integrating human rights and gender equality during all phases of the evaluation.

##### 6.11.2 The evaluation performance indicator criteria and scorecard

A scorecard is used to assess evaluations reports against three criteria. (A fourth criterion applies at the agency level). The first two criteria look at whether gender equality concerns were integrated in the evaluation's scope of analysis and methods and tools for data collection and analysis.

1. Gender equality and the empowerment of women are integrated in the evaluation's scope of analysis, and evaluation criteria and questions are designed in a way that ensures that relevant data will be collected.
2. Gender-responsive methodology, methods, tools and data analysis techniques are selected.

The third criterion is focused on whether the evaluation report reflects a gender analysis as captured in the findings, conclusions and recommendations. This could be captured in various ways throughout the evaluation report.

3. The evaluation findings, conclusions and recommendations reflect a gender analysis.

The fourth criterion is focused on whether the entity—in the present case UNDP—has commissioned:

4. At least one evaluation to assess corporate performance on gender mainstreaming or equivalent every five to eight years.

Each evaluation report is assessed against the first three criteria using a four-point scale (0-3):

- 0 = Not at all integrated. Applies when none of the elements under a criterion are met.
- 1 = Partially integrated. Applies when some minimal elements have been met but further progress is needed, and remedial action is required to meet the standard.
- 2 = Satisfactorily integrated. Applies when a satisfactory level has been reached and many of the elements have been met but improvement could still be made.
- 3 = Fully integrated. Applies when all the elements under a criterion have been met, used and fully integrated in the evaluation and no remedial action is required.

The annex to the UN-SWAP EPI technical note sets out guiding questions for the assessment against each criterion. After reviewing the individual evaluation report for each criterion, a score is assigned to the report as follows:

- 0-3 points = Misses requirement
- 4-6 points = Approaches requirement
- 7-9 points= Meets requirement

(Section 6, Page 17)

#### 6.11.5 Reporting

The IEO prepares a final synthesis report, which is uploaded to the UN-SWAP portal. UN-Women analyses all UN-SWAP performance indicators, including for evaluation, and an aggregated report is presented every year through the report of the Secretary-General to the Economic and Social Council on mainstreaming a gender perspective into all policies and programmes in the United Nations system.<sup>6</sup> (Section 6, Page 18)

**Document 35: UNEG Competency Framework**

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Medium	Competency framework for evaluators intending to conduct evaluations relevant to gender and human rights. Informative for very specific purpose.	
Environmental Considerations	Nil		

Integration of human rights and gender perspectives into evaluation			
Has knowledge of United Nations and own agency's policies related to human rights and gender equality and consistently uses methods and approaches that support human rights and gender equality, including analysis of underlying inequalities	Has excellent knowledge of human rights and gender equality and is able to ensure that evaluation design, questions and analysis incorporate this knowledge into all settings	Has solid knowledge of human rights and gender equality and is able to ensure that evaluation design, questions and analysis incorporate this knowledge in most settings	Has knowledge of human rights and gender equality and is able to ensure that evaluation design, questions and analysis incorporate this knowledge in simple settings
Consistently integrates human rights and gender perspectives into evaluation processes, from planning to communication and use of results	Consistently integrates human rights and gender perspectives into evaluation processes in all settings	Consistently integrates human rights and gender perspectives into evaluation processes in most settings	Consistently integrates human rights and gender perspectives into evaluation processes in simple settings

**(P9)**

Adapting the evaluation to fit circumstances			
Is able to identify conflicts and issues and to develop problem-solving strategies  Has conflict resolution skills and is able to analyse and articulate the lessons learned	Has excellent and demonstrable abilities to identify and manage conflicts  Has highly developed conflict resolution skills and excellent skills in drawing out lessons learned from challenging situations	Has solid ability to identify and manage conflicts  Has well-developed conflict resolution skills and solid skills in drawing out lessons learned from challenging situations	Understands the importance of identifying and managing conflicts  Is beginning to develop conflict resolution skills and skills in drawing out lessons learned from challenging situations
Is able to ensure that evaluations are implemented in a manner that respects local customs, religious beliefs and practices, gender roles, and ethnicities while maintaining sensitivity to disability and age	Has excellent understanding of and knows how to respect local customs, religious beliefs and practices, gender roles and ethnicities, while maintaining sensitivity to disability and age	Has a solid understanding of and knows how to respect local customs, religious beliefs and practices, gender roles and ethnicities, while maintaining sensitivity to disability and age	Has understanding of and knows how to respect local customs, religious beliefs and practices, gender roles and ethnicities, while maintaining sensitivity to disability and age

**(P14)**

## Document 36: UNEG Norms and Standards for Evaluation

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Medium	Norms and standards for evaluations of human rights and gender equality. Cover standards, guidelines, responsibilities, TORs, evaluation design, team selection. Medium detail, not standalone.	
Environmental Considerations	Nil		

### Norm 8 Human rights and gender equality

12. The universally recognized values and principles of human rights and gender equality need to be integrated into all stages of an evaluation. It is the responsibility of evaluators and evaluation managers to ensure that these values are respected, addressed and promoted, underpinning the commitment to the principle of ‘no-one left behind’. (P12)

#### STANDARD 2.2 Evaluation guidelines

**The head of evaluation is responsible for ensuring the provision of appropriate evaluation guidelines.**

36. The head of evaluation is responsible for ensuring the provision of evaluation guidelines within the organization both for evaluations conducted by the central evaluation function and for decentralized evaluations.

37. Evaluation guidelines should follow the *UNEG Norms and Standards* and incorporate its relevant elements. Although guidelines may need to be prepared for different types of evaluations or for different types of users, the guidelines should generally cover:

- The roles and responsibilities in setting up, managing, conducting, quality controlling, reporting and disseminating evaluations;
- The process of evaluation;
- Stakeholder involvement;
- Guidance on methodologies and quality control; and
- Reporting, dissemination and the promotion of learning.

(P18)

38. For decentralized evaluations, the guidance should cover overall planning and resourcing.

(P19)

46. The commissioners of evaluation should possess competencies related to the following areas:

- Sufficient knowledge of ethics, human rights and gender equality in order to assess the knowledge of evaluators who are being commissioned to undertake an evaluation;

(P20)

#### STANDARD 4.7 Human rights-based approach and gender mainstreaming strategy

The evaluation design should include considerations of the extent to which the United Nations system’s commitment to the human-rights based approach and gender mainstreaming strategy was incorporated in the design of the evaluation subject.

(P24)

71. United Nations organizations, guided by the United Nations Charter, have a responsibility and mission to assist Member States to meet their obligations towards the realization of the human rights of those who live within their jurisdiction. Human rights treaties, mechanisms and instruments provide United Nations organizations with a guiding frame of reference and a legal foundation for ethical and moral principles; these vehicles should guide evaluation work. Consideration should also be given to gender equality issues and hard-to-reach and vulnerable groups.

72. The evaluation design might also include some process of ethical review of the initial design of the evaluation subject. More specifically, the evaluation terms of reference should:

- Indicate both duty bearers and rights holders (particularly women and other groups subject to discrimination) as primary users of the evaluation and specify how they will be involved in the evaluation process;
- Spell out the relevant human rights and gender equality instruments or policies that will guide evaluation processes;
- Incorporate an assessment of relevant human rights and gender equality aspects through the selection of the evaluation criteria and questions;
- Specify an evaluation approach and methods of data collection and analysis that are human rights-based and gender-responsive;
- Specify that evaluation data should be disaggregated by social criteria (e.g. sex, ethnicity, age, disability, geographic location, income or education);
- Define the level of expertise needed among the evaluation team on human rights and gender equality, define responsibilities in this regard and call for a gender-balanced and culturally diverse team that makes use of national/regional evaluation expertise.

(P25)

#### **STANDARD 4.8 Selection and composition of evaluation teams**

The evaluation team should be selected through an open and transparent process, taking into account the required competencies, diversity in perspectives and accessibility to the local population. The core members of the team should be experienced evaluators.

73. Commensurate with the public accountability role of evaluation, the evaluators or the evaluation teams must be selected through a transparent and competitive process. The core members of the evaluation team must be experienced evaluators with appropriate methodological expertise. When selecting external evaluators, practices that would lead to biases should be avoided, such as having those with a strong professional opinion on the subject matter. When the service of subject-matter experts who may have strong views is required, it is more appropriate to have them in advisory roles and their views should be triangulated.

74. In composing an evaluation team, care should be taken to achieve an appropriate gender balance and geographical diversity so that different perspectives are reflected. Where possible, (P25) professionals from the countries or regions concerned should be selected in order to achieve better understanding of the national and regional context and perspectives and in order to enhance the acceptability by local populations. When an evaluation requires access to the local population, factors to consider when recruiting local consultants include local language skills, cultural and gender sensitivities, ethnic or tribal affiliation and potential conflicts of interest.

(P26)



## Document 37: UNEG Guidance on Evaluating Institutional Gender Mainstreaming

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	High	Detailed guidance on institutional gender mainstreaming. Standalone.	
Environmental Considerations	Nil		

Complete and stand-alone guidance document on specific “social consideration” topic.

*Topics covered as listed in Contents pages.*

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**Document 38: UNEG Guidance Document - Integrating Human Rights and Gender Equality in Evaluations**

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	High	Addresses interconnections between HR and GE approaches (“social considerations) and offers substantial advice on how to address these issues in evaluations. Looks at broad context and gives examples of good practice. A detailed “how to” manual for activities where HR and GE are the primary focus, as well as for those where they make an underlying contribution. Standalone source document.	UNEG document
Environmental Considerations	Nil		

Detailed guidance document, covering many areas in detail, as shown in Contents page below.

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## Document 39: UNEP Evaluation Templates and Tools Webpage

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Medium	Aspects to be covered by evaluation include relevance to poverty reduction strategies, responsiveness to HR and GE issues and vulnerability. Sustainability includes socio-political.	
Environmental Considerations	Medium	Efficiency includes extent to which project implementation minimized UNEP's environmental footprint.	

The Templates and Tools webpage links to several brief guidance documents, which are here reviewed as a set.

- **Terms of Reference for a UN Environment Project (Non GEF)**

*Under “strategic relevance:”*

- i. *Relevance to Regional, Sub-regional and National Environmental Priorities*

1. The evaluation will assess the extent to which the intervention is suited, or responding to, the stated environmental concerns and needs of the countries, sub-regions or regions where it is being implemented. Examples may include: national or sub-national development plans, poverty reduction strategies or Nationally Appropriate Mitigation Action (NAMA) plans or regional agreements etc.

This requirement incorporates both social (e.g., poverty reduction strategies) and environmental (e.g. NAMA) considerations. (P3)

*Under “Complementarity with Existing Interventions:”*

*Factors affecting this criterion may include:*

- Stakeholders’ participation and cooperation
- **Responsiveness to human rights and gender equity**
- Country ownership and driven-ness (P3)

(These factors are repeated for several other evaluation components)

*Under “efficiency”:*

2. The evaluation will also consider the extent to which the management of the project minimised UN Environment’s environmental footprint. (P6)

*Under “sustainability”:*

- i. **Socio-political Sustainability**

3. The evaluation will assess the extent to which social or political factors support the continuation and further development of project direct outcomes. It will consider the level of ownership, interest and commitment among government and other stakeholders to take the project achievements forwards. In particular the evaluation will consider whether individual capacity development efforts are likely to be sustained.

(P6)

*Under Factors and Processes Affecting Project Performance:*

- i. **Responsiveness to Human Rights and Gender Equity**

4. The evaluation will ascertain to what extent the project has applied the UN Common Understanding on the human rights-based approach (HRBA) and the UN Declaration on the Rights of Indigenous People. Within this human rights context the evaluation will assess to what extent the intervention adheres to UN Environment's Policy and Strategy for Gender Equality and the Environment.

5. In particular the evaluation will consider to what extent project design, implementation and monitoring have taken into consideration: (i) possible gender inequalities in access to, and the control over, natural resources; (ii) specific vulnerabilities of women and children to environmental degradation or disasters; and (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation. (P7,8)

- **Terms of Reference for a UN Environment Project (GEF)**

The TOR for GEF-funded projects do not show substantial differences from those for non-GEF projects, with mainly procedural additions or variations.

- **Guidance on the Structure of the Main Evaluation Report**

*Under "Evaluation Methods:"*

The report should describe:

Methods to ensure that potentially excluded groups (excluded by gender, vulnerability or marginalisation) are reached and their experiences captured effectively, should be made explicit in this section. (P2)

Ethics and human rights issues should be highlighted including: how anonymity and confidentiality were protected and strategies used to include the views of marginalised or potentially disadvantaged groups and/or divergent views. (P2)

*Under "Project Context:"*

The report should include:

Overview of the main issue that the project is trying to address, its root causes and consequences on the environment and human well-being (ie synopsis of the problem and situational analyses). Include any socio-economic, political, institutional or environmental contextual details relevant to the project's stated intentions. Can include a map of the intervention locations (*GEF evaluations require a geo-referenced map of intervention sites visited*).

