UNDP PROJECT PROPOSAL FOR COOPERATION WITH SWEDISH INTERNATIONAL DEVELOPMENT COOPERATION AGENCY (SIDA)

STRENGTHENING ARAB ECONOMIC INTEGRATION FOR SUSTAINABLE DEVELOPMENT

Submitted by: UNDP Bureau for Arab States- Regional Hub

Project Title:	ARAB ECONOMIC INTEGRATION PAFTA PLUS
Objective	To provide support to League of Arab States (LAS) and its member states for PAFTA Upgrading as well as preparation process for the Arab Customs Union. Enhancement of economic partnership in the region through better Arab connectivity.
Expected Project Related Outcome	• **Outcome 1:** LAS capacity strengthened to manage regional economic integration related processes • **Outcome 2:** Members States are capacitated and **technically** prepared for regional economic integration • **Outcome 3:** Engagement of key development actors ensured through inclusive and transparent processes for regional economic integration

Expected Outputs:	• **OUTPUT 1**: Structured and targeted technical support to LAS Secretariat and Arab negotiators on trade policy formulation and reform under PAFTA (Outcome 1). • **OUTPUT 2**: Provision of support for the organizational capacity of LAS Secretariat to facilitate the regional economic integration agenda (Outcome 1) • **OUTPUT 3**: Provision of country-based technical assistance to policymakers for their activities related to trade policy reform and coherence (Outcome 2) • **OUTPUT 4**: Provision of country-based technical assistance to policy makers for the modernization of the supply/value chain in preparations for the Arab Customs Union (Outcome 2) • **OUTPUT 5**: Improvement of related regulatory frameworks for integrity, aiming for good governance for trade development measures (Outcome 3) • **OUTPUT 6**: Supporting gender responsive mechanisms to ensure systematic integration of gender sensitivities in trade policy-making and negotiations (Outcome 3)
Implementing Partner	UNDP
Key Beneficiary and Stakeholders	League of Arab States and its special organs as well as regional organizations, governments of Member States, private sector, women, youth, and academia.

Total budget of the project:	**USD 6,707,466 (SEK 54,800,000)**
Total funding required from Sida: At the exchange rate of August 13th 2017 of USD into SEK: 8.17	**USD 6,707,466 (SEK 54,800,000)**
Start date: September 1st, 2017 End Date: June 31rst, 2020	

Brief Description

The regional project on "Strengthening Arab Regional Economic Integration for Sustainable Development" is premised upon the decisions taken by the Arab Leaders at their Socio Economic Summits on the completion of PAFTA, leading to a new stage of deepened economic integration towards establishment of the Arab Customs Union.

Economic Sector of the League of Arab States (LAS), acting in the capacity of the PAFTA Technical Secretariat, will play an important role of coordinator of activities of economic cooperation in collaboration with its specialized organs and organizations. In this process, key stakeholders such as the private sector, youth, academia and women take a driver seat in making sure that no one is left behind in this important exercise. As such, the project envisages promoting a regional economic partnership to contribute substantially to regional dialogue and collaboration in various areas of trade and development, around which to also foster multi-stakeholder and citizen engagement. Such exchange around trade and development would substantiate strategies aimed at creating business and job opportunities, enabling the disadvantaged and poor to more actively participate into a more globalized economy. This has been recognized by several development donors, among them the Swedish International Development Agency (Sida) as expressed in its strategy of regional development cooperation 2016 – 2020 for Middle East and North Africa.

As we are informed by global experiences, a successful implementation of Arab economic integration should take into account modernization of trade and economic policies with a view to minimize unnecessary barriers to trade, improvement of efficiency and productivity, and optimization of operational and transaction costs for businesses and industries. Guided by such a perspective, efforts have been undertaken by the LAS Member States in recent years

Through the activities of the project, it is expected that linkage between trade and trade-related works and economic and social development would be further strengthened to support inclusive growth in a more integrated and interconnected economic environment. These activities are designed to support efforts towards modernization of trade and economic policies with a view to minimize unnecessary barriers to trade, improve efficiency and productivity, and optimize operational and transaction costs for businesses and industries. These are important to bring about enhanced competitiveness of goods and services and improve production potentials, which would eventually help produce more jobs- an essential factor towards achieving the Sustainable Development Goals (SDGs) in the region.

In effect, trade and trade related works that are linked with and economic and social development prospect may help countries address their and needs around Sustainable Development Goals (SDGs), namely, **SDGs 1** (End Poverty), **5** (Achieve Gender Equality and Empower Women), **8** (Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all), **16** (Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions) and **17** (Strengthen the means of implementation and revitalize the global partnership for sustainable development).

The regional project principally aims to raise the level of Arab economic integration to a new height, through a concretely designed and activated new technical framework for the PAFTA Upgrading[1] as well as for the preparations for the Arab Customs Union (ACU)[2]. Support would be provided to policy makers of Member States and officials of the League of Arab States through provision of technical and capacity assistance. Activities will also target to raise awareness on the benefits of the PAFTA/PAFTA Upgrading, and prepare conditions for the ACU, as part of an integrated economic environment that offers a substantial role for the private sector.

As such, the project aims at supporting efforts towards deepening regional economic integration, connectivity, and competitiveness, based on a rule based system around an agreed framework of accountability that is inclusive of businesses and industries. Gender equality and the concept of opportunities for all with focus on economic empowerment for women will be also addressed in activities of the project.

The delivery modality will be comprised of policy design, research, pilots, technical assistance and capacity support for the officials of Member States and LAS. The project will support exchanges, consultations, and South-South collaboration among key stakeholders based on international best practices in pursuit of strategic commitments for PAFTA Upgrading and its timely realization towards to Arab Customs Union.

The project targets achieving the following result-oriented activities:

1. *Development of the technical framework and required instruments for the PAFTA Upgrading- as an upgrade from the existing PAFTA, and for the ACU preparations, to deepen Arab economic integration.*

The activity constitutes the primary focus of the project with attention to specific areas/interventions of concern. The project will seek to foster better coordination and to facilitate consultation among Member States towards a more synchronized and coherent policy atmosphere in economic, trade and trade-related matters, while taking into consideration the expressed and legitimate interests of businesses and industries. The envisaged work includes provision of support for the development of key legal instruments in moving towards the ACU on the basis of international standards and practices. The related activities will be carried out in close collaboration and consultation with the policy makers of Member States and officials of the League of Arab States (LAS).

2. *Reinforcement of mechanisms of policy design, measures of implementation and systems of documenting the progress of implementation to secure smooth acceleration of realization of regional commitments.*

Related activities will be designed and introduced in partnership with authorities of Arab countries and LAS. Primary efforts will be exerted in activities aimed at facilitation of trade, transport, investment and trade-related areas (i.e..., trade/transport corridors, promotion of quality

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[1] For the purpose of the document, the terms of PAFTA Upgrading means, the technical upgrade of key components of the existent PAFTA

[2] For the purpose of the document, preparations for the ACU refers to the technical work required for measures to address the prioritized requirements of Arab countries towards the Arab Customs Union.

infrastructure, competition, among others). They may also include assistance to modernization of mechanisms of coordination among responsible bodies at national and regional level.

3. *Building the technical capability and capacity of policy makers of Arab countries to support accelerated implementation of the PAFTA Upgrading and preparations for the ACU.*

The intervention will be delivered through provision of specialized trainings on technical features of a Customs Union and trade analysis, trade negotiations in the pursuit of better trade policy coherence and regionalization in the concerned areas. The assistance may include supporting national consultations with LAS Member States on the draft architecture of the ACU and provision of related capacity building targeting LAS Member States to support their preparatory works towards the ACU. Special consideration will be given to the Least Developed Countries (LDCs) in the Arab region with regard to supporting their capacity building and trade policy reform through alignment of their trade regimes with the implementation of the PAFTA Upgrading and corresponding international instruments and good practices.

4. *Introduction of institutional arrangements that are necessary for the LAS to respond to the requirements of implementation of the PAFTA Upgrading, and consequently of designing and establishing the ACU.*

This entails assisting LAS with the necessary capacities and skills required to perform its functions in contribution to implementation of PAFTA Upgrading and monitoring the related processes. It will also include assisting LAS for their preparation of the technical architecture of ACU with specialized knowledge and skills on its various components. At the same time, this intervention would aim enable LAS Secretariat and Member States to enact policies, operational measures and to perform functions related to modernization of trade and trade-related policies for the ACU. Moreover, it may include provision of technical support to define areas of priorities in the design of the ACU and for its progressive activation.

5. *Delivery of awareness raising activities and provision of technical guidance on good governance and integrity approaches.*

Activities in this component aim to assist customs authorities and concerned border management agencies with technical support for adopting and implementing concrete transparency and accountability measures.

6. *Promotion of regulatory transparency, open dialogues and consultations with related stakeholders, targeting all social groups but particularly women in participating to cross border operations and related economic activities, among others.*

Design of the continuing phase of technical assistance towards the establishment of ACU forms part of the continuous agenda of deepening Arab economic integration in coming years while factoring into policy design national priorities and requirements as expressed by Arab countries. In order to secure proper implementation, tools of monitoring and of management of risks will be designed and applied consistently throughout the lifetime of the project.

Agreed by UNDP:

I. BACKGROUND

The Arab region is experiencing crucial moments in terms of efforts of making trade and regional economic integration an instrument for reducing poverty through better connectivity among Arab economies and more integration into the global economy and supply chain. Such efforts resonate well with the call of citizens, men and women, especially the youth, across the region for more and better opportunities; economic, social, and political.

The challenges facing the Arab countries lie at the crossroads of governance and development—and so do the opportunities. Moving toward more inclusive political systems and more widely shared economic growth are essential for meeting the aspirations and addressing the most critical and timely challenge in absorbing the unemployed and new entrants to the labor force (70 million of new workers are expected to enter the labor market over the next decade), which would require an estimated annual GDP growth higher than 7.5%, approximately 3% points higher than the average achieved in the past decade. Unfortunately, the region is going through a modest growth cycle for international trade in terms of being able to support growth; it remained at 2 percent in 2016 and likely to be no more than 3 percent in 2017.[3] A number of factors may explain it, among them, the drop in commodity prices particularly in oil, and weaker demand.

Furthermore, on average, three out of four women in the region are outside the labor force, and they constitute the vast majority of the inactive population. Although women's participation in the labor force in the region increased in the past few decades; that increase has been slow. At the current rate, and given the low starting point, it would take 150 years for the countries in the region to reach the current world average for the labor force participation of women (World Bank 2013).[4]

Besides these, the region has been exposed to instability and conflicts that force millions of people out of their homes. They migrate to neighboring countries and continue their fight for survival in foreign lands. For them, business opportunities and jobs and getting any economic benefit from the Pan Arab economic cooperation framework are essential in rebuilding their lives and communities.

The new Sustainable Development Agenda has re-affirmed one essential entry point for economic growth and inclusion, consisting of support to demand-driven reforms of trade related policies as well as removing supply side constraints related to productive capacities, economic infrastructure and trade related adjustment to enable the creation of productive employment. Adoption of the Sustainable Development Goals (SDGs) in September 2015 by the General Assembly of the United Nations points to the close linkage between better economic conditions and development dimensions, in which, trade has high potential of sustainable contribution. The SDGs 1 (End Poverty), 5 (Achieve Gender

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[3] OECD, June 2016, Paper for G20 Finance Ministers, Developments in Trade and Policy Challenges
[4] Jobs for shared prosperity, World Bank 2013

Equality and Empower Women), **8** (Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all), **16** (Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions) and **17** (Strengthen the means of implementation and revitalize the global partnership for sustainable development) constitute the overall framework to understand and track the progress of work to achieve these SDGs with support provided from Arab economic integration and growth at both national and regional level.

It is widely recognized that trade in general, and international trade in particular, is a powerful device to wealth creation and poverty reduction and in so doing, to human development and creativity. The value of world trade has more than quintupled, from $8.7 trillion in 1990, to more than $46 trillion in 2014. The relative importance of trade has increased too, from 39 percent of world GDP in 1990, to 60 percent in 2014.[5] These figures point to the significant potential of trade for inclusive economic growth and resilience; the same could well be a reality for the Arab countries 2016 onwards.

However, all trade actors/parties are not in an equal position in the picture. Women, particularly in Arab countries, can find themselves less able to make use of the opportunities that trade brings due to inequalities in economic, political and legal rights and their access to banking and credit facilities. And experience has shown that impacts of trade policy, and even trade agreements can have a differential impact on men and on women given their positioning in the economy. These impacts need to be better understood by trade policymakers, to unlock women's trade potential. It is important to highlight, women are already actively engaged in trade for global, regional and national markets as well as in sustaining household livelihood through their activities in cross border trade.[6]

As such, the post-2015 Agenda re-emphasizes the need to ensure a universal, rules-based, open, non-discriminatory and equitable multilateral trading system under the World Trade Organization, including through the conclusion of negotiations under the Doha Development Agenda. This approach has been based on empirical evidence of regional economic integration/cooperation and trade being an active engine of participatory and equitable growth in several countries and regions in the world.

This renewed commitment by the highest level policy makers of Arab countries and leaders, and the changing nature of international business, with an expansion in global and regional value chains, provides new opportunities for the Arab countries to strengthen the links between trade, investment and sustainable development through access to networks, global markets, capital, knowledge and technology. In addition to that, collective efforts by Arab countries will generate more momentum of sustaining better competitiveness of

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[5] World Bank, Global Economic Prospects, January 2016
[6] The Gender Dimension of Aid for Trade, International Trade Center, 2010

their economic activities and more diversification in making them more resilient in the fast moving economic environment.

Although economic integration is neither a panacea nor an end in itself, pursuing efforts to deepen regional trade by completing the implementation of existing agreements would be essential to achieve a more sustainable regional economic growth, by optimizing the opportunities that trade liberalization offers. From experiences in the past and good practices of programmes of economic integration in other parts of the world, it is essential that a successful implementation of Arab economic integration should take into account modernization of trade and economic policies with a view to minimize unnecessary barriers to trade, improvement of efficiency and productivity, and optimization of operational and transaction costs for businesses and industries.

To pursue this goal, the Arab Leaders have re-affirmed their commitment at the 2015 Arab Economic Summit (March 2015) to accelerate the Arab economic integration by completing the PAFTA requirements and by establishing an Arab Customs Union with the view to increase the volume of inter-Arab trade, improve cross border facilitation and promote more investment. This project responds to the demand arisen from these commitments, aiming to support the institutional capacities to design, prepare for, and implement the PAFTA Upgrading – an intermediate stage towards the Arab Customs Union in a gender sensitive way. It is also expected that its intervention contribute to reform undertaken by Arab countries in recent years, particularly oil exporting countries, in balancing national budgets and diversification of economic activities.

Toward the strategic vision of putting in place the Arab Customs Union (herein after ACU), it is necessary to work in laying down major foundations and in setting up necessary institutional arrangements with adequate mandates and authority. That requires upgrading existent components under the PAFTA/GAFTA (using the stage-in approach) as part of a structured migration from Free Trade Area (FTA) arrangements to a more integrated platform of economic union, operated on agreed framework and mechanisms. In other words, a transformational progress from the PAFTA to ACU will take place on the basis of completed preparations while giving sufficient attention to readiness of operating conditions in the region.

This shift would also have to be based on the priorities of socio-economic development programmes of Arab countries, and focus on support to trade and investment facilitation for better competitiveness of exports and logistics services nationally and regionally. Specifically, levels of economic development and linkages among Arab countries within the value and the supply chain vary; as such, in order to achieve sustainable results and gain more ownership of major transformation (i.e…, adoption of international standards and instruments), this process demands a more development-oriented approach and more integrated liberalization of the trade policy framework while building technical capability of Member States. For that, upgrading of the current PAFTA is considered a logical intermediary stage in preparing institutional arrangement, human resource, for a more

ambitious ACU. Such upgrading of PAFTA will allow the trade policy makers of the region to introduce a comprehensive and integrated framework of economic/trade reform, with better policy coherence, bringing them one step closer towards the establishment of the ACU.

The project aims to address specific challenges and complexities that Arab countries (and League of Arab States) face to enhance regional economic integration, more specifically in the transition from an FTA-based framework towards making the customs union a reality.

These challenges and complexities include:

Incomplete implementation of the PAFTA/GAFTA: Up to the second half of 2016, operationalization of the PAFTA and its Executive Program has resulted in important progress against the FTA benchmarks. However, there are still several commitments remaining to be adopted formally, such as in areas of Rules of Origin and Dispute Settlement, or to be enacted operationally in Member States. Trade facilitation and integration of the international/regional supply chain has been documented as one of keys of realization of concrete benefits from regional economic integration as they complement efforts of trade liberalization at national level; more importantly, in several instances, they help in promoting economic efficiency, better allocation of resources through adoption of international practices and improvement of governance arrangements. In principle, these should go hand in hand; seemingly, the existing framework may not give adequate attention to it in a structured manner; consequently, it affects the effectiveness of the PAFTA in realizing political mandates by Arab Leaders.

Heterogeneity in the region's economies: Arab economies are characterized by a high degree of heterogeneity in term of population size, GDP growth, development level and progress, structure of trade, levels of dependence on government spending and diversity of their sources of revenues. Some of Member States of LAS are still in the group of Least Developed Countries; furthermore, composition of their economies also differs from each other with those being heavily dependent on oil, i.e., countries of the Gulf Cooperation Council while others have substantial activities in manufacturing and agriculture. Therefore, economic interests and their approach, historically, to Arab economic cooperation vary substantially from one country to another; thus, working collectively at the level of regional grouping needs to be further strengthened so as to leave no one behind.

Trade barriers negatively affecting value chains: Several analysis by international organizations such as UNCTAD, OECD, World Bank, among others, pointed to the needs of Arab countries of removing unnecessary barriers to trade and value chains, and of aligning economic and trade policies of individual Arab countries to a broader agenda of economic development, particularly trade, transport and investment facilitation. Logistics performance and slow introduction of international good practices as well as limited engagement of the private sector into the policy design continue to be major challenges.

According to various studies by international organizations, trade costs and logistics costs remain substantially higher compared to those in other parts of the world. These dimensions will be taken into account in the design of the PAFTA Upgrading and its implementation toward the vision of establishing the ACU in close collaboration with Arab countries and continuous consultations with all the concerned stakeholders.

Inexperience in the application of the integrated economic integration model in the region: This is partly related to the weakness in regional connections of one Arab country to another due to outdated practices of border management, weak physical infrastructure and lack of qualified human resources; these factors effectively restrain attempts of adoption of modernized procedures and practices to serve businesses, industries and Arab citizens. Although several countries are contracting parties to a number of international instruments, the implementation of these commitments continues to be slow and incomplete. Behind-the-border measures have not come into practice, nor have been introduced into national regulations in a timely manner. In other words, implementation remains weak, resulting in economies of local communities benefitting little of the globalization and regionalization. The private sector observes that much needs to be accomplished for concretization of modernized policies into business opportunities and job creation. Delay in making it happened would further undermine confidence of the market, the public and the private sector to benefits of having a Pan Arab economic sphere under any format.

Such inexperience of working within a multilayer coordination environment of economic and commercial transactions with participation of various sectors requires that the project be designed in incorporating adequate measures of mitigation of risks of slow progress. The latter is essential to secure the ultimate success of the project with pertinent solutions that address practices of policy making, reinforce institutional arrangements, design implementation mechanisms responsive to needs of countries and more importantly to build new capacity of policy design and analysis for Arab policy makers.

Deficiencies in the legal and regulatory framework: The existing legal framework of the Arab economic integration has proven inadequate in addressing the necessity of more synchronization and coherence of economic and trade policies to support freer movement of goods, services, of means of transport and factors of production, and ensuring equal opportunities and access to men and women. Furthermore, the scope of these instruments is limited to trade in goods while some of its key elements for preferential treatment (i.e. rules of origin) are still incomplete. Important sectors of promising benefits such as trade in services, investment have only achieved modest progress. Some of key legal instruments do not define operational measures or protocols, as consequence, its implementation

The Arab-EU Business Facilitation Network (2015) also pointed to low quality of institution, comprised of lack of transparency, complicated business regulations and low quality of public and private sector governance as negative factor that explains low level of regional

integration.[7] They also specified high costs of logistics and transportation as impediments to foster intra-region trade.

Outdated policies and procedures: From available information, several operational procedures and policies concerning Arab economic cooperation have not been regularly updated; private sector and trading community encounters difficulty to access to regulatory information. In addition, a significant challenge in deepening Arab economic cooperation relates to timely implementation of policies that are to be translated into operational procedures. Even at the level of the current PAFTA, the progress is not promising as the outdated procedures and practices hinder realization of strategic policies as well as hindering Arab stakeholders, consumers, producers and the like to benefit from its positive impacts. This points to the necessity of modernization of practices of design of economic and trade policies and their operationalization during implementation of the PAFTA Upgrading. The latter constitutes the operational preamble in the transition to the ACU as the adopted vision by the Arab Leaders.

Furthermore, this transformational stage, for the countries, to the ACU through the PAFTA Upgrading requires important preparations, including equipping regulators and end users (i.e…, consumers, manufacturers among others) with the knowledge and culture of regional compliance with laws and regulations and timeliness of the implementation. It is necessary to upgrade consultations of policies and procedural measures with concerned stakeholders prior to the enactment in order to reduce costs of compliance and secure concrete progress in putting into place legal, institutional, managerial and technological foundations. In this regard, active engagement of all stakeholders, included civic societies, constitutes a pre-requisite for a successful integration.

Partnership with business associations, entrepreneurs, particularly women and youth due to their increasing role in economic development, is one of the fundamental pillar of deepened Arab economic cooperation. Transparency in rules and regulations design will contribute to effective implementation of the PAFTA Upgrading towards a Customs Union requirements and make sure that related stakeholders own and promote the process.

Existing risks of corruption: Customs authorities and other agencies in charge of managing and monitoring cross border operations, such as immigration, security or other regulatory bodies, are particularly vulnerable to risks of corruption, which seriously hinders the flow of international business and trade expansion and undermines rules-based operations. Gaps in good governance and integrity measures accentuates these risks, thus eroding the confidence of the public and the business community in state institutions, and possibly resulting in disastrous consequences on national security and public finance. Officials in these authorities generally work, with poor pay and in difficult working conditions, in

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http://di.dk/SiteCollectionDocuments/DIBD/AENetwork/Working%20Group%20Meetings%202015/Network%20Mee ting%20in%20Cairo/5.0%20AE%20Newsletter%20results.pdf

environments where close supervision is practically impossible, while enjoying extensive discretionary powers vis-a-vis traders who have strong incentives to influence their decisions.[8]

Coupled with the overall situation of governance structures in the Arab region, where the 2014 Corruption Perception Index shows a regional average of 35/100 points, falling well below the global average of 43.2/100, it becomes critical to consider how the ACU, and the PAFTA Upgrading at the initial stage, may be supported to integrate related risk mitigation measures that can help to safeguard integrity in customs, preferably as a part and parcel of wider governance reforms. Against this backdrop, implementation of the PAFTA Upgrading for the Arab Customs Union provides an historic opportunity to integrate approaches that allow related corruption risks to be addressed in a more structured manner through preventive approaches, with the overall aim of improving the performance of public authorities at the borders and transforming the regional commitments into concrete benefits.

High costs of conducting international trade in the region: Last but not least, it is critical to factor in potential benefits of removal of unnecessary barriers to trade as well as the necessity of giving priority to reduce costs of conduct of international trade and doing business in the region in general. Trade and logistics costs as well as quality of services are essential for sustainable competitiveness of Arab economies.

The World Trade Organization (2015) estimated that the entry into force of the WTO Trade Facilitation Agreement would contribute to reduce trade costs by 14.5% for low income countries, and more than 13% for middle income countries. According to studies by OECD, trade facilitation measures have the potential to reduce trade costs by around 10%. For lower-middle income countries, harmonization and simplification of documents alone could reduce costs by 2.7%; streamlining of procedures would bring in another 2.8% reduction; and application of risk management will add in another 2.4% reduction. With trade accounting for about 60 percent of GDP (World Bank 2016), the potential of trade contribution to economic integration and prosperity of Arab countries, to poverty reduction remains substantial for many years to come.

Specifically, the World Economic Forum also highlighted that reduction of barriers to supply chains had larger effects than tariff reduction. Along this line, activation of the ACU goes well beyond a mere removal or reduction of tariff barriers; instead, it means, Arab economies will operate on a common economic platform with harmonized regulations and rules in heading toward a common market with more facilitation and efficiency. The very first platform in the pursuit of the above would be the PAFTA Upgrading environment in which important efforts would be invested into removal of NTMs, into setting regional

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[8] *"There are few public agencies in which the classic pre-conditions for institutional corruption are so conveniently presented as in a Customs administration. The potent mixture of administrative monopoly coupled with the exercise of wide discretion, particularly in a work environment that may lack proper systems of control and accountability, can easily lead to corruption"* J.W Shaver, Secretary General of the WCO, 1994-98.

rules and standards to be adhered to and collective implementation of adopted decisions and commitments.

According to 2016 Doing Business by the World Bank, imports and exports among Members in the same customs union tend to reduce time to trade. Experiences of the EU illustrated that exports among Members of the Customs Union take 0.8 hours for documentary compliance, 3.5 hours for border compliance. Meanwhile exports from these Members to non-EU Members cost 2 hours for documentary compliance, 19.9 hours for border compliance.[9] It is strongly expected that same advantageous effects would be once LAS Members achieve the ACU. To that end, the first stage would be the PAFTA Upgrading, through which trade policy coherence, supported by the modernization of operational procedures within a more integrated environment would be in place in efforts of producing concrete benefits to stakeholders, particularly consumers, businesses and industries.

The project also seeks to leverage on positive features and benefits of a more integrated environment to realize gains for Arab countries and Arab citizens through targeted interventions in areas of major value-added such as trade in services, promotion of competition, protection of consumers, encouragement of IPRs protection in function of the to-be knowledge-based Arab economies, as well as reduction of unnecessary barriers to trade. These efforts go accompanied by pertinent measures of strengthening institutions at regional and national level aimed at timely introduction of decisions, agreements into practice for the benefits and in collaboration with the private sector. Good governance in regional economic and trade policy is a key to sustain growth and development; in this regard, promotion of shared responsibility, then shared prosperity constitutes the main targets of the project.

II.   RATIONALE AND THEORY OF CHANGE FOR DEVELOPMENT

Arab Leaders expressed their commitment to improve regional economic integration through their vision of establishing the Arab Customs Union (ACU). This vision envisages boosting trade to promote Arab economic integration with a view to contribute to inclusive growth and sustainable development. This also means providing better incomes and improvements in the welfare of households and individuals in the region.

The realization of this vision would only be possible with more structured and inclusive governance models to guide trade and investment that generates tangible opportunities for the citizens, including for women and youth. In the process, modernization of existing mechanisms of policy making and strengthening institutions with more technical competence and clearer mandates constitutes the main task for several years to come at the service of deepening linkages in trade and production network among Arab countries. Such inclusive models to push for increased entry points for Arab citizens would eventually

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[9] World Bank, Doing Business 2016, Box 9.2 Does customs union membership affect the time and cost for trading?

strengthen accountability to the public, and nurture the culture of collective responsibility of securing successful activation of regional commitments- as promised. Timely implementation of decisions is critical for public confidence in newly modernized regional institutions.

To introduce modernized practices aimed at transformational changes, the following could be seen as the basis of design, adoption and implementation of innovative measures for the integrated economic space of Arab economies:

a)   <u>Encouragement of policy dialogues and consultations</u> among policy makers, execution agencies and those responsible for implementation and compliance – businesses and industries and related stakeholders. All aims at more coordinated policies, higher level of trade/economic policy coherence and consistency in which regional dimensions should be part of national agenda and socio-economic development plans. Upgrading PAFTA and undertaking preparations for the Arab Customs Union are major strategies with a view to realize the political mandates of Arab Leaders.

b)   <u>Priority attention being given to implementation of economic agenda of substantial value-added to national and regional economies</u>, i.e..., promotion of sectors in trade in service of primary interest to Arab economies, activation of measures of trade, transport, and investment facilitation. In this regard, trade facilitation and development of efficient supply chain and integrated value chain will be of significant benefit to all Arab countries in their economy diversification and enhancement of competitiveness of exports of goods and services as well as better efficiency in managing inflows of goods and services.[10]

c)   <u>Prioritized improvement of governance structure</u> in response to needs of Arab economic integration and reinforcement of current regional institutions. That serves to breed a new culture of shared regional responsibility and joint accountability in making trade and economy an instrument of inclusive growth and development. Empowerment of women in economic and political environment and efforts in anti-corruption are important platforms to sustain strategies of transforming regional economies into knowledge-based economy.

d)   <u>Prioritized activation of measures being designed for implementation of policies, decisions and resolutions</u> by Arab Leaders and Ministers to drive the Arab integration agenda as part of their globalization in the international markets. Putting into practice these instruments in a timely manner contributes to realization of economic benefits to Arab citizens, businesses and industries, and consequently gains more momentum and political support to continuous deepening of economic relationships at regional, sub-regional, pluri-lateral and national level.

e)   <u>Utmost attention being given to building technical and managerial capability of policy makers in the design and effecting regional agenda into national plans</u>. It works to secure a more uniform understanding of the regionality dimension and national

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[10] It may also comprise facilitation to movement of means of transport and capital as production assets of the manufacturing networks.

development plans, needed for policy coherence, and coordinated implementation of policy decisions. To that end, extensive programmes of review and adoption of international practices would be provided to assist the officials to be acquainted with new techniques and updated knowledge on contemporaneous arrangements of regional trade.

As the transition to the ACU means a radical migration for Arab countries to a more regionally compact environment of economic relationships, it would be essential that an intermediate stage of PAFTA Upgrading be established with specific timetable. This enables detailed preparations and adoption of concerned policies and operational measures. In effect, it may comprise of upgrading the legal and regulatory framework, building implementation capability, enhancing the physical infrastructure for a closer linkage of Arab economies – pre-requisites for the future ACU and re-design and/or streamlining of working mechanisms of realization of regionally adopted commitments. The PAFTA Upgrading, as a process, could be characterized by a more structured facilitation of development of the supply chain to enable freer movement of goods, services, productive assets in promotion of complementarity among industrial and economic sectors of one country to another.

Bearing in minds challenges as explained in the Background Part, the project needs to apply corresponding methods and designs measures that contribute to achievement of realistic goals for Arab integration and at the same time, provides support to the countries to be better prepared for a more active role in the integration. These constitute major premises for a successful program of support to make Pan Arab market a reality through structured phases and determined stages.

With this overall objective in mind, the project's rationale is premised upon international experiences of operating a Customs Union and potential benefits it may generate in fostering regional economic integration. Indeed, participating countries enjoy strategic gains from a customs union by pooling their assets and economies together. That enable them to leverage on production capacity and potential for better complementarity among these economies; at the same time, it gives them collective power and influence to global economic sphere vis-à-vis other types of economic groupings.

Moreover, tasks may include detailed examination of experiences of undertaking of preparatory works aimed at migrating to the customs union environment, particularly the required coherence of economic, trade policies in pursuing new value. Moreover, these works will contribute to timely realization of benefits, expected from such high level of economic integration in nurturing further confidence of the private sectors, related stakeholders and beneficiaries in willingness and determination of reinforcing the regional process. In this aspect, efforts in trade facilitation promise immediate gains for all

stakeholders along both the supply and value chains.[11] Modernization of trade and economic policies should be accompanied by measures that deliver outputs to the community, which in turn initiates more momentum for the reform as being documented in regional agenda of integration in Latin America, Asia Pacific as well as other parts of the world.

As such, by acting together, these countries could reach more complementarity and synchronization in their industrial, investment and agriculture activities while building on the economic strengths and advantages of each of the members in the union. This is a continuous process and demands consistent efforts and strong political will that can be translated into adoption of bold measures in economic matters, and makes integration part of the national agenda of Arab countries.

Strategically, the new arrangements of customs union will reduce unnecessary barriers and costs of doing business through more harmonization and simplification of regulations, and consistent application of rules and procedures not only at the national level but also at the regional one. The experiences of the EU point to the fact that imports and exports among members in the same customs union tend to cost less time for trade, compared to those being conducted between the members and the non-members. More importantly, it benefits of collective works of reduction of unnecessary barriers to trade and limiting undesirable impacts of SPS and TBT measures with adoption of common policies like mutual recognition and accreditation.

It is well acknowledged that with deepening regional integration, effects and impacts to national economy and benefits for consumers go beyond trade effects; all sectors of economies will enjoy more opportunities and efficiency either directly or indirectly. Market expansion, better competitiveness, productivity, fair competition and protection of consumers sustain the Arab economic regionalization; towards which, preparations in the regulatory framework, operational mechanisms and professional skills and enhancement of human resources must take place during an intermediary stage.

Based on international experiences, the transformational move into the ACU constitutes always a progressive upgrade with substantial modernization of policies, regulatory framework. In fact, such move requires continuous efforts of keeping focus on reform and continuous integration of trade and economic policies and particularly, gradual introduction of these holistic commitments into national regulations. Against the records, the region already has a previous experience through the GCC Customs Union, albeit a narrower one, that could inform the bigger efforts region-wide. In new circumstances of 2016 and years to come, this being-designed economic entity will feature

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[11] Djankov and others (2010) found that each additional day a product is delayed prior to being shipped reduces trade by more than 1 per cent and that delays are worse for exports of time-sensitive goods such as perishable agricultural products.

contemporaneous developments and adjustments being undertaken by countries to respond to challenges like drops in commodities prices and slower growth.

By pooling economic assets and resources together, Arab countries can exert more influence in the international economic environment in terms of negotiating powers, and achieve stronger voice in shaping global economic linkages on a collective basis. With the ACU in place after having implemented the PAFTA Upgrading, the countries will have more compatible rules, regulations and synchronized legal framework, which contribute to reduce costs of doing businesses, to optimize the complementarity of its economic sectors for better competitiveness and to allocate economic resources more efficiently in leveraging on their comparative and competitive advantage.

With these rationale in mind, the following sections presents modalities, work methods being used during the project implementation and target deliverables to be achieved at the end of the project. It serves to design of technical measures that help to improve efficiency, reduce trade costs and achieve higher productivity in the countries.

III.   STRATEGY OF DELIVERY AND ENGAGEMENT WITH AGENTS OF CHANGE

The strategy of delivery for the project entails designing activities based on a conceptual thinking around interlinked processes, guided by international experience and instruments, to support regional economic integration and working to support capacities both at the regional and national level that envisages engagement with government as well as non-government actors, including the private sector. A working mechanism will be established with the League of Arab States (LAS) through its existing bodies and structures, especially with its Economic Sector, and with the Member State based working committees. Varying modalities will be explored with the partners, mainly focusing on institutional and individual capacity support and technical assistance to facilitate the work of the stakeholders that places ownership in the region at the core of project's approach. During the early stage of the project implementation, the project will establish the Inception Report that will address management activities (i.e..., staff recruitment, establishment of the corresponding work plans, among others) and describe in detail, modalities by the project in the area of conflict sensitivity (please see Part VII – Project Conflict Sensitivity), good governance/anti-corruption and gender. In addition to having a dedicated focus with a specific output within the Result and Resources Framework (please see Annex A), gender considerations will be mainstreamed across project activities and contextualized in concrete operational environment. Given the fact that this proposal builds on an earlier phase with Sida support, the current approach largely benefits from this past experience and lessons learned.

The following sub-sections describe main elements of such a strategy.

a) A stage-in design for the conceptual framework for the work

The project's primary work is intended to focus on PAFTA upgrading, with a view to support longer term efforts towards an Arab Customs Union, with complementary work both at the regional and national level for regional economic integration.

- *Two interlinked processes of PAFTA upgrading and preparations for Arab Customs Union:* In the pursuit of improving regional economic integration, this project targets two interlinked processes: upgrading the current PAFTA arrangements with activation of specific measures for strengthening the supply and value chains; and preparations for Arab Customs Union. While these processes interact within an integrated platform and support each other for the common objective of improving regional economic integration, each of these processes entails its specific requirements and processes of engagement for the related reforms. In recent years, several Arab countries attach significant importance to trade, transport facilitation and enhancement of productivity as major foundations for enhancement of competitiveness of their economies. Facilitation of cross border operations constitutes a concrete realization of commitments of trade liberalization and facilitation at bilateral, sub-regional, regional and multilateral level. These aspects have not been sufficiently clear in the current provisions of the PAFTA Executive Program; or at least, they are not very clear in terms of defining what need to be achieved.

- *Focus on PAFTA upgrading:* Works related to PAFTA upgrading may comprise of enhancement of the legal and regulatory framework, building implementation capability, enhancing the physical infrastructure inter-country connectivity, and particularly activation of instruments made available in written documents such as resolutions and pertinent decisions by Member States. The 2016 and the ensuing years are important for the full implementation of the current PAFTA as well as for initiating work to expand these provisions in aligning them to international conventions and good practices (so called PAFTA upgrading). Although it is important to highlight important achievements of PAFTA/Executive Program, it becomes necessary to progress with upgrading provisions and commitments of PAFTA in the light of new trade and economic development. As illustration, new preferential trade arrangements come to light in recent years give more priority to not only tariff reductions but also solutions in the removal of unnecessary barriers to trade. Facilitation of the secured supply chain and making Arab economies an integral part to the value chain are essential components of these new arrangements. For now, this has not been adequately addressed in the present framework of economic cooperation in the region. In this process, LAS and Member States have an opportunity to assess the past achievements and decide on the future directions for their regional integration agenda. There are opportunities to adjust specific targets to achieve the developmental goals of the PAFTA/GAFTA upgrading towards this direction. Member States can and should make a robust assessment of what has worked, what has not, and to agree on what needs to be

done with support of qualified assistance by UNDP and specialized organizations. Besides the assistance to the PAFTA implementation, it is also expected that modernization of the framework of PAFTA contributes to improvement of relevance of PAFTA for the countries in globalization of international trade and economic relationships.

Theoretically, working for enhancements under the PAFTA would help putting into place major pillars for the more comprehensive framework of economic and trade policy arrangements towards a longer term objective of introducing customs union. For that, efforts should be exercised at national and regional level. In building the regional and collective policy platform for such high level of economic integration, the project aims to support Arab countries in their preliminary preparations to secure their ownership of the process of introducing the necessary upgrading, and more importantly, commitment to the implementation of the changes that would be introduced under PAFTA upgrading.

At the country level, fulfilling the requirements of the PAFTA Upgrading is expected to assist the countries to be more prepared in embarking in larger and strategic programs of integration in the future. The gradual approach of upgrading of PAFTA as such, would provide opportunities to countries to test and apply practical solutions through integrated approaches in the relevant economic sectors (i.e., trade in goods, trade in services, dispute settlement, coordination and coherence of trade, transport, investment policies). More importantly, going through this process of gradual improvement would also allow the broader set of stakeholders such as the public, consumers, businesses and industries to get accustomed to the improved rule-based system and be given adequate opportunity to contribute to the policy making process as the improvements are tested before embarking on development of a full scale Customs Union.

Consequently, the project intends to facilitate related works by the LAS and the Member States by concentrating on the following priority areas to address certain outstanding issues of the PAFTA implementation:

(i)   Promotion of trade, investment and transport facilitation;
(ii)   Support to implementation of the tariffs elimination schemes;
(iii)   Assistance to finalize adoption of Arab rules of origin under the PAFTA;
(iv)   Harmonization of competition laws and policies;
(v)   Finalizing the trade remedies regulation;
(vi)   Activation of Dispute Settlement Mechanisms;
(vii)   Elimination of non-tariff barriers; and
(viii) Contribution to policy design in liberalization of trade in services.

In addressing these, the project will be guided by the higher level interconnected aspects of trade and development. The linkages have been explained in the background as well as in the rationale sections. These aspects require leveraging regional economic integration on diverse national sustainable growth agenda to promote complementarity of production

and manufacturing and trade, in the absence of which intra-regional trade is doomed to stay low. It is well documented that lack of complementarity of production and manufacturing activities, combined with heterogeneous economic interests of the countries to access main markets outside the region, not inside, such as China, European Union, and the US, may explain in part a low ratio of intra-regional trade and investment. Design and adoption of more holistic strategies in making regional economic integration a factor of sustainable growth is essential through more encouragement of production networks, sound fiscality and adoption of regional agenda for more active participation in the global markets.

b) Guidance by the international instruments

As the entry into operation of the WTO Trade Facilitation Agreement is only a question of time,[12] the current PAFTA should be upgraded with introduction of new legal framework for trade and commercial transactions and adoption of concerned international instruments. Being left outside of the global scope is not an option and Arab countries embrace economic liberalization in unprecedented speed in catching up with new technology and developments to sustain growth and reduce poverty. Essentially, the new framework should be compatible and interoperable with international trade rules as set forth by multilateral platforms such as the WTO. This alignment, in the long term, helps the integration of Arab economies into the international supply and value chain in building more resilience and readiness for bolder economic programs that tackle challenges Arab citizens face: poverty and lack of business opportunity, and jobs.

In this process, rationalization of TBT, SPS measures should be seriously considered without undermining application of legitimate control by a country. Building more momentum of reform, already initiated in a number of projects funded by international development partners, the project seeks to design of concrete initiatives in putting agreed schemes of cooperation in SPS and TBT into actions. Moving towards adoption facilitating schemes such as Authorized Economic Operators, Mutual recognition of conformance documents and of control results by regulatory agencies in the new Arab economic cooperation will be beneficial to all stakeholders and involved countries at multiple levels.

Factoring into consideration new elements of economic and trade globalization, it is important to understand the intra-regional trade in its broad perspectives, instead of talking exclusively about trade in goods. Such region-wide trade does not only include final goods but also, more importantly, intermediate goods and unassembled components that are manufactured in different locations in the region. For that, integration of production facilities requires a sophisticated and efficient supply chain that will bring about more productivity and efficiency of economic and trade activities.

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[12] According to the WTO, by the end of August 2016, 92 countries have ratified the WTO Trade Facilitation Agreement.

The above should be further strengthened with more focus on competition[13] and activation of dispute settlement. These will assist normal functioning of market transactions and contribute to make business environment more viable for all investors. In addition to that and as explained earlier, the regional economic integration should be accompanied by strengthening economic activities at the national level and promotion of innovation and job creation. For that, it is required more attention to protection of intellectual property rights of Arab creativity and efficiency through adoption of corresponding policies and enforcement activities.

In several Arab countries, these areas are still young and require further assistance, particularly in building the capacity of policy design, technical design and implementation capacity. In reaching this, comprehensive measures and collective efforts by all participating economies in the region are necessary to effectively leverage on economies of scale and extra efficiency. Besides a good design of activities, a rigorous enforcement and timely implementation of these measures would reinforce more confidence of the public and businesses to the integration. At the same time, the interactions among economies demand adoption of more productive and efficient production processes and innovation towards the knowledge-based economy.

c) Leveraging the linkage between trade and development in the design
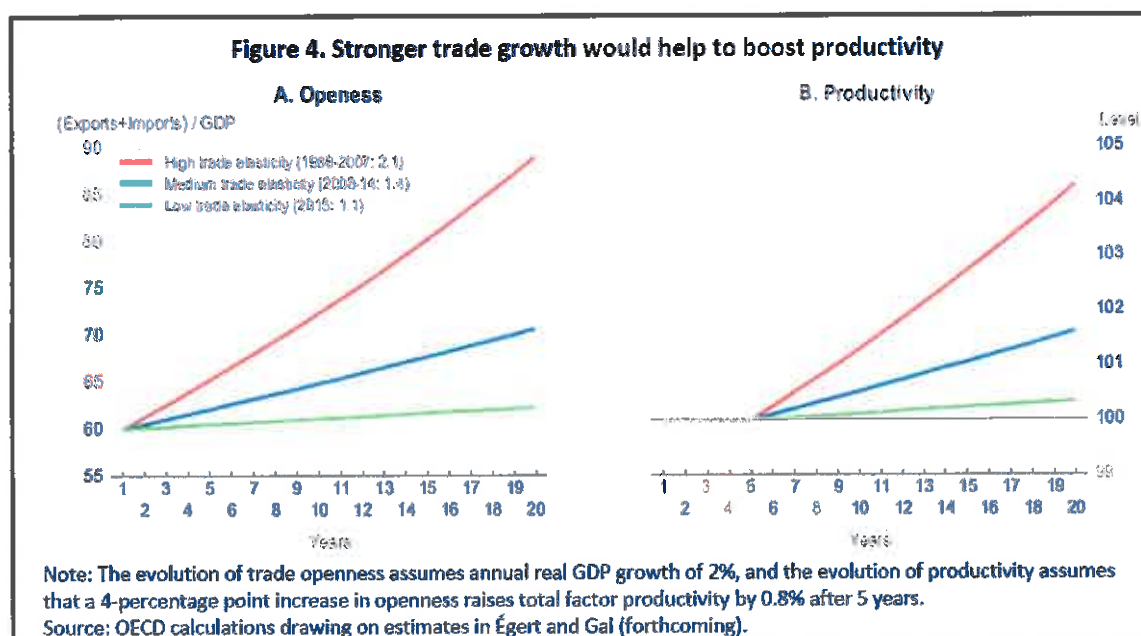
Design of measures in the project is also based on the commonly accepted knowledge that trade constitutes an important channel to promote growth, innovation and modernized techniques of management and sustain human development. In this regard, enhancement of productivity in Arab countries will be given adequate attention and priority.

According to OECD (2016)[14], trade growth contributes to boost productivity at global level; and very interestingly a certain level of correlation is observed between Openness the countries have adopted and their productivity. Trade in services growth stays at better level compared to trade in goods, which has been subject to substantial variations in commodity price, particularly oil.

Several studies also document reasons for trade to play a significant role in rising productivity that may comprise, among others, technology spillovers and dissemination of new knowledge and push for higher productivity along the global supply chain. For international trade and regional trade arrangements,

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[13] Works on competition have gained more and more attention by Arab policy makers in 2015. A technical working group has been established and Arab countries are finalizing the first Guidelines on Competition on the basis of contribution of Egypt and Tunisia.

[14] OECD (June 2016), Developments in Trade and Policy Challenges.

Figure 4. Stronger trade growth would help to boost productivity

Note: The evolution of trade openness assumes annual real GDP growth of 2%, and the evolution of productivity assumes that a 4-percentage point increase in openness raises total factor productivity by 0.8% after 5 years.
Source: OECD calculations drawing on estimates in Égert and Gal (forthcoming).

d) Coordinated working mechanisms at the regional and national levels

In broad terms, the new project supports implementation of decisions and political mandates of Arab Leaders towards an integrated regional market in various stages, starting with the design, preparations for the ACU establishment and underlying operational mechanisms.

At the regional level, League of Arab States (LAS) plays a particular role, hence, a particular attention will be placed on how various units within LAS are supported to better perform their mandated functions, roles, and responsibilities in a coordinated fashion across the organization and vis a vis the member states. The project will target the policy making architecture of the LAS such as the relevant Ministerial Councils and their working groups to inform key decisions in relation not regional economic integration. The working arrangements will follow the existing mechanisms and structures of LAS as described in Annex B. **Annex B**.

As such, the new phase of the project will be implemented under the overall coordination of the LAS Economic Sector, and its functional departments. Detailed interventions will be delivered in collaboration with national authorities and around their regional engagement mechanisms, in full synchronization with national socio-economic development agenda.

The project team will identify appropriate mechanisms of cooperation and coordinate with the LAS as the regional institution to ensure a timely exchange of views, consultations and speedy decision making with relevant Arab countries. Perspectives and feedbacks on outputs produced by the project would be incorporated into adjustments to be adopted by the project.

The team will also work with focal points at the national level and with UNDP Countries offices (COs) in the delivery of project activities. The project team will be responsible for the coordination and cooperation with national authorities to secure the full responsiveness of project activities to priorities of national socio-economic development plans of the countries as support to democratic institutions in the region.

The project will also seek collaboration with international organizations, UN Agencies and regional commissions, such as ESCWA, UNCTAD, and World Customs Organization, among others, for the successful implementation of PAFTA upgrading as well as conduct of preparatory works for the ACU. Such collaboration aims to pool together the international expertise and experiences to secure adequate preparations required for related measures to be put in place.

e) Supporting country level preparations to complement the regional efforts

The project intends to assist formulation of national policies in support the design of regional policies and detailed measures of implementation of these policies and new legal/regulatory framework. With such measure, more attention could be invested into effective activation and operationalization of agreed measures and policies. Through these policy interventions, it is expected that the Arab economic environment would be supportive to initiatives and programmes undertaken by national governments as well as securing the complementarity and coherence of policy frameworks of participating Arab countries.[15]

Accordingly, earlier experience and the ongoing consultations and the assessment conducted during the design phase indicate the importance of complementary work to help countries implement requirements for WTO agreement in support for the envisaged Arab Customs Union. The country preparations will include trade, transport, and investment facilitation, including modernization of customs practices, procedures and streamlining of the related procedures and formalities for value chains. This would be facilitated by supporting the design and enactment of mechanisms of policy consultation, policy making and for introducing the necessary governance structures for the related institutional arrangements to undertake the PAFTA Upgrading. The same institutions would eventually serve to required preparation of establishment of the ACU as identified within a timeframe. Primary attention will be paid to the objective of ownership by Arab countries with the overall coordination by the League of Arab States under resolutions made by Arab Leaders in their related Summits, including the one in late March 2015. The role that the Economic Sector of LAS will have to play remain important for the overall coordination between regional and country level work to be carried out by the project.

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[15] It is important to take note of important efforts by Arab countries in their economic diversification, strengthening their fiscality in the light of adverse challenges such as drops in oil prices and lack of resources to fund development projects in countries like Egypt, Jordan among others.

The positive feedback received from the Arab countries to works accomplished reaffirm that dedicated technical and capacity support to enhance Arab connectivity through facilitating trade/transport corridors and developing national single windows respond to needs of countries of achieving better competitiveness and more facilitated linkages. In effect, this facilitating platform is in high demand in most of Arab countries as they try to improve economic and trade competitiveness and diversify their economies away from the traditional sectors such as oil. With the imminent activation of measures under the WTO Trade Facilitation Agreement and the related instruments, establishment of integrated platforms for information processing on logistics services prove to be important tools for realization of commitments to reform, and for provision of more efficient services to the public and trading community.

Furthermore, Arab states express a key interest in modernizing customs practices and adopting trade facilitation to reduce trade costs and streamlining regulatory management - in line with the recommendations and provisions of the WTO Trade Facilitation Agreement. To that end, the project aims to assist in implementing target pilots of cross border operations as concrete materialization of trade facilitation commitments in Arab countries and facilitating exchange of information for control purposes among border management agencies at bilateral and multilateral level.

Among many other possibilities, specific examples of possible country support may include providing assistance to countries with measures to mitigate possible impacts of lower customs revenues or indirect taxes with new measures related to PAFTA upgrading and the eventual ACU. This would be analyzed from the perspectives of the integrated environment of public finance and fiscal situation, so as to prepare the countries to come up with corresponding policy measures.

The project could also help identify specific needs of development in terms of infrastructure necessary to strengthen the productive capacity as part of national plans to participate in the PAFTA upgrading process. Leveraging on newly available technology and working towards a more knowledge-based economy, the project could facilitate new approaches in this line to catch up with global innovations. To support countries with the required soft and hard infrastructure, coming up with mechanisms and instruments for mobilization of financial resources will also be necessary as these help reinforce impacts of policy reform to be carried out at the national level. These would enable the operationalization of required policies and regulations in a timely manner.

Moreover, an important part of the reform in trade and economic policy of the PAFTA upgrading comprises modernization of the national quality system to safeguard legitimate interests of manufacturers and citizens with regard to conformity assessments. This forms part of the main agenda of promotion of the supply chain, starting with trade/transport corridor in the Arab countries, and establishment of adequate control over flows of goods and commodities. Within the scope of the project, activities could target the trade-related aspects of the national quality systems and leverage on works being carried out by the

specialized regional organizations. Mutual recognition of conformance documents, or results of concerned inspection would contribute to trade in the region. As such, adequate attention to the area should be given at the macro and operational levels for the PAFTA Upgrading.

As widely recognized by Arab countries, PAFTA upgrading also requires adoption of development dimensions in promoting the participation of small and medium enterprises (SMEs) – job creators in the region, and active engagement of women entrepreneurs, whose talents, qualifications and commitments to improvement of livelihood of communities are assets for the regional economic integration. These are necessary to sustain a functioning rule-based system and address challenges related to the mobilization of all human and financial resources needed for the PAFTA upgrading. All these demands require extraordinary efforts from Arab countries in not only design, but also effective implementation within a regional structure, tested through PAFTA upgrading.

Translating these into practice requires substantial support from development partners in terms of expertise, knowledge and resources, such as the Swedish International Development Agency (Sida), and increased partnership with the LAS and Member States. In 2014 and 2015, the support by Sida enabled targeted interventions to facilitate policy transformation that will eventually lead to more accountability and regulatory transparency in the economic cooperation in Arab countries.

f) Inclusive engagement with key stakeholders to facilitate partnerships and ownership in project delivery

The core work with League of Arab States will be supplemented by partnerships to be established with policy makers of Arab countries at regional, sub-regional and national level to ensure success in the delivery of the project. Solid working relationships have already been established during the initial phase of the support program during 2014-2016, including a large number of national authorities responsible for trade policy, facilitation and administration of cross border transactions, transportation, standards and metrology organizations, among others.

Detail consultations with national authorities will be held when the project starts within the umbrella of coordination by the LAS, to be pursued by new partnerships where appropriate.

The main stakeholders at the national level are:
1) Government and governmental organizations
   a. *Line ministries*: Ministry of Trade, Ministry of Industry, Ministry of Economy/Finance, Ministry of Education, Ministry of Labour, Ministry of Agriculture, Ministry of Tourism, Ministry of Foreign Affairs, Ministry of Gender Equality/Gender Affairs;
   b. *Specialized agencies*: Customs Agency, Export Credit Agencies, Investment

Promotion Agencies, National Statistical Office, National Standards Bodies, National Food Safety Authorities, Central Bank, National and Regional Development Banks and Authorities, Antitrust Authority, Technical Vocational Education and Training institutions, Higher Education Institutions;

c. *Special committees*: Trade Facilitation Committee, Aid for Trade Committee, Skills Committee etc.

2) Business and employer organizations and trade unions

   a. *Business and employers*: national trade promotion organization, sectoral business associations, small and medium enterprises business associations, associations of artisans and traders, chambers of commerce, export associations, representatives of entrepreneurs, business women associations ;

   b. *Trade unions*: confederation of trade unions, main trade unions, women workers association, association/cooperatives of workers;

3) Civil society: Non-Governmental Organizations (NGOs), including environmental NGOs, associations of NGOs, women and sub-population groups' associations, independent think-tanks, national and local media.

g) Observing the link with good governance

In delivering its activities and supporting the partners, a particular interest for the project will be to reduce corruption risks and address integrity challenges that undermine Arab economic integration through promotion of good governance in customs and other border control authorities, by way of introducing measures to increase transparency and accountability. This requires working with broad ranges of development stakeholders, government and non-government, including private sector and academia.

h) Adopting gender as a cross-cutting theme

Throughout the project, gender will be a key cross-cutting theme which will receive particular attention, since trade development has a strong potential for addressing these fields. There are many mechanisms how trade can directly and indirectly contribute to gender equality; most of them are based on the fact that women in the Arab States are often highly educated. Growing exports, for example, will require more skilled staff for enterprise management and more skilled labour for the production of goods and services meeting the requirements of international markets, in both cases improving the match between the skills required in growth areas of the economy and the level of education of women. Working in enterprises active in foreign markets may also have the additional benefit of exposing women to international practices and thus further raising their ability to improve their status in the economy. Apart from a range of analyses dedicated to gender-related impacts of policies and further regional integration, the promotion of women's empowerment and gender equality will be considered at the level of activities within each component of the project, for example, by actively supporting high participation rates of women in training and other capacity building measures.

The fact that the project has a dedicated output on gender will make sure that the focus on the related issues are systematically pursued. This would include facilitating design and conduct of gender auditing of related policies, measures, and their implementation with the overall view to promote Arab economic integration. Given the intended effects and results on businesses and employment, engaging with youth both as beneficiary and as partners is also necessary. The project will therefore seek way in which both women and youth could remain continuously engaged in project's delivery. A series of trainings may also be carried out in equipping women with knowledge to leverage on positive changes programs of economic integration bring about.

i) Applying multiple methods and principles of delivery with emphasis on stakeholder ownership in the region

On the overall, the project fully subscribes to the principles of the Paris Declaration on Aid Effectiveness[16]. The described modality is designed to foster: (a) regional and country ownership, (b) participation of stakeholders, (c) capacity development of beneficiary institutions and stakeholders.

The main principle of implementation will be based on the recognition of collective responsibility, accountability, and ownership by the beneficiaries, UNDP being in the position of supporting and assisting them to achieve their mandates and objectives. Besides introducing the main elements of reform, the project would continuously assist the critical institutions in terms of strengthening the capability and managerial capacity of officials and of concerned authorities in their functions and roles vis-a-vis PAFTA upgrading as they become promoters of the related transformational changes at national and regional levels.

The main delivery method of the project will entail provision of technical assistance and capacity development support on key areas of interest both at the policy and implementation levels to the League of Arab States, its specialized organs, and its Member States in line with the demands of the Arab Leaders at the regional and national level to deepen economic integration. Such assistance and support will be provided through facilitating the LAS and Member States' role for the enhancement/upgrading of PAFTA. The project will therefore closely work with the League of Arab States, its specialized organs, and Member States in order to lay down the major foundations as preparations for the ultimate step – heading to the ACU.

Introduction of transformative changes into the policy making and formalization at the national level will follow structured stages in close consultation with Arab decision makers. The process will be assisted through provision of technical inputs, briefings to be presented to them, individually or collectively as circumstances required; additionally, to address any gap in the knowledge of regional economic cooperation, regional trainings, seminars would

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[16] http://www.oecd.org/document/18/0,2340,en_2649_3236398_35401554_1_1_1_1,00.html.

be organized in the pursuit of policy reform measures. Beneficiaries of the project will take the lead in aligning technical interventions with new policies or regulations aimed at trade liberalization, trade and transport facilitation and investment, among others.

Appling these multiple methods and principles, interventions and defined activities of the project will primarily focus on the following:

I. Provision of assistance to prepare and facilitate implementation of the technical and policy framework for PAFTA upgrading, including supporting acceleration in the completion of requirements under the current PAFTA with focus on areas such as trade in services, competition, dispute settlement, and trade policy reform;

II. Provision of capacity support to League of Arab States to facilitate their role in PAFTA upgrading; with focus on the Arab Economic Integration Department (AEID) to increase their technical and managerial capabilities;

III. Provision of capacity support to Member States of League of Arab States to prepare them for the requirements of PAFTA upgrading, including through support in specific areas required for the design and implementation of the required plans and measures at country levels;

IV. Provision of technical assistance to facilitate selected trade and transport corridors through targeted pilots; including supporting national single windows and modernization and harmonization of trade/economic policy and regulations for trade, transport and investment facilitation along these corridors;

V. Promotion of good governance in trade policies and measures with a focus on transparency and accountability in customs and other border management authorities at the policy, institutional, and individual levels. This will include developing and piloting specific tools to provide guidance to policy-makers on how to identify and respond to corruption risks and integrity challenges, which are most likely to undermine Arab economic integration; and

VI. Facilitation of gender responsive trade policy and mechanisms to introduce gender sensitivity in efforts to upgrade PAFTA at national, sub-regional and regional levels.

j)   Building on past work and a participatory design process for the project

Project activities will build on work undertaken by UNDP, supported with resources from Sida, in years of 2014 and 2015. Up to early 2016, important results have been achieved: support by UNDP brought about new momentum in the reform of policies dealt with

movement of goods (within joint pilots among related countries), and adoption of policies of development of national single windows in Egypt, Jordan at different stages of sophistication. The continuous engagement with LAS enhanced the capabilities and capacities for the organization to better perform its mandates, functions, roles and responsibilities vis-à-vis regional trade policies that support regional economic integration.

This experience highlights the critical importance of engaging all the stakeholders in the processes of design and implementation as these should be owned and initiated by them. The project targets provision of support to the Arab region at regional, sub-regional and national level in adhering to structured plans of assistance. At this initial stage, interventions have brought about sustainable momentum of reform partnership among Arab countries for more regional economic integration, as validated in the related ECOSOC meetings and reflected in the momentum of change at the country levels, including in Egypt, Jordan, Kingdom of Saudi Arabia, Djibouti, Iraq, and Morocco, among others.

Project interventions under the new phase were designed on the basis of outputs from detailed assessment of conditions on the grounds, requirements and strategic perspectives of project's beneficiaries and stakeholders. This includes a "needs assessment" conducted together with LAS during the design process. The project's strategy of delivery therefore builds on these actual demands and requests, expressed through the functional committees by the LAS and its member states, in a bid to respond to them with a combination of interventions related to policy design support, technical assistance and capacity support to manage related processes, and facilitation of dialogue among key partners. In effect, these combinations of interventions would serve to mobilize their public support and official commitments for the PAFTA upgrading, bringing countries one stage closer to the ACU. UNDP's strategy of delivery along the lines above are based on its continuous consultations with the concerned officials, related stakeholders on the upgrading of PAFTA, guided by requirements of the eventual ACU, including through recent dialogues during several regional workshops in Arab capitals.

The subsequent part describes in detail major outputs and results to be achieved through conduct of defined activities/interventions.

IV.   DESCRIPTION OF RESULTS CHAIN

Along the strategy as described above, and against the background and rationale provided in the previous sections, the project proposes to focus on the following key outputs, along with possible performance indicators to measure their degree of success. The main reference for all the outputs, especially Outputs 1, 2, 3, and 4 will be the decisions of Arab Leaders at their various Summits, including the 2015 Arab Economic and Social Development Summit (Sharm El Sheikh, March 2015). Beyond trade specific work, other important development dimensions of gender and good governance will also be captured in a structured manner in project activities, both in the form of having dedicated outputs and mainstreaming across activities.

The project has as target three major Outcomes towards deepened economic integration and enhanced competitiveness as below:

- **Outcome 1**: LAS capacity strengthened to manage regional economic integration related processes.
- **Outcome 2**: Members states are capacitated and technically prepared for regional economic integration.
- **Outcome 3**: Engagement of key development actors ensured through inclusive and transparent processes for regional economic integration.

