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# UN System-wide Action Plan for the Implementation of the CEB Policy on Gender Equality and the Empowerment of Women

UN-SWAP 2.0

Performance Indicators  
Framework  
&  
Technical Notes

1

Version



1

2018

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## Introduction to UN-SWAP 2.0

Since its introduction in 2012, the UN-SWAP has supported substantial and sustained improvement in the UN's performance on mainstreaming gender, with the aggregate performance improving from 31 to 65 per cent across the 15 UN-SWAP Performance Indicators between 2012 and 2017, with 66 UN entities reporting, or 94 per cent of all UN entities.<sup>1</sup> Building on this significant system wide progress, UN-SWAP 2.0 raises the bar for accountability and results for the UN system for the next five years.

UN-SWAP 2.0 was developed through an 18-month participatory process involving over 50 UN entities, coordinated through an 11 member inter-agency Working Group on Results, chaired by UN Women, and including piloting by 10 entities. It extends the reach of UN-SWAP 1.0 by including new Performance Indicators on gender-related and SDG relevant results, and leadership, as well as updating existing UN-SWAP 1.0 Performance Indicators. UN-SWAP 2.0 builds on five years of experience and is based on the input from the entire UN system. It has been developed within the overall context of UN reform and the planned move by the UN to system-wide reporting.<sup>2</sup>

The UN-SWAP Framework endorsed by the CEB in 2012 set out a plan for three aligned foci of accountability for gender equality and the empowerment of women:

1. The UN-SWAP 1.0, with a focus on corporate processes and institutional arrangements at the individual entity level.
2. The United Nations Country Teams (UNCT) Performance Indicators for Gender Equality and the Empowerment of Women, introduced in August 2008 focusing on joint processes and institutional arrangements within the UNCT. An updated version of the UNCT Performance Indicators (the SWAP-Scorecard), aligned to UN-SWAP 2.0, will be rolled out in 2018.
3. Development results at country and normative levels. This third level of accountability is a natural extension of UN-SWAP 1.0 and the UNCT Performance Indicators, which to date have focused on institutional processes, and constitute the changes in UN-SWAP 2.0. These and corresponding revisions to the UNCT Performance Indicators complete the accountability framework as originally planned.

UN-SWAP is organised in two sections. The first focuses on gender-related SDG results, and includes the new Performance Indicators on results as well as the oversight functions of evaluation and audit. The second includes the existing and revised Performance Indicators from UN-SWAP 1.0, and a new Performance Indicator on leadership. The following changes have also been made to existing UN-SWAP 1.0 based Performance Indicators based on five years of experience and for purposes of rationalization:

- The requirements for the Performance Indicators on Evaluation, Audit and Coherence have been strengthened.
- UN-SWAP 1.0 Performance Indicator on Programme Review has been merged into the new UN-SWAP 2.0 Performance Indicator on Programmatic Results.
- There is now a separate Performance Indicator on Equal Representation of Women in Staffing, which was previously part of the Gender Architecture and Parity Performance Indicator.

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<sup>1</sup> Entities meeting and exceeding requirements. For details see: ECOSOC 2017. *Mainstreaming a gender perspective into all policies and programmes in the United Nations system*. E/2017/57.

<sup>2</sup> *Repositioning the United Nations development system to deliver on the 2030 Agenda: our promise for dignity, prosperity and peace on a healthy planet. Report of the Secretary-General*. A/72/684-E/2018/7

- The requirement to carry out an ILO Participatory Gender Audit or equivalent at least every five years has been moved from the exceeding requirements for the Gender Responsive Auditing Performance Indicator to exceeding requirements for Organizational Culture.

## I. UN-SWAP 2.0 INDICATOR FRAMEWORK

### A. Gender-related SDG results

#### 1. Commitment to gender-related SDG results

Approaches requirements	Meets requirements	Exceeds requirements
1ai. Main strategic planning document includes at least one high level entity result on gender equality and the empowerment of women which will contribute to meeting SDG targets, and reference to SDG 5 targets	1bi. Main strategic planning document includes at least one high level entity result on gender equality and the empowerment of women which will contribute to meeting SDG targets, and reference to SDG 5 targets  and  1bii. Entity has achieved or is on track to achieve the high level result on gender equality and the empowerment of women	1ci. Main strategic planning document includes at least one high level transformative result on gender equality and the empowerment of women which will contribute to meeting SDG targets, and reference to SDG 5 targets  and  1cii. Entity has achieved or is on track to achieve the high level transformative result on gender equality and the empowerment of women

#### 2. Reporting on gender-related results

Approaches requirements	Meets requirements	Exceeds requirements
2ai. Entity RBM system provides guidance on measuring and reporting on gender equality and the empowerment of women results  or  2aii. Systematic use of sex-disaggregated data in strategic plan reporting	2bi. Reporting to the Governing Body or equivalent on the high level result on gender equality and the empowerment of women which will contribute to meeting SDG targets, including SDG 5  and  2bii. Systematic use of sex-disaggregated data in strategic plan reporting	2ci. Reporting to the Governing Body or equivalent on the high level result on gender equality and the empowerment of women which will contribute to meeting SDG targets, including SDG 5  and  2cii. Systematic use of sex-disaggregated data in strategic plan reporting  and

		2ciii. Reporting every two years to the Governing Body or equivalent on implementation of entity gender equality and empowerment of women policy
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### 3. Programmatic results on gender equality and the empowerment of women

Approaches requirements	Meets requirements	Exceeds requirements
3a. Results on gender equality and the empowerment of women are consistently included in programmatic initiative planning documents	3b. Programmatic results on gender equality and the empowerment of women are met	3ci. Programmatic results on gender equality and the empowerment of women are met  and  3cii. Programmatic initiatives consistently include transformative gender equality and the empowerment of women results

### 4. Evaluation

Approaches requirements	Meets requirements	Exceeds requirements
4a. Meets some of the UNEG gender equality-related norms and standards	4b. Meets the UNEG gender equality - related norms and standards and applies the UNEG Guidance on Integrating Human Rights and Gender Equality in evaluation during all phases of the evaluation	4c. Meets the UNEG gender equality - related norms and standards, applies the UNEG Guidance on Integrating Human Rights and Gender Equality in Evaluation during all phases of the evaluation, and conducts at least one evaluation to assess corporate performance on gender mainstreaming or evaluation of its gender equality policy/strategy every 5-8 years

## 5. Audit

Approaches requirements	Meets requirements	Exceeds requirements
5a. Consultation takes place with the gender focal point/ department on risks related to gender equality and the empowerment of women, as part of the risk based audit annual planning cycle	5b. Based on risks assessments at engagement level, internal audit departments have developed tools for auditing gender equality and the empowerment of women related issues (e.g. policy compliance, quality of reporting etc.) and apply these as appropriate in all relevant audit phases	5ci. Relevant gender equality findings are systematically presented in annual reports of the internal audit departments  and  5cii. Internal audit departments undertake a targeted audit engagement related to gender equality and the empowerment of women at least once every five years

## B. Institutional strengthening to support achievement of results

### 6. Policy

Approaches requirements	Meets requirements	Exceeds requirements
6a. Gender equality and women's empowerment policy or equivalent in the process of being developed	6b. Up-to-date gender equality and women's empowerment policy or equivalent implemented	6ci. Up to date gender equality and women's empowerment policy or equivalent implemented  and  6cii. Specific senior level mechanism in place for ensuring accountability for promotion of gender equality and the empowerment of women

### 7. Leadership

Approaches requirements	Meets requirements	Exceeds requirements
7a. Senior managers internally champion gender equality and the empowerment of women	7b. Senior managers internally and publicly champion gender equality	7ci. Senior managers internally and publicly champion gender equality



	and the empowerment of women	and the empowerment of women  <u>and</u>  7cii. Senior managers proactively promote improvements in UN-SWAP Performance Indicators where requirements are not met/exceeded
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**8. Gender-responsive performance management**

<b>Approaches requirements</b>	<b>Meets requirements</b>	<b>Exceeds requirements</b>
8a. The entity's core values and/or competencies being revised to include assessment of gender equality and the empowerment of women	8b. Assessment of gender equality and the empowerment of women integrated into core values and/or competencies for all staff, with a particular focus on levels P4 or equivalent and above	8ci. Assessment of gender equality and the empowerment of women integrated into core values and/or competencies for all staff, with a particular focus on levels P4 or equivalent and above including decision making positions in all Committees, Missions and Advisory Bodies  <u>and</u>  8cii. System of recognition in place for excellent work promoting gender equality and women's empowerment

**9. Financial Resource Tracking**

<b>Approaches requirements</b>	<b>Meets requirements</b>	<b>Exceeds requirements</b>
9a. Working towards a financial resource tracking mechanism to quantify disbursement of funds that promote gender equality and women's empowerment	9b. Financial resource tracking mechanism in use to quantify disbursement of funds that promote gender equality and women's empowerment	9ci. Financial resource tracking mechanism in use to quantify disbursement of funds that promote gender equality and women's empowerment  <u>and</u>

		9cii. Results of financial resource tracking influences central strategic planning concerning budget allocation
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## 10. Financial Resource Allocation

Approaches requirements	Meets requirements	Exceeds requirements
10a. Financial benchmark is set for implementation of the gender equality and women's empowerment mandate	10b. Financial benchmark for resource allocation for gender equality and women's empowerment mandate is met	10c. Financial benchmark for resource allocation for gender equality and women's empowerment mandate is exceeded

## 11. Gender architecture

Approaches requirements	Meets requirements	Exceeds requirements
11ai. Gender focal points or equivalent at HQ, regional and country levels are: a. designated from staff level P4 or equivalent and above b. have written terms of reference c. at least 20 per cent of their time is allocated to gender focal point functions	11bi. Gender focal points or equivalent at HQ, regional and country levels are: a. designated from staff level P4 or equivalent and above for both mainstreaming and representation of women b. have written terms of reference c. at least 20 per cent of their time is allocated to gender focal point functions  and  11bii. Gender department/unit is fully resourced according to the entity mandate	11ci. Gender focal points or equivalent at HQ, regional and country levels are: a. designated from staff level P5 or equivalent and above for both mainstreaming and representation of women b. have written terms of reference c. at least 20 per cent of their time is allocated to gender focal point functions d. specific funds are allocated to support gender focal point networking  and  11cii. Gender department/unit is fully resourced according to the entity mandate

## 12. Equal representation of women

Approaches requirements	Meets requirements	Exceeds requirements
12a. Plan in place to achieve the equal	12b. The entity has reached the equal representation of	12c. The entity has reached the equal representation of

representation of women for General Service staff and at P4 and above levels in the next five years	women for General Service staff and P4 and above levels	women for General Service staff and at P4 and above levels, including the senior most levels of representation in Field Offices, Committees, Advisory Bodies and Funds linked to the entity irrespective of budgetary source
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### 13. Organizational culture

Approaches requirements	Meets requirements	Exceeds requirements
13a. Organizational culture partly supports promotion of gender equality and the empowerment of women	13b. Organizational culture fully supports promotion of gender equality and the empowerment of women	13ci. Organizational culture fully supports promotion of gender equality and the empowerment of women  and  13cii. ILO Participatory Gender Audit or equivalent carried out at least every five years

### 14. Capacity assessment

Approaches requirements	Meets requirements	Exceeds requirements
14a. Assessment of capacity in gender equality and women's empowerment for individuals in entity is carried out	14bi. Entity-wide assessment of capacity of staff at HQ, regional and country levels in gender equality and women's empowerment is carried out  and  14bii. A capacity development plan is established or updated at least every five years	14ci. Entity-wide assessment of capacity of entity staff at HQ, regional and country levels in gender equality and women's empowerment is carried out  and  14cii. A capacity development plan is established or updated at least every three years



## 15. Capacity development

Approaches requirements	Meets requirements	Exceeds requirements
15a. Working towards ongoing mandatory training for all levels of entity staff at HQ, regional and country offices	15b. Ongoing mandatory training for all levels of entity staff at HQ, regional and country offices	15ci Ongoing mandatory training for all levels of entity staff at HQ, regional and country offices  and  15cii. Senior managers receive tailored training during orientation

## 16. Knowledge and Communication

Approaches requirements	Meets requirements	Exceeds requirements
16a. Internal production and exchange of information on gender equality and women's empowerment	16bi. Knowledge on gender equality and women's empowerment is systematically documented and publicly shared  and  16bii. Communication plan includes gender equality and women's empowerment as an integral component of internal and public information dissemination	16ci. Knowledge on gender equality and women's empowerment is systematically documented and publicly shared  and  16cii. Communication plan includes gender equality and women's empowerment as an integral component of internal and public information dissemination  and  16ciii. Entity is actively involved in an inter-agency community of practice on gender equality and the empowerment of women

## 17. Coherence

Approaches requirements	Meets requirements	Exceeds requirements
<p>17a. Participates systematically in inter-agency coordination mechanisms on gender equality and the empowerment of women</p>	<p>17bi. Participates systematically in inter-agency coordination mechanisms on gender equality and the empowerment of women</p> <p>and</p> <p>17bii. Participates in UN-SWAP peer review process</p>	<p>17ci. Participates systematically in inter-agency coordination mechanisms on gender equality and the empowerment of women</p> <p>and</p> <p>17cii. Participates in UN-SWAP peer review process</p> <p>and</p> <p>17ciii. Supports implementation of at least one UN-SWAP Performance Indicator in another entity</p>

## II UN-SWAP TECHNICAL NOTES

### **Purpose and organization of the Technical Notes**

These Technical Notes provide guidance on the completion of the Performance Indicators developed as part of the reporting framework of the UN System-wide Action Plan (UN-SWAP) to implement the CEB Policy on gender equality and the empowerment of women (CEB/2006/2). For each of the Performance Indicators, the Technical Notes set out:

- the Performance Indicator itself;
- the inter-governmental mandate on which the Performance Indicator is based;
- how to complete the rating for the Performance Indicator, i.e. guidance on what you need to do to report on each Performance Indicator; and
- current practice and examples from across the UN system that will support your entity in meeting and exceeding the Performance Indicators.