The section should identify any specific external challenges faced by the project (eg conflict, natural disaster, political upheaval etc). (P2)

*Under "project stakeholders"*

Key change agents should be identified and due attention given to gender and under-represented/marginalised groups. (P3)

*Under "effectiveness:"*

The effects of the intervention on differentiated groups, including those with specific needs due to gender, vulnerability or marginalisation, should be discussed explicitly. These may be positive or negative effects. (P4)

*Under "efficiency:"*



- The extent to which the management of the project minimised UN Environment’s environmental footprint. (P4)

Under “sustainability:”

Discussion of the key conditions or factors that are likely to undermine or contribute to the persistence of achieved direct outcomes are identified and discussion, including:

- Socio-political Sustainability
- Financial Sustainability
- Institutional Sustainability (*including issues of partnerships*) (P5)

Under “conclusions:”

Human rights and gender dimensions of the intervention (e.g. how these dimensions were considered, addressed or impacted on) should be discussed explicitly. (P5)

Under “recommendations:”

At least one recommendation relating to strengthening the human rights and gender dimensions of UN Environment interventions, should be given. (P6)

### **Template for the Assessment of Project Design Quality (PDQ)**

Under “project preparation:”

Does the project document include a clear and adequate stakeholder analysis, including by gender/minority groupings? (P2)

Does the project document identify concerns with respect to human rights, including in relation to sustainable development? (P2)

Under “intended results and causality”

Are the roles of key actors and stakeholders, including gendered/minority groups, clearly described for each key causal pathway? (P2,3)

Under “risk identification and social safeguards:”

Are potentially negative environmental, economic and social impacts of the project identified and is the mitigation strategy adequate? (*consider unintended impacts*)(P5)

Did the design address any/all of the following: socio-political, financial, institutional and environmental sustainability issues? (P5)

Under Gender Marker Score

What is the Gender Marker Score applied by UN Environment during project approval? (*This applies for projects approved from 2017 onwards*)

UNEP Gender Scoring:

**0 = gender blind:** Gender relevance is evident but not at all reflected in the project document.

**1 = gender partially mainstreamed:** Gender is reflected in the context, implementation, logframe, or the budget.

**2a = gender well mainstreamed throughout:** Gender is reflected in the context, implementation, logframe, and the budget.

**2b = targeted action on gender:** (to advance gender equity): the principle purpose of the project is to advance gender equality.

**n/a = gender is not considered applicable:** A gender analysis reveals that the project does not have direct interactions with, and/or impacts on, people. Therefore gender is considered not applicable. (P5,6)

**Document 40: UNEP Examples of Possible Evaluation Questions by Criteria**

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Medium	Evaluation analysis to include social impacts, especially on most vulnerable groups	
Environmental Considerations	Low	Analysis to include environmental impacts.	

One of a set of documents.

*Under “quality of project design:”*








Are the economic, social and environmental impacts to the key stakeholders identified, with particular reference to the **most vulnerable groups**? (P1)

*Under “within the theory of change:”*

Were **outputs accessible to all the relevant stakeholder groups**?

Have desired outcomes and impacts occurred amongst all stakeholder groups (and if not, consider why this might be). Have there been any unanticipated outcomes or impacts with particular reference to the most **vulnerable groups**. (P1)

*Catalytic effect:*

<p><b>Catalytic effect</b> (Within the Theory of Change) </p>	<p><u>Catalytic effect:</u> </p> <p>Where the project expects to play a catalytic role the Theory of Change can be used to explore the extent to which the project has: </p> <ul style="list-style-type: none"> <li>a. → catalyzed behavioural changes in terms of use and application, by the relevant stakeholders, of capacities developed; </li> <li>b. → provided incentives (social, economic, market based, competencies etc.) to contribute to catalyzing changes in stakeholder behaviour; </li> <li>c. → contributed to institutional changes, for instance institutional uptake of project-demonstrated technologies, practices or management approaches; </li> <li>d. → contributed to policy changes (on paper and in implementation of policy); </li> </ul>
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Many other relevant potential evaluation questions are listed, but not reported here.

## Document 41: UNEP Evaluation Criteria and Ratings Table

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Medium	Human rights and gender effects to be evaluated. Adherence to social safeguards.	
Environmental Considerations	Medium	Alignment to UN environment, GEF, donor regional, sub-regional and national environmental priorities. Adherence to environmental safeguards. Minimizing environmental footprint.	

*Under “strategic relevance:”*

### 1. Alignment to the UN Environment Medium Term Strategy<sup>4</sup> (MTS) and Programme of Work (POW)

The evaluation should assess the project’s alignment with the MTS and POW under which the project was approved and include, in its narrative, reflections on the scale and scope of any contributions made to the planned results reflected in the relevant MTS and POW.

### 2. Alignment to UN Environment / Donor/GEF Strategic Priorities

Donor, including GEF, strategic priorities will vary across interventions. UN Environment strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building<sup>5</sup> (BSP) and South-South Cooperation (S-SC). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology and knowledge between developing countries. GEF priorities are specified in published programming priorities and focal area strategies.

### 3. Relevance to Regional, Sub-regional and National Environmental Priorities

The evaluation will assess the extent to which the intervention is suited, or responding to, the stated environmental concerns and needs of the countries, sub-regions or regions where it is being implemented. Examples may include: national or sub-national development plans, poverty reduction strategies or Nationally Appropriate Mitigation Action (NAMA) plans or regional agreements etc. (P2)

... instances where UN Environment’s comparative advantage has been particularly well applied should be highlighted.

*Factors affecting this criterion may include:*

- Stakeholders’ participation and cooperation
- Responsiveness to human rights and gender equity
- Country ownership and driven-ness. (P3)

*Under “likelihood of impact:”*

The evaluation will also consider the likelihood that the intervention may lead, or contribute to, unintended negative effects. Some of these potential negative effects may have been identified in the project design as risks or as part of the analysis of Environmental, Social and Economic Safeguards.<sup>8</sup>

The evaluation will consider the extent to which the project has played a catalytic role or has promoted scaling up and/or replication<sup>9</sup> as part of its Theory of Change and as factors that are likely to contribute to longer term impact.

Ultimately UN Environment and all its partners aim to bring about benefits to the environment and human well-being. Few projects are likely to have impact statements that reflect such long-term or broad-based changes. However, the evaluation will assess the likelihood of the project to make a substantive contribution to the high-level changes represented by UN Environment's Expected Accomplishments, the Sustainable Development Goals<sup>10</sup> and/or the high-level results prioritised by the funding partner. (P4)

*Under "efficiency:"*

The evaluation will also consider the extent to which the management of the project minimised UN Environment's environmental footprint. (P5)

*Under : "Sustainability":*

Sustainability is understood as the probability of direct outcomes being maintained and developed after the close of the intervention. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved direct outcomes (ie. 'assumptions' and 'drivers'). Some factors of sustainability may be embedded in the project design and implementation approaches while others may be contextual circumstances or conditions that evolve over the life of the intervention. Where applicable an assessment of bio-physical factors that may affect the sustainability of direct outcomes may also be included.

### **1. Socio-political Sustainability**

The evaluation will assess the extent to which social or political factors support the continuation and further development of project direct outcomes. It will consider the level of ownership, interest and commitment among government and other stakeholders to take the project achievements forwards. In particular the evaluation will consider whether individual capacity development efforts are likely to be sustained.

....

### **3. Institutional Sustainability**

The evaluation will assess the extent to which the sustainability of project outcomes (especially those relating to policies and laws) is dependent on issues relating to institutional frameworks and governance. It will consider whether institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. are robust enough to continue delivering the benefits associated with the project outcomes after project closure. In particular, the evaluation will consider whether institutional capacity development efforts are likely to be sustained.

*Factors affecting this criterion may include:*

- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity (e.g. where interventions are not inclusive, their sustainability may be undermined)
- Communication and public awareness
- Country ownership and driven-ness

(P7)

#### ***4. Responsiveness to Human Rights and Gender Equity***

The evaluation will ascertain to what extent the project has applied the UN Common Understanding on the human rights-based approach (HRBA) and the UN Declaration on the Rights of Indigenous People. Within this human rights context the evaluation will assess to what extent the intervention adheres to UN Environment's Policy and Strategy for Gender Equality and the Environment.

In particular the evaluation will consider to what extent project design, implementation and monitoring have taken into consideration: (i) possible gender inequalities in access to, and the control over, natural resources; (ii) specific vulnerabilities of women and children to environmental degradation or disasters; and (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation. (P8)

**Document 42: UNESCO Evaluation Handbook**

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Nil		
Environmental Considerations	Nil		

No relevant material found.

**Document 43: UNESCO evaluation insights, 23: Making evaluation work for the achievement of SDG 4 target 5: equality and inclusion in education**

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Low	Meta synthesis of evaluations relevant to SDG4 on quality education for all. Specialized area: some recommendations on how best to evaluate it.	
Environmental Considerations	Nil		

Briefing on a meta-synthesis conducted as part of UNESCO’s evaluation work in this specific area.

**Evaluating progress towards the Sustainable Development Goals: SDG 4 as a case study**

While there exists a global monitoring framework for achieving SDG 4, on quality education for all, there does not exist a global evaluation framework to match. As the lead agency on SDG 4 UNESCO, through its evaluation office, in collaboration with UNICEF Evaluation Office, World Bank Internal Evaluation Group and NORAD Evaluation Department conducted a meta-synthesis of evaluations relevant to **SDG 4 Target 5, on gender parity, equality and inclusion in education.** (P1)

**Moving Forward**

The evaluation has identified a number of recommendations aimed at improving the delivery of the SIDS AP, including:

- **Address evidence gaps:** Agencies should work together to address areas with key gaps in evaluation evidence for SDG 4 Target 5. Such gap areas include the effects of teacher development initiatives, alternative/non-formal education, school-based management, school grants and decentralisation reforms in terms of achieving greater equality and inclusion.
- **Contribute to stronger and more consistently available data:** The evaluation units of international organisations can support and contribute to national capacity by investing in the work of national partners when collecting data on equality and inclusion, and by building in funding for national actors to monitor and conduct formative evaluations.
- **Strengthen evaluation methodologies:** Creating a common set of ‘best practices’ for evaluation in these areas would lead to significant advances in the level of knowledge and evidence available related to SDG 4 Target 5.
- **Synthesise and collaborate to make evidence more useful to national stakeholders:** Building on the momentum generated through this collaborative study, and on recent UN commitment for greater collaboration and coordination of evaluation work, development partners should foster ways to systematically coordinate, synthesise and promote learning from their evaluations. An assessment of the contributions of each activity to each of the cross-cutting themes, including Africa, Gender

Equality and Youth should also be undertaken. (P2)



**Document 44: UNFPA Assessing the quality of developmental evaluations at UNFPA**

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Low	Refers to UNEG guidance for evaluation of gender equality and human rights. No detailed explanation.	Yes
Environmental Considerations	Nil		

**3.11 Standard 11: Gender equality and human rights**

The UNEG Guidance Document on Gender Equality and Human Rights confirms that the “promotion and protection of human rights and gender equality are central principles to the mandate of the UN and all UN agencies.”<sup>24</sup> The document provides guidance and options for integrating these dimensions into the evaluation work of UN agencies. It lays out a comprehensive list of practices to promote this integration in the preparation, design, and implementation of an evaluation, stating the following:

- Integrating gender equality and human rights criteria, evaluation questions, and indicators into an evaluation terms of reference, as well as finalizing criteria for the preferred evaluation team, if appropriate.
- Selecting and employing methods to ensure that the gender equality and human rights aspects of the intervention are identified and analysed during the evaluation process, if appropriate.
- Selecting and employing methods to ensure that the intervention’s gender equality and human rights aspects are identified and analysed during the evaluation process, including in collection and analysis of data, if appropriate.
- Including gender equality and human rights issues in the findings and implications for further development, including how these will affect different stakeholders of the intervention. (P18)

**Evaluation Quality Assessment Criteria**

11.1 The evaluation terms of reference confirm that Gender Equality and Human Rights principles and values should be integrated into the developmental evaluation.

11.2 The evaluation design includes evaluation questions that specifically issues related to Gender Equality & Human Rights.

11.3 The evaluation includes gender-responsive and human rights responsive evaluation methodology, data collection and data analysis techniques.

11.4 The evaluation findings, conclusions and recommendations reflect a Gender Equality and Human Rights perspectives and issues.

**Document 45: UN Habitat RBM Handbook**

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Medium	Evaluations should include focus on gender, human rights and youth. Some specific guidance and example questions. Not standalone.	Yes
Environmental Considerations	Low	Environmental scan in evaluation includes “sustainable urban development issues.” Limited guidance and questions.	

As part of the Strategic Planning Process, conduct of **an environmental scan** - an analysis of key external elements or forces that affect the environment in which UN Habitat functions. Although this largely focusses on the institutional environment, it also includes “sustainable urban development issues”. (P35) . These are addressed through Focus Areas:

- Focus Area 1 – includes urban legislation, land and governance
- Focus Area 2 - Socially inclusive and climate resilient cities
- Focus Area 6 – Risk Reduction, Rehabilitation and Urban Resilience

Mission Statement:

UN Habitat, in collaboration with relevant stakeholders and other United Nations entities, supports governments and local authorities in line with the principle of subsidiarity to respond positively to the opportunities and challenges of urbanisation by providing normative or policy advice and technical assistance on transforming cities and other human settlements into inclusive centres of vibrant economic growth, social progress and environmental safety (2014-2019 Strategic Plan).

Under *Results Statements*:

A. Stakeholder Involvement

- Has a stakeholder analysis been done
- Has adequate consultation been undertaken
- Is there participation of both male and female stakeholders
- Are there mechanisms for participation in the design and decision making throughout the life cycle of the investment?