Toward these goals and in applying the delivery strategy as described above, the project proposes to focus on the following six key outputs. Level of success would be determined on the basis of performance indicators that are developed accordingly. Certainly, being conscious of challenges and risks being explained to a certain extent in the background and rationale provided in the previous sections, the project team may consider design of appropriate tools of mitigating possible negative impacts to the project implementation. All of them together form part of the overall strategy of project management by the UNDP team.

Outputs of the project to achieve three main Outcomes include:

OUTPUT 1: Structured and targeted technical support to LAS secretariat and Arab negotiators on trade policy formulation and reform under PAFTA.

OUTPUT 2: Provision of support for the organizational capacity of LAS secretariat to facilitate the regional economic integration agenda.

OUTPUT 3: Provision of country-based technical assistance to policymakers for their activities related to trade policy reform and coherence.

OUTPUT 4: Provision of country-based technical assistance to policy makers for the modernization of the supply/value chain in preparations process for the Arab Customs Union.

<u>OUTPUT 5</u>: Improvement of related regulatory frameworks for integrity, aiming for good governance for trade development measures.

<u>OUTPUT 6</u>: Supporting gender responsive mechanisms to ensure systematic integration of gender sensitivities in trade policy-making and negotiations.

The below text further describes the activities proposed under each of the six outputs.

OUTCOME 1: LAS CAPACITY STRENGTHENED TO SUPPORT AND MANAGE REGIONAL INTEGRATION

<u>OUTPUT 1</u>: Structured and targeted technical support to LAS Secretariat and Arab negotiators on trade policy formulation and reform under PAFTA

The activities under this output will pursue a two-pronged approach to provide technical assistance in terms of PAFTA upgrading as well as preparations towards the envisaged Arab Customs Union (ACU); at the same time, they work in strengthening the role that LAS Secretariat as well as the member-state based technical committees in regional economic integration. The work related to PAFTA upgrading also entails support to be provided to the LAS secretariat and member states for the completion of commitments under the current PAFTA. The Economic Sector of LAS plays an essential role in this regard, and the project will be facilitating this role, both in terms of technical and organizational capacity. All these require assistance to the League of Arab States, its special bodies, as well as the relevant committees, to develop technical contents, governance frameworks, and sector based implementation plans to guide policy work at the regional as well as national levels.

The following describes activities that are necessary to undertake for such support:

Activities:

1.1 Provide technical assistance at the regional level for PAFTA upgrading as well as preparations towards the envisaged Arab Customs Union, with a focus of support to LAS Secretariat and its technical committees in:

- 1.1.1. Conducting an assessment of current conditions of PAFTA to identify a way forward for its upgrading and related technical assistance needs
- 1.1.2. Developing the necessary technical models and conducting resources to guide both processes in consistency with the WTO-based rules and best international as well as regional practices.
- 1.1.3. Developing the governance framework/scheme and an indicative work program/roadmap for the implementation, which identifies the priorities and thematic areas as well as the needed process of engagement with key stakeholders.
- 1.1.4. Drafting regulations and legal instruments in thematic areas identified by concerned stakeholders, including trade policy, facilitation, and mutual recognition, aimed at guiding the necessary policy coherence and ownership.

1.2   Assist LAS in organizing regional consultations with Arab countries on the improvement of the regional economic integration and related governance of economic development, with focus on the PAFTA upgrading as well as preparations for the ACU, and the related alternative technical models to make them realistic and responsive to their needs and requirements.

1.3   Collaborate with UN agencies, regional commissions, international organizations and regional organizations, including the GCC CU Secretariat, in mobilizing international expertise to support the LAS Secretariat in the works of deepened Arab economic integration in order to assist Member States at the national and regional level.

1.4   Facilitate exchange of experiences between the LAS Secretariat and the EU and other regional organizations on deepening regional economic integration and implementation of their Customs Unions.

Output 2: Provision of support for the organizational capacity of LAS Secretariat to facilitate the regional economic integration agenda

The activities under this output will support the League of Arab States, targeting the departments participating in the activities of regional economic integration within the Economic Sector of the LAS. These aim to improve the management and technical capacity of the relevant departments, with a focus on the Arab Economic Integration Department, of the League of Arab States in support of their role in trade policy reform, PAFTA upgrading, and preparations for the Arab Customs Union (ACU). The activities will include provision of technical advice, establishing coordination mechanisms among the relevant departments, and supporting the senior management and concerned officials on technical, institutional and organizational matters needed to secure effective and timely enactment and implementation of the PAFTA upgrading as well as preparations towards the envisaged ACU. Furthermore, these have as target, to increase capacities to perform related functions effectively in terms of the technical framework, implementation schemes, operational mechanisms, and governance and management structure that will be developed as part of Output 1, described above. The following describes activities necessary under this output:

2.1   Assist the senior management of the LAS in supporting policy consultations and dialogues with policy makers of Member States on major elements of PAFTA upgrading and ACU preparations.

2.2   Provide the senior management of the LAS with necessary management tools.

2.3   Train experts of the LAS on techniques of economic and trade analysis in equipping them with required knowledge and skills for their subsequent advice to national authorities on the PAFTA upgrading and ACU preparations.

2.4   Provide assistance to the negotiators and policy makers of Member States at LAS technical committees that are in charge of the design and negotiations related to the PAFTA on technical features of the PAFTA upgrading.

2.5   Provide technical assistance to LAS, its departments, and the technical committees, for the design of the necessary evaluation and monitoring tools to document progress of PAFTA upgrading and ACU preparations and highlight matters to be addressed by the Member States to secure full operation.

OUTCOME 2: MEMBERS STATES ARE CAPACITATED AND TECHNICALLY PREPARED FOR REGIONAL ECONOMIC INTEGRATION

OUTPUT 3: Provision of country-based technical assistance to policymakers for their activities related to trade policy reform and coherence

Enhanced regional economic integration through PAFTA upgrading and conduct of preparations for the Arab Customs Union (ACU) also requires acquainting Member States with envisaged impacts and opportunities. Countries need to introduce responsive measures to the needs and requirements of their economies emanating from the regional economic integration and facilitate the speedy implementation of these measures that also entails activating their expected commitments through adoption of pertinent national regulations. Such proactive engagement with countries would assist in leveraging on positive impacts of Arab economic integration for national development in a timely manner and assist in reinforcing confidence among the public on positive impacts of regional linkages. The proposed project could also facilitate exchange of useful experiences worldwide to benefit the national policy makers in determining the best approaches in going forward.

The following describes activities necessary under this Output:

3.1   Examine trade policy coherence and operating mechanisms in terms of compatibility of different trade agreements at the national level in selected countries.

3.2   Provide technical advice and expertise to Arab countries in building national capacity in preparation of proposals for the PAFTA upgrading and ACU preparations. This activity also includes initial support to national teams of the countries in related works.

3.3   Provide dedicated support to Member States that are categorized as Least Developed Countries (LDCs) for their alignment and upgrading of the legal and regulatory framework necessary for the PAFTA Upgrading.

3.4   Provide support to Arab countries, within a coordinated scheme through the LAS, in strengthening their monitoring mechanisms and design procedures and operations to deal

with the disputes related to PAFTA implementation and those that may come out of PAFTA upgrading.

OUTPUT 4: Provision of country-based technical assistance to policy makers for the modernization of the supply/value chain in preparations process for the Arab Customs Union

One of essential areas that Arab policy makers have given most attention to is how to make trade facilitation and connectivity an instrument of economic development in achieving better competitiveness and trade diversification. Competitiveness may be achieved not only through prices but also on timeliness and reliability of commercial transactions. An important element of this is about increasing efficiencies in the supply/value chain and better connect the production and trading systems of Arab countries in line with international agreements and best practices.

The main focus under this output will be placed in introduction of modernized techniques of coordinated border management, taking into consideration the operational characteristics of Arab countries. A number of essential components in tightening regional linkages consist of promotion of mutual recognition at national and regional level of measures of control, activation of the trade facilitating schemes such as Authorized Economic Operators and mutual recognition of conformance documents/certificate.

An important program under this output relates to development of National Single Windows (NSWs) – platforms of information processing aimed at faster clearance, real time control and prevention of frauds and smuggling. From experiences in Latin America, Africa and Asia Pacific, the NSWs are effective to promote linkages of value chains and supply chains among concerned countries without compromising regulatory control.

The activities under this output will include, among others:

4.1 Support key stakeholders, comprised of regulatory authorities and end users, in their efforts to introduce new measures and technical cooperation models at the national levels to modernize cross-border operations and custom practices to facilitate trade. The support will be guided by the WTO Trade Facilitation Agreement and other relevant international agreements to reduce trade costs and remove trade barriers in the supply and value chains in practical terms.

4.2 Support country-level efforts to introduce national single window systems and other related data exchange systems and models to complement the efforts for trade facilitation, including for modernization of cross-border operations.

4.3 Design operational models in promoting mutual recognition and acceptance in the area of documents in facilitating trade, transport and investment at the national level in support of regional schemes and programmes.

4.4 Facilitate adoption of international best practices required for improved trade and transport facilitation in Arab countries, in cooperation with the LAS. This would require providing technical assistance on adopting of common documentation, joint technical models, and standards of data sharing and regional harmonization as agreed by the countries.

4.5 Conduct pilot schemes for integration of supply and value chains, taking account of experiences of initiatives of cross border operations in consultation with concerned stakeholders.

4.6 Improve the level of readiness of Arab countries for implementation the WTO Trade Facilitation Agreement and other related international agreements and conventions.

4.7 Support Arab countries in the adoption of ICT solutions as an enabler of the trade/transport corridors in the region.

OUTCOME 3: ENGAGEMENT OF KEY DEVELOPMENT ACTORS ENSURED THROUGH INCLUSIVE AND TRANSPARENT PROCESSES FOR REGIONAL ECONOMIC INTEGRATION

OUTPUT 5: Improvement of related regulatory frameworks for integrity, aiming for good governance for trade development measures

Substantial transformation of the Arab economic integration requires a new governance model, owned and implemented by the concerned stakeholders, premised upon the tenants of transparency and accountability. This entails, among other things, a better understanding of related corruption risks and integrity challenges and possible mitigations rule-based and value-based measures. This is only possible with multi-stakeholder cooperation and the support from policy makers to make the Arab economic integration operational and to maximize the positive impact and sustainability of its results.

The activities under this output include the following:

5.1 Foster regional participatory policy dialogues, including the private sector, on the adoption of good governance principles, with a focus on transparency and accountability, in the implementation of the PAFTA upgrading.

5.2 Train key stakeholders to promote the transparent and accountable implementation of trade policies and measures, drawing on international standards and comparative experiences, including the UN Convention against Corruption and other relevant treaties and principles such as the Revised Arusha Declaration on good governance and integrity in customs.

5.3   Produce and disseminate knowledge products on corruption risks and integrity challenges that undermine Arab economic integration with a focus on customs and cross border management.

5.4   Support the development and the piloting of practical tools that could be used to guide policy makers in Arab countries on how to identify and respond to corruption risks and integrity challenges in trade policies and measures in the context of their respective countries.

OUTPUT 6: Supporting gender responsive mechanisms to ensure systematic integration of gender sensitivities in trade policy-making and negotiations

Trade liberalization and regional economic integration have different outcomes for men and women. These outcomes are affected by the different roles played by women and men in the society. Women and men have different access to ownership and control of productive resources (land, credit and their own labor) as well as different shares in decision-making. Gender based inequalities (especially in education, health and training) hinder women's abilities to take advantage of new opportunities created by trade liberalization such as skilled employment and entrepreneurial opportunities.

Gender inequalities in access to productive assets such as land and credit, or storage and transport facilities, tend to constrain women's benefits from trade policies. This output will try to tackle key policy and legal changes to improve entry points that could enhance the gender mainstreaming in trade policies. The reference international texts and documents to guide such work on legal and regulatory frameworks include International Labor Organization (ILO) core conventions; gender agreements (the Convention on the Elimination of All Forms of Discrimination against Women – CEDAW, etc); and Sustainable Development Goals (SDGs), among others.

The indicative activities under this output will include the following:

6.1   Conduct a regional study on systematic Sustainable Impact Assessment (SIAs) and Gender Trade Impact Assessment (GTIAs) to evaluate the effects of trade agreements and policies on women. These could include gendered value chain analysis as well as the collection, analysis and dissemination of sex- disaggregated data on wages and employment, with special attention to the effects on the informal sector.

6.2   Organize regional multi-stakeholder consultations on key issues in gender and trade (e.g. impacts of trade policies on the informal sector, employment, domestic labor laws, fiscal revenue and taxation).

6.3   Design and conduct a capacity development program targeting women to strengthen capacities to enable women producers and workers to turn positive changes in trade policy to their advantage.

Please refer to the Result Resource Framework for more details in **Annex A**.

It is also essential to highlight the underlying structure of these three Outcomes and its six Outputs. It relates to the synchronization and complementarity of activities undertaken in any of the six Outputs. As an example, a new regulation dealt with collection of revenues should incorporate standard practices of governance of public assets and protection of state revenues with a view to prevent abuses or bad management.

Transparency and public accountability must figure in all policy interventions and at all levels. Moreover, enhancement of roles of women in the policy making process and in assuming higher responsibility in the bureaucracy shall also be considered within any new policy and respective measures of its implementation.

The Chief Technical Advisor (CTA), the project team and its members are responsible to address these important dimensions into their deliverables to promote better performance of regional institutions to serve Arab countries, strengthen technical capability and capacity of officials of governments and regional institutions, and to foster dynamics by the private sector to drive the Arab regional agenda to a higher level of integration. Activities being delivered in one Output may cause cross-Output impacts, meaning it contributes to realization of interventions listed under another Output. This approach forms part of efforts of optimizing effects and influence of deliverables for beneficiaries in supporting them with more holistic reform and transformative changes.

V.   ASSUMPTIONS AND RISKS

Potential risks and countermeasures are described in the table below. A Risk Log will be regularly updated by reviewing the external and internal environment that may affect project implementation. Once identified, systematic countermeasures would be designed and applied to effectively mitigate these risks in accordance with standard practices and procedures of UNDP.

The project team partners with beneficiaries and stakeholders in closely monitoring the project implementation and the possible changes in context and setting under which the activities are delivered in order to timely identify challenges as early as possible. These inputs would be reviewed and consulted with related parties and stakeholders while taking into account mechanisms of decision making in use by the beneficiaries.

The project team will set baselines and regularly assess progress to identify and address the risks associated with implementation. The Result Resource Framework or RRF (Annex A of the present) contains a number of target indicators and information of baselines, which may need to be adjusted periodically in order to reflect the real level of risks or challenges.

UNDP has accumulated important experiences to deal with risks during the 2014-2016 implementation of the assistance programme. Effective countermeasures were designed

and serve to secure the continuity of works and keep interests into reform and modernization of regional economic agenda of Arab countries.

DESCRIPTION	TYPE	CONSEQUENCE (C) AND LIKELIHOOD (L)	COUNTERMEASURE/ MANAGEMENT RESPONSE
Political instability/conflict	Organizational Strategic	C=4 (relevant country) L= 0 (e.g. Qatar) - 4 (e.g. Yemen)	• Continuous monitoring of the political situation (e.g. Arab unrest index of EIU). • Limit of in-country activities in case of security threats
Lack of commitments of resources from development partners or unresponsiveness by donors to finance projects of infrastructure development.	Financial	C=3 L=2 No follow up on identified needs	• Early involvement of key partners. • Resource mobilization from within and outside the region. • Preparation of projects and technical proposals of high value added. • Good communication / consensus building
Insufficient political commitment from beneficiary countries to adopt reform measures and legal instruments for the PAFTA Upgrading and its Implementation for the Arab Customs Union.	Political	C= 3 L= 2 Recommendations identified are not implemented nor operationalized by responsible government institutions.	• Early involvement of key beneficiary countries into the design and planning of activities. • Consensus and capacity building activities. • Bottom up / participatory approach. • Regular consultations and reviews of feedbacks received from countries and beneficiaries.
Unfavorable operational circumstances or climate	Organizational Strategic	C=3 L=2	• Introduction of more support to institutional arrangements and policy making decisions. • Strengthening the consultations with beneficiary countries.
Availability of competent national consultants or specialized experts.	Operational	C= 2 L= 2 Additional expenditures	• Collaboration with academic institutions and networks of human resources of UN Agencies.

		due to the need to hire international consultants.	• Coaching and reinforcing the technical capacity of local experts.
Duplication with other initiatives	Operational	C= 1	• Care will be taken to provide support and cooperation with domestic and international initiatives. Strengthened collaboration with UN agencies and international organizations in specific interventions for more synchronization and complementarity

Within three months from the start of project activities, the detailed risk log would be defined by the project team for consultations with the Project Board with a view to identify countermeasures required to deal with them. It will be updated so as to reflect the dynamics taking place during the implementation. Taking into account particular volatility of the operating environment in the region, the project will establish a specific mechanism to monitor the implementation and impacts of risks to the project (The regional Hub of UNDP has such a mechanism of experts to inform the projects).

The CTA will be responsible for timely consultations with members of the Project Board on required adjustments and any measure to be undertaken to address risk of failures.

VI. PROJECT MANAGEMENT AND MONITORING ARRANGEMENTS

The proposed management arrangements are based on the experience gained during long-term successful cooperation between UNDP and multilateral and bilateral donors, including Sida, in the support of regional projects where UNDP provides overall management for delivery of technical assistance and acts as the main implementing partner. Active engagement of representatives of the beneficiaries will be ensured for a successful delivery of assistance. The project will have staff based in Cairo to support the League of Arab States. The project team has compiled relevant information concerning mechanisms of decision making of the League of Arab States as **Annex B** that will guide this engagement.

The project will be implemented by UNDP within the Delegated Direct Implementation (DIM) authority, in line with UNDP Programme and Operations Policies and Procedures (POPP). UNDP's network of country offices, with a field presence in 18 Arab states, will support the implementation of activities at the national level.

The responsibility and accountability of UNDP as the implementing partner is to:
- o Implement the activities agreed upon in the project document and adopted work plans, with the highest care and level of quality, to efficiently ensure the production of the expected results at the level of outputs and outcomes;
- o Report, fairly and accurately, on project progress against agreed work plans in accordance with the reporting schedule and formats included in the project agreement;
- o Maintain documentation and evidence that describes the proper and prudent use of project resources in conformity to the project agreement and in accordance with applicable regulations and procedures. This documentation will be available on request to project monitors (project assurance role) and designated auditors.

Specific activities under the project may be conducted in coordination and collaboration with internal and external partners, or outsourced to independent experts, non-governmental organizations (NGOs) or other partner organizations following the implementing agency contracting rules and regulations.

The UNDP Project Management structure consists of roles and responsibilities that bring together the various interests and skills involved in, and required by, the project. The project management structure consists of the following:

The Project Board (or Steering Committee)

The *Project Board* will:
- • Be responsible to provide strategic guidance with a view to secure successful implementation of project activities and/or to support the delivery as necessary.

- Be responsible for making strategic decisions, including the approval of project revisions (i.e. changes in the project document);
- Approve work plans and quarterly reports and adjustments on the basis of recommendations by the Chief Technical Advisor;
- Meet periodically to review management risks and most relevant issues (meetings can be held virtually, e.g. teleconference, videoconference, and through email communications);
- Be consulted by the Chief Technical Advisor/Project Manager for decisions when management tolerance thresholds (in terms of time and budget as per work plan) have been exceeded (the Project Board defines tolerance thresholds).

The Project Board is comprised of representatives of UNDP, Swedish International Development Agency and the League of Arab States. The Board is the group responsible for making management decisions for the project for a successful completion of delivery of support. In order to ensure UNDP's ultimate accountability, the Project Board decisions should be made in accordance with standards and protocols that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition.

Project Assurance
Project Assurance is the responsibility of every member of the Project Board with possible delegation to a specialist body if it is required. The team in charge of project assurance should support the Project Board by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed and full compliance to defined procedures and regulations of UNDP.

Project Implementation
A Chief Technical Advisor (CTA), appointed by UNDP, has the authority to run the project on a day-to-day basis within the authorities being defined by the Project Board. Primary responsibility of the CTA consists of ensuring that the project produces the results (outputs) specified in the project document, to the required standard of quality and within the specified scope of time and costs.

The CTA cooperates with representatives/officials of the beneficiaries at national and regional level in function of requirements of activities of the project and its outcomes. This partnership would be established taking account of relevant working mechanisms and those of the decision making in use by the beneficiaries.

Under the leadership and guidance of the Project Board and direct supervision of UNDP/RBAS Regional Programme, the CTA is responsible for all technical aspects related to the management and implementation of the project. This includes project operations, staff, budget, preparation and consolidation of work plans, implementation of project activities and achievement of stated results, preparation of periodic reports, mid-term

review and evaluation at the end of the project, and for meeting any specific requirements of the donors constituting the partnership behind the project.

Specific responsibilities of the CTA (being defined by terms and conditions in his TOR) include:
- Manage the realization of project outputs through activities;
- Facilitate coordination with the project responsible parties and sub-contractors to support realization of regional agenda of economic integration;
- Be responsible to provide technical and managerial support to the Project Board.
- Liaise with the Project Board or its appointed Project Assurance officers to assure the overall direction and integrity of the project;
- Identify and obtain support and advice required for the management, planning and control of the project;
- Communicate with the public in order to gain support in building consensus in function of promotion of reform and modernization at regional and national level;
- Assume responsibility for project administration, including oversight of management of financial resources and mobilization of additional resources to fund trade and trade-related physical infrastructure.

The CTA will lead the implementation team that will be composed by experts, including a Trade Policy Advisor, and specialists in trade and trade-related policies[17]. Key areas of expertise comprise:
- formulation and reform of trade policies;
- mainstreaming trade and related areas for inclusive and sustainable development,
- trade, transport and investment facilitation, including design and development of integrated information processing such as National Single Window and application of digital technology for higher competitiveness and productivity;
- trade in services and trade liberalization for tightened economic relationship among Arab countries;
- modernization of coordinated border management and practices of revenue collection authorities (i.e…, the Customs and Internal Revenue/taxation) with a view to strengthen national fiscality and mobilize resources for development;[18]
- specialized expertise in the review, design and drafting of regulatory and legal frameworks in promoting regional economic integration, included those related e-commerce, digital environment and accession to the membership of the WTO;[19]
- anti-corruption and promotion of accountability in the public sector
- gender equality and empowerment of women in economic activities.

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[17] The terms of trade being used here should be interpreted in broader scope as it involves several areas of economic and trade cooperation for Arab regional integration. For convenience, the project document keeps using this terms for easy understanding by the audience.
[18] Please see Addis Ababa Action Agenda.
[19] Arab countries being Observers of the WTO are: Algeria, Iraq, Lebanese Republic, Libya, Sudan, Syrian Arab Republic (https://www.wto.org/english/thewto_e/whatis_e/tif_e/org6_e.htm)

Their tasks, responsibilities are defined by respective Terms of Reference, and the experts work under direct supervision and guidance of the CTA in technical and related works. Their participation and contractual arrangements will be determined in accordance with rules and regulations of the implementing agency.

Experts could include long- and short-term experts whose functions will be specified by their job descriptions which are to be prepared based on standard protocols and procedures of the implementing agency. As the CTA is responsible for implementation of specific activities, he will define the needs of expertise, areas of expertise and related aspects for achievement of project outcomes at the end of the project.

The work distribution among these experts would be established in accordance with requirements of the approved Work Plans (on annual basis). For the interest of the project, reporting mechanisms and those of quality assurance of deliverables must be streamlined and based on international practices. When the need arises, appointment or designation of team leaders in certain fields of expertise could be considered.

Support to the management of the project

The project team and the CTA would benefit of support to be provided by the Management Unit under the Regional Program of Regional Bureau for Arab States in terms of making logistics arrangements and administration works, included procurement and completion of contractual arrangements of recruitment of experts working for the project. They are also responsible for the compliance of administrative, financial works to rules and regulations by UNDP.

The organizational structure of the project is presented below.
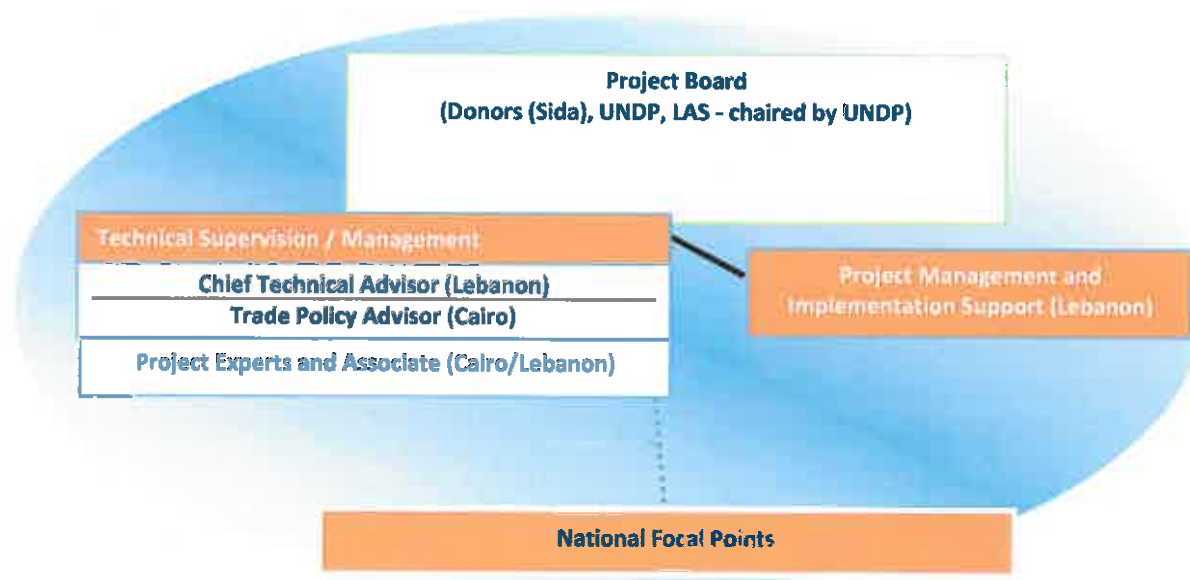
In accordance with the programming policies and procedures outlined in the UNDP User Guide, the project will be monitored through the following:

Within the annual cycle

- On a quarterly basis, a quality assessment shall record progress towards the completion of key results, based on quality criteria and methods captured in the Quality Management table.
- Based on the initial risk analysis submitted, a risk log shall be regularly updated by reviewing the external environment that may affect the project implementation.
- A Project Progress Reports (PPR) shall be regularly submitted by the CTA/Project Manager to the Project Board.
- A Monitoring Schedule Plan shall be activated updated to track key management actions/events.

The objective of the monitoring framework is to promote dialogue and encourage all key stakeholders and actors to honor commitments, improve effectiveness and reinforce mutual accountability.

The value of this monitoring framework lies in creating incentives through enhanced transparency, scrutiny and dialogue so as to foster synergies between trade and other economic policy areas.

VII.   PROJECT CONFLICT SENSITIVITY

The project is implemented in Arab countries with significant diversity of beneficiaries and stakeholders whose interests may vary from one group to another within a dynamic environment, exposed to conflicts and discordance. In the pursuit of making it conflict sensitive, the project team will undertake the following:

(i) Obtain detailed understanding of the operational environment and circumstances where the project will operate during its lifetime;

(ii) Analyze operational modalities and possible interactions that the project will enter into with respect to this context and environment; and

(iii) Equip the project with capacities for adjustment aimed at optimizing its interventions, at the same time, refraining from any negative effects that might result from interactions between the project and external environment.

This section presents essential elements of making this project conflict sensitive on the basis of the institutional arrangements by UNDP/Regional Bureau for Arab States (RBAS) while leveraging on standard practices as in the Sida Manual of Conflict Analysis. A detailed analysis of conflicts, as related to the project and its sensitivity, would form part of the inception report. A conflict sensitive implementation implies that the defined activities of the project will be implemented in a way that does not unintentionally cause, or exacerbate tensions, and it will leverage on positive opportunities and constructive behaviour for policy dialogues on modernization and reform of trade and trade-related policies among Arab policy makers and constituents.

The project is part of the broader institutional mechanisms that regularly utilizes analytical tools to be informed of conflict risks. The project is part of the Regional Programme for Arab States, which is housed at the Regional Hub that is comprised of teams of experts that support and guide programme and projects. These teams conduct regular analyses to study the development context in the region. One such analytical product that informs programming is "regional conflict analysis", which includes an overview of the background and the history of the region, identification of key stakeholders, and interacting mechanisms among them. The analysis provides a detailed understanding of root causes that may lead to conflict and supports the analysis with the views and perspectives of concerned parties, offering positive options/alternatives to address the problems. This analysis is regularly reviewed by the teams and provided guidance to the project team during all stages of design- and will continue doing so during the execution of this project of strengthening Arab Economic Integration for development.

The regional programme for Arab States also houses multiple projects that continuously generate data, information, and knowledge that analyses various types of risks, political, economic, and social, affecting the development context in the region. All such information is available at http://rbas-knowledgeplatfrom.org. For example, Arab Development Portal hosts analyses that also cover economic and trade related issues.

Such analyses are regularly updated and feeds into this project- both for its design and implementation.

One particular knowledge product that has been produced by the regional programme is "social cohesion index" under one of the regional projects. Produced in a highly consultative manner, this tool allows the organization to generate a multi-dimensional analysis of all the risk factors affecting a particular context. UNDP is in the process of implementing this index that will collect data and produce analysis on risks. The project will be guided by the findings of this tool on a continuous basis during project's implementation.

Furthermore, UNDP/ RBAS Regional Hub/Regional Programme is subject to specific institutional mechanisms that are aimed at monitoring conflict risks and mitigating any conflict-affected activities at various levels of functions and responsibilities. The first level is with the project itself; in this regard, the Project Board plays a significant role. Members of the Board monitor regularly the progress of implementation, observing any factor that may impact delivery of project activities or scrutinizes any activity that may lead to conflict. The UNDP's representation at project boards is institutional- which includes a representative beyond the project that is regularly informed by the flow of information monitoring risks in the region. Such flow of information is facilitated by UNDP's regional security advisors as well as country level security specialists in 18 UNDP country offices that alert senior management for any action that may be necessary. The senior management then ensures that project implementation is informed to take the necessary actions. Depending on the severity and/or scope of conflict situations, the senior management of RBAS may guide actions towards specific solutions to conflicts.

By nature, the project has activities to be implemented at the regional level while many others are to be implemented at the national level. These mean, the project team would develop customized frameworks of activities to secure that these are conflict sensitive and adequate measures are in place to prevent negative effects. One of areas that demand significant attention during the implementation relates to the introduction into project activities or interventions pertinent measures and policies aimed at "Leave No One behind". Distributional effects are also considered an integral part of making Arab economic integration sustainable, inclusive and pro-poor.

As such, addressing the conflict sensitivity should be undertaken within specific contexts of development works – specifically the Arab economic integration as it gears up to strengthen connectivity and linkages among these. Through interactions with stakeholders, regular monitoring of situations on the ground and being updated by UNDP COs in the region, the project will be capacitated to be ahead of time in identifying possible problems and adopting pertinent measures to dilute the conflicts as far as related to project activities. Diverse conflict analysis undertaken by specific UNDP COs is regularly shared and disseminated and this contributes to timely equip this project with adequate information and preparations to face any challenge.

Specifically, the project will identify the "connectors", linked to the development, among related stakeholders with a view to build consensus and common perspectives to concretely benefit of project activities that aim at transformation at the level of local community. Finding the appropriate approach to work with the "dividers" is also necessary so preventive measures could be designed and properly enforced. All has as target successful implementation of this important development project, and more important contributes to promote the accountability and good governance of state, governmental institutions at the national and regional level.

Addressing potential conflicts since the early stage of design helps to structure interventions and activities in making these conflict sensitive. Moreover, this also enables the project team to undertake counter measures to restrain any negative effects and to amplify positive impacts. In this regard, the project will also focus in cultivating the positive behaviour and attitudes of the partners and counterparts to shoulder responsibility in the process as part of institutional strengthening and capacity building.

Annex A - Results and Resources Framework

Project Objective: Growth is inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded (UNDP Strategic Plan Outcome #1)

Project Related Outcomes:

- **Outcome 1:** LAS capacity strengthened to manage regional economic integration related processes
- **Outcome 2:** Members states are capacitated and technically prepared for regional economic integration
- **Outcome 3:** Engagement of key development actors ensured through inclusive and transparent processes for regional economic integration

Expected Outputs:

- **Output 1:** Structured and targeted technical support to LAS secretariat and Arab negotiators on trade policy formulation and reform under PAFTA
- **Output 2:** Provision of support for the organizational capacity of LAS secretariat to facilitate the regional economic integration agenda
- **Output 3:** Provision of country-based technical assistance to policymakers for their activities related to trade policy reform and coherence
- **Output 4:** Provision of country-based technical assistance to policy makers for the modernization of the supply/value chain in preparatory process for the Arab Customs Union
- **Output 5:** Improvement of related regulatory frameworks for integrity, aiming for good governance for trade development measures
- **Output 6:** Supporting gender responsive mechanisms to ensure systematic integration of gender sensitivities in trade policy-making and negotiations

Output Indicators:

I. The degree of success in introducing a technical and regulatory framework for upgrading the current PAFTA towards the Arab Customs Union, in line with priorities and interests of the Arab Member States in partnership with the LAS and its technical secretariats and committees.

II. The degree of enhancement in the technical and managerial capacity of Arab Economic Integration Department of the LAS in terms of its functions and roles in the design and implementation of PAFTA upgrading.

III. The level of quality of LAS support to the technical works by the relevant working groups and committees (LAS working groups and technical committees in charge of the portfolios in defined stages).

IV. Adoption by LAS and its member states through the relevant technical committees of organizational foundations and institutional arrangements necessary for the PAFTA upgrading and preparations for the Arab Customs Union.

V. The level of increase in trade flows through border posts where the project has interventions.

VI. The number of additional jobs to local communities, resulting from supply of services, among others, to operations of cross border operations.

VII. The degree of success in modernizing relevant national regulations for Arab economic integration in countries of project interventions.

VIII. The number and quality of regulatory documents developed to support PAFTA upgrading and preparations for Arab Customs Union (i.e., Customs Law, Competition, Dispute Settlement, etc.).

IX Availability of dedicated trade policy dialogue platform(s) among Arab Member States aimed at increased intra-trade in the Arab region through better logistics operations aligned to the legal framework of the WTO Trade Facilitation Agreement.

X. The availability and degree of quality of practices for monitoring the progress of Arab economic integration, particularly for the implementation of the PAFTA upgrading and progress towards Arab Customs Union.

XI. The level of improvement in the regulatory transparency and level of compliance at the border posts where the project has interventions.

XII. Level of capacity to promote transparency and accountability in trade policies and measures, with a focus on the customs and other border management authorities.

XIII. The level of increased participation of women into the processes related to regional economic integration, particularly during the PAFTA upgrading and its implementation towards the ACU establishment.

Outcome 1: LAS capacity strengthened to manage regional economic integration related processes

Budget: US$ 2,011, 320 (for Outputs 1 and 2)

	Output Targets and Indicators	Indicative Activity/ies	Responsible parties	Inputs (2017-2019)	Budget (USD):
Output 1: Structured and targeted technical support to LAS Secretariat and Arab trade negotiators on trade policy formulation and reform					**US$ 1,496,280**
Baselines	Output Targets and Indicators	Indicative Activity/ies	Responsible parties	Inputs (2017-2019)	Budget (USD):
Baseline 1.1: low level of implementation undermines the confidence of the public on regional economic integration. Slow realization of benefits for businesses and industries.		1.1 Provide technical assistance at the regional level for PAFTA upgrading as well as preparations towards the envisaged Arab Customs Union, with a focus on supporting LAS Secretariat and its technical committees in:	UNDP	**Inputs for Output 1.1:** ■ Project staff and direct costs ■ Consultancy and experts ■ Meeting and consultations with LAS ■ Missions	
Baseline 1.1.1: Status-quo of the PAFTA, requiring to be examined and assessed to identify the required areas to be inserted into the agreement.	Indicator 1.1.1: detailed need assessments, studying the PAFTA status-quo and its current conditions. Target Output 1.1.1: need assessment conducted and outcomes are presented.	1.1.1 Conduct an assessment of current conditions of PAFTA to identify a way forward for its upgrading and related technical assistance needs		**Budget for Output 1.1** (Sum of Outputs 1.1.1; 1.1.2; 1.1.3; 1.1.4) US$ 1,135,530	
				Budget for Output 1.1.1	

Baseline	Indicator / Target Output	Activity		Budget
				US$ 656,010
Baseline 1.1.2: Based on the needs assessment exercise outcomes and results, a technical model would be developed for PAFTA upgrading.	Indicator 1.1.2: Design technical new models for PAFTA upgrading and ACU preparations in the light of the WTO rules and best practices, to be presented to the LAS and Member States for discussions and adoption. Target Output 1.1.2: Technical models for PAFTA upgrading and ACU preparation are finalized and technical areas are identified in terms of process.	1.1.2 Develop the necessary technical models to guide both processes in consistency with the WTO-based rules and best international as well as regional practices.	UNDP	**Budget for Output 1.1.2** US$ 257,520
Baseline 1.1.3: Lack of work programs for PAFTA upgrading and ACU preparations	Indicator 1.1.3: Availability of a comprehensive work programs of implementation for PAFTA upgrading and ACU preparations. Target Output 1.1.3: Work program developed, discussed and adopted. Designed the governance framework/scheme for consideration by Member States.	1.1.3 Developing the governance framework/scheme and an indicative work program/ roadmap for the implementation, which identifies the priorities and thematic areas as well as the needed process of engagement with key stakeholders.	UNDP	**Budget for Output 1.1.3** US$ 61,050
Baseline 1.1.4: Regulations/mandates for PAFTA upgrading and ACU related measures do not exist. Models of governance	Indicator 1.1.4: Ability of the concerned stakeholders to identify the needed regulations and legal instruments. Availability of technical models of governance for PAFTA upgrading and ACU	1.1.4 Drafting regulations and legal instruments in thematic areas identified by concerned stakeholders, including trade policy, facilitation, and mutual recognition,	UNDP	**Budget for Output 1.1.4** US$ 160,950

not existent. No clear direction for mechanisms of consultations for policy coherence.	aimed at guiding the necessary policy coherence and ownership. Target Output 1.1.4: Draft regulations prepared and presented to the LAS and Member States for policy making purposes, to be discussed and to be ready for implementation. 2 alternative governance models considered and 1 adopted, to follow the implementation of the indicative technical framework.		
Baseline 1.2: Consultation modality among Member States on how to improve existent programmes of regional economic development no existent.	Indicator 1.2: Availability of a mechanism for consultations among Member States to gather information on their concerns and interests on a deepened Arab economic integration framework. Identify priority areas for intervention and follow ups. Target Output 1.2: Detailed understanding of matters of interest to four to five Member States on PAFTA upgrading and ACU preparations through dedicated consultations. Consultation mechanism is established.	1.2 Assist LAS in organizing regional consultations with Arab countries on the improvement of the regional economic integration and related governance of economic development, with focus on the PAFTA upgrading as well as preparations for the ACU, and the related alternative technical models to make them realistic and responsive to their needs and requirements.	UNDP **Budget for Output 1.2** US$ 227,550
Baseline 1.3: Limited availability and low level of use of international expertise on Arab economic integration.	Indicator 1.3: number of expertise mobilized through the UN System and other international organizations on need basis Target Output 1.3: Mobilized expertise for at least three activities with key UN	1.3 Collaborate with UN agencies, regional commissions, international organizations and regional organizations, including the GCC CU Secretariat, in mobilizing international expertise to support the LAS Secretariat in the works of deepened Arab economic integration in order to assist	UNDP **Budget for Output 1.3** US$ 44,400

Baselines	Output Targets and Indicators	Indicative Activity/ies	Responsible parties	Inputs
Baseline 1.4: Limited availability and low level of use of regional expertise on Arab economic integration. Limited information on major trader partners.	agencies in support to LAS and Arab countries. Indicator 1.4: Technical discussion/dialogues and meetings with the EU and other regional organizations. Target Output 1.4: Meetings conducted, expertise invited, technical information are exchanged	Member states at the national and regional level. 1.4 Facilitate exchange of experiences between the LAS Secretariat and the EU and other regional organizations on deepening regional economic integration and implementation of their Customs Unions.	UNDP	**Budget for Output 1.4** US$ 88,800

Output 2: **Provision of support for the organizational capacity of LAS Secretariat to facilitate the regional economic integration agenda** — **Budget: US$ 515,040**

Baselines	Output Targets and Indicators	Indicative Activity/ies	Responsible parties	Inputs
Baseline 2.1: Lack of dedicated support LAS senior management for PAFTA upgrading and ACU preparatory processes	Indicator 2.1: Frequency of senior level consultations undertaken at official and informal level of matters of PAFTA upgrading. Target Output 2.1: Number of political notes and strategy concepts developed for the senior management for consultations on policies of PAFTA Upgrading towards ACU.	2.1 Assist the senior management of the LAS in supporting policy consultations and dialogues with policy makers of Arab countries on major elements of PAFTA upgrading and ACU preparations.	UNDP	■ Project staff and direct costs ■ Consultancy and experts ■ Meeting and consultations with LAS ■ Missions **Budget for Output 2.1**

Baseline / Indicator / Target	Activities		Budget
			US$ 142,080
Baseline 2.2: Lack of tools and facilities for effective management and technical analysis in the Economic Sector. Indicator 2.2: LAS seniors provided with the management tools. Target Output 2.2: Management tools are provided on the ground, such as website establishment, economic sector related departments are upgraded.	2.2 Provide the senior management of the LAS with necessary management tools.	UNDP	**Budget for Output 2.2** US$ 22,200
Baseline 2.3: Inadequate knowledge and skills linked to the PAFTA Upgrading and ACU preparations and their implementation to sustain modernization efforts. Indicator 2.3: The level of increase in the knowledge and skills of technical staff. Target Output 2.3: approximately 80 officials of Member States and of LAS being trained.	2.3 Train experts of the LAS on techniques of economic and trade analysis to equip them with required knowledge and skills for their subsequent advice to national authorities on the PAFTA/PAFTA upgrading and ACU preparations and their implementation.	UNDP	**Budget for Output 2.3** US$ 66,600
Baseline 2.4: lack of technical advice and expertise to Member States for PAFTA upgrading and ACU preparations in a systematic manner. Indicator 2.4: Number of trade policy makers in selected **Member States and** themes benefiting from the assistance. Target Output 2.4: At least four **Member States** would benefit from the support.	2.4 Provide assistance to the negotiators and policy makers of Member States at LAS technical committees that are in charge of the design and negotiations related to the technical features of the PAFTA upgrading.	UNDP	**Budget for Output 2.4** US$ 164.280
Baseline 2.5: lack of technical advice and expertise to LAS Economic Sector and its related Department, representatives of Member States at Indicator 2.5: Economic Sector and its related Departments, and committees' representatives benefiting from the assistance. Target Output 2.5: Technical committees representatives are equipped with technical	2.5 Provide technical assistance to LAS, its departments, and the technical committees, for the design of the necessary evaluation and monitoring tools to document progress of PAFTA upgrading and ACU preparations and highlight matters to	UNDP	**Budget for Output 2.5** US$ 119.880

technical committees for PAFTA upgrading and ACU preparations	knowledge, and provided with new proposals in term of their mandates and responsibilities, trade related departments in the economic sector are countries would benefit from the support.	be addressed by the countries to secure full operation.

Outcome 2: Members states are capacitated and technically prepared for regional economic integration

Budget: US$ 3,197,688 (for Outputs 3 and 4)

Output 3: Provision of country-based technical assistance to policymakers for their activities related to trade policy reform and coherence

Budget: US$ 280,608

Inputs for Output 3
- Project staff and direct costs
- Consultancy and experts
- Meeting and consultations with LAS
- Missions

Baseline 3.1: Absence of trade policy coherence mechanism at the national level. Increased of trade arrangements and the	Indicator 3.1: Conduct an assessment on the status quo of policy coherence mechanism and the relation between trade agreements signed, in selected Member States (4 -5 countries)	3.1 Examine trade policy coherence mechanisms in terms of compatibility of different trade agreements at the national level in selected Member States.	UNDP	**Budget for Output 3.1** US$ 57,720

number of FTAs in the region.	Target Output 3.1: A mechanism for coherence of trade policy is established; policy makers achieve better understanding in trade issues and how to secure the compatibility of requirements of trade policy in various trade agreements.			
Baseline 3.2: Lack of dedicated support to national teams of Member States with respect of making them more prepared PAFTA upgrading and ACU requirements	Indicator 3.2: Number of countries and themes benefitting from the support. Target Output 3.2: At least four countries would benefit from the support.	3.2 Provide technical advice and expertise to Arab countries in building national capacity in preparation of proposals for the PAFTA upgrading and ACU preparations. This activity also includes initial support to national teams of the countries in related works.	UNDP	**Budget for Output 3.2** US$ 119,880
Baseline 3.3: Lack of dedicated support for Arab LDCs to enhance their capacity and knowledge on how to align their trade policy to the regional preferential trade arrangements.	Indicator 3.3: Level of readiness and preparedness of Arab LDCs to participate in PAFTA Upgrading. Target Output 3.3: Key legal instruments of at least two LDCs Arab countries aligned to the PAFTA/GAFTA Upgrading.	3.3. Provide dedicated support to Member States that are categorized as Least Developed Countries (LDCs) for their alignment and upgrading of the legal and regulatory framework necessary for the PAFTA upgrading.	UNDP	**Budget for Output 3.3** US$ 66,600 ▪ Project staff and direct costs ▪ Consultancy and experts ▪ Meeting and consultations with IAS Missions

Baselines	Output Targets and Indicators	Indicative Activity/ies	Responsible parties	Inputs (2017-2019)	Budget
Baseline 3.4: the DSM has not been used by LAS Member States.	<u>Indicator 3.4:</u> Level of usage of dispute settlement and of understanding of DSM in economic relations. <u>Target Output 3.4:</u> at least one training on DSM to be conducted to equip trade/economic policy makers with knowledge on DSM within the PAFTA/GAFTA Upgrading.	3.4 Provide support to Arab countries, within a coordinated scheme through the LAS, in strengthening their monitoring mechanisms and design procedures and operations to deal with the disputes coming out of PAFTA and GAFTA upgrading.			<u>**Budget for Output 3.4**</u> US$ 36,408

Output 4: Provision of country-based technical assistance to policy makers for the modernization of the supply/value chain in preparations process for the Arab Customs Union

Baselines	Output Targets and Indicators	Indicative Activity/ies	Responsible parties	Inputs (2017-2019)	Budget (USD): US$ 2,917,080
				Inputs for output 4 ▪ Project staff and direct costs ▪ Consultancy and experts	

			▪ Meeting and consultations with LAS ▪ Equipment Missions
Baseline 4.1: Arab countries/ Member States still maintain a low level of commitments to provisions under the WTO Trade Facilitation Agreement and limited formalization of related international conventions dealt with trade and transport facilitation into national regulations and legislations.	Indicator 4.1: Introduction of international standards, and good practices, procedures related to trade, transport facilitation, into national legislations. Member States achieve a higher level of preparedness for commitments to the WTO Trade Facilitation and international agreements/ conventions. Target Output 4.1: two countries adopted new legislations of trade, transport, investment facilitation during the PAFTA Upgrading implementation.	4.1 Support key stakeholders, comprised of regulatory authorities and end users, in their efforts to introduce new measures and technical cooperation models at the national levels to modernize cross-border operations and custom practices to facilitate trade. The support will be guided by the WTO Trade Facilitation Agreement and other relevant international agreements to reduce trade costs and remove trade barriers in the supply and value chains.	UNDP	**Budget for Output 4.1** US$ 477,744
Baseline 4.2: Member States are adopting National Single Window aimed at enhancement of efficiency, competitiveness and better control of	Indicator 4.2: Enhanced strategic planning and conduct of preparatory activities for the design of national single windows (NSWs) of Member States, such as capacity building and acquisition of operational experiences from countries having activated NSWs	4.2 Support country level efforts to introduce national single window systems and other related data exchange systems and models to complement the efforts for trade facilitation, including for modernization of cross-border operations.		**Budget for Output 4.2** US$ 697,968

			Budget for Output 4.3
			US$ 143,190
international trade and movement of means of transport.	Target Output 4.2.1: at least one National Single Window of a Member State will have the Roadmap of establishment. Conducted the analysis of gaps in the legal and regulatory framework. Target Output 4.2.2: Assistance to Member States either on sub-regional, regional or individual basis in adoption of automated systems of information processing for control purposes. Promoted sharing of information through dialogues among automated systems, included design of regional platforms or programmes for better exchange of information and data among countries. Promotion of adoption of technical support such as data set of logistics of Member States for the regional exchange in coordination with the LAS. Organization of specialized platforms and discussions with regional and international organizations on NSWs design and development.		
Baseline 4.3: Works on mutual recognition at the regional level has started. It is unclear how effective is the recognition program for trade	Indicator 4.3: Development of operational models to activate mutual recognition and acceptance practices, particularly for cross border operations and trade facilitation. Target Output 4.3: Designed operational models in partnership with Member States and LAS. Trained technical experts of	4.3 Design operational models in promoting mutual recognition and acceptance in the area of conformance documents in facilitating trade, transport and investment at the national level in support of regional schemes and programmes.	

facilitation and better management. Baseline 4.4: 02 pilots have been initiated with limited functional scopes.	Member States (at least two to three Member States). Indicator 4.4: Adoption of more facilitation in the clearance of cross border operations with introduction of changes to trade and/or trade-related policy or regulation as possible. Target Output 4.4: two new border posts/pilot schemes among Member States to be initiated.	4.4 Conduct pilot schemes for integration of facilitation operations of the supply and value chains, taking account of experiences of initiatives of cross border operations in consultation with concerned stakeholders, including provision of applications of electronic application of National Single Window and data exchange at the regional level as suitable.	**Budget for Output 4.4** US$ 1,026,084
Baseline 4.5: international best practices have been partially introduced into national legislations of Member States	Indicator 4.5: Introduction of international best practices into new legal and regulatory framework of Member States Target Output 4.5: Adoption of at least three international best practices on the basis of provisions of the WTO Trade Facilitation Agreement and concerned international conventions and agreements.	4.5 Facilitate adoption of international best practices required for improved trade and transport facilitation in Member States, in cooperation with the LAS. This would require providing technical assistance on adopting of common documentation, joint technical models, and standards of data sharing and regional harmonization as agreed by the countries. — UNDP	**Budget for Output 4.5** US$ 197,470
Baseline 4.6: Arab countries have a low level of commitments to the implementation of the WTO Trade Facilitation Agreement as per findings of the 2015 Survey by UN Regional Commissions.	Indicator 4.6: Higher level of awareness and preparedness of Member States to undertake strategic commitments in the implementation of the WTO Trade Facilitation Agreement. Adoption and alignment of national regulations to this Agreement and concerned international conventions and agreements.	4.6 Improve the level of readiness of Arab countries for implementation the WTO Trade Facilitation Agreement and other related international agreements and conventions. — UNDP	**Budget for Output 4.6** US$ 174,936

Baselines	Output Targets and Indicators	Indicative Activity/Ies		Inputs (2017-2019)
	Target Output 4.6: Conduct a review of key provisions of national regulations to analyze level of its compatibility to commitments of the WTO Trade Facilitation Agreement and concerned international conventions and agreements related to trade, transport facilitation and regional economic integration.			
Baseline 4.7: There exists ICT applications for customs operations in use in certain Member States. Lack of common protocols and procedures of information sharing.	Indicator 4.7: Achieving higher level of compatibility and interoperability of ICT applications/solutions applicable to the management and operations of the trade/transport corridors (i.e... movement tracking). Target Output 4.7: Design and development of technical platform in the promotion of coordinated control for Member States that participate to operations of trade/ transport corridors.	4.7 Support Arab countries in the adoption of ICT solutions as an enabler of the trade/transport corridors in the region.	UNDP	**Budget for Output 4.7** US$ 200,688

Outcome 3: Engagement of key development actors ensured through inclusive and transparent processes for regional economic integration

Budget: US$ 890,198 (for Outputs 5 and 6)

Output 5: Improvement of related regulatory frameworks for integrity, aiming for good governance for trade development measures | **Budget (USD): US$ 610,500**

		Responsible parties	Inputs for Output 5
			- Project staff and direct costs - Technical expertise - One regional conference on customs integrity - Four regional working group meetings on customs integrity - 3 consultation meetings per country with the private sector and local communities - Conference facilities - Travel
Baseline 5.1: No regional recommendations available to promote transparency and accountability in the implementation of programmes of the PAFTA Upgrading	Indicator 5.1: Degree of transparency and accountability in the implementation of programmes of the PAFTA Upgrading Target 5.1: Recommendations developed and adopted in the first year of the project and significant progress achieved in their implementation by the end of the project.	5.1. Foster regional participatory policy dialogues, including the private sector, on the adoption of good governance principles, with a focus on transparency and accountability, in the implementation of the PAFTA upgrading.	UNDP	Budget of 5.1: US$ 166,500

Baseline 5.2: No senior officials effectively engaged in trainings on transparency and accountability	Indicator 5.2: Number/level of stakeholders effectively engaged in trainings. Target 5.2: 80 senior officials and representatives of business associations and local communities participate in related trainings.	5.2. Train key stakeholders to promote the transparent and accountable implementation of trade policies and measures, drawing on international standards and comparative experiences, including the UN Convention against Corruption and other relevant treaties and principles such as the Revised Arusha Declaration on good governance and integrity in customs.	UNDP	**Budget of 5.2:** US$ 222,000
Baseline 5.3: No coherent body of information available on corruption risks and integrity challenges that undermine Arab economic integration	Indicator 5.3: Publically available information on corruption risks and integrity challenges that undermine Arab economic integration Target 5.3: Information available on www.arabacinet.org	5.3. Produce and disseminate knowledge products on corruption risks and integrity challenges that undermine Arab economic integration with a focus on customs and cross border management.	UNDP	**Budget of 5.3:** US$ 111,000
Baseline 5.4: No regionally-adopted guidance tools produced towards identifying and reducing corruption risks and integrity challenges in the customs and other	Indicator 5.4: Number of regionally-adopted guidance tools produced towards identifying and reducing corruption risks and integrity challenges in the customs and other concerned border control authorities Target 5.4: At least two regionally adopted guidance tools	5.4. Support the development and the piloting of practical tools that could be used to guide policy makers in Arab countries on how to identify and respond to corruption risks and integrity challenges in trade policies and measures in the context of their respective countries.	UNDP	**Budget of 5.4:** US$ 111,000

| | concerned border control authorities | | | |

Output 6: Supporting gender responsive mechanisms to ensure systematic integration of gender sensitivities in trade policy-making and negotiations

Baselines	Output Targets and Indicators	Indicative Activity/ies	Responsible parties	Budget (USD): 279,698 / Inputs (2017-2019)
				Inputs for Output 6: - Project staff and direct costs - Technical expertise - Workshops on the gender-related component of the governance structure and guiding methodologies of integration of gender-related matters for the PAFTA towards ACU establishment. - Conference facilities - Travel

Baseline 6.1: Low number of regional policy papers geared towards gender sensitive policies	**Indicator 6.1:** level of usage and circulation of the study regionally. **Target 6.1:** At least 2 policy papers developed to propose gender sensitive policies on wages and employment especially informal sector	6.1. Conduct a regional study on systematic Sustainable Impact Assessment (SIAs) and Gender Trade Impact Assessment (GTIAs) to evaluate the effects of trade agreements and policies on women. These could include gendered value chain analysis as well as the collection, analysis and dissemination of sex-disaggregated data on wages and employment, with special attention to the effects on the informal sector.	UNDP	**Budget of 6.1:** US$ 67,000
Baseline 6.2: lack of commitment and acknowledgement from senior stakeholders in lobbying for key issues in gender and trade	**Indicator 6.2:** number/ level of stakeholders engaging in the consultations **Target 6.2:** around 100 regional senior multi stakeholder engaging in consultations on key gender issues in trade.	6.2. Organize regional multi-stakeholder consultations on key issues in gender and trade (e.g. impacts of trade policies on the informal sector, employment, domestic labor laws, fiscal revenue and taxation).	UNDP	**Budget of 6.2:** US$ 133,000
Baseline 6.3: Low percentage of women in the Arab Region aware of the positive opportunities in trade policy	**Indicator 6.3:** level of women capacity increased regarding the awareness of their rights and positive opportunities in trade policy **Target 6.3:** Increase by 50% in the level of understanding and awareness raising	6.3. Design and conduct a capacity development program targeting women to strengthen capacities to enable women producers and workers to turn positive changes in trade policy to their advantage.	UNDP	**Budget of 6.3:** US$ 80,000
MANAGEMENT OF RISKS OF THE PROJECT IMPLEMENTATION			US$ 33,710

PLATFORM FOR MONITORING AND EVALUATION		US$ 77,000
	SUB-TOTAL	US$ 6,210,617
	GMS (8%)	US$ 496,850
	TOTAL	US$ 6,707,466

Annex 2: UNDP Project on Arab Economic Integration for Sustainable Development (AEISD)

List of Stakeholders (Draft list)

	Stakeholder *Choose type and relationship*	Institution	Contact Person and title	Contact Information	Location	Comments
1	Donor	Swedish International Cooperation Development Agency (SIDA)	Mr. Walter Del Castillo	E-mail: walter.del.castillo@gov.se Mob: +962799998098	Amman, Jordan	
2	Donor	Swedish International Cooperation Development Agency (SIDA)	Ms. Margareta Davidson Abdelli **(January 2017 to August 2017)**	E-mail: Margareta.davidson-abdelli@gov.se Margareta.davidson@gmail.com	Sweden	
3	Donor	Swedish International Cooperation Development Agency (SIDA)	Mr. Alexander Atarodi **(October 2017 to December 2019).**	E-mail: Alexander.Atarodi@sida.se	Sweden	
4	Donor	Swedish International Cooperation Development Agency (SIDA)	Mr. Peter Cederblad **(January 1rst 2020 to May 2020)**	E-mail: peter.cederblad@gov.se	Sweden	
5	International Organization Partner	UNDP CO Morocco	Mr. Edward Christow, Resident Representative UNDP Morocco	E-mail: Edward.christow@undp.org	Rabat, Morocco	
6	International Organization Partner	The United Nations Conference on Trade and Development (UNCTAD)	Mr. Khairedine Ramoul, Economic Affairs Officer, Trade Negotiations and Commercial Diplomacy Branch	Mob: +41 22 917 55 69 E-mail: khairedine.ramoul@unctad.org	Geneva, Switzerland	

	Stakeholder *Choose type and relationship*	Institution	Contact Person and title	Contact Information	Location	Comments
7	Public Sector User/ Regional Organization /recipient	League of Arab States (LAS)	Dr. Bahgat Aboelnasr, director of Economic Integration Department, Economic Sector	Mob : +201005671499 E-mail: Mba_bahgat@yahoo.com bahgat.abounasr@las.int	Cairo, Egypt	
8	Regional Organization /beneficiary	League of Arab States (LAS) (until October 2019)	Dr. Khaled Wally	Mob : +201222112856 Email : khaled.wally@las.int	Cairo, Egypt	
9	Public Sector User/ Regional Organization /recipient	League of Arab States (LAS)	Miss. Noura El Nabawi, trade policy researcher, in charge of the services and trade facilitation files.	Mob : +201004144442 E-mail: Noura.elnabawi@las.int Nourelnabwi@yahoo.com	Cairo, Egypt	
10	Public Sector User/ Regional Organization /recipient	League of Arab States (LAS)	Mr. Sameh Abd El Karim	Mob : +201111120050 Email : Sameh.abdelkarim@las.int samehak@yahoo.com samehak@hotmail.com	Cairo, Egypt	
11	Public Sector User/ recipient	Morocco Ministry of Industry, Trade, Green and Digital Economy	H.E Dr. Rahal Abdelouahed, Directeur Général du commerce M. Benjelloun Mohammed, Directeur de la Direction des Relations Commerciales Multilatérales Mr. Rachid Sarrakh,	E-mails: ARAHAL@mcinet.gov.ma mbenjelloun@mcinet.gov.ma serrakh@mcinet.gov.ma anadiri@mcinet.gov.ma	Rabat, Morocco	

	Stakeholder *Choose type and relationship*	Institution	Contact Person and title	Contact Information	Location	Comments
			Director of the Directorate of domestic commerce and distribution Mr. Nadiri Abdelmajid, Chef de la division des Relations commerciales Multilatérales Mr. Srairi Karim : Chef de service des Organisations Internationales			
12	Public Sector User/ recipient	Jordan Customs	Brig. Ahmed Alem, Head of the Jordan National Single Window (JNSW)	E-mail: Ahmad.Alem@customs.gov.jo Mob: +962 796662223	Amman, Jordan	
13	Public Sector User/ recipient	Jordan Food and Drug Administration (JFDA)	Ms. Tamadur Maayah, Head of JFDS	E-mail: tamadur.maayah@jfda.org Mob: +962 799072155	Amman, Jordan	
14	Public Sector User/ recipient	Sudanese Customs	Dr. Bashir El Tahir, Sudanese customs DG	E-mail bashireltahir@hotmail.com Mob: +249 12 320 0019	Khartoum, Sudan	
15	Public Sector User/ recipient	Moroccan Customs	Director Lhassane Hallou	E-mail: L.HALLOU@douane.gov.ma		

	Stakeholder *Choose type and relationship*	Institution	Contact Person and title	Contact Information	Location	Comments
16	Public Sector User/ recipient	Egyptian Customs Authority (ECA)	Ali Galal Youssef	E-mail: aliyoussef82@yahoo.com +201096114112	Cairo, Egypt	
17	Private Sector/ Partner	Aqaba Container Terminal (ACT)	Vincent Flamant, Chief Commercial Officer	Mob: +962 77 544 1221 E-mail: VincentFlamant@ACT.COM.JO	Aqaba, Jordan	
18	Public Sector User/ recipient	Ministry of National Economy of Palestine	Mohammed Hmidan, Director of Economic Agreements	Mob : +970592499199 E-mail : mohammedh@mne.gov.ps	Palestine	
19	Public Sector User/ recipient	Ministry of trade	Mrs. Nidhal Sebry Ahmed Head of the Iraq WTO Team Ministry of Trade	E-mail : Trade_WTO@yahoo.com	Bagdad Iraq	
20	Consultant	ACU study with LAS	Dr. Azza Kamal	E-mail: azza_k@aucegypt.edu	Cairo, Egypt	
21	PAFTA members / Enforcement and Monitoring Committee	Trade Agreements Sector, Ministry of trade and industry	Dr. Dina Mahmoud Under Secretary, Head of the central department for regional and bilateral trade agreements.	Mob: 01001532564 Email: d.mohamed@tas.gov.eg	Cairo, Egypt	
22	PAFTA members/ Rules of origin committee	Trade Agreements Sector, Ministry of trade and industry, **Egypt**.	Mr. Mohamed Samir. General Manager, Head of Rules of origin general department	Mob: 01013172300 Email: m.samir@tas.gov.eg	Cairo, Egypt	
23	Consultant	International Transport & Logistic Expert	Dr. Salah Ismail	Mob: +20 3 3568414 E-mail: szbsm_salah@hotmail.com	Alexandria, Egypt	

	Stakeholder *Choose type and relationship*	Institution	Contact Person and title	Contact Information	Location	Comments
24	PAFTA Members/ trade in services awareness activities / Technical committees	General Authority of foreign trade, Kingdom of **Saudi Arabia**	Mr. Anwar Bin Hasousah Commercial Attaché, Saudi embassy in Cairo	Mob: 01120558855 Email; Abinhasusah@mci.gov.sa	Cairo, Egypt	
25	PAFTA members/Technical Committees	General authority of foreign trade, Kingdom of **Saudi Arabia**	Mr. Hussein Alshewesh, Consultant, ministry of commerce	Tel: 09664057537 Email: andalus926@yahoo.com	Riyadh, KSA	
26	PAFTA members/Technical Committees	Ministry of trade, **Lebanon**	Mr. Simon Gabour, head of trade sector	Tel: 009613736465 Email: sjabbour@economy.gov.lb	Lebanon	
27	PAFTA members/ trade in services committee	Central bank of **Lebanon**	Dr. Rima Younes, deputy manager, central bank of lebanon	Mob: 009613688605 Email: rimakhatib@hotmail.com ryounes@bdl.gov.lb	Lebanon	
28	PAFTA members/ trade in services committee	Trade agreements sector, ministry of trade and industry, **Egypt**	Mrs. Mayee Amer, general manager of the trade in services department	Mob: 01001211306 Email: m.saied@tas.gov.eg	Cairo, Egypt	
29	PAFTA members / Technical committees	Ministry of Economy, **UAE**	Mr. Mohamed Saleh Shelwah, Consultant to the minister of economy	Tel: 0097156422284 Email: shelwah@economy.ae	UAE	
30	PAFTA members / trade in services committee	Ministry of Economy, **UAE**	Mr. Sultan Darwish, head of economic agreements departments and joint committees	Tel: 00971529919911	UAE	
31	PAFTA members / technical committees	Ministry of trade, **Jordan**	Mr. Hassan Ahmed Elamry Economic counselor, Jordanian	Mob: 01270992002 Email: enghasomari@yahoo.com Hassan.o@mit.gov.jo	Cairo, Egypt	

	Stakeholder *Choose type and relationship*	Institution	Contact Person and title	Contact Information	Location	Comments
			embassy in Cairo			
32	PAFTA members / technical committees	Ministry of finance and national economy, **Bahrain**	Mr. Abdallah Elarady, head of Arab countries relations department,	Mob: 0097333335757 Email: aaradi@mofne.gov.bh	Bahrain	
33	Private sector	Union of Arab Chambers	Mrs. May Serhal, Economic consultant	Tel: 0096182602022 – 0096170793253 uac@uac.org.lb research@uac.org.lb	Beirut, Lebanon	
34	Experts/ stakeholders	Trains company - Private institution	Dr. Tamer Mahmoud, Trade consultant, CEO of Trains company	002 01023380506 Tamer.mahmoud@traineg.com	Cairo, Egypt	
35	Private sector	Unilever	Mrs. Prita Hapsari, Head of Customs - South East Asia, Australia, New Zealand	Mob: +62811167090 E-mail: Prita.Hapsari@unilever.com	Indonesia	
36	Private sector	SeeBurger	M. Gurudutt Ponnathar, P.B, Director, Strategic Market Development	g.ponnathar@seeburger.com	Singapore	
37	Private sector	Aqaba Chamber of Commerce, Jordan	Mr. Amer Ibraheem Almasry, General Manager	Email: almasrimasri@yahoo.com Phone: 00962795111805	Aqaba, Jordan	
38	Private sector	Jeddah Chamber of commerce and industry, KSA	Mr. Mohamed Azzam, external relations manager to the director	Mob: 00966553663632 Email: mazzamdec@gmail.com	Jeddah, KSA	

Stakeholder *Choose type and relationship*	Institution	Contact Person and title	Contact Information	Location	Comments
		general office, Jeddah chamber of commerce			

Annex 3: AEISD DOCUMENTATION- 2017-2021

1) The project document of AEISD, signed in August 2017
2) Annual Work Plans of 2018, 2019,2020 and 2021.
3) Measures undertaken by the project to mitigate impacts of Covid-19.
4) Progress reports:
    a. 2018,2019 and 2020
    b. Project activities to deal with Covid-19 (One document)
5) AfTIAS final project evaluation
6) Certified Financial Statements
7) List of key stakeholders
8) Press releases of activities conducted and communication materials on AEISD activities.