### **The Performance Indicators and Rating System**

The UN-SWAP rating system consists of five levels. The ratings allow UN entities to self-assess and report on their standing with respect to each indicator, and to move progressively towards excellent performance. As such, the rating system is intended as an aid to promote leadership and direction and enhance coherence.

The five levels of the rating system are:

- Exceeds requirements
- Meets requirements
- Approaches requirements
- Missing
- Not applicable

**At a minimum, each UN system entity should aim to achieve “meets requirements”. Meeting requirements is, however, a starting point, rather than the conclusion of an entity’s promotion of gender equality and the empowerment of women. It is anticipated that all UN entities will aspire to “exceed requirements”, with the UN thereby being an institutional leader in gender equality and the empowerment of women.**

For the “approaches requirements” rating, where there is an either/or option, UN entities which meet one of the options should be rated under this heading. If neither option is met, the Performance Indicator should be rated as “missing”. For the “meets requirements” and “exceeds requirements” ratings, all options must be met. Where there are two or more requirements for a Performance Indicator, if an entity approaches requirements in one element and exceeds requirements in another, UN entity performance should be rated as “approaches requirements”.

The “missing” rating should be applied when the Performance Indicator is relevant to an entity, but the “approaches expectations” rating is not met. “Not applicable” applies where the Performance Indicator is not relevant to a UN entity, for example where the entity has no country programme documents.

In the UN-SWAP web-based reporting system, UN entities are expected to provide a clear rationale for each rating. Where there are multiple parts to a Performance Indicator UN entities are required to report on each of the elements. In this context, additional mandatory explanation boxes have been added to facilitate more complete and accurate reporting.

A glossary of key terms can be found at the end of the Technical Notes.

### **Remedial Action Plans for Performance Indicators**

UN-SWAP reporting requires the submission of Remedial Plans of Action to accompany ratings for *all* indicators, including *timelines, resources and responsibility for follow-up actions*, except where the entity exceeds requirements. The action plans are critical for enabling gaps and challenges to be addressed, and where possible should be agreed upon at the highest level of entities. Remedial Plans of Action provide opportunities for improvement across the UN system by indicating the extent to which the UN system is meeting and/or exceeding requirements for each indicator, and thereby highlighting areas that need attention and investment.

#### **Unless remedial plans of action are adequate entities UN-SWAP reports will not be accepted.**

1. **Timelines:** Timelines for improvement in performance for each Performance Indicator should be realistic. Timelines should reflect implementation plans and review dates included in gender policies and plans and/or gender equality-related outputs included in strategic plans. Within “years” and “months”, the respective number of years and/or months needed to attain the next performance level since the time of reporting should be indicated.
2. **Resources:** Entities need to include resources required to improve performance for each Performance Indicator and to document the required resources in their Action Plans. Indicating resource requirements does not commit UN entities to the allocation of the funds; rather, they provide a notional guide to estimated resource requirements within entities and across the UN system for realizing gender equality and women’s empowerment. Estimates of required financial resources are also useful with respect to resource mobilisation.

In the “resources required” field of the online reporting system, UN entities should include costs associated with the implementation of the UN-SWAP Performance Indicators which are additional to recurring costs; for example, the cost of developing a policy or implementing a training course, rather than costs such as staffing. Development of a policy might require 25,000 USD in consultancy funds and implementing a training course may cost 100,000 USD. Staffing resources for work related to improving gender equality and the empowerment of women should only be included for Performance Indicator 12 (Equal Representation of Women). Funds for consultants, for example to develop gender policies, conduct gender audits or develop training programmes, can be included in resource requirements for relevant individual Performance Indicators.

3. **Responsibility for follow-up:** The UN-SWAP has been designed to clarify staff and departmental responsibility for gender mainstreaming and meeting/exceeding the



Performance Indicator relevant to their mandate. To encourage decentralization of responsibility and accountability for the achievement of gender equality and the empowerment of women within each UN entity, where possible staff other than the gender focal point(s) or gender unit should be assigned responsibilities for follow-up in the action plans. Designation of senior management as responsible for follow-up is also highly encouraged in order to strengthen accountability.

A good practice in shared responsibility comes from the WFP. The WFP identified 'Business Owners' for each of the UN-SWAP Performance Indicators. The Business Owners are responsible for (i) determining actions to ensure that the Performance Indicators are met; (ii) communicating and championing gender equality in their areas of work; and (iii) reporting against the Performance. The WFP Business Owners are supported by the Gender Office, which provides overall technical advice, coordination and coherence.

**This updated version of the Technical Notes also includes an Annex which clarifies the reporting requirements for Secretariat entities which have a mainly administrative function.**

**\*NOTE: Please do not include acronyms in reporting. It is important to include full titles and office/department names.**

**For technical support or any clarifications, please contact the UN-SWAP Help Desk:  
[unswap.helpdesk@unwomen.org](mailto:unswap.helpdesk@unwomen.org)**

## 1. Gender-related SDG results

Approaches requirements	Meets requirements	Exceeds requirements
1ai. Main strategic planning document includes at least one high level result on gender equality and the empowerment of women which will contribute to meeting SDG targets, and reference to SDG 5 targets	1bi. Main strategic planning document includes at least one high level result on gender equality and the empowerment of women which will contribute to meeting SDG targets, and reference to SDG 5 targets  <b>and</b>  1bii. Entity has achieved or is on track to achieve the high level result on gender equality and the empowerment of women	1ci. Main strategic planning document includes at least one high level transformative result on gender equality and the empowerment of women which will contribute to meeting SDG targets, and reference to SDG 5 targets  <b>and</b>  1cii. Entity has achieved or is on track to achieve the high level transformative result on gender equality and the empowerment of women

### Mandate:

[A/RES/62/208](#)<sup>3</sup> calls upon the organizations of the United Nations development system, within their organizational mandates, to further improve their institutional accountability mechanisms and to include intergovernmentally agreed gender equality results and gender-sensitive indicators in their strategic frameworks.

[ECOSOC Resolution 2008/34](#)<sup>4</sup> requests the United Nations system, including United Nations system agencies, funds and programmes within their organizational mandates, to promote a United Nations system-wide common understanding of a results-based management framework with benchmarks and indicators for measuring progress in the application of the gender mainstreaming strategy to achieve gender equality; and to include clear gender equality results and gender-sensitive indicators in their strategic frameworks; among others.

[ECOSOC Resolution 2005/31](#)<sup>5</sup> calls on the UN system to fully incorporate a gender perspective in programme budgets and multi-year funding frameworks and into all results-based budgeting processes.

<sup>3</sup> A/RES/62/208. Triennial comprehensive policy review of operational activities for development of the United Nations system (paragraph 56 and 61)

<sup>4</sup> ECOSOC Resolution 2008/34. Mainstreaming a gender perspective into all policies and programmes in the United Nations system (paragraph 4). Also included in ECOSOC Resolution 2009/34

<sup>5</sup> ECOSOC Resolution 2005/31. Mainstreaming a gender perspective into all policies and programmes in the United Nations system (paragraph 4c). Mandate also included in ECOSOC Resolution 2007/33.

### **How to use the performance indicator:**

The Beijing Platform for Action promotes a dual approach to achieving gender equality and the empowerment of women (GEEW), that is mainstreaming and targeted approaches, known as a twin-track approach.<sup>6</sup> The SDG outcome document retains this dual approach by mainstreaming gender throughout and including targeted measures through SDG 5. **When mainstreaming gender into the main strategic planning document entities should bear in mind the need for a dual approach to implementing the SDGs, as appropriate to their mandate, as well as the need to link targeted and mainstreaming approaches.** UN Women is preparing guidance on mainstreaming gender into strategic plans as a complement to these Technical Notes which will be available in the Fall of 2018.

**Note: Performance Indicator 1 refers to the GEEW content of the entity main strategic planning document, while Performance Indicator 3 focuses on any entity work on GEEW that is not included in the main strategic planning document. Details on mainstreaming can be included in the narrative in the Table below.**

### **How to meet requirements**

To meet requirements for this Performance Indicator, at least one high level entity result statement in the main strategic planning document should reflect the main work of the entity on GEEW, tied to the SDGs, including SDG 5. **The specific reference to the SDGs should be drawn from the mandate of individual entities, as reflected in their GEEW policies or equivalent and/or Governing Body statements.**

In addition to meet requirements entities need to demonstrate, with adequate evidence, that the high level result has been achieved, or is on track to be achieved. See below for details to be provided and examples.

For the Secretariat the Secretary-General has to date presented a Programme Performance Report each biennium.<sup>7</sup> This Performance Report presents achievements by expected accomplishment, based on the indicators of achievement in the Programme Budget.<sup>8</sup> Reporting on expected accomplishments through the Programme Performance Report for the Strategic Framework 2018-2019 can therefore also be used as one source for UN-SWAP reporting.

**Note: as the Secretariat strategic planning process is undergoing revisions in 2018, these Technical Notes will be revised in the Fall of 2018 to reflect these changes.**

### **Reference to SDG 5**

To meet requirements entities should outline in their main strategic planning document the ways in which they will promote achievement of SDG Goal 5 targets. This can be integrated into the gender-focused high-level result statement(s), **or** in a separate section of the entity strategic plan.

SDG 5 targets are as follows:

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<sup>6</sup> <http://www.un.org/womenwatch/osagi/pdf/e65237.pdf>

<sup>7</sup> E.g. A/71/75 for the 2014-2015 biennium, available at: <http://www.un.org/en/ga/cpc/56/docs56.SHTML>

<sup>8</sup> The Performance Report also reports on implementation of outputs, however outputs are not considered high level results for UN-SWAP 2.0 purposes.

- 5.1 End all forms of discrimination against all women and girls everywhere
- 5.2 Eliminate all forms of violence against all women and girls in the public and private spheres, including trafficking and sexual and other types of exploitation
- 5.3 Eliminate all harmful practices, such as child, early and forced marriage and female genital mutilation
- 5.4 Recognize and value unpaid care and domestic work through the provision of public services, infrastructure and social protection policies and the promotion of shared responsibility within the household and the family as nationally appropriate
- 5.5 Ensure women’s full and effective participation and equal opportunities for leadership at all levels of decision-making in political, economic and public life
- 5.6 Ensure universal access to sexual and reproductive health and reproductive rights as agreed in accordance with the Programme of Action of the International Conference on Population and Development and the Beijing Platform for Action and the outcome documents of their review conferences
- 5.a Undertake reforms to give women equal rights to economic resources, as well as access to ownership and control over land and other forms of property, financial services, inheritance and natural resources, in accordance with national laws
- 5.b Enhance the use of enabling technology, in particular information and communications technology, to promote the empowerment of women
- 5.c Adopt and strengthen sound policies and enforceable legislation for the promotion of gender equality and the empowerment of all women and girls at all levels

An example of an SDG 5 related results statement included in the UNAIDS Strategy 2016-2021 is:

Women and men practice and promote healthy gender norms and work together to end gender-based, sexual and intimate partner violence to mitigate risk and impact of HIV.

Entities can tie their reporting to ongoing high-level panels or equivalent work on SDG 5. For example the [Secretary-General’s High-Level Panel on Women’s Economic Empowerment](#), established in 2016, brought together leaders from different constituencies – government, academia, civil society and global multilateral organizations – to launch a shared global agenda to accelerate women’s economic empowerment in support of implementing the 2030 Agenda for Sustainable Development. The High-Level Panel reports highlighted the causes and manifestations of women’s inferior status in the economy. When integrating work on SDG 5 into their central strategic planning documents entities can draw on the research of this Panel and equivalent research for other thematic areas.