B. Gender/Human Rights/Youth Analysis

- Are the results truly sensitive to cross-cutting issues
- Do they address the concerns, priorities and needs of women and men, girls and boys.

C. Environmental Analysis

- Have environmental implications been taken into consideration
- Will results be sustainable?

(From Box 16, P73)

*Under Purpose and objectives of the evaluation:*

To assess the extent to which the design and implementation of the programme takes into consideration cross-cutting issues of gender equality and human rights approaches (P141)

## 12. Cross-cutting issues human rights, gender issues, youth and climate change /environment in evaluations

A number of cross-cutting issues need to be taken into account in carrying out evaluation studies. These include gender mainstreaming, human rights, climate change and capacity building. UN-Habitat is committed to ensuring that these basic principles are reflected in all its programming activities and throughout the project cycle.

UN-Habitat's *Gender Policy and Gender Equality Action plan* aim at mainstreaming a gender perspective and

practicing a gender-sensitive approach in all UN-Habitat interventions. All UN organizations are guided by the United Nations Charter, and have a responsibility to meet obligations towards the realization of human rights. Many projects impact on the physical environment and climate change, both directly and indirectly. For any project to be truly sustainable, it is important that issues of environmental impact are taken into account. UN-Habitat's environmental assessment requirements (2004) emphasize integrating environmental assessments in project planning, implementation, monitoring and evaluation, in order to minimize adverse impacts programmes may cause for the environment.

### 13. Gender equality and empowerment

The "gender approach" is not concerned with women per se, but with the social construction of gender and the assignment of specific roles, responsibilities and expectations to women and men. The gender approach does not focus solely on productive or reproductive aspects of women's and men's lives. Rather, it analyses the nature of the contribution of every member of society both inside and outside the household, and emphasizes the right of everyone to participate in the development process and benefit from the results of the process. Gender analysis should be considered throughout the process from programme planning and design to programme evaluation.

Indicators need to allow for measurement of benefits to women and men, and these will depend on the nature of the project under evaluation. Indicators need to capture quantitative and qualitative aspects of change. Quantitative indicators should be presented in a sex-disaggregated way. Qualitative information is also critical, and information will need to be collected through participatory methods such as focus groups and case studies. Another area of importance is the need to develop indicators of participation. Examples include pinpointing levels of men's and women's participation; women's and men's perceptions of the degree of group solidarity and mutual support; women's and men's perceptions of the ability of group members to prevent and resolve conflicts; and the participation of women and poorer people in decision-making processes. There is no agreed-upon method to measure empowerment, but it usually involves two aspects:

- personal change in consciousness characterized by a movement towards control, self-confidence and the capacity to make decisions and determine choices; and
- the creation of organisations aimed at social and political change.

### 14. Human rights

Human rights are the civil, cultural, economic, political and social rights inherent to all human beings, whatever their nationality, place of residence, sex, sexual orientation, national and ethnic origin, colour, ability, religion, language, or any other factor. They are considered universal, interdependent, and non-discriminatory. All human beings are entitled to these rights without discrimination. The strategy for implementing human rights in UN programming is called the Human Rights-Based approach (HRBA).

Key concepts of HRBA are:

- The development process is normatively based on international human rights standards and principles;
- It aims for the progressive achievement of all human rights;
- It recognizes human beings as rights-holders and establishes obligations for duty-bearers. It focuses on identifying capacity gaps, and developing capacities accordingly;
- It focuses on discriminated and marginalized groups;
- It gives equal importance to the outcome and process of development.

### 15. Youth

- Similar to the analysis of gender equality and empowerment, a youth analysis should be part of the total process from project planning and design to project evaluation.
- Indicators need to allow measurement of benefits to youth, and these will depend on the nature of the project under evaluation. Indicators need to capture quantitative and qualitative aspects of change. Quantitative indicators should be presented in an age-disaggregated way. Qualitative information is also critical, and information will need to be collected through participatory methods such as focus groups and case studies.

- Indicators of participation are also important. Examples include pinpointing levels of youth participation; youth perceptions of the degree of group solidarity and mutual support; perceptions of the ability of group members to prevent and resolve conflicts; and youth participation in decision-making processes.

#### **16. Climate Change/ Environmental Aspects**

Many projects impact on the physical environment, both directly and indirectly. For any project to be truly sustainable, it is important that issues of environmental impact are taken into account. The following are some key questions from which the most appropriate response should be selected:

- Was an environmental impact assessment made?
- Was environmental damage done by or as a result of the project?
- Did the project respect traditional ways of resource management and production?
- Were environmental risks managed during the course of the project? Will these continue to be managed?
- Overall, will the environmental effects of the project's activities and results jeopardize the sustainability of the project itself or reach unacceptable levels?

The TOR for an evaluation should contain questions to assess whether human rights, gender and environmental dimensions have been adequately considered by the intervention during its design and implementation. The evaluation manager will have the greatest influence at the initial consideration stage and it is important that they have a good understanding of the application of human rights, gender, youth and climate change/ environment in the UN system. If this expertise is missing, it is advisable to seek assistance during the planning and development of TOR.

(Pages 144 to 146)

UNEG Norms and Standards included as an Appendix.

## Document 46: UN Habitat Evaluation Manual

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Medium	Evaluation should include gender equality, human rights, youth participation and safeguards. Some detail on specific areas to be covered, but not sufficient to be standalone.	Yes
Environmental Considerations	Low	Evaluation should include Climate Change and environmental safeguards.	

### 4.4 Cross-Cutting Issues of Gender Equality, Human Rights, Youth Participation, Climate Change and Safeguards in Evaluations

In UN-Habitat, cross-cutting issues need to be taken into account in carrying out evaluations. These include gender equality, youth participation, human rights, and climate change. UN-Habitat is committed to ensuring that these basic principles are reflected in all its programming activities and throughout the project cycle. Since 2016, all concepts and project proposals reviewed by the Project Approval Group are assessed and rated against compliance with cross-cutting “markers”. This means a contextual analysis has been made of each cross-cutting issue and the cross-cutting issues may also be reflected in the logical framework.

A UN-Habitat project for consideration of the PAG must receive a final rating of ‘1’ or more in order to be approved in terms of analysis and relevant issue-related indicators. This final rating will be recorded in PAAS. Projects rated ‘0’ (i.e., blind/negative rating by the respective cross-cutting teams) will be disallowed to move to the Umoja stage to access funding. Projects planned before 2016 and now due for evaluation may not have applied the full extent of cross-cutting issues in the design and logical framework. The terms of reference should contain questions to assess whether the gender equality, human rights, youth participation and climate change have been adequately considered by the project during its

implementation. Gender equality can be integrated throughout the evaluation process (Box 7). The project manager will have the greatest influence at the initial consideration stage and it is important that the project manager have a good understanding of the relevance to the project to be evaluated and their application system, or seek assistance during the development of the TOR.

(P38)

#### BOX 7: INTEGRATING GENDER EQUALITY IN UN-HABITAT EVALUATION PROCESSES

- **Evaluation Preparation**
  - **Evaluability**—exercise to identify gender equality dimensions (does the project have gender equality as primary focus, or not?) and if an evaluation is needed and likely to provide useful information.
  - **Stakeholders Analysis**—to identify who are the different groups in the project, and why and how they should be included in the evaluation process. Possibility of positive bias, by focusing on beneficiaries only.
  - **Evaluation Team**—Consultant(s) should have gender balanced evaluation knowledge and experience, sector knowledge, understanding of UN mandate in gender equality, knowledge of region/ country/local context and language.
- **Evaluation Methodology**

- **Evaluation Criteria**—Gender equality can be applied to the five standard criteria (Relevance, Efficiency, Effectiveness, Impact and Sustainability) and possibility of adding equality, participation, social transformation, inclusiveness, and empowerment.
  - **Evaluation Questions**—Use Theory of Change (i.e., outlining the results chain and integrated with the project’s logframe).
  - **Evaluation Approach and Methodology**—mixed methods approach to collect qualitative and quantitative data based on consideration of resources, adequate sample, stakeholder participation, and use existing data sets, and need for triangulation of data and validation of findings.
  - **Evaluation Indicators**—ideally from project’s logframe of both quantitative and qualitative indicators. Specific indicators can also be created during the evaluation planning stage (in the TORs and evaluation inception report).
  - **Data Collection Methods and Tools**—mixed methods approach (desk review, focus groups, interviews, surveys).
  - **Data Analysis**—understanding the context of gender equality and analyse/ interpret within that understanding.
- **Evaluation Report and Use**
    - **Evaluation Report**—Standard format for UN-Habitat evaluation reports, which include purpose and objectives, approach, findings (achievements and performance assessment of evaluation criteria), conclusions, lessons learned, recommendations.
    - **Validation Process**—review process of draft reports involving key stakeholders.
    - **Management Response**—accept/ not accept recommendations and implementation responsibility and time plan.
    - **Dissemination Strategy**—identify users of report to decide on language and format (report and brief). For evaluation reports and briefs see [www.unhabitat.org/evaluation](http://www.unhabitat.org/evaluation).

*Source: Adapted from - UNEG (2011), Integrating Human Rights and Gender Equality in Evaluation: Towards UNEG Guidance*

*P39*

The evaluation should reflect on whether the contextual analysis of the cross-cutting issues in the project document was incorporated into activities and reflected during implementation.

### *Gender equality and empowerment*

Gender mainstreaming approach in urban and human settlement is done through analysis, advocacy, networking, results-based project management and high quality information

management and communication. It requires that gender equality considerations are integrated into projects in all themes and sectors, and where appropriate targeted to women or men specifically, provided that the intention is also to change mainstream thinking and action so that gender equality is achieved. In UN-Habitat, gender results are planned for in projects in the thematic areas (branches) and regionally (regional offices) as part of the strategic plan 2014-2019.

Gender analysis is a socio-economic analysis that exposes the manner in which gender relations affect an issue of development. The analysis focuses on differences in the conditions, needs, participation

rates, access to resources and development, control of assets, decision-making powers, etc., between women and men and their assigned gender roles.

Gender equality indicators measure performance and require the collection and analysis of sex disaggregated data. These measure: differences in participation, benefits, outcomes, and impacts for women, men, boys and girls; changes in gender relations (positive or negative); and how these changes impact on achievement of development objectives.

### *Human rights*

All programmes of development cooperation, policies and technical assistance should further the realisation of human rights as laid down in the Universal Declaration of Human

Rights and other international human rights instruments.

Rights considered relevant to most of the work of UN-Habitat can be found in right to housing, right to water, right to land and the social concept of “right to the city”. The Right to Adequate Housing is found in: Article 25 (1) of the Universal Declaration of Human Rights and Article 11(1) of the International Covenant on Economic, Social and Cultural Rights and on ‘forced eviction’ all projects should incorporate an eviction impact assessment. The Right to Water has not been explicitly recognized as a self-standing human right in international treaties. However, international human rights law entails specific obligations related to access to safe drinking water that require States to ensure everyone’s access to a sufficient amount of safe drinking water for personal and domestic uses. The right to land is an emerging right not yet recognized in any International Convention with binding force. However, for its relevance, many countries have land rights and tenure security protected through their constitutions. The Right to the City (RTTC) is not founded in international law, but is rather a social movement. It is not to be confused with human rights relevant in the context of urban development. Different stakeholders interpret the content of this concept differently and

sometimes can be in contradiction with each other. By comparison human rights are internationally agreed norms with clear definitions and obligations. The “Right to the City” may not be used in replacement of human rights. UN-Habitat promotes the wider developing concept of Human Rights in Cities for All, which denotes mainstreaming of the 2003 UN Human Rights Based Approach to Development Cooperation within the purview of the mandate of UN-Habitat based on the UN Common Understanding.

All evaluation designs should include consideration for the extent to which relevant human rights aspects were incorporated in the design, and detail how relevant human rights aspects will be assessed using a specific approach and methods for data collection that is human rights based. Similar to other UN programmes, UN-Habitat utilizes the human rights-based approach (HRBA) in all its projects. The TOR should also specify the level of experience needed by the evaluations or evaluation team on human rights and the other cross-cutting issues.

### *Youth engagement*

Youth is a cross-cutting issue for UN-Habitat, reflecting the commitment UN-Habitat has to ensure that people who would otherwise be marginalized because of their age have a voice in the process of urbanization. This is reinforced as per the following Governing Council (GC) resolutions on youth: 19/13 –Enhancing the Engagement of Youth in the Work of UN-Habitat, 20/1– Youth and Human Settlements, 21/6– Urban Youth Development, 22/1– Strengthening the Development of Urban Young People, 23/7– Urban Youth Development: The Next Step. Constituting the majority of the population in many rapidly urbanizing countries, youth need to be taken into account for urban development to



be inclusive. As a means to this end, UN-Habitat's projects should reflect how youth are likely to be affected by the issues at hand, and further, how youth can be involved in the project cycle to address them. A youth analysis helps uncover linkages between the project and youth within the targeted community. Conducting a youth analysis entails collecting data relevant to youth, either qualitative or quantitative. Analyzing an issue from the standpoint of youth is the first step towards addressing the youth dimensions of urban development. This analysis interprets data and information about a situation from a youth perspective, i.e., the issues specific to youth in their given roles, activities, needs and available opportunities. In projects the youth are recognized as stakeholders, experts and/or target group in the different stages of the project and by collecting age disaggregated data in project document or logical framework.