Exchanges between UNDP and Sida (based on the request by Sida officials)
1) Achievements and Challenges. (2017)
2) Building Momentum for PAFTA Upgrading. (2018)
3) Progress of implementation of Strategy of Sida (February 2019)

Technical documents and thematic support to committees of LAS and countries (Customs Modernization, Single Window)

1) Building Momentum for PAFTA Upgrading (Thematic approach for EcoSoc Resolution)
2) Draft Report on the readiness of border posts of Arab countries (presented to the LAS Technical Committee on Customs Procedures).
3) Letters of endorsement and support by LAS Assistant Secretary General.
4) The paper on trade measures by Arab countries in dealing with Covid-19 and promotion of transparency.
5) Statements of LAS Ecosoc to support free movement of medical supplies to fight Covid-19 (May 2020).
6) Resolution by LAS Ecosoc to upgrade PAFTA (September 2018).
7) Resolution by LAS Ecosoc to upgrade Transparency to improve PAFTA implementation.
8) Joint Publication – Review of Trade Policies of three service sectors of Morocco (UNDP-UNCTAD), to be available in December 2020.
9) Report on Trade and Gender (2020).
10) Analysis of exposure of statutory controls by border control agencies, to be ready in January 2021.
11) Proposed Customs Code of Conduct against Corruption (2020).
12) Draft Concept of a National Single Window (presented to Egypt in January 2019, Cairo).
13) Adopted Terms of Refence of the Task Force for Jordanian Licensing Huh (December 24, 2019).
14) Draft Concept Note for the technical review of PortNet of Morocco (2020).
15) Design of the draft Protocol on Trade Facilitation (Innovative approach to design a legal instrument on trade policies for Arab States).
16) Proposal of developing the sub-regional Single Window for Egypt, Jordan, Morocco and Tunisia (adopted by Directors-General of Customs of four countries).

- **Egypt**
1) Draft MOU and related technical documentation for the corridor Nuweibae- Aqaba (extracts)
- **Jordan**
1) Extract of the approved Roadmap of Jordan National Single Window;
2) Letter of commitments by the Minister of Finance to the Jordanian Licensing Hub
3) Findings of the consultation with governmental agencies of Jordan and relevant businesses and industries
4) Proposal to update provisions of the draft Customs Law of Jordan for ICT applications and e-Government.
- **Morocco**
1) Concept note of the pilot project on Aragan Oil – Economic empowerment of women in Morocco.
2) Work Plan and the Concept Note for the technical review of PortNet.
3) Summary of the scoping mission on the review of PortNet.

Annex 4: UNDP evaluation report template and quality standards

This **evaluation report template** is intended to serve as a guide for preparing meaningful, useful and credible evaluation reports that meet quality standards. It does not prescribe a definitive section-by-section format that all evaluation reports should follow. Rather, it suggests the areas of content that should be included in a quality evaluation report.

The evaluation report should be complete and logically organized. It should be written clearly and be understandable to the intended audience. In a country context, the report should be translated into local languages whenever possible. The report should include the following:

1. **Title and opening pages** should provide the following basic information:
   - Name of the evaluation intervention.
   - Time frame of the evaluation and date of the report.
   - Countries of the evaluation intervention.
   - Names and organizations of evaluators.
   - Name of the organization commissioning the evaluation.
   - Acknowledgements.

2. **Project and evaluation information details** to be included in all final versions of evaluation reports (non-GEF)[1] on second page (as one page):

Project/outcome Information		
Project/outcome title		
Atlas ID		
Corporate outcome and output		
Country		
Region		
Date project document signed		
Project dates	**Start**	**Planned end**
Total committed budget		
Project expenditure at the time of evaluation		
Funding source		
Implementing party[2]		

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[1] GEF evaluations have their own project information template requirements.
[2] This is the entity that has overall responsibility for implementation of the project (award), effective use of resources and delivery of outputs in the signed project document and workplan.

Evaluation information		
Evaluation type (project/ outcome/thematic/country programme, etc.)		
Final/midterm review/ other		
Period under evaluation	**Start**	**End**
Evaluators		
Evaluator email address		
Evaluation dates	**Start**	**Completion**

3. **Table of contents,** including boxes, figures, tables, and annexes with page references.

4. **List of acronyms and abbreviations.**

5. **Executive summary (four/ five page maximum).** A stand-alone section of two to three pages that should:
   - Briefly describe the intervention of the evaluation (the project(s), programme(s), policies, or other intervention) that was evaluated.
   - Explain the purpose and objectives of the evaluation, including the audience for the evaluation and the intended uses.
   - Describe key aspects of the evaluation approach and methods.
   - Summarize principle findings, conclusions and recommendations.

6. **Introduction**
   - Explain why the evaluation was conducted (the purpose), why the intervention is being evaluated at this point in time, and why it addressed the questions it did.
   - Identify the primary audience or users of the evaluation, what they wanted to learn from the evaluation and why, and how they are expected to use the evaluation results.
   - Identify the intervention being evaluated (the project(s) programme(s) policies or other intervention).
   - Acquaint the reader with the structure and contents of the report and how the information contained in the report will meet the purposes of the evaluation and satisfy the information needs of the intended users.

7. **Description of the intervention** provides the basis for report users to understand the logic and assess the merits of the evaluation methodology and understand the applicability of the evaluation results. The description needs to provide sufficient detail for the report user to derive meaning from the evaluation. It should:

- Describe **what is being evaluated**, **who seeks to benefit** and the **problem or issue** it seeks to address.
- Explain the **expected results model or results framework**, **implementation strategies** and the key **assumptions** underlying the strategy / theory of change.
- Link the intervention to **national priorities**, UNSDCF priorities, corporate multi-year funding frameworks or Strategic Plan goals, or other **programme or country-specific plans and goals.**
- Identify the **phase** in the implementation of the intervention and any **significant changes** (e.g., plans, strategies, logical frameworks, theory of change) that have occurred over time, and explain the implications of those changes for the evaluation.
- Identify and describe the **key partners** involved in the implementation and their roles.
- Include data and an analysis of **specific social groups** affected. Identify **relevant cross-cutting issues** addressed through the intervention, i.e., gender equality, human rights, vulnerable/ marginalized groups, leaving no one behind.
- Describe the **scale of the intervention**, such as the number of components (e.g., phases of a project) and the size of the target population (men and women) for each component.
- Indicate the **total resources**, including human resources and budgets.
- Describe the context of the **social, political, economic, and institutional factors**, and the **geographical landscape** within which the intervention operates, and explain the challenges and opportunities those factors present for its implementation and outcomes.
- Point out **design weaknesses** (e.g., intervention logic, theory of change) or other **implementation constraints** (e.g., resource limitations).

8. **Evaluation scope and objectives.** The report should provide a clear explanation of the evaluation's scope, primary objectives and main questions.
   - **Evaluation scope.** The report should define the parameters of the evaluation, for example, the time period, the segments of the target population and geographic area included, and which components, outputs or outcomes were or were not assessed.
   - **Evaluation objectives.** The report should spell out the types of decisions the evaluation will feed into, the issues to be considered in making those decisions and what the evaluation will need to achieve to contribute to those decisions.
   - **Evaluation criteria.** The report should define the evaluation criteria or performance standards used[3] and explain the rationale for selecting those particular criteria.
   - **Evaluation questions.** The report should detail the main evaluation questions addressed by the evaluation and explain how the answers to those questions address the information needs of users.

9. **Evaluation approach and methods.**[4] The evaluation report should describe in detail the selected methodological approaches, methods and analysis; the rationale for their selection; and how, within the time and money constraints, the approaches and methods employed yielded data that helped to answer the evaluation questions and achieved the evaluation purposes. **The report should specify how gender equality, disability, vulnerability and social inclusion were addressed in the methodology, including how data collection and analysis methods integrated gender**

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[3] The evaluation criteria most commonly applied to UNDP evaluations are the OECD-DAC criteria of relevance, coherence, efficiency, effectiveness and sustainability.
[4] All aspects of the described methodology need to receive full treatment in the report. Some of the more detailed technical information may be contained in annexes to the report.

considerations, use of disaggregated data and outreach to diverse stakeholder groups. The description should help the report users judge the merits of the methods used in the evaluation and the credibility of the findings, conclusions and recommendations. The description of methodology should include discussion of each of the following:

- **Evaluation approach.**
- **Data sources:** the sources of information (documents reviewed and stakeholders met) as well as the rationale for their selection and how the information obtained addressed the evaluation questions.
- **Sample and sampling frame.** If a sample was used, describe the sample size and characteristics, the sample selection criteria; the process for selecting the sample (e.g. random, purposive); if applicable, how comparison and treatment groups were assigned; and the extent to which the sample is representative of the entire target population, including discussion of the limitations of sample for generalizing results.
- **Data collection procedures and instruments:** methods or procedures used to collect data, including discussion of data-collection instruments (e.g., interview protocols), their appropriateness for the data source, and evidence of their reliability and validity, as well as gender-responsiveness.
- **Performance standards:**[5] the standard or measure that will be used to evaluate performance relative to the evaluation questions (e.g. national or regional indicators, rating scales).
- **Stakeholder participation:** who participated and how the level of involvement of men and women contributed to the credibility of the evaluation and the results.
- **Ethical considerations:** including the measures taken to protect the rights and confidentiality of informants (see UNEG 'Ethical Guidelines for Evaluators' for more information).[6]
- **Background information on evaluators:** the composition of the evaluation team, the background and skills of team members, and the appropriateness of the technical skill mix, gender balance and geographical representation for the evaluation.
- **Major limitations of the methodology** should be identified and openly discussed, as well as any steps taken to mitigate them.

10. **Data analysis.** The report should describe the procedures used to analyse the data collected to answer the evaluation questions. It should detail the various steps and stages of analysis that were carried out, including the steps to confirm the accuracy of data and the results for different stakeholder groups (men and women, different social groups, etc.). The report should also discuss the appropriateness of the analyses to the evaluation questions. Potential weaknesses in the data analysis and gaps or limitations of the data should be discussed, including their possible influence on the way findings may be interpreted and conclusions drawn.

11. **Findings** should be presented as statements of fact that are based on analysis of the data. They should be structured around the evaluation questions so that report users can readily make the connection between what was asked and what was found. Variances between planned and actual

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[5] A summary matrix displaying, for each of the evaluation questions, the data sources, data collection tools or methods and the standard or measure by which each question was evaluated. This is a good illustrative tool to simplify the logic of the methodology for the report reader.

[6] UNEG, 2020, Ethical Guidelines for Evaluation: http://www.unevaluation.org/document/detail/2866

results should be explained, as well as factors affecting the achievement of intended results. Assumptions or risks in the project or programme design that subsequently affected implementation should be discussed. Findings should reflect gender equality and women's empowerment, disability and other cross-cutting issues, as well as possible unanticipated effects.

12. **Conclusions** should be comprehensive and balanced and highlight the strengths, weaknesses and outcomes of the intervention. They should be well substantiated by the evidence and logically connected to evaluation findings. They should respond to key evaluation questions and provide insights into the identification of and/or solutions to important problems or issues pertinent to the decision-making of intended users, including issues in relation to gender equality and women's empowerment as well as to disability and other cross-cutting issues.

13. **Recommendations.** The report should provide a reasonable number of practical, actionable and feasible recommendations directed to the intended users of the report about what actions to take or decisions to make. The recommendations should be specifically supported by the evidence and linked to the findings and conclusions around key questions addressed by the evaluation. They should address sustainability of the initiative and comment on the adequacy of the project exit strategy, if applicable. Recommendations should also provide specific advice for future or similar projects or programming. Recommendations should address any gender equality and women's empowerment issues and priorities for action to improve these aspects. Recommendations regarding disability and other cross-cutting issues also need to be addressed.

14. **Lessons learned.** As appropriate and/or if requested in the TOR, the report should include discussion of lessons learned from the evaluation, that is, new knowledge gained from the particular circumstance (intervention, context, outcomes, even evaluation methods) that are applicable to a similar context. Lessons should be concise and based on specific evidence presented in the report. Gender equality and women's empowerment, disability and other cross-cutting issues should also be considered.

15. **Report annexes.** Suggested annexes should include the following to provide the report user with supplemental background and methodological details that enhance the credibility of the report:
    - TOR for the evaluation.
    - Additional methodology-related documentation, such as the evaluation matrix and data-collection instruments (questionnaires, interview guides, observation protocols, etc.) as appropriate.
    - List of individuals or groups interviewed or consulted, and sites visited. This can be omitted in the interest of confidentiality if agreed by the evaluation team and UNDP.
    - List of supporting documents reviewed.
    - Project or programme results model or results framework.
    - Summary tables of findings, such as tables displaying progress towards outputs, targets, and goals relative to established indicators.
    - Pledge of ethical conduct in evaluation signed by evaluators.

UNEG
United Nations Evaluation Group

UNEG Code of Conduct for Evaluation in the UN System

UNEG, March 2008

The Code of Conduct was formally approved by UNEG members at the UNEG Annual General Meeting 2008.

Further details of the ethical approach to evaluation in the UN system can be found in the *Ethical Guidelines for Evaluation in the UN System* (UNEG/FN/ETH[2008]).

CODE OF CONDUCT FOR EVALUATION IN THE UNITED NATIONS SYSTEM

1.   The conduct of evaluators in the UN system should be beyond reproach at all times. Any deficiency in their professional conduct may undermine the integrity of the evaluation, and more broadly evaluation in the UN or the UN itself, and raise doubts about the quality and validity of their evaluation work.

2.   The UNEG[1] Code of Conduct applies to all evaluation staff and consultants in the UN system. The principles behind the Code of Conduct are fully consistent with the Standards of Conduct for the International Civil Service by which all UN staff are bound. UN staff are also subject to any UNEG member specific staff rules and procedures for the procurement of services.

3.   The provisions of the UNEG Code of Conduct apply to all stages of the evaluation process from the conception to the completion of an evaluation and the release and use of the evaluation results.

4.   To promote trust and confidence in evaluation in the UN, all UN staff engaged in evaluation and evaluation consultants working for the United Nations system are required to commit themselves in writing to the Code of Conduct for Evaluation[2] (see Annexes 1 and 2), specifically to the following obligations:

Independence

5.   Evaluators shall ensure that independence of judgement is maintained and that evaluation findings and recommendations are independently presented.

Impartiality

6.   Evaluators shall operate in an impartial and unbiased manner and give a balanced presentation of strengths and weaknesses of the policy, program, project or organizational unit being evaluated.

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[1] UNEG is the United Nations Evaluation Group, a professional network that brings together the units responsible for evaluation in the UN system including the specialized agencies, funds, programmes and affiliated organisations. UNEG currently has 43 such members.

[2] While the provisions of the Code of Conduct apply to all UN staff involved in evaluation, only UN staff who spend a substantial proportion of their time working on evaluation are expected to sign the Code of Conduct, including staff of evaluation, oversight or performance management units directly involved in the management or conduct of evaluations. All evaluation consultants are required to sign when first engaged by a UNEG member.

Conflict of Interest

7.   Evaluators are required to disclose in writing any past experience, of themselves or their immediate family, which may give rise to a potential conflict of interest, and to deal honestly in resolving any conflict of interest which may arise. Before undertaking evaluation work within the UN system, each evaluator will complete a declaration of interest form (see Annex 3).

Honesty and Integrity

8.   Evaluators shall show honesty and integrity in their own behaviour, negotiating honestly the evaluation costs, tasks, limitations, scope of results likely to be obtained, while accurately presenting their procedures, data and findings and highlighting any limitations or uncertainties of interpretation within the evaluation.

Competence

9.   Evaluators shall accurately represent their level of skills and knowledge and work only within the limits of their professional training and abilities in evaluation, declining assignments for which they do not have the skills and experience to complete successfully.

Accountability

10.   Evaluators are accountable for the completion of the agreed evaluation deliverables within the timeframe and budget agreed, while operating in a cost effective manner.

Obligations to participants

11.   Evaluators shall respect and protect the rights and welfare of human subjects and communities, in accordance with the UN Universal Declaration of Human Rights and other human rights conventions. Evaluators shall respect differences in culture, local customs, religious beliefs and practices, personal interaction, gender roles, disability, age and ethnicity, while using evaluation instruments appropriate to the cultural setting. Evaluators shall ensure prospective participants are treated as autonomous agents, free to choose whether to participate in the evaluation, while ensuring that the relatively powerless are represented. Evaluators shall make themselves aware of and comply with legal codes (whether international or national) governing, for example, interviewing children and young people.

Confidentiality

12.   Evaluators shall respect people's right to provide information in confidence and make participants aware of the scope and limits of confidentiality, while ensuring that sensitive information cannot be traced to its source.

Avoidance of Harm

13.   Evaluators shall act to minimise risks and harms to, and burdens on, those participating in the evaluation, without compromising the integrity of the evaluation findings.

Accuracy, Completeness and Reliability

14.   Evaluators have an obligation to ensure that evaluation reports and presentations are accurate, complete and reliable. Evaluators shall explicitly justify judgements, findings and conclusions and show their underlying rationale, so that stakeholders are in a position to assess them.

Transparency

15.   Evaluators shall clearly communicate to stakeholders the purpose of the evaluation, the criteria applied and the intended use of findings. Evaluators shall ensure that stakeholders have a say in shaping the evaluation and shall ensure that all documentation is readily available to and understood by stakeholders.

Omissions and wrongdoing

16.   Where evaluators find evidence of wrong-doing or unethical conduct, they are obliged to report it to the proper oversight authority.

Annex 1: United Nations Evaluation Group – Code of Conduct for Evaluation in the UN System

Evaluation Staff Agreement Form

To be signed by all staff engaged full or part time in evaluation at the start of their contract.

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Staff Member: _____

I confirm that I have received and understood, and will abide by the United Nations Evaluation Group Code of Conduct for Evaluation.

Signed at (place) on (date)

Signature: _____

Annex 2: United Nations Evaluation Group Code of Conduct for Evaluation in the UN System

Evaluation Consultant Agreement Form

To be signed by all consultants as individuals (not by or on behalf of a consultancy company) before a contract can be issued.

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: _____

Name of Consultancy Organisation (where relevant)**:** _____

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at (place) on (date)

Signature: _____

UNEG
United Nations Evaluation Group

Integrating Human Rights and Gender Equality in Evaluations

August 2014

Guidance Document

Integrating Human Rights and Gender Equality in Evaluations

August 2014

UNEG
United Nations Evaluation Group
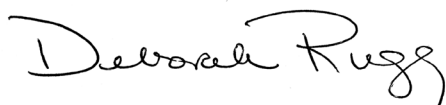
Foreword

The United Nations Evaluation Group (UNEG) published 'Integrating Human Rights and Gender Equality in Evaluation: Towards UNEG Guidance' in 2011 as a concise handbook that could act as a field guide to improve human rights and gender equality responsive evaluation in the UN system. However, a more in-depth companion guidance document was always envisioned, one that provided more details, explanations and examples than a document intended as a quick reference.

Since its publication, the 'handbook' has become a key reference for evaluators within the United Nations, as well as externally. It has been formally included as a benchmark against which to measure performance for the Evaluation Indicator of the UN System-Wide Action Plan in 2012. A number of other noteworthy changes in the United Nations landscape for evaluation, human rights and gender equality make additional guidance in this area relevant, including the recent General Assembly Quadrennial Comprehensive Policy Review resolution 67/226 (2012) and the United Nations Development Group Human Rights Mechanism.

These developments make guidance on integrating human rights and gender equality in evaluation practice and its implementation in UN evaluation processes all the more pertinent. This more in-depth guidance developed by the UNEG Task Force on Human Rights and Gender Equality, which has continued its good work drawing on more recent developments and practices both within and outside the UN system, is meant to further guide and promote the implementation of human rights and gender responsive evaluation practice in all UN evaluations.

Deborah Rugg
UNEG Chair

Acknowledgements

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Acronyms and Abbreviations

ALNAP	Active Learning Network for Accountability and Performance in Humanitarian Action
CAT	Committee Against Torture/Convention Against Torture and other Cruel, Inhuman or Degrading Treatment or Punishment
CCA	Common Country Assessment
CEDAW	Convention on the Elimination of All Forms of Discrimination against Women
CEDAW Committee	Committee on the Elimination of Discrimination against Women
CERD	Committee on the End of Racial Discrimination
CESCR	Committee on Economic, Social and Cultural Rights
CIDA	Canadian International Development Agency
CPRD	Committee on the Rights of Persons with Disabilities
CMW	Committee on Migrant Workers
CRC	Committee on the Rights of the Child/Convention on the Rights of the Child
DAC	Development Assistance Committee
ECOSOC	Economic and Social Council
FAO	Food and Agriculture Organization
GE	Gender equality
GM	Gender (equality) mainstreaming
HR	Human rights
HRBA	Human rights-based approach
HRC	Human Rights Committee
HR & GE	Human rights and gender equality
ICCPR	International Covenant on Civil and Political Rights
ICERD	International Convention on the Elimination of All Forms of Racial Discrimination
ICESCR	International Covenant on Economic, Social and Cultural Rights
ICRMW	International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families
ICPD	International Conference on Population and Development
ILO	International Labour Organization
M&E	Monitoring and evaluation
MDGs	Millennium Development Goals

NGOs	Non-governmental organizations
Norad	Norwegian Agency for Development Cooperation
OECD	Organisation for Economic Co-operation and Development
OHCHR	Office of the High Commissioner for Human Rights
RBM	Results-based management
Sida	Swedish International Development Cooperation Agency
SPT	Subcommittee on Prevention of Torture and other Cruel, Inhuman or Degrading Treatment or Punishment
SWAP	Sector-wide approach
UN SWAP	United Nations System-Wide Action Plan
TCPR	Triennial Comprehensive Policy Review
ToR	Terms of Reference
UDHR	Universal Declaration of Human Rights
UN	United Nations
UNCT	United Nations Country Team
UNCTAD	United Nations Conference on Trade and Development
UNDAF	United Nations Development Assistance Framework
UNDG	United Nations Development Group
UNDG-HRM	United Nations Development Group's Human Rights Mechanism
UNDP	United Nations Development Programme
UNEG	United Nations Evaluation Group
UNEP	United Nations Environment Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFPA	United Nations Population Fund
UNHCR	Office of the United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UN Women	United Nations Entity for Gender Equality and the Empowerment of Women
WFP	World Food Programme
WHO	World Health Organization

Glossary of Technical Terms

Accession. The act whereby a State accepts the offer or the opportunity to become a party to a treaty already negotiated and signed by other States. It has the same legal effect as ratification.

Accountability. Obligation to demonstrate that work has been conducted in compliance with agreed rules and standards or to report fairly and accurately on performance results vis-à-vis mandated roles and/or plans. This may require a careful, even legally defensible, demonstration that the work is consistent with the contract terms. Accountability in development may refer to the obligations of partners to act according to clearly defined responsibilities, roles and performance expectations, often with respect to the prudent use of resources. For evaluators, it connotes the responsibility to provide accurate, fair and credible monitoring reports and performance assessments. For public sector managers and policymakers, accountability is to taxpayers/citizens.

Base-line study. An analysis describing the situation prior to a development intervention, against which progress can be assessed or comparisons made.

Charter-based mechanisms or non-treaty based mechanisms. Mechanisms for the enforcement of human rights other than those that relate directly to a specific human rights treaty, convention or covenant.

Complaint. In legal terms, the initial document that begins an action; a complaint sets forth a brief summary of what happened and argues why relief should be granted. In a human rights case, the complaint (or petition, or communication) alleges that the government, or individual or institution that must answer to human rights standards (such as a surrogate of the government) has violated the human rights of specific individuals or groups of individuals.

Convention. Binding agreement between States; used synonymously with treaty and covenant. Conventions are stronger than declarations in that they are legally binding for signatory States and governments can be held for violating them. The United Nations General Assembly creates international norms and standards when it adopts Conventions; Member States can then ratify the UN Conventions, signifying acceptance of their obligations.

Covenant. Binding agreement between States; used synonymously with convention and treaty.

Declaration. A document that represents agreed upon standards, but which is not legally binding; United Nations conferences usually produce two sets of declarations: one by government representatives and one by NGOs; the UN General Assembly often issues influential but legally non-binding declarations.

Discrimination against women. Defined in CEDAW, "Any distinction, exclusion or restriction made on the basis of sex which has the effect or purpose of impairing or nullifying the recognition, enjoyment or exercise by women, irrespective of their marital status, on the basis of equality of men

and women, of human rights and fundamental freedoms in the political, economic, social, cultural, civil or any other field" (Article 1).

Duty bearers. Strictly speaking, in international human rights law, duty bearers are States (represented by their different government agencies and institutions at national and local levels). However, references to other duty bearers can be found in literature on human rights-based approach. Mentions are made to 'moral duty bearers' (including parents and family members, hospitals) or corporate entities.

Empowerment. Empowerment implies people – both women and men – taking control over their lives: setting their own agendas, gaining skills (or having their own skills and knowledge recognized), increasing self-confidence, solving problems, and developing self-reliance. It is both a process and an outcome. Empowerment implies an expansion in women's ability to make strategic life choices in a context where this ability was previously denied to them.

Evaluation. The systematic and objective assessment of an ongoing or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors. Evaluation also refers to the process of determining the worth or significance of an activity, policy or programme.

Evaluation manager. The term evaluation manager is used throughout the Guidance to describe the person responsible for organizing and leading the evaluation process, including preparing its design. This person will receive the evaluation report, ensure its quality, prepare the management response, and guarantee the evaluation dissemination and follow-up.

Gender. Gender refers to the array of socially constructed roles and relationships, personality traits, attitudes, behaviours, values, relative power and influence that society ascribes to the two sexes on a differential basis. Whereas biological sex is determined by genetic and anatomical characteristics, gender is an acquired identity that is learned, changes over time, and varies widely within and across cultures. Gender is relational and refers not simply to women or men but to the relationship between them.

Gender analysis. Gender analysis is a systematic way of looking at the different impacts of development, policies, programmes and legislation on women and men that entails, first and foremost, collecting sex-disaggregated data and gender-sensitive information about the population concerned. Gender analysis can also include the examination of the multiple ways in which women and men, as social actors, engage in strategies to transform existing roles, relationships, and processes in their own interest and in the interest of others.

Gender and Development (GAD). This approach was developed as a response to the failure of Women in Development projects to effect qualitative and long-lasting changes in women's social status. GAD focuses on social, economic, political and cultural forces that determine how men and women participate in, benefit from, and control project resources and activities differently. This approach shifts the focus from women as a group to the socially determined relations between women and men.

Gender-based violence. Violence committed against women as women; violence particular to women, such as rape, sexual assault, female circumcision, or dowry burning; violence against women for failing to conform to restrictive social norms; the 1993 Vienna Declaration specifically recognized gender-based violence as a human rights concern.

Gender discrimination. Discrimination based on socially constructed ideas and perceptions of men and women.

Gender equality. Gender equality entails the concept 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. It does not mean 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.

Gender equity. Gender equity means fairness of treatment for women and men, according to their respective needs. This may include equal treatment or treatment that is different but considered equivalent in terms of rights, benefits, obligations and opportunities. In the development context, a gender equity goal often requires built-in measures to compensate for the historical and social disadvantages of women.

Gender identity. The gender that a person sees him/herself as. This can include refusing to label oneself with a gender. Gender identity is also often conflated with sexual orientation, but this is inaccurate. Gender identity does not cause sexual orientation. For example, a masculine woman is not necessarily a lesbian.

Gender mainstreaming. Gender mainstreaming is the process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in any area and at all levels. It is a strategy for making women's as well as men's concerns and experiences an integral dimension in the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and social spheres, such that inequality between men and women is not perpetuated.

Gender neutrality. Treatment of a problem without recognition of gender; myth of gender neutrality in human rights eliminates recognition that treating people identically despite unequal situations perpetuates rather than eradicates injustices.

General comment (of a treaty-body mechanism). A treaty body's interpretation of the content of human rights provisions, on thematic issues or its methods of work. General comments often seek to clarify the reporting duties of State parties with respect to certain provisions and suggest approaches to implementing treaty provisions. Also called 'general recommendation' (Committee on the End of Racial Discrimination and Committee on the Elimination of Discrimination against Women).

Human rights. Human rights are rights inherent to all human beings, whatever our nationality, place of residence, sex, national or ethnic origin, colour, religion, language, or any other status. We are all

equally entitled to our human rights without discrimination. These rights are all interrelated, inter-dependent and indivisible. Universal human rights are often expressed and guaranteed by law, in the forms of treaties, customary international law, general principles and other sources of international law. International human rights law lays down obligations of governments to act in certain ways or to refrain from certain acts, in order to promote and protect human rights and fundamental freedoms of individuals or groups.

Human rights-based approach. A conceptual framework for the process of human development that is normatively based on international human rights standards and operationally directed to promoting and protecting human rights.

Human Rights Council. The Human Rights Council is an intergovernmental body within the United Nations system responsible for strengthening the promotion and protection of human rights around the globe and for addressing situations of human rights violations and make recommendations on them. It has the ability to discuss all thematic human rights issues and situations that require its attention throughout the year. It meets at the UN Office at Geneva.

Human rights principles. Universality and inalienability, indivisibility, interdependence and inter-relatedness, equality and non-discrimination, participation and inclusion, and accountability and rule of law. Human rights are related to one's human dignity; they are universal, inalienable, indi-visible, interconnected and inter-independent; governments are obligated to enforce such rights in a manner that promotes equality and non-discrimination.

Human rights systems. Refers to the various groupings of human rights laws, courts, investigatory bodies and other organizations at the national, regional and international levels, which may pro-vide appropriate enforcement mechanisms, such as court-like complaint procedures and audit-like monitoring and reporting procedures.

Impact. Positive and negative, primary and secondary long-term effects produced by a develop-ment intervention, directly or indirectly, intended or unintended.

Indicators. Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development actor.

Indivisibility. Human rights are indivisible. Whether of a civil, cultural, economic, political or social nature, they are all inherent to the dignity of every human person. Consequently, they all have equal status as rights, and cannot be ranked.

Inputs. The financial, human, and material resources used for the development intervention.

Meta-evaluation. Evaluations designed to aggregate findings from a series of evaluations. It can also be used to denote the evaluation of an evaluation to judge its quality and/or assess the perfor-mance of the evaluators.

National human rights protection system. A national human rights protection system (NHRPS) needs to be established or strengthened by the State in order to promote, protect and fulfil human rights. A NHRPS consists mainly of legal frameworks, institutions, policies, procedures and actors designed to ensure that international human rights norms and standards are promoted, respected, protected and fulfilled. The objective of a NHRPS is to ensure sustainable and effective respect for human rights in a country. Particular consideration should be given to ensuring that all aspects of any NHRPS are responsive to the human rights of women. And special attention should always be paid to groups subjected to discrimination and suffering from disadvantage within the country – including racial and ethnic minorities, children, the disabled, women, and the poor.

Non-discrimination. Principle that people may not be treated differently based on arbitrary and impermissible criteria; discrimination based on grounds of race, sex, disability, sexual orientation, geographic location or any other status violates human rights.

Optional protocol. Addendum to an international agreement to which the State parties must agree separately; often places additional obligations to the parties, such as an agreement to submit to the jurisdiction of an international court.

Outcome. The likely or achieved short-term and medium-term effects of an intervention's outputs.

Output. The products, capital goods and services which result from a development intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes.

Participation and inclusion. Every person and all peoples are entitled to active, free and meaningful participation in, contribution to, and enjoyment of civil, economic, social, cultural and political development in which human rights and fundamental freedoms can be realized.

Ratification. Process by which a legislature confirms a government's action in signing a treaty; formal procedure by which a State becomes bound to a treaty.

Recommendation (by a human rights supervising mechanism). Documents explaining how a particular treaty should be interpreted and applied.

Result-based management. A management strategy focusing on performance and achievement of outputs, outcomes and impacts.

Sex. Sex refers to the biological characteristics which define humans as female or male. These sets of biological characteristics are not mutually exclusive as there are individuals who possess both, but these characteristics tend to differentiate humans as males and females.

Stakeholders. Agencies, organizations, groups or individuals who have a direct or indirect interest in the development intervention or its evaluation.

Survey. Data collection tools used to gather information about individuals to learn about a more generalized phenomenon. It encompasses any measurement procedure that involves asking questions to individuals.

Terms of reference. Written document presenting the purpose and scope of the evaluation, the methods to be used, the standard against which performance is to be assessed or analyses are to be conducted, the resources and time allocated, and reporting requirements. Two other expressions sometimes used with the same meaning are 'scope of work' and 'evaluation mandate'.

Treaty body mechanism. A committee of independent experts appointed to monitor the implementation by States parties of the core international human rights treaties. They are called 'treaty bodies' because each is created in accordance with the provisions of the treaty which it oversees. In many important respects, they are independent of the United Nations system, although they receive support from the United Nations Secretariat and report of the General Assembly. Also referred to as the 'committee' or 'treaty-monitoring body'.

Triangulation. The use of three or more theories, sources or types of information, or types of analysis to verify and substantiate an assessment. By combining multiple data sources, methods, analyses or theories, evaluators seek to overcome the bias that comes from single informants, single methods, single observer or single theory studies.

Universal Periodic Review. The Universal Periodic Review (UPR) is a unique process which involves a review of the human rights records of all 193 UN Member States once every four years. The UPR is a State-driven process, under the auspices of the Human Rights Council, which provides the opportunity for each State to declare what actions they have taken to improve the human rights situations in their countries and to fulfil their human rights obligations. As one of the main features of the Council, the UPR is designed to ensure equal treatment for every country when their human rights situations are assessed.

Universality and inalienability. Human rights are universal and inalienable. Every man, woman or child everywhere in the world is a holder of human rights by virtue of being human. The human person in whom they inhere cannot voluntarily give them up. Nor can others take them away from him or her. Article 1 of the UDHR states: "All human beings are born free and equal in dignity and rights." Universality also refers to the obligation of every State to respect and protect the human rights in international instruments. These rights form a core minimum standard to be observed by every State.

Women in Development (WID). WID projects were an outcome of the realization that women's contributions were being ignored and that this was leading to the failure of many development efforts. WID projects were developed to involve women as participants and beneficiaries of development aid and initiatives.

Chapter 1. Introduction

1.1. Background of the Guidance

1.   The United Nations (UN) is founded on the principles of peace, security, justice, human rights and fundamental freedoms without distinction as to race, sex, language or religion.[1] The Universal Declaration of Human Rights (UDHR) recognizes human rights (HR) as a prerequisite for peace and justice, and upholds the principles of the equal enjoyment of rights between men and women, and of non-discrimination. Over the last decades, these principles have been translated into a set of international rules through which States have committed themselves to promoting and protecting international human rights and fostering gender equality (GE).

2.   The UN has made significant progress in integrating HR and advancing GE in and through its policies and activities. The UN mandate to address in all its interventions human rights and gender equality (HR & GE) approaches has been established in several international agreements and reinforced through various institutional reforms,[2] making HR & GE mutually reinforcing goals of the UN system. The human rights-based approach (HRBA) and gender equality mainstreaming[3] (GM) are the strategies to achieve these purposes. While both approaches have distinct nature, methods and frameworks, their common agenda is one of social justice and equality.

3.   The United Nations Evaluation Group (UNEG)[4] is a professional network that brings together the units responsible for evaluation in the UN system. In 2007, the UNEG HR & GE Task Force was created to provide direction and tools on how to integrate these dimensions in evaluations. This Guidance has been developed in response to the results of a mapping study conducted to determine the level of integration of HR & GE approaches in evaluations carried out in UN agencies, funds, programmes and training institutions (hereafter referred to as 'UN entities'). The study showed that limited policies and guidance were available, more so in terms of HR than GE, and that the available material required adaptation to the broader UN context.[5]

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1   Article 1 of the UN Charter, <www.un.org/en/documents/charter/>.

2   See sections 2.2 and 2.3.

3   The present document uses two expressions to refer to the systematic introduction of gender dimensions in specific policy, programme or project. UN official documents mention 'gender mainstreaming', an expression that will be employed to be faithful to these instruments. In other parts of this Guidance, the more precise idiom 'gender equality mainstreaming' will be applied to emphasize the promotion of gender equality as the fundamental purpose of the mainstreaming.

4   For further information on UNEG, see <www.uneval.org/>.

5   UNEG, 'Synthesis of Mapping Exercise: Existing Guidance for Integrating a Human Rights and Gender Equality Perspective in Evaluations', UNEG Task Force on Gender Equality and Human Rights, mimeo. 2008.

4.   This Guidance is aimed at increasing knowledge on the application of these two approaches in evaluation processes but also at raising awareness on their specific relevance and significance for UN work. It complements the UNEG's Handbook 'Integrating Human Rights and Gender Equality in Evaluation: Towards UNEG Guidance,'[6] an abridged version that outlines practical steps on how to prepare, conduct and use HR & GE responsive evaluations. The present document deepens each of these aspects, and provides additional theoretical and applied information, tools and suggestions.

1.2.   HR & GE responsive evaluations: concept and purposes

5.   An evaluation is a systematic and impartial assessment of policies, programmes, projects and other activities (hereafter referred to as 'interventions') through which an organization, its partners, the intervention's stakeholders or persons interested in its results can "obtain systematic, meaningful feedback about the successes and shortcomings of its endeavours"[7] (see UNEG's definition of evaluation applied to UN practice in Box 1). Applying rigorous methods and techniques, an evaluation provides evidence-based information and analysis that inform decision-making in a timely manner and promote learning.

6.   Evaluation is an 'essential step'[8] in the results-based management (RBM) approach, which has been adopted by most UN entities. RBM needs "external validation of results […] in order to be credible."[9] Bringing together HRBA, gender equality mainstreaming and RBM offers substantial benefits for "greater learning, adjustment and decision-making"[10], thus leading to more effective interventions and more sustainable results[11].

7.   HR & GE responsive evaluations are managerial tools that provide a holistic and meaningful assessment of how an intervention is guided by HR & GE approaches, inter alia they contribute to give a substantive meaning to the 1986 UN declaration that "the right to development is an inalienable human right," and bring an element of accountability into development. They draw upon established and well-known approaches, techniques and methods to design, implement and use evaluations. However, performing HR & GE responsive evaluations goes beyond technical issues. It is not about "one design or one set of methods but [about the] lens or standpoint that influences the choices made in design and methods."[12] HR & GE responsive evaluations are, implicitly or explicitly, political; they align the work of the evaluators with binding international mandates

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6   The Handbook is available at <www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=980>.

7   USAID, 'Evaluation Policy', January 2011, p. 1, <www.usaid.gov/evaluation/policy>.

8   UNDG, 'Results-Based Management Handbook: Harmonizing RBM Concepts And Approaches For Improved Development Results At Country Level', October 2011, p. 34, <www.undg.org/index.cfm?P=1626>.

9   Ibid. p. 26.

10   Ibid. p. 40.

11   See UN Women, 'Manager's Guide to Gender Equality and Human Rights Responsive Evaluation', <www.unwomen.org/en/digital-library/publications/2010/1/a-manager-s-guide-to-gender-equality-and-human-rights-responsive-evaluation>.

12   Katherine Hay, 'Strengthening Equity-Focused Evaluations Through Insights From Feminist Theory and Approaches', in Marco Segone (ed.), Evaluation For Equitable Development Results, UNICEF Evaluation Office, 2012, p. 47, <www.mymande.org/content/evaluation-equitable-development-results>.

"**An evaluation** is an assessment, as systematic and impartial as possible, of an activity, project, programme, strategy, policy, topic, theme, sector, operational area, institutional performance, etc. It focuses on expected and achieved accomplishments, examining the results chain, processes, contextual factors and causality, in order to understand achievements or the lack thereof. It aims at determining the relevance, impact, effectiveness, efficiency and sustainability of the interventions and contributions of the organizations of the UN system. An evaluation should provide evidence-based information that is credible, reliable and useful, enabling the timely incorporation of findings, recommendations and lessons into the decision-making processes of the organizations of the UN system and its members."

Source: UNEG, 'Norms for Evaluation in the UN System', UNEG/FN/Norms (2005), April 2005, p. 5, <www.uneval.org/document/detail/21>.

directed at furthering HR and advancing GE. HR & GE responsive evaluations provide the UN system with the opportunity to enhance its capacity to learn lessons, respond to the implementation of its own mandates, hold key stakeholders accountable for results and, in turn, refine its policies and programming. By bringing to the fore the role evaluations can play to contribute to social justice, human rights and gender equality purposes, this Guidance aspires to improve evaluation practice.

8.   HR & GE responsive evaluations integrate, in their purposes, process and methods, HR & GE concepts, standards, values and principles:

- to analyse how an intervention advances the rights of the targeted population(s) (*the rights holders),* particularly women and individuals/groups who are marginalized and/or discriminated against, and supports or empowers them to claim for their rights;

- to identify and analyse the inequalities, discriminatory practices and unjust power relations that are central to development problems. As they focus on equality as an objective rather than on women or other target groups, HR & GE responsive evaluations offer the possibility to shed light on how these social, historical and/or political complex processes occur. They could provide visibility to under-the-surface social issues and hidden problems of discrimination and inequalities, and call attention to the special needs of or particular effects on certain groups or persons. They put forward tools that allow evaluators to recognize and value different ways of approaching the reality, and to identify and test the dominant theories and discourses underpinning policies and interventions.[13]

- to ensure that rights holders' voices (specially of the groups mentioned above) are heard and their views taken into account in decisions that affect them;

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13   Ibid. p. 45.

- to reinforce the capacity of State, Government or other actors *(the duty bearers)* to fulfil their international obligations and responsibilities;

- to strengthen accountability mechanisms and "promote more transparent review and dialogue on competing or alternative values or theories;"[14] and

- to monitor and advocate for compliance with international standards on HR & GE.

9.   An evaluation that neglects or omits considerations of HR & GE deprives the UN system (and/or its partners, and the intervention's stakeholders) of evidence about who benefits (and does not) from its interventions, risks perpetuating discriminatory structures and practices, and may miss opportunities for demonstrating how effective interventions are carried out. Furthermore, an evaluation that overlooks these issues will most likely lose in credibility, as it may fail to regard crucial underlying issues that virtually permeate all development interventions.

10.   A HR & GE responsive evaluation has two dimensions; it is geared towards assessing results and is process-oriented:

(i) *Result-wise:* it assesses the extent to which the intervention is guided by organizational and system-wide objectives on HR & GE, and has achieved HR & GE results related to these objectives;

(ii) *Process-wise:* (1) it examines how and to what extent HR & GE are mainstreamed in the intervention's programming process, and (2) it applies HRBA and gender equality mainstreaming principles to the actual evaluation process.

1.3.   Relevance and objectives of the Guidance

11.   Meta-evaluations analysing UN work suggest that attention to HR in particular, but also to GE, is often among the weakest evaluation areas and requires considerable strengthening.[15] There are a number of reasons for this:

- The lack of acceptance of the mandatory character of the UN-wide mandate to integrate HR & GE (associated with the perception that HR & GE issues are too sensitive or difficult to implement);

- The general low level of understanding in evaluation offices and among the available pool of evaluators of what HR & GE approaches mean in theory and in practice, and in relation to evaluation. This is compounded by the perceived difficulty to harmonize the HR frame-

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14   Ibid. p. 47.

15   A number of UN entities, such as UNICEF and UNFPA, regularly conduct meta-evaluations. Other syntheses have also shown that attention to integrating HR and GE approaches in evaluations needs strengthening (see Oxfam 2006). In practice, UN entities have more experience and practical knowledge as to gender-focused evaluations than in encompassing HRBA standards and principles in institutional or intervention review processes. Progress still needs to be achieved and hands-on practice expanded in that sense.

work with GE principles and therefore the separate processes and methods which have sometimes been used, leading to duplication and missed opportunities;

- The technical and quantitative focus of many evaluations, which examine results through a sectoral lens (e.g., agricultural yields, health outcomes) and often do not look in depth at how these results impact on people from equality and rights perspectives;

- The limited resources available for evaluative work, including budget, staff and time, which lead to often privilege inquiry into one aspect of results and do not favour a more in-depth analysis of HR & GE dimensions, particularly when they are not the main focus of the intervention.

12.   Considering these identified weaknesses and needs, this Guidance's main objective is to provide the UN system and its partners with practical support on how HR & GE approaches can be easily integrated in the various stages of the evaluation process: planning, preparation, implementation, dissemination, and use. It specifically looks at:

- Providing guidance on how evaluations can assess the process, outcomes and impacts of interventions from HR & GE approaches, as well as analyse if interventions are guided by the system-wide objective to further the realization of HR & GE.

- Contributing to strengthening the role of evaluation and evaluators as agents of change, learning, decision-making and accountability in furthering the realization of HR & GE.

13.   The Guidance is a public good, available to all those interested in integrating HR & GE in evaluation. However, it is mainly directed at evaluation practitioners, or at persons with basic knowledge of evaluation methods, techniques and tools. It therefore only makes brief references to these general evaluation aspects.

14.   The primary audience for the Guidance are:

- *UN evaluators:*[16] UN staff in charge of evaluations or independent consultants recruited by UN entities to conduct evaluations.

- *UN evaluation managers:*[17] Staff in offices dealing with evaluation and oversight bodies, monitoring and evaluation officers at the regional and national levels, project/programme managers and focal points working within the UN Secretariat and entities.

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16   The terms 'evaluator' or 'evaluation team' are used to describe the person or team who is directly assigned an evaluation, conducts the assessment, and prepares the evaluation report.

17   The term 'evaluation manager' is used throughout the Guidance to describe the person responsible for organizing and leading the evaluation process, including preparing its design. This person will receive the evaluation report, ensure its quality, prepare the management response, guarantee the evaluation dissemination and follow-up.

15.   As secondary audience, the Guidance is aimed at the following actors:

- UN staff members involved in designing and implementing interventions: it can be helpful to those designing and planning new interventions to support their analysis of HR & GE and promote their inclusion in the design of interventions and monitoring and evaluation systems to improve evaluability.

- Evaluation networks and organizations outside the UN, including civil society organizations (CSOs) and non-governmental organizations (NGOs) interested in strengthening their evaluation capacities and approaches;

- State institutions and national evaluation bodies;

- Other practitioners, such as HR & GE advocates.

1.4. Scope of the Guidance

16.   As mentioned, all UN interventions have a HR & GE dimension. Nevertheless, there are interventions where HR and/or GE are the primary focus, and others, where they are not. This Guidance covers both types of interventions.

17.   For the UN system, all evaluations in both categories must include an assessment of the HR & GE dimensions, both in terms of processes employed during the intervention and regarding the results achieved (see section 1.2). For interventions in the first category, where HR & GE will be a primary focus of the evaluation, only one of these dimensions may be prominent. Therefore, care should be taken to ensure that the other dimension is also assessed during the evaluation. For interventions falling in the second category, where HR & GE are not the primary focus, evaluations should always assess the extent to which GE or HR were explicit elements of their design (results chain, programme theory of action) and implementation. The Guidance will attempt to shed light on different evaluation approaches and methodologies that can be applied to these different contexts, illustrated by good practice cases.

18.   The Guidance is primarily tailored for use by UN evaluators conducting evaluations of programmes and projects, within the context of RBM, and is primarily focused on development interventions. With some adaptation by users, it can also be used as a tool to support other types of evaluations carried out within and outside the UN system, and other evaluation approaches (such as outcome mapping or values-based evaluations).

19.   Similarly, the present document does not delve deeply into the evaluation of normative, operational and humanitarian work done by the UN. Nonetheless, its approaches, if adapted, can provide good insights on how to address these processes as well. They can also be used for UN Development Assistance Framework (UNDAF) and country-led evaluations.

1.5. Presentation of the Guidance

20.   This Guidance integrates information on the two concepts of HR and GE to take advantage of the synergies and overlap between these mutually reinforcing concepts. By addressing HR & GE together, it does not overlook their different natures, conceptual frameworks, scopes, logics and methods, or the challenges attached to bringing them together. It concentrates on their common and complementary aspects. It includes the understanding that GE is both a human right but also a dimension of development in its own right, and that HR are inclusive of, but not limited to, gender-related human rights. Furthermore, it emphasizes the common interest they represent for development practitioners: the application of both HR & GE principles offers opportunities to influence changes.

21.   Five premises are implicit in each of the aspects examined in the following pages. Most are valid for any evaluation but appear to be particularly relevant for HR & GE responsive evaluations.

- *A HR & GE responsive evaluation is not a value-free assessment.* It has the capacity to generate valid and reliable information "that speaks to the nature and change around the inequity of the programme."[18] Value-free assessment refers as well to the fact that evaluators, wanting or not, incorporate their own views and values in the evaluation process.

- *The final use that will be given to the evaluation should orientate the evaluation process.* The UNEG Norms for Evaluation in the UN System note: "Proper application of the evaluation function implies that there is a clear intent to use evaluation findings."[19] A HR & GE responsive evaluation cannot be separated from its use and needs to be moved beyond data-gathering and interpretations exercises. The way the evaluation will or could be used to transform an intervention should guide the evaluation process from its outset.

- *Methodological credibility is crucial to back up the findings.* In some contexts, HR and GE issues are socially, economically and politically sensitive. They can generate highly politicized debates and dismissive reactions, which might include questioning of the evaluation's methodology. The evaluators and the evaluation managers should put particular attention to use defendable methods to be able to adequately riposte to these negative positions.

- *Evaluations should be inclusive and educative processes.* It is incumbent on the evaluators to educate intervention managers and implementation teams. The best way to do it is to engage in truly participatory evaluations, where the main stakeholders are brought into the process.

- *Evaluations should be embedded in the country and intervention context.* The diversity of local situations entails the recognition that no evaluation framework is immutable and that changes will often have to be implemented in reaction to changed contexts.

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18   Katherine Hay, 'Strengthening Equity-Focused Evaluations Through Insights From Feminist Theory and Approaches', in Marco Segone (ed.), Evaluation For Equitable Development Results, UNICEF Evaluation Office, 2012, p. 47, <www.mymande.org/content/evaluation-equitable-development-results>.

19   <www.uneval.org/document/detail/21>.

22.   The Guidance is divided into eight chapters.

Chapter 1. Introduction

Chapter 2. Human Rights and Gender Equality: Presents the core concepts related to HR & GE approaches: definitions, normative frameworks, standards and key principles.

Chapter 3. UN Framework for HR & GE Responsive Evaluation: Outlines the United Nations, and in particular the UNEG, norms, standards, ethical guidelines and guidance to HR & GE responsive evaluations.

Chapter 4. Institutional Framework and Planning for HR & GE Responsive Evaluation: Examines issues pertaining to the institutional framework and planning of HR & GE responsive evaluations and the implications of integrating HRBA & gender equality mainstreaming in the programming cycle, in particular in its evaluative process.

Chapter 5. Integrating HR & GE in Evaluation: Overview, Design and Scope: Identifies recommended evaluation approaches for and defines the scope of human rights and gender equality analysis of HR & GE responsive evaluations.

Chapter 6. Planning and Preparing an HR & GE Responsive Evaluation: Contains basic principles and practical guidance on how to integrate HR & GE approaches during the evaluation preparation. It presents the HR & GE implications of using the Organisation for Economic Co-operation and Development-Development Assistance Committee evaluation criteria; it sets out steps for evaluating capacity development; it outlines the key components of solid terms of reference; and it reviews the elements of a high-quality evaluation team.

Chapter 7. Conduct/Implementation of an HR & GE Responsive Evaluation: Deals with conducting HR & GE responsive evaluations, from the refinement of the methodology through data collection and analysis. It highlights the importance of a participatory approach. It finally includes guidance on writing the report.

Chapter 8. Applying HR & GE Principles to Evaluation Use and Dissemination: Deals with dissemination and use of evaluation findings and recommendations, including stakeholder consultation in completing the evaluation report, the drafting of usable recommendations, dissemination strategies, and the management response.

23.   The Guidance is complemented by a glossary of technical terms for HR & GE responsive evaluations and annexes providing further useful information. The Guidance refers throughout to "women and individuals/groups who are marginalized and/or discriminated against". This is most often due to race, gender, class, caste, ethnicity, age, disability, sexual orientation, etc. This list is not exhaustive and is often contextually specific. Individuals/groups also often experience multiple forms of discrimination. While the list of discriminatory factors is not repeated in each instance for ease of reading, it should be understood by the reader.

24.   This Guidance is not a static or complete product. Many challenges regarding the integration of HR & GE into evaluation theory and practice remain unanswered and still generate vibrant discussions between practitioners. The directions, suggestions and advice contained in the present document need to be put to the test of practice and field experience. A larger body of evidence needs to be collected to bolster the identification of adequate tools and methodologies to better capture HR & GE dimensions of an intervention in the evaluation exercise. This Guidance will be continually updated in light of new evidence, practical experiences and continued testing of the methods herein.

Chapter 2. Human Rights and Gender Equality

2.1. Concepts and principles

25.   The promotion and protection of HR & GE are central principles to the mandate of the UN. All UN agencies must work to fundamentally enhance and contribute to their realization, address the underlying causes of human rights violations, including discrimination against women and girls, and utilize processes that are in line with and support these principles. UN interventions that do not consider these principles risk reinforcing patterns of discrimination and exclusion or leaving them unchanged.

> "The promotion and protection of human rights is a bedrock requirement for the realization of the Charter's vision of a just and peaceful world."
>
> *UN Secretary General, 'Strengthening of the United Nations: an agenda for further change', Report to the GA, A/57/387, 9 September 2002.*

26.   Human rights are the civil, cultural, economic, political and social rights inherent to all human beings, regardless of one's nationality, place of residence, sex, sexual orientation, national or ethnic origin, colour, disability, religion, language, etc. All human beings are entitled to these rights without discrimination. They are universal, inalienable, interdependent, indivisible, equal and non-discriminatory. Human rights are expressed in and guaranteed by normative frameworks and laws that lay down the obligations of States to act in order to respect, protect and fulfil the human rights and fundamental freedoms of individuals or groups. ***Gender equality*** refers to the equal rights, responsibilities and opportunities of women and men, and girls and boys. Equality does not mean that women and men will become the same but that their rights, responsibilities and opportunities will not depend on whether they are born male or female.

27.   Many elements need to be in place to ensure the adequate incorporation of HR & GE perspectives into the work of an entity, including its evaluations. An evaluation that is HR & GE responsive addresses the programming principles required by a human rights-based approach (HRBA) and gender equality mainstreaming strategy. HRBA and gender equality mainstreaming constitute a "framework of action as well as a methodological tool"[20] to apply international human rights and gender-equality principles, values, standards and goals in all stages of programming.

2.2. International normative framework for HR and GE

28.   To apply HRBA and GE mainstreaming, it is important to understand the nature and characteristics of the legal obligations that bind duty bearers. International, regional and national human rights instruments constitute a benchmark for evaluation and an essential reference for analysis, programming and evaluation processes.

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20   See UNFPA, 'The Human Rights-Based Approach', <www.unfpa.org/rights/approaches.htm>.

29.   International human rights law is a system of international norms designed to protect and promote the human rights of all persons. It entails both rights and obligations.

30.   The International Bill of Human Rights, constituted by the Universal Declaration of Human Rights (UDHR), the 1966 Covenant on Civil and Political Rights (ICCPR), and the 1966 Covenant on Economic, Social and Cultural Rights (ICESCR), recognize human rights as the foundation of freedom, justice and peace.

2.2.1. The legal obligations concerning HR and GE protection[21]

31.   International human rights law states the obligations of duty bearers (principally States[22]) in terms of respect, protection and fulfilment of the rights of persons under their jurisdiction (rights holders). Duty bearers are obliged:

- *To respect rights and freedoms*. This means that duty bearers must not interfere with the enjoyment of rights. As the Inter-American Court of Human Rights has emphasized: "The exercise of public authority has certain limits which derive from the fact that human rights are inherent attributes of human dignity and are, therefore, superior to the power of the State."[23]

- *To protect human rights and guarantee their fulfilment*. This responsibility commits States to take steps to ensure that third parties do not interfere with the enjoyment of human rights. "This obligation implies the duty of States to organize the governmental apparatus and, in general, all the structures through which public power is exercised, so that they are capable of judiciously ensuring the free and full enjoyment of human rights. As a consequence of this obligation, the States must prevent, investigate and punish any violation of the rights recognized [...] and, moreover, if possible attempt to restore the right violated and provide compensation as warranted for damages resulting from the violation."[24] For example, States must protect the accessibility of education by ensuring that parents and employers do not stop girls from going to school.[25]

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21   This subparagraph contains extracts of and is adapted from OHCHR, 'Frequently Asked Questions on a Human Rights-Based Approach to Development Cooperation', OHCHR New York and Geneva 2006, <www.ohchr.org/Documents/Publications/FAQen.pdf>.

22   Strictly speaking, in international human rights law, duty bearers are States (represented by their different government agencies and institutions at national and local levels). However, references to other duty bearers can be found in literature on HRBA. Mentions are made to 'moral duty bearers' (including parents and family members, hospitals), corporate entities and UN agencies.

23   Inter-American Court of Human Rights, 'Velásquez Rodríguez Case', Judgment of July 29, 1988, paragraph 165, Inter-Am Ct HR (Ser.C) No.4 (1988), <www1.umn.edu/humanrts/iachr/C/4-ing.html>.

24   Ibid.

25   See the case law of the European Court of Human Rights on violence against women, in the document of the same title prepared by Christine Chinkin, for the Ad Hoc Committee on Preventing and Combating Violence Against Women and Domestic Violence, CAHVIO (2009) 10, Strasbourg, 4 May 2009, <www.coe.int/t/dghl/standardsetting/convention-violence/CAHVIO/CAHVIO_2009_10%20Case%20law%20of%20the%20European%20Court%20of%20Human%20Rights.pdf>.