In addition, to meet requirements for 1bii, entities should demonstrate while tracking achievement of results their contributions to SDG 5 targets. If reference to SDG 5 is integrated into the high-level results statement then this should be covered under reporting on the result. If reference to SDG 5 is included elsewhere in the main strategic planning document then reporting on achievements through strategic plan reporting will be necessary to meet requirements. Entities will therefore be required to demonstrate with appropriate evidence how they are supporting implementation of SDG 5.

**How to exceed requirements**

To exceed requirements the main strategic planning document should include at least one high-level transformative GEEW result, and demonstrate that this result has been achieved. What

constitutes a transformative GEEW result is outlined below, and **entities are required in their reporting to articulate why they consider their result transformative.**

**Approaching requirements**

To approach requirements at least one high level entity result statement in the main strategic planning document should reflect the main work of the entity on GEEW, tied to the SDGs, including SDG 5. If this result statement is not included the rating should be “missing”.

All entities are required to complete the following table. Examples of completed tables are provided below:

1. Include the high level result(s) on gender equality and empowerment of women	Extract directly from main strategic planning document and include the results statement here
2. Achievement in year/s	Note briefly progress towards the result, based on indicator(s) and/or measures in the main strategic planning document
3. Internal evidence base (non-Secretariat) – include attachments and page numbers	E.g. entity report on main strategic plan
4. Internal assessment of progress using <u>entity assessment methodology for reporting on its main strategic planning document</u>	e.g. not on track, on track, achieved
5. UN-SWAP rating	Not Applicable, Missing, Approaches, Meets or Exceeds If approaches, see table below
6. Specific SDG target(s) and indicators to which result contributes	Online reporting system will include a drop down box with all SDGs. More than one SDG can be selected.
<p>7. Narrative on results to be completed by all entities: Complement the UN-SWAP rating and brief achievements noted above with a narrative on results illustrating the high level result achieved (word limit: 800 words). Organize the narrative by the functional and/or thematic areas that will be included in the online reporting system. The functional and thematic typology is based on a mapping of the main GEEW work in entity strategic plans. Select a maximum of three functional and three thematic areas, and highlight which have been selected. Include both targeted and mainstreamed results here.</p> <p><b>Format:</b></p> <ol style="list-style-type: none"> <li>1. What was achieved?</li> <li>2. How was the result achieved and how were barriers to promotion of GEEW overcome (e.g. inter-agency cooperation, strong partnerships, leadership by Member State)?</li> </ol>	

If the rating is “approaches”, entities are required to use the following table to expand on the rating. This table has been included given the wide range of possible results under the “approaches” rating. For example entities could be very close to meeting the result, or could not be tracking the result at all. In each case a clear rationale for choice of the rating should be provided. An example is provided below.

1 (1-24%)	2 (25-49%)	3 (50-74%)	4 (more than 75%)
Very limited progress	Limited progress	Some progress	Reasonable progress but not on track
Rationale for rating	Rationale for rating	Rationale for rating	Rationale for rating
Use this rating when progress towards meeting the GEEW result is largely stalled.	Use this rating when movement towards meeting the result has started but considerably more effort is required.	Use this rating when there is some movement towards meeting the result but there is still some distance to go.	Use this rating when your entity is getting close to meeting the result but is not yet on track.

### Remedial action planned

In cases where entities are rated as “approaches” or “missing”, a clear remedial plan of action should be included setting out how the shortfall will be addressed, how long this will take, who will be responsible, and any budgets required.

### Commonly asked questions about this Performance Indicator

#### 1. What constitutes the main strategic planning document?

While the format of the main strategic planning document differs across the UN system, most UN entities have a central strategic plan that governs their work. In the case of the Secretariat this is currently the Strategic Framework, and in the case of Funds and Programmes the Strategic Plan. Entities such as DPKO which have multiple strategic planning documents should either determine which is the most relevant for UN-SWAP reporting purposes, or report against all documents.

#### 2. What is a high-level result?

High-level entity results statements are outcomes or expected accomplishments or equivalent that guide the strategic orientation of the entity. Sub-outcomes and outputs or equivalent are therefore not high-level entity results.

Experience has demonstrated that mainstreaming gender throughout entity high level results alone is insufficient to promote the UN’s GEEW mandate; therefore a specific high level result as well as mainstreaming is required, as in the SDGs.

#### 3. What is the relation to the SDGs?

This Performance Indicator refers to the *support* that UN entities provide to Member States in achieving the SDGs, and not achievement of the SDGs themselves. The results statement should therefore be framed in the context of the UN system’s *contribution* to achieving the SDGs.

Results statements that only include lists of “vulnerable” group, including women, or which group women with others such as “women and children”, do not meet the requirement for this Performance Indicator because the result is not focused on GEEW.

#### **4. What is a transformative result?**

Entities should determine themselves what constitutes a transformative result in the context of their mandate and/or policy on gender equality and the empowerment of women, and clearly outline why the result is considered transformative when rating as “exceeds” requirements.

The SDG Outcome Document<sup>9</sup> defines transformative results as follows:

We envisage a world of universal respect for human rights and human dignity, the rule of law, justice, equality and non-discrimination; of respect for race, ethnicity and cultural diversity; and of equal opportunity permitting the full realization of human potential and contributing to shared prosperity. A world which invests in its children and in which every child grows up free from violence and exploitation. A world in which every woman and girl enjoys full gender equality and all legal, social and economic barriers to their empowerment have been removed. A just, equitable, tolerant, open and socially inclusive world in which the needs of the most vulnerable are met.

Transformative results contribute to changes in social norms, cultural values, power structures and the root causes of gender inequalities and discrimination. The CEB includes tackling root causes as central to implementing the SDGs: “Preventing and resolving crises, addressing root causes, managing risk, building resilience and sustaining peace are shared objectives of the entire UN system.”<sup>10</sup>

Transformative results normally require significant time to be achieved. For UN-SWAP 2.0 reporting entities should demonstrate how they are on track to achieve the transformative result if it has not already been achieved.

To define transformative results it is useful to consider the difference between a needs based and a rights based approach. For example, building a school or a clinic and providing services is a needs based approach, while organising women and men to demand access to services is a rights based approach. Similarly running shelters for women who have been subject to gender based violence is a needs based approach, while strengthening legislation to curb violence is a rights based approaches. The difference is the goal of ending gender inequality by changing its root causes, and the method of working.

UN Women is coordinating to develop a system-wide definition and examples of transformative results, to be ready for UN-SWAP 2.0 first reporting in January 2019.

#### **5. How should entities not working directly on results report on this Performance Indicator?**

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<sup>9</sup> *Transforming our World: the 2030 Agenda for Sustainable Development*, A/RES/70/1, para 8.

<sup>10</sup> *CEB common principles to guide the UN system’s support to the implementation of the 2030 Agenda for Sustainable Development*. April 2016.

Those entities that do not work directly on achieving results or that have a mainly administrative function (e.g. UNOG, UNOV, UNON, DGACM, DM, OIOS, OAJ, OLA, Office of the United Nations Ombudsman and Mediation Services, Training Institutes, Research Institutes) should include a high level result on gender parity in staffing to meet requirements, and achieving the high level result is adequate to exceed requirements.

**6. When and how often should reporting against this Performance Indicator take place?**

UN-SWAP 2.0 covers a five-year period and may not align directly with all entity strategic planning processes and timelines. Some entities had a strategic planning document in place prior to agreement of the UN-SWAP 2.0 Performance Indicators in December 2016, and cannot therefore be held to the requirements of this Performance Indicator until development of the next Strategic Planning document.

For strategic plans developed prior to the finalization of UN-SWAP 2.0 Performance Indicators at the end of 2016, the requirement to tailor the high-level results statement(s) on GEEW to the SDGs, including SDG 5, is waived. In these cases to meet requirements entities will still need to include a high level result on GEEW, and demonstrate that the result has been achieved or is on track to be achieved.

The periodicity of reporting on the Performance Indicator should be annually. Secretariat entities will report on the 2018-2019 Strategic Framework in 2019, and thereafter on the updated version of the Strategic Framework as out in A/72/492/Add.1. If there is no change since the previous year this can be noted and full reporting is not required.

**Examples (note: these examples are adapted from entity strategic plans and do not reflect actual reporting by entities)**

**Example: Exceeding requirements**

1. Include the high level result(s) on gender equality and empowerment of women	Outcome: Every woman and every male and female adolescent and youth everywhere, including those furthest behind, fully exercise their reproductive rights and are able to use integrated sexual and reproductive health (SRH) services, which include family planning, comprehensive maternal health and STIs and HIV services, free of coercion, discrimination and violence
2. Achievement in year	Based on indicator(s) and/or measures corresponding to the high level result(s): Capacities successfully enhanced for 25 Member States to develop and implement policies that prioritize access to SRH-RR information and services of those furthest behind including in humanitarian settings Achievement for year: 25 Member States
3. Internal evidence base (non-Secretariat) – include attachments and page numbers	Annual report on Strategic Plan (attached, page 26-28) notes that an evaluation was carried out related to this outcome



	which demonstrates successful enhancement of capacity in 25 Member states
4. Internal assessment of progress using entity assessment mechanism	Achieved
5. UN-SWAP rating	Exceeds. The outcome statement in the Strategic Plan is transformative as it focuses on the structural causes of gender inequality (full exercise of reproductive rights) and how to overcome these
6. Specific SDG target(s) and indicators to which result contributes and linkage to SDG 5	5.6 Proportion of women (aged 15-49) who make their own sexual and reproductive decisions 5.6 Proportion of countries with laws and regulations that guarantee all women and adolescents access to sexual and reproductive health (SRH) services, information and education

**Narrative on results** (to be completed by all entities):

Complement UN-SWAP rating above with a narrative on results illustrating the high level result achieved (word limit: 800 words) Organize the narrative by the functional and/or thematic areas that will be included in the online reporting system. The functional and thematic typology is based on a mapping of the main GEEW work in entity strategic plans. Select a maximum of three functional and three thematic areas, and highlight which have been selected. Include both targeted and mainstreamed results here.

Functional area:

Thematic area: HIV/ SRH & Health services

**Format:**

1. What was achieved?

'X' entity successfully enhanced the capacity of 25 Members States, as evidenced by an independent evaluation (attached) by carrying out the following: development of training material and implementation of training for Ministries of Health and the Women's Machineries in 25 countries; ongoing support to revisions to SRH-related policies in 12 countries where interventions were necessary, including capacity development with senior policy analysts in 12 priority countries; and dissemination of guidance material on how to identify and support the rights of those left furthest behind. In seven priority countries with least access to SRH for those left furthest behind new policies on SRH were implemented which led to overall increases in access to SRH for minority groups by 50 per cent, in particular women with disabilities, from ethnic minorities, and hard to reach rural groups, covering in total over 10 million women.

2. How was the result achieved, what were the barriers, and how were barriers to promotion of GEEW overcome (e.g. inter-agency cooperation, strong partnerships, leadership by Member State)?

The main barrier encountered was lack of reproductive rights because of patriarchal norms and structures, failure to implement policy, and lack of technical capacity. The main strategy employed was South-South cooperation bringing together over 50 policy makers and policy analysts in five regional workshops to exchange strategies about implementing SRH policies and reaching those left behind first. This included an analysis of the main barriers to promoting access to SRH services, which included poverty, disability and availability of services. 'X' entity carried out surveys of participants six months after the workshops and 92 per cent of participants responded that they were fully satisfied with the workshops and had used

workshop material extensively in their daily work. 'X' entity worked with UNCT partners in all 25 Member States, including through 11 Joint Programmes funded by the Government of Canada.

**Example: Meets requirements**

1. Include the high level result(s) on gender equality and empowerment of women	Rural women and men, and rural poor organizations, empowered to access productive resources, services and markets
2. Achievement in year	Rural poor organizations, government institutions and other relevant stakeholders have enhanced their capacities for rural poor empowerment and improved equitable access by poor men and women to productive resources, services, technologies and markets
3. Internal evidence base (non-Secretariat) – include attachments and page numbers	Report to the Governing Body on the central strategic plan (p. 33)
4. Internal assessment of progress using entity assessment mechanism	On track – see evidence in the narrative below
5. UN-SWAP rating	Meets
6. Specific SDG target(s) and indicators to which result contributes and linkage to SDG 5	<p>SDG 1.2: By 2030, reduce at least by half the proportion of men, women and children in poverty</p> <p>SDG 5: the strategic plan (p. 11) notes in a section separate from the results statement above:          “Achieving gender equality remains a prominent focus, with a large span of activities supporting Member States addressing gender-based barriers to escaping rural poverty in agriculture, including through promoting women’s leadership, women’s economic empowerment through employment opportunities and social protection, and through increased agency and a stronger role in decision-making.”</p> <p>The linkage is to SDG 5.5: Ensure women’s full and effective participation and equal opportunities for leadership at all levels of decision-making in political, economic and public life</p>

**Narrative on results** (to be completed by all entities):

Complement the UN-SWAP rating above with a narrative on results illustrating the high level result achieved (word limit: 800 words). Organize the narrative by the functional and/or thematic areas that will be included in the online reporting system. The functional and thematic typology is based on a mapping of the main GEEW work in entity strategic plans. Select a maximum of three functional and three thematic areas, and highlight which have been selected. Include both targeted and mainstreamed results here.