### *Climate change*

UN-Habitat's approach to climate change is outlined in its climate change strategy. Climate is described as the average course or condition of the weather at a place usually over a period of years as exhibited by temperature, wind velocity, precipitation and humidity. A shelter or a building is designed to protect its occupants from the adverse conditions of the weather. As we choose our clothing according to the seasons, buildings' envelop should be designed to respond to its micro-climate. It can respond to the need for thermal comfort. Green building design strategies address each of the following climatic data: temperature, solar radiation, relative humidity, rainfall and wind. The way buildings are planned and designed today has a direct implication on the energy consumption, hence they have a strong potential to negatively or positively impact two important elements of every day life: our environment and energy bills. Their contribution to climate change mitigation on greenhouse gas emission is directly related to the way they are designed in relation to local climate, the site specific characteristics and the embodied energy of the entire construction process.

Some projects will have explicit and measurable climate benefits. For example, city-level projects designed primarily to improve urban air quality may also lead to reduced emissions of greenhouse gases as a climate 'mitigation' benefit. In other cases projects that seek to buttress the resilience of cities to confront various shocks and stresses may also yield climate 'adaptation' results. In such cases, project documents can be reformulated to make the climate benefits more explicit.

### *Environmental and social safeguards*

Safeguard standards define the environmental and social objectives and principles that apply to all projects and to the staff that work on those projects. UN-Habitat is committed to applying environmental and social safeguard standards to do-no-harm and avoid adverse impacts to people and the environment. Where avoidance is not possible, adverse impacts will be minimized, mitigated and managed by applying the applicable safeguard standards and procedures as outlined in UN-Habitat's Environmental and Social Safeguards System, which came into effect in January 2017.<sup>17</sup>

Projects are reviewed and approved by the Project Approval Group for environmental and social safeguards and mitigation plans similar to the process of applying gender, youth, human rights and climate change markers.

There is need for environmental and social mitigation plans in projects that address land acquisitions, loss of natural areas or important habitats and biodiversity, soil and land degradation, displacement of housing or farms or involuntary resettlements, damage to valuable historical and religious/ cultural and archaeological resources and pollution. Such projects may cause contamination, conflicts, debris, and risks to health and safety. Evaluators will assess mitigation measures and activities performed by



projects during the implementation phase to prevent and minimize possible negative impacts on the environment and people. (P38 – 40)

*Evaluation Quality Assessment*

17. Do the evaluation design, methodology and analytical framework consider and include information on gender equity, youth, human rights and climate change issues?

Consider also application of environmental and social safeguards. The inclusion of any of the cross-cutting issues should continue to cascade down the evaluation report and be obvious in the data analysis, findings, conclusions, lessons learned and recommendations. (P61)

**Document 47: Quick Guide to Evaluation in UNHCR**

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Nil		
Environmental Considerations	Nil		

No relevant text found

## Document 48: UNICEF GEROS Handbook

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	High	Handbook for assessing the quality of UNICEF evaluations. Gender, exclusion and human rights to be included in evaluations. Detailed guidance provided on HR and gender aspects, focused on how to assess the quality of these elements in evaluations, referencing the UN SWAP (GEEW) standards and indicators.	Yes.
Environmental Considerations	Nil		

### Global Evaluation Report Oversight System

#### *As part of assessment of evaluation quality:*

Question 2. Is the context of the intervention clearly described?

–Element 2.1. Clear and relevant description of the context of the intervention (policy, socio-economic, political, institutional, international factors relevant to the implementation of the intervention).

- Political situation
- Socio-economic environment
- The Institutional context
- Policy environment: National priorities, policies and plans in the sector, international commitments described. (P38)

Element 19.3. Stylistic evidence of the inclusion of these considerations can include: using human-rights language; gender-sensitive and child-sensitive writing; disaggregating data by gender, age and disability groups; disaggregating data by socially excluded groups.

- Use of human-rights language
- Use of gender-sensitive and child-sensitive writing
- Disaggregated data by gender and age groups
- Disaggregated data by socially excluded groups
- Disaggregated data by groups with special needs (displaced, pregnant, disabilities)

(P93)

#### *Section H: Evaluative Principles*

- Question 19. Did the evaluation design and style consider incorporation of the UN and UNICEF's commitment to a human rights-based approach to programming, to gender equality, and to equity?
- Question 20. Does the evaluation assess the extent to which the implementation of the intervention addressed gender, equity & child rights?
- Question 21. Does the evaluation meet UN SWAP evaluation performance indicators?

Weighting = 15%

June 2017

UNICEF GEROS

(P95)

Question 20. Does the evaluation assess the extent to which the implementation of the intervention addressed gender, equity & child rights?

–Element 20.1. Identification and assessment of the presence or absence of equity considerations in the design and implementation of the intervention

- Intervention discusses balance power relations between groups
- Intervention discusses balance power relations within groups
- Supports the empowerment of disadvantaged groups

(P99)

Element 20.2. Identification and assessment of the presence or absence of gender analysis in the design and implementation of the intervention

- Explicit analysis of gender differences between men and women (and boys and girls)
- Physical and physiological differences and how they affect each
- Different roles and cultural norms and how they affect them
- Risks and vulnerabilities due to those differences
- Access to services due to those differences
- Results and consequences due to those differences

(P100)

Element 20.3. Explicit analysis of the involvement in the object of rights holders, duty bearers, and socially marginalized groups, and the differential benefits received by different groups of children

- Analysis of the rights holders involvement
- Analysis of the duty bearers involvement
- Analysis of the marginalized groups involvement
- Benefits for each of the groups

(P101)

Element 20.4. Clear proportionality between the level of participation in the intervention and in the evaluation, or clear explanation of deviation from this principle (this may be related to specifications of the TORs, inaccessibility of stakeholders at the time of the evaluation, budgetary constraints, etc.)

- • Analysis of relative importance of each group
- • Analysis of their importance vs participation in the intervention
- • Analysis of their importance vs participation in the evaluation

(P102)

Question 21. Does the evaluation meet UN SWAP evaluation performance indicators?

–The United Nations *System-wide Action Plan* on Gender Equality and the Empowerment of Women (UN-SWAP) constitutes the first accountability framework for gender mainstreaming in the UN system. The UN-SWAP is composed of 15 performance indicators for tracking 6 main elements on gender mainstreaming: accountability, results based management, oversight, human and financial resources, capacity, and knowledge exchange and networking.

–Specific guidance on implementing the UN-SWAP evaluation performance indicator (EPI) is available from UNEG. (P103)

1. Gender Equality and the Empowerment of Women (GEEW) is integrated in the Evaluation Scope of analysis and Indicators are designed in a way that ensures GEEW-related data will be collected

- Analysis on how GEEW objectives and GEEW mainstreaming principles were included in the intervention design
- How GEEW results have been achieved. Assessment of the extent to which an intervention has been guided by organizational and system-wide objectives on GEEW.
- Indicators for the evaluation of the intervention should include GEEW dimensions and/or additional indicators are identified specifically addressing GEEW;
- Mixed indicators (including quantitative and qualitative indicators) are preferred.

0=Not at all integrated.  
1=Partially integrated.  
2=Satisfactorily integrated.  
3=Fully integrated.

(P104)

3. A gender-responsive Evaluation Methodology, Methods and tools, and Data Analysis Techniques are selected.

- Triangulation of data is done to ensure that the voices of both women, men, boys and girls are heard and used
- Additional time or resources (time, staff, funds) to implement a gender-responsive approach is considered and planned for, etc.
- Mixed-method approach are preferred to make visible diverse perspectives and promotes
- Data collection methods including, desk reviews, focus groups, interviews, surveys, etc. are identified and accompanying tools, e.g. questionnaires, observational tools, interview guides etc. developed integrating GEEW considerations (e.g. interview guides ensure that women and men are interviewed in ways that avoid gender biases or the reinforcement of gender discrimination and unequal power relations, etc.).
- During data screening and data analysis, special attention is paid to data and information that specifically refer to GEEW

0=Not at all integrated.  
1=Slightly integrated.  
2=Satisfactory integrated.  
3=Fully integrated.

(P105)

**Document 49: Procedure on the Implementation of the 2018 UNICEF Evaluation Policy**

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Nil		
Environmental Considerations	Nil		

**No relevant text found.**

## Document 50: UNIDO Evaluation Manual

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	High	Detailed guidance, including sample questions, particularly on gender. Social inclusiveness and vulnerability also addressed.	Yes
Environmental Considerations	Low	Some coverage of environmental risks and safeguarding the environment.	

Under “Definition of Evaluation Criteria”

<b>D</b>	<b>Cross-cutting performance criteria</b>	<b>Other important criteria that cut across the UNIDO intervention.</b>
1	Gender mainstreaming	The extent to which UNIDO interventions have contributed to better gender equality and gender related dimensions were considered in an intervention.

(P19)

Under “Progress To Impact:”

- What benefits has the project help bring about (social, economic environmental)?
- The three UNIDO impact dimensions are:
  - Safeguarding environment: To what extent does the project contribute to changes in the status of environment?
  - Economic performance: To what extent does the project contribute to changes in the economic performance (for example finances, income, costs saving or expenditure) of individuals, groups and entities?
  - Social inclusiveness: To what extent does the project contribute to changes in capacity and capability of individuals, groups and entities in society, including vulnerable groups, and hence generating employment and access to education and training

(P22)

### Sustainability

- Will the project results and benefits be sustained after the end of donor funding (including technical capacities)?
- Does the project have an exit strategy?
- To what extent have the outputs and results been institutionalized and ownership ensured?

*Financial risks:*

- To what extend was the project able to diversify funding sources?
- To what extend are funding streams stable?
- What is the likelihood of financial and economic resources not being available once the project ends?

*Socio-political risks:*

- Are there any social or political risks that may jeopardize the sustainability of project outcomes?

- What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained?
- Do the various key stakeholders see that it is in their interest that project benefits continue to flow?
- Is there sufficient public/stakeholder awareness in support of the project's long-term objectives?

*Institutional framework and governance risks:*

- Do the legal frameworks, policies, and governance structures and processes within which the project operates pose risks that may jeopardize the sustainability of project benefits?
- Are requisite systems for accountability and transparency and required technical know-how in place?

*Environmental risks:*

- Are there any environmental risks that may jeopardize the sustainability of project outcomes?
- Are there any project outputs or higher-level results that are likely to have adverse environmental impacts, which, in turn, might affect the sustainability of project benefits?

(P23)

### **3.3.4 Gender mainstreaming**

The UNIDO Policy on gender equality and the empowerment of women, issued initially in April 2009, and revised in March 2015 (UNIDO/DGB/(M).110/Rev.), provides the overall guidelines for establishing a gender mainstreaming strategy and action plans to guide the process of addressing gender issues in the Organization's industrial development interventions. It commits the organization that evaluations will demonstrate effective use of the UNEG guidance on evaluating from a human rights and gender equality perspective, as indicated by the Organization's metaevaluation scores according to the UNEG Evaluation Scorecard. In line with the UNIDO Gender Equality and Empowerment of Women Strategy, 2016-2019, all UNIDO technical assistance projects post-2015 are to be assigned a gender marker and should go through a gender mainstreaming check-list before approval. UNIDO's gender marker is in line with UN System-wide action plan (SWAP) requirements, with four categories: 0 — no attention to gender, 1 — some/limited attention to gender, 2a — significant attention to gender, 2b — gender is the principal objective **xvii**.

Besides, Guides on Gender Mainstreaming for Inclusive and Sustainable Industrial Development (ISID) Projects in different areas of UNIDO's work have been developed and published during 2015**xviii**, which have specific guidance on suitable outputs/activities/ indicators per technical area. Considering the above, terminal evaluations of projects that have been approved before 2015 will follow the minimum requirements set out in the UNIDO 2016 TOR template and guidance (Section IV.C and annex 4). If the project design and gender analysis/existing indicators are not sufficient to allow for an accurate appraisal at the final evaluation, specific indicators could be created during the evaluation planning stage (preparing and revising the inception report) and assessed during the evaluation process. Together with the budget, the time required to adequately carry out a gender responsive evaluation will need to be taken into account. The evaluation time depends on the questions the assessment needs to answer, on how deep the analyses are requested to be, and on financial and human resources available as well as other external factors. For terminal evaluations of projects that have been approved after 2015, evaluations should assess if the rating was correctly done at entry, if appropriate outputs/activities/indicators and monitoring were put in place during implementation



and what results can be actually observed at the time of terminal evaluation (in line with UNIDO's organizational results reporting to SWAP).

The Gender Mainstreaming six-point rating scale should then be used accordingly. For projects that have 2a or 2b ratings at project design/entry at least one evaluation team member should have demonstrated/significant experience in evaluating GEEW projects. For other projects, evaluators are encouraged to further familiarize themselves with the key gender aspects and impacts of UNIDO projects, both through the foundation modules of "I know Gender" online course of UN Women and the UNIDO's Guides on Gender Mainstreaming ISID Projects.

(P27)

The following impact domains apply to UNIDO's work:

- Institutions and policies
- Environment management
- Economic performance of enterprises and institutions
- Human and social capital and empowerment.

(P36)

Under "impact evaluations":

An important dimension of assessing progress towards impact is behavior change resulting to change in practices that are:

- i. Environmentally sound – Safeguarding environment
- ii. Economically competitive – Advancing economic competitiveness
- iii. Socially inclusive – Creating shared prosperity.

(P66)

*Under "Progress to impact evaluation criteria"*

Safeguarding environment: Biophysical changes in reduction of threats emanating from action of humans and changes in the status of the environment.