- ***To fulfil human rights***. This obligation requires States to take steps to progressively realize rights, without any discrimination. This obligation is sometimes subdivided into obligations to facilitate and to provide for the realization of rights. The obligation to 'facilitate' refers to the obligation of the State to engage proactively in activities that would strengthen people's ability to meet their own needs, for instance, creating conditions in which the market can supply the health-care services that they demand. The obligation to 'provide' goes one step further, involving direct provision of services if the right(s) concerned cannot otherwise be realized, for example to compensate for market failure or to help groups that are unable to provide for themselves.

<div style="background:#1f6bb0;color:white;padding:8px">Box 2. State Obligations under CEDAW: Extracts from CEDAW Committee General Recommendation No. 25 (2004)</div>

- States' obligation is to ensure that there is no direct or indirect discrimination against women in their laws and that women are protected against discrimination — committed by public authorities, the judiciary, organizations, enterprises or private individuals — in the public as well as the private spheres by competent tribunals as well as sanctions and other remedies.

- States' obligation is to improve the de facto position of women through concrete and effective policies and programmes.

- States' obligation is to address prevailing gender relations and the persistence of gender-based stereotypes that affect women not only through individual acts by individuals but also in law, and legal and societal structures and institutions.

Source: <www.un.org/womenwatch/daw/cedaw/recommendations/General%20recommendation%2025%20(English).pdf>

32.   Box 2 offers an example of how the CEDAW Committee has interpreted States' obligations under its constitutive treaty.

33.   Human rights law recognizes that a lack of resources can impede the realization of human rights. Accordingly, some human rights obligations are progressive in nature, while others are immediate.[26] For economic, social and cultural rights, States have a core obligation to satisfy the minimum essential level of each right. This level cannot be determined in the abstract; it is a national task, to be undertaken in accordance with human rights principles. However, in any situation where a significant number of people are being deprived of their right to health, housing, food and so forth, the State has a duty to show that all its available resources, including requests for international assistance, are being called upon to fulfil these rights. For socio-economic rights, the following obligations are of immediate effect:

- The obligation not to discriminate between different groups of people in the realization of the rights in question;

- The obligation to take steps (including devising specific strategies and programmes) targeted deliberately towards the full realization of the rights in question; and

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26   See general comment No. 3 of the Committee on Economic, Social and Cultural Rights, <tbinternet.ohchr.org/_layouts/treatybodyexternal/Download.aspx?symbolno=CAT%2fC%2fGC%2f3&Lang=en>.

- The obligation to monitor progress in the realization of human rights. Accessible mechanisms of redress should be available where rights are violated.

34.   Human rights treaties also set certain limits on human rights obligations in line with legitimate requirements of national security, public order or public health or in times of public emergencies, such as a security crisis.

35.   Further, the comprehensive normative and legal framework for human rights includes these universal and regional human rights treaties as well as different sources of international law, customary international law,[27] case law and other international consensus documents (such as the Millennium Declaration and the Beijing Platform for Action). Additionally, national legal systems have begun to enrich this normative body. Annex 1 details each of these sources of international human rights law.

36.   The following sources are relevant as references and sources of information that evaluation teams and supervisors should consider while preparing, designing and carrying out evaluations.

2.2.1.1.   International and regional human rights treaties

37.   The Universal Declaration of Human Rights can be understood to be the cornerstone document of international human rights law. Although the UDHR did not begin as a legally binding document, it is now endowed with a high degree of legitimacy and "the growing consensus is that most, if not all, of the rights enumerated in the Universal Declaration of Human Rights have acquired a customary status in international law".[28] Two key international human rights treaties, the ICESCR and the ICCPR (together with their Protocols), further elaborate the content of the rights set forth in the UDHR and contain legally binding obligations for the States that become parties to them. Together with the UDHR, these documents are often called the International Bill of Human Rights.

38.   Under the auspices of the UN, more than 20 general and subject-specific human rights treaties have been formulated since the adoption of the UDHR. These treaties create legally binding obligations on the States that ratify them (or accede to them),[29] thereby giving these treaties the status and power of international law. Nine core international human rights treaties have established committees of experts to monitor the implementation of their provisions by the States and are presented in Box 3.[30]

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27   "Customary international law is one of the main sources of international legal obligations. As indicated in the Statute of the International Court of Justice, international custom is defined as 'evidence of a general practice accepted as law,'" OHCHR, *International Legal Protection of Human Rights in Armed Conflict*, New York and Geneva, 2011, p.7, footnote 4, <www.ohchr.org/Documents/Publications/HR_in_armed_conflict.pdf>.

28   Olivier de Shutter, "International Human Rights Law: Cases, Materials, Commentaries", Cambridge University Press, 2010, p. 50.

29   For the definition of ratification and accession to an international treaty, see the Glossary of Technical Terms.

30   Currently, seven of the human rights treaty bodies (CCPR, CESCR, CERD, CAT, CEDAW, CED and CRPD) may, under certain conditions, receive and consider individual complaints or communications from individuals.

Box 3. The Core International Human Rights Instruments and Their Monitoring Bodies

There are nine core international human rights treaties and ten monitoring bodies – committees of experts established to monitor the implementation of the treaty provisions by its States Parties. Some of the treaties are supplemented by optional protocols dealing with specific concerns.

Core international human rights treaties	Year	Monitoring body
International Convention on the Elimination of All Forms of Racial Discrimination (ICERD)	1965	Committee on the Elimination of Racial Discrimination (CERD)
International Covenant on Civil and Political Rights (ICCPR)	1966	Human Rights Committee (HRC)
International Covenant on Economic, Social and Cultural Rights (ICESCR)	1966	Committee on Economic, Social and Cultural Rights (CESCR)
Convention on the Elimination of All Forms of Discrimination against Women (CEDAW)	1979	Committee on the Elimination of Discrimination against Women (CEDAW)
Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (CAT)	1984	Committee Against Torture (CAT)
Convention on the Rights of the Child (CRC)	1989	Committee on the Rights of the Child (CRC)
International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families (ICRMW)	1990	Committee on Migrant Workers (CMW)
International Convention for the Protection of All Persons from Enforced Disappearance (CPED)	2006	Committee on Enforced Disappearances (CED)
Convention on the Rights of Persons with Disabilities (CRPD)	2006	Committee on the Rights of Persons with Disabilities (CRPD)
Optional Protocol to the Covenant on Economic, Social and Cultural Rights (ICESCR-OP)	2008	CESCR
Optional Protocol to the International Covenant on Civil and Political Rights (ICCPR-OP1)	1966	HRC
Second Optional Protocol to the International Covenant on Civil and Political Rights, aiming at the abolition of the death penalty (ICCPR-OP2)	1989	HRC
Optional Protocol to the Convention on the Elimination of Discrimination against Women (OP-CEDAW)	1999	CEDAW
Optional Protocol to the Convention on the Rights of the Child on the involvement of children in armed conflict (OP-CRC-AC)	2000	CRC

Box 3. The Core International Human Rights Instruments and Their Monitoring Bodies (continued)		
Core international human rights treaties	**Year**	**Monitoring body**
Optional Protocol to the Convention on the Rights of the Child on the sale of children, child prostitution and child pornography (OP-CRC-SC)	2000	CRCCRC
Optional Protocol to the Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (OP-CAT)	2002	Subcommittee on Prevention of Torture (SPT)
Optional Protocol to the Convention on the Rights of Persons with Disabilities (OP-CRPD)	2006	CRPD

Source: <www.ohchr.org/EN/ProfessionalInterest/Pages/InternationalLaw.aspx>

39.   The ***central international legislation promoting gender equality*** is the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW), adopted by the UN General Assembly in 1979. While many international instruments contain a free-standing provision for non-discrimination on the basis of sex, CEDAW established in detail the obligations of States in a variety of issues. Other international and human treaties contribute to protect the rights of women and girls, such as the UN Convention on the Rights of the Child, by considering the rights of specific categories of persons.

40.   In addition to international human rights treaties, there are also regional human rights treaties (including those specific to women's rights), which may concern the same sets of rights, but are only open for signature by States in the relevant region. Regional human rights treaties are important to consider when applying HRBA and gender-equality mainstreaming strategies as they provide an additional set of tools to assist governments in fulfilling their obligations. Regional human rights systems reinforce and complement international standards and machinery by providing the means by which human rights concerns are addressed within the particular social, historical and political context of the region concerned. As a result, regional human rights bodies can be important partners for close collaboration with the UN on activities of mutual concern.[31]

2.2.1.2.   Other sources of international law

41.   International human rights law is not limited to the rights enumerated in treaties. It also comprises rights and freedoms that have become part of customary international law, binding on all States, including those that are not party to a particular treaty. Judicial decisions of the international or regional courts and of international monitoring bodies also have a significant role in international human rights law as they provide further clarifications on the scope of States' obligations and the content of the rights.

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31   UNFPA and Harvard School of Public Health, *A Human Rights-Based Approach to Programming: Practical Implementation Manual and Training Materials*, p. 43, <www.unfpa.org/public/publications/pid/4919>.

42.   There are many other non-binding universal and regional instruments (declarations, principles, guidelines, standards, rules and recommendations) relating to human rights.[32] These instruments have no binding legal effect, but have an undeniable moral force and provide practical guidance to States in their conduct.

43.   For example, the UN Millennium Declaration (2000) is an important document for the realization of social and economic rights. It clearly underscores the necessity of advancing HR in order to achieve the MDGs in the areas of development and poverty eradication, peace and security, protection of the environment, and human rights and democracy. The Millennium Declaration reconfirms the central role of gender equality from the perspective of the Fourth World Conference on Women in Beijing (1995) and other major global conferences held in the 1990s.[33] Furthermore, the MDG 3 focuses on promotion of gender equality and gender is considered a cross-cutting goal in the other seven agreed goals.

44.   In the context of the implementation of human rights obligations, human rights mechanisms[34] – including treaty bodies and special procedures – regularly provide general comments, which interpret and clarify the content and extent of particular norms, principles and obligations contained in the relevant human rights conventions[35]. They also issue country-specific recommendations that provide detailed guidance on human rights standards applied in a given context.

2.3.   The UN normative framework regarding HRBA and gender equality mainstreaming

45.   Based on the international human rights framework, the UN has established a clear normative framework to promote the integration of a HRBA and gender equality mainstreaming in all UN entities actions.

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32   A non-exhaustive selection is listed on the OHCHR web page: <www.ohchr.org/EN/ProfessionalInterest/Pages/InternationalLaw.aspx>.

33   For example, the 1992 Rio Conference on Environment and Development (<www.un.org/geninfo/bp/enviro.html>), the 1993 Vienna Conference on Human Rights (<www.ohchr.org/en/professionalinterest/pages/vienna.aspx>), or the 1994 Cairo Conference on Population and Development (<www.un.org/popin/icpd2>). In particular, MDG 3 is aimed at promoting gender equality and empowering women. It is considered as a cross-cutting goal.

34   International human rights mechanisms include treaty bodies (established to monitor the implementation of core human rights treaties, such as the Human Rights Committee, the Committee on Economic, Social and Cultural Rights or the Committee on the Elimination of Discrimination against Women (CEDAW Committee)); and mechanisms under the Human Rights Council (including special procedures established by the Human Rights Council to focus on certain countries or thematic issues and the Universal Periodic Review). For further information, see <www.ohchr.org/EN/HRBodies/Pages/HumanRightsBodies.aspx>.

35   OHCHR, *International Legal Protection of Human Rights in Armed Conflict*, New York and Geneva, 2011, p. 7, footnote 4, <www.ohchr.org/Documents/Publications/HR_in_armed_conflict.pdf>.

2.3.1. UN mandate regarding HRBA

46.   Mainstreaming human rights[36] has been translated into (but not limited to) the adoption of HRBA across the UN system. Within the UN, significant progress has been made in the inclusion of HRBA over the last fifteen years, boosted by UN Global Conferences held in the 1990s, the adoption of the Millennium Development Goals in 2000, intergovernmental mandates, and UN reform initiatives. The 1986 UN Declaration on the Right to Development clearly represents a milestone in this evolution by declaring in Article 1, "the right to development is an inalienable human right"[37]. The UN World Conference on Human Rights (Vienna, 1993) quickly and emphatically reasserted this principle.

The 1993 Vienna Declaration and Programme of Action

10. The World Conference on Human Rights *reaffirms the right to development*, as established in the Declaration on the Right to Development, *as a universal and inalienable right and an integral part of fundamental human rights.*

As stated in the Declaration on the Right to Development, the human person is the central subject of development.

While development facilitates the enjoyment of all human rights, the lack of development may not be invoked to justify the abridgment of internationally recognized human rights. (emphasis is ours).[38]

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47.   In 1997, in the framework of UN organizational reforms, the UN Secretary-General designated human rights as a cross-cutting issue across each of the four substantive fields of the UN system's work (peace and security; economic and social affairs; development cooperation; and humanitarian affairs).

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36   Mainstreaming was first developed with regard to gender equality. The UN Third and Fourth World Conferences on Women, which took place respectively in Nairobi (1985) and Beijing (1995), instituted the use of gender mainstreaming as the "global strategy for promoting gender equality" (<www.un.org/womenwatch/osagi/gendermainstreaming.htm>) in response to the low impact policies, programmes and actions had in terms of equality between men and women. UNDP Chile, *Guía para la transversalización de género en el PNUD Chile,* UNDP Chile, 2006, p. 17, <www.cl.undp.org/content/chile/es/home/library/womens_empowerment/guia-para-la-transversalizacion-de-genero.html>. Since then, a number of UN entities, international cooperation agencies, and governments have adopted gender-mainstreaming strategies. Mainstreaming was then applied to other policy issues that are deemed fundamental to achieve sustainable development such as HR, environment or HIV/AIDS. Within the UN, gender equality mainstreaming efforts have been parallel to the systematic incorporation of HR. At present, they are progressively and more clearly interlaced.

37   Article 1, paragraph 1 of the UN Declaration on the Right to Development states: "The right to development is an inalienable human right by virtue of which every human person and all peoples are entitled to participate in, contribute to, and enjoy economic, social, cultural and political development, in which all human rights and fundamental freedoms can be fully realized," General Assembly resolution 41/128 of 4 December 1986, <www.un.org/en/events/righttodevelopment/declaration.shtml>.

38   Vienna Declaration and Programme of Action adopted by the World Conference on Human Rights in Vienna on 25 June 1993, <www.ohchr.org/en/professionalinterest/pages/vienna.aspx>.

> **Renewing the United Nations: A Programme for Reform, A/51/950, 14 July 1997**
>
> 78. Human Rights are integral to the promotion of peace and security, economic prosperity and social equity. [...] [T]he issue of human rights has been designated as cutting across each of the four substantive field of the Secretariat's work programme [...].
>
> 79. A major task for the United Nations, therefore, is to enhance its human rights programme and ***fully integrate it into the broad range of the Organization's activities*** (emphasis is ours).[39]

48.   Following on the 1997 reform agenda, the Secretary-General's Report of 2002, 'Strengthening of the United Nations: an Agenda for Further Change',[40] underlined the achievements obtained through integrating HR throughout the UN system and identified the building of strong human rights institutions at the country level as a principal objective of the UN. He launched the "Action 2 Initiative",[41] which was then replaced by the UN Development Group Human Rights Mainstreaming Mechanism (UNDG-HRM) in December 2009. The UNDG-HRM is aimed at strengthening policy coherence and operational support to UN country teams and at addressing the challenges HRBA mainstreaming presents across the UN system.[42]

49.   Additional momentum was provided by the 2005 World Summit Outcome and the 2008 General Assembly resolution on Triennial Comprehensive Policy Review,[43] in which Heads of State recognized that "development, peace and security and human rights are interlinked and mutually reinforcing," resolved to integrate the promotion and protection of human rights into national policies, and supported the mainstreaming of human rights throughout the UN system. The MDG Review Summit in 2010 further acknowledged that human rights are an integral part of the effective work towards achieving the Millennium Development Goals.[44]

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39 Report of the Secretary General to the General Assembly, 'Renewing the United Nations: A programme for reform', A/51/950, 14 July 1997, paragraphs 78 and 79, <www.un.org/en/ga/search/view_doc. asp?symbol=A/51/950>.

40 Report of the Secretary General to the General Assembly, 'Strengthening of the United Nations: an agenda for further change', A/57/387, 9 September 2002, <www.un.org/events/action2/A.57.0387.pdf>.

41 "Action 2" was a global programme coordinated by the UN High Commissioner for Human Rights, to "strengthen human rights-related UN actions at country level." Report of the Secretary General to the General Assembly, 'Strengthening of the United Nations: an agenda for further change', A/57/387, 9 September 2002, paragraph 51. The objective of "Action 2" was to reinforce the capacity of UN country teams to support the efforts of Member States, at their request, in strengthening their national human rights promotion and protection systems." For further information on Action 2 Initiative (2004-2009), see <www.un.org/events/action2/>.

42 See HRBA portal, <hrbaportal.org/human-rights-mainstreaming-mechanism>.

43 Resolution 60/1 adopted by the General Assembly, '2005 World Summit Outcome', 24 October 2005, A/ RES/60/1, paragraph 9, <www.un.org/womenwatch/ods/A-RES-60-1-E.pdf> and Resolution 62/208 adopted by the General Assembly, 'Triennial comprehensive policy review of operational activities for development of the United Nations system', 14 March 2008, A/RES/62/208, <www.undg.org/docs/10444/A-RES-62-208.pdf>.

44 UNDG Human Rights Mainstreaming Mechanism, Operational Plan 2011-2013, November 2011, p. 3, <undg.org/docs/12173/UNDG-HRM%20OperationalPlan%20Nov%202011.pdf>.

50.		"The progress of UN reforms in the areas of human rights and development have opened new windows of opportunity to engage and support Member States in fulfilling their human rights commitments and national development goals. The establishment of the Human Rights Council and the Universal Periodic Review process has led to a rise in demand for more technical assistance and support from the UN in this regard. This requires more coordinated and coherent efforts among UN agencies, further building on the achievements and lessons from Action 2 and 'Delivering as One' system-wide coherence efforts."[45]

51.		In 1993, the UN General Assembly established the Office of the High Commissioner for Human Rights (OHCHR) with the mandate to prevent human rights violations, secure respect for all human rights, promote international cooperation to protect human rights, coordinate related activities throughout the United Nations, and strengthen and streamline the United Nations system in the field of human rights. In addition to its mandated responsibilities, the Office leads efforts to integrate a human rights approach within all work carried out by United Nations agencies.

52.		Since 1997, a number of UN entities have integrated the human rights mandate into agency-specific policies, but each agency tended to have its own interpretation of approach and how it should be operationalized.[46] In 2002 and 2003, UN agencies gathered to exchange experiences on HRBA. They adopted the Common Understanding, which was endorsed at the highest level by UNDG and included in the CCA/UNDAF guidelines.[47] The document is intended to present a common perspective on HRBA and its implications for development programming.

2.3.2. UN mandate on gender mainstreaming

53.		***Promoting gender equality and reducing gender-based discrimination are at the heart of HRBA***[48] and are both central to sustainable economic and human development and to supporting women's rights. Just as for HRBA, the UN system-wide commitment to systematically include a gender perspective in all their activities is clear and reinforced by numerous international documents. The pursuit of gender equality is integral with, but not subsidiary to, the UDHR and the covenants, which enshrine equality of rights between men and women. The 1979 CEDAW led the UN and its members to stress the importance of promoting gender equality. The Beijing Platform of Action and the Millennium Declaration also commit the UN to promoting gender equality in its development efforts, including through the gender mainstreaming approach.

54.		The adoption of CEDAW marked a turning point in international human rights law with the explicit legal consideration of the special condition of women and its interdependent and inter-

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45	Ibid.

46	The Common Understanding.

47	There is a UNEG Task Force working specifically on developing guidance for UNDAF evaluation working closely with UNDG. It aims to also address integration of HR and GE in UNDAF evaluations – which can provide such an assessment.

48	SIDA, WHO and OHCHR, 'Human Rights and Gender Equality in Health Sector Strategies: How to Assess Policy Coherence', WHO 2011, p. 15, <whqlibdoc.who.int/publications/2011/9789241564083_eng.pdf>.

related impact on the fulfilment of all human rights. The preamble to CEDAW explains that, despite the existence of other instruments in which principles of equality and non-discrimination are established, women still do not have equal rights with men. It further states: "Discrimination against women violates the principles of equality of rights and respect for human dignity, is an obstacle to the participation of women, on equal terms with men, in the political, social, economic and cultural life of their countries, hampers the growth of the prosperity of society and the family and makes more difficult the full development of the potentialities of women in the service of their countries and of humanity."[49]

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1985 Implementation of the Nairobi Forward-looking Strategies for the Advancement of Women

"Urges all organizations of the United Nations system, including the regional commissions and all specialized agencies, to take the necessary measures to ensure a concerted and sustained effort for the implementation of the provisions of the Forward-looking Strategies with a view to achieving a substantial improvement in the status of women by the year 2000 and to ensure that all projects and programmes take into account the need for the complete integration of women and women's concerns"

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55.   The 1993 Vienna Declaration went beyond the discrimination paradigm to specifically recognize women's rights as human rights.

56.   The initial efforts to guarantee gender equality were focusing on separate targeted activities for women (i.e. 'Women in Development'). In the 1970s, given the failure of this approach to effectively address gender equality structural gaps, initiatives were shifted "to integrating attention to women into all activities rather than keeping women on the sidelines of development"[50] (i.e. 'Women and Development'). After the Nairobi and Vienna Conferences, the 1995 UN Fourth World Conference on Women in Beijing clearly established *gender mainstreaming as the major global strategy for ensuring the incorporation of gender perspectives in all areas of societal development and the promotion of gender equality*[51] (i.e. 'Gender and Development').

57.   Gender mainstreaming is the strategy adopted by the UN for integrating gender equality in programming. In 1996, the UN General Assembly stressed the importance of gender mainstreaming calling upon the United Nations to promote an "active and visible policy" of mainstreaming gender perspectives.[52] In the 1997 UN Economic and Social Council (ECOSOC) report, gender mainstreaming is defined as "the process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in all areas and at all levels. It is a strategy for making

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49   CEDAW

50   Human Rights Council Advisory Committee, 'Integrating the human rights of women throughout the United Nations system: Draft Guidelines on methods to operationalize gender mainstreaming, including action-oriented mechanisms', A/HRC/AC/2/CRP.4, 22 January 2009, <www.ohchr.org/Documents/HRBodies/HRCouncil/AdvisoryCom/Session2/A.HRC.AC.2.CRP.4.doc>.

51   Supporting gender mainstreaming: The work of the Office of the Special Adviser of Gender Issues and Advancement of Women, <www.un.org/womenwatch/osagi/pdf/report.pdf>.

52   General Assembly Resolution 50/203, 'Follow-up to the Fourth World Conference on Women and full implementation of the Beijing Declaration and the Platform for Action', A/RES/50/203, 23 February 1996, paragraph 3, <www.un.org/documents/ga/res/50/a50r203.htm>.

women's as well as men's concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres, so that women and men benefit equally and inequality is not perpetuated. The ultimate goal is gender equality".[53]

58.   Subsequent resolutions of the General Assembly recalled the same principle and other UN bodies have provided explicit mandates for gender mainstreaming in specific areas of work of the UN.[54] For example, UN Security Council Resolution 1325 (2000) distinctly outlined the "urgent need to mainstream a gender perspective into peacekeeping operations."[55] Specific mandates are also available on bringing gender perspectives to the centre of attention in national budget processes as well as in poverty eradication, good governance, human rights, environmentally sustainable development and security.

59.   In response, in 2006, a UN system-wide policy on gender equality and the empowerment of women and a strategy on gender mainstreaming were developed. It called for a system-wide action plan comprising indicators and timetables, allocation of responsibilities and accountability mechanisms and resources in order to effectively make the strategy operational.[56] The main elements of the strategy

> **1995 Beijing Declaration and Platform for Action**
>
> "In addressing the inequality between men and women in the sharing of power and decision making at all levels, Governments and other actors should promote an active and visible policy of mainstreaming a gender perspective in all policies and programmes so that before decisions are taken, an analysis is made of the effects on women and men respectively."

include: a) accountability; b) results-based management for GE; c) oversight through monitoring, evaluation, audit and reporting; d) human and financial resources; e) capacity development; and f) coherence, coordination and knowledge and information management.

60.   In 2010, the UN General Assembly established the UN Entity for Gender Equality and the Empowerment of Women (UN Women) with the mandate to assist countries and the United Nations system itself to progress more effectively and efficiently towards the goal of achieving GE, women's empowerment and upholding women's rights. One key aspect of UN Women's mandate is to guide the system's coordination on gender.

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53   UN, Report of the UN Economic and Social Council: 'Mainstreaming the gender perspective into all policies and programmes in the UN system', 1997.

54   Carolyn Hannan, 'Introductory remarks presented at the NGO Consultation in preparation for the 45th Session of the Commission on the Status of Women', New York, 5 March 2001, <www.un.org/womenwatch/osagi/pdf/gmstrategyhivaids.PDF>.

55   UN Security Council Resolution 1325 (2000), S/RES/1325(2000), 31 October 2000, Preamble, <www.un.org/womenwatch/osagi/wps/>.

56   Executive Board of UN Women, UN Women Strategic Plan, 2011-2013, UNW/2011/9, paragraph 15, <rconline.undg.org/wp-content/uploads/2011/11/UN-Women-Strategic-Plan-2011-2013.pdf>.

61.   As with human rights, a number of individual UN agencies have developed gender equal-ity or gender equality mainstreaming policies to systematically include a gender perspective in all their activities. In 2012, the United Nations Chief Executives Board for Coordination adopted the System-wide Action Plan (UN SWAP) on gender equality and women's empowerment, to be applied throughout the UN system. For the first time, the UN has a set of common measures with which to measure progress in its gender-related work, including the mainstreaming of the gender perspective across all its operations including in evaluation.

2.4.   The human rights-based approach

62.   The strategy for implementing human rights in UN programming is called the human rights-based approach to programming. HRBA is "a conceptual framework for the process of human development that is normatively based on international human rights standards and operationally directed to promoting and protecting human rights."[57] Respect for human rights is a cornerstone principle of the UN Charter and guides the actions of all UN entities.

63.   Human rights are expressed in and guaranteed by normative frameworks and laws that lay down the obligations of States to act in order to respect, protect and fulfil the human rights and fun-damental freedoms of individuals and groups. These frameworks use 'duty bearers' to reflect obli-gations of States towards rights holders, which represent all individuals in the concerned State.[58] HRBA explicitly focuses on discrimination and marginalization in the development process, and uncovers the underlying and root causes of major development challenges and unfulfilled rights. It develops the capacities of rights holders to claim their rights, and duty bearers to fulfil their obliga-tions. It moves development from isolated benevolent initiatives to a system of rights and obliga-tions established by international law.[59]

64.   HRBA must inform the way that programmes are designed, implemented, monitored and evaluated, using human rights standards and principles to increase the enjoyment of rights. This includes confronting patterns of inequality and discrimination, and formulating responses that address the structural causes of exclusion, marginalization and the denial of human rights.

65.   The HRBA development model is different from a needs-based model, previously used by most UN development agencies. The needs-based model focuses on meeting key needs but not necessarily on changing the conditions behind unfulfilled needs, such as inequality, inability to

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57   OHCHR, 'Frequently Asked Questions on a Human Rights-Based Approach to Development Cooperation', 2006, p. 7, <www.ohchr.org/Documents/Publications/FAQen.pdf>.

58   The expression 'duty bearer' is defined differently in development programming and in human rights international law. Within this publication, the programming definition is adopted, which includes under the expression 'duty bearer' both state and non-state actors.

59   OHCHR, 'Frequently Asked Questions on a Human Rights-Based Approach to Development Cooperation', 2006, p. 7, <www.ohchr.org/Documents/Publications/FAQen.pdf>.

claim and enjoy rights, and imbalances in power relations. The main differences between the two approaches are summarized in Table 1.[60]

Table 1. Key Differences Between Needs-Based Approach and HRBA	
Needs-based approach	**HRBA**
Focuses on input and outcome	Focuses on process and outcome
Emphasizes meeting needs	Emphasizes realizing rights
Recognizes needs as valid claims	Recognizes individual and collective rights as claims towards legal and moral duty bearers[61]
Individuals are objects of development interventions	Individual are subjects of rights and therefore entitled to assistance
Focuses on immediate causes of problems	Focuses on structural causes and their manifestations

66.   There are three main rationales for adopting HRBA:

- The ***intrinsic rationale*** acknowledges that HRBA is the 'right' thing to do, morally and/or legally. It moves development actions from benevolence into the application of law. It also underscores the importance of creating accountability mechanisms for duty bearers to meet their national and international obligations. Finally, it ensures that people are not passive beneficiaries but recognized as rights holders and active participants in their own development.

- The ***instrumental rationale*** recognizes that HRBA leads to greater impact and more sustainable human development outcomes. HRBA focuses on analysing the inequalities, discriminatory practices and unjust power relations that exist in a society and affect the enjoyment of HR and the development processes, with the aim of contributing to changing them. It also emphasizes the participation of the persons targeted in a development programme.

- The ***institutional rationale*** implies examining situations and challenges through a holistic lens/in a holistic way, guided by international human rights principles and standards. This new approach can lead to the adoption of integrated responses to problems, including addressing the social, political, legal and policy frameworks that determine the relationships between rights holders and duty bearers. Finally, it can also shape the relations with partners since partnerships should be participatory, inclusive and based on mutual respect.[62]

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60   Jakob Kirkemann Boesen and Tomas Martin, *Applying a Rights-Based Approach: An Inspirational Guide for Civil Society,* The Danish Institute for Human Rights, 2007, p. 10.

61   See definitions in the Glossary of Technical Terms.

62   OHCHR, 'Frequently Asked Questions on a Human Rights-Based Approach to Development Cooperation', 2006, p. 16, <www.ohchr.org/Documents/Publications/FAQen.pdf> and UNFPA and Harvard School of Public Health, *A Human Rights-Based Approach to Programming: Practical Implementation Manual and Training Materials*, pp. 15-16, <www.unfpa.org/public/publications/pid/4919>.

67.   A number of key benefits to implementing HRBA are highlighted in Box 4. Box 5 provides a practical example of how applying HRBA can efficiently address a recognized need (maternal mortality).

Box 4. Key Benefits to Implementing HRBA

- Promotes realization of human rights and helps government partners achieve their human rights commitments;
- Increases and strengthens the participation of the local community;
- Improves transparency;
- Promotes results (and aligns with results-based management);
- Increases accountability;
- Reduces vulnerabilities by focusing on women and individuals/groups who are marginalized and/or discriminated against in society;
- More likely to lead to sustained change as human rights-based programmes have greater impact on norms and values, structures, policy and practice.

Source: UNFPA and Harvard School of Public Health, *A Human Rights-Based Approach to Programming: Practical Implementation Manual and Training Materials,* pp. 15-16, <www.unfpa.org/public/publications/pid/4919>.

Box 5. An Example of HRBA Application: Addressing Maternal Mortality Through HRBA

Unacceptably high maternal mortality rates prevail, despite 15 years of the global Safe Motherhood Initiative. There are very few signs of progress. This lack of progress can be attributed to the status of women, the systematic violation of their basic human rights, and also to failing health systems that deny many women access to emergency obstetric care (EmOC). These dynamics are inextricably linked. Unless the underlying factors relating to women's human rights are addressed, the necessary conditions for ensuring significant investment in maternal care is never assured.

A fundamental shift in thinking and action is required if progress towards reducing maternal mortality is to be achieved. This shift requires a broadening of approaches to the problem of maternal mortality. The injustice inherent in the shockingly low percentage of women who have access to EmOC needs to be directly addressed through the systematic use of human rights values and principles to focus attention on underlying power dynamics that deny access to services that could save the lives of women experiencing obstetric complications.

Improving accessibility to both routine reproductive health services and EmOC requires serious attention to the systemic, institutional and political factors determining inequalities in access to these services. Rights-based approaches help to uncover the power dynamics that perpetuate these inequities, and suggest strategic interventions such as the reallocation of resources, changing accountability mechanisms within health systems and communities, and challenging existing hierarchies in health facilities.

Source: K. Hawkins, K. Newman, D. Thomas and C. Carlson, *Developing a Human Rights-Based Approach to Addressing Maternal Mortality*, DFID Health Resource Centre, January 2005, <hurilink.org/tools/Developing_aHRBA_to_Maternal_Mortality--DFID.pdf>.

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68.   In 2003, the Stamford Interagency Workshop on a Human Rights-Based Approach in the Context of UN Reform reached a common understanding and consensus on the definition of HRBA. The workshop also considered how the UN system could mainstream HRBA in its policies and practices on development cooperation. The resulting UN Statement of Common Understanding on Human Rights-Based Approaches to Development Cooperation and Programming (referred to as the "Common Understanding") states that:

a) All programmes of development cooperation, policies and technical assistance should further the realization of human rights as laid down in the Universal Declaration of Human Rights and other international human rights instruments.

b) Human rights standards contained in, and principles derived from, the Universal Declaration of Human Rights and other international human rights instruments guide all development cooperation and programming in all sectors and in all phases of the programming process.

c) Development cooperation contributes to the development of the capacities of 'duty bearers' to meet their obligations and/or of rights holders to claim their rights.

HRBA is therefore simultaneously (a) a goal, (b) a process, and (c) an outcome.[63] Box 6 presents an example of the use of a treaty body recommendation in a Common Country Assessment (CCA).

Box 6. Using Treaty Body Recommendations to Strengthen Human Rights Accountability – Philippines CCA

The Philippines CCA (2003) highlighted a key comment made by the Committee on the Rights of the Child on the country's report on the Government's failure to comply with international standards concerning juvenile justice, especially the use of incarceration to punish rather than rehabilitate. The Philippines CCA also identifies certain traditional beliefs and practices that tolerate the abuse and exploitation of children, and cites the ILO Convention concerning the Prohibition and Immediate Action for the Elimination of the Worst Forms of Child Labour (No. 182) as an important tool for Government and private sector actors to end this scourge. The use of ILO conventions in the analysis led to the identification of a variety of duty bearers.

Source: OHCHR, *Human rights-based approach to development: good practices and lessons learned from the 2003 CCAs and UNDAFs*, December 2004, p. 6, <www.undg.org/archive_docs/8601-HRBA_to_Development_-_Good_practices_and_lessons_learned_from_the_2003_CCA_and_UNDAFs.doc>.

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69.   The Common Understanding also defines ***six key principles of HRBA*** to guide programming: (i) universality and inalienability; (ii) indivisibility; (iii) interdependence and interrelatedness; (iv) non-discrimination and equality; (v) participation and inclusion; and (vi) accountability and the rule of law. Three of these principles are particularly relevant to evaluations and discussed throughout this Guidance:[64]

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63   WHO, 'A Human Rights-Based Approach to Health'*, *<www.who.int/hhr/news/hrba_info_sheet.pdf?ua=1>.

64   See the Second Interagency Workshop on Implementing a Human Rights-based Approach in the Context of UN Reform, <www.undg.org/docs/12063/4%20HO%20Common%20Understanding.doc>.

- *Non-discrimination and equality:* All individuals are equal as human beings, by virtue of the inherent dignity of each person. All human beings are entitled to their human rights without discrimination of any kind, such as sex, ethnicity, age, language, religion, political or other opinion, national or social origin, disability, property, birth or other status as explained by the human rights treaty bodies.

- *Participation and inclusion:* Every person and all peoples are entitled to active, free and meaningful participation in, contribution to, and enjoyment of civil, economic, social, cultural and political development in which human rights and fundamental freedoms can be realized.

- *Accountability and the rule of law:* States and other duty bearers are answerable for the observance of human rights. In this regard, they have to comply with the legal norms and standards enshrined in human rights instruments. Where they fail to do so, aggrieved rights holders are entitled to institute proceedings for appropriate redress before a competent court or other adjudicator in accordance with the rules and procedures provided by law.

Box 7. Overview of the UN Common Understanding on HRBA

Goal: All programmes of development cooperation, policies and technical assistance should further ***the realization of human rights*** as laid down in the Universal Declaration of Human Rights and other international human rights instruments.

Process: Human rights standards contained in, and principles derived from, the Universal Declaration of Human Rights and other international human rights instruments ***guide all development cooperation*** and programming in all sectors and in all phases of the programming process.

Outcome: Development cooperation ***contributes to the development of the capacities of 'duty bearers'*** to meet their obligations and/or of ***'rights holders' to claim their rights.***

2.5. The concept of gender, the goal of gender equality and the gender mainstreaming strategy

70.   The concept of 'gender' is a socio-cultural analytical tool. It distinguishes itself from the term 'sex', which refers to biological aspects of a person. Gender is a social construction; it is used to understand and explain how a society establishes differences between men and women. Gender "refers to the social attributes and opportunities associated with being male and female and the relationships between women and men and girls and boys, as well as the relations between women and those between men. These attributes, opportunities and relationships are socially constructed and are learned through socialization processes. They are context/time-specific and changeable. Gender determines what is expected, allowed and valued in a woman or a man in a given context.

In most societies, there are differences and inequalities between women and men in responsibilities assigned, activities undertaken, access to and control over resources, as well as decision-making opportunities. Gender is part of the broader socio-cultural context. Other important criteria for socio-cultural analysis include class, race, poverty level, ethnic group and age."[65]

71.   The concept of gender has descriptive, analytical and political dimensions:[66]

- The *descriptive dimension* makes visible existing inequalities between men and women, the specific human rights violations women and men are victims of, and their respective needs.

- The *analytical dimension* is directed at analysing and understanding the realities within which a project/programme is attempting to intervene and anticipate its consequences.

- The *political dimension* implies putting in place actions to transform a situation marked by gender inequality.

72.   *Gender equality* "refers to the equal rights, responsibilities and opportunities of women and men, and girls and boys. Equality does not mean that women and men will become the same but that their rights, responsibilities and opportunities will not depend on whether they are born male or female. Gender equality implies that the interests, needs and priorities of both women and men are taken into consideration, recognizing the diversity of different groups of women and men. Gender equality is not a women's issue but should concern and fully engage both men and women. Equality between women and men is seen both as a human rights issue and as a precondition for, and indicator of, sustainable people-centred development."[67]

> "Gender is not simply a system of classification, by which biological males and biological females are sorted, separated and socialized into equivalent sex roles. Gender also expresses the universal inequality between women and men. When we speak about gender we also speak about hierarchy, power and inequality, not simply difference."
>
> *Michael S. Kimmel, The Gendered Society, Oxford University Press, 3rd edition, 2008, p. 1*

73.   Gender equality also refers to gender identities and sexual orientations. Gender identity is the way persons are perceived and perceive themselves, as masculine or feminine. The construction of gender identity is complex and involves a series of individual and social factors. Sexual orientation refers to "deep-seated direction of one's sexual (erotic) attraction."[68] In many societies, people with gender identities and sexual orientations that do not conform to gender expectations are discriminated against, punished or socially excluded.

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65   Ibid.

66   UNDP Chile, *Guía para la transversalización de género en el PNUD Chile*, 2006, p. 71, *disponible en línea* <www.cl.undp.org/content/chile/es/home/library/womens_empowerment/guia-para-la-transversalizacion-de-genero.html>.

67   <www.un.org/womenwatch/osagi/conceptsandefinitions.htm>.

68   University of California Berkeley, Gender Equity Resource Center, 'LGBT Resources – Definition of Terms', <geneq.berkeley.edu/lgbt_resources_definiton_of_terms#sexual_orientation>.

While the UDHR and UN human rights treaties do not explicitly mention 'sexual orientation' or 'gender identity,' they do establish an obligation on the part of States to protect people from discrimination, including on the basis of "sex … or other status".[69]

74.   ***Gender mainstreaming*** is "a globally accepted strategy for promoting gender equality. Mainstreaming is not an end in itself but a strategy, an approach, a means to achieve the goal of gender equality. Mainstreaming involves ensuring that gender perspectives and attention to the goal of gender equality are central to all activities – policy development, research, advocacy/ dialogue, legislation, resource allocation, and planning, implementation and monitoring of programmes and projects."[70]

75.   The standard definition of gender mainstreaming can be found in ECOSOC resolution 1997/2:

> "**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 women's as well as men's concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres, so that women and men benefit equally and inequality is not perpetuated. The ultimate goal is to achieve gender equality."[71]*

76.   Although ***adopting a gender equality perspective*** "results in a stronger focus on the human rights of women and girls […], it integrates a reflection on how men and boys can also suffer distinct and disproportionately human rights violations."[72]However, the level of existing discriminations and inequalities faced by women often lead to programmes concentrating interventions on the fulfilment of women's rights.

77.   Gender equality mainstreaming implies the application of the following ***principles***:[73]

- ***Gender equality*** should be considered ***as an integral part of interventions***, i.e. "women's views, interests and needs shape the development agenda as much as men's."[74] Its objectives should aim at supporting equal relations between men and women.

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69   <www.ohchr.org/EN/Issues/Discrimination/Pages/LGBT.aspx>; see also <www.ohchr.org/Documents/ Issues/Discrimination/LGBT_discrimination.pdf>.

70   <www.un.org/womenwatch/osagi/gendermainstreaming.htm>.

71   <www.unhcr.org/refworld/docid/4652c9fc2.html>.

72   Statement made by Miloon Kothari at the Human Rights Council, 'Discussion on the integration of a gender perspective in the work of the HRC', September 20, 2007, <www.wunrn.com/news/2007/09_07/09 _17_07/092307_miloon.htm>.

73   See CIDA, 'CIDA Policy on Gender Equality', 2010, pp. 4-5, <www.acdi-cida.gc.ca/acdi-cida/acdi-cida.nsf/ eng/EMA-218123616-NN9>.

74   Ibid.

- It should be explicitly recognized that ***an intervention affects men and women differently*** and should address these differences. "Women and men have different perspectives, needs, interests, roles and resources – and those differences may also be reinforced by class, race, caste, ethnicity, or age."[75]

- ***Gender equality does not require that women become the same as men.*** Equality means that one's rights or opportunities do not depend on being male or female. Equal, non-gender-specific treatment of men and women are often insufficient to achieve gender equality. More so, gender-blind or gender-neutral programmes and policies risk perpetuating and reinforcing existing patterns of discrimination and exclusion as they do not address the factors that generate inequalities between men and women and transform them. Specific measures are therefore needed.

- ***Ensuring the equal participation of women and men as 'agents of change'*** in overall economic social and political processes is essential to achieving gender equality. This is not about the number of women who are included in participatory dynamics. It involves the possibility for women to advocate for their rights, their capacity to have their needs and interests taken into account and shape the decisions that affect their life. Partnership with women's organizations and other groups working for gender equality is necessary to assist this process.

- ***Achieving gender equality unavoidably concerns men and can only*** be achieved through partnership between women and men. Men's participation is aimed not only at changing attitudes and practices, fighting against gender stereotypes or providing an understanding about gender equality, but also at avoiding harm in relations between men and women.[76]

In summary, ***gender mainstreaming is a 'twin track strategy'***[77] that involves (1) integrating women and men's needs and interests into all development policies, programmes and projects and (2) developing interventions oriented at empowering women (see Figure 1. Gender Equality and Women's Empowerment).

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75   Ibid.

76   In some contexts, women empowerment initiatives have led to domestic violence due to the husbands' feeling that they had lost control over their wives. Although these incidents can be viewed as evidence of the effectiveness of an intervention, because they represent the threat women have posed to the power structure and its attempt to push them back, these unwanted situations could be avoided by guaranteeing men's participation or other kinds of involvement in gender equality objectives.

77   Caren Levy, 'Gender Justice and Development Policy: Is "Gender Mainstreaming" Up To The Challenge?' UCL Development Planning Unit, <www.ucl.ac.uk/~ucugw3i/files/ISID6/ISID_Caren Levy_Gender Justice and Policy.pdf>.

Figure 1. Gender Equality and Women's Empowerment

Gender Equality

"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 any area and at all levels."

(ECOSOC Agreed Conclusions, July 1997, para.4)

Women's Empowerment

"...five components: women's sense of self-worth; their right to have and to determine choices; their right to have access to opportunities and resources; their right to have the power to control their own lives, both within and outside the home; and their ability to influence the direction of social change to create a more just social and economic order, nationally and internationally."

(UNPFA, Secretariat of the United Nations Inter-Agency Task Force on the Implementation of the ICPD Programme of Action)

2.6. HRBA and gender equality mainstreaming: Two 'complementary and mutually reinforcing' strategies

78. Gender equality and women's empowerment objectives are an integral part of HRBA. The elimination of discrimination against women and women's rights has a central place in international human rights law. That is why HRBA and gender equality mainstreaming strategies are "complementary and mutually reinforcing, and can be undertaken without conflict or duplication."[78]

79. Gender equality mainstreaming and HRBA have much in common. Both rely on an analytical framework that can be applied to all development activities. For the former, the different situation experienced and roles played by men and women in a given society; and for the latter, a normative framework based on entitlements and obligations. They also share the same international normative framework. Both call attention to the impact of activities on the welfare of specific groups, as well as to the importance of empowerment and participation in decision-making. Both apply to all stages of activity (design, implementation, monitoring and evaluation) and to all types of action (legislation, policies and programmes). Finally, both require the systematic adoption of new and different approaches to existing activities, as distinct from developing new and additional activities, with a focus on results.

80. Understanding gender equality as a human right provides the highest level of normative authority, as human rights are the only values on which there is global consensus. Human rights have become part of international customary law, which means that they are applicable everywhere in the world. An example on the value-added of HRBA for gender programming is shown in Box 8. At the same time, gender analysis offers HRBA a tool to understand how gender power imbalances can affect the fulfilment of rights.

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78   OHCHR, 'Frequently Asked Questions on a Human Rights-Based Approach to Development Cooperation', 2006, p. 18, <www.ohchr.org/Documents/Publications/FAQen.pdf>.

Box 8. UNFPA: The Value-Added of HRBA for Gender Programming

Grounding gender programmes in a human rights framework clarifies the obligations and responsibilities of duty bearers (such as the Government, religious leaders, health workers, etc.). Impressing upon a Government the fact that it has legal obligations to promote gender equality is especially important when dealing with the sensitive issues that fall under UNFPA's mandate in this area. Often, Governments that may seem unwilling to deal with sensitive issues (such as cultural practices that are harmful to women) are more likely to do so when they are aware of their specific duties.

By encouraging the participation and inclusion of women and individuals/groups who are marginalized and/or discriminated against throughout the programming process, HRBA helps to ensure that gender equality is for everyone, including the most excluded groups. This will help to make programmes more effective in the long term.

Keeping in mind the human rights principles of universality and inalienability, indivisibility, and interdependence and interrelatedness strengthens gender equality programmes by emphasizing that all human beings have human rights and that all individuals are equal (women and girls, men and boys). The intersections that exist between human rights require that gender equality programmes be built upon multisectoral partnerships, and that the expertise and resources of diverse groups be combined to create truly comprehensive national women's empowerment strategies. Such holistic support for gender equality will ensure more sustainable programmes.

Implementing the principles of equality and non-discrimination will shed light on groups that have been particularly neglected. Focusing on the most neglected groups is essential if gender equality is to be advanced.

HRBA emphasizes accountability and rule of law. This includes promoting the creation and implementation of national laws and policies that advance gender equality, supporting Governments in upholding the promises made at ICPD [the International Conference on Population and Development] and grounding these promises in Governments' legal obligations under international human rights treaties, and ensuring that gender equality programmes are designed, implemented, and monitored and evaluated in a transparent, participatory manner. Such a process will help to ensure more sustainable and effective gender equality programmes in the long term.

Source: UNFPA, 'A Human Rights-Based Approach to Programming', 2010, p. 203, <www.unfpa.org/public/publications/pid/4919>.

2.7. Human rights, gender equality and evaluation

81.   This Guidance does not ignore the existing discussions, mostly conceptual, on the differences between HRBA and gender equality mainstreaming. However, it concentrates on their shared and complementary goals, principles and tools:

- *Inclusion*. Evaluating HR & GE requires assessing which groups benefit and which groups contribute to the intervention under review. Groups need to be disaggregated by relevant criteria: disadvantaged and advantaged groups depending on their gender or status;

- *Participation.* Evaluating HR & GE must be participatory. Stakeholders of the intervention have a right to be consulted and participate in decisions about what will be evaluated and how the evaluation will be conducted. In addition, the evaluation will assess whether the stakeholders have been able to participate in the design, implementation and monitoring of the intervention. It is important to measure stakeholder group participation in the entire programming process as well as how they benefit from results.

- *Fair power relations.* Evaluating HR & GE must address power relations. Both HR & GE seek, inter alia, to balance power relations between or within duty bearers and right-holders. The nature of the relationship between programme implementers and stakeholders can support or undermine this change. When evaluators assess the degree to which power relations have changed as a result of an intervention, they must have a full understanding of the context in which the change took place. Further, they must conduct the evaluation in a way that is sensitive to the empowerment of disadvantaged groups, e.g. women's empowerment where women are the disadvantaged gender within a given context. In addition, evaluators should be aware of their own position of power based on status, which can influence the responses to queries through their interactions with stakeholders who may occupy lower status positions. Therefore, evaluators need to be sensitive to these dynamics.

Chapter 3. UN Framework for HR & GE Responsive Evaluation

3.1. UNEG Norms and Standards

82.   All UN entities should seek to integrate UNEG Norms and Standards into their existing evaluation processes in their entirety. Table 2 below lays out the specific UNEG Norms and Standards that call for integrating HR & GE dimensions in evaluation.

Table 2. UNEG Human Rights and Gender-Related Norms and Standards[79]	
Norm/Standard	**Application per the 'UNEG Standards for Evaluation in the UN System'**
Competencies (Standard 2.4) – Evaluators need to have technical knowledge of, and be familiar with, the methodology or approach that will be needed for the specific evaluation to be undertaken, as well as certain managerial and personal skills.	Specialized experience and/or methodological/technical knowledge, including some specific data collection and analytical skills, may be particularly useful in the following areas: 'Understanding of human rights-based approaches to programming' 'Understanding of gender considerations' 'Participatory approaches'
Ethics (Norm 11 and Standard 2.5) • Norm 11: In light of the United Nations Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender inequality. • Standard 2.5: Evaluators should be sensitive to beliefs, manners and customs, and act with integrity and honesty in their relationships with all stakeholders.	'In line with the UN Universal Declaration of Human Rights and other human rights conventions, evaluators should operate in accordance with international values.' 'Evaluators should be aware of differences in culture, local customs, religious beliefs and practices, personal interaction and gender roles, disability, age and ethnicity, and be mindful of the potential implications of these differences when planning, carrying out and reporting on evaluations.'
Design (Standard 3.7) – Evaluation methodologies should be sufficiently rigorous to assess the subject of evaluation and ensure a complete, fair and unbiased assessment.	'... Methodology should explicitly address issues of gender and under-represented groups.'

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79   Source: 'UNEG Standards for Evaluation in the UN System', <www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=22> and 'UNEG Norms for Evaluation in the UN System', <www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=21>.

Table 2. UNEG Human Rights and Gender-Related Norms and Standards (continued)	
Design (Standard 3.9) – The evaluation design should, when relevant, include considerations as to what extent the UN system's commitment to the human rights-based approach has been incorporated in the design of the undertaking to be evaluated with specific consideration of gender issues.	'UN organizations are guided by the United Nations Charter, and 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, mechanism and instruments provide UN entities with a guiding frame of reference and a legal foundation for ethical and moral principles, and should guide evaluation work. Consideration should also be given to gender issues and women and individuals/groups who are marginalized and/or discriminated against.'
Selection of Team (Standard 3.14) – The composition of evaluation teams should be gender balanced, geographically diverse and include professionals from the countries or regions concerned.	
Implementation (Standard 3.15) – Evaluations should be conducted in a professional and ethical manner.	'Evaluations must be gender and culturally sensitive and respect the confidentiality, protection of source and dignity of those interviewed'.
Report (Standard 4.8) – The evaluation report should indicate the extent to which gender issues and human rights considerations were incorporated where applicable.	'How gender issues were implemented as a cross-cutting theme in programming, and if the subject being evaluated gave sufficient attention to promote gender equality and gender-sensitivity'; 'Whether the subject being evaluated paid attention to effects on women and individuals/groups who are marginalized and/or discriminated against'; 'Whether the subject being evaluated was informed by human rights treaties and instruments'; 'To what extent the subject being evaluated identified the relevant human rights claims and obligations'; 'How gaps were identified in the capacity of rights holders to claim their rights, and of duty bearers to fulfil their obligations, including an analysis of gender and individuals/groups who are marginalized and/or discriminated against, and how the design and implementation of the subject being evaluated addressed these gaps'; 'How the subject being evaluated monitored and viewed results within this rights framework'.

3.2. UNEG Ethical Guidelines

83.   One of the most important considerations when undertaking evaluations that are responsive to HR & GE is the adoption of ethical behaviour. Evaluators must acknowledge that obtaining information about violations of rights and gender inequality requires stakeholders to confront, admit to and

discuss issues that can be extremely sensitive and may, in some cases, pose risks both for them as individuals and for their relationships with others in their communities. This potentially sensitive nature of HR & GE discussions implies that both evaluators and participating stakeholders must, from the outset of the process, have a clear understanding of how information will be used, who will see it, how the information will be reported on, and who will benefit from it. Furthermore, it is also imperative to ensure that the evaluation process itself does not harm or violate the rights of those participating.

84.   UNEG and some UN agencies have produced strict guidelines on ethics and behaviours for evaluators. These codes of conduct must be an integral part of the contract with any consultant undertaking such a task and apply to the conduct of all evaluations in the UN system carried out and/or managed by staff members, external consultants and/or evaluators from partner organizations.[80] The UNEG guidelines note the importance of ethical conduct for the following reasons:

- *Responsible use of power:* the power to commission an evaluation implies a responsibility towards all those involved for the proper conduct of the evaluation.

- *Ensuring credibility:* with a fair, impartial and complete assessment, stakeholders are more likely to have faith in the results of an evaluation and to take note of the recommendations.

- *Responsible use of resources:* ethical conduct in evaluation increases the chances of acceptance by the parties of the findings, conclusions and recommendations of the evaluation and therefore the likelihood that the investment in the evaluation will result in improved outcomes (for women and individuals/groups who are marginalized and/or discriminated against).

85.   The UNEG Ethical Guidelines set out a series of principles outlined below. Following these principles is essential to ensure the inclusion of the perspectives of women and individuals/groups who are marginalized and/or discriminated against, thus contributing to make the evaluation process sensitive and fair to HR & GE.

- *Obligations to participants:* Evaluations shall be designed and conducted to respect and protect the rights and welfare of women and men, and the communities of which they are members, in accordance with the UN Universal Declaration of Human Rights and other human rights conventions.

- *Respect for dignity and diversity:* Respect should be accorded to differences in culture, local customs, religious beliefs and practices, personal interaction, sex and gender roles, disability, age and ethnicity, and evaluators should be mindful of the potential implications of these differences when planning, carrying out and reporting on evaluations, while using evaluation instruments appropriate to the cultural setting.

- *Right to self-determination:* Prospective participants should be treated as autonomous agents and must be given the time and information to decide whether they wish to participate, without pressure or fear of penalty for not participating. From an HR & GE perspective, this implies carefully considering the issues and challenges faced particularly by

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80   UNEG, 'Ethical Guidelines', <www.uneval.org/ethicalguidelines>.

women and men who are at a high risk of having their rights violated, and the constraints and potential risks of their participation.

- *Fair representation:* Evaluators should select participants fairly in relation to the aims of the evaluation, not simply because of their availability, or because it is relatively easy to secure their participation. Care shall be taken to ensure that both women and men in relatively powerless, 'hidden', or otherwise excluded groups are represented.

- *Compliance with codes* for individuals/groups who are marginalized and/or discriminated against: Where the evaluation involves the participation of members of vulnerable groups, evaluators must be aware of and comply with international and/or national legal codes governing, for example, interviewing children and young people. In addition, evaluators must acknowledge and understand the cultural norms that may favour or undermine the participation of members of the community involved in the evaluation, particularly those most vulnerable (e.g. victims of sexual violence). Individual agencies may also impose additional ethical guidelines specific to their mandate that evaluators should consult when applicable (e.g. ethics of research involving young children or vulnerable groups).[81]

- *Redress:* Stakeholders should receive sufficient information on: a) how to seek redress for any perceived disadvantage suffered from the evaluation or any projects it covers; and b) how to register a complaint concerning the conduct of an implementing or executing agency. In HR & GE responsive evaluation, specific mechanisms to cater for the need for redress by women and individuals/groups who are marginalized and/or discriminated against must be in place.

- *Confidentiality:* Evaluators shall respect people's right to provide information in confidence and make participants aware of the scope and limits of confidentiality. Evaluators must ensure that sensitive information cannot be traced to its source so that the relevant individuals, particularly women and individuals/groups most discriminated against, are protected from reprisals.

- *Avoidance of harm:* Evaluators should seek to minimize risks to, and burdens on, those participating in the evaluation; and to maximize the benefits and reduce any unnecessary harm that might occur from negative or critical evaluation, without compromising the integrity of the evaluation. Evaluators must be aware of the risks faced by those women and individuals/groups most discriminated against in speaking freely about rights violations and gender inequality, and be prepared to conduct the process accordingly.

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81   For example: World Health Organization's (WHO) Putting Women First: Ethical and Safety Recommendations for Research on Domestic Violence Against Women, the WHO Ethical and Safety Recommendations for Interviewing Trafficked Women, UNICEF Principles and Guidelines for Ethical Reporting, etc.

3.3.   UNEG Guidance

86.   UNEG has developed a number of guidance documents and resources to integrate human rights and gender equality into the practice of evaluation, including the UNEG handbook [Integrating Human Rights and Gender Equality in Evaluation - Towards UNEG Guidance](#), which accompanies this document, and [UNEG Quality Checklist for Evaluation ToR and Inception Reports.](#) UNEG has also endorsed for piloting a technical note and scorecard for harmonizing reporting against the UN SWAP Evaluation Indicator. In addition, UNEG is continually developing guidance tools on evaluation issues that contain information on how to integrate HR & GE in specific contexts such as the evaluation of normative work, impact evaluation, UNDAF evaluation, etc. Other UNEG references should be consulted as they become available.[82]

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82   Please see also UNEG [Handbook for Conducting Evaluations of Normative Work in the UN System](#) (2013); [Impact Evaluation in UN Agency Evaluation Systems: Guidance on Selection, Planning and Management](#) (2013); [Frequently Asked Questions for UNDAF Evaluations](#) (2011); [UNEG Guidance on Preparing Terms of Reference for UNDAF Evaluations](#) (2013).

Chapter 4. Institutional Framework and Planning for HR & GE Responsive Evaluations

87.   Ensuring a systematic and coherent application of HR & GE responsive evaluation practice begins with integrating these key principles into the institutional evaluation framework of an organization. Establishing a comprehensive, HR & GE responsive, evaluation framework is instrumental for strengthening accountability, learning and decision-making on HR & GE at all levels of an organization.

88.   For UN entities, this evaluation framework is normally comprised of one or all of the following:

- Evaluation policy
- Evaluation strategy
- Evaluation guidance and tools
- Evaluation quality assurance systems
- Evaluation plans

89.   The overall evaluation framework should be formulated in accordance with:

- Organizational mandates and policies on HR & GE (as they exist);
- UNEG Norms, Standards and Guidelines related to integration of HR & GE;[83]
- The UN SWAP Evaluation Performance Indicator;
- Broader UN agency mandates for integrating HR & GE in the work of the UN.[84]

4.1. HR & GE evaluation policy

90.   Integrating HR & GE in the evaluation policy is the critical first step towards establishing the strategic framework necessary to ensure HR & GE responsive evaluation is operationalized in practice.

91.   An HR & GE responsive evaluation policy is an institutional statement that provides clarity to staff, partners and stakeholders on the practice of integrating HR & GE principles. It contributes to institutional transparency and accountability in meeting HR & GE mandates and evaluation norms and standards set forth for the UN system.

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83   Outlined in Chapter 3.

84   Refer to Chapter 2 for a detailed overview of the UN normative framework regarding HRBA and gender equality mainstreaming.

92.   UNEG Evaluation Norm 3 and Standard 1.2[85] (outlined in Chapter 3) indicate that each UN entity should establish and regularly update an explicit policy statement on evaluation that 'takes into account' all the UNEG Norms and Standards. This requires the mainstreaming of HR & GE within evaluation policies. The Norms and Standards that focus specifically on the integration of HR & GE into evaluation processes are outlined in Chapter 2. These should be integrated and referenced in UN agency evaluation policies.

93.   While there is no set template for designing an evaluation policy within the UN system, the following provides some guidance on how to reflect HR & GE in the common elements of an evaluation policy:

- *Concept and role of evaluation:* The way in which the evaluation process itself is undertaken has the potential to empower the stakeholders involved and the policy should explicitly call for evaluations to be responsive to gender equality and human rights. The UN Women Evaluation Policy provides an example, stipulating that assessments should include whether interventions:

  o   Have been guided by the relevant international (national and regional) normative frameworks for human rights and gender equality, United Nations system-wide mandates and organizational objectives;

  o   Have analysed and addressed the structures that contribute to inequalities experienced by women and individuals/groups who are marginalized and/or discriminated against, especially those experiencing multiple forms of exclusion;

Box 9. Tips: Evaluation Policy Communication & Dissemination

To promote knowledge and use:
- Translate into the six official languages of the UN
- Adapt the Evaluation Policy to a user-friendly design and disseminate widely. Key actions include:
  o   Executive Director message to all staff communicating what the Evaluation Policy means for the organization and elements of the plan for implementation, including HR & GE strategies;
  o   Target communications and dissemination to reach all stakeholder groups/beneficiaries identified in the stakeholder map;
  o   Dissemination and communication of the policy to internal and external stakeholders, highlighting HR & GE elements, via:
    — Global/regional webinars with organization staff;
    — User-friendly design;
    — Dissemination to organization offices and partners, e.g. UNEG, OECD-DAC, evaluation networks;
    — Share with informants of the evaluation.

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85   See UNEG Norm 3 and UNEG Standard 1.2.