Functional area: Women’s economic empowerment

Thematic area:

**Format:**

1. What was achieved?

In the 10 countries covered under this strategic outcome there are 42 million people below the poverty line, 65 per cent of whom are women, with female poverty located in particular in hard to reach rural areas and in households headed by women. There is also a clear correlation between people living with HIV/AIDS and poverty levels. ‘Y’ entity has supported a range of government and non-government organisations in these 10 countries, ranging from Ministries of Agriculture, to agriculture sector NGO networks, through policy input, pro-poor and pro-gender equality reform of markets, and facilitation of access to services for under-served women and men.

2. How was the result achieved, what were the barriers, and how were barriers to promotion of GEEW overcome (e.g. inter-agency cooperation, strong partnerships, leadership by Member State)?

The main barriers identified were unequal gender and socio-economic structures which excluded under-served populations from markets and productive resources. ‘Y’ entity worked in coordination with UNCT sister agencies including WFP and the World Bank, as well as bilateral donors, to develop a 40 country joint programme focusing on supporting implementation of SDG 1.2, with a specific pro-poor and gender equality and empowerment focus throughout. Overall it is estimated that with the UN’s and partner organisations support to Member States over five million people, of whom 3 million women, have been lifted above the poverty line.

**Example: Approaches requirements**

1. Include the high level result(s) on gender equality and empowerment of women	Enhanced common understanding, resolutions and actions at the intergovernmental level on effective policy frameworks for achieving social inclusion, gender equality, and well-being for all
2. Achievement in year	23 per cent increase in gender-sensitive recommendations used in the formulation of resolutions, decisions and agreed conclusions in two years (target 30%)

3. Internal evidence base (non-Secretariat) – include attachments and page numbers	Secretariat Programme Performance Report (p. 44) notes a 23 per cent increase in gender-sensitive formulation of resolutions, decisions and agreed conclusions
4. Internal assessment of progress using entity assessment mechanism	Not on track
5. UN-SWAP rating	Approaches (see table below)
6. Specific SDG target(s) and indicators to which result contributes and linkage to SDG 5	10.2 By 2030 empower and promote the social, economic and political inclusion of all irrespective of age, sex, disability, race, ethnicity, origin, religion or economic or other status  5.1 End all forms of discrimination against all women and girls everywhere 5.c Adopt and strengthen sound policies and enforceable legislation for the promotion of gender equality and the empowerment of all women and girls at all levels

**Narrative on results** (to be completed by all entities):

Complement the UN-SWAP rating above with a narrative on results illustrating the high level result achieved (word limit: 800 words). Organize the narrative by the functional and/or thematic areas that will be included in the online reporting system. The functional and thematic typology is based on a mapping of the main GEEW work in entity strategic plans. Select a maximum of three functional and three thematic areas, and highlight which have been selected. Include both targeted and mainstreamed results here.

Functional area:

Thematic area: global norms, policies, standards

**Format:**

1. What was achieved?

In comparison to a 2015 baseline, “x” additional ECOSOC resolutions in 2016 and 2017 include reference to the importance of GEEW. This includes resolutions on the United Nations Inter-Agency Task Force on the Prevention and Control of Non-communicable diseases, Social Dimensions of the New Partnership for Africa’s Development, Promoting the Rights of Persons with Disabilities and Strengthening the Mainstreaming of Disability in the Implementation of the 2030 Agenda for Sustainable Development, and Strengthening of the Coordination of Emergency Humanitarian Assistance of the UN. Together the added focus on GEEW issues will enhance the commitment of Member States to mainstreaming a gender perspective throughout their activities, hence contributing to SDG 10.2 on social inclusion as well as SDG 5.

Nevertheless the entity was close to but did not meet its target of references (see Table below).

2. How was the result achieved, what were the barriers, and how were barriers to promotion of GEEW overcome (e.g. inter-agency cooperation, strong partnerships, leadership by Member State)?

Barriers included concerns of particular Member States about the inclusion of GEEW and overall lack of technical capacity in inter-governmental processes concerning inclusion of GEEW in recommendations. Some Member States queried whether specific reference to GEEW was required in resolutions, decisions and agreed conclusions, given that it should be mainstreamed. Informals with Member States stressing the importance of the visibility of GEEW in resolutions, joint Member State meetings, location and supporting “gender champions” within Member States, and presentations by senior entity staff led to the increase in gender sensitive recommendations, decisions and agreed conclusions.

#### Approaches requirements table

1 (1-24%)	2 (25-49%)	3 (50-74%)	4 (more than 75%)
Very limited progress	Limited progress	Some progress	Reasonable progress but not on track
Rationale for rating	Rationale for rating	Rationale for rating	The entity set a target of 30% increase in recommendations, and 23% was achieved. This was due to staffing and resource constraints, as well as lack of support from some Member States. Work in ongoing to improve this performance during the biennium.
Use this rating when progress towards meeting the GEEW result is largely stalled.	Use this rating when movement towards meeting the result has started but considerably more effort is required.	Use this rating when there is some movement towards meeting the result but there is still some distance to go.	Use this rating when your entity is getting close to meeting the result but is not yet on track.

## 2. Reporting on gender-related results

Approaches requirements	Meets requirements	Exceeds requirements
2ai. Entity RBM system provides guidance on measuring and reporting on gender equality and the empowerment of women results  <b>or</b>	2bi. Reporting to the Governing Body or equivalent on the high level result on gender equality and the empowerment of women which will contribute to meeting SDG targets, including SDG 5	2ci. Reporting to the Governing Body or equivalent on the high level result on gender equality and the empowerment of women which will contribute to meeting SDG targets, including SDG 5
2aii. Systematic use of sex-disaggregated data in strategic plan reporting	<b>and</b>  2bii. Systematic use of sex-disaggregated data in strategic plan reporting	<b>and</b>  2cii. Systematic use of sex-disaggregated data in strategic plan reporting  <b>and</b>  2ciii. Reporting every two years to the Governing Body or equivalent on implementation of the entity's gender equality and empowerment of women policy

### Mandate:

[A/RES/62/208](#)<sup>11</sup> calls upon the United Nations development system to further improve qualitative and quantitative reporting on gender equality, including gender disaggregated data. [ECOSOC Resolution 2007/33](#)<sup>12</sup> calls upon the UN system to promote the collection, analysis and use of data disaggregated by sex during programme development and evaluation of gender mainstreaming to assess progress towards achieving gender equality and the empowerment of women.

[ECOSOC Agreed Conclusions 1997/2](#)<sup>13</sup> calls upon all entities of the United Nations system, making full use of the expertise and support of gender units or focal points to institutionalize mainstreaming of a gender perspective at all levels through specific steps, including through the improvement of tools for gender mainstreaming, such as gender analysis, the use of data

<sup>11</sup> A/RES/62/208. Triennial comprehensive policy review of operational activities for development of the United Nations system (paragraph 57)

<sup>12</sup> ECOSOC Resolution 2007/33. Mainstreaming a gender into all policies and programmes in the United Nations system (paragraph 4p). Mandate also in 2008/34.

<sup>13</sup> ECOSOC Agreed Conclusions 1997/2. Mainstreaming a gender perspective into all policies and programmes in the United Nations system.

disaggregated by sex and age and sector-specific gender surveys, as well as gender-sensitive studies, guidelines and checklists for programming.

#### **How to use the performance indicator:**

##### **What is meant by results?**

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

- Support to Member States and other counterparts, such as civil society, in achieving national, regional and international priorities, for example as set out in the SDGs. This can be through support to development and implementation of policies (i.e. normative results), capacity development, and technical cooperation. National ownership is paramount in this definition.
- Directly achieving results, in some cases working in partnership with non-state actors such as the ICRC, for example programming during conflict and emergencies, in line with the Humanitarian Principles.

##### **What does it mean to report on SDG targets for your entity?**

###### **Approaching requirements**

To approach requirements the entity’s RBM system should provide guidance on measuring gender equality and the empowerment of women results. To achieve this, RBM guidance should provide direction on how to develop gender-sensitive results statements and indicators at the strategic and programmatic levels.

In addition, to approach requirements for this Performance Indicator reports on the main strategic planning document should include systematic sex-disaggregation of data where such data are available, reliable and current.

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

When sex-disaggregated data is less available, e.g. in some conflict situations or countries with relatively weak statistical systems, this should be noted.

Entities are required to demonstrate in their annual UN-SWAP report the degree of sex-disaggregation in their main strategic planning document reports.

###### **Meeting requirements**

To meet requirements for this Performance Indicator, entity reporting to its Governing Body or equivalent on the main strategic planning document should include reporting on the main SDG-

linked gender equality and empowerment of women results. Results should be presented to the Governing Body or equivalent as part of reporting on the main strategic plan. In most entities reporting on the main strategic plan is on an annual basis, however this varies between entities.

Governance mechanisms vary across the UN system so entities should determine themselves to which Governing Body reporting should take place. However to meet requirements the reporting should be to a Governing Body or equivalent.

When rating Performance Indicator 2, all reports on performance since publication of the last central strategic planning document should be used.

In addition entities should include in their reporting to their Governing Bodies or equivalent their specific contributions to SDG 5 targets. This can include reporting concerning the ways in which the entity has supported the implementation of the SDG 5 targets as set out in *Transforming our Future*.

**Entities may report with a time lag of one year if their planning cycle requires this**, for example if the strategic plan report is not available until after their UN-SWAP report. Illustration: the first report on UN-SWAP 2.0 will be due January 2019 for reporting year 2018. Reporting on the strategic plan results for 2018 may not take place until June 2019, in which case the entity would report its strategic plan results from 2017.

In addition to meet requirements there should be systematic use of sex-disaggregated data in strategic plan reporting, defined as above.

#### **Exceeding requirements**

To exceed requirements for this Performance Indicator, a report should be presented to the entity's Governing Body or equivalent at least every two years on progress in implementation of the entity's gender policy or plan or equivalent. Reporting should be against the action plan and indicators included in the entity policy or plan or equivalent.

**Current practice and examples; note – current practice and examples has been requested from entities**



### 3. Programmatic results on gender equality and the empowerment of women

Approaches requirements	Meets requirements	Exceeds requirements
3a. Results on gender equality and the empowerment of women are consistently included in programmatic initiative planning documents	3b. Programmatic results on gender equality and the empowerment of women are met or on track to be met	3c. Programmatic results on gender equality and the empowerment of women are met or on track to be met  and  3ci. Programmatic initiatives consistently include transformative gender equality and the empowerment of women results

#### Mandate:

[ECOSOC Resolution 2005/31](#)<sup>14</sup> calls on the UN system to fully incorporate a gender perspective in programme budgets and multi-year funding frameworks and into all results-based budgeting processes.

#### What are programmatic results:

While Performance Indicator 1 refers to corporate level gender equality and the empowerment of women results contained in the entity main strategic planning document, this Performance Indicator refers to results of individual programmatic initiatives that are not directly captured in the main strategic planning document. Programmatic initiatives can be at the level of individual projects, or larger programmes which group a set of projects.

Examples of programmatic results include: support to implementation of an international convention; support to regional agreements on gender equality and trade; developing the capacity of counterparts; improving the working and living conditions of informal economy workers; and implementation of community programmes to halt gender based violence. These may be single year or less, or multi-year initiatives. Results from emergency and humanitarian programming can also be captured under this Performance Indicator.

<sup>14</sup> ECOSOC Resolution 2005/31. Mainstreaming a gender perspective into all policies and programmes in the United Nations system (paragraph 4c). Mandate also included in ECOSOC Resolution 2007/33.

## **How to use the performance indicator:**

### **What is meant by results?**

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

- Support to Member States and other counterparts, such as civil society, in achieving national, regional and international priorities, for example as set out in the SDGs. This can be through support to development and implementation of policies (i.e. normative results), capacity development, and technical cooperation. National ownership is paramount in this definition.
- Directly achieving results, in some cases working in partnership with non-state actors such as the ICRC, for example programming during conflict and emergencies, in line with the Humanitarian Principles.

This Performance Indicator should not be used as an alternative to reporting on Performance Indicator 1; entities should report on both Performance Indicator 1 and this Performance Indicator as appropriate. These results may be at the global, regional, country and/or community level.