Economic performance: Changes in the functioning and management of the resources, finances, income, and expenditure of, for example, a community, business or enterprise, contributed to by the intervention

Social inclusiveness: Changes in the provision of certain rights to all individuals and groups in society, such as employment, education, and training.

Under *Risk management*:

Are critical risks related to financial, sociopolitical, institutional, environmental and implementation aspects identified with specific risk ratings?

Are their mitigation measures identified? Where possible, are the mitigation measures included in project activities/outputs and monitored under the M&E plan? (P68)

Under cross-cutting performance criteria

1 Gender mainstreaming

- Did the project design adequately consider the gender dimensions in its interventions?
- Was the gender marker assigned correctly at entry? Yes

- Was a gender analysis included in a baseline study or needs assessment (if any)?
- Were there gender-related project indicators?
- Are women/gender-focused groups, associations or gender units in partner organizations consulted/ included in the project?
- How gender-balanced was the composition of the project management team, the Steering Committee, experts and consultants and the beneficiaries?
- Do the results affect women and men differently? If so, why and how? How are the results likely to affect gender relations (e.g., division of labour, decision-making authority)?
- To what extent were socioeconomic benefits delivered by the project at the national and local levels, including consideration of gender dimensions?

(P71)

## Document 51: UNODC Evaluation Handbook

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	High	Evaluations should address how well UNODC interventions have addressed the principles of human rights and gender equality and identify and analyse specific results at these levels. Detailed guidance and examples given, cross-referencing other UN and UNEG documents.	Yes
Environmental Considerations	Nil		

Under “*What is evaluation?*”

Furthermore, following UNEG norms and standards,<sup>3</sup> UNODC requires evaluations to consider how well its interventions have addressed the principles of human rights and gender equality and to identify and analyse specific results at these levels. Therefore, human rights and gender aspects need to be considered as part of any UNODC evaluation. (P7)

With reference to *UNEG Norms and Standards*

#8 - Human rights and gender equality.

These universally recognized values and principles need to be integrated into all stages of an evaluation, underpinning the commitment to the principle of “no-one left behind”. (P27)

Under INTEGRATING HUMAN RIGHTS AND GENDER EQUALITY

The promotion and protection of human rights (HR) and gender equality (GE) are guiding principles for all United Nations entities. There is virtually no aspect of the work of the United Nations that does not have a human rights dimension. Whether we are talking about peace and security, development, humanitarian action or climate change, none of these challenges can be addressed without consideration of HR and GE issues and principles. In the United Nations context of evaluation, this is closely connected to the Agenda for Sustainable Development. Interventions that do not follow these principles risk reinforcing or neglecting harmful patterns of discrimination and exclusion.

As the United Nations organization mandated to address crime, terrorism and drugs, UNODC requires that HR and GE be considered throughout all programming and as a central pillar of the work itself. Therefore, UNODC strives and has developed guiding documents to ensure that HR and GE are actively and visibly mainstreamed in all its practices, policies and programmes. The position paper “UNODC and the Promotion and Protection of Human Rights”(2012) recognizes the need to adopt a human rights-based approach in all development cooperation and technical assistance activities, and to ensure that (a) all interventions and activities further the realization of human rights; (b) human rights standards and principles guide all phases of the programming process; and (c) programmes contribute to the development of the capacities of Member States to meet their obligations as duty bearers, and/or of rights holders to claim their rights.

The “Guidance Note on Gender Mainstreaming in UNODC” (2013) stresses that UNODC has the responsibility to understand how and where gender issues are relevant in its different areas of work and to integrate a gender perspective in all its practices, policies and programmes. (P29)

Guidance Note on Gender Mainstreaming in UNODC:

<https://www.unodc.org/documents/Gender/UNODC-GuidanceNote-GenderMainstreaming.pdf>

UNODC and the Promotion and Protection of Human Rights:

[https://www.unodc.org/documents/justice-and-prison-reform/UNODC\\_Human\\_rights\\_position\\_paper\\_2012.pdf](https://www.unodc.org/documents/justice-and-prison-reform/UNODC_Human_rights_position_paper_2012.pdf)

It is mandatory for United Nations entities to consider HR and GE principles and standards in the design, implementation and evaluation processes of all interventions, regardless of whether these issues are the focus of the intervention itself. By addressing HR and GE, the important principles of equality and non-discrimination, inclusion and participation as well as accountability become part of the evaluation focus. Although substantial progress has been made in this regard, meta-assessments of United Nations programming suggest that more still needs to be done to fully integrate and mainstream HR and GE issues and approaches, including into evaluation processes.<sup>24</sup>

Specifically, the challenge to fully mainstream gender equality in United Nations work has been taken up across the United Nations system. In 2006, a United Nations system-wide policy on gender equality and the empowerment of women was developed calling for a system-wide action plan in order to make the strategy of gender mainstreaming operational.

The United Nations System-wide Action Plan on Gender Equality and the Empowerment of Women (UN-SWAP)<sup>25</sup> was adopted in 2012. Since 2013, on a yearly basis, all entities are required to report on their progress in meeting indicators specific to gender equality and the empowerment of women (GEEW), which includes ratings of all evaluation reports for the evaluation performance indicator of the UN-SWAP reporting. UNEG has been instrumental in providing guidance on how evaluations can usefully address the principles of HR and GE.

The work of the UNEG Working Group on Gender Equality and Human Rights includes helping to clarify and provide context for key terminology used in such discussions and the provision of guidelines and tools.

<sup>24</sup> [www.unevaluation.org/document/download/2685](http://www.unevaluation.org/document/download/2685)

<sup>25</sup> <http://www.unwomen.org/en/how-we-work/un-system-coordination/promoting-un-accountability>

Link to details: <http://uneval.org/document/detail/1452>

(P31)

## CLARIFYING THE TERMS

The 2014 UNEG Guidance Document, *Integrating Human Rights and Gender Equality in Evaluations* provides the basis for the following definitions of key terms. *Human rights* are the civil, cultural, economic, political and social rights inherent to all human beings without discrimination, regardless of one's nationality, place of residence, sex, sexual orientation, national or ethnic origin, colour, disability, religion, language or any other status. Human rights are universal, inalienable, interdependent and indivisible.

The work of the United Nations is based on the Universal Declaration of Human Rights signed in 1948 and the nine core international human rights treaties that have been signed subsequent to the initial Declaration.

*A human rights-based approach (HRBA)* is the strategy for implementing human rights in United Nations programming. It mainstreams human rights aspects such as universality, non-discrimination, participation and accountability into development work promoting and protecting human rights on the basis of international human rights standards. More information, tools and insight from United Nations practitioners about this approach can be found through the HRBA Portal, a collaborative effort between 19 United Nations organizations, agencies and programmes. (P31)

*Gender equality* implies that all human beings, both men and women, are free to develop their personal abilities and make choices without the limitations set by stereotypes, rigid gender roles or prejudices. Gender equality means that the different behaviours, aspirations and needs of women and men are considered, valued and favoured equally.

Gender equality does not imply that women and men have to become the same, but that their rights, responsibilities and opportunities will not depend on whether they are born male or female.<sup>26</sup>

Gender equality serves to the advantage of both men and women, girls and boys and all individuals/groups marginalized and/or discriminated against account of their gender (transgender people for example). Gender equality cannot be achieved without the full engagement of all of them. Furthermore, men and women are subject to different, often contextually specific, forms of discrimination (e.g., due to gender identity, class, religion, caste, ethnicity, age, disability, sexual orientation, location, among others).

*Gender mainstreaming* is the strategy adopted by the United Nations at the Fourth International Conference on Women (Beijing, 2005) for integrating gender equality in programming. It goes beyond increasing women's participation; it entails bringing the experience, knowledge and interest of women and men to bear in all development interventions. The 2014 UNEG Guidance Document provides the detailed definition in ECOSOC Resolution 1997/2.<sup>27</sup>

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, such that inequality between men and women is not perpetuated.

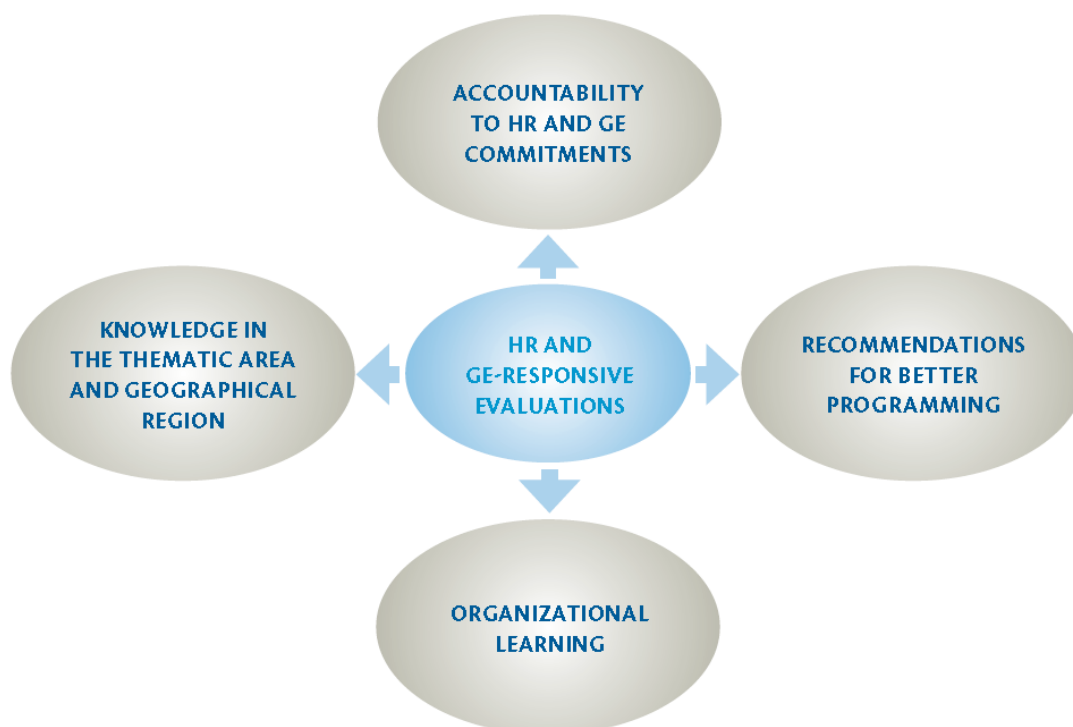
(P32)

*Gender-responsive evaluations* are assessments that provide "credible and reliable evidence-based information about the extent to which an intervention has resulted in progress (or the lack thereof) towards intended and/or unintended results regarding gender equality and the empowerment of women".<sup>28</sup> They require an analysis of the specific gender-related strategy, processes and practices deployed by an intervention. Specifically, gender-responsive evaluations should be sensitive to and include all the diverse forms of discrimination that women and men face.

## HUMAN RIGHTS AND GENDER EQUALITY CONSIDERATIONS FOR EVALUATION

The main concepts underlying evaluations that are HR and GE-responsive are inclusion, participation, non-discrimination and fair power relations. Considering these concepts helps improve programming by taking into account important social and cultural issues that can make interventions more effective and sustainable. Other benefits to conducting HR and GE-responsive evaluations, as highlighted in figure 2.3, are for general organizational learning and accountability purposes.

**FIGURE 2.3 BENEFITS OF HR AND GE-RESPONSIVE EVALUATIONS**



(P33)

UNEG has developed two sets of guidance documents on HR and GE that are useful resources for evaluators and those who manage evaluation processes. The group’s 2011 publication *Integrating Human Rights and Gender Equality in evaluation—towards UNEG guidance* is an abridged version that provides step-by-step advice for preparing, conducting and using HR and GE-responsive evaluations. Its 2014 publication, *Integrating Human Rights and Gender Equality in Evaluations* provides more in-depth theoretical and practical information, tools and suggestions.

Processes for conducting HR and GE-responsive evaluations are also discussed in the practical guide in chapter seven.

#### MAINSTREAMING OF HUMAN RIGHTS AND GENDER ASPECTS AS PART OF UNODC EVALUATIONS

Evaluation plays a crucial role in assessing to what extent UNODC interventions adhere to the principles of human rights and gender equality. UNODC’s evaluation policy requires that both principles be a key part of its evaluation processes. Based on the guiding principles of UNEG, the whole evaluation process at UNODC is required to follow HR and GE-sensitive, inclusive and participatory approaches, advancing human rights, gender equality, and the inclusion and empowerment of women and other marginalized groups. Core elements of these approaches to evaluation are highlighted in figure 2.4.

Over the past years, the UNODC evaluation function has engaged in more thoroughly mainstreaming the GE and HR approaches into the evaluation cycle. These efforts have included:

- Hiring evaluation staff with human rights and gender expertise to support evaluation processes, including by developing guidelines and tools.

- Raising awareness of internal and external stakeholders about both issues. This has included ensuring that evaluation teams receive relevant guidance as part of their key reading material.
- Ensuring, to the extent possible, that there is equal representation of both genders and regional balance on all evaluation teams, and that all teams have at least one member with expertise in gender mainstreaming.

(P35)

Including human rights and gender experts on evaluation teams conducting in-depth evaluations to further strengthen and facilitate organizational learning.