- Have maximized participation and inclusiveness (with respect to rights holders and duty bearers) in their planning, design, implementation and decision- making processes;

- Sought out opportunities to build sustainable results through the empowerment and capacity-building of women and groups of rights holders and duty bearers;

- Have contributed to short-, medium- and long-term objectives (or the lack thereof) through the examination of results chains, processes, contextual factors and causality using gender- and rights-based analysis.[86]

- *Guiding principles of evaluation:* The evaluation policy provides the opportunity to articulate the principles that guide evaluation within a UN entity. Explicitly including HR & GE as one of the guiding principles in the policy document will help guide the organization's work in line with HR & GE values, including adherence to universally shared standards of equality, justice, gender equality and respect for diversity. An example can be found in the UNEP Evaluation Policy.[87] The policy should also reference UN resolutions, including the Quadrennial Comprehensive Policy Review (Resolution 2007/33, Resolution 67/226)[88] in which the General Assembly required the systematic integration of HR & GE in evaluation in the UN system's operational activities.

- *Evaluation guidance and quality assurance system:* The foundations for a quality assurance system should be established in the policy that will support evaluators and evaluation managers in applying sound HR & GE responsive approaches and methods. Key elements of a HR & GE responsive quality assurance mechanism will be discussed in more detail in the following section on implementing the evaluation policy. Meta-evaluation processes that include criteria on HR and GE integration of evaluation in assessing the overall quality of reports, quality checklists and the use of the UN SWAP scorecard are some ways in which to do this. An example of this is presented in Box 10.[89]

- *Prioritization and planning of evaluations:* Guidelines and triggers regarding the timing of evaluations can instruct planners to consider internal and external events and processes in a way that would help to maximize effective utilization of the HR & GE findings and recommendations.

- *Roles and responsibilities:* The roles and responsibilities for senior managers, evaluation officers and staff stipulated in the evaluation policy lay the groundwork for the overarching plan to ensure that information, capacities and resources are leveraged for building a cred-

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86 Adapted from the UN Women Evaluation Policy, January 1, 2013, <www.unwomen.org/en/digital-library/publications/2012/10/evaluation-policy-of-the-united-nations-entity-for-gender-equality-and-the-empowerment-of-women>.

87 UNEP Evaluation Policy, <www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/Default.aspx>.

88 ECOSOC Resolution 2007/33 'Mainstreaming a gender perspective into all policies and programmes in the United Nations system'; and General Assembly resolution 67/226 'Quadrennial comprehensive policy review of operational activities for development of the United Nations system'.

89 Integration of UNEG guidance to specific agency guidance more tailored to the evaluation context is also an important aspect. ILO provides one example.

ible evaluation function that integrates HR & GE. Within this context, accountable parties – including the Executive Board, the Evaluation Office, senior management, decentralized evaluators, independent evaluation consultants, etc. – should be identified for ensuring the integration of HR & GE principles throughout the evaluation process, with reference to specific, actionable responsibilities. One such mechanism for enhancing accountability of roles and responsibilities is to stipulate in the policy that HR & GE principles are to be integral in performance appraisal indicators for senior managers, evaluation focal points, and other staff with evaluation roles and responsibilities.

- *Organizing, management and budgeting of evaluation:* The evaluation management protocols outlined in a policy could explicitly incorporate HR & GE principles in the conduct of evaluability assessments, the analysis of stakeholders, the development of ToR and evaluation team selection, and in ensuring overall stakeholder participation throughout the process. One such mechanism is the requirement in ToRs/contract of internal evaluation staff and external evaluation consultants to sign the UNEG Code of Conduct for Evaluators in the UN System. In addition, budget allocation should seek to ensure adequate resources for conducting HR & GE responsive methodologies and dissemination plans that aim to ensure information reaches a wide range of stakeholders.

Box 10. Management Resources

The following publications provide tools and guidance for the management of all phases of the evaluation process:

UN-Women: A Manager's Guide to Gender Equality and Human Rights Responsive Evaluation

ILO: Policy Guidelines for Results-based Evaluations: Principles, Rationale, Planning and Managing for Evaluation

IFAD: Evaluation Manual: Methodology and Process

- *Follow-up to evaluations:* As a tool to enhance institutional accountability on HR & GE, an evaluation policy should incorporate mechanisms to track and follow up on application and use of HR & GE findings, recommendations and lessons. Also, bi/annual evaluation reporting requirements as stipulated in the policy could require explicit reporting on HR & GE mainstreaming in the evaluation function.

- *Disclosure and dissemination:* Targeted coordination of the publishing of evaluation findings and recommendations with bi/annual reporting, the QCPR, HR & GE forums, funding cycles, etc., could provide opportunities to amplify the voice of beneficiaries and stakeholders and enhance collaboration across the UN system and with implementing partners.

4.2. Evaluation policy implementation

Evaluation strategy

94.   In addition to an evaluation policy, central evaluation offices may also develop strategies for strengthening the evaluation function within their organization based on its specific context. Such strategy documents should also take into account the need for integrating human rights and gender equality in the evaluations of the organization and plan for the development of tailored corporate guidelines, tools and support to adopt the HR & GE UNEG Norms, Standards and Guidance.

Quality assurance mechanisms

95.   One critical challenge in implementing an evaluation policy is to ensure that policy statements are followed through in practice. This requires a particular level of commitment from the agency not only to guarantee that evaluations are conducted on a regular basis, but also to review the quality of the evaluations undertaken. There are several tools used by UN entities for that purpose, including reviews of the evaluation policy and evaluation function, meta-evaluations, or peer-reviews of evaluation practice.[90] Other tools included the UN SWAP Indicator and the UNEG Quality Checklist for Evaluation ToR and Inception Reports. All of these tools can be used to identify whether existing evaluations adequately address HR & GE, for example, through the systematic use of disaggregated data, by analysing changes in gender relations and enjoyment of rights, or by including stakeholders in the overall evaluation process, and most importantly assessing contributions to the realization of HR & GE.

Institutional evaluation plans

96.   The preparation of corporate and decentralized evaluation plans serves to strengthen the practice of evaluation and is defined by criteria outlined in an agency's evaluation policy that determine the mandatory and optional triggers for evaluations. Various UN entities mandate a mix of global, regional, country, and thematic evaluations and, sometimes, decentralized evaluations in their evaluation policies, all of which should adopt a HR & GE responsive approach. Therefore, when selecting the evaluations to include in an evaluation plan (from all offices within an organization) the HR & GE issues regarding information, accountability and learning needs, risk mitigation, etc., needs to be taken into consideration in making the selection to ensure coverage of HR & GE in the evaluative evidence generated. Agencies may opt to develop a comprehensive and strategic HR & GE responsive evaluation plan that includes a mix of outcome-level, project and thematic evaluations, including joint evaluations.

97.   Evaluation plans also reflect the priorities of the organization, the need for accountability, the demand for decision-making information, institutional learning, partnership protocols and the

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90   UNEG/DAC, 'Framework for Professional Peer Reviews', <www.unevaluation.org/papersandpubs/ documentdetail.jsp?doc_id=103>.

need for lessons and ideas for future interventions. Inclusion of HR & GE principles in the development of the evaluation plan is a critical step in ensuring that the normative principles outlined in the evaluation policy are systematically considered in practice. As a key RBM tool, the evaluation plan is an opportunity to integrate HR & GE considerations when establishing the timing of specific evaluations, resource allocation, roles and responsibilities for managing the overall process and how the subsequent evaluations will inform the reporting each UN agency is required to perform.[91] The following table highlights important aspects that need to be considered when developing an HR & GE responsive evaluation plan.[92] Where applicable, particular considerations are indicated that need to be taken at the field level (decentralized evaluation).

Table 3. Integrating HR & GE Principles into Evaluation Plans	
Aspects of developing an evaluation plan	**Integrating human rights and gender equality**
Uses, purposes and timing of evaluation: Evaluations should be proposed only when commissioning programme units and stakeholders are clear at the outset about why the various evaluations in the plan are being conducted (the purpose), what the information needs are (demand for information), who will use the information, and how the information will be used.	Identifying the purpose, demand and intended use of evaluations included in an institutional plan involves understanding the different stakeholders of each intervention (including duty bearers and rights holders) and their particular interests in the evaluation, paying special attention to gaps, needs and interests demonstrated by women and men at all levels, including from groups who are marginalized and/or discriminated against. The findings on HR & GE will be generated and fed into processes at the country, regional, institutional or global level to enhance the realization of HR & GE, e.g. Commission on the Status of Women, International Human Rights Conferences, Post-2015 Development Agenda, UN SWAP reporting, UNDAF, national planning and policy processes, etc.
Resources invested: An area in which the agency has invested significant resources may be subject to an evaluation as there may be greater accountability requirements.	It is important to observe that interventions with significant resources invested in sectors addressed by the UN are likely to have an impact on HR & GE and this should be taken into consideration when preparing an institutional plan. Part of planning is also allocating budget for evaluations at that time. This requires thinking through any additional costs or timing implications, capacity for implementing HR & GE methodologies, dissemination strategies, etc.

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91 UNDG, 'Toolkit for Improved Functioning of the United Nations Development System at Country Level, 7. 7.3 Develop Monitoring and Evaluation Plan', <toolkit.undg.org/step/3-40-develop-monitoring-and-evaluation-plan-at-time-of-step-5.html>.

92 Adapted from the UNDP Handbook on Planning, Monitoring and Evaluating for Results, <www.undp.org/evaluation/handbook/documents/english/pme-handbook.pdf>.

Table 3. Integrating HR & GE Principles into Evaluation Plans (continued)	
Risk management: Evaluation plans can help prevent problems and provide an independent perspective on existing problems.	When preparing an institutional plan, the fact that evaluations can help to identify real and potential conflict areas and undesired effects should be taken into account. This can provide an opportunity to review the interventions' approach regarding HR & GE, as well as to identify possible solutions and mitigating measures where necessary.
Need for lessons learned: The evaluation plan should consider what kinds of lessons are needed to help guide interventions in a given country, region or thematic area.	There is a great need for lessons on HR & GE, given that these dimensions represent a system-wide mandate for the UN, and that there is a need for further learning on how to integrate them, particularly in interventions where HR & GE are not the main focus.

98.   In summary, when an agency's evaluation policy and/or strategy, plans, guidance and quality assurance mechanisms incorporate HR & GE principles, it sets up a clear framework for conducting evaluation and accountability for integrating HR & GE. This sets the stage for better ensuring that evaluation in the organization (and the UN system) is carried out in accordance with established HR & GE values and results in high-quality and credible evaluation findings, recommendations and lessons learned.

Chapter 5. Integrating HR & GE in Evaluation: Overview, Design and Scope

5.1. Considerations for HR & GE responsive evaluation approaches

99.   Integrating HR & GE standards and principles in the evaluation process is "about what the evaluation examines and how it is undertaken."[93] It concerns how HRBA and GE mainstreaming inform and guide the intervention under evaluation but also the evaluation process itself. Evaluations should first assess the quality of the human rights and gender analysis undertaken ahead of the intervention – does it provide an adequate basis for subsequent mainstreaming of human rights and gender equality in programming? In terms of results, the evaluation needs to determine the extent to which and how interventions have challenged and changed inequalities and structural causes of the denial of rights and persistence of gender inequality; and whether these changes are likely to lead to the desired results of improved enjoyment of human rights and gender equality. In terms of implementation of the evaluation process, it needs in itself to be inclusive and ensure the participation of different stakeholders, particularly women and men who are most likely to have their rights violated. In addition, the evaluation design and conduct must be transparent and accountable, making the evaluation results public to all affected parties.[94]

5.1.1. Fostering inclusive participation

100.   Evaluations that address HR & GE foster inclusion and participation, and seek to address power relations. Fostering inclusion and participation requires including women and men marginalized and/or discriminated against in the evaluation process – this will likely provide significant information on how the intervention is seen from the perspective of those it is trying to support. Additionally, it requires paying attention to which groups benefit and which groups contribute to the intervention under review, in order to ensure balanced and complete evaluation evidence is generated.

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93   UN Women, 'A Manager's Guide to Gender Equality and Human Rights Responsive Evaluation', <www.unwomen.org/en/digital-library/publications/2010/1/a-manager-s-guide-to-gender-equality-and-human-rights-responsive-evaluation>.

94   Hanne Lund Madsen, 'Exploring a Human Rights-Based Approach to the Evaluation of Democracy Support' in Peter Burnell (ed) *Evaluating Democracy Support Methods and Experiences*, International Institute for Democracy and Electoral Assistance and Swedish International Development Cooperation Agency, Stockholm, 2007, pp. 118-152, <www.idea.int/publications/evaluating_democracy_support/index.cfm>.

101.   In HR & GE responsive evaluation, the full range of stakeholder groups (including duty bearers and rights holders) should be carefully analysed, in order to avoid biases such as gender, distance (including the less accessible), class, power (supporting less powerful interviewees to be able to speak freely by addressing privacy and confidentiality concerns), etc. A method to begin fostering inclusion at an early stage is to establish user groups to discuss the evaluation purpose, focus and methodology during the design phase.

102.   Particular attention must also be paid to the inclusion of women and individuals/groups who are marginalized and/or discriminated against. The appropriate methodology should allow identifying and including in the data-gathering and analysis process those most likely to have their rights violated. Exploring the participation barriers these groups may face is a critical step towards understanding constraints and challenges that may arise in the process and seeking alternative forms to ensure inclusion. It is important to think about practical issues that may enhance or undermine participation, including time, place, accessibility of the areas, or availability of communications means. For example, in certain circumstances, it might be necessary to examine how to reach persons that live in areas with no electricity, postal service or telephone access. In other contexts, security factors could affect the participation of these populations.

103.   For more detailed information on developing an HR & GE responsive evaluative framework to assess levels of participation, inclusion and power relations within projects/programmes, please see sections 5.2 and 5.3.

5.1.2. Ensuring respect for cultural sensitivities

104.   Culture has implications for all evaluations and cultural sensitivity is an important dimension in undertaking HR & GE responsive evaluation. Cultures may be viewed as contextual environments in the implementation of human rights policies and gender policies. As stated in the Covenant on Economic, Social and Cultural Rights: "the ideal of free human beings enjoying freedom from fear and want can only be achieved if conditions are created whereby everyone may enjoy his economic, social and cultural rights, as well as civil and political rights."[95] A clear understanding of beliefs and values facilitates the process of implementing HRBA.

105.   Evaluators should review reservations to treaties and when possible, and where resources allow, evaluators could look at comparative jurisprudence in customary and religious traditions and law reform, in order to understand the evolving, changing nature of cultural norms and religious interpretations. Box 11 highlights good practice guidelines for ensuring cultural competence in evaluation.[96]

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95   Preamble to the Covenant on Economic, Social and Cultural Rights, third paragraph.

96   For a discussion on how to develop culturally relevant outcome measurements in an evaluation of Aboriginal communities, see Jill A. Chouinard and J. Bradley Cousins, 'Culturally Competent Evaluation for Aboriginal Communities: A Review of the Empirical Literature', *Journal of Multidisciplinary Evaluation*, Vol. 4, No. 8, October 2007, p. 49, <journals.sfu.ca/jmde/index.php/jmde_1/article/download/30/77 >.

Box 11. Cultural Competence in Evaluation

Cultural competence in evaluation theory and practice is critical for the profession. It is a stance taken towards culture, not a discrete status or simple mastery of particular knowledge and skills. A culturally competent evaluator is prepared to engage with diverse segments of communities to include cultural and contextual dimensions important to the evaluation. Culturally competent evaluators respect the cultures represented in the evaluation.

Evaluations cannot be culture-free. Those who engage in evaluation do so from perspectives that reflect their values, their ways of viewing the world, and their culture. Culture shapes the ways in which evaluation questions are conceptualized, which in turn influence what data are collected, how the data will be collected and analysed, and how data are interpreted. On the other hand, inaccurate or incomplete understandings of culture introduce systematic error that threatens validity. Culturally competent evaluators work to minimize error grounded in cultural biases, stereotypes, and lack of shared worldviews among stakeholders.

Culture has implications for all evaluations and all phases of evaluation — including staffing, development, and implementation of evaluation efforts as well as communicating and using evaluation results. A few practices, among others, can be employed to undertake a culturally sensitive evaluation:

- Acknowledging the complexity of cultural identities: cultural groupings are not static. People belong to multiple cultural groups. Navigating these groups typically requires reconciling multiple and sometimes clashing norms. Attempts to categorize people often collapse identity into cultural groupings that may not accurately represent the true diversity that exists.

- Recognizing the dynamics of power: cultural groupings are ascribed differential status and power, with some holding privilege that they may not be aware of and some being relegated to the status of 'other'. Culturally competent evaluators work to avoid reinforcing cultural stereotypes and prejudice in their work, and are aware of marginalization.

- Recognizing and eliminating bias in language: thoughtful and deliberate use of language can reduce bias when conducting culturally competent evaluations.

- Employing culturally appropriate methods: culturally competent evaluators also are aware of the many ways data can be analysed and interpreted and the contexts in which findings can be disseminated. These evaluators seek to consult and engage with groups who are the focus of the data to determine alternative approaches to analyse and present findings, and to consider multiple audience perspectives in the process of interpretation.

Source: 'American Evaluation Association Statement on Cultural Competence In Evaluation', <www.eval.org/p/cm/ld/fid=92>.

5.2.   Scope of analysis of HR & GE responsive evaluations

106.   Designing an intervention implies anticipating how the situation will look once the intervention has been implemented successfully. In RBM-inspired projects/programmes, the intended result is the product of a chain of activities, outputs, and outcomes. If HR & GE responsive, the evaluation will analyse how HR & GE objectives and HRBA & GE mainstreaming principles were included in the intervention design and how and if HR & GE results have been achieved.

107.   HR & GE responsive evaluation requires an assessment of the extent to which an intervention being evaluated has been guided by organizational and system-wide objectives on gender equality and human rights. Accordingly, evaluations should analyse whether women and men have equal rights, responsibilities and opportunities, and whether this in turn has led to results such as greater equality between women and men, thus contributing, for example, to the Millennium Declaration and related goals. Moreover, evaluations need to be inclusive of and consider different points of view from both women and men in the various stakeholder groups involved in the intervention.

108.   Changing unequal, discriminatory and exploitative social structures is one of the most challenging aspects of development. For UN system's interventions to address such issues successfully, internal changes of mentality are also needed. Evaluators should acknowledge that reorientation of programmes towards HRBA is a process that may require some time. It is also important for evaluations to distinguish between the genuine adoption of HRBA, and the rhetorical use of human rights terminology, or the adoption of approaches (e.g. poverty reduction, social welfare and/or social protection) that overlap with but are different from HRBA.

109.   In most organizations, gender mainstreaming is a more familiar concept than human rights mainstreaming. Structures and processes set up to ensure gender mainstreaming could be emulated or adapted to facilitate the introduction of HRBA to programming more generally. But, equally, there is a need to learn from situations where failings in gender mainstreaming have been recognized. For example, if staff perceive mainstreaming gender (or human rights) as a bureaucratic or technical requirement without real implications for their own work, and if internal incentive structures are weak and lines of accountability unclear, the approach may have no impact.

5.2.1. HR & GE analysis

110.   Context and situation analyses are the basis of any intervention. HR & GE responsive evaluations should first be able to determine whether quality human rights and gender analyses were undertaken that determined the claims of rights holders and obligations of duty bearers. Secondly, the evaluation should establish whether the results of this analysis were properly integrated in the programme design. If HR & GE responsive, these analyses should be informed by a HR & GE perspectives, by focusing on identifying rights holders and duty bearers and on distinguishing factors related to gender. This information provides the evaluator/evaluation team with an understanding of where the intervention is starting from and a point of comparison.

111.   HR analysis requires asking the following questions:[97]

- ***What*** is happening, where and who is more affected? (assessment) *Which rights are at stake? Whose rights are at stake?* For every development challenge, it is important to identify the interrelated human rights standards and those groups suffering from a greater denial of rights.

- ***Why*** are these problems occurring? (causal analysis): identify the underlying and root causes of exclusion, discrimination and inequality;

- ***Who*** has the obligation to do something about it? (role analysis) *Who is the duty bearer?* This analysis allows to identify individual and institutional duty bearers and their corresponding obligations;

- ***What*** capacities are needed for those affected, and those with a duty, to take action? (capacity analysis): it requires identifying the skills, abilities, resources, accessibility, responsibilities, authority and motivation which are needed by those affected to claim their rights and by those obliged to fulfil these rights.

112.   Additionally, if an intervention is gender mainstreamed and aims at the promotion of GE, it should be based on a gender analysis. The term gender analysis is used to describe a systematic approach to examining factors related to gender. It is an essential element of socio-economic analysis, as gender is a factor in all social and economic relations.[98] The 1997 ECOSOC Resolution on gender mainstreaming notes: "Gender analysis should be applied at all levels, including planning, programming, budgeting, monitoring and evaluation."[99] Gender analysis should be included within the HR analysis and directly linked to it. Box 12 provides information on some commonly used gender analysis frameworks.

113.   In general, a good gender analysis should include:

- Identifying contextual constraints and opportunities in relation to gender equality, e.g. laws, attitudes.

- Reviewing the capacities of duty bearers to reach out equally to girls, boys, women and men, and to promote gender equality.

- Collecting and analysing sex-disaggregated data.

- Understanding that women and men are not homogenous groups and the different ways men and women experience problems.

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97   Adapted from the 2007 'CCA/UNDAF Guidelines', <www.undg.org/?P=232>.

98   There have been a number of methodological approaches to gender analysis. Information on these frameworks can be found at <policy-practice.oxfam.org.uk/publications/a-guide-to-gender-analysis-frameworks-115397> and <www.gdrc.org/gender/framework/framework.html>.

99   <www.unhcr.org/refworld/docid/4652c9fc2.html>.

- Understanding the ways in which gender intersects with other social dividing lines such as ethnicity, race, age and disability.

- Identifying gender roles and gender relations and differentials at work and in life, in terms of the division of labour, and access to and control over resources and benefits.

- Examining how power relations at the household level relate to those at the international, state, community and market levels.

Box 12. Feminist Evaluation and Gender Analysis Frameworks

Feminist perspectives on evaluation draw their inspiration from feminist theories with a strong focus on participatory, empowering and social justice agenda. They usually have two major foci, the first on the well-being of women and girls, and second on the evaluation process, which should be collaborative and reciprocal. There is a strong focus on changing unequal power and social relations, and promoting gender equality, through the evaluation process.

Gender analysis frameworks are methods of research and planning for assessing and promoting gender equality issues in institutions. Gender analysis can be integral to feminist evaluation, as it can provide an analysis of the structures of political and social control that create gender equality. Gender analysis covers the middle ground between conventional development evaluation and feminist research. Gender analysis is becoming accepted as an operational tool that can be used by policy-makers, planners, development agencies, and non-government organizations to integrate gender concerns into national development strategies.

The most commonly used gender frameworks include:

- **The Harvard Analytical Framework**, which consists of a matrix for collecting data at the micro level through an activity profile, access and control profiles, analysis of influencing factors, and project cycle analysis.

- **Gender Planning Framework**, which focuses on strategic gender needs and inequalities.

- **Social Relations Framework**, which aims to analyse gender inequalities in the distribution of resources, and gender relations.

- **Women's Empowerment Framework**, which conceptualizes five progressive levels of equality – welfare, access, conscientization, participation and control – with the last level representing equality.

More information on gender analysis frameworks can be found at: <policy-practice.oxfam.org.uk/publications/a-guide-to-gender-analysis-frameworks-115397>.

Sources: Patton (2008); Whitmore et al (2006); Bamberger and Podems (2002).

114.   There is a strong emphasis in HRBA and gender mainstreaming on identifying and supporting the capacity of women and men whose rights are most likely to be violated.[100] Because women and individuals/groups who are marginalized and/or discriminated against are a particular focus of the HRBA and gender mainstreaming, evaluations need to pay close attention to whether these groups are receiving the support they require.

5.2.2. Acknowledging the aim for the progressive realization of all HR & GE

115.   HRBA recognizes that the capacities and resources to fulfil rights are often limited and that some rights may take more time to be realized than others. The idea of 'progressive realization' takes this into account and allows countries to make progress towards realizing certain rights based on their resources. However, the distinctiveness of HRBA is that "it imposes certain conditions on the behaviour of the State so that it cannot use progressive realization as an excuse for deferring or relaxing its efforts. First, the State must take immediate action to fulfil any rights that are not seriously dependent on resource availability. Second, it must prioritize its fiscal operations so that resources can be diverted from relatively non-essential uses to those that are essential for the fulfilment of rights that are important for poverty reduction. Third, to the extent that fulfilment of certain rights will have to be deferred, the State must develop, in a participatory manner, a time-bound plan of action for their progressive realization. (…) Finally, the State will be called to account if the monitoring process reveals less than full commitment on its part to realize the targets."[101]

116.   This has implications for all evaluations, as they will need to examine how far HR & GE are explicitly discussed in planning documents and policies, to what extent duty bearers have the capacity and commitments to meet their obligations, and whether the realization of rights has been improved through the implementation of the intervention, along a spectrum from nought to full realization.

5.2.3. Giving equal weight to the outcomes and the process

117.   HRBA gives the same importance to process as it does to results.[102] This means that the commitment to achieving those rights, as well as the processes through which a society moves towards realizing them, are crucial. Participation is a key principle in HRBA, and a human right enshrined in many conventions and declarations, including the ICCPR, the UN Declaration on the Right to Development, the Convention on the Rights of Disabled People, and the CEDAW. A human rights analysis will therefore determine the quality of the mechanisms available for partici-

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100   There is no agreement in the UN yet as to terminology to describe the main target group of HRBA. This Guidance uses the term "groups most likely to have their rights violated" to include all those rights holders that are generally subject to discrimination in society, including women, indigenous peoples, the disabled, minorities, displaced people, migrants, refugees, people living with HIV/AIDS, etc.

101   Paul Hunt, Siddiq Osmani and Manfred Nowak, *Human Rights and Poverty Reduction: Conceptual Framework,* OHCHR, 2004, Summary available at <www2.ohchr.org/english/issues/poverty/docs/SwissSummary1.doc>.

102   UNDG, 'How to Prepare an UNDAF, Part (II), Technical Guidance for UN Country Teams', January 2010, pp. 14-15.

patory processes and level of participation that has occurred as a result. Non-discrimination, local ownership, capacity development and accountability are essential characteristics of a high-quality participatory process.

118.   OHCHR has identified a series of measures that may be required to realize the right to participation:

- Building the capacity of civil society organizations to engage with duty bearers;

- Increasing transparency of policies and processes;

- Creating new channels and mechanisms for participation of women and individuals/groups who are marginalized and/or discriminated against;

- Civic education and human rights awareness-raising;

- Media and communication campaigns;

- Advocacy for and capacity-building of networks; and

- Broadening alliances across civil society organizations.[103]

119.   The challenge for evaluations is to determine whether interventions and development processes are participatory, and include all relevant rights holders. The implementation of the evaluation also needs to be in itself an active, free and meaningful participatory process.

5.2.4. Identifying relevant rights-based and gender-sensitive indicators

120.   Rights-based and gender-sensitive indicators are critical to HR & GE responsive evaluation work, as they set the stage for what will be measured.[104] They are the means to measure changes, to hold institutions accountable for their commitments, to evaluate the results of policies, programmes or projects, and to orientate decision-making processes. Measuring HR & GE changes is a political process, as underlined by A. Moser regarding gender equality: "Many assume that measuring change is a technical exercise; yet the decision to measure progress towards gender equality is political. So too are the decisions about which aspects of gender equality to measure. Who should decide? Funders, programme staff, or […] the women and men who are intended to benefit?"[105] A combination of

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103 OHCHR, 'Frequently Asked Questions on a Human Rights-Based Approach to Development Cooperation', 2006, <www.hurilink.org/tools/FAQon_HRBA_to_Development--OHCHR.pdf>.

104 UN Women, 'A Manager's Guide to Gender Equality and Human Rights Responsive Evaluation', <www.unwomen.org/en/digital-library/publications/2010/1/a-manager-s-guide-to-gender-equality-and-human-rights-responsive-evaluation>.

105 Annalise Moser, 'Gender and measurements of change: an overview', in *Bridge Bulletin: Gender and Development in Brief*, Issue 10, August 2007, <www.bridge.ids.ac.uk/go/bridge-publications/cutting-edge-packs/gender-and-indicators&id=54156&type=Document&langid=1>. In the same review, see the discussion around UNDP's Gender-related Development Index (GDI) I and Gender Empowerment Measure (GENDER EQUALITY MAINSTREAMING) indicators. For more information on gender indicators, see Bridge, 'Gender and Indicators: An Overview Report', July 2007, <www.bridge.ids.ac.uk/go/bridge-publications/cutting-edge-packs/gender-and-indicators&id=42700&type=Document&langid=1>.

qualitative and quantitative methods, with participatory techniques, better captures the multifaceted dimensions of HR & GE changes.

121.   **Indicators** describe how the intended results are measured and illustrate the changes that an intervention contributes to. In terms of measuring HR & GE dimensions, they help evaluators assess, for example, whether the intervention has been successful in promoting empowerment at legal, political, economic and social levels. They also help address stakeholder diversity since, through measuring disaggregated indicators, an intervention can obtain information on whether it is affecting different groups of people in the most effective way. By comparing the progress on the indicators with baseline information (the situation at the beginning of the project), it is possible to establish quantitative and qualitative changes over a period of time.

122.   Ideally, an intervention should have a set of quantitative and qualitative indicators from the beginning of its implementation, with information regularly collected through monitoring processes. Mixed indicators are important because they provide more complete and diverse information, enhance credibility by offering different perspectives, and improve design by making objectives and results more specific and measurable. As promoting HR & GE is a mandate of all UN agencies, the indicators should always address these areas. However, the reality is that, very often, even if interventions have a set of indicators, it may be that they are not of good quality, are not measured frequently enough, or do not address HR & GE issues at all.

123.   An **evaluability assessment** will help the evaluation manager identify whether the intervention has an adequate set of indicators (and information on their progress) to support the assessment of HR & GE during the evaluation process. If the existing indicators are not sufficient to allow for an accurate appraisal, specific indicators could be created during the evaluation planning stage (preparing and revising the ToR) and assessed during the evaluation process.

124.   **Formulating HR & GE indicators** requires attention to general issues, such as whether the indicators are SMART (specific, measurable, accurate, relevant and time-bound). However, it also requires special attention to specific issues, such as being able to measure whether rights and equality are being promoted in a disaggregated manner. Prioritizing which indicators to use depends on several factors, such as the type of information needed, comprehensiveness of the picture provided, costs and efforts to produce the information required and the problem to be addressed. It may seem like a difficult task but the tips in the Box 13 can be helpful in the process.

125.   A meaningful indicator framework to promote and monitor human rights issues should also be anchored in the normative content of rights, as notably enumerated in the relevant articles of international human rights instruments, as interpreted, inter alia, by the relevant committees in their general comments (for example, the two general comments on gender equality)[106]. It is important to remember that the primary objective of a human rights assessment is to assess how duty bearers are meeting their obligations – irrespective of whether they are promoting a right or protecting

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106   General Comment No. 28: Equality of rights between men and women (article 3): 29/03/2000. CCPR/C/21/ Rev.1/Add.10, General Comment No. 28. (General Comments); and General comment No. 16 (2005): 11/08/2005. E/C.12/2005/4. (General Comments), CESCR.

Box 13. Tips for Formulating HR & GE Indicators

1) **Think SMART**: Indicators need to be specific, measurable, accurate, relevant, and time-bound. For HR & GE indicators, their formulation needs to address these aspects in a very clear manner.

2) **Identify suitable indicators**: Look for indicators that give as detailed, accurate and comprehensive a picture of progress as possible, can convincingly demonstrate how an intervention is developing, and that focus on the most critical aspects necessary for the results to be achieved.

3) **Clarify concepts**: Do not confuse gender (a cultural construct of what it means to be male and female) and sex (a biological difference between men and women), gender issues and women's issues, etc.

4) **Do not treat stakeholders as a uniform group**, especially beneficiaries: Beneficiaries of an intervention have the right to be treated fairly, pertaining to their specific situations and addressed accordingly. Disaggregating indicators and collecting information on different groups (according to gender, race/ethnic group, age, area of residence, disabilities, income level, sexual orientation, HIV/AIDS status, literacy and education level, employment type, political affiliation, religious affiliation, involvement in conflict, etc.), is a powerful ally in this process.

5) **Use a mix of qualitative and quantitative indicators** to measure the results of an intervention: A balanced mix is essential to generate more and diverse information, to add credibility to the data and to probe on more profound aspects of the changes demonstrated.

6) **Consult stakeholders when formulating and choosing indicators**: They may have additional ideas and the contextual knowledge to identify what information will be most relevant to understand the changes to which the intervention contributes.

and fulfilling it. Consequently, the adopted framework should be able to reflect the obligation of the duty-holder to respect, protect and fulfil human rights. Finally, it is necessary to recognize and reflect cross-cutting human rights norms and principles (such as non-discrimination and equality, indivisibility, accountability, participation and empowerment) in the choice of indicators, as well as in the process of undertaking an assessment[107].

126.   Several external sources provide guidance on how to formulate HR & GE indicators, as a result of the progress made in the last twenty years in international and national statistics, such as

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107   United Nations, 'Report on Indicators for Promoting and Monitoring the Implementation of Human Rights', <www2.ohchr.org/english/issues/indicators/docs/HRI.MC.2008.3_en.pdf>.

gender statistics.[108] There is also a reference document on structural, process and outcome indicators for human rights.[109] They are worth consulting for more detailed guidance and ideas.

127.   To illustrate how to address HR & GE issues, Boxes 14 and 15 provide some **examples of empowerment indicators**. However, indicators are only effective if they are context-specific, and closely related to the issues addressed by the intervention they are intended to serve. So these should not be copied as a blueprint. Annex 2 offers further examples with some illustrative categories of empowerment.

Box 14. Examples of Quantitative Empowerment Indicators Related to HR & GE

- Number of cases related to HR & GE heard in local/national/subnational courts, and their results.

- Proportion of women and men in different stakeholder groups in decision-making positions in local/national/subnational government.

- Employment/unemployment rates of women and men in different stakeholder groups.

Box 15. Examples of Qualitative Empowerment Indicators Related to HR & GE

- Extent to which legal services are available to women and men of different stakeholder groups.

- Changes in access to information about claims and decisions related to human rights violations.

- Extent to which women and men in different stakeholder groups have greater economic autonomy, both in private and public.

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108   See CIDA, 'Guide to Gender-Sensitive Indicators', 1997, <www.acdi-cida.gc.ca/INET/IMAGES.NSF/vLUImages/Policy/$file/WID-GUID-E.pdf>. Also see United Nations, 'Strengthening UN Support for the Promotion and Protection of Human Rights Worldwide: Action 2', <www.un.org/events/action2/>; and the Universal Human Rights Index, <www.universalhumanrightsindex.org/>.

109   United Nations, 'Report on Indicators for Promoting and Monitoring the Implementation of Human Rights', <www2.ohchr.org/english/issues/indicators/docs/HRI.MC.2008.3_en.pdf>.

Chapter 6. Planning and Preparing an HR & GE Responsive Evaluation

6.1. Preparing an HR & GE responsive evaluation

128.   After having established the core concepts and principles of HRBA and gender equality mainstreaming in Chapter 2, and outlining the framework for applying these principles to evaluation in Chapter 3, this section will now take a closer look at the steps necessary in planning and preparing for an HR & GE responsive evaluation in practice.

129.   All too often, during the evaluation process, HR & GE dimensions of an intervention are treated superficially, unsystematically, or not addressed at all. The planning and preparation of an evaluation are crucial to make sure HR & GE dimensions are properly addressed throughout the evaluation process: the earlier HR & GE approaches are incorporated into the evaluation thinking, the higher the chances that they will be thoroughly analysed during its implementation.

130.   The evaluation manager also has the greatest responsibility to incorporate HR & GE in the evaluation during its planning and preparation stages. It is therefore important that he/she have a good understanding of HR & GE in the UN system. Otherwise, assistance, especially in planning and developing the ToR for the evaluation, should be sought.

131.   This section describes how to address HR & GE in the evaluation planning and preparation to support the role of the evaluation manager. It focuses on integrating the HR & GE dimensions into five key aspects of evaluation planning and preparation:

- evaluability assessment
- stakeholder analysis
- evaluation management structure
- evaluation design and terms of reference
- evaluation team selection

6.1.1. Evaluability

132.   ***An evaluability assessment[110] is a diagnosis that helps the evaluation manager to review the extent to which an intervention is ready to be evaluated, and its evaluation "justified, feasible***

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110   The OECD-DAC (2001) evaluation glossary defines evaluability as the: "Extent to which an activity or a programme can be evaluated in a reliable and credible fashion. Evaluability assessment calls for the early review of a proposed activity in order to ascertain whether its objectives are adequately defined and its results verifiable."

and likely to provide useful information"[111]. Its purpose is not only to conclude if the evaluation can be undertaken or not, but also to prepare the intervention to generate all the necessary conditions to be evaluated and help to determine its scope and basis for developing the terms of reference (see section 4.2).

133.   Before beginning an evaluation, it is important to assess whether HR & GE dimensions have been adequately considered during the design, implementation and monitoring of the intervention to be evaluated. Despite the UN mandates, the reality is that interventions do not always mainstream HR & GE (or mainstream one without considering the other). As such, the consideration of HR & GE should be integrated into three main areas of any evaluability assessment:

- quality of design
- data availability
- context

134.   When considering the evaluability of an intervention from a HR & GE perspective, the evaluation manager and/or the evaluation team will encounter a range of different situations each requiring a different response, as shown in Table 4. The table includes three levels of evaluability of HR & GE to be considered (low, medium and high), as well as information on the characteristics of interventions and possible approaches to challenges. In all cases, the evaluation manager and/or the evaluation team will have options on how to address evaluability challenges during the evaluation process.

135.   It is important to also note that an evaluability assessment can be conducted as part of an overall evaluation process or as a separate exercise prior to the conduct of an evaluation. If undertaken as a separate exercise, this allows for identifying areas where evaluability is weak and can provide recommendations on how it can be improved. When the evaluability of the HR & GE dimensions of an intervention are unknown, or known to be weak, conducting a separate evaluability assessment exercise is a very useful practice to both enhance evaluability and scope the evaluation in terms of these dimensions.

Table 4. Determining the Evaluability of the HR & GE Dimensions of an Intervention		
Evaluability	Characteristics of the intervention	Possible approaches to address evaluability challenges
High	The intervention theory has clearly considered HR & GE issues (e.g. the intervention identified, from the beginning, problems and challenges that affect particular groups, inequalities and discrimination patterns in the area where it occurs, contextual or systematic violations of rights, etc.)	• Make sure that the evaluation ToR takes full advantage of the information already produced by the intervention, and of the participation and accountability mechanisms established. • Consult stakeholders on whether there are still areas where the HR & GE dimensions in the intervention need improvement.

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111   Office of Juvenile Justice and Delinquency Prevention, 'Evaluability Assessment: Examining the Readiness of a Programme for Evaluation', May 2003, p. 5, <www.jrsa.org/pubs/juv-justice/evaluability-assessment.pdf>.

Table 4. Determining the Evaluability of the HR & GE Dimensions of an Intervention (continued)		
Evalu-ability	Characteristics of the intervention	Possible approaches to address evaluability challenges
High	HR & GE are clearly reflected in the intervention design (logframe, indicators, activities, M&E systems, reporting mechanisms)	• Address any possible weaknesses and recommend steps to improve the intervention, if necessary. Consult stakeholders on their ideas about how to improve. • If necessary, include methods and tools in the evaluation that can capture new data or strengthen the existing ones on HR & GE (e.g. information on additional groups of people, changes in the context, etc.). • Use the context (political, institutional, cultural) of the intervention in favour of the evaluation: when it is conducive, build on this support to ensure a highly participatory evaluation.
	The intervention design benefited from a strong and inclusive stakeholder analysis	
	The intervention design benefited from specific human rights and gender analyses	
	Records of implementation and activity reports contain information on how HR & GE issues were addressed	
	Stakeholders (both women and men) have participated in the various activities of the intervention in an active, meaningful and free manner	
	Monitoring systems have captured HR & GE information (e.g. the situation of different groups of people, specific indicators, etc.)	
	Data has been collected in a disaggregated manner (e.g. by sex, ethnicity, age, etc.) reflecting the diversity of stakeholders	
	Progress and results reports for the intervention include HR & GE information	
	Context (political, institutional, cultural, etc.) where the intervention is inserted is conducive to the advancement of HR & GE	
Medium	The intervention theory has considered HR & GE issues to a certain extent, with weaknesses in some areas of the intervention	• Understand the reasons for the limitations: are they political, practical, budgetary, time-related, due to limited know-how, etc.? Consult stakeholders and documentation that may offer insights on this. • Highlight the evaluability limitation in the evaluation ToR. Include, in the evaluation design, tools and methods that make use of the existing data, but that may also help generate new information on HR & GE. Include tools and methods that strengthen stakeholder participation. • Pay special attention to the stakeholder analysis in the evaluation process, and who should be involved. Make sure to consider groups that have been left out, and how to include them at this stage. • Include in the evaluation process an exercise to strengthen the existing HR & GE analyses. • During the evaluation process, seek partners and documents that may have useful information on HR & GE that has not been captured by the intervention (e.g. national evaluation/statistics offices, other development agencies, civil society and community organizations, media, academia, etc.).
	HR & GE have been reflected in the intervention design to some extent (e.g. intended or mentioned, but not clearly articulated on how to address them in practice; limited to only a few disaggregated indicators such as number of men and women; addressing numbers without addressing actual changes in rights and equality situation; clear in the narrative but not in the logframe, etc.)	
	The intervention design benefited from a stakeholder analysis, but important groups have been left out	
	The intervention design benefited from limited human rights and gender analyses, or from only one of them	
	Records of implementation and activity reports include limited data on how HR & GE have been addressed	

Table 4. Determining the Evaluability of the HR & GE Dimensions of an Intervention (continued)		
Evalu-ability	**Characteristics of the intervention**	**Possible approaches to address evaluability challenges**
Medium	Stakeholders have participated in the intervention to a certain extent (e.g. being informed or consulted, but not taking part in decisions; only some groups have been consulted; etc.)	• Build on the context where the intervention is inserted: if it is conducive to the advancement of HR & GE only to a certain extent, identify key advocates and supporters of the cause and involve them in the evaluation design stage.
	Monitoring systems have captured some information on HR & GE	• During the data analysis process, address whether the limitations in the intervention had a negative effect on particular stakeholders. Analyse also the negative effect of not being able to substantively assess HR & GE (e.g. how the lack of this information and data affects the overall evaluation findings, which would basically be incomplete). Consider and consult stakeholders on how this situation could be improved.
	Some limited disaggregated data have been collected	
	Progress and results reports for the intervention include some information on HR & GE	
	Context (political, institutional, cultural, etc.) where the intervention is inserted is conducive, to a certain extent, to the advancement of HR & GE	• Include data on HR & GE in the evaluation report, address limitations and provide recommendations for improvement.
Low	The intervention theory failed to consider HR & GE dimensions in its design, implementation and monitoring	• Understand the reasons for the failure: are they political, practical, budgetary, time-related, due to limited know-how, etc. Consult stakeholders and documentation that may offer insights on this.
	Stakeholder, HR & GE analyses were not conducted adequately or not existent at all	• Highlight the evaluability limitation in the evaluation ToR. Include, in the evaluation design, tools and methods that may help generate information on HR & GE, even if limited. Include tools and methods to enhance stakeholder participation.
	Data on HR & GE and/or disaggregated data are not available	
	Stakeholder participation in the design, implementation and monitoring processes of the intervention has been minimal or has left out important groups (women, men, indigenous people, people with disabilities and HIV/AIDS, children, etc.)	• Pay special attention to the stakeholder analysis in the evaluation process, and who should be involved. Because the HR & GE dimensions have not been considered in the intervention, several important stakeholders will most probably have been left out.
	Progress and results reports for the intervention do not address HR & GE issues	• Include preparation of HR & GE analyses in the evaluation process.
	Context (political, institutional, cultural, etc.) where the intervention is inserted is not conducive to the advancement of HR & GE	• During the evaluation process, seek partners and documents that may have useful information on HR & GE that has not been captured by the intervention (e.g. national evaluation/statistics offices, other development agencies, civil society and community organizations, media, academia, etc.).
		• In spite of the context, try to identify advocates and supporters of HR & GE and involve them from the evaluation design stage.
		• During the data analysis process, pay special attention to the question whether the intervention had a negative effect on particular stakeholders. Consider and consult stakeholders on how this situation could be improved.
		• Highlight the challenges of addressing HR & GE in the evaluation report, including evaluability challenges. Since HR & GE are a mandate of the UN, which should be considered in every intervention design, provide assertive recommendations for immediate action.

136.   During an evaluability assessment exercise, it is a recommended good practice to include in its ToR specific questions from an HR & GE perspective. Some suggestions are listed in Table 5 below.

Table 5. Evaluability Assessment ToR Questions	
Quality of the intervention design	• Was a human rights and gender analysis conducted to clearly define the underlying structural issues in realizing HR & GE? Does the design respond to this analysis? • Was there a clear identification of the HR standards and the women and individuals/groups who are marginalized and/or discriminated against as the focus of the intervention? Have gender roles and relations been examined and areas of discrimination against women been identified? Is there a targeted strategy to contribute to changes in rights holders and duty bearers? Are the strategy objectives clear and realistic? Do proposed programme activities lead to goals and objectives regarding HR & GE?
Availability of information	• Does the programme have capacity to provide data for a HR & GE responsive evaluation? • Is there baseline data on the situation of rights holders, and in particular women, at the beginning of the intervention? • Are there human rights and gender-sensitive indicators built into the intervention? • Is there a consistent monitoring system in place to track progress in HR & GE mainstreaming? • Is disaggregated data available? What kind of information on HR and GE is accessible and how can it be collected? • What are the likely costs of HR & GE data collection and analysis?
Context	• Is the context in which the evaluation will take place conducive to HR & GE responsive evaluations? Do stakeholders' views on HR & GE generally align with international norms? • If there are issues that may provoke resistance or political opposition, what strategies will be put in place to include HR & GE analyses into the evaluation? • Is there national/regional expertise available to evaluate the integration of these core areas?

6.1.2. Stakeholder analysis

137.   *Evaluation stakeholders are individuals who have an interest in the intervention to be evaluated and/or in the evaluation findings.* As far as possible, stakeholders should be involved from the early stages of the evaluation process. A *stakeholder analysis* is the most effective tool to help identify who the different groups in an intervention are and why, how and when they should be included in the evaluation process.[112] It serves to define a subset of targeted users and aids in the

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112 UNEG Handbook: 'Integrating Human Rights and Gender Equality in Evaluation: Towards UNEG Guidance', 2011, <www.unevaluation.org/papersandpubs/documentdetail.jsp?doc_id=980>.

identification of the stakes each one has in the evaluation, as well as in prioritizing and balancing the information received from stakeholders.

138.   Involving stakeholders directly affected or concerned by an intervention in the design, planning and implementation of its evaluation is a fundamental principle of any evaluation process. According to UN mandates, ensuring stakeholders' participation, including both men and women, is an obligation of the UN, and it is the right of every beneficiary to have a say on processes and interventions that affects their lives. Evaluation is no exception. In order to make it HR & GE responsive, one needs to ensure that stakeholders identified include *duty bearers and rights holders, men and women, etc.* As outlined in Chapter 2, UNEG Norms and Standards explicitly mandate transparency and consultation with the intervention's major stakeholders (Norm 10.1; Standard 4.10).

139.   Integrating HR & GE in an evaluation stakeholder analysis involves the consideration of five main types of stakeholders:[113]

"Evaluations should be measured by not only what is recommended but also by how the recommendations were arrived at. Success is often a function of the extent to which stakeholders have 'bought into' the evaluation results. It is likely that recommendations and lessons learned will make a larger contribution if stakeholders have participated throughout the evaluation."

CIDA, 'CIDA Evaluation Guide', October 2004, p. 19, <www.acdi-cida.gc.ca/INET/IMAGES.NSF/vLUImages/ Performancereview5/$file/english-e-guide.pdf>.

- duty bearers who have decision-making authority over the intervention such as governing bodies;

- duty bearers who have direct responsibility for the intervention, such as programme managers;

- secondary duty bearers, such as the private sector or parents;

- rights holders (individually or through the civil society organizations acting on their behalf) who are the intended and unintended beneficiaries of the intervention; and

- rights holders (individually or through the civil society organizations acting on their behalf) who should be represented in the intervention but are not, or who are negatively affected by the intervention.

140.   Together with state and governmental entities, civil society organizations (including organizations promoting human rights or representing women or individuals/groups who are marginalized and/or discriminated against) and social movements are crucial partners, as they "have a deep

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113   Adapted from Patton, 2008, p. 61, and from UN Women, 'A Manager's Guide to Gender Equality and Human Rights Responsive Evaluation, Identifying Stakeholders and Reference Groups', <www.unwomen.org/en/ digital-library/publications/2010/1/a-manager-s-guide-to-gender-equality-and-human-rights-responsive- evaluation>.

knowledge of the intervention context and they represent civil society interests and needs, thus enhancing accountability throughout the evaluation."[114]

141.   When conducting a stakeholder analysis, identifying the evaluation's likely users among the various stakeholders first will help evaluation managers and evaluators to decide the extent to which different groups will be involved in the process. Next, the stakeholders should be disaggregated into the five main types above so managers are sure they include as many key stakeholder groups as possible. This is a critical factor in ensuring inclusiveness by not treating people as a uniform group (e.g. beneficiaries), but understanding and acknowledging that different groups exist and are affected by an intervention in different ways.

142.   The degree and level of stakeholder participation in an evaluation process varies and the different challenges posed – institutional, budgetary and time – need to be taken into consideration. The evaluation manager will need to weigh the level of stakeholder participation against the benefits and constraints.

143.   A stakeholder analysis is also a helpful tool to address the possible bias in evaluations. Evaluations subject to budget and time constraints often interview those stakeholders who may be most accessible (geographically, linguistically, etc.) or those who constitute the intervention's direct beneficiaries or are affiliated with implementing agencies. Often, information is not collected from groups who have been excluded or whose situation may have deteriorated due to the intervention. These unintended outcomes need to be examined and either accounted for or acknowledged; otherwise there is a real risk of not having a full assessment of the interventions' relevance, effectiveness, sustainability or impact.

144.   The stakeholder analysis matrix in Table 6 is a tool developed to assist the evaluator in identifying the stakeholders and deciding who should be involved in the evaluation process and in what ways, with the explicit consideration of HR & GE. It helps "to carefully balance the desire to be inclusive […] against the challenge of managing the evaluation process efficiently."[115] An analysis of stakeholders that includes a HR & GE lens facilitates enhanced participation and inclusiveness throughout the evaluation process – from developing the ToR, selecting appropriate methods for data collection and analysis to developing a dissemination strategy.

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114   UN Women, 'A Manager's Guide to Gender Equality and Human Rights Responsive Evaluation, Identifying Stakeholders and Reference Groups', <www.unwomen.org/en/digital-library/publications/2010/1/a-manager-s-guide-to-gender-equality-and-human-rights-responsive-evaluation>.

115   Ibid.

Table 6. Stakeholder Analysis Matrix					
Who (stakeholders, disaggregated as appropriate)	**What** (their role in the intervention)	**Why** (purpose of involvement in the evaluation)	**Priority** (how important to be part of the evaluation process)	**When** (stage of the evaluation to engage them)	**How** (ways and capacities in which stakeholders will participate)
Duty bearers with the authority to make decisions related to the intervention Example: government organizations; government officials; government leaders; funding agency					
Duty bearers who have direct responsibility for the intervention Example: funding agency; government, programme managers; partners (individual and organizations); staff members					
Secondary duty bearers Example: private sector; other authorities; employers					
Rights holders who one way or another benefit from the intervention Example: women, men, girls, boys, other groups disaggregated					
Rights holders who are in a position disadvantaged by the intervention Example: women, men, girls, boys, other groups disaggregated					
Other interest groups who are not directly participating in the intervention Example: other development agencies working in the area; civil society organizations; other organizations; private businesses, non-state actors such as guerrilla movements, etc.					

145.   The stakeholder analysis matrix needs to be populated carefully, considering the different stakeholders groups and their possible participation. Table 7 below explains what data should be entered in each cell.

Table 7. How to Populate and Use the Stakeholder Analysis Matrix (Table 6 above)	
'What' (roles in the intervention)	Examples of roles that should be included in the matrix (not exhaustive, others should be added depending on the context and intervention): 1. Funder – more than 50% 2. Funder – less than 50% 3. Duty bearers 4. Partner 5. Adviser 6. Supporter 7. Programme management 8. Programme staff member 9. Primary beneficiary and rights holders 10. Secondary beneficiary and rights holders 11. Non-participants possibly affected by the intervention 12. Other
'Why' (purpose of involvement in the evaluation)	1. Inform: Keep the stakeholder informed of the evaluation's progress and findings 2. Consult: Keep the stakeholder informed of the evaluation's progress and findings, listen to them, and provide feedback on how the stakeholder's input influenced the evaluation 3. Collaborate: Work with the stakeholder to ensure that their concerns are considered when reviewing various evaluation options; make sure that they have the opportunity to review and comment on options, and provide feedback on how their input was used in the evaluation 4. Collaborate: Incorporate the stakeholder's advice and concerns to the greatest degree possible, and provide opportunities for meaningful involvement in the evaluation process 5. Empower: Transfer power for the evaluation over to the stakeholder: it is their evaluation. The evaluation team will offer options and advice to inform their decisions. Decision-making power ultimately rests with this stakeholder, whose decisions will be supported, informed and facilitated by the evaluation team.
'Priority' (how important to be part of the evaluation process)	1. Low level of relevance to the evaluation 2. Medium level of relevance to the evaluation 3. High level of relevance to the evaluation

'When' (stage of the evaluation to engage them)	Preparation (e.g. preparation of ToR including setting of scope, selection of evaluation team) 1. Inception and primary research (e.g. development of evaluation design, framing evaluation questions and criteria) 2. Data collection and analysis 3. Report preparation 4. Management response 5. Dissemination
'How' (ways and capacities in which stakeholders will participate)	Possible ways and capacity to participate in an evaluation (not exhaustive): 1. As an informant 2. As a member of a steering committee 3. As an evaluator 4. As audience to be informed of the evaluation

146.   A possible approach to prioritizing stakeholders (which can complement the exercise above) is to produce a ranking according to their degree of importance for and influence in the intervention.

147.   The use of this tool with the stakeholder analysis matrix allows evaluation managers to map out the stakeholders of the evaluation from a HR & GE perspective and their relative influence and importance level so that important decisions can be made on how to set up the evaluation management structure; the selection of the approaches and methods to use in the evaluation to ensure participation and inclusiveness to the extent possible; the budget, time and resource implications this may have; and the types of evaluation products to include in the dissemination strategy.

6.1.3. Evaluation management structure and roles

148.   To guarantee the principles of participation, inclusiveness, transparency and accountability, a clear management structure should be defined for the evaluation and roles and responsibilities established. The constitution of the management structure should be informed by the HR & GE responsive stakeholder analysis that was conducted. The management structure should provide adequate HR & GE experience/expertise to ensure that sound decisions are made related to the design, conduct and dissemination of the evaluation in this regard. Evaluation management structures commonly include one or more of the following individuals/groups. Tips on the role and responsibilities of the individuals/groups from a HR & GE point of view are provided below:

- *Evaluation manager:* s/he plays a key role in ensuring that HR and GE principles are integrated as the person responsible for managing the day-to-day aspects of the evaluation; for making sure that it is implemented according to agreed plan; and for the quality assurance of the process and the deliverables. In order to do so, the evaluation manager should have knowledge and experience in integrating HR & GE in evaluation. If this is not the case, then it is

essential that this expertise be strongly represented elsewhere in the evaluation management structure or that the evaluation manager works closely with a HR & GE technical adviser.

- *Evaluator or evaluation team:* the person or persons responsible for the actual undertaking of the evaluation. It is crucial that the evaluator/evaluation team has the level of specialization required to guarantee integration of HR and GE as envisioned in the ToR (see section 6.2). They are responsible for refining the methodology, developing and implementing the data collection and analyses tools and methods, and preparing for validation an evaluation report that makes recommendations. The considerations for selecting the evaluator/evaluation team are discussed in section 6.3.

- *Reference group/advisory group:* The use of a reference group or advisory group is a key step in guaranteeing the transparency, accountability and credibility of an evaluation process and plays a key role in validating the findings. Reference groups should be inclusive and provide a key forum for participation in the evaluation for the different stakeholder groups identified and prioritized in the stakeholder analysis. The constitution of the group should strive be inclusive and gender balanced. It is essential that it also involve women and men representing the relevant groups marginalized and/or discriminated against. Advisory groups can also be constituted to provide methodological or thematic advice, including on HR & GE issues. The presence of human rights and gender experts in this group is a good way to address limited HR & GE experience in an evaluation manager and/or evaluation team. Advisory group members can include academics, UN gender and/or HR advisers, representatives of HR and/or women's organizations, etc.

6.1.4. Estimating resource needs and time-frames

149.   A key element of planning an evaluation involves thinking about the cost, time and human resources that need to be invested. All three components are interlinked and should be considered in the preparation of evaluation.

150.   General budgets for evaluation are usually allocated in institutional evaluation plans or the planning and budgeting documents of an intervention. However, it is during the preparation stage that the details of how the general evaluation budget will be applied are decided, and if it will be adequate to address the evaluability challenges identified or to allow for participation and inclusion of stakeholders based on the stakeholder analysis. To conduct an HR & GE responsive evaluation, managers need to be aware that *measuring HR & GE results can involve different dimensions than traditional evaluation practice*. *This can require re-examining what approaches and methods will be used, which then may require adjustments to the allocation of time and (human and financial) resources to undertake them.* While in some cases additional time and resources may be needed to conduct a HR & GE responsive evaluation, the improvement in quality and credibility of the evaluation is a huge benefit.

151.   Table 8 provides some very general tips to help with this estimation, given different levels of expertise, resources and time. Resource availability in the second column refers to resources specifically devoted to HR & GE issues, as part of the overall resources devoted to the evaluation.

Table 8. Indicative Resource Levels for Integrating HR & GE Dimensions Into Evaluations		
Level of resources and RBM link	**Resource availability for assessing HR & GE**	**Examples of HR & GE issues to be covered**
Low (focus on output level)	5-10 person days One evaluation team member with expertise/ responsibility for HR & GE	*Did international, national and agency HR & GE standards, principles and recommendations guide the intervention?* • Support to capacity of duty bearers and rights holders • Focus on women and individuals/groups who are marginalized and/or discriminated against • Use of sex-disaggregated data • Extent of gender and human rights mainstreaming • Specific products related to HR & GE
Medium (focus on outputs and relations to outcomes)	10-20 person days One evaluation team member with expertise in HR & GE	*Did international, national and agency HR & GE standards, principles and recommendations guide the intervention?* • Sustainable changes in capacity of duty bearers and rights holders • Mainly qualitative changes in the human rights situation of women and men most likely to have their rights violated • Mainly qualitative changes in gender relations and women's empowerment
High (focus on the results chain and particularly outcomes and impact)	30 or more person days One to two evaluation team members with HR & GE expertise	*Did international, national and agency HR & GE standards, principles and recommendations guide the intervention?* • Changes in duty bearers meeting their obligations and rights holders making claims • Quantitative and qualitative changes in human rights situation of women and men most likely to have their rights violated • Quantitative and qualitative changes in gender relations and women's empowerment • Structural changes in power relations • Likely sustainability of intervention in HR & GE areas of results

152.   A few practical examples may help to illustrate what can be achieved with a low, medium and high investment level in different contexts, as demonstrated in Box 16.

Box 16. Practical Example: Addressing HR & GE With Different Levels of Resources

A. With a <u>low</u> level of resource investment for HR & GE

An initiative promoting the installation of pump sets to irrigate crop land and increase crop production has user groups set up to manage the pump sets to ensure operation, maintenance, and sustainability. Under this programme, specific efforts are made to ensure that women participate in the user groups. With a low level of resources included in the evaluation, it would be feasible to examine the following:

- The governance structures of the user groups, and what claims these groups were able to make on the government, for example in relation to assured electricity supplies.
- If women's concerns were being taken into account, for example in terms of the kinds of crops that were being grown.
- If benefits from the more reliable water flows (presuming that the intervention met this objective) were accruing mainly to elites, or to a dominant ethnic group.
- Whether there were any products developed specifically for women and men in groups most likely to have their rights violated, for example, training activities and awareness campaigns.

B. With a <u>medium</u> level of resource investment for HR & GE

A national policy on disaster risk reduction has been in place for three years. The evaluation can assess the quality of the policy concerning the extent to which it took HR & GE approaches into account, and the initial effects of the policy in the first years after its introduction. With a medium level of resources, the evaluation could carry out an adequate number of interviews with organization and government stakeholders and with affected communities to answer questions along the following lines, or similar kinds of questions could be added to existing interview guides:

- Was the capacity of government staff responsible for the policy developed sufficiently so that they understood the HR & GE implications of disaster risk reduction?
- Did the policy include measures to support consultation with women and men in groups most likely to have their rights violated, concerning disaster risk reduction? Were the rights of these groups to settlements and livelihoods of adequate quality ensured if there was a need for involuntary resettlement?
- Has the policy led to an enabling environment where women's concerns (e.g. in design of cyclone-resistant shelters and/or housing) have been taken into account?

C. With a <u>high</u> level of resource investment for HR & GE

In relation to the example of a disaster risk reduction policy above, it should be possible to review the results chain from outputs through outcomes to impact, although the sequence of

cause-effects in policy implementation can be very complex. An evaluation with a high level of investment could answer all of the questions in the last paragraph, and possibly go one step further to consider if the policy has had its intended consequences and if there has been a reduction in the effect of disasters for women and men in groups most likely to have their rights violated or in human rights violations related to disasters.

If there has been a natural disaster in the country, a comparison could be made between the effects of disasters before and after the policy was in place, making assumptions that the policy was a major cause of the improvement, for example, because of more resources and better planning. For example, evaluations of the 1998 flood response in Bangladesh found that the response had been more effective than that to a flood ten years earlier.

Source: Young (2000)

153.   Together with the cost budget, the time required to adequately carry out a HR & GE 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, on financial and human resources available as well as contextual and other external factors. Selection of evaluation methodology will be discussed below. Participatory/inclusive processes may not require more financial resources, but often require more time (e.g. training beneficiaries to collect data, etc.).

6.2.   Evaluation terms of reference/inception report

154.   The terms of reference (ToR)/inception report are key evaluation design documents to clarify the context of the intervention to be evaluated, the evaluation's purpose objectives, its scope and overall approach and methodology, the management structure, and its intended use. Drafting and negotiating the ToR is an opportunity for the UN entity to clarify with all stakeholders the main approach and focus of the evaluation.