**When mainstreaming gender into programmatic initiatives, entities should bear in mind the need for a dual approach to implementing the SDGs, as appropriate to their mandate, as well as the need to link targeted and mainstreaming approaches. Details on mainstreaming can be included in the narrative in the Table below.**

### **How your entity should report on programmatic results**

**To approach requirements** entities should include gender equality and the empowerment of women results consistently in programmatic initiative planning documents. “Consistently” means at least 80 per cent of programmatic initiative planning documents include these results. Entities will determine the evidence base for this Performance Indicator themselves dependent on their mandate. The source of data can be initiatives rated 2a or 2b on the entity gender marker if this is in place, or by another equivalent methodology.

**To meet requirements** entities should demonstrate through use of their internal reporting systems that results have been met or are on track to be met and provide evidence for this in their UN-SWAP reporting. Reporting against this Performance Indicator involves a review of programmatic initiatives which have been completed in the year previous to the UN-SWAP reporting year. For example for reporting year 2018 entities would review all programmatic initiatives completed in 2017. The reason for this is that all programmatic results for a given reporting year could not be captured by the following January. This is illustrated as follows:

- UN-SWAP reporting year: 2018
- Date UN-SWAP report for 2018 is due: January 2019
- Year from which programmatic initiatives should be reviewed: 2017

### **Transformative results**

Entities should determine themselves what constitutes a transformative result in the context of their mandate and/or policy on gender equality and the empowerment of women, and clearly outline why the result is considered transformative when rating as “exceeds” requirements.

The SDG Outcome Document<sup>15</sup> defines transformative results as follows:

We envisage a world of universal respect for human rights and human dignity, the rule of law, justice, equality and non-discrimination; of respect for race, ethnicity and cultural diversity; and of equal opportunity permitting the full realization of human potential and contributing to shared prosperity. A world which invests in its children and in which every child grows up free from violence and exploitation. A world in which every woman and girl enjoys full gender equality and all legal, social and economic barriers to their empowerment have been removed. A just, equitable, tolerant, open and socially inclusive world in which the needs of the most vulnerable are met.

Transformative results contribute to changes in social norms, cultural values, power structures and the root causes of gender inequalities and discrimination. The CEB includes tackling root causes as central to implementing the SDGs: “Preventing and resolving crises, addressing root causes, managing risk, building resilience and sustaining peace are shared objectives of the entire UN system.”<sup>16</sup>

“Consistent” inclusion of transformative results means that at least 80 per cent of programmatic initiatives include transformative results. The evidence base will be assessment from the entity gender marker or equivalent. In their reporting (see Table below) entities should demonstrate why they consider the results of their programmatic initiatives to be transformative.

Transformative results normally require significant time to be achieved. For UN-SWAP 2.0 reporting entities should demonstrate how they are on track to achieve the transformative result(s) if it/they has/have not already been achieved.

To define transformative results it is useful to consider the difference between a needs based and a rights based approach. For example, building a school or a clinic and providing services is a needs based approach, while organising women and men to demand access to services is a rights based approach. Similarly running shelters for women who have been subject to gender based violence is a needs based approach, while strengthening legislation to curb violence is a rights based approaches. The difference is the goal of ending gender inequality by changing its root causes, and the method of working.

UN Women is coordinating to develop a system-wide definition and examples of transformative results, to be ready for UN-SWAP 2.0 first reporting in January 2019.

### **Additional points**

For entities where all relevant work on gender equality and the empowerment of women is captured in the main strategic planning document this Performance Indicator should be rated as

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<sup>15</sup> *Transforming our World: the 2030 Agenda for Sustainable Development*, A/RES/70/1, para 8.

<sup>16</sup> *CEB common principles to guide the UN system’s support to the implementation of the 2030 Agenda for Sustainable Development*. April 2016.

“not applicable”. Entities not involved with directly supporting programmatic initiatives (e.g. UNOG, UNOV, UNON, DGACM, DM, OIOS, OAJ, OLA, Office of the United Nations Ombudsman and Mediation Services, Research Institutes, Training institutes) should rate this Performance Indicator as “not applicable”.

When reporting on the Performance Indicator entities can also report on any programmatic initiatives that are not covered elsewhere in the UN-SWAP. This would be in addition to the requirement to meet or exceed the Performance Indicator.

All entities are required to complete the following table.

1. Include the result(s) on gender equality and empowerment of women	Extract directly from the programmatic initiative planning document(s) and include the results statement here
2. Achievement in year/s	Note briefly progress towards the result, based on indicator(s) and/or measures in the programmatic initiative planning document(s)
3. Internal evidence base – include attachments and page numbers	E.g. reports to donors
4. Internal assessment of progress <u>using entity assessment methodology for reporting</u>	e.g. not on track, on track, achieved
5. UN-SWAP rating	Not Applicable, Missing, Approaches, Meets or Exceeds
6. Specific SDG target(s) and indicators to which result contributes	Online reporting system will include a drop down box with all SDGs. More than one SDG can be selected.
<p>7. Narrative on results to be completed by all entities:            Complement the UN-SWAP rating and brief achievements noted above with a narrative on results illustrating the high level result achieved (word limit: 800 words). Organize the narrative by the functional and/or thematic areas that will be included in the online reporting system. The functional and thematic typology is based on a mapping of the main GEEW work in entity strategic plans. Select a maximum of three functional and three thematic areas, and highlight which have been selected. Include both targeted and mainstreamed results here.</p> <p><b>Format:</b></p> <ol style="list-style-type: none"> <li>1. What was achieved?</li> <li>2. How was the result achieved and how were barriers to promotion of GEEW overcome (e.g. inter-agency cooperation, strong partnerships, leadership by Member State)?</li> </ol>	

**Current practice and examples:** requested from entities

#### 4. Performance Indicator: Evaluation

Approaches requirements	Meets requirements	Exceeds requirements
4a. Meets some of the UNEG gender-related norms and standards	4b. Meets the UNEG gender equality - related norms and standards and applies the UNEG Guidance on Integrating Human Rights and Gender Equality in evaluation during all phases of the evaluation	4c. Meets the UNEG gender equality - related norms and standards, applies the UNEG Guidance on Integrating Human Rights and Gender Equality in Evaluation during all phases of the evaluation, and conducts at least one evaluation to assess corporate performance on gender mainstreaming or equivalent every 5-8 years.

#### Mandate to integrate Gender Equality in Evaluation:

ECOSOC Resolution 2007/33<sup>17</sup> requests the United Nations system, including United Nations agencies, funds and programmes within their organizational mandates, to strengthen institutional accountability mechanisms, including through a more effective monitoring and evaluation framework for gender mainstreaming based on common United Nations evaluation standards.

Quadrennial Comprehensive Policy Review ECOSOC Resolution 67/226 notes the development of the **norms and standards** for evaluation by the **United Nations Evaluation Group** as a professional network, and encourages the use of these norms and standards in the evaluation functions of United Nations funds, programmes and specialized agencies, as well as in system-wide evaluations of operational activities for development. It *encourages* the United Nations development system to institute greater accountability for gender equality in evaluations conducted by country teams by including gender perspectives in such evaluations.

#### What is the UN-SWAP Evaluation Performance Indicator (UN-SWAP EPI)?

The UN-SWAP Evaluation Performance Indicator assesses the extent to which the evaluation reports of an entity meet the gender-related UNEG Norms and Standards and demonstrate effective use of the UNEG Guidance on integrating human rights and gender equality during all

<sup>17</sup>ECOSOC Resolution 2007/33. Mainstreaming a gender into all policies and programmes in the United Nations system (paragraph 4a).

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

### **What are the UNEG gender-related Norms, Standards and Guidance?**

The UNEG Norms and Standards for Evaluation<sup>18</sup> were updated in 2016<sup>19</sup> and for the first time, included a stand-alone Norm on human rights and gender equality. The new Norm on human rights and gender equality calls on evaluators and evaluation managers to ensure that these values are respected, addressed and promoted, underpinning the commitment to the principle of ‘No-one left behind’. Taking into consideration that the UNEG Norms and Standards are the normative framework that guided evaluation policies and guidance of UN entities, the adoption of the stand-alone Norm 8 on Human Rights and Gender Equality is paramount for ensuring it is institutionalized across the UN system. The following box outlines the specific UNEG gender-related norms and standards for evaluation.

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<sup>18</sup> For link to full list of UNEG Norms and Standards, please download at:

<http://www.uneval.org/normsandstandards/index.jsp>

<sup>19</sup> United Nations Evaluation Group (2016). Norms and Standards for Evaluation. New York: UNEG.

## **UNEG Human Rights and Gender Equality Related Norms and Standards**

### **Norm 8: Human rights and gender equality**

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

#### **Ethics Norm 6 and Standard 3.2:**

- *Norm 6 Ethics:* Evaluation must be conducted with the highest standards of integrity and respect for the beliefs, manners and customs of the social and cultural environment; for human rights and gender equality; and for the 'do no harm' principle for humanitarian assistance.
- *Standard 3.2 Ethics:* All those engaged in designing, conducting and managing evaluations should conform to agreed ethical standards in order to ensure overall credibility and the responsible use of power and resources.
- *Interactions with participants:* engaging appropriately and respectfully with participants in evaluation processes, upholding the principles of confidentiality and anonymity and their limitations; dignity and diversity; human rights; gender equality; and the avoidance of harm.

#### **Standard 3: Evaluation Competencies**

- *Standard 3.1 Competencies* – Those responsible for the design, conduct and management of evaluation are required to have core competencies related to: knowledge of the United Nations System; knowledge of United Nations principles, values, goals and approaches, including human rights, gender equality, cultural values, the Sustainable Development Goals and results-based management.
- The commissioners of evaluation should possess competencies related to 'ethics, human rights and gender equality in order to assess the knowledge of evaluators who are being commissioned to undertake an evaluation'.

#### **Standard 4: Conduct of Evaluations**

##### **Standard 4.7 Human rights-based approach and gender mainstreaming strategy**

The evaluation design should include considerations of the extent to which the United Nations system's commitment to the human rights-based approach and gender mainstreaming strategy was incorporated in the design of the evaluation subject. More specifically, the evaluation terms of reference should:

- Indicate both duty bearers and rights holders (particularly women and other groups subject to discrimination) as primary users of the evaluation and specify how they will be involved in the evaluation process;
- Spell out the relevant human rights and gender equality instruments or policies that will guide evaluation processes;
- Incorporate an assessment of relevant human rights and gender equality aspects through the selection of the evaluation criteria and questions;
- Specify an evaluation approach and methods of data collection and analysis that are human rights-based and gender-responsive;

- Specify that evaluation data should be disaggregated by social criteria (e.g. sex, ethnicity, age, disability, geographic location, income or education);
- Define the level of expertise needed among the evaluation team on human rights and gender equality, define responsibilities in this regard and call for a gender-balanced and culturally diverse team that makes use of national/regional evaluation expertise.

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

In composing an evaluation team, care should be taken to achieve an appropriate gender balance and geographical diversity so that different perspectives are reflected. When an evaluation requires access to the local population, factors to consider when recruiting local consultants include local language skills, cultural and gender sensitivities, ethnic or tribal affiliation and potential conflicts of interest.

#### **Standard 5: Quality**

*Standard 5.2* Quality control of the evaluation design: Evaluation design adequately reflects human rights and gender equality standard. *Standard 5.3* Quality control at the final stage of evaluation: The evaluation adequately addressed human rights and gender equality considerations and other relevant United Nations Principles and Standards.

#### **How to use the performance indicator:**

The use of the UNEG endorsed [UN-SWAP Evaluation Scorecard](#) provides a basis for harmonization across entities by assigning an overall aggregate score for reporting against the UN-SWAP Evaluation Performance Indicator's scaled rating system: missing, approaching requirements, meeting requirements, or exceeding requirements.

An entity should only report 'not-applicable' if there is no evaluation unit or evaluations conducted by the entity. However, if no evaluations were conducted in the previous year, the last rating completed should be used with a clear note indicating the year upon which the rating is based. This approach is being used to avoid confusion with those entities that do not have an evaluation unit/conduct evaluations and thus the indicator is 'not applicable'.

#### **What are the essential steps of the UN-SWAP EPI reporting cycle?**

The reporting process for the evaluation performance indicator includes completion of the UNEG endorsed UN-SWAP Evaluation Scorecard, Peer Learning Exchange on a voluntary basis, qualitative feedback from UN Women Independent Evaluation Service focal point, and a summary report of the reporting trends across UNEG members.

- A. Evaluation office appoints UN-SWAP EPI focal point
  
- B. Evaluation office chooses type of assessment
  - i. hires an external reviewer which could be part of a regular meta-evaluation process; or
  - ii. participates in a peer learning exchange facilitated through UNEG; or
  - iii. conducts an internal self-assessment.



Ideally, the UN-SWAP EPI criteria are integrated into the overall quality review processes of the evaluation office and meta-evaluation. An external assessor conducts the meta-evaluation to ensure an objective review of how the evaluations perform against the criteria. However, if the evaluation office does not have the funds to hire an external assessor, an internal review should be completed.