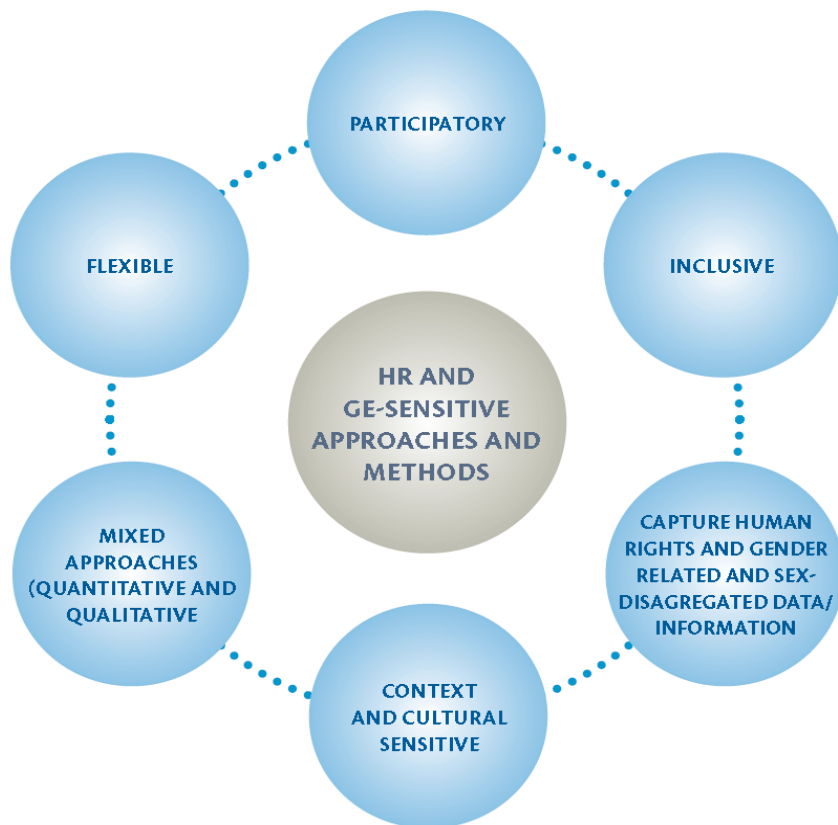
- Ensuring training to enhance evaluation function expertise and capacity for gender responsive evaluation.
- Having members from the evaluation function actively participate in and contribute to the UNEG working group on human rights and gender equality.

UNODC has produced the internal guiding document *Gender Responsive Evaluations in the Work of UNODC* aimed at (a) presenting the most important frameworks for gender responsive evaluations; (b) explaining what a gender-responsive evaluation entails; and (c) providing practical guidance to mainstream a gender perspective in the various stages of the evaluation process: planning, preparation, implementation and follow-up.

Gender Responsive Evaluations in the Work of UNODC:

<https://www.unodc.org/unodc/en/evaluation/human-rights-and-gender.html>

FIGURE 2.4 ELEMENTS OF HR AND GE-SENSITIVE EVALUATION PROCESSES AND METHODS



(P35)

## OVERSIGHT OF GENDER-RESPONSIVE EVALUATIONS

The United Nations System-Wide Action Plan on Gender Equality and the Empowerment of Women (UN-SWAP, 2012) sets common performance standards for the gender-related work of all United Nations entities. Since 2013, all United Nations entities are required to self-assess and report on their progress on meeting the 15 commonly agreed upon performance indicators. The indicators track six components of gender mainstreaming: accountability, results-based management, oversight (including evaluation), human and financial resources, capacity, and knowledge exchange and networking.

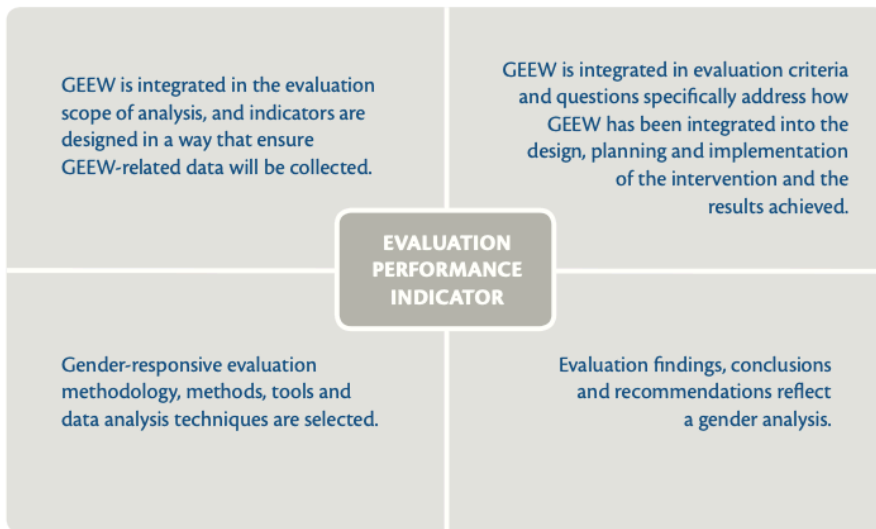
The oversight component of UN-SWAP includes three performance indicators, one of them dedicated to evaluation. The evaluation indicator is linked to meeting the gender related UNEG norms and standards and demonstrating effective use of UNEG guidance on integrating human rights and gender equality in evaluation.

The UNEG working group on gender equality and human rights developed a technical note and scorecard for the evaluation performance indicator (EPI). It aims to support more systematic and harmonized reporting through the use of a common tool that allows for improved comparability across the United Nations system. The unit of analysis selected as most feasible to assess was the evaluation report. Thus, the UN-SWAP rating for evaluation for UNODC, and all other United Nation entities, is solely based on an assessment of the extent to which evaluation reports completed in the reporting year successfully integrate gender equality and women’s empowerment into the evaluation approach and implementation.

Figure 2.5 highlights the specific criteria used for this assessment. Each of the four criteria is rated on a scale of 1–3 (with 3 being the highest) and the ratings are combined to give the total score. More information about UN-SWAP, including the scoring tool, technical note and additional guidance, can be found on the [UNEG website](#).

(P37)

**FIGURE 2.5 UN-SWAP EVALUATION PERFORMANCE INDICATOR (EPI) CRITERIA**



The UN-SWAP rating for evaluation is based on an assessment of the extent to which evaluation reports completed in the reporting year successfully integrate gender equality and women’s empowerment in the evaluation approach and implementation.

Source: UNEG. UN-SWAP Individual Evaluation Scoring Tool. Accessible at: <http://www.uneval.org/document/download/2149>

(P37)

Specifically, the guiding document “Gender-Responsive Evaluations in the Work of UNODC” provides practical guidance to mainstream a gender perspective in the four phases of the evaluation process. Although some key gender-related guidelines will be presented in this chapter, evaluation stakeholders



should review this detailed guiding document in order to ensure adherence to organizational norms, standards and guidelines on gender-responsive evaluation. (P62)

When preparing the ToR, it is important to mobilize human rights and gender knowledge and capacity. Specifically, it is recommended to look for advice on integrating HR and GE in evaluation processes at the IEU level. (P68)

**TABLE 4.2 KEY COMPONENTS OF THE EVALUATION TERMS OF REFERENCE**

HEADINGS	ISSUES TO ADDRESS
Background and context	<ul style="list-style-type: none"> <li>• What is the programme/project overview: historical and social context, key stakeholders, main challenges and notable developments during implementation (including sex-disaggregated data)?</li> <li>• What are the main objectives and outcomes?</li> <li>• What main issues from previous evaluations should be considered?</li> <li>• How have HR and GE been addressed?</li> <li>• What are the links to other programmes, and to agency strategies and goals?</li> <li>• How does the programme/project contribute to the SDGs? What SDGs are relevant in the context of the programme/ project?</li> </ul>
Disbursement history	<ul style="list-style-type: none"> <li>• How much is the overall budget, expenditure, committed funds of the programme/ project?</li> </ul>
Purpose of evaluation	<ul style="list-style-type: none"> <li>• Who commissioned the evaluation; why is it being undertaken now?</li> <li>• What does the evaluation seek to accomplish; how will results be used?</li> <li>• Who are the main evaluation users; how will they be involved?</li> </ul>
Scope of evaluation	<ul style="list-style-type: none"> <li>• What unit of analysis is covered?</li> <li>• What time period and geographic area is covered?</li> </ul>
Key evaluation questions	<ul style="list-style-type: none"> <li>• What is the focus of the evaluation; what are the most critical things to know about the intervention?</li> <li>• What are 1–3 priority questions for each criteria: relevance, effectiveness, efficiency, impact, sustainability, partnership and cooperation, HR and GE-, innovation (optional) and for lessons learned and best practice?</li> </ul>
Evaluation methodology	<ul style="list-style-type: none"> <li>• What is the methodological guidance, both for data collection and analysis, for qualitative and quantitative data, for integrating HR and GE dimensions into the evaluation design?</li> <li>• What are sources of data?</li> </ul>
Evaluation team	<ul style="list-style-type: none"> <li>• How is the evaluation team composed; what are the required experience and skills?</li> <li>• What are the responsibilities of evaluators?</li> <li>• How many working days are required for the overall evaluation process as well as for individual deliverables?</li> </ul>
Management of evaluation	<ul style="list-style-type: none"> <li>• What are the roles and responsibilities of each stakeholder group?</li> <li>• What are the logistical responsibilities?</li> </ul>

(P69)

Under “*The Inception Report*”

Further elaboration of the methodology that was proposed in the ToR; the methodology will specify the approaches (including a specific section on a HR and GE approach), strands of inquiry, the evaluation questions, sampling strategy, and the data collection and analysis processes and instruments.

(P74) Under “Inception Report”

A detailed stakeholders map to identify key informants for the evaluation, ensuring the participation of both women and men and marginalized groups, and representation of rights holders organizations. Human rights and gender equality actors should be identified and consulted to ensure knowledge, reflection and views on these aspects. (P75)

Under “review and Approval” (of Inception Report).

The design of the evaluation is suitable for answering the evaluation questions and addresses each of the required UNODC evaluation criteria (relevance, effectiveness, efficiency, sustainability, impact, cooperation and partnerships, human rights and gender equality). (P75)

The methodology includes strategies to engage all stakeholder groups, integrates gender equality and human rights principles, and has mechanisms to ensure confidentiality of sources.

The methodology and tools appear sufficiently robust to reliably and validly provide and analyse data. (P76)

## CONDUCTING A HUMAN RIGHTS AND GENDER-RESPONSIVE EVALUATION

Increasing emphasis and scrutiny is being placed on ensuring all United Nations evaluations address human rights and gender equality (HR and GE). All UNODC evaluations have to be HR and GE-responsive. HR and GE-responsive evaluations pay attention to the principles of non-discrimination and equality, inclusion and participation as well as fair power relations in two ways: (a) in what is examined in the evaluation, and (b) in how the evaluation itself is carried out. (P122)

*What does a HR and GE-responsive evaluation examine?* Such an evaluation looks at the intervention’s strategies, processes, practices and results. Specifically, the:

- HR and GE issues and relations that are central to the intervention
- Extent to which HR and GE were integrated (mainstreamed) into the intervention’s design, implementation, and monitoring and evaluation (M&E) practices
- Progress (or the lack thereof) towards intended results regarding HR, GE and women’s empowerment
- Degree to which gender relations have changed as a result of the intervention
- Extent to which the intervention has responded to and affected the rights, needs and interests of different stakeholders, including women, men, boys, girls, sexual minorities, people with disabilities, etc.

*How is a HR and GE-responsive evaluation undertaken?* HR and GE-responsive evaluations focus on creating space for the diversity of stakeholders involved in the intervention to engage directly in the evaluation and take some ownership over the evaluation process.<sup>34</sup> Depending on the type of intervention, stakeholder groups may include direct and indirect beneficiaries, partner organizations, as well as the line staff and senior managers of UNODC and government. At times, it may also be useful to include external stakeholders with

specific expertise in human rights and/or gender such as UN Women, UNHCR, research institutions, relevant women’s organizations, etc. Evaluators should aim to ensure there is diversity within each stakeholder group that is part of any evaluation process.

HR and GE-responsive evaluations are those that thoughtfully:

- Integrate HR and GE into the evaluation scope of analysis, criteria and key questions
- Use mixed, inclusive, respectful and participatory approaches, methods and tools
- Reflect HR and GE analysis in the evaluation findings, conclusions and recommendations

The importance and need for incorporating HR and GE into United Nations evaluations is discussed in chapter two. Practical guidance to mainstream a HR and GE perspective in the four phases of the UNODC evaluation process are provided in chapter four as well as the guiding document “Gender Responsive Evaluations in the work of UNODC”.

(P123)

The following UNEG and UNODC documents are highly recommended resources for further information and are mandatory for all evaluators who conduct UNODC evaluations. The 2011 version provides practical guidance for preparing, conducting and using HR and GE evaluations. The 2014 version provides more in-depth theoretical and practical information, tools and lessons learned.

#### CONDUCTING AN EVALUABILITY ASSESSMENT

An evaluability assessment examines the extent to which an intervention can be evaluated in a reliable and credible fashion. This type of assessment can be undertaken as a formal process before the actual evaluation is commissioned (e.g. already at the design stage), either by staff or by external consultants in close coordination and under the methodological guidance of the UNODC evaluation function. The purpose is to assess whether sufficient funding exists and whether the environment is sufficiently secure to carry out a good evaluation. Furthermore, it examines the existence and adequacy of a programme theory of change or logical framework (logframe), whether indicators are sufficiently SMART, and the general quality and availability of data, particularly baseline and monitoring data. If a formal evaluability assessment has not been done, these latter issues will need to be considered by the evaluator as part of the inception phase.