155.   The UNEG Quality Checklist for Evaluation Terms of Reference and Inception Reports has nine criteria to be considered when developing ToR/inception reports for evaluations, including one specifically on HR & GE. This subsection will provide tools and advice on how to integrate HR & GE in each of the nine criteria.[116] Box 17 presents the provisions on gender and human rights as detailed in the checklist.

156.   Deciding on an evaluation approach is an important step in designing an evaluation, as it sets the framework from which the methodology and tools will stem. This is the moment to make sure that the approach chosen allows for HR & GE dimensions to be systematically included, understood and

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116   UNEG Quality Checklist for Evaluation Terms of Reference and Inception Reports.

taken into account. Before beginning the process of developing an evaluation's ToR, it is important to underline that the way HR & GE dimensions are included may vary according to the two types of interventions addressed in this Guidance: those specifically designed to promote HR and/or GE, and those interventions where HR & GE are not the primary focus, but are mainstreamed.

Box 17. UNEG Quality Checklist for Evaluation Terms of Reference and Inception Reports' Provisions on Gender and Human Rights

The checklist identifies features to guide whether and to what extent HR & GE dimensions have been incorporated into the evaluation design. They are:

• The ToR indicates both duty bearers and rights holders (particularly women and other groups subject to discrimination) as primary users of the evaluation and how they will be involved in the evaluation process;

• The ToR spells out the relevant instruments or policies on human rights and gender equality that will guide the evaluation process;

• The ToR includes an assessment of relevant human rights and gender equality aspects through the selection of the evaluation criteria and questions;

• The ToR specifies an evaluation approach and data collection and analysis methods that are human rights-based and gender sensitive and for evaluation data to be disaggregated by sex, ethnicity, age, disability, etc.;

• The ToR defines the level of expertise needed among the evaluation team on gender equality and human rights and their responsibilities in this regard and calls for a gender balanced and culturally diverse team that makes use of national/regional evaluation expertise.

Source: <www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=608>

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157.   For interventions that have a strong focus on HR and/or GE, the following features should be part of the ToRs:

• The ToRs should include an overview of how international human rights instruments and the organization's policy on human rights and gender equality are to guide the evaluation process. The main emphasis of the evaluation should be on determining the extent to which HR & GE have been promoted, and how this has or has not occurred.

• The evaluation team should be comprised of experts in human rights, gender equality and capacity development specialists, and the methodology should aim to be as participatory and inclusive as possible.

• Primary users of the evaluation should include women and individuals/groups who are marginalized and/or discriminated against, and attempts should be made to ensure their inclusion in the evaluation design and process, as well as among respondents.

- All evaluation data should be disaggregated by sex as well as by ethnicity, age, disability and any other relevant category wherever possible. Both qualitative and quantitative data should be collected in order to triangulate and provide the context behind the numbers.

158.   For interventions that include promotion of human rights and gender equality as one component of a wider programme or where it is mainstreamed, the ToRs should also reflect:

- The conceptual framework for the evaluation should make reference to key international/ organization legislation and policies on HR & GE, given the UN's human rights and gender equality mandates.

- There should either be separate evaluation questions with a focus on human rights and gender equality, or these should be integrated into the more general questions. The evaluation could analyse the connections between the intervention and the promotion of HR & GE. Evaluation of capacity development and the extent to which the capacity of duty bearers and rights holders has been increased should be also included among the evaluation questions.

- The ToR should require that the evaluation analyse how the capacity of duty bearers and rights holders has been supported, and the possible results of this vis-à-vis the actual human rights of groups most likely to have their rights violated. It should also require analyses on how the intervention addressed structural inequalities and power relations.

- The evaluation team should include expertise in human rights and gender equality, and the team leader should have at least a basic understanding of the UN's institutional mandate and the human rights and gender equality approach of the organization commissioning the evaluation. This is further discussed in section 6.3.

- The evaluation methodology should integrate HR & GE dimensions in its approach and tools. This is discussed in detail in section 5.2 of this Guidance.

- All evaluation data should be disaggregated by sex, unless there is a specific reason for not disaggregating, as well as by ethnicity, age, disability or other relevant factors wherever possible. Both qualitative and quantitative data should be collected in order to triangulate and provide the context behind the numbers.

159.   There will often be cases of interventions where HR & GE should have been integrated into the programme design, but were not. These offer the greatest challenge to evaluators as the interventions have little or no explicit focus on promoting HR & GE - in other words, they are HR & GE 'blind'. However, the results or impact of the intervention may have significant HR and/or GE implications – therefore, it is still important to integrate this in the evaluation to draw forward this information. Evaluators have a critical role in addressing the challenge of integrating HR & GE into the evaluations of such interventions. Entry points include:

- Understanding why an intervention has not adequately included HR & GE dimensions, given the UN's overarching mandate: What are the challenges and constraints to integrating HR & GE? What are the existing capacities within the organization and among the staff

responsible for the intervention (i.e. is it included in planning guidance)? What are possible measures to rectify the situation? What resources are necessary?

- Finding evaluators who have evaluation, technical and HR & GE related knowledge and experience: What is the adequate team configuration for the evaluation? What specific knowledge and expertise should be included in the requirements for the team? How can the evaluation tap into existing resources, such as national capacity?

- Defining tools and methods that support the generation of HR & GE data for the evaluation: What is the adequate methodology to generate new data on HR & GE for this particular evaluation? Are there existing and reliable data from other sources (e.g. other development organizations, academia, national organizations, etc.) that can be used to complement this evaluation? Is it possible to undertake an HR & GE analysis at this stage of the intervention?

- Finding champions within the organization and among partners who can support the integration of HR & GE at this stage of the intervention: Are there individuals or groups within the organization or among stakeholders who have particular skills and influence to support the integration of HR & GE? Should new partnerships be formed, within and outside the organization? Who are the most indicated partners to integrate HR & GE? Is it necessary to think outside the box and creatively come up with new partnerships that are not immediately obvious, but that could add value to the intervention in terms of HR & GE?

6.2.1. Evaluation design

160.   HR & GE dimensions should explicitly guide the whole evaluation design, from the definition of the evaluation's purpose and scope to the determination of appropriate inquiry methods and techniques. An adequate design serves to:

- better ensure that the evaluation process is transparent and accountable;

- increase the participation of stakeholders (specially duty bearers and rights holders), in a way that fits their needs and specificities (in particular, taking into account cultural dimensions);

- better ensure that the evaluation does not reinforce discrimination (in particular against women) and does not "mask inherent biases and values"[117];

- ensure that relevant HR & GE questions are addressed; and

- determine the human and financial resources required to achieve the evaluation's objectives.

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117 W.K. Kellogg Foundation, 'Evaluation Handbook', updated version January 2004, p. 69, <www.wkkf.org/resource-directory/resource/2010/w-k-kellogg-foundation-evaluation-handbook>.

6.2.1.1.　Evaluation purpose, objectives, context and scope

161.　The purpose and objectives of the evaluation describe why the evaluation is being done and explain what is expected from the intervention's assessment, based on its anticipated use and users (in particular its stakeholders). This guides the evaluators in the choice of the applied methodology, to the conduct of the evaluation and the writing of the report. Making explicit statements related to HR & GE findings in the purpose and objectives of the evaluation will bring these issues front and centre throughout the process.

162.　*Evaluation purpose and use* can be explicitly stated to better understand the extent to which HR & GE was integrated in an intervention for lessons on improvements for a possible 2nd phase or for future interventions. Other potential uses include revision of organizational policies on HRBA or GE and evaluation policies or guidelines.

163.　*Integration of HR & GE into evaluation objectives* is equally important. One example is a ToR for the *Joint Evaluation of Joint Programmes on Gender Equality in the UN System,* which included as one of the five objective of the evaluation: "the overall level of integration of human rights-based approaches in JGPs [joint gender programmes]".

164.　Providing a description of the evaluation context and of the context of the intervention being evaluated is important. The HR & GE context should be included in this by addressing such questions as: Has the country ratified international human rights conventions, including CEDAW? Are there any national policies on HR & GE? How are they relevant for the context of the intervention?

165.　Evaluation scope includes the thematic coverage and the key issues to be addressed during the evaluation process. Hence, to explicitly include HR & GE dimensions at this stage helps to orientate the evaluator or the evaluation team to the intent of the evaluation process. The scope is further developed in the evaluation design, in particular in the definition of evaluation criteria and key questions. An HR & GE evaluability assessment provides the ability to define the possible scope in terms of assessing HR & GE within the evaluation, and the limitations, e.g. data scarcity.

166.　The inclusion of HR & GE dimensions calls for the use of specific approaches throughout the evaluation process, which is to be underlined in the ToR. The expression 'approach' designates the perspective(s) that will guide the evaluation efforts and is (are) fit to achieve its purposes. It is the responsibility of the evaluation manager to define the "general approach to be taken in the conduct of the evaluation."[118] Many different approaches to evaluation exist (Table 9 describes some of them). Usually, evaluation designs articulate elements of several of them, according to the purposes and intended use of the evaluation and its users.

118　UN Women, 'A Manager's Guide to Gender Equality and Human Rights Responsive Evaluation', Defining Evaluation Scope and Questions <www.unwomen.org/en/digital-library/publications/2010/1/a-manager-s-guide-to-gender-equality-and-human-rights-responsive-evaluation>.

167.   An HR & GE responsive evaluation should aim at being transformative, participatory and culturally sensitive. The use of a combination of data collection methods is also recommended.

168.   Utilization focused evaluation has become one of the most popular evaluation approaches as evaluation managers and evaluators attempt to ensure that their evaluations are used in the ways intended. Given its key focus of working with stakeholders and users, and the participatory processes this involves, it is an important approach for evaluations attempting to integrate human rights and gender equality dimensions. Figure 2 presents the main outline of the utilization focused approach, and how users are to be engaged.

Table 9. Evaluation Approaches for Fostering Participation and Inclusiveness		
Evaluation approach	**Description**	**Implications for integrating HR & GE**
Utilization-focused[119]	Promotes intended use by intended users	Strong focus on participation of users throughout the evaluation process
Appreciative Inquiry[120]	Highlights good practice in association with evaluation	Promotes a high level of stakeholder participation
Feminist[121]	Addresses the gender inequities that lead to social injustice and examines opportunities for reversing gender inequities	Prioritizes women's experience and voices, including women from groups discriminated and/or marginalized against
Empowerment[122]	Programme participants conduct their own evaluations. An outside evaluator often serves as a coach or additional facilitator.	Most appropriate where the goals of the intervention include helping participants become more self-sufficient and personally effective; could therefore support capacity-building of rights holders and duty bearers.
Most significant change[123]	Sharing stories 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

169.   An example of the utilization-focused approach is given in Box 18, pointing out its further relevance for integration of human rights and gender equality perspectives into evaluations.

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119   Patton (2008): Utilization-focused checklist, <www.wmich.edu/evalctr/wp-content/uploads/2010/05/UFE.pdf>.

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121   K.A. Sielbeck-Bowen, S. Brisolara, D. Seigart, C. Tischler and E. Whitmore, 'Beginning the Conversation', *New Directions for Evaluation* 96, 2002, pp. 109-113.

122   David M. Fetterman, and Abraham Wandersman (eds), *Empowerment Evaluation Principles in Practice,* Guilford Press, 2005.

123   Rick Davies and Jess Dart, 'The Most Significant Change (MSC) Technique: A Guide to Its Use', United Kingdom and Australia, April 2005, <www.mande.co.uk/docs/MSCGuide.pdf>.

Figure 2. Standard Processes in Utilization-Focused Evaluation

| Determine primary intended users and uses | → | Establish a working group of users and/or a quality control mechanism | → | Determine focus, methodology and design with users | → | Review findings and recommendations with users on an ongoing basis, and include a tracking matrix in the report |
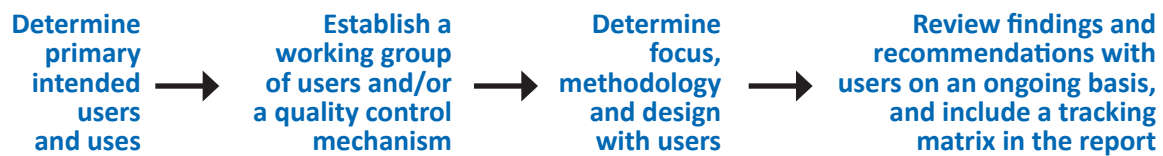
Adapted from Patton (1997)

Box 18. Utilization-Focused Approach to Inclusiveness and Participation

In the fourth edition of *Utilization-Focused Evaluation*, Michael Quinn Patton describes a number of evaluations fostering stakeholder participation in the evaluation process. One example is an evaluation he undertook of the Frontier School Division in Manitoba, Canada, at the request of the Deputy Minister of Education. In an initial meeting with division administrators, representatives from parents', principals' and teachers' union groups, stakeholders appeared sceptical of the evaluation, which they had not requested.

Despite stakeholders concerns that they were being "audited" and the evaluation was about fault-finding, Patton began by facilitating a process by which stakeholders determined the evaluation focus and questions. He asked them to complete the blank in the following: "I would really like to know – about Frontier School Division." From this exercise Patton developed a list of key evaluation questions. He comments (2008: 50-51): "The questions they generated were the kind an experienced evaluator could anticipate being asked in a district-wide educational evaluation because there are only so many things one can ask about a school division. But the questions were phrased in their terms, incorporating important local nuances and meaning and circumstance. Most important, they had discovered that they had questions they cared about – not my questions but their questions, because during the course of the exercise it had become their evaluation." Patton describes how this initial buy-in led to a successful evaluation process and support from stakeholders. He then presents five criteria for utilization focused evaluation questions:

1. Data can be brought to bear on the question; that is, it is truly an empirical question.

2. There is more than one possible answer to the questions; that is, the answer is not predetermined by the phrasing of the question.

3. The primary intended users *want* to answer the question. They care about the answer to the question.

4. The primary users want to answer the question for themselves, not just for someone else.

5. The intended users can indicate how they would use the answer to the question; that is, they can specify the relevance of an answer for future action.

Source: Michael Quinn Patton, *Utilization-Focused Evaluation*, 4th edition, Los Angeles: SAGE Publications, 2008.

170.   Appreciative Inquiry (AI) is an evaluative approach originally used in the private sector, but now increasingly being employed in public-sector evaluations. AI seeks to discover what works well and to understand the elements of success so that they can be replicated. It involves the art and practice of asking questions that strengthen a system's capacity to heighten positive potential. It mobilizes inquiry through crafting an unconditional positive question. It is an appropriate method for evaluations attempting to integrate human rights and gender equality perspectives because of the high level of stakeholder engagement. AI has been used in a wide range of evaluation and planning exercises. In a review of the use of AI in evaluations, Coghlan et al (2003: 20) found that: "By focusing on positive experiences, stakeholders are engaged and focus on visioning for the future and repeating successes. Using Appreciative Inquiry as an overarching philosophy, approach, or method for evaluation may provide meaningful and useful results. It does this in ways that are similar to participatory approaches to evaluation by stressing the questions asked, viewing inquiry as ongoing and integrated in organizational life, following structured processes, and emphasizing the use of findings."[124]

Here are three examples:

- The UNFPA 2005 meta-evaluation of evaluation quality used AI in eight country case studies. This led to extensive buy-in to the evaluation process and findings by UNFPA staff, and subsequent follow-up to recommendations.

- The 2005 evaluation of a rights-based NGO Sahanivasa in India used AI for discussions with landless labourers, and other individuals/groups marginalized and/or discriminated against. concerning what had worked well from their perspective concerning the support provided to them by the NGO.

- The UN Global Compact Leaders Summit, convened by the UN Secretary-General, used AI to spur innovative and creative thinking by establishing one-on-one dialogues and roundtable discussions between meeting participants and through the utilization of worksheets covering key issue areas. This approach effectively turned the leaders summit into a working conference, producing a range of insights, recommendations and commitments to action.

6.2.1.2.   Evaluation criteria

171.   Evaluation criteria provide a framework for assessment and define the evaluation questions. The UN commonly uses and adapts the evaluation criteria of the Organisation for Economic Cooperation and Development's Development Assistance Committee (OECD-DAC) to evaluate its interventions. These are relevance, effectiveness, efficiency, impact and sustainability. Additional criteria, such as the ALNAP humanitarian criteria, are also commonly used.

172.   However, the mainstream definitions of the OECD-DAC criteria are neutral in terms of the HR & GE dimensions, with the end result of producing evaluations that do not substantively assess

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124   A.T. Coughlan, H. Preskill and T.T. Catsambas, 'An Overview of Appreciative Inquiry in Evaluation', *New Directions for Evaluation*, Issue 100, 2003, pp. 5-22.

these dimensions. Table 10 provides some guidance on how to integrate HR & GE dimensions into the OECD-DAC evaluation criteria.

173.   It is the evaluation manager's and evaluator's task to define and integrate HR & GE dimensions into all evaluation criteria identified for an evaluation. There are also criteria that can be applied to evaluations that are derived directly from the HR & GE principles of equality, participation, social transformation, inclusiveness, empowerment, etc. and their use is strongly encouraged (see Table 10 for more details).

Box 19. Practical Example: HR & GE Dimension in Evaluation Criteria
A practical example of integrating HR & GE dimensions into evaluation criteria comes from the Joint Evaluation of Joint Programmes on Gender Equality in the UN System, which included a specific criterion of participation and inclusiveness for the evaluation that was defined as:
"The extent to which a development intervention is designed, implemented and monitored to promote the meaningful participation of a range of stakeholders (both rights holders and duty bearers) and to minimize negative effects of social exclusion"

Table 10. Integrating HR & GE into Evaluation Criteria	
Criteria and definition	**Integrating HR & GE**
Relevance: Extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies.	Assessing the HR & GE relevance of an intervention entails examining **how the intervention is designed to align and contribute to HR & GE**, as defined by international and regional conventions and by national legislation, policies and strategies and by rights holders and duty bearers, women and men, targeted by an intervention. Results of the intervention should also be relevant to the realization of HR & GE. Some examples of areas to assess include: • If and how the intervention was designed to contribute to the results in critical human rights and gender areas, as identified through human rights and gender analysis (based, inter alia, on the international conventions [e.g. CEDAW, CRPD, CRC] and related documents [e.g. concluding observations], declarations [UDHR], and other relevant international agreements on HR & GE); • Extent to which the intervention is aligned with and contributes to national policies and strategies on HR & GE; • Extent to which the intervention is informed by substantive and tailored human rights and gender analyses that identify underlying causes of human rights violations and barriers to HR & GE; • Extent to which the intervention is informed by needs and interests of diverse groups of stakeholders through in-depth consultation; • Extent to which integrating a HR & GE perspective was relevant to achieve the goals and results stated by the intervention.

Table 10. Integrating HR & GE into Evaluation Criteria (continued)	
Criteria and definition	**Integrating HR & GE**
Effectiveness: Extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance. Effectiveness assesses the outcome level, intended as an uptake or result of an output.	Analysis of an intervention's effectiveness involves **assessing the way in which defined results were achieved (or not) on HR & GE and whether the processes that led to these results were aligned with HR & GE principles** (e.g. inclusion, non-discrimination, accountability, etc.). In cases where HR & GE results were not explicitly stated in the planning documents or results framework, assessing effectiveness in terms of HR & GE should still be possible and is necessary as most UN interventions will have some effect on HR & GE and should contribute to their realization. Some issues to consider include: • Presence of key results on HR & GE; • Extent to which the theory of change and results framework of the intervention integrated HR & GE; • Extent to which a human rights-based approach and a gender mainstreaming strategy were incorporated in the design and implementation of the intervention.
Efficiency: Measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results. It is most commonly applied to the input-output link in the causal chain of an intervention.	The HR & GE dimensions of efficiency require a **broader analysis of the benefits and related costs of integrating HR & GE in interventions**. Some aspects to consider include: • Provision of adequate resources for integrating HR & GE in the intervention as an investment in short-, medium- and long-term benefits; • Costs of not providing resources for integrating HR & GE (e.g. enhanced benefits that could have been achieved for modest investment); • Extent to which the allocation and use of resources to targeted groups takes into account the need to prioritize women and individuals/groups who are marginalized and/or discriminated against.
Sustainability: Continuation of benefits from a development intervention after major development assistance has been completed. The probability of continued long-term benefits. The resilience to risk of the net benefit flows over time.	To assess the sustainability of results and impacts on HR & GE, **the extent to which an intervention has advanced key factors that need to be in place for the long-term realization of HR & GE should be studied**. Some examples include: • Developing an enabling or adaptable environment for real change on HR & GE; • Institutional change conducive to systematically addressing HR & GE concerns; • Establishment of accountability and oversight systems; • Capacity development of targeted rights holders and duty bearers to respectively demand and fulfil rights.
Impact: Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.	HR & GE results can be defined as the a**ctual realization and enjoyment of HR & GE by rights holders**. It is the real change (positive or negative, intended or unintended, primary or secondary) in HR & GE that is attributable to an intervention. While often difficult to assess for a number of reasons (e.g. multi-causality, time-frame to observe impact, etc.), it is essential to do so for learning what works and what does not in terms of advancing HR & GE. For interventions that are not primarily focused on HR & GE, it may also lead to identifying if interventions are reinforcing existing

Table 10. Integrating HR & GE into Evaluation Criteria (continued)	
Criteria and definition	**Integrating HR & GE**
	discrimination and power structures that are contrary to HR & GE. Some aspects that should be considered in such an assessment include: • Whether rights holders have been able to enjoy their rights and whether there was any change in either group; • Real change in gender relations, e.g. access to and use of resources, decision-making power, division of labour, etc.; • Permanent and real attitudinal and behavioural change conducive to HR & GE; • Empowerment of targeted groups and influence outside of the intervention's targeted group; • Unintended effects on particular groups that were not adequately considered in the intervention design (e.g. women part of a broader group that were not considered as a specific group); • Redistribution of resources, power and workload between women and men; • Effective accountability mechanisms operating on HR & GE.

174.   Additional criteria could be applied to evaluations that are derived directly from the HR & GE principles discussed in Chapter 2, and their use is strongly encouraged. Examples include:

Criteria and definition	**Integrating HR & GE**
Participation and inclusion: every person and all peoples are entitled to active, free and meaningful participation in, contribution to, and enjoyment of civil and political, economic, social and cultural development in which human rights and fundamental freedoms can be realized. "It is helpful when considering participation to systematically ask who is participating **in what** – and more particularly – **whose process for which purpose and on what terms**."[125]	Given the importance of evaluating processes as well as results in HRBA, this criterion could be used to determine: • The extent to which rights holders have participated in the various stages of the intervention in an active, free and meaningful manner; • The extent to which the intervention has supported the development of conditions and capacities for active, free and meaningful participation by rights holders in the development process of the communities they are inserted in; • Which groups of stakeholders have participated in the intervention and whether any important groups have been left out; • Whether the intervention has purposefully integrated measures to support participation of women and individuals/groups who are marginalized and/or discriminated against; • Differences in participation among more powerful groups and groups marginalized and/or discriminated against among the stakeholders of the intervention; • The outcome of participation – whether people's opinions have actually been taken into account.

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125 'Literature Review on Active Participation and Human Rights Research and Advocacy', Institute of Development Studies, University of Sussex, May 2010.

Criteria and definition	Integrating HR & GE
Equality and non-discrimination: the law shall prohibit any discrimination and guarantee to all persons equal and effective protection against discrimination on any ground such as race, colour, sex, language, religion, political or other opinion, national or social origin, property, birth or other status. These human rights principles are relevant for evaluation and could be used as a reference criterion.	Evaluations should inquire whether the intervention being evaluated has fostered equality and non-discrimination in its processes and results. For instance, by looking at the following aspects: • Whether all stakeholders (from the most powerful to the most marginalized and/or discriminated against) have had access to the processes promoted by the intervention; • Whether stakeholders have been respected and treated fairly in the various activities promoted by intervention, regardless of their sex, origin, age, disabilities, etc.; • The extent to which all stakeholders, regardless of their sex, origin, age, disabilities, etc., have benefited from the results of the intervention and who has been left out; • The extent to which the processes and results of the intervention have been able to break traditional discriminatory patterns (or has reinforced discrimination) among its stakeholders.
Social transformation: because the ultimate objective of promoting HR & GE is to foster change at societal level, this criterion is key as a measure of the extent to which the results of the intervention have indeed led to actual transformations in power relations, exercise of rights, attitudes and behaviours and in the capacity of both rights holders and duty bearers to understand and implement a culture that promotes equal rights.	An HR & GE responsive evaluation should consider transformational aspects such as: • The power dynamics among stakeholders of an intervention, and whether the intervention has successfully contributed to changes in power relations; • The extent to which the intervention has fostered a better condition and environment for all stakeholder groups, particularly women and individuals/groups most marginalized and/or discriminated against, to enjoy their rights; • Whether the results of the intervention point to more a more balanced power division among stakeholder groups; • Whether there have been changes in attitudes and behaviours leading to fairer social relations among stakeholders.

6.2.1.3. Tailored evaluation questions

175.   The process for framing questions to be answered by the evaluation can be derived from either the evaluation criteria or the other way around – it can be an inductive or deductive process. In either case, it is essential that evaluation criteria and questions are interlinked and seek information on how HR & GE have been integrated into the design and planning, implementation and results achieved of the intervention.

176.   Table 11 presents examples of questions that could be used to assess HR & GE in an evaluation. However, they need to be considered in a specific context, and adapted to the reality of the

intervention to be evaluated. The questions must derive from the intervention's 'theory of change', which is specific to the intervention – there will always be issues that cannot be pre-empted in guidance material. An evaluation can also reconstruct the theory of change for an intervention where it is not clearly or formally articulated. The questions in the table provide the starting point for a more profound investigation. Probing on further details, underlying reasons, alternative scenarios etc., is critical to answering the questions and will help evaluators reach the more complex answers. Some questions may overlap among the different evaluation criteria. When new criteria are established, specific questions should be included to address them.

177.   Monitoring reports, interviews with representatives of different groups involved in and affected by the intervention, expert informants, and observation are all sources of information that will allow for triangulation and provide evidence to answer evaluation questions. Where possible, comparisons can be made between information from the intervention area and comparable non-participating areas or national data. In all cases, the evaluator should try to identify disaggregated responses according to different groups of stakeholders.

Table 11. Evaluation Questions to Assess Design and Planning, Implementation and Results			
Criteria	**Assessing design and planning**	**Assessing implementation**	**Assessing results**
Relevance	• Was the intervention formulated according to international norms and agreements on HR & GE (e.g. CEDAW, UDHR, CRPD), and to national and local strategies to advance HR & GE? • Was the intervention formulated according to the needs and interests of all targeted stakeholder groups? How were these needs and interests assessed? • Were HR & GE analyses conducted at the design stage? Did they offer good quality information on the underlying causes of human rights violations, inequality and discrimination to inform the intervention?	• Did the activities undertaken operationalize a HR & GE approach? • Did the activities undertaken meet the needs of the various groups of stakeholders, including those who are most likely to have their rights violated?	• Are the intervention results contributing to the realization of international HR and GE norms and agreements (e.g. CEDAW, UDHR, CRPD), as well as national and local strategies to advance HR & GE? • Do the intervention results respond to the needs of all stakeholders, as identified at the design stage?

Criteria	Assessing design and planning	Assessing implementation	Assessing results
Effectiveness	• Did the intervention's theory of change incorporate the HR & GE dimensions? • Are HR & GE objectives clearly stated in the results framework, including short, medium and long-term objectives? • Is the responsibility for ensuring adherence to HR & GE objectives well-articulated in the performance monitoring framework and implementation plans? • Does the intervention have specific quantitative and qualitative indicators and baselines to measure progress on HR & GE?	• During implementation, were there systematic and appropriate efforts to include various groups of stakeholders, including those who are most likely to have their rights violated? • Did the intervention implementation maximize efforts to build the capacity of rights holders and duty bearers? • Was monitoring data collected and disaggregated according to relevant criteria (sex, age, ethnicity, location, income etc.)? • Was sufficient information collected on specific indicators to measure progress on HR & GE? • Was monitoring information adequately shared with stakeholders (duty bearers, rights holders, women, men)? • How was monitoring data on HR & GE used to improve the intervention during its implementation?	• What were the main results achieved by the intervention towards the realization of HR & GE? • Do the results validate the HR & GE dimensions of the intervention's theory of change? • To what degree were the results achieved equitably distributed among the targeted stakeholder groups? • Do the intervention results contribute to changing attitudes and behaviours towards HR & GE? • Do the intervention results contribute to reducing the underlying causes of inequality and discrimination? • Did the intervention contribute to the empowerment of rights holders to demand and duty bearers to fulfil HR & GE norms?
Efficiency	• Are there sufficient resources (financial, time, people) allocated to integrate HR & GE in the design, implementation, monitoring and evaluation of the intervention? • To what extent are HR & GE a priority in the overall intervention budget? • What are the costs of not addressing HR & GE adequately from the design stage?	• Were the intervention resources used in an efficient way to address HR & GE in the implementation (e.g. participation of targeted stakeholders, collection of disaggregated data, etc.)? • Were there any constraints (e.g. political, practical, bureaucratic) to addressing HR & GE efficiently during implementation? What level of effort was made to overcome these challenges?	• Was the use of intervention resources to address HR & GE in line with the corresponding results achieved? • Would a modest increase in resources to address HR & GE in the intervention have made possible a substantive increase in corresponding results (e.g. a small increase in monitoring budget to collect disaggregated data, instead of general information; allocation of staff time to look at HR & GE aspects of programme activities)?

Table 11. Evaluation Questions to Assess Design and Planning, Implementation and Results (continued)

Table 11. Evaluation Questions to Assess Design and Planning, Implementation and Results (continued)			
Criteria	**Assessing design and planning**	**Assessing implementation**	**Assessing results**
Sustain-ability	• Did the intervention design include an appropriate sustainability and exit strategy (including promoting national/local ownership, use of local capacity, etc.) to support positive changes in HR & GE after the end of the intervention? To what extent were stakeholders involved in the preparation of the strategy? • Did the planning framework build on an existing institutional and organizational context that is conducive to the advancement of HR & GE? • If not, did the intervention design address the institutional and organizational challenges to advancing the HR & GE agenda?	• Were the elements of the intervention exit strategy addressed during implementation? • To what extent were national and local organizations involved in different aspects of the intervention implementation? • Did the intervention activities aim at promoting sustainable changes in attitudes, behaviours and power relations between the different stakeholder groups? • How was monitoring data on HR & GE used to enhance sustainable change on these issues?	• To what extent do stakeholders have confidence that they will be able to build on the HR & GE changes promoted by the intervention? • To what degree did participating organizations change their policies or practices to improve HR & GE fulfilment (e.g. new services, greater responsiveness, resource re-allocation, improved quality etc.)?
Impact	• Did the intervention envisage any specific impact on HR & GE? Is it clearly articulated in the results framework? • Did the intervention design consider how impact on HR & GE could be assessed at a later stage? • To what extent were the potential unintended impacts on the various stakeholder groups identified during the design stage?	• How did the intervention activities relate to the intended long-term results on HR & GE? • Did the intervention monitoring systems capture progress towards long-term results on HR & GE? • Were there any positive or negative unintended effects on HR & GE identified during implementation? How were they addressed?	• Did the intervention clearly lead to the realization of targeted HR & GE norms for the stakeholders identified? • Were there any unintended results on HR & GE in the intervention? Were they positive or negative and in which ways did they affect the different stakeholders? • Did the intervention activities and results in HR & GE influence the work of other organizations and programmes?

Table 11. Evaluation Questions to Assess Design and Planning, Implementation and Results (continued)			
Criteria	**Assessing design and planning**	**Assessing implementation**	**Assessing results**
Participation and inclusion	• Was the intervention designed in a participatory manner, including all relevant stakeholders? • Were there measures to guarantee that women and the most marginalized and/or discriminated against stakeholders had conditions to participate in the intervention design?	• Did the intervention use participatory processes during its implementation? • What has been done to guarantee that women and the most marginalized and/or discriminated against stakeholders had conditions to participate in the activities developed by the intervention? • What was the overall level and quality of participation by different stakeholders during the intervention? • Were there mechanisms in place for stakeholders to present opinions or complaints and were these taken into account?	• Was the intervention successful in promoting a culture of participation and inclusion? • Did the intervention create the conditions for participation and inclusion among stakeholders in other spheres of social life? • Did the intervention influence participating organizations to become more participatory and to create conditions for the most marginalized and/or discriminated against to be included in their processes?
Equality and non-discrimination	• Was the intervention designed in a way that respected all stakeholders, and did not discriminate based on sex, age, origin, disability, etc.?	• Were the processes and activities implemented during the intervention free from discrimination to all stakeholders? • Did the intervention promote processes to tackle discriminatory practices among its stakeholders? • Did the activities address the underlying causes of inequality and discrimination?	• Did the intervention contribute to a change in discriminatory practices among its stakeholders? • Did all stakeholders benefit from the results of the intervention, regardless of their sex, origin, age, disabilities, etc.? • Do the results of the intervention point to better conditions for all to enjoy their rights, without discrimination? • Are there any groups excluded from the results of the intervention?
Social transformation	• Was the implementation designed with a view to promoting social transformation within its beneficiary community?	• To what extent did the processes and activities implemented during the intervention focus on promoting changes in social relations and power structures?	• Do the results of the intervention point to changes in social relations and power structures among its stakeholders? • Are there clear changes in attitudes and behaviours that demonstrate a fairer distribution of power among the stakeholders of the intervention? Which ones?

Table 11. Evaluation Questions to Assess Design and Planning, Implementation and Results (continued)			
Criteria	Assessing design and planning	Assessing implementation	Assessing results
Empow-erment	• Did the intervention design contemplate measures to empower its stakeholders, particularly women and individuals from marginalized and/or discriminated groups? • Were different groups of stakeholders part of the decision-making process during the design stage of the intervention?	• Did the processes and activities implemented by the intervention promote the empowerment of different stakeholder groups, particularly women and individuals from marginalized and/or discriminated groups? • Were structures created during the intervention to allow all stakeholders to participate in decision-making? • Were there any particular capacity development activities focusing on stakeholders' capacity to make decisions?	• Are there groups that have become more empowered as a result of the intervention? How can this be demonstrated?

178.   Tables 12 and 13 provide a practical example of evaluation questions used by UNESCO in an evaluation of its Gender Equality Action Plan and by OHCHR in an evaluation of its Gender Mainstreaming, respectively.

Table 12. Evaluation Questions to Assess an Organizational Gender Action Plan	
Main Evaluation Question 1: What results have been achieved so far and what factors have contributed to their achievement or non-achievement?	
Effectiveness	• How well has UNESCO operationalized and implemented the gender equality priority? To what extent has gender mainstreaming in UNESCO's normative work and programmes been successful? • To what extent has UNESCO integrated gender equality concerns in carrying out its five established functions (laboratory of ideas, standard-setter, clearinghouse, capacity-builder, and catalyst for international cooperation)? • To what extent has UNESCO been successful in promoting gender equality at the country level? Has UNESCO taken a leadership role on gender equality issues in the UNCTs? (If not, why?) • What efforts has UNESCO made to raise Member States' awareness of gender equality issues?
Role of Office of Director-General/ Division for Gender Equality (ODG/GE) and Gender Focal Point (GFP) network	• To what extent has ODG/GE fulfilled its role of UNESCO champion for the gender equality priority? • What is the role of the established GFP network, and has it contributed successfully to raising awareness about GE - what are its eventual limitations? • To what extent have ODG/GE and the GFPs, both within the Secretariat and in the field office, contributed to raising awareness and fostering commitment to gender equality of UNESCO staff? • How can ODG/GE and the GFPs optimally support change and service the organization?

Table 12. Evaluation Questions to Assess an Organizational Gender Action Plan (continued)

Main Evaluation Question 1: What results have been achieved so far and what factors have contributed to their achievement or non-achievement?

Awareness and commitment	• Are staff members, in particular senior managers, aware of and committed to addressing key gender equality issues affecting their area of work? • To what extent are staff members' responsibilities clear in terms of integrating gender equality into their work? • Has the Executive Board initiated/been supportive of initiatives to promote gender equality?
Capacity and expertise	• How systematically have UNESCO staff members, and in particular senior managers, been trained in gender responsive programming? How relevant is the gender equality training to the programming needs of UNESCO staff members? • Do staff members have access to internal gender equality expertise and to useful programming tools when developing gender-responsive programmes?

Main Evaluation Question 2: Is UNESCO's approach to promoting gender equality adequate? What are practical ways to move the organization's global priority forward?

Policy and strategy	• Is UNESCO two-pronged approach (gender mainstreaming and gender-specific programming) the best way to implement UNESCO's gender priority? • Have the existing coordination mechanisms (GFP network, Gender Equality Division) effectively supported the delivery of the Gender Equality Action Plan (GEAP)? • To what extent has UNESCO's communication strategy been effective in promoting its work on gender equality issues and in convening partners? • Which process should UNESCO follow to develop its new GEAP with a view to creating house-wide ownership?
Programme cycle (design, implementation, reporting, and M&E)	• Is UNESCO's programmatic and planning cycle conducive to effectively design gender-responsive activities? • Are mechanisms in place to mitigate the risk of evaporation of gender mainstreaming measures from the design to the implementation phase? • How systematically do monitoring and evaluation reports include an assessment of projects and programmes' effects on gender equality?

Main Evaluation Question 3: What are UNESCO's comparative advantages in the promotion of gender equality? How should the organization focus its work in the future?

Focus areas	• In which areas should UNESCO focus its efforts in order to best promote gender equality? • How often do UNESCO programmes in favour of gender equality come as a reinforcement of existing government policies and/or NGOs and civil society's initiatives in this area?
Partnership	• How can UNESCO best cooperate with other international organizations, in particular UN Women, in the promotion of gender equality, women's empowerment and women's rights? • Has UNESCO developed an effective partnership strategy to promote gender equality?

Table 13. Experiences in Practice – OHCHR Gender Mainstreaming Evaluation – Objectives and Evaluation Questions	
The objectives of the evaluation:	
a. Assess the extent to which OHCHR policies, strategies, approaches and intra- and inter-institutional arrangements have favoured an institutional environment for integrating gender equality in programmes and policies at the country, and global/HQ level;	
b. Assess how effective OHCHR has been in establishing partnerships and developing partners capacities for integrating gender equality and for advocating women's rights, including policy advocacy work and financial and technical support to governments, NGOs and other UN agencies;	
c. Establish relevant benchmarks with respect to the above.	
Policy and strategy	1. How has OHCHR's approach to gender equality evolved over time? 2. In the development of OHCHR policy decisions and strategy development, to what extent are the principles of gender mainstreaming taken into account? 3. How relevant are OHCHR gender policy and strategy to operational contexts, including the four Strategic Management Plan strategies (leadership, country engagement, partnership, UN Human Rights Treaty bodies).
Programming process	1. How well aligned are OHCHR planning, situation and needs assessments, performance monitoring, research, evaluation, and knowledge management, with the principles of gender mainstreaming? 2. How well are existing programme guidance or other tools on the integration of gender equality being used in the development of HQ and country-level strategies and strategic plans? Is the guidance relevant, and readily understood? What are the gaps in existing programme guidance? How can it be strengthened? 3. How does the incorporation of gender equality into programme design and implementation differ between different areas of OHCHR and what is the reason for such a difference, if any? 4. How well articulated is a gender equality perspective within OHCHR's results-based management and planning approach? Is there guidance on how gender equality results can be defined, monitored, and reported on? 5. How well is a gender equality perspective reflected in situation and programme performance monitoring at global and field levels, including annual reporting? How well is the perspective addressed in current evaluation practices?
Building partner capacity (including technical cooperation)	1. How effectively has OHCHR engaged in the development of partners' capacity in integrating gender equality in programmes and policies? 2. Does OHCHR have a clear picture of the role it should be playing in strengthening a gender equality perspective in other institutions (government and other partners)? 3. Do partners consider OHCHR's support relevant to their work on promoting gender equality? 4. Has OHCHR capacity-building of partners on the principles and application of a gender equality perspective led to long-term sustainable changes in capacity? 5. Have counterparts and partner organizations taken up gender equality as an explicit goal as a result of OHCHR-assisted interventions?

Table 13. Experiences in Practice – OHCHR Gender Mainstreaming Evaluation – Objectives and Evaluation Questions (continued)	
Results achieved	1. What positive results have been achieved? 2. What are/were the enabling factors and processes (within and external to OHCHR)? 3. What part have partnerships played and what was OHCHR's relative contribution? 4. What lessons can OHCHR learn for wider application?
Organization	1. How well have organizational structures (including posts, units, gender focal points mechanisms, task forces etc.) allowed gender mainstreaming to be effectively implemented? 2. What are the institutional barriers to OHCHR contributing to the achievement of gender equality?
Leadership/ management	1. How well has senior management led and facilitated the integration of gender and women's empowerment? 2. How well has OHCHR determined the accountability for, and management of, the integration of gender equality? Are there clear accountability and compliance mechanisms?
Human resources	1. What human resources are being applied to gender equality at HQ and field levels (e.g. specific gender expert posts or gender focal point/staff with gender expertise – including breakdown by staff type, level and gender)? 2. How well is work on gender equality reflected in workplans and assignments of staff? 3. How well do OHCHR staff understand gender equality, gender analysis, gender mainstreaming, women's empowerment and related concepts? 4. How well is OHCHR policy on gender equality known and understood among staff (assessed by staff type and level)? How do staff interpret the policy? 5. How well positioned are OHCHR staff to apply these concepts in OHCHR planning, advocacy and communications? 6. To what extent do OHCHR staff have the cultural and gender awareness which enable achievement of the gender equality results? 7. To which extent are rules and guidance such as flexible working arrangements, breast-feeding hours, reduced working hours and special leave being applied and what is the impact of its application or non-application on concerned staff?

6.3. Selecting the evaluation team

179. The quality of the evaluation team is perhaps the most important single factor determining evaluation quality, and hence the adequacy of integration of HR & GE perspectives. Also, the selection of a team with the appropriate qualifications will help ensure the soundness of the team's approach to the evaluation questions related to gender and human rights. This subsection covers some of the main issues involved in selecting an adequate evaluation team.

180. As outlined in section 3.2, UNEG and some UN agencies have produced strict guidelines on ethics and behaviours for evaluators. These codes of conduct must be an integral part of the contract with any consultant undertaking evaluations. It is good practice to ask all evaluators recruited to abide by the code by signing it along with their contract.

6.3.1. Ensuring appropriate levels of expertise in the evaluation team

181. There is currently a relatively small pool of evaluators with the skills for evaluating HR & GE, a situation that is slowly improving but may take some time to correct, with more expertise currently available for evaluating gender equality. The practical consequence of this is that good independent evaluators with these skills are usually fully committed to various assignments far in advance. Therefore, evaluation managers need to begin planning the HR & GE elements of the evaluation about 4-6 months in advance of the evaluation fieldwork, and contact potential candidates in due time.

182. Evaluation managers will need to determine the level of expertise in HR & GE evaluation that is required, dependent on the type of intervention under evaluation, the level of resources available and the scope of the evaluation in terms of HR & GE issues. Managers should bear in mind that sectoral specialists may not bring adequate expertise in HR & GE, and compensate accordingly.

183. Insofar as possible, an evaluation team should include:

- Women and men

- Local and/or international perspectives

- Evaluation knowledge and experience (quantitative and qualitative methods)

- Content/sectoral knowledge and experience

- Commitment to human rights and gender equality, and knowledge and experience in evaluating human rights and gender equality interventions

- Understanding and application of UN mandates on HR & GE

- Experience in and knowledge of participatory approaches and methods

- Research and relational skills, including cultural competence

- Knowledge of regional/country/local context and language.

6.3.2. Using regional/national capacity

184. Support to and use of national capacity is central to the UN's mandate, and this is as true for evaluation as for other areas. In addition, UNFPA and ALNAP meta-evaluations have found that teams comprising of both international and national evaluators tend to produce a generally higher

quality evaluation.[126] From an HR & GE perspective this mix can bring to the evaluation national knowledge of local context, for example the situation of women and individuals/groups who are marginalized and/or discriminated against, and international experience of HR & GE work. As evaluation functions decentralize to the regional and national levels, it will be particularly important to ensure that national evaluators have the capacity to integrate HR & GE into evaluations. This is important because gender roles can be locally specific and rights issues are also emphasized/prioritized in different ways.

185.   Many UN agencies have been working on developing national capacities in the area of evaluation. UNEG has an inter-agency task force on national evaluation capacity development, and there are several bilateral partnerships between individual agencies and national, regional and non-governmental organizations. As these initiatives move forward, it will be important for them to incorporate guidance on how to perform HR & GE responsive evaluation.

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126   UNFPA (2007); UNFPA (2008); six ALNAP meta-evaluations 2001-2008, in the ALNAP Review of Humanitarian Action <www.alnap.org>.

Chapter 7. Conduct/Implementation of an HR & GE Responsive Evaluation

186.   The purpose of this chapter is to underline the key elements that should inform any methodological choice in order to (1) understand if an intervention has been guided by and has achieved HR & GE principles and purposes, and (2) ensure that the evaluation process itself adopts HR & GE principles and purposes.

187.   While, as mentioned above, it belongs to the evaluation commissioner to broadly define how the evaluation should be conducted, it is one of the first tasks of the evaluators to define "what information is required to answer [the identified] questions, from whom and how the information can best be obtained. [Decisions also need to be made on] how the information collected should be analysed and used."[127]

188.   It is also at this stage that the HR & GE issues will have to be identified in line with the general guidance contained in this document, challenges outlined and the appropriate methodology defined. This part of the evaluation process should be informed by the evaluability study, where opportunities and challenges regarding HR & GE elements in the evaluation are assessed, and by the stakeholder analysis. The outcome of all these reflections will generally be outlined in an inception report or similar document.

189.   To ensure the credibility and usefulness of the evaluation, the evaluation manager and the evaluators "must ensure that fieldwork meets evaluation method standards for gathering evidence to support findings and recommendations on the intervention's contribution."[128] This entails that existing strategies and methods should be tailored to respond to specific HR & GE questions. When deciding among different methods and instruments, it is useful to question, in particular if the selected method(s) or tool(s) will:

- Adequately answer HR & GE issues by detecting meaningful changes and the contribution of the intervention to them in terms of enjoyment of rights, empowerment of rights holders and capacity of duty bearers;

- Be suitable for the populations and individuals that will be involved (in particular, if cultural and security issues are taken into account); and

- Be appropriate to involve all the key stakeholders, without discriminating against some groups or individuals, and allow for guaranteeing the meaningful participation of all stakeholders.

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127 W.K. Kellogg Foundation, 'Evaluation Handbook', updated version January 2004, p. 70, <www.wkkf.org/resource-directory/resource/2010/w-k-kellogg-foundation-evaluation-handbook>.

128 Michael Bamberger and Marco Segone, 'How to Design and Manage Equity Focused Evaluations', UNICEF, 2011, p. 74, <mymande.org/sites/default/files/EWP5_Equity_focused_evaluations.pdf>.

190.   It is important to note that ***the designed methodology needs to be flexible, taking into account that it has to be adapted to the intervention and country contexts.*** This is particularly true of HR & GE responsive evaluations, since they might tackle sensitive issues and be carried out in highly politicized or insecure contexts. Evaluators need to adapt their methods to the risks of the persons involved – directly or indirectly – in the intervention and/or in the assessment process, as well as their own risks. These risks could be political, social or security in nature: think about the threat for a regime opponent to be seen talking with foreigners or the danger that in certain circumstances a woman may face in traveling to meet with the evaluators. A good knowledge of the social, historical and political context and constraints is needed.

191.   In order to mainstream HR & GE in the evaluation process and to capture relevant HR & GE intervention results, the necessary amounts of funds, time and human capacity should be allocated. The evaluation budget, though, is usually decided at the design stage of an intervention. The evaluators' review suggested above might then lead to renegotiations of budget allocations and/or additional resources to ensure HR & GE data generation and in-depth analysis. In this process, though, it is important to take into account that additional evaluation resources might not always be the answer, especially for interventions with a low evaluability of the HR & GE dimensions.

7.1. Data collection

192.   Whenever possible, data should come from more than one category of respondents and more than one source. For example, if duty bearers report increased success in responding to rights holders' claims and in protecting rights, this may be confirmed through records of decisions, or asking rights holders if they have noticed any changes in the negotiation processes with duty bearers and in their enjoyment of rights. If statistics report an increase in women's income, the evaluation should ask women and their families whether they have observed this increase in their daily lives and how they have used the income. Local businesses can also be asked whether they have perceived an increase in purchases by women, and local banks can be asked whether they have noticed an increase in savings made by women. Triangulation completes and enriches findings.

193.   ***A combination of data collection methods is usually recommended to gather and analyse information, in order to offer diverse perspectives to the evaluation, and to promote participation of different groups of stakeholders.*** Using a mixed-method approach usually helps improve the evaluation quality overall but has also emerged as being effective in capturing and integrating HR & GE perspectives and principles into evaluation processes, in particular transparency, non-discrimination, participation and inclusion. It provides the opportunity to carry out exercises to ensure that the voices of women, those most likely to have their rights violated, or those marginalized and/or discriminated against are heard and taken into account during the evaluation.

194.   Using mixed methods also serves to validate the findings obtained from diverse methods through iterative testing and parallel, sequential or multilevel analysis. This is an effective mechanism to build defendable conclusions, which is of particular interests in evaluations concerning sensitive and sometimes questioned issues.

Box 20. Good Practice in Design: Using a Mixed Method Approach

This study examines the different social capital profiles of women and men in Australia, testing the hypothesis that women's caring and community-based responsibilities may constrain their civic and political aspirations. It sought to explore social capital in two different ways: first, to map the different patterns of participation based on gender, and second, to explore how the role of ''mother'' alters both the activities women become involved in and the reasons for this.

While this example is a research study rather than an evaluation, it was chosen as a good practice case because it consciously set out to use a mixed method approach, and illustrates that this approach is feasible given conceptual clarity and adequate capacity, time and resources. The study locates itself within a transformative research paradigm, which is seen as providing a framework for addressing issues of social justice in the research process.

The transformative paradigm recognizes that voices of those who are disenfranchised on the basis of gender, race/ethnicity, disability or other characteristic can be excluded in research. Within this paradigm, mixed methods are preferred to highlight issues of need (quantitative data) and to give voice to these issues (qualitative data). Feminist research that draws on evidence from a variety of sources is more likely to be seen as valid and reliable and is thus more likely to be heard in the policy arena – and the same case could be made for feminist evaluation.

The study's author recognizes that in large quantitative research, women's voices as an oppressed group have remained unheard, while with qualitative research, problems with poor representation and a tendency to overgeneralize need to be highlighted. The researcher used sequential mixed methods sampling in two stages. In stage one a large sample was chosen through simple random sampling, with a questionnaire on social capital going to 4,000 people, and eliciting 1,431 responses.

Participants who were interested in being interviewed for the second stage signed an agreement form sent with the initial questionnaire, and 12 respondents were then chosen for intensive interviews by cluster random sampling technique (where already formed groups of individuals within the population are selected as sampling unit). Quantitative data was analysed using standard statistical techniques, including multivariate analysis. Qualitative data was analysed using a model of narrative analysis, looking for plot, characters, metaphors, interpretations and cultural norms; how the stories compared and contrasted; and how the researcher was viewed by the participant. Findings from the quantitative and qualitative elements of the study were compared.

The author concluded that: "Despite a considerable body of literature devoted to social constructions of gender roles, there is little discussion in the social capital literature on the effect of gender. The power of a mixed methods research approach has been to build a comprehensive picture that challenges this lack of attention in the social capital literature."

Source: Suzanne Hodgkin, 'Telling It All: A Story of Women's Social Capital Using a Mixed Methods Approach', *Journal of Mixed Methods Research* 2 (4), 2008, pp. 296-316.

195.   The extent to which an evaluation will be able to combine methods to evaluate HR & GE processes and results partly depends on resources, time and expertise. But for virtually any evaluation, it should be possible to include at least some elements of a mixed-methods approach. Box 20 brings a practical example of a multi-donor/multi-method evaluation process addressing HR & GE.

Box 21. Reaching Women and Individuals/Groups Who Are Marginalized and/or Discriminated Against in a Country Programme Evaluation: Using the 'Snowball' Technique
The 'snowball' technique, or respondent-driven sampling, where existing study subjects recruit future subjects from among their acquaintances, is one means of identifying women and individuals/groups who are marginalized and/or discriminated against when developing a research sample. Although subject to possible biases (e.g. initial respondents may select friends or relatives as the future subjects or their selection may represent their own biases based on class, race, ethnicity, caste, gender, etc.), it is a rapid and cost-effective means of identifying usually invisible groups.
This technique was used in an evaluation of the WFP India Country Programme (2007). In its planning documents, WFP strongly emphasized that its target was to reach some of the country's poorest districts, and within them the most food insecure households as the primary target group, in particular women, girls and infants.
During the evaluation, a form of 'snowball' methodology was used at the village level to reach women and individuals/groups who are marginalized and/or discriminated against. A focus group discussion with up to 20 individuals was held at the start of the visit to each village, to have an overview of the core programmes. During that discussion, three to five of the poorest households in the village were identified. These households were then visited to assess the extent to which WFP support had reached the most food-insecure households. The evaluation team also ensured that approximately 50 percent of respondents were women. This methodology was useful in determining how effectively WFP had been able to reach its core target group.

Source: Suzanne Hodgkin, 'Telling It All: A Story of Women's Social Capital Using a Mixed Methods Approach', *Journal of Mixed Methods Research* 2 (4), 2008, pp. 296-316.

196.   Within a mixed method approach, each data collection method or tool can then be adapted to integrate HR & GE dimensions.

197.   When using *samples* (such as purposeful sampling, theoretical sampling or snowball sampling), the selection of the sample is crucial since it can affect the credibility and technical adequacy of the information gathered. For HR & GE responsive evaluations, it is important to ensure the representativeness of stakeholders transparently and without discrimination (see for example in Box 21 the application of 'snowball' technique to reach women and individuals/groups who are marginalized and/or discriminated against in a country programme evaluation). Evaluators should also consider that comparisons between large groups, be they ethnic, sexual, socio-economic or geographical groups, could hide considerable diversities within the group.

198.   If the amount of information reviewed or data collected is too limited, the findings may be questioned. If budget concerns or time constraints limit the number of respondents, or if the number in some categories is very small (for example, only a few representatives of one affected ethnic minority can speak with evaluators), the findings need to be validated by a larger group, or through triangulation. The sampling strategy also needs to address the inclusion of women and men in diverse stakeholder groups. In dealing with such diverse samples, the data collection strategy may need to contemplate several collection methods and alternatives to reach those women and individuals/groups most marginalized and/or discriminated against. Sometimes, even representative samples are too small to capture diversity within the total population; it will then be prudent not to generalize findings and not to report in terms of percentages.

199.   HR & GE *data disaggregation* should be favoured. While sex disaggregation is the most common form of disaggregation across the UN, a HR & GE responsive evaluation should go beyond that. Understanding the nuances within groups as well as any form of exclusion (such as age, disability status, ethnic origin, place of residence, sexual orientation, social class or income group, etc.) will offer the evaluators a much broader view of how the intervention affects all the stakeholders involved. Data disaggregation can be a powerful ally to triangulation, as the diversity in responses obtained can prepare the ground for cross-examination, using other methods and by asking different sources. Note needs to be taken that extensive disaggregation of the data, especially if broken into multiple smaller subgroups, could be questionable in regard to generalizability.

200.   Evaluators can make good use of *existing national or international data sets* (on employment, income, vulnerability, disease, mortality, human rights violations, etc.) to compare and confirm or refute findings. The use of these data, nevertheless, should be undertaken with an understanding of their possible limitations and constraints in representing local reality. It may be useful and efficient to test findings with a diverse panel of experts, who can corroborate or suggest other interpretations. This may be particularly useful for impact evaluations but also for small evaluations where fieldwork is limited.[129]

201.   **Existing national and international data sets:** Evaluators can tap into a wide range of secondary data sources to better understand the HR & GE situation in the country, region or community they are researching, and to support their conclusions through triangulation. Data generated by governments, international organizations, academia and civil society can be found in a myriad of analyses and documents, including:

- *Data produced by national and international statistics institutes.* These data can concern population statistics, the implementation of international human rights obligations, violence, socio-economic indicators, or the situation of women and individuals/groups who are marginalized and/or discriminated against. Some of them might contain disaggregated data, according to considerations such as sex, age, ethnic communities, etc. Many countries have started working on the adoption of indicators, including indicators on compliance

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129   On the human rights indicators project, see <ohchr.org/EN/Issues/Indicators/Pages/HRIndicatorsIndex. aspx>; USAID is financing the Demographic and Health Surveys Programme to collect representative data on population, health, HIV and nutrition in over 90 countries. See <www.measuredhs.com/>.

with international human rights and gender equality commitments, to be monitored by national institutes for the benefit of all branches of the Government. National surveys may provide useful quantitative data regarding demography (mortality and morbidity rates), employment, income, violence, health, sexual and reproductive rights, etc. Evaluators may also benefit from qualitative research inquiring into cultural mentalities and behavioural attitudes related to women, gender relations and individuals/groups who are marginalized and/or discriminated against.

- *Data produced by governments to respond to international treaty-based or Charter-based human rights bodies.* Periodic reports submitted by States Parties to international treaties-based human rights bodies and the concluding observations/recommendations of these committees contain summaries of shortfalls vis-à-vis the implementation of international human rights obligations, as well as capacity gaps in implementing HR. For example, national CEDAW reports contain important analyses on the situation and progress of women's rights. Charter-based bodies, such as the Human Rights Council and its Special Procedures, also offer a wealth of information. In addition, the Universal Periodic Review of the Human Rights Council may provide useful contextual information to the incidence of human rights abuses. Special HR Rapporteurs, representatives and working groups also issue reports that can be extremely useful for evaluations.

- *Data produced by international organizations.* Situation analyses such as the CCA, preliminary analyses for poverty reduction strategies, and HR & GE analyses carried out as background studies to design new interventions are an important source of information that should be integrated into the background document analysis for an evaluation. HR monitoring reports (for example, as carried out by UN organizations such as OHCHR) and specific UN agency reports, such as UNDP's Human Development Report, may also offer important data. Bilateral cooperation agencies may also commission research on the HR & GE situation, which should be considered as well. National reports on the MDGs will also provide specific information on the situation of women and children, and on other groups likely to have their rights violated.

- *Independent reports and research studies produced by academia and national and international civil society organizations.* Evaluators should look at the existing body of quantitative and qualitative research on HR & GE, such as studies commissioned by academia and civil society. They may provide alternative points of view and inquiry areas that can complement the information obtained in the evaluation. Apart from research, CSOs often collect, systematize and make available information on human rights violations, for example, in the form of databases.

- *Nationally and locally produced reports in the context of the intervention.* Programme reports and other documents produced by partners and stakeholder organizations addressing HR & GE issues and indicators can offer invaluable insights into the situation of the particular communities and groups affected by the intervention. Programme monitoring reports are an essential input to evaluations.

202.   There is a very wide range of other data collection methods and tools currently in use in evaluation practice. Some are particularly geared towards embracing HR & GE principles and are therefore examined here in more detail.

Document review and analysis

203.   In order to integrate HR & GE issues into a background document analysis, the evaluators should first look for specific information on HR & GE in the intervention being evaluated, such as: i) evidence of a HR & GE analysis at the design stage (including HR & GE indicators); ii) evidence of a detailed and inclusive stakeholder analysis, including women and individuals/groups who are marginalized and/or discriminated against; iii) evidence of quality engagement and participation of stakeholders in the various steps of implementation; iv) information on various stakeholder groups collected during monitoring activities; v) evidence of how HR & GE were addressed by the intervention, and the results achieved in the area. Additional documents could also be useful, such as: i) organizational policies, system-wide policies and mandates, agreements, etc. on HR & GE; and ii) literature produced by programme partners and other organizations that may inform the assessment of HR & GE in the intervention.

Focus groups

204.   Focus groups are highly relevant for HR & GE responsive evaluation as they can encourage women and individuals/groups who are marginalized and/or discriminated against to express their views more openly than through conventional survey methods. However, they do not automatically guarantee that participants will use the opportunity unless they are carefully designed and facilitated with this in mind.

205.   Tailoring them to address HR & GE issues involves:

- *Paying special attention to the constitution of groups.* The choice of how to constitute a focus group needs to rely on the evaluation questions and stakeholder analysis defined in the beginning of the evaluation process, but also on factors such as the context of the intervention, the practical feasibility to disaggregate participants and common sense by the evaluator on what would be a better mix in each particular intervention.

- The constitution of the groups will have a significant influence on the extent to which participants feel safe to participate and communicate their ideas. This is highly relevant to consider when dealing with HR & GE issues – participants can be seriously affected for having made statements at the wrong time and in the wrong place. Evaluators should be extremely conscious of what the risks can be, particularly in certain countries and situations.

- The evaluator has the option to seek disaggregation by sex, age, social position, income, sexual orientation, category (rights holders/duty bearers), disability, etc., in order to investigate in-depth the meanings attached to a given phenomenon by a subgroup of population. Alternatively, creating mixed groups with careful facilitation may also provide important insights into group dynamics, and how different groups relate to each other. A mixed focus

group may also have the advantage to garner different perspectives and generate discussions that may not arise in a very uniform group. It can also help examine whether consensus exists among different parties. Nevertheless, consideration should always be given to the possible dangers of bringing together individuals in unjust relations of power (e.g. duty bearers and right-holders; ethnic majorities vs. ethnic minorities, etc.)

- *Facilitating responsively.* Before starting the focus group, it is important to seek information to help understand the context, the relationships between individuals and groups, the power dynamics, and how HR & GE issues affect the different individuals and groups represented in the focus group. This knowledge should help to guarantee an adequate group interaction during facilitation, and later to inform the analysis of the focus group discussion.

- *Carefully considering language and culture issues*, as many stakeholders may not be fluent in the main language of the evaluation, or may have different understandings of concepts discussed. In this case, field testing of the interview questionnaire/guide or advance cognitive interviews with individuals from various language/cultural groups could be helpful. The support from a national consultant might also, in certain circumstances and conditions, be recommended. National consultants should be used insofar as possible, but language, ethnic group or culture and sex of the interviewers must be carefully matched to the characteristics of the participants in the focus group, to avoid conflicts and barriers to communication. For example, in many contexts, a man may not facilitate a focus group of women; the inverse situation might also be true in other circumstances. Furthermore, when discussing HR issues, it is necessary to consider that national consultants might pose some problems, for example, if they belong to a specific ethnic group or to a certain class, or have specific family or institutional associations. The problem can be for the interviewees but also for the national consultants themselves (for example, travelling to certain areas for interviews might be very dangerous for them).