- C. The Evaluation office decides on the 1) type of evaluations (centralized or decentralized); and 2) number of evaluations (the total universe or sample) to be included in the assessment.
- D. Individual Evaluation Report Scoring against three criteria. Use the “Individual Evaluation Report Scoring Tool”.
- E. Conduct Aggregated or Meta Evaluation of evaluation reports using “UN-SWAP Meta Evaluation Scoring Tool”.
- F. Report against UN-SWAP EPI. Report through the entity’s UN-SWAP Focal Point via the UN-SWAP online reporting system.

The workflow for the UN-SWAP EPI and detailed guidance for reporting on this Performance Indicator can be found in the [UNEG endorsed Technical Note on the UNEG website](#).

### **What should be included in the UN-SWAP meta-review/evaluation?**

For the purpose of reporting against this indicator, UN entities should include in their UN-SWAP meta-review/evaluation only those reports that meet the UNEG definition for evaluation:

An evaluation is an assessment, conducted as systematically and impartially as possible, of an activity, project, programme, strategy, policy, topic, theme, sector, operational area or institutional performance. It analyses the level of achievement of both expected and unexpected results by examining the results chain, processes, contextual factors and causality using appropriate criteria such as relevance, effectiveness, efficiency, impact and sustainability. An evaluation should provide credible, useful evidence-based information that enables the timely incorporation of its findings, recommendations and lessons into the decision-making processes of organizations and stakeholders.

There are forms of assessments other than evaluations – for instance, self-assessments, appraisals, monitoring exercises, reviews, inspections, investigations, audits, and research. While useful in their own right, these assessments should not be included in the UN-SWAP EPI assessment. Although there are some exceptions, the evaluations included should have been finalized in the period being reported: annual reporting cycle January – December.

### **How many evaluation reports should be assessed for the UN-SWAP EPI reporting?**

Evaluations conducted or managed by central evaluation offices and decentralized evaluations can be included in the UN-SWAP EPI assessment. The general recommendation is to include all centralized/corporate evaluation reports. Entities with a decentralized evaluation function can either include the total universe of decentralized evaluations or a sample of evaluations, accurately reflecting the different types of evaluations. Those entities with established quality assessment and meta-evaluation systems are encouraged to include the total universe of evaluations for the year under review.

Those entities selecting a sample of evaluations for meta-review/evaluation should aim to select a representative sample so as to minimize sample bias. Selection criteria should include:

- Evaluation managed/conducted by both central evaluation offices and decentralized evaluations;
- Balance in terms of mid-term versus final evaluations;
- A mix of evaluation types: project, programme, policy, outcome, impact, evaluation of normative work, strategic, etc.;
- A balanced mix of topics, themes and sectors;
- Widespread geographical coverage;
- Interventions<sup>20</sup> where gender equality is the primary focus of the interventions and where gender is not the primary focus but mainstreamed throughout the intervention.

#### What is the UN-SWAP Evaluation Scorecard?

The UNEG endorsed [scorecard](#) is a tool aimed at assessing evaluation reports of an entity against three criteria. Through its fourth criterion, the scorecard also calls on all reporting UN system entities to conduct at least one evaluation to assess corporate performance on gender mainstreaming every 5-8 years<sup>21</sup>.

The first two criteria look at whether gender equality concerns were integrated in the evaluation scope of analysis and methods and tools for data collection and analysis.

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

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

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

The fourth criterion is focused on whether the entity has commissioned:

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<sup>20</sup> The term ‘interventions’ can be substituted by ‘policies’ or ‘strategies’ depending on the type of evaluation conducted to better reflect the nature and focus of institutional evaluations. Since the reporting tool is organized around standard evaluation practice it is in principle adaptable to different evaluation typologies (e.g. evaluation of normative work, policy, institutional evaluations, etc),

<sup>21</sup> The scope and title of evaluations to assess corporate performance on gender mainstreaming or an evaluation of GE policy/strategy differs from entity to entity. This might constitute but not limited to corporate evaluation of gender policy, gender mainstreaming strategy, plan or equivalent.

- At least one evaluation to assess corporate performance on gender mainstreaming or equivalent every 5-8 years.

The scope and title of evaluations to assess corporate performance on gender mainstreaming differs from entity to entity. This might constitute, but not be limited to, corporate evaluation of gender policy, mainstreaming, and strategy or equivalent”.

### How to score each evaluation criteria?

UN entities will use the UNEG endorsed UN-SWAP EPI Scorecard to assess each evaluation report using a four-point scale (0-3) rating system for each criterion ([tools are provided in the UNEG endorsed Technical Note and Scorecard](#)). Each of the scoring levels below corresponds to a numbered score:

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

**For an evaluation to “meet requirements” at least one of the criteria needs to be assessed at “fully integrated (3)”. It is important to note that decimals should not be used in the scoring of criteria; use only whole numbers. [How to score individual evaluation reports?](#)**

After reviewing the individual evaluation report for each criterion, a score is assigned as follows:

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

Since each evaluation report is assessed against three criteria, the maximum number of points that a report can obtain is 9 (3 points for each criteria). For example, if the score is 7 or above, the rating for the evaluation report would be “Meets Requirement”. Use Tool provided in Annex 1.

### How to calculate the meta-score?

Once you have filled in the scorecard for each individual evaluation (which requires a new worksheet in the excel spreadsheet) you are ready to calculate the aggregate score in the meta-evaluation scoring sheet. Scores for each individual evaluation are added up and divided by the total number of evaluation reports reviewed (see Annexes 2 and 3).

- 0-3,49 points = Misses requirement
- 3,50-6,49 points = Approaches requirement
- 6,50-9,0 points= Meets requirement

For example, if there are three evaluations in the meta-evaluation that have individual scores of 9, 8, and 6 respectively, the sum of the three scores would be 23, which divided by 3 (the number of evaluations under review) would give a mean score of 7.6 points. This would give an aggregate rating of “Meets Requirement”.

At a minimum, each UN system entity should aim to “meets requirement” related to this Performance Indicator in terms of integrating gender equality and empowerment of women (GEEW) in their respective evaluations. However, achieving this is only considered a starting point to fully integrating gender dimensions in evaluation processes, rather than an end in and of itself. UN entities should continually strive to “exceeds requirement” if the UN system is to truly benefit from gender-responsive evaluation practice.

*Examples of completed Scorecards on how to report against this performance indicator can be found [UN SWAP EPI Technical Note - Annex 1 and 2](#).*

#### **What is the criteria to “exceed requirement”?**

In order to 'exceed requirements' an entity's evaluation reports must 'meet requirements' and that entity must also conduct an evaluation of its corporate gender policies. In other words, for an entity to “exceed requirements,” the aggregate score of its evaluation reports must “meet requirements” by achieving a score of 6,5 points or higher AND it must have conducted a corporate evaluation of its corporate performance on gender mainstreaming. Otherwise, even though an entity conducts a corporate evaluation, but its reports don't meet requirements, its overall score cannot be in the exceed category. Or else, the maximum score for review of evaluation report/s would remain 9, achieving a rating of “meets requirement”.

- 9,01-12 = Exceeds Requirement

#### **Important considerations for the exceed requirement**

The UN-SWAP 2.0 covers a five-year period (2018-2022). However, any corporate gender mainstreaming/strategy/policy or equivalent evaluation conducted within the eight years preceding the period being reported is eligible for consideration. If the corporate evaluation was conducted more than eight years prior to the reporting period, then it is ineligible for consideration. This means that an entity must have conducted a corporate evaluation within the preceding eight years to achieve “exceeds requirement.”

For example, UNDP Independent Evaluation Office completed an evaluation of UNDP’s contribution to gender equality and women’s empowerment in 2015. This means that UNDP will keep the additional 3 points for the UN-SWAP 2.0 cycle for eight consecutive years, i.e until the 2022 annual reporting. An entity that completed a corporate evaluation on gender mainstreaming/policy/strategy in 2010, however, would not be entitled to the additional 3 points for its annual UN-SWAP EPI reporting in 2018 and beyond as the entity is due to undertake a new corporate evaluation.

Cognizant of the resource constraints by smaller entities to commission external evaluation of their respective gender policy/strategy, evaluations by external parties could be considered as

adequate to get the additional three points. This is to give those entities that are committed to improve their gender equality policy/strategy the opportunity to reach “exceed requirement”.

The addition of the “exceed category” of evaluations on gender mainstreaming or evaluation of gender equality policy/strategy provides an excellent opportunity for validating institutional progress, particularly given that UN-SWAP annual reports are based on self-assessment. The aim is to move towards a more comprehensive set of data across UN entity evaluations that are grounded in the established system of standards for measuring and tracking contributions to gender responsive and transformative results. This is highly relevant given the SDG agenda and because the revision of the UN-SWAP calls for more information on the outcomes of gender mainstreaming.

As a way to demonstrate compliance with the “exceeds requirement” criterion of the UN-SWAP EPI and whether the evaluation is still valid (i.e. less than 8 years old), the evaluation report of corporate performance on gender mainstreaming should be uploaded to the UN-SWAP online Reporting System annually.

*Examples of a completed Scorecard on how to report against this performance indicator can be found in Annex 2.*

### **Online Reporting System and qualitative feedback**

During annual UN-SWAP reporting, Evaluation Offices are responsible for conducting and sharing their aggregated/meta-evaluations and/or completed Scorecards with their organizational UN-SWAP Focal Point<sup>22</sup>, who is responsible for uploading these to the [web-based reporting system](#). Evaluation Offices are also encouraged to include examples of evaluations that demonstrate how entities are approaching, meeting or exceeding requirements for this indicator overall or for specific dimensions for upload to the web-based system.

Evaluation Office staff are encouraged to liaise with their UN-SWAP Focal Point and ensure that they are familiar with the web-based reporting system section for the evaluation indicator and familiarize themselves with the different areas for input which include the following<sup>23</sup>:

#### **Entity name**

- **Rating of the Performance Indicator:** The entity will need to input the final aggregate score obtained including the type of assessment (external, internal, peer learning exchange), the number and type of evaluations considered (centralized/corporate and decentralized), and sampling used.
- **Scoring:** The entity will input the scoring obtained which relates to the rating (Misses requirement; Approaches requirement; Meets requirement; Exceeds requirement).
- **Timeline:** The entity will indicate the timeline to meet requirements of this particular indicator.
- **Responsibility to follow up:** The entity will indicate the responsible unit/department to follow-up on this particular indicator.

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<sup>22</sup> All UN entities have designated UN-SWAP Focal Points who consolidate reporting against all UN-SWAP performance indicators and that enter the data in the online reporting system on behalf of their respective organizations. These colleagues are generally staff of the Gender Units/Gender Divisions of the entities.

<sup>23</sup> These are common areas of input that apply to all UN-SWAP indicators and are not restricted to the Evaluation Performance Indicator.

- **Resources needed:** The entity will indicate whether or not resources are needed to “meet requirement” on this particular indicator.
- **Comments by reporting entity:** This area provides space for qualitative inputs beyond the actual scoring of the indicator.

Beyond the provision of the actual Scorecard and the final aggregate scoring, UN entities are encouraged to provide qualitative inputs that outline challenges, barriers and efforts undertaken by the entities to strengthen gender-related issues in their evaluation function. There are elements which are very important in the evaluation process, beyond the analysis of the actual evaluation report, including the integration of gender-related considerations in the preparatory and follow-up phase of an evaluation process as well as evaluation policy, guidance and training packages. The evaluation report of the corporate gender mainstreaming/strategy/policy or equivalent should be uploaded to the UN-SWAP online Reporting System annually as proof of achieving “exceed requirement.”

## 5. Performance Indicator: Gender responsive auditing

Approaches requirements	Meets requirements	Exceeds requirements
5a. Consultation takes place with the gender focal point/ department on risks related to gender equality and the empowerment of women, as part of the risk based audit annual planning cycle	5b. Based on risks assessments at engagement level, internal audit departments have developed tools for auditing gender equality and the empowerment of women related issues (e.g. policy compliance, quality of reporting etc.) and apply these as appropriate in all relevant audit phases	5ci. Relevant gender equality findings are systematically presented in annual reports of the internal audit departments  <b>and</b>  5cii. Internal audit departments undertake a targeted audit engagement related to gender equality and the empowerment of women at least once every five years

### Mandate:

[A/RES/64/141](#)<sup>24</sup> encourages increased efforts by Governments and the United Nations system to enhance accountability for the implementation of commitments to gender equality and the empowerment of women at the international, regional and national levels, including by improved monitoring and reporting on progress in relation to policies, strategies, resource allocations and programmes, and by achieving gender balance

The CEB Policy on gender equality and the empowerment of women states: Enhancing oversight through improved monitoring, evaluation, audit and reporting procedures is critical to ensuring accountability of all United Nations staff, including senior and mid-level management, for their performance in gender mainstreaming.