UNEG Guidelines (2011) Integrating Human Rights and Gender Equality in Evaluation - Towards UNEG Guidance: <http://www.uneval.org/document/detail/980>

UNEG Guidelines (2014) Integrating Human Rights and Gender Equality in Evaluations: <http://www.unevaluation.org/document/detail/1616>

UNODC Guidance Note (2013): Gender mainstreaming in the work of UNODC: <https://www.un.org/womenwatch/directory/docs/UNODC-GuidanceNote-GenderMainstreaming.pdf>

UNODC Human Rights Position Paper (2012): UNODC and the Promotion and Protection of Human Rights: [https://www.unodc.org/documents/justice-and-prison-reform/UNODC\\_Human\\_rights\\_position\\_paper\\_2012.pdf](https://www.unodc.org/documents/justice-and-prison-reform/UNODC_Human_rights_position_paper_2012.pdf)

Guidance Document “Gender Responsive Evaluation”: <https://www.unodc.org/unodc/en/evaluation/human-rights-and-gender.html>

(P125)

**Document 52: UNV Strategic Framework 2018 – 2021: Evaluation Plan**

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Nil		
Environmental Considerations	Nil		

No specific material found.

UNV evaluation falls under UNDP Evaluation Policy, is supported by UNDP IEO and draws on advisory documents from that office and organisation with regard to evaluation and RBM.

## Document 53: UN Women. How to Manage Gender-Responsive Evaluation - Evaluation Handbook

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	High	Detailed and extensive guidelines on “gender responsive evaluation,” specifically targeting evaluations by UN Women. No specific coverage of Human Rights.	Yes
Environmental Considerations	Nil		

Although this handbook is about “gender-responsive evaluation,” it locates this approach within the specific institutional and evaluation system of UN Women. This “embedding” of gender evaluative approaches within a specific institutional environment means that the document cannot be taken as a “stand alone” guide to such evaluation, although some of its sections could contribute to such a resource. In fact, much of the handbook covers areas of evaluation conduct, approaches and standards, which are not in themselves specifically about gender. The contents list below shows the issues addressed by the handbook. The section with the most subject-specific advice is Tool 10 (P140 – 141).

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### *What is gender-responsive evaluation?*

UN Women subscribes to the UNEG definition of evaluation but directly incorporates principles of gender equality, women's rights and the empowerment of women: a systematic and impartial assessment that provides credible and reliable evidence-based information about the extent to which an intervention has resulted in progress (or the lack thereof) towards intended and/or unintended results regarding gender equality and the empowerment of women. (P4)

Gender-responsive evaluation has two essential elements: what the evaluation examines and how it is undertaken. It assesses the degree to which gender and power relationships—including structural and other causes that give rise to inequities, discrimination and unfair power relations, change as a result of an intervention using a process that is inclusive, participatory and respectful of all stakeholders (rights holders and duty bearers). (P4)

### *Preparing TOR for an evaluation*

#### **The methodology section of the ToR should:**

- Outline a wide range of data sources (e.g., documents, field information, institutional information systems, financial records, social media data, beneficiaries, staff, funders, experts, government officials and community groups)

23 UNEG, "Impact evaluation in UN agency evaluation systems: Guidance on selection, planning and management," 2013, p. 10, available online at <http://www.uneval.org/document/detail/1433>.

#### **Box 11. Gender-responsive evaluation methods**

- Use gender analysis frameworks (e.g., Harvard analytical framework, gender planning framework, social relations framework, women's empowerment framework)
- Draw upon feminist theory and methodologies
- Are appropriate and relevant to both women and men
- Are participatory
- Ensure collection of disaggregated data
- Understand the constraints and challenges of informants
- Explore gender roles and power relations
- Are context and culturally sensitive
- Emphasize mixed methods (quantitative and qualitative).

(P54)

### *Under TOR development for an evaluation*

#### **IV. Objectives**

[This section should clearly identify the key objectives of the evaluation and the criteria upon which the programme will be assessed. The objectives should follow the purpose and be clearly formulated considering the programme information available and the context in which the programme is being implemented and in which the evaluation will take place. The objectives should be framed from a gender equality and human rights perspective. The objectives often identify the evaluation criteria upon which the programme/intervention will be assessed: relevance, effectiveness, efficiency, impact, sustainability, etc. For example:

- Assess the relevance of UN Women contribution to the intervention at national levels and alignment with international agreements and conventions on gender equality and women's empowerment.
- Assess effectiveness and organizational efficiency in progressing towards the achievement of gender equality and women's empowerment results as defined in the intervention.
- Assess the sustainability of the intervention in achieving sustained gender equality and women's empowerment.

- Determine the impact of the intervention with respect to gender equality and women's empowerment.
- Analyse how human rights approach and gender equality principles are integrated in implementation.
- Identify and validate lessons learned, good practices and examples and innovations of efforts that support gender equality and human rights in area of work.
- Provide actionable recommendations with respect to the UN Women intervention.

(P130)

## Tool 10. Tips for employing gender-responsive evaluation methods

- **Identify rigorous methods that are appropriate and relevant to ensure a high-quality and credible evaluation.** Evaluation findings can often be contentious, particularly within some contexts where gender equality and human rights are sensitive issues.
- **Employ gender-responsive methods that facilitate participation and inclusion.** Participatory methodologies are those that allow all the defined users and stakeholders to not only submit data and information but also actively participate in the definition of what data should be collected. For example, **appreciative inquiry** highlights good practices in association with the evaluand and promotes a high level of stakeholder participation.<sup>11</sup> **Most significant change** entails the sharing of lived experiences and selecting those most representative of the type of change being sought. Project stakeholders are involved both in deciding the sorts of change to be recorded and in analysing the data.<sup>12</sup>
- **Ensure collection of sex disaggregated data.** This is basic to any gender or human rights evaluation. All data gathered should identify the sex of the respondent and other basic data about the respondents that may prove relevant to the evaluation, including age, ethnicity, nationality, marital status, occupation.
- **Employ a flexible methodological approach that understands the constraints and challenges of the informants and context.** Some methods of data collection may be appropriate for certain groups of beneficiaries but may actually place others at a disadvantage. Thus, the methods identified need to be carefully targeted and weighed against the potential risks.
- **Identify how vulnerable populations will be included in the data gathering process and the constraints and challenges of stakeholder participation.** The evaluation manager should be cognizant of potential biases that may arise in the selection of methods and avoid this through the inclusion of the full range of stakeholder groups. Biases may involve gender, power (sources able to contribute freely because privacy and confidentiality issues are addressed), class or caste, and distance (favouring the more accessible). Also the choice of location, timing and language used of the evaluator may all have a bearing on the capacity of particular respondents to participate. Some groups may not be able to express themselves freely because of social pressure or they may not be allowed to speak or be represented in public meetings or community consultations.
- **Interrogate gender roles.** The data collection tools should address the gender issues of the initiative or project, and must probe into broader gender issues. For example, in assessing the impact of an information and communication technology training initiative, it is not only important to look into what the trainees have learned but also how they have applied their knowledge in their work or organization. In order to assess this, it is essential to probe into the gender roles within the trainees' organizations and look at how they are able (or unable) to practice their newly-acquired skills.
- **Evaluations need to be undertaken in a culturally sensitive fashion in order for there to be a full understanding of human rights and gender equality implications.** Group dynamics, subject matter, gender, class, caste, age, race, language, culture, rural and urban issues, etc. greatly influence how effectively and inclusively information is gathered. Cultures may be viewed as contextual environments for the implementation of human rights policies. Nevertheless, a human rights perspective affirms that the rights of women and girls to freedom from discrimination and to the highest standard of living are universal. Cultural claims cannot be invoked to justify their violation.
- **Use mixed qualitative and quantitative methods.** A mixed methods approach increases the reliability<sup>13</sup> and validity<sup>14</sup> of the evaluation findings, and helps to explore whether or not different stakeholder groups benefited differently and why.



See UNEG guidance document: Integrating human rights and gender equality in evaluations for a detailed discussion on methods.

(P141)

## Document 54: WFP. Impact Evaluation Strategy

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Low	One evaluation to cover cash-based transfers and gender.	
Environmental Considerations	Low	One evaluation to cover climate change and resilience.	

Strategy outlines next two areas to be subject to impact evaluation by Office of Evaluation.

Previous impact evaluation series completed by the Office of Evaluation focused on specific issues. Building on this evidence base, internal consultations identified the following priority areas for WFP impact evaluations:

- 1) Cash-Based Transfer Modalities
- 2) Gender Equality And Women's Empowerment Interventions
- 3) Climate Change And Resilience
- 4) Nutrition
- 5) School Feeding

The first two windows will focus on i) cash-based transfers and gender, and ii) climate change and resilience. During the pilot phase, the Office of Evaluation will continue to open windows for evidence priorities in relation to demand, funding and capacity.

## Document 55: WHO Evaluation Practice Handbook

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Medium	Gender, equity and human rights are corporate cross-cutting strategies to be covered by evaluations. UNEG guidance on integrating gender, equity and human rights into evaluation work should be adopted in evaluation processes. Handbook gives overview of how to approach these issues.	Yes
Environmental Considerations	Nil		

### 1.4 Integration of cross-cutting corporate strategies: gender, equity and human rights

At its 60th session in May 2007, the World Health Assembly called for more effective ways of mainstreaming cross-cutting priorities of WHO (WHO, 2007). Gender, equity and human rights are crucial to almost all health and development goals.

Consistent with the Director-General's decision to prioritize the mainstreaming of these issues across all levels of WHO, and in accordance with (i) WHO's Constitution (WHO, 2005), (ii) WHO's strategy on gender mainstreaming (WHO, 2009b), and (iii) UNEG guidance on integrating gender, equity and human rights into evaluation work (UNEG, 2011), all future WHO evaluations should be guided by these principles: (P5)

The *human rights-based approach* entails ensuring that WHO strategies facilitate the claims of rights-holders and the corresponding obligations of duty-bearers. This approach also emphasizes the need to address the immediate, underlying and structural causes of not realizing such rights. Civic engagement, as a mechanism to claim rights, is an important element in the overall framework. When appropriate, evaluations should assess the extent to which a given action has facilitated the capacity of rights-holders to claim their rights and the capacity of duty-bearers to fulfil their obligations (UNDP, 2009). Evaluations should also address the extent to which WHO has advocated for the principle of equality and inclusive action, and has contributed to empowering and addressing the needs of disadvantaged and vulnerable populations in a given society.

■ ■ *Mainstreaming a gender perspective* is the process of assessing the implications for women and men of any planned action, including legislation, norms and standards, policies or programmes, in all areas and at all levels. It is a strategy for making gender-related concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in order to ensure that women and men benefit equally and inequality is not perpetuated. Evaluations should assess the extent to which WHO actions have considered mainstreaming a gender perspective in the design, implementation and outcome of the initiative and whether both women and men can equally access the initiative's benefits to the degree intended (WHO, 2011a).

■ ■ *Equity in health*. Equity is the absence of avoidable or remediable differences among populations or groups defined socially, economically, demographically or geographically. Health inequities involve more than inequality – whether in health determinants or outcomes, or in access to the resources needed to improve and maintain health – they also include failure to avoid or overcome such inequality in a way that infringes human rights norms or is otherwise unfair.

Mainstreaming gender, equity and human rights principles in evaluation work entails systematically including in the design of evaluation approaches and terms of reference consideration of the way that the subject under evaluation influences gender, equity and human rights. The aim is to ensure the following.

- Evaluation plans assess the evaluability of the equity, human rights and gender dimensions of an intervention and how to deal with different evaluability scenarios.

(P6)

Evaluation of gender, equity and human rights mainstreaming includes assessing elements such as accountability, results, oversight, human and financial resources, capacity.

- Evaluation terms of reference include gender-, equity- and human rights-sensitive questions.
- Methodologies include quantitative and qualitative methods and a stakeholder analysis that is sensitive to human rights, equity and gender and is inclusive of diverse stakeholder groups in the evaluation process.
- Evaluation criteria, questions and indicators take human rights, equity and gender into consideration.
- The criteria for selecting members of the evaluation team are that they should be sensitive to human rights, equity and gender issues, in addition to being knowledgeable and experienced.
- The methodological approach of the evaluation allows the team to select and use tools to identify and analyse the human rights, equity and gender aspects of the intervention. (P7)

Under “additional considerations” for an evaluation.

Equity	<p>Mainly used to refer to equal access for all population groups to a service without any discrimination. This concept relates to the principle of equal rights and equal treatment of women and men. It means, firstly, that everybody is free to develop personal aptitudes and to make choices without being limited by stereotyped gender roles, and secondly, that particular differences in behaviour, aspirations and needs, between women and men, are not to be valued too highly or considered too critically.</p> <p>The principle of equity may require unequal treatment to compensate for discrimination.</p>	<p>Have the principles of gender equality, human rights and equity been applied throughout the intervention?</p>
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(P22)

## Document 56: WIPO Evaluation Manual

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Medium	Draws mainly on UN GEEW principles and both UNEG guidance documents on HR and Gender to outline expected approach to these aspects in WIPO evaluations.	Yes
Environmental Considerations	Nil		

Under “List of UNEG 2016 General Norms”

8 - Human rights and gender equality

These universally recognized values and principles need to be integrated into all stages of an evaluation, underpinning the commitment to the principle of “no-one left behind”.