- *Promoting progress on HR & GE*. While focus group discussions' primary purpose is to collect data for evaluating a specific intervention, it also provides a space for stakeholders to have a dialogue, exchange views and gain a better understanding of different perspectives and ways in which an intervention can have a diverse effects (positive and negative) on different stakeholders, which is linked to the larger social, economic and cultural context and gender relations. In this way, focus group discussions can contribute to attitude changes that are key to addressing inequality and discrimination.

Individual interviews

206.   Often, women and individuals/groups who are marginalized and/or discriminated against are not involved in the evaluation process. The following are the most common reasons:

- They may not be able to express themselves freely when consulted because of social pressure, e.g. from elites, the community or their relatives;

- They may be persons with disabilities (e.g. deaf or blind people, people with intellectual disabilities) whose accessibility to the evaluation activities and sites may be difficult;

- They may be illiterate or less fluent than others in the language used in interviews;

- They may not be allowed to speak, use their own language or be represented in public meetings or community consultations;

- Women may have less time at their disposal because of their productive and reproductive tasks, or may defer participation to males in observance of existing gender norms.

207.   In order to address HR & GE issues through interviews, the evaluator should:

- *Make sure that the sample selected for individual interviews adequately reflects the diversity of stakeholders of the intervention.* For advocacy, normative or broader policy work, other types of persons also need to be included. Special attention should be paid to the inclusion of women and individuals/groups who are marginalized and/or discriminated against, who may have been forgotten or left out of discussions and decision-making in the intervention. The inclusion of women should be also sought. The selection of interviewees should be closely related to the evaluation questions and the stakeholder analysis, but also rely on a good understanding of the context. A national consultant could provide very important insights during this stage (with all the reserves expressed regarding national consultants in other part of the present document).

- *Consider language and translation needs.* This could represent a difficult issue while tackling HR & GE issues. There is a need to adjust the questionnaire to respondents who are illiterate or have low education levels, and make sure that all are able to understand the questions. It is also necessary to avoid using technical terms that may not be clearly understood by the respondents and might have different meanings and understanding. Human rights and gender questions must be adapted to the political, social and idiomatic contexts. In cases where the evaluation is being carried out in a local language, resources should be provided for translation or interpretation. Translation could also be challenging, not only because of language gaps but also because translators might distort the content of what is being said (for political or other reasons) or intimidate the interviewee (if they belong to specific ethnic or national groups for example). Careful selection of the interpreters is therefore required.

- *Consider practical measures* such as timing the interviews to fit home obligations, choose physically accessible venues, provide financial support for interviewees travel costs related to participation, etc.

- *Make sure that safeguards are taken to ensure that interviewees will not be negatively affected* by providing their honest views on HR & GE issues. If this is not possible, then the interviews should not take place; not include certain questions; and/or the possible danger made clear to the interviewee for him/her to decide on participation.

- *Respect confidentiality.* Ask permission to quote their words. In some cases, words or sentences may identify the person, even if their name is not in the report. In these cases, be honest about the confidentiality challenge and only quote interviewees if they agree with it. Even so, evaluators should use their wording with caution since the interviewee might not be fully aware of the consequences their words might bring to them. Use common sense to assess the

context and determine what the risks could be for the interviewee. Attention must also be paid to the list of persons interviewed provided in the report. In some contexts, such a list should not be included or be limited to broader information (institutions, origins of the interviewees, category of the persons interviewed – for example "three patients in hospital B").

- *Make sure to understand how each interviewee is affected by HR & GE issues,* for example by asking specific questions as to how they see gender relations in their community, how they are affected by the practice or behaviour of duty bearers and by rights violations, what changes they have seen in the HR & GE situation in their community and what these changes have meant to their lives in practice. In some contexts, these questions might be highly sensitive and need to be properly tailored (for examples of possible questions to ask in relation to gender equality results see Table 14).

- *Make sure to ask specific follow-up questions on HR & GE during the individual interviews.* For instance, if respondents are discussing issues such as the creation of local organizations, make sure to ask questions such as the effect of these initiatives on gender relations, and their implications for the enjoyment of rights.

Case studies

208.   A method that can be adapted to support the integration of HR & GE dimensions in evaluation is the use of case studies. This is a widely used social science technique that may be particularly helpful for highlighting the experiences and concerns of women and other groups likely to have their rights violated, or to study the effect of a particular policy on rights holders, or to analyse the behaviour of duty bearers. Case studies are context-specific and can help enrich the evaluation by providing a detailed analysis of specific instances such as events, institutions, policies, or by telling a story that may elucidate a particular situation. They are also particularly useful to describe good practices in an intervention.

Box 22. Case Studies: A Feminist Perspective

Reinharz (1992: 167-8), writing from a feminist perspective, notes that case studies are written "to illustrate an idea, to explain the process of development over time, to show the limits of generalizations, to explore uncharted issues by starting with a limited case, and to pose provocative questions. For example, a carefully chosen case can illustrate that a generalization is invalid. For this reason studies of the exceptional case have great heuristic value. Although they cannot establish a generalization, they can invalidate one and suggest new research directions. The exceptional case is valuable for feminist action, as a positive model to emulate or as a negative model to avoid."

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209.   An example of a good practice case study from a WFP evaluation in Southern Africa is given in Box 23. This example addresses HR & GE issues by posing questions related to the right to food of families who are marginalized and/or discriminated against, by putting a woman in the centre of the analysis, and by empowering this woman to understand and interpret her own situation vis-à-vis the food security issue in her community.

Box 23. Using Case Studies: The WFP Real-Time Evaluation in Southern Africa

The following case study is taken from the 2002-2003 WFP Real-Time Evaluation report that covered the six countries included in the Southern Africa Regional Emergency Operation (Lesotho, Malawi, Mozambique, Swaziland, Zambia, Zimbabwe) and the Regional Bureau. The evaluation included: document review; interviews with programme staff; focus group discussions with the project participants at final distribution points in each country; and household visits where in-depth semi-structured interviews with the population targeted were undertaken. In addition, an ad hoc 'sentinel site' study was undertaken in Malawi and Zambia, where families were visited on subsequent missions for an update on progress and an insight into the impact of the operation. It is this last method that provided the case study material below.

The household of Ambu, an elderly widow who lived with two of her daughters, their children and an orphaned grandchild in a small village in Ntcheu district, Malawi, was visited three times during the food emergency. Three of Ambu's children died in their 20s, probably of AIDS. Rose, a daughter in her early twenties, is often sick and weak. Her husband left her many years ago. Dorothy, the other daughter, has a husband and four children, but the husband provided little to household income.

During the first house visit most family members appeared weak. Although the surroundings of the clay house was swept clean, Ambu's field was in a depressing state. She had grown some maize but the harvest was poor and she ate much of it while it was green. By June, her own production was eaten up. She managed to get food (normally for one meal a day) through begging from villagers, gifts from a third daughter who is married to a teacher, and from occasional daily work of Rose with a farmer in the village who grows tobacco.

Ambu was then selected as a beneficiary in the first round of food distribution. The implementing NGO Africare managed an orderly distribution, based on beneficiary lists prepared by the village committees in line with selection criteria giving priority to households with orphans, etc. Ambu received a 50-kg bag of maize. She should also have received pulses and corn-soya blend but donations were not available.

At the time of the second visit, six months later, all family members are there and look a bit healthier. Rose had found work in a nearby village for about one month and was paid in maize meal. Ambu received the UK Department for International Development-sponsored seed 'starter package'. She planted maize but is now waiting for rain. The growth chart for the granddaughter shows regular growth. Ambu's household eats currently two meals of maize meal with leaves from the Baobab tree. Asked whether she received this month's food aid ration, Ambu says yes. In reality she did not. She dropped off the list of beneficiaries. The village chief explains that he had to rotate ration cards, which he keeps. Cards for 22 eligible households out of a total of 130 households in the village are far too few to meet the needs of the poorest households.

At the time of the third visit, five months later, Ambu's name is back on the register of eligible households. But she did not get the monthly food ration. Only once, in March, did she receive a bag with 25 kg of maize. Africare staff explain that Ambu's ration has been regularly picked up by a boy that had been identified as her representative. Ambu's family is complete although Rose has been sick and weak again. Rose's six-year old daughter has dropped out of school because she lost her schoolbook.

Rose needs 10 Kwatcha (12 US cents) to buy a new one. The school is not part of the small school-feeding programme that WFP started in Malawi. Actually, part of the school cannot even be used. A hailstorm in January destroyed the roof. Classes had to be stopped for one month because of water logging. Also the crop harvest in this area has been largely destroyed by water logging. A third year of crop failure.

Ambu's field looks hopeless again. However, more work opportunities exist and the price of maize has come down to 10 Kwatcha per kilo compared to 17 in July. Despite the crop loss the overall situation in the area seems to have improved, for the moment. The group village headman says that there are now far fewer cases of disease and death. At the beginning of 2002 (when maize prices went to 30 Kwatcha per kilogram and beyond) there were almost daily funerals among the 3,500 people under his traditional authority.

Source: WFP, 'Full Report of the Real-Time Evaluation of WFP's Response to the Southern Africa Crisis, 2002-2003', (EMOP 10200), Rome: World Food Programme, 2002, <documents.wfp.org/stellent/groups/public/documents/reports/wfp022512.pdf>.

Surveys

210.   Surveys are the most common tool for collecting standardized information from a large number of people in an evaluation, in particular target and control groups.[130] In addition to already discussed issues regarding interview procedures, the inclusion of HR & GE issues implies adapting some aspects of survey procedures. For example, it calls for the design of specific questions, for particular techniques to interview the selected persons, and for careful analysis of potential biases (for instance, to understand why interviewees refuse to answer or, to the contrary, are keen to respond). It also involves:

- *Making sure that the survey includes specific HR & GE questions and enables disaggregation of the data collected.*

- *Paying particular attention to the format and language of the survey.* It is important to consider alternatives to address HR & GE questions and interpretation issues (see above subsection on interviews).

- *Creating different questionnaires for different stakeholder groups.* While it is important to ensure that at least some of the questions are comparable in content (to inform the subsequent data analysis), it could be key, in certain circumstances, to address the specific issues and interests of the various stakeholder groups through tailored questions. This option needs to be well analysed, since developing several questionnaires might come at high costs and generate statistical problems.

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130 World Bank Operations Evaluation Department, 'Monitoring and Evaluation: Some Tools, Methods and Approaches', The World Bank, Washington D.C., United States, 2004, p. 12, <www.worldbank.org/oed/ecd/tools/>.

Field observation

211.   Field observation is a very effective, and sometimes crucial, tool for gathering information on HR & GE. The observation of the intervention activities and ongoing dynamics, and direct interaction with people or groups involved, allows understanding of aspects that might not surface when applying other methods. It can complement information obtained from other sources. This is particularly relevant when HR & GE dimensions of an intervention are culturally or politically sensitive. Field observation is a productive tool to:

- Formulate questions that can be posed in subsequent interviews;

- Examine the project's physical and social setting, staff and clientele characteristics, group dynamics, and formal and informal activities;

- Become aware of aspects of the project that may not be consciously recognized by participants or staff;

- Learn about topics that programme staff or participants are unwilling to discuss; and

- Observe how project activities change or evolve over time.[131]

212.   Field observation needs to be carefully prepared to achieve its purpose and to avoid violating cultural or social norms, especially when considering HR & GE issues. As mentioned above, risk factors also need to be carefully weighed.

Training and use of local stakeholders to act as evaluators

213.   Another option for HR & GE responsive data collection in a field situation is the training and use of local stakeholders to act as evaluators and to obtain further information, especially in those cases where there is a large sample size or geographical area to take into account. While such an action may appear to be somewhat counter-intuitive, this has proved invaluable for evaluation processes, as well as in the generation of results.

214.   While the use of this methodology depends upon resources for the evaluation as well as the competence of the 'local evaluators', it has positive advantages. In the following example (Box 24), as women with the same cultural and linguistic dynamics were conducting the interviews of the women who participated in the project, there was a built-in comfort level between them, which led to more in-depth elaboration on results than it may have been possible to obtain otherwise. This methodology also empowers the 'local consultants' to gain confidence in their abilities, and have a direct input into the evaluation process. The one drawback of this methodology is the prospect for bias on behalf of the 'local consultants' when interviewing their peers. In the following example, this was somewhat mitigated by ensuring that each of them went to a different geographical area than that of their own cooperative.

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131 W.K. Kellogg Foundation, 'Evaluation Handbook', updated version January 2004, p. 73, <www.wkkf.org/resource-directory/resource/2010/w-k-kellogg-foundation-evaluation-handbook>.

Box 24. Use of Local Stakeholders as Evaluators

An evaluation of women's credit cooperatives was conducted in Nepal. The cooperatives, which served as vehicles for democratic awareness, were spread all over the country, making it impossible to visit even a small representative sample in the two weeks allotted to the field mission. The solution was to organize at the beginning of the field mission a round-table training session for representatives of the cooperatives selected from around the country and put forward by their own cooperatives. The evaluator formulated all evaluation questions beforehand, then held a session with the women to vet the questions as well as to train them in how to conduct interviews with cooperative members, take notes, and ask follow-up questions based on certain responses. Each 'local evaluator' then went into the field and carried out the interview process with one or two cooperatives that were not their own, based on a set template. At the conclusion of the field mission, the evaluator met with the 'local evaluators' to discuss their findings, which were then incorporated into the evaluation report.

Table 14. Possible Questions to Ask in Relation to Gender Equality Results

Oxfam (2002) sets out five dimensions in which change can potentially occur as gender equality is strengthened, which could be used as measures of results during an evaluation. For each of these dimensions, possible questions are suggested, which will support gender analysis and orientate the interview.

Dimension and results level	Suggested questions
Have women and men achieved more equal participation in decision-making in public and private spheres? Process	• Has women's negotiating power in economic decisions (e.g. use of resources, money, time) and other family decisions (e.g. number of children to bear, type of contraception, children's education) been strengthened? • Do women enjoy greater participation in the political processes of their communities? • Has the influence of women on decision-making increased in relation to that of their male counterparts?
Have gender stereotypes and discriminatory attitudes towards women and girls been challenged and changed? Process	• Do men and women better understand how unequal power relations between them discriminate against women and keep them in poverty? • Is women's unpaid and caring work better valued? • Have changes in the traditional gender division of labour occurred with men taking on more household and caring work? • Is greater value attached to girls' education? • Is violence against women increasingly rejected by the public, especially by men? • Are more men taking action to challenge discrimination against women?

Table 14. Possible Questions to Ask in Relation to Gender Equality Results (continued)	
Have there been changes in women's empowerment to think and act freely, exercise choice, and fulfil their potential as full and equal members of society? Have women become more 'active agents of change' and has their ability to define their own goals and act upon them increased? Process/outcome	• Has women's self-esteem and self-confidence to influence social processes increased? • Are women more able to exercise their capacity for leadership? • Are women increasingly organizing to strengthen their voice and influence?
Do women and men have more equal access to and control over economic and natural resources and basic social services? Outcome/impact	• Has women's control over natural and economic resources (land, household finances, equipment, other assets) increased? • Do women have greater access to paid work? • Do women achieve equal pay for equal work with men? • Do women share the workload more equally with men and have more time for themselves? • Do women and girls have access to health services on an equal basis with men and boys, and according to their gender-specific needs (e.g. reproductive health)? • Do girls enjoy equal access to schools with boys? • Has the school environment become safer for girls and the curriculum less gender stereotyped?
Do fewer women suffer gender-related violence? Outcome/impact	• Has the intervention led to a decrease in violence against women? • Has the intervention caused or exacerbated violence against women, or the fear of violence? • Has the number of women suffering personal incidents or threats of violence in the community or household changed?

7.2. Data analysis/interpretation

215.   Throughout the implementation of the evaluation, there will be some degree of data analysis (e.g. during document review, interaction with stakeholders, consolidation of survey data, etc.). 'Iterative' testing and analysis is advisable, particularly human rights and gender analysis, as early analyses will show, for example, where data is missing, what the most interesting questions are, etc. It can therefore pave the way for further data collection that is more targeted. However, it is at the end of the data collection stage that evaluators have enough material to carry out a complete data analysis. Data analysis and interpretation involve technical issues that are outside the scope of this Guidance. The focus here is on key elements that will ease the way for incorporation of HR & GE perspective in this phase of the evaluation.

216.   Ideally, the data analysis and interpretation processes should involve key stakeholders, including duty bearers, rights holders, and within these two groups women and individuals/groups that are marginalized and/or discriminated against.

217.   Generally, in HR & GE responsive evaluations, analysing data entails several or all of the processes below (some of the steps are not HR & GE specific but apply and are relevant to HR & GE analysis):

- *Comparing the data obtained with existing information on the situation of HR & GE.* This step allows the evaluators to establish whether most of the data collected during the evaluation confirms or refutes trends and patterns already identified. It also allows evaluating what gaps have been filled, and what new information has emerged.

- *Processing data from surveys.* When processing survey data, evaluators of HR & GE responsive evaluations should identify trends, common responses and differences between groups of stakeholders (including duty bearers and rights holders), disaggregated in different ways, such as sex, age, place of residence, belonging to minorities, disabilities, gender identity, etc. When correctly administered, survey data can be analysed in terms of cause and effect in the context of a specific theory of change, e.g. sex can be an explanatory variable for levels of poverty or ethnicity for levels of participation.

- *Making sure that an adequate understanding of the context, relationships, power, etc. informs the analysis of data collected in interviews.*

- *Comparing data obtained from different sources.* At this stage, it will be possible for the evaluators to triangulate information, and check whether there are similarities and/or discrepancies in data obtained in different ways and from different stakeholders. This comparison can also help to understand how different stakeholders are positively or negatively affected by the intervention.

- *Comparing individual stories and case studies with general information.* This is when the evaluator identifies the context behind the numbers, and the exceptions to the rule – which, as we have seen, might be particularly meaningful in terms of HR & GE. Individual stories and case studies may confirm trends obtained from quantitative analysis, and may also provide examples of how these trends are reflected in people's lives. Or they may demonstrate that, even if a particular trend emerges, it is not reflected in the same way to everyone.

- *Comparing the results obtained to the original plan.* This is part of any UN intervention that follows the principles of RBM. The findings of an evaluation need to be compared with the original plan for the intervention, including its intended results and indicators. The evaluators should also ask whether the results framework has been sufficiently updated over time to reflect changes in the context of the programme. For HR & GE responsive evaluations, working with disaggregated data at this level is key, as it will allow the evaluator to probe whether the results are the same for everyone, or whether they benefited some more than others.

218.	A particular aspect of analysing data is raised by the analysis of policies and programme strategies, including HR & GE policies. Several UN and international cooperation agencies have developed assessment tools in order to register progress in these areas.[132] UNICEF and FAO present interesting examples. UNDP/UNFPA can also be cited as they have developed gender markers.

219.	The Rights and Results Assessment Tool, set out in Table 15,[133] was developed for UNICEF's evaluation of its gender policy and is a generic tool that can be used to assess changes in the enjoyment of rights through programme-level interventions[134]. The tool presents a scaled rating system for each of its components, including how far the intervention has promoted gender equality and contributed to meeting different institutional mandates. As an example, under section 1A the evaluator rating the programme determines whether the results planned in the intervention were at the level of women's strategic interests or practical needs.[135] As another example, for column 3 on results achieved, the evaluator is asked to determine whether gender equality results were partly or fully achieved, or if gender equality results surpassed expectations and objectives.

132	See, in particular, CIDA, 'CIDA's Framework for Assessing Gender Equality Results', 2010, <www.acdi-cida.gc.ca/INET/IMAGES.NSF/vLUImages/GenderEquality3/$file/GE-Framework-EN.pdf>.

133	Table 15 offers an illustration of only one rating scale related to one type of gender equality result; the rating scales for all eight areas of the Tool can be found in the UNICEF evaluation.

134	UNICEF, 'Evaluation of Gender Policy Implementation in UNICEF', New York: UNICEF Evaluation Office, 2008, <www.unicef.org/evaldatabase/index_43413.html>.

135	The rating instructions are the following: 0= no change; i = Change at practical needs level, i.e. change in material well-being and basic needs (short term, immediate changes related to gender gaps in basic needs); ii = Change at strategic interests level, i.e. change in the structural causes of gender inequality, critical awareness, advocacy, increased capacity for rights, participation, etc. (long term, social and capacity change leading to transformation of gender equality situation.)

Table 15. Rights and Results Assessment Tool: Programme/Project Document Review

Rating Criteria: Example of #1 given below.

Programme/Project Name: Country: Time Period:	Focus Area: Development: Emergency or Humanitarian Response:
Brief Description of Project:	List the Key Objectives: (Is there an explicit gender equality objective among the key objectives?) Yes_____ No_____
Unplanned gender equality results (if any):	Other comments/observations:

Ratings:

1. Type of gender equality result planned		2. Activities designed to support this result	3. Gender equality results achieved	4. Performance indicators	5. Contribution to Medium Term Strategic Plan	6. Contribution to MDG 3	7. Contribution to Convention on the Rights of the Child	8. Contribution to CEDAW	9. Information source
A.	B.								

220.   Another tool developed to evaluate gender mainstreaming in programming is the six-point assessment tool, implemented by FAO in its evaluation of Gender and Development (GAD). The tool uses the following descriptors to assess public goods developed by the agency:

- *Relevance for GAD:* extent to which the GAD approach (mainstreaming GAD) is a relevant issue in the understanding and management of the topic treated;

- *Technical quality of GAD contents:* extent to which GAD issues are mainstreamed through the whole document with contributions aware of state-of-the-art discussions;

- *Innovations on GAD:* extent to which the document makes an innovative contribution to understanding of GAD issues;

- *Potential impact as advocacy tool:* extent to which the document is written with well-chosen case studies, and awareness of target audience and potential controversial aspects;

- *Potential impact as capacity development tool:* extent to which a clear argument and well-chosen case studies are coupled with either capacity-building materials or directions towards such materials;

- *Links between GAD and social inclusion:* extent to which GAD issues are mainstreamed into discussions of social inclusion with concrete suggestions as to successful integration.

221.   Once the data is analysed, the evaluator will need to interpret the findings, moving to more detailed questions on finding causal links and making inferences. Taking a HR & GE approach, data should be interpreted if possible through multiple lenses, including for example sex, socio-economic status, ethnicity and disability. Groups most likely to have their rights violated are often subject to multiple forms of discrimination, and it is important to understand how these different forms intersect to deny rights holders their rights. Cultural sensitivity is needed in data management as in all other elements of evaluation practice.

222.   The level of interpretation depends on the evaluation focus and on the level of resources available. Here are some suggestions:

- For all types of *interventions where a high level of resources* is available for evaluation, data interpretation involves assessing how power relations, including gender relations, have changed as a result of the intervention, and how the intervention brought about structural changes in these relations and in other human rights issues. This implies understanding the underlying causes of the development challenges tackled by the intervention, and to what extent these causes have been addressed. A detailed human rights and gender analysis can be carried out. For example, discriminatory cultural practices may have stopped, ethnic minorities may be voted into political office, minimum wage levels may be introduced and enforced, or the right to food may be ensured for women and individuals/groups who are marginalized and/or discriminated against. The evaluator will need to look in detail at what factors have contributed to or hindered these changes.[136] Evaluations of interventions that have failed to address HR & GE issues in their design can consider if the interventions should have paid closer attention to these areas and how this could have been done.

- For evaluations with a *medium and low level* of resources, the focus on data interpretation is more likely to be on whether capacity development of rights holders and duty bearers has led to a sustainable increase in capacity or whether there have been changes in attitudes, behaviours, institutions and legal frameworks and whether this is likely to lead to an improvement in the rights situation of women and individuals/groups who are marginalized and/or discriminated against. These evaluations may also look at whether an enabling environment for the improvement of the HR & GE situation has been created with the support of the intervention. Finally, as in the analysis above, understanding the factors facilitating or hindering changes is critical to a more profound analysis.

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136   In order to distinguish the "changes that have taken place in the target population over the lifetime of the intervention and impacts that can reasonably be attributed to the effect of the intervention" (UNICEF, p. 58), UNICEF proposes to use a contribution analysis to assess what would have been the condition of the target population if the intervention had not taken place. See Michael Bamberger and Marco Segone, 'How to Design and Manage Equity Focused Evaluations', UNICEF, 2011, pp. 58-61, <mymande.org/sites/default/files/EWP5_Equity_focused_evaluations.pdf>.

7.2.1. Validation

223.   When evaluators have gathered their information and prepared tentative findings, it is good practice to validate these findings through workshops with different groups, to increase their accuracy and reliability and to enhance the sense of ownership of the data and process with all stakeholders.[137] The design may include reporting back key findings to separated or mixed (homogeneous or heterogeneous) groups of stakeholders, to programme implementers, and to external experts. The information can be presented for validation, for deepening the analysis, and for eliciting potential conclusions and recommendations.

224.   The selection of participants should refer back to the stakeholder analysis, including special attention to women and individuals/groups who are marginalized and/or discriminated against, who can normally be left out of discussions due to multiple kinds of constraints. To adequately respond to HR & GE, the workshop needs to follow the lines already adopted in the evaluation process: being as inclusive as possible, creating an adequate and safe space for reflection, and generating active, free and meaningful participation.

225.   At this point, stakeholders will have a chance to understand how the information they have provided has been used, which is in line with the principles of accountability and transparency. Moreover, it is a chance for stakeholders to correct inaccuracies, to ask questions and clarify points of view. For the evaluators, it is an opportunity to explain how they have dealt with conflicting perspectives encountered during the process, and how they have made sure to integrate the different sides of the story.

226.   Conducting the final workshop is an important element of validation of the evaluation results. It adds credibility to the process and enhances the likelihood that stakeholders will use the evaluation results later on. The conclusions of the workshop will be an asset to support the evaluators during the report-writing stage. However, it is important to highlight that this process does not entail looking for agreement and possibly compromise. The evaluated group should have the right to respond formally to the evaluation recommendations (through management response) but they should not interfere with the drafting of the recommendations.

7.3. Evaluation report

227.   The UNEG Standards for Evaluation in the UN System include overall HR & GE guidance on the drafting of the evaluation report:[138]

*The evaluation report should indicate the extent to which **gender issues and relevant human rights considerations** were incorporated.*

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137   This workshop is usually named 'debriefing workshop' or 'validation workshop'.

138   <www.uneval.org/document/detail/22>

228.   The definition of this standard provides details as to what should be included in the evaluation report. The document should specify:

- How gender issues were implemented as a cross-cutting theme in programming, and if the subject being evaluated gave sufficient attention to promote gender equality and gender sensitivity;

- Whether the subject being evaluated paid attention to effects on women and individuals/ groups who are marginalized and/or discriminated against;

- Whether the subject being evaluated was informed by human rights treaties and instruments;

- To what extent the subject being evaluated identified the relevant human rights claims and obligations;

- How gaps were identified in the capacity of rights holders to claim their rights, and of duty bearers to fulfil their obligations, including an analysis of gender and women and individuals/groups who are marginalized and/or discriminated against, and how the design and implementation of the subject being evaluated addressed these gaps;

- How the subject being evaluated monitored and viewed results within this rights framework.

229.   All of these elements have been discussed throughout this Guidance, and the issues listed in the UNEG Standards are a useful reminder of the key HR & GE areas that need to be covered. The extent to which they are elaborated on in the report will depend on the attention they have received during the evaluation process and in the intervention evaluated. Where there is a low level of resources invested in analysing the promotion of HR & GE, the evaluation report should clearly indicate the rationale for this choice. For example, a real-time evaluation of an emergency situation which lasts only two weeks and with limited access to the affected population may only be in a position to highlight issues related to protection and gender equality, but not undertake a full HR & GE analysis.

230.   According to UNEG's guidance, a specific section on HR & GE should be included at the end of the report.[139] However, an alternative for HR & GE responsive evaluations would be to highlight the implications for HR & GE under each section of the evaluation report, as described in Table 16.

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139 It should be noted that UNEG is currently in the process of reviewing the Norms and Standards, and a preliminary analysis has already identified human rights and gender equality as one of the focus areas for the review.

231.   A good evaluation report needs to make sure that the information provided by participants during the evaluation process, including the final workshop, is duly captured with balanced perspectives and fair representation of different points of view. Findings and recommendations need to be formulated in detail, identifying to whom the recommendations are addressed and proposing concrete action points. For evaluations of interventions where the main focus is on promoting HR & GE, most recommendations will focus on human rights and gender equality. For evaluations of other interventions, it is important that evaluators integrate HR & GE throughout the evaluation process, including in the formulation of recommendations. The recommendations should clearly specify which evaluation stakeholder they are addressed to. This will facilitate follow-up to recommendations through a management response. The evaluation report is the most important resource for the evaluator to reassert the importance of adequately addressing HR & GE.

Table 16. Content and Standards for Evaluation Report	
UNEG standards for report content	**Implications for HR & GE responsive evaluation**
Object of the evaluation: a description of the intervention being evaluated, including: • its logic model and results chain; • its scale and complexity (number of components, geographic context, total resources); • stakeholders involved; • implementation status.	The report should describe: • how and to what extent HR & GE are addressed by the intervention, including in its logic model and results chain; • level of resources dedicated to HR & GE; • diversity and level of engagement of the different stakeholder groups contemplated by the intervention and who was left out by the intervention; • progress on specific activities and products promoting HR & GE.
Evaluation purpose, objective(s) and scope: a general and clear description of the evaluation, including: • purpose of the evaluation (rationale behind the need for the evaluation, evaluation users, type of information needed and how it will be used); • objectives and scope (evaluation questions, coverage, justification for what was not covered); • evaluation criteria; • gender and human rights in the evaluation scope.	The report should describe: • users of the evaluation, including stakeholder analysis and their role in the evaluation process; • specific questions covering HR & GE issues; • specific criteria related to HR & GE; • evaluability of HR & GE issues in the intervention.

Table 16. Content and Standards for Evaluation Report (continued)	
UNEG standards for report content	**Implications for HR & GE responsive evaluation**
Evaluation methodology: description of the methodology applied to the evaluation that clearly explains how the evaluation was specifically designed to address the evaluation criteria, yield answers to the evaluation questions and achieve evaluation purposes, including: • data collection methods and analysis, the rationale for selecting them, and their limitations; • data sources (rationale for their selection, limitations, how the mix of data sources was used to obtain a diversity of perspectives, ensure data accuracy and overcome data limits); • sampling frame (area and population represented, rationale for selection, mechanics of selection, limitations of the sample); • stakeholder's consultation process; • methods employed to answer evaluation questions and to address gender and human rights; • measures taken to ensure data quality, reliability and validity of data collection tools (e.g. interview protocols, observation tools, etc.)	The report should describe: • data collection methods designed to address HR & GE issues; • diversity of perspectives in data sources and processes to guarantee protection of subjects and respect for confidentiality; • how the sampling frame addressed the diversity of stakeholders in the intervention, particularly women and individuals/groups who are marginalized and/or discriminated against; • participatory tools for consultation with stakeholder groups, and the level of inclusion of women and individuals/groups who are marginalized and/or discriminated against in the consultation process; • evaluation questions related to HR & GE; • validation processes responsive to HR & GE.
Findings: description of evaluation findings according to the evaluation criteria and questions, including: • systematic and appropriate analysis and interpretation of the data; • specific findings addressing each criterion and question posed by the evaluation; • evidence of findings; • gaps and limitations in the data and/or unanticipated findings; • reasons for accomplishments and failures, including constraints to the success of the intervention.	The report should describe: • analysis and interpretation of data on HR & GE; • specific findings on HR & GE-related criteria and questions; • evidence of findings related to HR & GE; • gaps and limitations to addressing HR & GE; • unanticipated effects of the intervention on HR & GE issues; • factors facilitating or hindering success in the area of HR & GE.
Conclusions: judgements, insights and lessons related to the intervention, including: • identification and/or solutions of important problems or issues pertinent to the prospective decisions and actions of evaluation users; • strengths and weaknesses of the intervention, based on the evidence presented and taking due account of the views of a diverse cross-section of stakeholders.	The report should describe: • insights and lessons regarding HR & GE in the intervention; • identification and/or solutions of HR & GE problems or issues in the intervention; • strengths and weaknesses of the intervention regarding HR & GE; • evidence that conclusions have taken into consideration the perspectives of the intervention's diversity of stakeholder groups.

Table 16. Content and Standards for Evaluation Report (continued)

UNEG standards for report content	Implications for HR & GE responsive evaluation
Recommendations: recommendations on the intervention, supported by evidence and conclusions, developed with the involvement of relevant stakeholders, including: • process followed in developing the recommendations including consultation with stakeholders; • relevant recommendations to the intervention; • target group for each recommendation; • actionable recommendations that reflect an understanding of the commissioning organization and potential constraints to follow-up; • priorities for action.	The report should describe: • how the process for developing recommendations has involved the intervention's diversity of stakeholder groups; • specific recommendations addressing HR & GE issues; • target group for HR & GE-related recommendations; • how recommendations on HR & GE reflect understanding of the context, organizations and stakeholders involved in the intervention; • priorities for action to improve the HR & GE dimensions of the intervention or future initiatives in the area.
Gender and human rights: extent to which the design and implementation of the intervention, the assessment of results and the evaluation process incorporate a gender equality perspective and human rights-based approach, including: • using gender sensitive and human rights-based language throughout the report, including data disaggregated by sex, age, disability, etc.; • how 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; • judgement whether the design of the intervention 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; • findings, conclusions, recommendations and lessons that provide adequate information on gender equality and human rights dimensions.	All provisions are applicable to HR & GE responsive evaluation reports.

Chapter 8.   Applying HR & GE Principles to Evaluation Use and Dissemination

8.1.   Promoting evaluation use

232.   The impact of an evaluation exercise is determined by the degree to which the knowledge gained is accessed and used in practice by key decision makers and a wider audience of affected stakeholders. One of the primary concerns of any evaluator is to produce a useful product, worth the investment, that can influence decision-making through the provision of empirically driven evidence. When done to quality standards and used strategically, evaluations are effective tools to support managing for results and public accountability. They have the capacity to generate vital knowledge and foster institutional learning. Each evaluation has a diverse set of end users, whom evaluators must carefully consider – from the design through the final reporting – in developing a report that is widely accessible wherein the findings and experiences gleaned can be applied in practice. In this chapter two principal means to increase levels of access and use are highlighted, dissemination and management response.

233.   It is the ultimate responsibility of the intervention management to ensure the management response and resulting actions apply HR & GE standards and principles. Evaluators and evaluation managers should also strive to enable the development of a strong management response and action plans. Evaluators can do this by presenting recommendations that are clear, actionable, prioritized, specifically on HR and GE issues. Evaluation managers should use their role to quality assure the final report to ensure that the evaluator has presented recommendations in this way and they may be called on to provide some advice to management in developing the response. Evaluation managers can also guide the intervention management and encourage them to respond on the HR and GE issues raised in the report, even if there are no specific recommendations. Through these actions, evaluators and evaluation managers can play an important role in guaranteeing that the process of defining the response (from the document distribution and the discussion of the conclusions, to the determination of implementation strategies) is in accordance with the principles of inclusiveness and participation, accountability, transparency, non-discrimination and empowerment.

234.   UNEG has identified three preconditions to aid effective evaluation management response and follow-up process to incorporate HR & GE principles:[140]

235.   ***The involvement of internal and external stakeholders.*** To ensure the effective use of the evaluations it is fundamental that its primary audience feels ownership of the evaluation and commitment to implement its recommendations (be it intervention staff, partners, rights holders or

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140   UNEG, 'Good Practice Guidelines for Follow up to Evaluations', UNEG/G(2010)3, p. 4, <www.unevaluation.org/GPG/followup>.

duty bearers). Through adopting a utilization-focused approach, a sense of ownership can be nurtured by ensuring the intended users are actively involved in significant decision-making processes throughout the evaluation. Actively involving primary intended users leads to greater understanding and ownership of the evaluation process, which in turn leads to an increased probability of use.[141]

236.   As has been emphasized throughout this Guidance, the active participation of the intervention stakeholders (with particular attention to inclusion of duty bearers and rights holders, and within these two groups, women and individuals/groups who are marginalized and/or discriminated against) is one of the core principles of HRBA and gender equality mainstreaming. An evaluation that has followed the standards and processes recommended to address HR & GE dimensions throughout the process should have created an enabling environment for active engagement of a comprehensive set of stakeholders in the final stages of the evaluation. Thus, in line with the HR & GE responsive evaluation process, it is expected that participants in an intervention feel represented in the recommendations and have developed an interest in their implementation. This sense of ownership is an essential resource to effectively promote stakeholders' active involvement in monitoring the implementation of the resulting recommendations.

> "Good use of evaluation results is more than action by the manager to respond to recommendations. It is about engaging with stakeholders to implement change."
>
> *UN Women Evaluation Manual*

237.   Not all stakeholders can be involved in the same way and to the same extent. It is therefore important that the evaluators and the evaluation manager focus on the evaluation's primary users and establish a clear understanding of their respective commitments regarding implementation and

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Box 25. What if the Evaluation Process Was Not Inclusive/Participative?

If HR & GE principles have not been applied consistently throughout the evaluation process, the design of the use and dissemination strategy becomes even more critical in ensuring meaningful, strategic and timely interaction and dialogue with affected stakeholders. Target audiences should be identified as early as possible in this final phase so stakeholders can be given adequate time to prepare their input. Developing specific evaluation products to meet the needs and demand among targeted audiences can also be undertaken to ensure stakeholders have an opportunity to be informed of the knowledge generated from the evaluation and can perhaps bring forward additional views that were not considered in the report. Fostering collaboration with duty bearers and rights holders not only upholds key HR & GE principles, it is also critical in paving the way to implementing evaluation recommendations and achieving results.

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141   Michael Quinn Patton, 'Utilization-Focused Evaluation', in D.L. Stufflebeam, George F. Madaus, T. Kellaghan (Eds), *Evaluation Models*, 2nd ed., 2011, pp. 426 and 437.

use.[142] However, when designing the final stages of an HR & GE responsive evaluation, evaluators must verify that a balance of viewpoints is represented and taken into account, not only in the evaluation report and its findings, but also when considering how and by whom its recommendations should be implemented. It is important that this effort is made to target responsible parties for the implementation and monitoring of each recommendation, especially those addressing HR & GE issues, and that the concrete actions needed to respond are clearly identified.

238.	*Quality evaluation recommendations.* While it is imperative that recommendations are firmly based on sound evidence and analysis, it is also critical that recommendations are clearly formulated and accessible to a variety of target audiences in order to ensure effective dissemination and implementation. This requires careful consideration of the evaluation's HR & GE dimensions and may require an adaptation of the language and style used to accommodate the needs of various intended audiences.

239.	*Evaluation credibility.* Credibility depends on "independence, impartiality, transparency, quality and the appropriateness of the methods used."[143] Credibility is essential when tackling sensitive political and social issues, as are typically involved in HR & GE work. Strengthening and widening the sense of ownership and buy-in of the evaluation and its findings through validation and participatory dissemination with key stakeholder groups also raises the credibility of the evaluation.

240.	Evaluations can be used for different purposes, for example to improve the intervention under evaluation, to design a new initiative, to learn how to replicate or scale up an experience, or to establish future institutional or operational strategies. This is particularly true concerning HR & GE responsive evaluations. They might also foster a change in ideas, level of awareness, and understanding of an issue; transform relationships among stakeholders; empower communities; reframe decision-making processes; and provide justification for political (in)action.[144]

241.	Evaluations are not only technical programming exercises. Critically, they often consider political and social factors or address power imbalance that affect development or aid. In some contexts, HR and gender issues can be extremely sensitive. Thus, applying HR & GE standards, evaluators and the evaluation manager need to be aware, from the beginning to the end of the process, that some evaluation findings and recommendations might meet resistance or be questioned, and anticipate the response. The evaluation process should not only be as transparent, rigorous and participatory as possible, but HR & GE evaluations also require a fuller appreciation of the political dimensions of development – including in planning their dissemination and use – to be sure that entrenched patterns of discrimination are not reinforced.

142	Ibid., p. 426.

143	UNEG, 'Good Practice Guidelines for Follow up to Evaluations', UNEG/G(2010)3, p. 4, <www.unevaluation.org/GPG/followup>.

144	UN Women, 'A Manager's Guide to Gender Equality and Human Rights Responsive Evaluation', <www.unwomen.org/en/digital-library/publications/2010/1/a-manager-s-guide-to-gender-equality-and-human-rights-responsive-evaluation>.

8.2. Including HR & GE standards and principles in management responses

242.   The UNEG guidance on preparing management responses states: "[T]he purpose of the management response mechanism to evaluations is to improve the timely and effective use of evaluations. It provides an opportunity to hold a dialogue with all evaluation stakeholders to reflect on the evaluation findings, recommendations and lessons and to incorporate them in ongoing programmes and in programme formulation."[145] The management response mechanism (or management responses) identifies practical implementation actions, establishes clear responsibilities and outlines a time-frame for completing the agreed actions. These elements should be concrete, actionable and owned by the evaluation users.

243.   Applying these general principles to HR & GE responsive evaluations, evaluation managers need to ensure that the evaluation follow-up responds to the specific findings, conclusions and recommendations addressing HR & GE and incorporates HR & GE approaches. In addition, it is important in considering that other (non-HR & GE) findings, conclusions and recommendations are supportive of and impact positively on HR & GE outcomes. Given that HR & GE often needs to be strengthened in UN programming, it is particularly important to ensure allocation of responsibility and resources for following up on recommendations related to these two themes. For interventions that do not succeed in integrating HR and GE programming principles in their design it would be important for the evaluation to recommend that design processes should include these elements in the future. By including such a recommendation, management is required to respond to it and develop an action plan to ensure that these elements are not overlooked in future intervention design processes. Thus, one recommendation has a strong potential to help further institutionalize HR & GE into the design processes within an organization and throughout the United Nations system.

244.   The management response preparation will need to consider the HR & GE dimensions from different perspectives:

- *Participation in the discussions:* In line with its commitment to all stakeholders, and following the principles of participation and inclusion – particularly of those women and individuals/groups who are marginalized and/or discriminated against – the management response discussion should be an inclusive process. The stakeholder analysis should inform who will be part of the discussion, and how women's voices and individuals/groups who are marginalized and/or discriminated against will be represented (for example, through representatives of NGOs, CSOs or networks of partners).

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145   UN Women, Evaluation Unit, 'Guidance Note on Developing Gender Equality Mainstreaming Management Responses to Evaluations', Evaluation Guidelines Notes Series 10, November 2010, p. 2, <unifem.org/evaluation_manual/wp-content/uploads/2011/05/Guidance-Note-10-Evaluation-Managender equality mainstreamingent-Response-011210.pdf>.

- As it is aptly noted in the 'UN Women Manager's Guide to Gender Equality and Human Rights Responsive Evaluation', the development of a formal management response to an evaluation is not sufficient in guaranteeing its use and impact. The inclusive participation of programme stakeholders in the final phases of the evaluation exercise is vital to ensuring the evaluation serves as a useful learning exercise, which contributes to programme improvements and evidence-based decision-making.[146] It must also be recognized that many recommendations might be outside the control of the agency that commissioned and/or produced the evaluation. Unless there is comprehensive acceptance of the evaluation report and its recommendations by the direct and indirect stakeholders, the potential for follow-up on action will be very limited. In this context, the importance of fostering ownership by evaluation stakeholders throughout and after the evaluation process is evident.[147]

- ***Implementation of HR & GE related recommendations:*** The management response should consider how to address specific HR & GE recommendations, and what results would need to be generated in these areas. Response to HR & GE recommendations should be prioritized and resources and responsibilities need to be clearly articulated to ensure that they are addressed. For example, for an intervention that is considered weak in these areas, implementing the HR & GE related recommendations should be considered a priority. Action plans on these recommendations should be monitored closely. CSOs, national governments and donors all have a central role in implementing HR & GE related recommendations.

- ***Observation of the HR & GE dimensions in other recommendations:*** It is also the responsibility of a HR & GE responsive management response to make sure that the implementation of all of the recommendations contributes to the application of HR & GE standards and principles or does not impede them. For example, if an agreed follow-up action is to partner with an NGO to provide training to intervention participants, it is advisable that the NGO selected has a proven track record of working with women and individuals/groups who are marginalized and/or discriminated against to empower them. Particular attention should be paid to ensure appropriate stakeholder groups are targeted in this training, being careful not to overlook including both men and women, duty bearers and rights holders. There can also be concrete plans to invest time and resources to reach women and individuals/groups who are marginalized and/or discriminated against as a target audience for the training.

245. Accountability mechanisms must be in place, (i.e. as outlined in agency policies on HR and GE, UN system-wide policies, etc.; see Chapter 4) with adequate resources allocated (See Chapter 6), to guarantee an appropriate follow-up to the recommendations. According to UNEG, "[…] standardized matrices are the tools most used by agencies to record management responses. User-friendly tools ensure coherent tracking of agreed recommendations and promote more systematic follow-up of recommendations […]. In general, the use of a formal manage-

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146 UN Women, 'A Manager's Guide to Gender Equality and Human Rights Responsive Evaluation', <www.unwomen.org/en/digital-library/publications/2010/1/a-manager-s-guide-to-gender-equality-and-human-rights-responsive-evaluation>.

147 UN Women Evaluation Unit, 'Guidance Note on Developing Management Responses to Evaluations', Evaluation Guidelines Notes Series 10, November 2010, p. 6, <unifem.org/evaluation manual/wp-content/uploads/2011/05/Guidance-Note-10-Evaluation-Managender equality mainstreamingent-Response-011210.pdf>.

ment response and follow-up process is bringing operational departments and evaluation units closer together in a joint effort to improve performance."[148] A sample follow-up matrix extract is illustrated in Table 17.

Table 17. UN Women Management Response and Tracking to the Liberia Country Programme Evaluation					
Evaluation recommendation 1. UN Women Liberia together with all the projects, implementing partners as well as other collaborating partners should consider and implement the recommendations given on individual projects/programmes. The projects should be supported to produce realistic, measurable, achievable and time-bound action plans that prioritize the recommendations given in the body of the report. The M&E Department of UN Women Liberia should monitor the respective projects for the implementation of recommendations action plans.					
Management response: UN Women Liberia takes note of the recommendations for the individual projects and will work closely with partners to best implement the specific and applicable recommendations for ongoing and future implementation. Unfortunately, UN Women Liberia does not have a dedicated M&E Department; however, Programme staff will be tasked with monitoring the implementation of the applicable recommendations.					
Key action (s)	**Time-frame**	**Responsible unit(s)**	**Tracking**		**HR & GE Standard & Responsible Stakeholders**
			Status	**Comments**	
1.1. Collate individual recommendations from the evaluation and include the most pertinent and applicable recommendations in the 2012 work plan.	End of 2011	UN Women Liberia Programme Staff			
1.2. Sub-Regional Office (SRO), with its role in providing technical backstopping and oversight, will monitor and support to ensure that applicable recommendations are addressed.	During 2012	SRO			
1.3. Appointment of a dedicated M&E staff in Liberia	By end of 2012	Liberia Country Office and SRO			
1.4. SRO to provide backstopping to Liberia Country Office on M&E issues	Ongoing	SRO & Liberia Country Office			

Source: UN Women Global Accountability and Tracking of Evaluation Use System (GATE)

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148 UNEG, 'Management Response and Follow-up to Evaluation Recommendations: Overview and Lessons Learned', Draft: mimeo, 2008.

246.   To ensure that HR & GE dimensions are taken into account in the evaluation manage-
ment response, it is recommended that specific items or checklists regarding HR & GE issues
be included in these tables, where applicable. For instance, as in the example above, key actions
could specify the HR/GE standard it aims to apply, targeted rights holders and duty bearers, which
stakeholders would be involved in its implementation and how they will participate (see the final
column in Table 17).

247.   Follow-up to management responses include formal and informal processes to promote
and verify that evaluation-based learning takes place within the organization and among partners.
This often includes the publication of management responses in public databases and management
reports on the status of implementation of recommendations. The obligation of the implementing
office to track and update their status serves as an important monitoring tool that should be comple-
mented with a reporting mechanism, such as annual reports to executive boards, etc.

248.   The use of public databases to house evaluation reports and management responses are
common among an increasing number of UN entities, the OECD and the World Bank. The data-
bases are often searchable by gender equality categories but not necessarily by human rights
topics.[149] For example, UNDP and UN Women have developed a web-based model for tracking
recommendations, the Evaluation Resource Centre (ERC) and Global Accountability and Track-
ing of Evaluation Use (GATE), respectively[150], which is searchable by categories such as 'foster-
ing democratic governance' and 'gender mainstreaming'. UNICEF evaluation database includes a
category for child rights, gender equity, and also several categories for child protection.[151] UNFPA
evaluation database is searchable by keyword including gender (women and children's rights), and
the database includes corresponding management responses.[152]

8.3. Disseminating the evaluation taking into account HR & GE principles

249.   As a rule, key findings and recommendations of an evaluation should be made available
to a wide audience that extends beyond the intervention partners and key stakeholders. Broad
dissemination of knowledge generated by evaluation exercises can serve to increase the impact of
evaluation in important ways.[153] Further, access to evaluation findings can be empowering in and
of itself as it has the potential to provide stakeholders with previously inaccessible knowledge.

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149   For example, the OECD-DAC evaluation database has no category for human rights. <www.oecd.org/findDo
cument/0,3354,en_35038640_35039563_1_1_1_1_1,00.html>. The World Bank Poverty Impact Evaluations
Database has one reference under human rights, <web.worldbank.org/WBSITE/EXTERNAL/TOPICS/
EXTPOVERTY/EXTISPMA/0,,menuPK:384336~pagePK:149018~piPK:149093~theSitePK:384329,00.
html>.

150   <erc.undp.org/> and <gate.unwomen.org>.

151   See <www.unicef.org/evaldatabase/index_13711.html>.

152   <web2.unfpa.org/public/about/oversight/evaluations/search.unfpa?method=input>.

153   UNDP, 'Handbook on Planning, Monitoring and Evaluating for Results', New York, 2009, p. 184, <www.undp.
org/evaluation/handbook/documents/english/pme-handbook.pdf>.

[The UNEG Norms for Evaluation in the UN System](), as well as several agency-specific standards and policies, require that:

Evaluations should be conducted and evaluation findings and recommendations presented in a manner that is easily understood by target audiences.

Evaluation findings and lessons drawn from evaluations should be accessible to target audiences in a user-friendly way.

[The UNEG Ethical Guidelines for Evaluation](){[154]} require that:

> *The formal parties to an evaluation should ensure that the full set of evaluation findings along with pertinent limitations are made accessible to the persons affected by the evaluation, and to any others with legitimate claims or rights to receive the results, in relevant language(s).*
>
> *As a norm, all evaluation reports shall be made public. Evaluation reports will only be withheld from publication for compelling reasons and in accordance with relevant rules within each agency. The evaluation manager shall ensure high standards in accessibility and presentation of published reports and use a range of channels to reach audiences through, for example, electronic and interactive channels, knowledge networks, communities of practice, presentations at relevant conferences, as well as appropriate publications.*

250.   It is the responsibility of evaluation managers to design a comprehensive dissemination strategy that will efficiently distribute evaluation findings and recommendations in the most accessible, transparent and inclusive way possible. It must be noted, however, that often it is not feasible given resource and cost constraints to implement all of the dissemination channels highlighted in this section. Therefore, it has to be carefully considered who will actually be interested in and be able to use the findings. In this process, evaluation managers should take into account national processes/events that findings can feed into (e.g. gender policy development, CEDAW reporting, etc.) in an effort to make the dissemination more strategic. Throughout this section, key tips are presented based on the successful dissemination strategy developed for the UN Women Sabaya programme in the State of Palestine.[155] In particular, the evaluation office should:

- *Identify and involve the direct users of the evaluation:* It is important to refer back to the stakeholder analysis to assess to whom the evaluation should be disseminated, how best to provide access to information for the various stakeholder groups identified, how direct users should be engaged and how they can contribute to dissemination, and how they can take advantage of their own channels to disseminate the evaluation.

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154   [<www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=102>]()

155   [<gate.unwomen.org/unifem/evaluationadmin/manageevaluation/viewevaluationdetail.html?evalid=4438>]()

251.   In addition to the direct users already defined in the stakeholder analysis, the dissemination phase is a key time to identify other potential users who may benefit from the evaluation findings, or who may have an interest to know the conclusions of the process. For example, these may include:

- *International and national human rights, women's rights and gender equality groups and other civil society organizations (including business communities, journalists, church groups).* These groups may be at the forefront of promoting human rights and gender equality. If appropriate, it may be useful to brief them separately.

- *Duty bearers,* State and government counterparts (at national and local levels) not directly involved in the project/programme being evaluated should be targeted as appropriate, especially if they are tasked with fulfilling the relevant State's human rights and gender equality mandates that the findings speak to (for example, gender ministries, national planning departments or ministries involved in assigning resources; institutions in charge of producing national data).

- *Evaluation networks.* Global, regional and national evaluation networks are making important contributions to the evaluation field and they act as important forums for sharing lessons, challenges and experiences on HR & GE responsive evaluation. Sharing evaluation findings and methodological briefs is a means to build national evaluation capacity and an asset in building stronger ties with civil society, local and national counterparts, and governments. They can be allies in promoting HRBA and gender equality mainstreaming and may serve as a valuable space in which to compare experiences in the area of HR & GE evaluation with colleagues in the UN system and beyond. Likewise, evaluation offices can create opportunities for their staff's professional development by participating in networks (e.g. attending conferences/events, participating in communities of practice, joining working groups, publications, etc. to learn and sharing examples of how HR & GE dimensions have been applied in evaluations and the resulting lessons learned. A list of evaluation associations that have specific sub-groups working on HR & GE evaluation has been included in Annex 4.

Box 27. Tips from the Sabaya Programme: Engaging Stakeholders

✓ Organize a stakeholder meeting in the region with representatives of various groups, including programme participants, donor representatives, UN and national officials, local and international CSOs

✓ Use different tools during the stakeholder meeting, for example including presentations, discussions, a movie and an award ceremony, which appeal to different audiences

✓ Use the results of the discussion in the stakeholder meetings to inform the management response, in order to ensure a relevant management response plan, guided by the programme's lessons and experiences

- *Provide barrier-free access to evaluation products (including a variety of knowledge products coming out of the evaluation process):* This entails making sure that the language and format of the report are accessible to all potential users. The version of the report to be disseminated should be written in clear and understandable language to meet the demand and needs of its potential audience. The document should also be easily accessible and presented in a way that enhances learning. In particular, the report – or at least its summary – should be translated in the local language(s).

252.   In addition, evaluation managers should consider utilizing targeted, HR & GE responsive knowledge products, to reduce barriers to information and exchange lessons learned and experiences. Such products may include the dissemination of systematically extracted lessons learned and best practices, the development of presentations and summaries.

8.3.1. Targeted dissemination: Thinking beyond the report

253.   A traditional evaluation report is often not equally accessible to all targeted groups. To overcome this, dissemination planning should identify a diversity of channels and formats that appeal to and reach different audiences. In particular, seeking alternative ways to present evaluation findings to women and individuals/groups who are marginalized and/or discriminated against is essential and fulfils their right to know the conclusions of a processes to which they have contributed and are effected by. The evaluation team/manager is encouraged to develop evaluation products that make use of alternative ways of depicting information, for example through imagery, theatre, poetry, music, etc. Engaging media in the dissemination phase, and increasingly 'new' media, can also prove to be an effective means to make the findings more engaging and to share evaluation results with traditionally unreached audiences and communities.[156]

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156   Ibid.

254.   Box 28 highlights an example of an effective and comprehensive dissemination strategy used by UN Women, which takes participation and inclusion principles into consideration, and taps into a variety of dissemination channels.

8.3.2   Feedback and lessons learned

255.   Finally, it is important to establish a feedback and learning mechanism on the effectiveness of the dissemination strategy, the quality of particular knowledge products, and impact (where feasible).[157] This will help to gauge the extent to which evaluation information has been useful and applied in programming and policy decision-making. Information should also be gathered on rights holders' (in particular, women and individuals/groups who are marginalized and/or discriminated against) participation in the follow-up process.

256.   In summary, the impact of an evaluation exercise is determined by the degree to which the knowledge gained is accessed and used by key decision makers and a wider audience of affected stakeholders. It is critical to note that the evaluation process does not conclude with the completion of a report. The final stage of the evaluation process needs to be considered and prepared from the assessment's outset. It should guide and be guided by the anterior phases of the evaluation process. In HR & GE responsive evaluation, this requires actively ensuring that women and marginalized and/or discriminated against stakeholders remain directly included throughout the evaluation process, including in this final stage. Finally, strategic distribution of HR & GE responsive evaluations should be capitalized upon as an opportunity to cultivate evaluation culture among stakeholders and enhance awareness, and integration, of HR & GE principles in future.

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157   Ibid., p. 188.

Annex 1. International and Regional Frameworks Promoting and Protecting HR and GE

This annex gives a more detailed description of the sources of international human rights law referred to in Chapter 2 of the main UNEG Guidance.

International and regional treaties for the promotion and protection of HR & GE

The Universal Declaration of Human Rights (UDHR) can be understood to be the cornerstone document of international human rights law. Although the UDHR did not begin as a legally binding document, it is now endowed with a high degree of legitimacy and has become part of 'customary international law'. Two key international human rights treaties – the International Covenant on Economic, Social and Cultural Rights (ICESCR) and the International Covenant on Civil and Political Rights (ICCPR) and their Protocols[158] further elaborate the content of the rights set forth in the UDHR and contain legally binding obligations for the States that become parties to them. Together with the UDHR, these documents are often called the International Bill of Human Rights.

Under the auspices of the UN, more than 20 general and subject-specific human rights treaties have been formulated since the adoption of the UDHR. These treaties create legally binding obligations for the States that ratify them (or accede to them),[159] thereby giving these treaties the status and power of international law. Of these, nine are considered core international human rights treaties, and ten committees of experts have been established to monitor the implementation of their provisions by the States Parties (see Box A.1). Some of them receive communications from individual persons and groups that believe their rights have been violated by States Parties.

The central international treaty promoting and protecting gender equality is the Convention for the Elimination of All Forms of Discrimination against Women (CEDAW), adopted by the UN General Assembly in 1979. While many international instruments contain a provision for non-discrimination on the basis of sex, CEDAW established in greater detail the obligations of States towards women.

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158   The first protocol to the ICCPR, adopted in 1966 and entered into force in 1976, established the possibility for a person under the jurisdiction of a State Party to the Protocol, to present individual communications to the Human Rights Committee (the Committee established to oversee the completion by States Parties of their obligations under the ICCPR) if she/he thinks that her/his right(s) has (have) been violated. See <www.ohchr.org/EN/ProfessionalInterest/Pages/OPCCPR1.aspx>. The Second ICCPR Optional Protocol, adopted by the UN General Assembly in 1989, is aimed at the abolition of death penalty. See <www.ohchr.org/EN/ProfessionalInterest/Pages/2ndOPCCPR.aspx>. By becoming a Party to the Protocol to ICESCR, adopted in 2008, States Parties recognize the competence of the Committee on Economic, Social and Cultural Rights, to receive and consider individual communications of individuals (or groups of individuals) who is (are) under the jurisdiction of a State Party and who is (are) claiming to be victim(s) of any of the rights set forth in the ICESCR. See <www.ohchr.org/EN/ProfessionalInterest/Pages/OPCESCR.aspx>.

159   For the definition of ratification and accession to an international treaty, see the Glossary of Technical Terms.

States are primarily required to eliminate the many different forms of gender-based discrimination women face. However, their obligations are not circumscribed to a general commitment to recognize equality between women and men. CEDAW details obligations concerning the measures required in different public and private spheres. In particular, States are obliged:

- to incorporate the principle of equality of men and women in their legal system, abolish all discriminatory laws and adopt appropriate ones prohibiting discrimination against women;

- to establish tribunals and other public institutions to ensure the effective protection of women against discrimination; and

- to ensure elimination of all acts of discrimination against women by persons, organizations or enterprises.

Furthermore, CEDAW obliges States Parties to "ensure, through law and other appropriate means, the practical realization of [equality between men and women],"[160] thus establishing an obligation to guarantee a substantial equality and not only a formal equality (through legislations and policies) (see Box A.1).

As this is the case for other human rights treaties, under CEDAW, States Parties are required to submit regular reports to the Committee on the Elimination of Discrimination against Women (CEDAW Committee) on the legislative, judicial, administrative or other measures they have adopted, and on the progress made. The Committee then comments and makes recommendations on reports submitted (comments that constitute 'soft law' – see below). Under CEDAW Optional Protocol, adopted in October 1999, States parties accept the competence of the Committee to receive complaints from persons under their jurisdiction alleging violations of their rights under CEDAW.

Other international and human treaties contribute to protect women's rights, such as the UN Convention on the Rights of the Child. As recalled by OHCHR, "certain violations of international human rights […] constitute crimes under international criminal law, so other bodies of law, such as the Rome Statute of the International Criminal Court, could, therefore, also be applicable. International criminal law and criminal justice on war crimes implement international humanitarian law, but they also clarify and develop its rules. Similarly, other bodies of law, such as international refugee law and domestic law, will often also be applicable and may influence the type of human rights protections available."[161]

In addition to international human rights treaties, there are also regional human rights treaties, which essentially concern the same sets of rights, but are only open for signature by States in the relevant region. Regional human rights treaties are important to consider when applying HRBA to programming as they can provide higher protection of rights, as well as an additional set of tools by which to assist governments in fulfilling their obligations. Regional human rights systems reinforce and complement international standards and machinery by providing the means by which human

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160   CEDAW, art.2 (a), <www.un.org/womenwatch/daw/cedaw/text/econvention.htm>.

161   OHCHR, *International Legal Protection of Human Rights in Armed Conflict,* New York and Geneva, 2011, p. 7, footnote 4, <www.ohchr.org/Documents/Publications/HR_in_armed_conflict.pdf>.

Box A.1. The Core International Human Rights Instruments and Their Monitoring Bodies

There are nine core international human rights treaties and ten monitoring bodies – committees of experts established to monitor the implementation of the treaty provisions by its States Parties. Some of the treaties are supplemented by optional protocols dealing with specific concerns.