### How to use the performance indicator:

Audit work plans are primarily risk-based to conform to the International Standards for Professional Practice of Internal Auditing, adopted by the Internal Audit Services of the UN Organizations. This requires that the internal audit services consider all significant entity risks in prioritizing their annual or multi-year audit work programmes.

<sup>24</sup>A/RES/64/141. Follow-up to the Fourth World Conference on Women and full implementation of the Beijing Declaration and Platform for Action and the outcome of the twenty-third special session of the General Assembly (paragraph 21).

Work planning documentation supporting the preparation of annual or multi-year audit work programmes record the extent to which the risks related to the achievement of gender equality and the empowerment of women in the organization's programmes are being managed. This preparatory analysis may indicate the need for including (in the audit work programmes) stand-alone audits of how the risks are managed across the organization, or the incorporation of coverage in broader scoped programme or project audits. Alternatively, the analysis may indicate, without the need for additional audit testing, that the risks are adequately managed.

To “**meet the requirements**”, organizations should have developed tools for auditing gender equality and the empowerment of women related issues (e.g. policy compliance, quality of reporting etc.) and apply these as appropriate in all relevant audit phases.

To “**exceed requirements**”, the internal audit service of the organization should systematically present gender equality findings in their annual report. Furthermore, internal audit services should carry out a targeted audit engagement concerning gender equality and the empowerment of women covering headquarters as well as select field offices (for organizations with field presence) at least once every five years. The targeted audit engagement would need to be designed bearing the issues and risks identified in regular audit activities of the organization as well as other relevant oversight activities implemented by the organization (e.g. evaluations, reviews).

For departments of the Secretariat, a common response for reporting on this Performance Indicator will be provided by OIOS to all Secretariat Focal Points prior to the reporting deadline.

**Current practice and examples:**

Auditor commitment to assessing gender mainstreaming is essential for a balanced judgement of risks related to gender equality in the Organization’s work. Current experience is that gender-mainstreaming issues are not well understood but can be addressed through awareness raising and capacity-building. However, the dearth of audit community information on how to ‘genderise’ audits is a constraint to developing meaningful assessments of how well the Organization is managing risks to its gender mandate. Where there is a clear gender link e.g. in input distribution, the auditor can evaluate how well the internal controls are functioning and identify residual risks. Where the gender link is not so apparent e.g. procurement, or internal controls are difficult to decipher e.g. advocacy, there are limited tools available to provide guidance to the auditor.

UNRIAS, recognizing of the lack of tools available to provide guidance to auditors, set up a Gender Interest Group at its September 2016 meeting to facilitate knowledge sharing, peer review and the development of tools and methodologies. The information in this section is provided by UNRIAS members.

The Office of the Inspector General (OIG) of the **Food and Agricultural Organization (FAO)** has undertaken the following relevant initiatives:



- Conducting an introductory gender seminar in 2013, involving the Gender Division, to introduce gender terminology and concepts to OIG staff, and to identify issues affecting successful achievement of the gender mandate in FAO.
- Providing an annual briefing to OIG staff on the gender work carried out during the year, raising issues and concerns for general discussion;
- Publishing internally a quarterly 'Newsmail' which provides an audit perspective on various aspects of the organization's gender work gathered from a variety of sources. It offers links to information sources that auditors might find useful when researching audit topics to assess whether gender is an important consideration for the topic to be audited. The 'Newsmail' also shares OIG staff views on gender through interviews and gives guidance and 'tone from the top' support to audit work on gender topics.
- A gender component was developed in the standard audit programme for decentralized offices. In this the second version of the audit programme, the Auditor assesses observations against three performance criteria, which focus on the extent to which the Representation includes gender in its advocacy, programme planning and operations, and, its resource mobilization activities. The intention is to use this information, together with an annual survey of decentralized offices, to assess risks to achieving gender mainstreaming objectives. The assessment will be shared with management and also used to guide planning for future gender sensitive audit work.
- OIG undertook a baseline audit on gender mainstreaming that looked at how the organization incorporates gender issues in its planning processes.

The **International Labor Organization (ILO)** Internal Audit Service, in consultation with its Gender Equality and Non-discrimination branch (GED), agreed that when conducting audits, the Team reviews the Decent Work Country Programme (DWCP) for references to gender issues. If such issues are included the Team then checks that the quality assurance mechanism (QAM) has been followed, which goes through GED for their inputs on gender and non-discrimination. In this way the audit team is testing the internal quality control mechanism that should ensure the strategic DWCP document includes priorities concerning gender issues. If it turns out GED had not been consulted as part of the QAM processes they will contact the office directly to re-evaluate the DWCP with the aim of including or strengthening references to gender issues. It is early days for this approach but the internal audit service hopes that it will give an indication of how seriously gender issues are taken and adopted in DWCPs and thereafter built into programmes and projects.

**UNICEF's** Internal Audit & Investigations Division has included gender equality and the empowerment of women in the audit universe as a separate "auditable unit" in the 2013 annual work plan approved by the Executive Director. The auditability was rated as medium risk for the following reasons:

- UNICEF has had its Gender Parity and Equality Policy – The Gender Balanced Workplace, in place since 2007 (CF/EXD/2007-007)
- Gender parity is an MTSP Key Performance indicator among senior levels (P5+) and is monitored by UNICEF's Executive Board.

- The Senior Staff Review and Rotation Exercise reviews analysis of gender parity in the course of its deliberations on making senior staff appointments.

The high level assessment did not identify any major uncontrolled risks requiring prioritization for audit. Sources of information include annual reports of relevant HQ Divisions.

The **World Food Programme (WFP)** Office of the Inspector General (OIGA) conducts robust consultations with WFP's gender office and senior management during the annual risk assessment exercise to identify key risks related to gender in WFP's operations and processes. OIGA has mainstreamed a gender audit programme and includes gender in engagement specific risk assessments. The gender audit programme highlights the various gender related risks that are relevant in country office audits, from an HR and programmatic perspective. Inclusion of gender as a key process in the audit universe as of 2015. Inclusion of specific measurable actions in the Gender Accountability Framework. OIGA in collaboration with the Gender Office (GEN) also undertook a Participatory Gender Audit (PGA) in 2016 covering one Headquarters division (Human Resources Division), one Regional Bureau (Cairo), one Liaison Office (Amman) and two country offices (Sudan and Jordan). The results of the audit will be used as a baseline for further mainstreaming gender into corporate and engagement level risk assessments for audit planning purposes. This initial PGA has been carried out by a team that included internal staff (Gender Office and Internal Audit), external consultants and gender experts. This will be useful in the performance of risk assessments for audit planning purposes.

ITU Internal Audit conducted a GEM audit in 2017 with the objective of providing to the ITU Secretary-General a *reasonable assurance* that there is adequate governance and risk management with respect to GEM, and that the internal controls are effective for the implementation of GEM policy and activities. ITU Internal Audit includes (since Q3\_2017) *the gender considerations of the area/process being audited* as one of the audit objectives at each audit engagement level.

## B. Institutional strengthening to support achievement of results

6. Performance Indicator: Policy and Plan		
Approaches requirements	Meets requirements	Exceeds requirements
6a. Gender equality and women's empowerment, including gender mainstreaming and the equal representation of women, policies and plans in the process of being developed	6b. Up-to-date gender equality and women's empowerment, including gender mainstreaming and the equal representation of women, policies and plans implemented	6ci. Up to date gender equality and women's empowerment, including gender mainstreaming and the equal representation of women, policies and plans implemented  and  6cii. Specific senior level mechanism in place for ensuring accountability for promotion of gender equality and the empowerment of women

### Mandate:

[ECOSOC Agreed Conclusions 1997/2](#)<sup>25</sup> calls on all entities of the United Nations system, making full use of the expertise and support of gender units or focal points, to institutionalize mainstreaming of a gender perspective at all levels through specific steps, including by the adoption of gender mainstreaming policies and the formulation of specific mainstreaming strategies for sectoral areas.

[A/RES/64/141](#)<sup>26</sup> requests the Secretary-General to review and redouble his efforts to make progress towards achieving the goal of 50/50 gender balance at all levels in the Secretariat and throughout the United Nations system, with full respect for the principle of equitable geographical distribution, in conformity with Article 101 paragraph 3, of the Charter of the United Nations, considering, in particular, women from developing and least developed countries, from countries with economies in transition and from unrepresented or largely underrepresented Member States, and to ensure managerial and departmental accountability with respect to gender balance targets, and strongly encourages Member States to identify and regularly submit more women candidates for appointment to positions in the United Nations system, especially at more senior and policymaking levels, including in peacekeeping operations.

<sup>25</sup> ECOSOC Agreed Conclusions 1997/2. *Mainstreaming a gender perspective into all policies and programmes in the United Nations system.*

<sup>26</sup> A/RES/64/141. *Follow-up to the Fourth World Conference on Women and full implementation of the Beijing Declaration and Platform for Action and the outcome of the twenty-third special session of the General Assembly* (paragraph 21)

[A/67/347](#)<sup>27</sup> recommends that Senior managers at all entities should be held accountable, in accordance with the relevant and applicable procedures, for their responsibility in the implementation of the prescribed measures through, inter alia, enhanced performance objectives; management compacts; appointment of focal points at appropriately high levels, with terms of reference, access to management and minimal 20 per cent allocation of time to associated functions; regular use of exit interviews and surveys of management and staff to identify organizational culture barriers, causes of separation and remedial measures and; full implementation of the United Nations System-wide Action Plan on Gender Equality and the Empowerment of Women, the unified accountability framework for the Organization's work on gender equality and the empowerment of women, unanimously endorsed by CEB and welcomed by the Economic and Social Council, and mandatory annual reporting by entities;

#### **How to use the performance indicator:**

**Please note:** To meet the requirements for this indicator, entities must have both up-to-date gender equality and women's empowerment policies/plans that include equal representation of women *and* gender mainstreaming. These can be separate documents or can be included together in one document. Entities with a mainly support or administrative function (e.g. UNOG, UNOV, UNON, DGACM, OLA, OAJ, Office of the United Nations Ombudsman and Mediation Services) should focus their efforts on policies on the equal representation of women and organizational culture. As Performance Indicator 12 also includes a focus on equal representation of women plans, entities are encouraged to report on equality representation of women policies under Performance Indicator 6.

#### **Gender equality and the empowerment of women policies/plans**

Policy titles differ from entity to entity; in order to meet the requirement a policy, plan or equivalent should be in place. To meet requirements entities must have in place that include:

- a) Implementation strategy
  - implementation plan;
  - time frame for implementation;
  - resources needed for implementation; and
  - accountability of different levels of staff, including senior managers, for the promotion of gender equality and the empowerment of women, which is inclusive gender mainstreaming, gender-targeted interventions and equal representation of women in staffing clearly set out. Accountability measures should include assessment in performance appraisal and/or senior manager compacts that specify their accountabilities.
- b) Monitoring and evaluation of the policy and action plan, with timeline.
- c) Monitoring takes place as planned.

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<sup>27</sup> *Improvement in the Status of Women in the United Nations System. Report of the Secretary-General.*

- d) Evaluation takes place as planned.
- e) Results of monitoring and evaluation are fed back into programming.

“Up-to-date” refers to a policy developed, reauthorized or revised, in the last five years. UN entities are required to monitor progress towards, and achievement of, the Performance Indicator. Policies developed prior to 2018 should follow the Technical Notes from UN-SWAP 1.0.

In addition entity policies should include a section which outlines in detail the main GEEW results, tied to the SDGs, that the entity intends to achieve, and how these results will be tracked and reported. This can be an elaboration of the main strategic planning document.

UN Women has prepared a [Guidance Note](#) on the preparation of gender equality and the empowerment of women policies and strategies to ensure alignment with the UN-SWAP.

### **Policies for the Equal Representation of Women**

To meet the requirements on the equal representation of women, UN entities need to demonstrate that they have implemented policies that support women’s representation at the different levels of the organization. Ideally, these policies will be underpinned by a comprehensive strategy for achieving gender balance, which is linked to performance targets in the human resources and corporate strategies.

#### **Current practice and examples:**

Gender equality and the empowerment of women policies constitute a key driver of institutional change. Accordingly, the UN-SWAP has focused significant attention on policy development. The importance of gender policies cannot be overstated. Entities with policies are, on average, "meeting" or "exceeding" double the number of UN-SWAP Performance Indicators than those without. It is expected, therefore, that a UN-SWAP aligned policy will greatly enhance an entity’s contribution to gender equality and the advancement of women by strengthening accountability and providing direction for the achievement of all the UN-SWAP Performance Indicators.

In addition to the supporting documentation for this indicator below, which has been collected from UN-SWAP reporting submissions, UN Women has developed a repository of policies, strategies and action plans on gender mainstreaming. This repository is updated by the UN System Coordination Division of UN Women and can be found at:

<http://www.unwomen.org/en/how-we-work/un-system-coordination/gender-mainstreaming>.  
Contributions can be sent to: [un.coordination@unwomen.org](mailto:un.coordination@unwomen.org)

### **Senior Manager Accountability Mechanisms**

**To exceed the requirement**, a senior manager accountability mechanism, such as a senior manager compact or a steering committee, needs to be in place.