## 2. INTEGRATING HUMAN RIGHTS AND GENDER EQUALITY IN EVALUATION

30. The promotion and protection of human rights (HR) and gender equality (GE) are guiding principles for all United Nations entities. There is virtually no aspect of the UN’s work that does not have a human rights dimension. Whether we are talking about peace and security, development, humanitarian action or climate change. None of these challenges can be addressed in isolation from HR. In the UN context of evaluation, this is closely connected to the Agenda for Sustainable Development. Interventions that do not follow these principles risk reinforcing or neglecting harmful patterns of discrimination and exclusion.

31. It is mandatory for United Nations entities to consider HR and GE principles in the design, implementation and evaluation processes of all interventions, regardless of whether these issues are a focus of the intervention itself. Although substantial progress has been made in this regard, meta-assessments of United Nations programming suggest that more still needs to be done to fully integrate and mainstream human rights and gender as cross-cutting themes, including into evaluation processes.

32. This challenge has been taken up across the United Nations System. Since 2013 all entities are required to report on their progress in meeting indicators specific to Gender Equality and the Empowerment of Women (GEEW), which includes ratings of all evaluation reports for the evaluation performance indicator of the UN System-wide Action Plan on Gender Equality and the Empowerment of Women (UN-SWAP)<sup>5</sup> reporting. UNEG has been instrumental in providing guidance for how evaluations can usefully address the principles of HR and GE. The group’s work includes helping to clarify and provide context for the key terminology used in such discussions.

33. **Gender responsive evaluations** are assessments that provide “credible and reliable evidence-based information about the extent to which an intervention has resulted in progress (or the lack thereof) towards intended and/or unintended results regarding gender equality and the empowerment of women”<sup>6</sup>.

34. Gender equality serves to the advantage of both men and women, girls and boys and all individuals/groups marginalized and/or discriminated against on behalf of their gender (transgender

people for example). Equality cannot be achieved without the full engagement of all of them. Furthermore, men and women are subject to different, often contextually specific, forms of discrimination (e.g. due to gender identity, class, religion, caste, ethnicity, age, disability, sexual orientation, location, among others). Thus, gender responsive evaluations should be sensitive to and include all these diverse forms of discrimination that women and men face.

#### HUMAN RIGHTS AND GENDER EQUALITY CONSIDERATIONS FOR EVALUATION

35. The main concepts underlying evaluations that are both human rights and gender-responsive are **inclusion, participation, non-discrimination, and fair power relations**. Considering these concepts helps to improve programming by taking into account

important social and cultural issues that can make interventions more effective and sustainable.

36. UNEG has developed two sets of guidance documents that are useful resources for evaluators and those who manage evaluation processes. The group's 2011 publication "*Integrating Human Rights and Gender Equality in evaluation – towards UNEG guidance*" is an abridged version that provides step by step advice for preparing, conducting and using HR and GE evaluations. Its 2014 publication, "*Integrating Human Rights and Gender Equality in Evaluations*" provides more in-depth theoretical and practical information, tools and suggestions.

37. In 2012, the UN-SWAP sets common performance standards for the gender-related work of all United Nations entities. Since 2013, all United Nation entities are required to self-assess and report on their progress on meeting the 15 GEEW performance indicators on an annual basis. The indicators track six components of gender mainstreaming: accountability, results based management, oversight (including evaluation), human and financial resources, capacity, and knowledge exchange and networking.

38. The UN-SWAP indicator dedicated to evaluation processes is linked to meeting the gender-related UNEG norms & standards and demonstrating effective use of the UNEG guidance on integrating human rights and gender equality in evaluation.

39. The UNEG working group on GE and HR developed a technical note and scorecard for the Evaluation Performance Indicator (EPI). It aims to support more systematic and harmonized reporting through the use of a common tool that allows for improved comparability across the UN system.

40. In order to ensure a continuous improvement in mainstreaming the gender and HR perspectives into the evaluation cycle the evaluation section engages in the following practices: (a) Raising awareness of internal and external stakeholders about both issues. This has included ensuring all evaluation teams receive relevant guidance as part of their key reading material;

(b) Ensuring, to the extent possible, that there is equal representation of both genders on all evaluation teams;

(c) When possible, including HR and gender experts on evaluation teams conducting all in-depth evaluations to further strengthen and facilitate organizational learning; and

(d) Having members from the evaluation office actively participate in and contribute to UNEG's work on HE and GE. (P16,17)

#### *Under Checklist for ensuring the quality of evaluation reports*

Checklist for assessing the quality of evaluation reports of the WIPO IOD Evaluation Function

## **8. Gender and Human Rights**

8.0 The report illustrates the extent to which the design and implementation of the object, the assessment of results and the evaluation process incorporate a gender equality perspective and human rights-based approach

8.1 The report uses gender sensitive and human rights-based language throughout, including data disaggregated by sex, age, disability, etc.

8.2 The evaluation approach and data collection and analysis methods are gender equality and human rights responsive and appropriate for analysing the gender equality and human rights issues identified in the scope.

8.3 The report assesses if the design of the object was based on a sound gender analysis and human rights analysis and implementation for results was monitored through gender and human rights frameworks, as well as the actual results on gender equality and human rights.

8.4 Reported findings, conclusions, recommendations and lessons provide adequate information on gender equality and human rights aspects (P46)

## Document 57: WMO Monitoring and Evaluation System

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	LOW	Evaluations should cover poverty alleviation, sustained livelihoods and economic growth (in connection with the Millennium Development Goals) including improved health and social well-being of citizens (related to weather, climate, water and environmental events and influence).	
Environmental Considerations	LOW	Evaluations should cover the extent to which delivery of weather, climate, water and related environmental products and services to users' communities has been improved	

This document on the M&E system introduces areas to be evaluated. How to do this is covered to a limited extent in a separate M&E Manual. The current document does not explore how to evaluate results in the key areas outlines.

*Under WMO Mission and Vision:*

### Global Societal Needs

The Global Societal Needs (GSNs) represent the shared societal needs identified by Members of WMO to be addressed, within the mission of WMO, through a set of strategic directions represented by strategic thrusts. They form the basis for the strategic direction of WMO in a financial period.

1. Improved protection of life and property (related to the impacts of hazardous weather, climate, water and other environmental events and increased safety of transport on land, at sea and in the air).
2. Poverty alleviation, sustained livelihoods and economic growth (in connection with the Millennium Development Goals) including improved health and social well-being of citizens (related to weather, climate, water and environmental events and influence).
3. Sustainable use of natural resources and improved environmental quality.

### Expected results

An expected result is a top-level statement that predicts a high level outcome (change in Members' or societal conditions) to be achieved in the long-term by WMO as a whole (the Secretariat, technical commissions, regional associations and Members).

1. Enhanced capabilities of Members to deliver and improve access to high-quality weather, climate, water and related environmental predictions, information, warnings and services in response to users' needs, and to enable their use in decision-making by all relevant societal sectors.
2. Enhanced capabilities of Members to reduce risks and potential impacts of hazards caused by weather, climate, water and related environmental elements.
4. Enhanced capabilities of Members to produce better weather, climate, water and related environmental information, predictions and warnings to support in particular disaster risk reduction and climate impact and adaptation strategies.



5. Enhanced capabilities of Members to access, develop, implement and use integrated and interoperable Earth and space-based observation systems for weather, climate and hydrological observations, as well as related environmental and space weather observations, based on world standards set by WMO.
6. Enhanced capabilities of Members to contribute to and draw benefits from the global research capacity for weather, climate, water and the related environmental science and technology development.
7. Enhanced capabilities of NMHSs, in particular in developing and least developed countries, to fulfil their mandates.
8. New and strengthened partnerships and cooperation activities to improve NMHSs' performance in delivering services and to increase the value of the contributions of WMO within the United Nations system, relevant international conventions and national strategies issues.
9. An effective and efficient Organization.

(P8)

### **Key outcomes**

Key outcomes are the likely or achieved short-term and medium-term effects of accomplished deliverables/outputs related to programme areas that define the parameters for the unique contribution by WMO in the progress to achieve expected results. There are several outcomes for each expected result. For each outcome, there are a set of KPIs to measure the achievement of the outcome. These are listed in the WMO Operating Plan.

**Key Outcome 1.1:** Improved access to seamless weather, climate, water and related environmental products and services (e.g., warnings, forecasts and supporting information)

**Key Outcome 1.2:** Delivery of weather, climate, water and related environmental products and services to users' communities is improved

**Key Outcome 2.1:** Multi-hazard early warning systems are implemented

**Key Outcome 2.2:** National integrated flood management plans are developed

**Key Outcome 2.3:** Drought and early warning systems are improved

**Key Outcome 3.1:** Improved long-range forecasts and long-term projections

**Key Outcome 3.2:** Climate information and prediction products for climate adaptation and risk management are improved

**Key Outcome 3.3:** Hydrological information and products, including water resource assessments, are improved

**Key Outcome 3.4:** Drought information and prediction for risk management is improved

**Key Outcome 4.1:** WMO Integrated Global Observing System is implemented

**Key Outcome 4.2:** WMO Information System is developed and implemented

**Key Outcome 4.3:** Progress in implementing the Global Climate Observing System

**Key Outcome 5.1:** Research in climate prediction/projection to improve the skills of seasonal, decadal and longer timescales is enhanced. (P9)

**Key Outcome 5.2:** Research in the prediction of high-impact weather on time scales of hours to seasons is enhanced

**Key Outcome 5.3:** Atmospheric chemistry observations and assessment meet needs of environmental conventions and policy assessments

**Key Outcome 5.4:** Seamless forecasts of weather, climate, water and the environment from months to seasons are

developed

**Key Outcome 5.5:** Predictions/projections of El-Niño/Southern Oscillation (ENSO) and monsoons are improved

**Key Outcome 6.1:** Visibility and relevance of NMHSs and Regional Centres in regional and national development

agendas is improved, particularly in developing and least developed countries

**Key Outcome 6.2:** Infrastructure and operational facilities of NMHSs and Regional Centres are improved, particularly in developing and least developed countries

**Key Outcome 6.3:** Education and training development activities at national and regional levels are improved, especially in developing and least developed countries

**Key Outcome 6.4:** Capacities of NMHSs are enhanced through cooperation and partnerships with other national and regional organizations

**Key Outcome 7.1:** WMO leadership and contribution in relevant UN system and other international partners' initiatives and programmes is improved

**Key Outcome 7.2:** Public, decision-makers and other stakeholders are increasingly aware of key WMO and NMHSs issues, activities and priorities through enhanced communication

**Key Outcome 8.1:** Effective and efficient WMO Congress and Executive Council

**Key Outcome 8.2:** An effective and efficient Organization

**Key Outcome 8.3:** Effective and efficient constituent bodies (RAs and TCs). (P10)

**Document 58: WMO Monitoring and Evaluation Manual**

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Low	Some monitoring indicators, for use by evaluations, cover “key socio-economic sectors.” These are mainly tracked by a large questionnaire. No guidance on how to evaluate them.	
Environmental Considerations	Medium	Extensive monitoring indicators, mainly relevant to climate within a broader environmental context. Other than questionnaire, no guidance on how to evaluate these.	

*Under Key Performance Indicators:*

**KPI 1.1.1:** Analyses showing the social and economic benefits of the improved services

Members provide details of the number of analyses conducted by NMHSs on the social and economic benefits of the services delivered and the products and services used in decision-making. This is collected using the Questionnaire on Impacts of achieved results on Members. (P18)

**Expected Result 2: Enhanced capabilities of Members to reduce risks and potential impacts of hazards caused by weather, climate, water and related environmental elements.**

(P19)

**Key Outcome 2.2:** National integrated flood management plans are developed

**KPI 2.2.1:** Number of Members establishing flood management plans

CLW collects the number of members on an annual basis. The subsequent data are presented in a database, on the website and through APFM newsletters.

The number of flood management plan(s) established or under development is collected from Members using the Questionnaire on Impacts of achieved results on Members. (P19)

**Key Outcome 3.2:** Climate information and prediction products for climate adaptation and risk management are improved

**KPI 3.2.1:** Number of operational Regional Climate Centres providing inputs for the National Climate Centres

(P20)

**KPI 3.2.3:** Number of Members interacting with users while providing climate services, through formal mechanisms including National Climate Outlook Forums, in support of adaptation and climate risk management in key socio-economic sectors

**KPI 3.2.4:** Members using best practices for climate adaptation and risk management in key socio-economic sectors

(P21)

**Expected Result 4: Enhanced capabilities of Members to access, develop, implement and use integrated and interoperable Earth- and space-based observation systems for weather, climate and**

**hydrological observations, as well as related environmental and space weather observations, based on world standards set by WMO.**

(P22)

**Key Outcome 5.1:** Research in climate prediction/ projection to improve the skills of seasonal, decadal, and longer time scales is enhanced

(P24)

**Key Outcome 5.3:** Atmospheric chemistry observations and assessment meet needs of environmental conventions and policy assessments

**KPI 5.3.1:** Regular bulletins on global atmospheric chemistry are provided to environmental conventions and policy assessments

(P25)

**Document 59: WMO Monitoring and Evaluation Guide**

Scope of Coverage		Explanation	Mention of UNEG Guidance
Social Considerations	Nil		
Environmental Considerations	Nil		

No Specific Material found.