Treaty	Year	Monitoring Body
International Convention on the Elimination of All Forms of Racial Discrimination (ICERD)	1965	CERD
International Covenant on Civil and Political Rights (ICCPR)	1966	HRC
International Covenant on Economic, Social and Cultural Rights (ICESCR)	1966	CESCR
Convention on the Elimination of All Forms of Discrimination against Women (CEDAW)	1979	CEDAW
Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (CAT)	1984	CAT
Convention on the Rights of the Child (CRC)	1989	CRC
International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families (ICRMW)	1990	CMW
International Convention for the Protection of All Persons from Enforced Disappearance	2006	CED
Convention on the Rights of Persons with Disabilities (CPED)	2006	CRPD
Optional Protocol to the Covenant on Economic, Social and Cultural Rights (ICESCR-OP)	2008	CESCR
Optional Protocol to the International Covenant on Civil and Political Rights (ICCPR-OP1)	1966	HRC
Second Optional Protocol to the International Covenant on Civil and Political Rights, aiming at the abolition of the death penalty (ICCPR-OP2)	1989	HRC
Optional Protocol to the Convention on the Elimination of Discrimination against Women (OP-CEDAW)	1999	CEDAW
Optional Protocol to the Convention on the Rights of the Child on the involvement of children in armed conflict (OP-CRC-AC)	2000	CRC
Optional Protocol to the Convention on the Rights of the Child on the sale of children, child prostitution and child pornography (OP-CRC-SC)	2000	CRC
Optional Protocol to the Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (OP-CAT)	2002	SPT
Optional Protocol to the Convention on the Rights of Persons with Disabilities (OP-CRPD)	2006	CRPD

Source: <www.ohchr.org/EN/ProfessionalInterest/Pages/InternationalLaw.aspx>

rights concerns are addressed within the particular social, historical and political context of the region concerned. As a result, regional human rights mechanisms can be important partners for close collaboration with the UN on activities of mutual concern.[162]

Europe has the oldest regional human rights system; it has been followed by the American and African systems. Together, they have greatly complemented universal standards of protection.

- **Europe**: Different institutional bodies that share the same values – human rights, democracy and the rule of law, constitute the human rights system within Europe.[163]

  — The Council of Europe was constituted in 1949, in part to protect human rights, pluralist democracy and the rule of law. It presently comprises 47 Member States. In 1950, the European Convention for the Protection of Human Rights and Fundamental Freedoms was adopted and progressively completed by additional protocols and the European Social Charter. It "has authoritative decision-making powers. Its decisions are normally enforced and have significant weight on law and practice in a number of European States."[164] The European Convention established a judicial organ, the European Court of Human Rights, whose judgements are binding on States and that can be seized by individuals.

  — The European Union (EU) (composed as of January 2012 of 27 countries) is an economic and political integration mechanism. It shares the same European values as a key element of its integration and often refers to the Council of Europe standards and case law regarding human rights. The EU adopted the Charter of Fundamental Rights in 2000, which became a legally binding document with the entry into force of the Lisbon Treaty in 2009.

- **The Americas human rights system** (under the Organization of American States) is inspired by the Council of Europe human rights system. The Inter-American Commission and Court on Human Rights are in charge of promoting the observance of the rights protected in the American Convention on Human Rights, the American Declaration on the Rights and Duties of Man, the Additional Protocol to the American Convention on Human Rights in the Area of Economic, Social and Cultural Rights, and the Inter-American Convention on the Prevention, Punishment and Eradication of Violence Against Women. Both entities are entitled to receive individual petitions regarding specific violations of these rights.

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162 UNFPA and Harvard School of Public Health, *A Human Rights-Based Approach to Programming: Practical Implementation Manual and Training Materials*, p. 43, <www.unfpa.org/public/publications/pid/4919>.

163 The Organization for Security and Cooperation in Europe (OSCE) also addresses human rights in its mandate and has deployed human rights missions to several countries. Although composed of countries not only from Europe but also from Central Asia and North America, it is considered a part of this European human rights scaffolding, see <www.osce.org/who>.

164 UNFPA and Harvard School of Public Health, *A Human Rights-Based Approach to Programming: Practical Implementation Manual and Training Materials*, p. 43, <www.unfpa.org/public/publications/pid/4919>.

Table A.1. Summary of Regional Human Rights Systems			
	Main human rights treaties	**Treaties related to women's rights**	**Mechanism of protection**
European system (under the Council of Europe)	European Convention for the Protection of Human Rights and Fundamental Freedoms (1950) and its Protocols The European Social Charter (1961, revised in 1996)	Council of Europe Convention on Preventing and Combating Violence against Women and Domestic Violence (2011)	European Court of Human Rights Commissioner for Human Rights European Committee for the Prevention of Torture European Committee of Social Rights
Inter-American system (Organization of American States)	The American Convention on Human Rights (1969) Additional Protocol to the American Convention on Human Rights in the Area of Economic, Social and Cultural Rights, *The Protocol of San Salvador* (1988)	The Inter-American Convention on the Prevention, Punishment and Eradication of Violence Against Women, *Convention of Belém do Pará*	Inter-American Commission and Court on Human Rights
African system (African Union)	The African Charter on Human and Peoples' Rights (1981) The Protocol on the Establishment of an African Court on Human and Peoples' Rights African Charter on the Rights and Welfare of the Child	The Protocol to the African Charter on Human and People's Right on the Rights of Women in Africa	African Commission and Court on Human and Peoples' Rights African Committee of Experts on the Rights and Welfare of the Child
Arab States (Council of the League of Arab States)	Arab Charter on Human Rights (2004)		Arab Committee of Experts for Human Rights

Source: See Annex 4 for details on Regional Human Rights Systems.

- The African human rights system (under the African Union) is the most recent regional system. The African Charter on Human and Peoples Rights places a special emphasis on the rights and duties of the community (family, society and the nation); it also contemplates the rights to peace, solidarity, a healthy environment and development. The African Commission on Human and Peoples' Rights was established to exercise oversight over the

Charter. In 1998, the Protocol to the African Charter on Human and Peoples' Rights on the Establishment of an African Court on Human and Peoples' Rights created the African Court on Human and Peoples' Rights, to complement the African Commission. Established in Arusha, it started operation in November 2006.

- The adoption of the Arab Charter on Human Rights in 2004 by the League of Arab States was fundamental since the Charter of the League did not mention human rights. The Charter (entered into force in 2008) establishes the Arab Human Rights Committee to supervise its implementation, although it does not contemplate the possibility to present individual complaints regarding violations of its content.

- Asia has not yet established a formal human rights system. The Association of Southeast Asian Nations (ASEAN) Intergovernmental Commission on Human Rights was established in 2009. The ASEAN Human Rights Declaration was adopted unanimously by ASEAN members at its November 2012 meeting.

Customary international law[165]

International human rights law is not limited to the rights enumerated in treaties. It also comprises rights and freedoms that have become part of customary international law, binding on all States, including those that are not party to a particular treaty. Many of the rights set out in the UDHR are widely regarded to have this character.

Furthermore, some rights are recognized as having a special status as peremptory norms of customary international law (*ius cogens*), which means that no derogation is admissible under any circumstance and that they prevail, in particular, over other international obligations. The prohibitions of torture, slavery, genocide, racial discrimination, crimes against humanity, and the right to self-determination are widely recognized as peremptory norms that shall not be subject to any limitations.

Judicial decisions

Judicial decisions of the international or regional courts and of international monitoring bodies have a significant role in international human rights law. They provide further clarifications on the scope of States obligations and the content of the rights. "[T]he wealth of international case law that now exists in this field must be regarded as authoritative evidence of the state of the law."[166]

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165 OHCHR, *International Legal Protection of Human Rights in Armed Conflict*, New York and Geneva, 2011.

166 OHCHR, *Human Rights in the Administration of Justice: Manual on Human Rights for Judges, Prosecutors, and Lawyers,* Chapter 1, International Human Rights Law and the Role of the Legal Professions: A General Introduction, p. 11, <www.ohchr.org/documents/publications/training9chapter1en.pdf>

In theory, the decisions bind only the States concerned in the dispute, and the international monitoring organs are not obliged to follow previous judicial decisions to "retain the flexibility required to adjust earlier decisions to ever-changing social needs."[167] In practice, judicial decisions have an ever-growing impact on international human rights law and on domestic legal systems.

Other sources of international law: the 'soft law'

In addition to the International Bill of Rights and the core human rights treaties, there are many other universal and regional instruments relating to human rights. A non-exhaustive selection is listed on the OHCHR web page (<www.ohchr.org/EN/ProfessionalInterest/Pages/International-Law.aspx>). These instruments (declarations, principles, guidelines, standard rules and recommendations) have no binding legal effect, but have an undeniable moral force and provide practical guidance to States in their conduct. "Individually and collectively, these documents have been of critical importance in helping to elaborate provisions relevant to vulnerable groups, women's human rights, […] and have helped to create new approaches for considering the extent of government accountability […]."[168]

As part of the soft law, the UN Millennium Declaration (2000) is an important document for the realization of social and economic rights. It clearly underscored the necessity of advancing the human rights of all people in order to achieve the MDGs in the areas of development and poverty eradication, peace and security, protection of the environment, and human rights and democracy. The MDGs "are underpinned by international law, and should be seen as part of a broader framework of international human rights entitlements and obligations."[169]

The Millennium Declaration reconfirms the central role of gender equality from the perspective of the UN Fourth World Conference on Women in Beijing (1995) and other major world conferences held in the 1990s.[170] The Declaration pledges explicitly "to combat all forms of violence against women and to implement CEDAW."[171]

In the context of the implementation of human rights obligations, the human rights treaty bodies established to monitor the implementation of core human rights treaties, such as the Human Rights Committee, the Committee on Economic, Social and Cultural Rights or the Committee on the Elimination of Discrimination against Women (CEDAW Committee), regularly provide general

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167   Ibid.

168   Sofia Gruskin and Daniel Tarantola, *Health and Human Rights*, p. 5, <www.phr.org.il/uploaded/HEALTH-HR. pdf>.

169   OHCHR, 'Frequently Asked Questions on a Human Rights-Based Approach to Development Cooperation', 2006, p. 8, <www.ohchr.org/Documents/Publications/FAQen.pdf>.

170   For example, the 1992 Rio Conference on Environment and Development (<www.un.org/geninfo/bp/enviro. html>), the 1993 Vienna Conference on Human Rights (<www.ohchr.org/EN/ABOUTUS/Pages/ViennaWC. aspx>), or the 1994 Cairo Conference on Population and Development (<www.un.org/popin/icpd2>).

171   UNIFEM, 'Pathway to Gender Equality: CEDAW, Beijing and the MDGs', <www.unrol.org/doc.aspx?n=385_ PathwayToGenderEquality_screen.pdf>.

comments, which interpret and clarify the content and extent of particular norms, principles and obligations contained in the relevant human rights conventions.[172]

Over the years, CEDAW Committee has linked CEDAW discrimination provisions to other acts affecting women, in particular to gender-based violence that it defines as discrimination within the meaning of CEDAW.

They also issue country-specific recommendations that provide detailed guidance on human rights standards applied in a given context. Box A.2 presents an example of the use of treaty body recommendation in a Common Country Assessment (CCA).

Furthermore, a number of UN Security Council Resolutions constitute fundamental reference frameworks, particularly on women's rights in conflict.[173]

All these instruments constitute a benchmark for evaluation. The HR normative framework, including the observations and recommendations of international human rights mechanisms and declarations, are recognized as essential tools for analysis and programming; they must be used as a reference in evaluations, particularly at the national level.

Box A.2. Using Treaty Body Recommendations to Strengthen Human Rights Accountability – Philippines CCA

The Philippines CCA (2003) highlighted a key comment made by the Committee on the Rights of the Child on the country's report on the Government's failure to comply with international standards concerning juvenile justice, especially the use of incarceration to punish rather than rehabilitate. The Philippines CCA also identified certain traditional beliefs and practices that tolerate the abuse and exploitation of children, and cites the ILO Convention concerning the Prohibition and Immediate Action for the Elimination of the Worst Forms of Child Labour (No. 182) as an important tool for Government and private sector actors to end this scourge. The use of ILO conventions in the analysis led to the identification of a variety of duty bearers.

Source: OHCHR, 'Human rights-based approach to development: good practices and lessons learned from the 2003 CCAs and UNDAFs', December 2004, p. 6, <www.undg.org/archive_docs/8601-HRBA_to_Development_-_Good_practices_and_lessons_learned_from_the_2003_CCA_and_UNDAFs.doc>

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172 OHCHR, *International Legal Protection of Human Rights in Armed Conflict*, New York and Geneva, 2011, p. 7, footnote 4, <www.ohchr.org/Documents/Publications/HR_in_armed_conflict.pdf>.

173 See in particular UN Security Council resolutions 1325 (2000), 1612 (2005), 1820 (2008), 1882 (2009), 1888 (2009), 1889 (2010), 1960 (2010), 2106 (2013) and 2122 (2013).

Annex 2. Examples of Human Rights and Gender Equality Empowerment Indicators

Quantitative	Qualitative
Legal empowerment	
Number of cases related to HR & GE heard in local/national/subnational courts, and their results.	Availability of legal services and justice to women and men in different stakeholder groups.
Number of cases related to the legal rights of divorced and widowed women heard in local/national/subnational courts, and the results.	Enforcement of legislation related to the protection of human rights of women and men in different stakeholder groups.
Rate at which the number of women and men of different stakeholder groups in the local/national/subnational police force, by rank, is increasing or decreasing.	Changes in access to information about claims and decisions related to human rights violations towards women and men in different stakeholder groups.
Rates of violence against women and men in different stakeholder groups.	Change in rights holders' ability to claim rights, and how/in which areas.
Rate at which the number of local/ national/subnational justices/prosecutors/lawyers who are women or men of different stakeholder groups is increasing/ decreasing.	Change in responsiveness to claims related to human rights violations towards women and men in different stakeholder groups (timeliness, rights-holder satisfaction).
	Effect of the enforcement of legislation in terms of treatment of offenders against women and children or other human rights violations.
Political empowerment	
Proportion of seats held by women and men in different stakeholder groups in local/national/subnational councils/decision-making bodies.	Perceptions as to the degree that different groups (women/men, class, urban/remote ethnicity etc.) are aware of local politics, and their legal rights.
Proportion of women and men in different stakeholder groups in decision-making positions in local/national/subnational government.	Types of positions held by women and men in different stakeholder groups in local/national/subnational governments.
Proportion of women and men in different stakeholder groups in the local/national/subnational civil service.	Types of positions held by women and men of different stakeholder groups in local/national/subnational councils/decision-making bodies.
Proportion of women and men in different stakeholder groups in decision-making positions within unions.	Knowledge about human rights obligations among women and men duty bearers at various levels.
Percentage of eligible women and men in different stakeholder groups who vote.	Knowledge about human rights among women and men rights-holders of various types.
Proportion of women and men in different stakeholder groups registered as voters	

Quantitative	Qualitative
Proportion of union members who are women and men of different stakeholder groups.	
Proportion of women and men of different stakeholder groups who participate in public protests and political campaigning, as compared to their representation in the population.	
Economic empowerment	
Employment/unemployment rates of women and men in different stakeholder groups.	Ability to make small or large purchases independently.
Changes in time-use in selected activities, particularly greater sharing by household members of unpaid housework and child-care.	Extent to which women and men of different stakeholder groups have greater economic autonomy, both in public and private spheres.
Salary/wage differentials between women and men in different stakeholder groups.	
Changes in ratio of property owned and controlled by women and men (land, houses, livestock), across different categories of stakeholders (e.g. socio-economic and ethnic groups).	
Average household expenditure of female/male/child (orphans, child soldiers, etc.) headed households on education/health.	
Percentage of available credit, financial and technical support services going to women, men and children of different stakeholder groups from government/non-government sources.	
Social Empowerment	
Number of women and men of different stakeholder groups participating in local/national/subnational institutions (e.g. women's associations, consciousness raising or income-generating groups, religious organizations, ethnic and kinship associations) relative to project area population.	Extent to which women and men of different stakeholders groups have access to networks or negotiation spaces to realize human rights or resolve conflict.
Number of women and men in different stakeholder groups in positions of power in local/national/subnational institutions.	Extent of training or networking among women and men of different stakeholder groups, compared.
Control of women and men of different stakeholder groups over fertility decisions (e.g. number of children, number of abortions).	Mobility of women and men in different stakeholder groups within and outside their residential locality.
	Self-perceptions of changed confidence or capacity in women and men of disadvantaged or marginalized groups.

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Annex 4.   Additional Resources

African Gender and Development Evaluators' Network (AGDEN): <www.mymande.org/evalpartners>.

American Evaluation Association: <www.eval.org>.

Appreciative Inquiry Commons, Case Western University, Weatherhead School of Management: <appreciativeinquiry.case.edu>.

Bridge (development – gender) website offers useful publications and resources on gender and relates it to different topics (armed conflict, governance, urbanization, climate change, budgets, HIV/AIDS, etc.). The page is available in English, French and Spanish. <www.bridge.ids.ac.uk/>.

Columbia University, Institute for Study of Human Rights, Human Rights Impact Research: A Preliminary Practice-Oriented Bibliography is a resource page that gathers materials related to human rights impact. <hrcolumbia.org/impact/bibliography>.

European Evaluation Society: <www.europeanevaluation.org/>.

EvalPartners: This site contains information on the work of the EvalPartners Equity Focused and Gender Responsive (EFGR) Task Force, including a webinar on equity-focused and gender-responsive evaluation. (<www.mymande.org/evalpartners>).

Gender and Evaluation Online Community: <gendereval.ning.com/?xg_source=msg_mes_network>.

HRBA Portal (UN Practitioner's Portal on Human Rights-Based Approaches to Programming) provides country-level practitioners with practical resources on mainstreaming human rights in programming. It serves as a one-stop shop, providing access to relevant international human rights standards and instruments, programming tools and case studies that demonstrate the application of HRBA in practice. The portal also provides access to a collection of insights and lessons learned from practitioners applying HRBA in a wide range of sectors. <hrbaportal.org/>.

OHCHR: <www.ohchr.org/EN/Pages/WelcomePage.aspx>.

Regional Human Rights Systems:

- European System (under the Council of Europe): <conventions.coe.int/>.

- Inter-American System (Organization of American States) <www.oas.org/en/sla/dil/treaties_agreements.asp>.

- African System (African Union) <www.au.int/en/treaties>.

- Arab States (Council of the League of Arab States) <www.lasportal.org/wps/portal/en/home_page> (go to Human Rights Department/Mechanisms of Arab Human Rights).

ReLAC: <www.relacweb.org>

Sexual Violence Research Initiative website is a key site to find research tools and resources, participate in forums and be updated on the issue of sexual violence. The page is mainly in English. <www.svri.org/>.

Sida, Gender Equality in Practice, Sida, March 2009, is an excellent and short manual that provides tools to mainstream gender perspective in the cooperation process. It is directed at SIDA Desk Officers but offers useful and applicable information (<www.sida.se/English/publications/Publication_database/>).

UN Women Independent Evaluation Office: This site contains a number of resources on gender-responsive evaluation including guidelines, links to the UN Women Evaluation Manual, Gender and Evaluation Consultant Roster and Gender Equality Evaluation Portal (<www.unwomen.org/en/about-us/evaluation>).

UN Women website is a reference for any news and resource regarding UN work and present developments regarding women's rights. It refers to some web portals and online resources regarding gender and women's rights and issues. <www.unwomen.org>. UN Women also maintains a website that specifically focuses on gender mainstreaming within the UN (<www.un.org/womenwatch/osagi/gendermainstreaming.htm>).

UNDP, 'Drafting TORs for Gender Responsive Evaluation', ECIS Regional Workshop on the UNDP Evaluation Policy.

UNDP Chile, *Guía para la transversalización de género en el PNUD Chile*, 2006, (<www.cl.undp.org/content/chile/es/home/library/womens_empowerment/guia-para-la-transversalizacion-de-genero.html>) presents in practical ways the normative framework on human development and gender and tools to apply gender mainstreaming (gender analysis and indicators in particular).

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WFP, 'Monitoring and Evaluation Guidelines. How to Plan an Evaluation', Rome: WFP M&E Module 11, (nd), <www.documents.wfp.org/stellent/groups/public/documents/ko/mekb_ module_11.pdf>.

The United Nations Evaluation Group (UNEG) is a professional network that brings together the units responsible for evaluation in the UN system including the specialized agencies, funds, programmes and affiliated organizations. UNEG currently has 45 members and three observers. UNEG aims to promote the independence, credibility and usefulness of the evaluation function and evaluation across the UN system, to advocate for the importance of evaluation for learning, decision-making and accountability, and to support the evaluation community in the UN system and beyond.

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UNITED NATIONS DISABILITY INCLUSION STRATEGY

SUMMARY

The United Nations Disability Inclusion Strategy provides the foundation for sustainable and transformative progress on disability inclusion through all pillars of the work of the United Nations.

Through the Strategy, the organizations of the United Nations system reaffirm that the full and complete realization of the human rights of all persons with disabilities is an inalienable, integral and indivisible part of all human rights and fundamental freedoms.

The Strategy is the result of a process launched by the Secretary-General in April 2018 to strengthen system-wide accessibility for persons with disabilities and the mainstreaming of their rights. Its development was informed by an extensive institutional review led by the Special Rapporteur on the rights of persons with disabilities.

The Strategy includes a system-wide policy, an accountability framework and other implementation modalities.

The policy establishes the highest levels of commitment and a vision for the United Nations system on disability inclusion for the next decade and is aimed at creating an institutional framework for the implementation of the Convention on the Rights of Persons with Disabilities and the 2030 Agenda for Sustainable Development, among other international human rights instruments, as well as for development and humanitarian commitments.

The accountability framework includes two aligned components: (a) an entity accountability framework, with 15 common-system indicators, focused on four areas: leadership, strategic planning and management; inclusiveness; programming; and organizational culture; and (b) a United Nations country team accountability scorecard on disability inclusion, which is currently under development and is expected to be finalized in the second half of 2019. Timetables and technical guidance, as well as the allocation of the responsibilities required for the full implementation of the policy, are also included in the framework.

Through the Strategy, the United Nations system will systematically embed the rights of persons with disabilities into its work, both externally, through programming, and internally, and will build trust and confidence among persons with disabilities to ensure that they are valued and their dignity and rights are respected and that, in the workplace, they find an enabling environment in which to fully and effectively participate on an equal basis with others.

Mainstreaming a human rights-based approach to disability, in combination with targeted measures, will make the concerns and experiences of persons with disabilities an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres so that persons with disabilities benefit equally. The ultimate goal is to achieve equality of outcomes and foster an inclusive culture within the United Nations system.

I.

INTRODUCTION

A. Background

1. In April 2018, the Executive Committee established by the Secretary-General highlighted the urgent need for the United Nations system to improve its performance with regard to disability inclusion[1] in the context of supporting Member States to achieve the 2030 Agenda for Sustainable Development, leave no one behind and reach the furthest behind first in all United Nations pillars.

2. In this regard, through its decision 2018/20, the Executive Committee outlined the following tasks:

    (a) The Executive Office of the Secretary-General should coordinate an institutional review of the United Nations system's current approach to mainstreaming disability into the Organization's operations;

    (b) Building on existing work and the above-mentioned review, the sub working group of the Inter-Agency Support Group on the Convention on the Rights of Persons with Disabilities and the Department for General Assembly and Conference Management should develop a policy, action plan and accountability framework to strengthen system-wide accessibility and the mainstreaming of the rights of persons with disabilities across the Organization's operations.

3. Under the leadership of the Executive Office of the Secretary-General, the institutional review was conducted in July 2018 with the support of the Special Rapporteur on the rights of persons with disabilities. The key findings, which were considered fully when developing the United Nations Disability Inclusion Strategy, included the following:

    (a) The United Nations system evidences good practices in mainstreaming disability inclusion, which demonstrates that the system has the capacity to improve its performance; however, the good practices are not systematic;

    (b) Gaps clearly exist in mainstreaming disability inclusion into all pillars of the United Nations system at all levels, demonstrating a lack of coherent and comprehensive approaches;

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[1] The term "disability inclusion" refers to the meaningful participation of persons with disabilities in all their diversity, the promotion and mainstreaming of their rights into the work of the Organization, the development of disability-specific programmes and the consideration of disability-related perspectives, in compliance with the Convention on the Rights of Persons with Disabilities. This requires the development and implementation of a consistent and systematic approach to disability inclusion in all areas of operations and programming, internally and externally. See annex I for definitions of key terms.

(c) While several United Nations entities have relevant and specific responsibilities for mainstreaming disability inclusion, no single entity has the dedicated capacity and authority to actively coordinate, support and track progress.

4. At the meeting of the Senior Management Group of the Secretary-General of 6 December 2018, the outcomes of the institutional review were considered, and it was concluded that there was wide consensus on:

(a) the need of the United Nations pillars to mainstream disability inclusion into everything that they do; and

(b) the need to thoroughly address the review's findings through the system-wide approach to the policy, action plan and accountability framework.

5. The Secretary-General requested the United Nations Department of Management Strategy, Policy and Compliance, jointly with the High-level Committee on Management, to look into the internal tools needed to mainstream the recommendations resulting from the review.

6. The United Nations Disability Inclusion Strategy will play a key role in enabling the United Nations system to support Member States in their achievement of the Sustainable Development Goals and the implementation of the Convention on the Rights of Persons with Disabilities, the Agenda for Humanity and the Sendai Framework for Disaster Risk Reduction 2015–2030, among other international human rights instruments, as well as development and humanitarian commitments.

B. Objectives of the United Nations Disability Inclusion Strategy

7. The United Nations Disability Inclusion Strategy, through its policy and accountability framework, is a comprehensive strategy for ensuring that the United Nations system is fit for purpose in relation to disability inclusion. It provides a foundation for sustainable and transformative change towards disability inclusion throughout all pillars of the Organization's work. The current Strategy will be implemented for five years, after which it will be reviewed and updated as necessary.

C. Policy and accountability framework

8. The policy embodies the United Nations vision for disability inclusion and is a reaffirmation of a common commitment at the highest levels of the Organization. It sets out the areas and functions on which the United Nations will focus to realize the objective of achieving disability inclusion.

9. The accountability framework, which will track the implementation of the policy, will contain two aligned components, as set out below:

(a) An entity accountability framework with 15 common-system indicators, which are included in the present document, against which all United Nations entities will report annually. It focuses on the following four areas: leadership, strategic planning and management; inclusiveness; programming; and organizational culture;

(b) A United Nations country team accountability scorecard on disability inclusion, with a focus on delivery at the country level and on joint programmes and processes, is currently under development and will undergo a validation process, to be carried out by a representative sample of United Nations country teams in the second half of 2019.

10. The present document also includes implementation modalities for the policy at the system-wide, inter-agency and individual entity levels. Annual system-wide reporting against the indicators in the framework will detail progress and facilitate reflection and remedial action plans at the system-wide and individual entity levels, as needed.

D. Process of development

11. The development of the Strategy was led by the sub-working group on system-wide action of the Inter-Agency Support Group on the Convention on the Rights of Persons with Disabilities between October 2018 and March 2019.

12. The Strategy was developed through the intensive participation of nearly 60 United Nations entities, inter-agency networks and civil society organizations, as well as in consultation with Member States. The Strategy was validated through piloting/validation with 21 entities (see annex II for details).

13. The Strategy was modelled on the United Nations System-wide Action Plan on Gender Equality and the Empowerment of Women, which has been recognized by Member States as a pioneering accountability framework.

II.

UNITED NATIONS SYSTEM-WIDE POLICY ON DISABILITY INCLUSION

A. Preamble

14. The organizations of the United Nations system commit, through the policy, to accelerating efforts to support the achievement of the inclusion of persons with disabilities and their human rights through the practical implementation of the globally agreed commitments contained in the United Nations treaties, conferences and summits and their follow-up, in particular the 2030 Agenda; the Sendai Framework; the Addis Ababa Action Agenda of the Third International Conference on Financing for Development; the United Nations Conference on Housing and Sustainable Urban Development (Habitat III); the multiple resolutions adopted by the General Assembly and the Human Rights Council; and the World Humanitarian Summit; as well as other agreements that may be adopted in the future.

15. The organizations of the United Nations system reaffirm that the full and complete realization of the human rights of all persons with disabilities is an inalienable, integral and indivisible part of all human rights and fundamental freedoms. This is consistent with the principles enshrined in the Charter of the United Nations, the Universal Declaration of Human Rights and other international human rights instruments, in particular the Convention on the Rights of Persons with Disabilities; the International Covenant on Economic, Social and Cultural Rights; the International Covenant on Civil and Political Rights; the Convention on the Rights of the Child; the Convention on the Elimination of All Forms of Discrimination against Women; and the International Convention on the Elimination of All Forms of Racial Discrimination, as well as applicable International Labour Organization conventions, and is essential for the advancement of development, human rights and peace and security.

16. The organizations recognize that human rights, peace and security and sustainable development for all can be enjoyed only if persons with disabilities in all their diversity are included in society on an equal basis with others and as both agents of change and beneficiaries of the outcomes of the work of the United Nations system. It is therefore imperative that disability inclusion be mainstreamed systematically into the work of all United Nations entities.

B. Policy statement

17. The organizations of the United Nations system, individually and collectively, state their intention of and commitment to continuing to pursue the goals of inclusion and empowerment of persons with disabilities and their human rights, well-being and perspectives. The organizations will systematically embed the rights of persons with disabilities in the work of the United Nations both externally, through

programming, and internally, and they will build trust and confidence among persons with disabilities to ensure that they are valued and their dignity and rights are respected and that, in the workplace, they find the workplace an enabling environment in which to fully and effectively participate on an equal basis with others.

18. Pursuant to the United Nations system leadership framework (CEB/2017/1, annex), the organizations commit to providing strong leadership in order to ensure that the human rights-based approach to disability is reflected in all organizational policies, programmes, practices and results.

19. The organizations are committed to using the complementary and comparative advantages of each United Nations entity, including through appropriate coordination mechanisms and joint programmes, to create an enabling environment, empower persons with disabilities and address exclusion and discrimination on the basis of disability in any form, including multiple and intersecting discrimination and discrimination by association, including against staff who have dependants with disabilities.

20. The organizations will accelerate efforts to achieve the goal of the empowered, progressive and substantially increased representation of persons with disabilities in all their diversity among all categories of United Nations employees, in particular at the decision-making levels.

21. The organizations will employ, share and learn from the diversity of experiences, expertise and cultures within the United Nations system as a source of inspiration and creativity in order to achieve a strong partnership among organizations in a collective endeavour to advance the common objective of promoting and ensuring the inclusion and empowerment of persons with disabilities and their human rights in their work.

C. Strategy

22. Mainstreaming, in combination with targeted measures, is the key strategy for achieving the inclusion and empowerment of persons with disabilities and their human rights. Mainstreaming a human rights-based approach to disability is the process of ensuring that the rights of persons with disabilities are embedded into the Organization's work, ensuring their meaningful participation and assessing the implications for persons with disabilities of any policies or programmes. It is also a way to make the concerns and experiences of persons with disabilities an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres, so that persons with disabilities benefit equally and inequality is not perpetuated. The ultimate goal is to achieve equality of outcomes and foster an inclusive culture within the United Nations system.

23. The organizations will take an intersectional approach to addressing the structural and dynamic consequences of the interaction between multiple and intersecting forms of discrimination, including by taking into consideration all conditions that can create a substantively distinct life experience for persons with disabilities, based on factors such as sex, age, gender identity, religion, race, ethnicity, class and other grounds.

24. A United Nations system-wide accountability framework for the implementation of the policy, on which the entire system will report, is essential to make operational the strategy of inclusion of persons with disabilities and their human rights. The system-wide accountability framework will include the indicators, timetables, technical guidance and allocation of responsibilities required for the full implementation of the policy. This will facilitate system-wide planning to determine the comparative advantages of

the United Nations and individual entities and reduce duplication; the assessment of progress and gaps at all levels of the Organization's work on the inclusion and empowerment of persons with disabilities and their human rights, well-being and perspectives, in policy areas and at the international, regional and country levels; and the tracking of individual entity and system-wide results. Through the accountability framework, all United Nations staff will have a full understanding of their role in promoting and facilitating the inclusion of persons with disabilities and their human rights, well-being and perspectives across the Organization and be empowered to fulfil that role. Individual United Nations entities will retain their ability to add or enhance their internal approaches to accountability and will retain their ability to take into account their specific mandates and roles.

25. United Nations inter-agency networks, and the internal networks of the various entities, such as those of disability and accessibility focal points, interdepartmental task forces and staff unions and federations, will proactively support the implementation of the policy.

26. The main elements of the strategy include:

Strategic planning and management

(a) *Strategic planning regarding the inclusion and empowerment of persons with disabilities and their human rights.* Such planning, and inclusive programming, will be further strengthened throughout the United Nations system, in close consultation with and actively involving representative organizations of persons with disabilities. At the system-wide level, the United Nations system will plan, implement and report on its contributions to the inclusion of persons with disabilities and their human rights in relation to the full implementation of the Sustainable Development Goals, including at the country level. United Nations entities will include reflection on the inclusion of persons with disabilities and their human rights as it relates to the Goals and other international commitments, in their main strategic planning documents, with regard to their mandates. The results-based focus will be on organizational processes, how the processes lead to desired results and, once the mainstreaming elements of the accountability framework have been institutionalized, accountability for normative and development results;

(b) *Coherence, coordination and knowledge and information management.* The coherence and coordination of efforts to implement a strategy for the inclusion of persons with disabilities and their human rights are essential if there are to be meaningful results towards the achievement of the agreed goals reflected in the accountability framework. Humanitarian coordination mechanisms at the global and country levels are of significant relevance to persons with disabilities in crisis and emergency contexts. Notwithstanding the specific mandates of United Nations entities, the overall system must reinforce common goals and consistent working methods in promoting the inclusion of persons with disabilities and their human rights. This is especially important at the country level in order to allow Member States to interact with a coherent United Nations team. Given the multisectoral nature of disability-inclusive policies, effective platforms for joint programming will be critical for coordination and to leveraging the comparative advantages of individual United Nations entities. Knowledge management will be improved to include the experiences, expertise and practices of various United Nations entities with regard to mainstreaming disability inclusion, which will be established for use by the entities themselves, country teams, Member States and other partners;

(c) *Oversight through monitoring, evaluation and audit.* Enhancing oversight through improved monitoring, evaluation and audit procedures is critical to ensuring that United Nations entities are accountable for their performance in the inclusion of persons with disabilities and their human rights;

Inclusiveness

The elements of the present section are cross-cutting and should be considered as facilitators for the implementation of the policy:

(d) *Participation.* The United Nations, in the development and implementation of normative frameworks and policies, and in other decision-making processes concerning issues relating to persons with disabilities, will closely consult and actively involve all persons with disabilities, including women and children with disabilities and those most marginalized, through their representative organizations. Staff members with disabilities and those who have dependants with disabilities will, themselves and through staff unions and federations, also be consulted and involved, in particular on matters involving their career development, well-being, social benefits and health coverage;

(e) *Data.* The lack of disability-related data, including qualitative and disaggregated data, is one of the major barriers to the accurate assessment of disability inclusion in the development and humanitarian contexts. The policy and accompanying accountability framework will address that gap. Entities commit to abiding by the personal data protection and privacy principles of the United Nations System Chief Executives Board for Coordination[2] or by other instruments that meet equal or higher standards, and will ensure the confidentiality of personal data;

(f) *Universal design, accessibility and reasonable accommodation.* The United Nations will implement and apply the principles of universal design in all of its policies and programmes. Barriers to accessibility should be properly identified, addressed and removed. Persons with disabilities engaging with the United Nations in any capacity and staff who have dependants with disabilities have the right to reasonable accommodation;

Organizational culture

(g) *Capacity development.* Developing and/or strengthening staff capacity and competence with regard to disability inclusion is essential for the successful mainstreaming of a disability perspective into policies and programmes. Staff members who are responsible for programme design and implementation, as well as those responsible for technical advisory services, require capacity development to ensure that a human rights-based approach to disability is reflected in their work at all times. Capacity gaps will be addressed comprehensively and systematically, including through awareness-raising campaigns and training, at the individual, entity and system-wide levels;

(h) *Awareness-raising and trust building.* The United Nations system will ensure that internal and external communication are inclusive and respectful of persons with disabilities and their rights, with the purpose, inter alia, of reducing and ultimately eliminating stigma and discrimination. Furthermore, the system will ensure an organizational culture that recognizes and values persons with disabilities;

(i) *Human and financial resources.* Adequate human and financial resources will be allocated for disability inclusion. This will entail better utilization, the alignment of current resources with expected outcomes and the assignment of additional resources, as required.

D. Policy review

27. The policy will be subject to an external review after five years.

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[2] Available at www.unsystem.org/personal-data-protection-and-privacy-principles

III.

ENTITY ACCOUNTABILITY FRAMEWORK

A. Overview

28. The entity accountability framework covers the main organizational functions at the corporate level, including: strategic planning; programming; capacity development; hiring practices and human resource management; accessibility; and reasonable accommodation.

29. The framework includes indicators that specify the core areas of responsibility of the United Nations as a whole and of individual departments and units in relation to the mainstreaming of disability inclusion. The 15 performance indicators will be rated according to a gradated scale and will support progressive improvement in institutional mainstreaming in the United Nations system. The aggregation of reporting at the United Nations system level will facilitate:

    (a) System-wide planning to determine the comparative advantage of the United Nations and individual entities, promote synergies and reduce duplication;

    (b) Assessment of progress and gaps in the Organization's work on mainstreaming disability inclusion.

30. While the entire United Nations system is expected to report against the framework, not every indicator in the framework is applicable to every United Nations entity, given the variety of entity functions. The framework has been designed to ensure that progress can be promoted and tracked across organizations in a clear and impactful manner to ensure that all entities are monitoring progress and embedding disability inclusion.

31. The framework is based on a decentralized model, according to which accountability for meeting and exceeding requirements for specific indicators lies with individual staff, units and departments. This is because disability inclusion is the responsibility of all United Nations staff. Disability units and focal points will play a catalytic and coordinating role in relation to meeting and exceeding requirements but cannot be expected to make the United Nations fit for purpose without the full support of the entire Organization.

32. Synergies with other United Nations accountability mechanisms, in particular the United Nations System-wide Action Plan on Gender Equality and the Empowerment of Women and the United Nations country team performance indicators on gender equality and the empowerment of women, were built into the Strategy during development and will be further strengthened during its roll-out, taking into account feedback and input, as appropriate, from the High-level Committee on Management, the High-level Committee on Programmes and the United Nations Sustainable Development Group.

33. Like other United Nations accountability frameworks, the entity accountability framework uses a gradated aspirational five-point rating system:

- Exceeds requirements
- Meets requirements
- Approaches requirements
- Missing
- Not applicable

34. The indicator framework will be accompanied by guidance and examples of good practices to support implementation. The guidance will be updated as required, and will set out clearly how to rate entity performance. The rating "meets requirements" is the minimum to which all United Nations entities should aspire, and entities should also commit themselves to exceeding requirements over time. A "missing" rating should be given in cases where entities are not carrying out activities relating to the indicator, and "not applicable" should be given when the requirements of the indicator are not relevant.

B. Implementation

Overall coordination

35. The Secretary-General's Senior Adviser on Policy has been designated to provide initial high-level leadership, guidance and coordination support with regard to the implementation of the Strategy. Broader institutional arrangements will be reviewed in the light of this decision.

Entity actions

36. Entities are encouraged to report against the framework annually, provide an update on their performance to their respective governing bodies and make their reports public.

37. Entities should appoint custodians, who will have primary responsibility for meeting or exceeding requirements for specific indicators in their area of expertise (e.g., strategic planning, evaluation, human resources) and establish internal mechanisms to ensure rigorous and accurate reporting.

Remedial plans of action

38. If entities do not meet or exceed requirements, they will develop a remedial plan of action setting out their plans for improving their performance. The plans will include:

(a) A list of areas for improvement, which will outline all the areas in which requirements have not been met;

(b) A timeline for improvement: timelines should be realistic and clearly set out when the entity will meet or exceed requirements;

(c) Who is responsible for follow-up: as indicated above, the responsibility will rest primarily with custodians and their department or unit;

(d) The resources required: if resources are required for improvement, it should be noted clearly. Indicating resource requirements does not commit United Nations entities to the allocation of the

funds but rather provides a notional guide to the estimated resource requirement. Entities should provide details of the funds required for costs in addition to staffing costs, for example costs for training, reasonable accommodation and programming;

(e) The action points for improvement: entities should include planned activities to improve performance, such as developing a disability mainstreaming policy or conducting training.

Inter-agency actions

39. Inter-agency networks and mechanisms will play an important role in the implementation of the Strategy:

(a) The Inter-Agency Support Group on the Convention on the Rights of Persons with Disabilities will strengthen its communication and coordination capacities and pay particular attention to supporting the adequate implementation of the entity accountability framework. All United Nations entities will be encouraged to become members of the Group;

(b) Collaboration with the United Nations Partnership to Promote the Rights of Persons with Disabilities is envisaged, in particular in the context of joint United Nations programming and the capacity development of United Nations staff;

(c) The Development Coordination Office will, in collaboration with United Nations regional offices, support effective disability inclusion at the regional and United Nations country team levels through, inter alia, United Nations Development Assistance Framework guidance and accompanying documents and the Management and Accountability Framework;

(d) Results groups of the United Nations Sustainable Development Group will maintain disability inclusion as a standing agenda item;

(e) The Inter-Agency Standing Committee will finalize its guidelines on the inclusion of persons with disabilities and will support efforts to implement the guidelines at the country level. In addition, the Committee will ensure that humanitarian programme cycle tools, including the humanitarian needs overview and humanitarian response plans, are inclusive of people with disabilities.

40. The High-level Committee on Management, the High-level Committee on Programmes and the United Nations Sustainable Development Group will review, in the context of their respective mandates, progress towards the implementation of the policy, including follow-up actions, as required, at least every second year, on the basis of a progress report prepared by the Senior Adviser.

C. Indicators

LEADERSHIP, STRATEGIC PLANNING AND MANAGEMENT	INCLUSIVENESS	PROGRAMMING	ORGANIZATIONAL CULTURE
1. Leadership	5. Consultation with persons with disabilities	9. Programmes and projects	13. Employment
2. Strategic planning	6. Accessibility	10. Evaluation	14. Capacity development for staff
3. Disability-specific policy/ strategy	6.1. Conferences and events	11. Country programme documents	15. Communication
4. Institutional set-up	7. Reasonable accommodation	12. Joint initiatives	
	8. Procurement		

INDICATOR 1: LEADERSHIP

APPROACHES REQUIREMENTS	MEETS REQUIREMENTS	EXCEEDS REQUIREMENTS
Senior managers internally and publicly champion disability inclusion	Senior managers internally and publicly champion disability inclusion	Senior managers internally and publicly champion disability inclusion
	Implementation of entity disability policy/strategy is reviewed by senior management annually, with remedial action taken as needed	Implementation of entity disability policy/strategy is reviewed by senior management annually, with remedial action taken as needed
		A specific senior-level mechanism is in place for ensuring accountability for disability inclusion

INDICATOR 2: STRATEGIC PLANNING

APPROACHES REQUIREMENTS	MEETS REQUIREMENTS	EXCEEDS REQUIREMENTS
Entity commitment to disability inclusion is in the overview/preamble of the main strategic planning document	Entity commitment to disability inclusion is in the overview/preamble of the main strategic planning document	Entity commitment to disability inclusion is in the overview/preamble of the main strategic planning document
	Entity commitment to targeted and mainstream disability inclusion is reflected in results statements and/or indicators of the main strategic planning document	Entity commitment to targeted and mainstream disability inclusion is reflected in results statements and/or indicators of the main strategic planning document
	Disaggregation of data by disability and sex in the main strategic planning document, as relevant	Disaggregation of data by disability and sex in the main strategic planning document, as relevant
		System implemented to track resource allocation to disability inclusion across the entity

INDICATOR 3: DISABILITY-SPECIFIC POLICY/STRATEGY

APPROACHES REQUIREMENTS	MEETS REQUIREMENTS	EXCEEDS REQUIREMENTS
Policy/strategy on mainstreaming disability inclusion is in place	Policy/strategy on mainstreaming disability inclusion is in place and implemented	Policy/strategy on mainstreaming disability inclusion is in place and implemented
		Entity provides an update at least every two years to the governing body or equivalent on the implementation of policy/strategy and implements remedial action as needed

INDICATOR 4: INSTITUTIONAL SET-UP

APPROACHES REQUIREMENTS	MEETS REQUIREMENTS	EXCEEDS REQUIREMENTS
Entity has a unit/individual with substantive expertise on a human rights-based approach to disability	Entity has a unit/individual with substantive expertise on a human rights-based approach to disability Entity coordinates a focal point network on disability including all relevant departments and country offices	Entity has a unit/individual with substantive expertise on a human rights-based approach to disability Entity coordinates a focal point network on disability including all relevant departments and country offices Entity holds a focal point network meeting at least once a year

INDICATOR 5: CONSULTATION WITH PERSONS WITH DISABILITIES

APPROACHES REQUIREMENTS	MEETS REQUIREMENTS	EXCEEDS REQUIREMENTS
Systematic close consultation with and active involvement of, organizations of persons with disabilities on all disability-specific issues Guidelines for consultation are in place	Systematic close consultation with and active involvement of, organizations of persons with disabilities on all disability-specific issues and broader issues Guidelines for consultation are in place	Systematic close consultation with and active involvement of, organizations of persons with disabilities on all disability-specific issues and broader issues Guidelines for consultation are in place Entity has a partnership with organizations of persons with disabilities at the headquarters level and guidance on engagement with a diversity of organizations of persons with disabilities at the regional/country level

INDICATOR 6: ACCESSIBILITY

APPROACHES REQUIREMENTS	MEETS REQUIREMENTS	EXCEEDS REQUIREMENTS
Baseline assessment on accessibility is complete	Accessibility policy/ strategy is in place and has been implemented	Accessibility policy/ strategy is in place and has been implemented Review/assessment of the policy/strategy is undertaken at least every five years

INDICATOR 6.1: CONFERENCES AND EVENTS

APPROACHES REQUIREMENTS	MEETS REQUIREMENTS	EXCEEDS REQUIREMENTS
Baseline assessment of accessibility and reasonable accommodation for conferences and events has been completed	Baseline assessment of accessibility and reasonable accommodation for conferences and events has been completed Policies and guidelines on accessibility of conference services and facilities are in place and accessibility targets are established and met	Baseline assessment of accessibility and reasonable accommodation for conferences and events has been completed Policies and guidelines on accessibility of conference services and facilities are in place and accessibility targets are established and met Accessibility action plan for conference services and events is assessed every year and revised, as appropriate

INDICATOR 7: REASONABLE ACCOMMODATION

APPROACHES REQUIREMENTS	MEETS REQUIREMENTS	EXCEEDS REQUIREMENTS
Reasonable accommodation policy/strategy is under development	Reasonable accommodation policy/strategy has been implemented, including adequately funded mechanism	Reasonable accommodation policy/strategy has been implemented, including adequately funded mechanism Entity keeps a record of reasonable accommodations requested and provided and of the level of satisfaction with the provision of reasonable accommodation

INDICATOR 8: PROCUREMENT

APPROACHES REQUIREMENTS	MEETS REQUIREMENTS	EXCEEDS REQUIREMENTS
Procurement policies ensure that relevant goods and services acquired are accessible or do not create new barriers	Procurement policies ensure that relevant goods and services acquired are accessible or do not create new barriers	Procurement policies ensure that relevant goods and services acquired are accessible or do not create new barriers
Procurement policies ensure that the procurement process is accessible	Procurement policies ensure that the procurement process is accessible	Procurement policies ensure that the procurement process is accessible
	Target is established and met for number/ percentage of relevant procurement documents that have accessibility as a mandatory requirement	Target is established and met for number/ percentage of relevant procurement documents that have accessibility as a mandatory requirement
		Procurement policy promotes purchasing from disability-inclusive suppliers, and guidelines have been developed for this purpose

INDICATOR 9: PROGRAMMES AND PROJECTS

APPROACHES REQUIREMENTS	MEETS REQUIREMENTS	EXCEEDS REQUIREMENTS
Guidance note or equivalent adopted on mainstreaming disability inclusion at all stages of the programme/project cycle	Guidance note or equivalent adopted on mainstreaming disability inclusion at all stages of the programme/ project cycle	Guidance note or equivalent adopted on mainstreaming disability inclusion at all stages of the programme/ project cycle
	Entity establishes and meets the minimum level of programmes and projects that mainstream disability inclusion	Entity establishes and exceeds the minimum level of programmes and projects that mainstream disability inclusion

INDICATOR 10: EVALUATION

APPROACHES REQUIREMENTS	MEETS REQUIREMENTS	EXCEEDS REQUIREMENTS
Evaluation guidelines contain guidance on how to address disability inclusion	Evaluation guidelines contain guidance on how to address disability inclusion Disability inclusion is mainstreamed effectively throughout the evaluation process and reflected in the terms of reference, inception and evaluation report(s)	Evaluation guidelines contain guidance on how to address disability inclusion Disability inclusion is mainstreamed effectively throughout evaluation process and reflected in the terms of reference, inception and evaluation report(s) Meta-analysis of evaluation findings, conclusions and recommendations relating to disability inclusion is performed at least every five years

INDICATOR 11: COUNTRY PROGRAMME DOCUMENTS

APPROACHES REQUIREMENTS	MEETS REQUIREMENTS	EXCEEDS REQUIREMENTS
Guidance on country programme documents mainstreams disability inclusion	Guidance on country programme documents mainstreams disability inclusion All country programme documents include analysis and corresponding programming on disability inclusion	Guidance on country programme documents mainstreams disability inclusion All country programme documents include analysis and corresponding programming on disability inclusion Knowledge management practices and processes promote improved mainstreaming of disability inclusion into country programme documents

INDICATOR 12: JOINT INITIATIVES

APPROACHES REQUIREMENTS	MEETS REQUIREMENTS	EXCEEDS REQUIREMENTS
Entity participates actively in inter agency coordination mechanism(s) on disability inclusion	Entity participates actively in inter agency coordination mechanism(s) on disability inclusion One joint programme/initiative is in place	Entity participates actively in inter agency coordination mechanism(s) on disability inclusion More than one joint programme/initiative is in place

INDICATOR 13: EMPLOYMENT

APPROACHES REQUIREMENTS	MEETS REQUIREMENTS	EXCEEDS REQUIREMENTS
Employment policy/strategy and other human resources-related policies/strategies include provisions to attract, recruit, retain and promote the career development of employees with disabilities	Employment policy/strategy and other human resources-related policies/strategies include provisions to attract, recruit, retain and promote the career development of employees with disabilities Employees with disabilities report satisfaction and well-being at a level similar to that of the general staff body	Employment policy/strategy and other human resources-related policies/strategies include provisions to attract, recruit, retain and promote the career development of employees with disabilities Employees with disabilities report satisfaction and well-being at a level similar to that of the general staff body Number of persons with disabilities entering the organization through targeted or mainstream recruitment practices has increased

INDICATOR 14: CAPACITY DEVELOPMENT FOR STAFF

APPROACHES REQUIREMENTS	MEETS REQUIREMENTS	EXCEEDS REQUIREMENTS
Entity-wide learning and/or training opportunities are available to increase the capacity of staff at all levels in disability inclusion	Entity-wide learning and/or training opportunities are available to increase the capacity of staff at all levels in disability inclusion Successful completion of learning activities and use of available learning resources on disability inclusion are mandatory, and completion and use are tracked	Entity-wide learning and/or training opportunities are available to increase the capacity of staff at all levels in disability inclusion Successful completion of learning activities and use of available learning resources on disability inclusion are mandatory, and completion and use are tracked Tailored learning activities and learning resources on disability inclusion are available, in particular for senior managers and staff union representatives

INDICATOR 15: COMMUNICATION

APPROACHES REQUIREMENTS	MEETS REQUIREMENTS	EXCEEDS REQUIREMENTS
Guideline(s)/procedures are in place to ensure that internal and external communication are respectful of persons with disabilities	Guideline(s)/procedures are in place to ensure that internal and external communication are respectful of persons with disabilities Persons with disabilities are reflected in mainstream communications	Guideline(s)/procedures are in place to ensure that internal and external communication are respectful of persons with disabilities Persons with disabilities are reflected in mainstream communications Communication campaign on disability inclusion is undertaken at least every two years

ANNEX I

Key concepts and definitions

PERSONS WITH DISABILITIES	Persons with disabilities include those who have long-term physical, mental, intellectual or sensory impairments which in interaction with various barriers may hinder their full and effective participation in society on an equal basis with others (Convention on the Rights of Persons with Disabilities, art. 1)
DISABILITY INCLUSION	The meaningful participation of persons with disabilities in all their diversity, the promotion of their rights and the consideration of disability-related perspectives, in compliance with the Convention on the Rights of Persons with Disabilities
MAINSTREAMING DISABILITY INCLUSION	A consistent and systematic approach to disability inclusion in all areas of operations and programming
TWIN-TRACK APPROACH	Integrating disability-sensitive measures into the design, implementation, monitoring and evaluation of all policies and programmes and providing disability-specific initiatives to support the empowerment of persons with disabilities. The balance between mainstreaming strategies and targeted support should be tailored to address the needs of specific communities, but the overall goal should always be to integrate and include persons with disabilities in all aspects of society and development (E/CN.5/2012/6, para. 12)
CONVENTION ON THE RIGHTS OF PERSONS WITH DISABILITIES-COMPLIANT	Policies and practices that follow the general principles and obligations underlined in the Convention, as well as the standards of the Committee on the Rights of Persons with Disabilities in their interpretation of the Convention

ACCESSIBILITY	Ensuring that persons with disabilities have access, on an equal basis with others, to the physical environment, to transportation, to information and communications, including information and communications technologies and systems, and to other facilities and services open or provided to the public, both in urban and in rural areas (Convention, art. 9)
UNIVERSAL DESIGN	The design of products, environments, programmes and services to be usable by all people, to the greatest extent possible, without the need for adaptation or specialized design. "Universal design" shall not exclude assistive devices for particular groups of persons with disabilities where this is needed (Convention, art. 2)
DISCRIMINATION ON THE BASIS OF DISABILITY	Any distinction, exclusion or restriction on the basis of disability that has the purpose or effect of impairing or nullifying the recognition, enjoyment or exercise, on an equal basis with others, of all human rights and fundamental freedoms in the political, economic, social, cultural, civil or any other field. It includes all forms of discrimination, including denial of reasonable accommodation (Convention, art. 2)
REASONABLE ACCOMMODATION	Necessary and appropriate modification and adjustments not imposing a disproportionate or undue burden, where needed in a particular case, to ensure to persons with disabilities the enjoyment or exercise on an equal basis with others of all human rights and fundamental freedoms (Convention, art. 2)
ORGANIZATION OF PERSONS WITH DISABILITIES	Organizations comprising a majority of persons with disabilities—at least half of their membership – and governed, led and directed by persons with disabilities (CRPD/C/11/2, annex II, para. 3). Such organizations should be rooted in, committed to and fully respectful of the principles and rights recognized in the Convention (CRPD/C/GC/7, para. 11)

ANNEX II

Participation in the consultation process

Initial consultations were held between October and December 2018 through virtual meetings of the sub-working group of the Inter-Agency Support Group on the Convention on the Rights of Persons with Disabilities, which comprises disability focal points from 28 United Nations entities and 2 civil society organizations.

A zero draft of the documents was circulated in early January 2019, bilateral consultations to collect feedback thereon were undertaken with 11 United Nations entities, and written comments were received from 16 United Nations entities on the zero draft. Furthermore, a workshop held on 24 January 2019 brought together 56 participants representing 22 United Nations entities and 2 civil society organizations to conduct discussions on the documents and provide comments.

As a result of the consultations, a revised draft of the documents was prepared and circulated in early February. The draft formed the basis for briefings, additional consultations and in-depth piloting/validation sessions with 22 United Nations entities held in Geneva, New York and Bangkok, as well as by telephone with United Nations entities in Rome and Amman, between 19 February and 1 March 2019. Written comments on the revised drafts were received from 13 United Nations entities.

In February 2019, the secretariat of the High-level Committee on Management circulated to its members a survey of current initiatives on disability inclusion in support of the development process. Furthermore, six inter-agency networks were engaged, with a dedicated briefing provided to the Human Resources Network and several submissions of written inputs.

On the basis of the outcomes of the consultations/briefings and the piloting/validation sessions, a final draft of the documents was prepared and circulated in early March 2019. Comments on that version were received from eight entities, and the documents were formally endorsed by the Inter-Agency Support Group on the Convention on the Rights of Persons with Disabilities on 14 March for submission, for consideration by the High-level Committee on Management and the High-level Committee on Programmes.

From the outset, persons with disabilities and their representative organizations have played an active role, including through participation in briefings and meetings and contributions to the drafting process. International Disability Alliance, an umbrella organization that comprises organizations of persons with disabilities, has been an active participant. The International Disability and Development Consortium, a civil society organization that works on disability issues, contributed to the drafting.

Furthermore, staff with disabilities have been engaged through the briefings, consultations and piloting/validation workshops.

In total, nearly 300 individuals from some 60 United Nations entities, staff unions and civil society organizations were engaged directly by the facilitation team in the development of tools. An even greater number of individuals provided their comments after being briefed by their colleagues, who had been engaged directly.

TABLE 1

Zero draft (January 2019)

Consultations/meetings	Global workshop in New York		Written comments	
1. CEB secretariat	1. CEB secretariat	14. DGACM	1. CEB secretariat	10. UN-Women
2. ILO	2. EOSG	15. DMSPC	2. Convention secretariat	11. DESA
3. IOM	3. ESCAP	16. DOS	3. ESCAP	12. DMSPC
4. OCHA	4. ESCWA	17. RCNYO	4. ESCWA	13. DOS
5. OHCHR	5. IDA[a]	18. UNDP	5. IDDC[a]	14. UNFPA
6. DMSPC	6. IDDC[a]	19. UNFPA	6. IOM	15. UNOG
7. DOS	7. ILO	20. UNHCR	7. Special Envoy on Disability and Accessibility	16. UNPRPD
8. UNHCR	8. IOM	21. UNICEF	8. Staff Union	17. UNRWA
9. UNICEF	9. OHCHR	22. UNOG	9. UN-Habitat	
10. UNOG	10. Staff Union	23. UNOPS		
11. WHO	11. UN-Women	24. UNPRPD		
12. WIPO	12. DCO	25. WFP		
	13. DESA	26. World Bank		

[a] Civil society organization.

Note: The following abbreviations are used in the tables above: CEB, United Nations System Chief Executives Board for Coordination; DCO, Development Coordination Office; DESA, Department of Economic and Social Affairs; DGACM, Department for General Assembly and Conference Management; DGC, Department of Global Communications; DMSPC, Department of Management Strategy, Policy and Compliance; DOS, Department of Space; DPO, Department of Peace Operations; DPPA, Department of Political and Peacebuilding Affairs; DSS, Department of Safety and Security; EOSG, Executive Office of the Secretary-General; ESCAP, Economic and Social Commission for Asia and the Pacific; ESCWA, Economic and Social Commission for Western Asia; FAO, Food and Agriculture Organization of the United Nations; ICAO, International Civil Aviation Organization; ICGEB, International Centre for Genetic Engineering and Biotechnology; IDA, International Development Association; IDDC, International Disability and Development Consortium; IFAD, International Fund for Agricultural Development; ILO, International Labour Organization; IMO, International Maritime Organization; IOM, International Organization for Migration; ITU, International Telecommunication Union; OCHA, Office for the Coordination of Humanitarian Affairs; OICT, Office of Information and Communications Technology; OPCW, Organisation for the Prohibition of Chemical Weapons; RCNYO, Regional Commissions New York Office; UNAIDS, Joint United Nations Programme on HIV/AIDS; UNDP, United Nations Development Programme; UNEP, United Nations Environment Programme; UNFPA, United Nations Population Fund; UN-Habitat, United Nations Human Settlements Programme; UNHCR, Office of the United Nations High Commissioner for Refugees; UNICEF, United Nations Children's Fund; UNIDO, United Nations Industrial Development Organization; UNOG, United Nations Office at Geneva; UNOPS, United Nations Office for Project Services; UNPRPD, United Nations Partnership to Promote the Rights of Persons with Disabilities; UNRWA, United Nations Relief and Works Agency for Palestine Refugees in the Near East; UN-Women, United Nations Entity for Gender Equality and the Empowerment of Women; UNWTO, World Tourism Organization; WFP, World Food Programme; WHO, World Health Organization; WIPO, World Intellectual Property Organization; WMO, World Meteorological Organization; WTO, World Trade Organization.

TABLE 2

First draft (February 2019)

Consultations/meetings	Piloting/validation		Written comments
1. IOM	1. ESCAP	14. DPO[b]	1. ESCAP
	2. FAO	15. DPPA[b]	2. FAO
	3. IFAD	16. DSS[b]	3. IDDC[a]
	4. ILO	17. UNDP	4. ILO
	5. ITU	18. UNICEF	5. UN-Women
	6. OHCHR	19. UNOG	6. DESA
	7. UN-Women	20. UNRWA	7. DMSPC
	8. DCO[b]	21. WHO	8. UNDP
	9. DESA		9. UNFPA
	10. DGACM[b]		10. UNHCR
	11. DGC[b]		11. UNPRPD
	12. DMSPC[b]		12. WIPO
	13. DOS[b]		13. UNIDO

[a] Civil society organization.
[b] Participated in Secretariat-wide piloting/validation session.

TABLE 3

Final draft (March 2019)

Written comments

1. Staff federations	4. UNFPA	7. WFP
2. UN-Women	5. UNHCR	8. WHO
3. DOS	6. UNICEF	9. UNIDO

TABLE 4

Responses to the High-level Committee on Management survey and/or comments to the secretariat thereto

Inter-agency networks	*Entities*		
1. Human Resources Network	1. ICAO	9. UNAIDS	17. WFP
2. Procurement Network	2. ICGEB	10. UNDP	18. WHO
3. Digital and Technology Network	3. IFAD	11. UNEP	19. WIPO
4. Finance and Budget Network	4. IMO	12. UNFPA	20. WMO
5. Inter-Agency Security Management Network	5. IOM	13. UNHCR	21. World Bank
6. International Annual Meeting on Language Arrangements, Documentation and Publications	6. OPCW	14. UNICEF	22. WTO
	7. UN-Women	15. UNOPS	
	8. OICT	16. UNWTO	