UNDP has instituted a Gender Steering and Implementation Committee (GSIC), which is the highest decision-making body on gender equality and the empowerment of women within UNDP with responsibility for policy setting and oversight of all offices. Chaired by the Administrator, the GSIC is the main institutional mechanism by which the UNDP Administrator builds senior leadership and commitment for gender equality and the empowerment of women.

For 2013, the Secretariat’s Senior Managers’ Compacts included as a performance measure: “Full compliance with UN SWAP baseline reporting requirements.” The Senior Managers’ Compact is an accountability tool used by the Secretary-General to communicate the priorities of the Organization and of individual senior managers during a given year and to evaluate senior managers’ performance at the end of each compact cycle. They set specific programmatic objectives and managerial targets for a given year and outline clear roles and responsibilities at the highest levels. At the end of each review period, the Management Board assesses each senior manager’s performance against the targets set in his/her compact and presents its findings and recommendations to the Secretary-General, who takes action as necessary. The Board also sends a letter to each senior manager noting his/her accomplishments and shortcomings, and publishes the detailed assessment results on iSeek. Each senior manager is asked to submit an action plan to address his/her weaknesses. Innovative approaches are shared with the other senior managers in order to strengthen individual as well as organizational performance.

The objective and its accompanying expected accomplishment and performance measure is below:

Objective	Expected accomplishment	Performance measure
To accelerate efforts to advance the agenda for achieving gender equality and the empowerment of women	Implementation of the UN System-wide Action Plan for Gender Equality and the Empowerment of Women (UN SWAP).	Full compliance with UN SWAP baseline reporting requirements.

UNIDO’s Gender Mainstreaming Steering Board (GMSB) oversees the implementation of UNIDO’s gender strategy. It is chaired by the Director General and comprises the three Managing Directors (i.e. UNIDO’s Executive Board). The authority and responsibility for achieving gender mainstreaming in UNIDO lies with the Director General.

**Equal Representation of women policies good practice: requested from entities**

## 7. Leadership

Approaches requirements	Meets requirements	Exceeds requirements
7a. Senior managers internally champion gender equality and the empowerment of women	7bi. Senior managers internally and publicly champion gender equality and the empowerment of women	7ci. Senior managers internally and publicly champion gender equality and the empowerment of women  <b>and</b>  7cii. Senior managers proactively promote improvements in UN-SWAP Performance Indicators where requirements are not met/exceeded

### How to use this Performance Indicator

The CEB system-wide policy on gender equality and the empowerment of women (CEB/2006/2) notes that the members of the CEB: “commit ourselves to providing strong leadership within our organizations to ensure that a gender perspective is reflected in all our organizational practices, policies and programmes.” Almost all UN entity gender-related evaluations and reviews over the last decade agree on the importance of senior manager leadership for the promotion of gender equality and the empowerment of women, as well as the leadership gap that exists. The CEB policy was formulated to support filling this leadership gap. While the entire UN-SWAP Framework focuses on accountability, this Performance Indicator focuses more directly on ways in which senior managers can directly promote gender equality and the empowerment of women.

In accordance with the United Nations Leadership Model (2016)<sup>28</sup> UN senior management must lead in a manner that is:

**Norm-based**, in that it is grounded in UN norms and standards, beginning with the Charter itself, which specifies gender equality;

**Principled**, defending its norms and standards and their application without discrimination, fear, or favour even—especially-- in the face of pressure and push-back from powerful actors;

**Accountable**, mutually within the system, to beneficiaries and to the public beyond, including specific accountability to women and girls;

**Multi-Dimensional**, integrated, intersectional and engaged across pillars and functions;

**Transformational**, of ourselves and those we serve, challenging stereotypes and “business as

<sup>28</sup>UNDG (2016) “The UN Leadership Model” ..

usual”, and willing to interrogate implicit biases in our own thinking and behaviour; and

**Collaborative**, within and beyond the UN system.

Senior managers are defined as personnel of grade D1 and above levels or equivalent, and reporting on the Performance Indicator should have a particular focus on the Head and Deputy Head of entity or equivalent.

To internally and publicly champion gender equality and the empowerment of women senior leaders should focus on both the entity and programming levels.

**To approach requirements** for this Performance Indicator senior managers and in particular the Head and Deputy Head(s) of entity should do at a minimum the following:

- Articulate a vision of the ways in which the entity will support the promotion of gender equality and the empowerment of women, and ensure that organizational goals reflect this vision. The evidence base will for example include discussions in town hall meetings or equivalent, internal memos and instructions, and gender equality and the empowerment of women being included on a regular basis on the agenda of the senior management team meeting or equivalent.
- Actively challenge gender bias within the entity. This should be through active support to enforcement of organizational culture policies, challenging unconscious bias, and acting as a role model, including through the International Gender Champions. The evidence base will be for example: follow-up through internal memos or equivalent where organizational culture policies are not met; the number of unconscious bias sessions/workshops attended by senior managers; and 360 degree surveys/feedback or equivalent.

To meet requirements senior managers and in particular the Head and Deputy Head(s) of entity should, in addition to the internal championing for approaching requirements, demonstrate the following:



- Ensuring that accountability mechanisms are enforced so that the entity can reach equal representation of women in staffing in particular at the P4 or equivalent level and above.
- Articulate in a public speech or equivalent, other than a speech on International Women’s Day, a clear vision of how the entity gender equality and empowerment of women mandate will be achieved. This should go beyond references to women and men to specific reference to how the entity will address gender inequalities. The evidence base will be an analysis of speeches, with a representative sample taken when appropriate and to be determined by entities.
- Prioritize funds for achieving the entity’s gender equality and the empowerment of women mandate through advocating for additional funds, and/or reallocating internal funds, consistent with decision-making authority. The evidence base will be Governing Body meeting minutes, and resource targeting and allocation figures, as captured in the entity’s gender marker system.

To exceed requirements senior managers should review progress against the UN-SWAP performance on at least an annual basis, and ensure that adequate budgets are allocated and there is adequate staff capacity to address under-performing UN-SWAP Performance Indicators.

**Current practice and examples:**

In his remarks to the General Assembly on his Five-Year Action Agenda “The Future We Want” the previous UN Secretary-General included working for women and young people as one of his priority themes for his second term. The Secretary-General also signed and sent persistent and consistent communication solely on the issue of the representation of women and organizational culture to his entire senior most staff, Head of Departments, and Offices globally.

The Secretary-General annually chairs a regular meeting at the highest level (Policy Committee) dedicated to gender equality and the empowerment of women issues or to particular topics of relevance to organizational culture. Decisions emanate from these and are duly followed up on an annual basis. The Deputy Secretary-General in the Secretariat, as Chair of the Change Management Committee, regularly placed gender related items on the Change Management Agenda, elevating the issue of Flexible Work Arrangements to an institutional campaign under her watch.

UNAIDS senior leadership champions the **UN-SWAP** through monitoring of progress and **strategic efforts to both sustain and further progress** in meeting and exceeding its performance indicators. This is facilitated by a cross-organizational, multidisciplinary working group which includes technical gender experts, strategic planning, monitoring and evaluation and human resources experts. The working group reports directly to the Deputy Executive Director, Management and Governance. Senior leadership reports annually to the UNAIDS Programme Coordinating Board (Governing Body) on UN-SWAP performance and also shares UN-SWAP results with all staff, hence increasing transparency and accountability at all levels of the organization.

**Internally**, UNAIDS senior leadership champions gender equality and the empowerment of women **at the highest level**, including through strong endorsement and ongoing monitoring of

progress of the UNAIDS Secretariat Gender Action Plan. Quarterly staffing reports are sent to directors to provide up to date information on progress towards reaching gender parity at all levels. UNAIDS regularly includes this issue on the agenda of senior management retreats. Specific aspects of gender equality and the empowerment of women are included in regular Management Updates sent to all staff, as well as staff meetings. In addition, on International Women's Day a dedicated update on progress in meeting the Gender Action Plan targets, including areas where further efforts are needed, is shared with all staff.

UNAIDS senior leadership **demonstrably champions gender equality and the empowerment of women publicly**, through active engagement in initiatives including the International Gender Champions Geneva, as well as HeForShe. UNAIDS also promotes support for the UN-SWAP and gender issues at the interagency level, including in the HLCM, HLCP, UNDG and CEB, as appropriate.

## 8. Performance Indicator: Gender responsive performance management

Approaches requirements	Meets requirements	Exceeds requirements
8a. The entity's core values and/or competencies being revised to include assessment of gender equality and the empowerment of women	8b. Assessment of gender equality and the empowerment of women integrated into core values and/or competencies for all staff, with a particular focus on levels P4 or equivalent and above	8ci. Assessment of gender equality and the empowerment of women integrated into core values and/or competencies for all staff, with a particular focus on levels P4 or equivalent and above including decision making positions in all Committees, Missions and Advisory Bodies  and  8cii System of recognition in place for excellent work promoting gender equality and women's empowerment

### Mandate:

[ECOSOC Resolution 2006/36](#)<sup>29</sup> calls on the UN system to strengthen accountability systems for both management and staff, through, inter alia, the inclusion of objectives and results related to gender mainstreaming in personnel work-plans and appraisals.

[A/RES/59/184](#)<sup>30</sup> requests the Secretary General and the executive heads of the organizations of the United Nations system to ensure that recruitment strategies, promotion and retention policies, career development, justice, anti harassment and sexual harassment policies, human resources and succession planning, work/family policies, management culture and mechanisms for managerial accountability accelerate the goal of 50/50 gender distribution.

### How to use the performance indicator:

To meet the requirements of this Performance Indicator, gender equality and the empowerment of women needs to be integrated into the core values and/or competencies, or equivalents, to be demonstrated by staff. The equal representation of women and men at all levels of the UN entity should be a core value.

<sup>29</sup> ECOSOC Resolution 2006/36. Mainstreaming a gender perspective into all policies and programmes in the United Nations system (paragraph 4).

<sup>30</sup> GA Resolution 2005 Globalization and its impact on the full enjoyment of all human rights.

In its [Resolution 63/251](#)<sup>31</sup>, the General Assembly requested the International Civil Service Commission to identify means of rewarding performance. While few performance rewards exist in the UN system, they can be introduced to promote gender equality and the empowerment of women. To “exceed requirements” for this Performance Indicator, there needs to be a system in place for recognizing excellent performance in promoting gender equality and the empowerment of women, for example a gender equality award or allocation of additional resources to units which display excellent performance.

In relation to equal representation of women and men, the basic requirement is that respect for diversity is built into the corporate competencies and ethical standards of all job descriptions and vacancy announcements. It is expected that responsibility for the achievement of equal representation of women and men is specified through clear and measurable targets outlined in competencies associated with senior managers and/or human resource managers, which are then measured and enforced through related accountability mechanisms, such as gender balance strategies, manager compacts and scorecards, or enhanced performance objectives.

*For departments of the Secretariat, a common response for reporting on this Performance Indicator will be provided prior to the reporting deadline.*

To exceed requirements, performance assessment should include decision-making positions in all Committees, Missions and Advisory Bodies, by which is meant any senior level bodies such as Advisory Bodies to the Secretary-General. This does not refer to regular staff missions or committees. A system of recognition should also be in place for excellent work promoting gender equality and women’s empowerment

#### **Current practice and examples**

UNDP includes as a core competency for all staff: “Ensures an organizational environment that respects diversity, gender equality and cultural sensitivity and fosters openness to diverse perspectives”. Starting from 2009, all UNDP managers are required to report on one mandatory key result on gender equality and gender parity in the UNDP Result Competency Framework.

UNFPA’s Strategic Framework on Gender Mainstreaming and Women’s Empowerment and the Strategic Plan is included in the policy and procedures manual of UNFPA. Gender equality is one of the core values specified in all vacancy announcements and specific requirements related to gender are detailed in programme and operations vacancies at UNFPA.

FAO has included gender equality issues in its Performance Evaluation Management System, for Assistant Director-Generals, Directors and Gender Focal Points in Decentralized Offices and at HQ. This includes both mandatory activities and a set of performance indicators against which to measure progress.

UNICEF’s Competency Framework specifically and explicitly covers gender for all staff. The Performance Management system assesses performance against the Competency Framework. Job Descriptions of senior positions (and others) explicitly include gender, against which performance is assessed.

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<sup>31</sup> *United Nations Common System: Report of the International Civil Service Commission.*

As of January 2013, 100% of OHCHR job openings include gender-sensitivity as a competency under Professionalism (not Diversity) with the following formulation: "Takes responsibility for incorporating gender perspectives and ensuring the equal participation of women and men in all areas of work." Accordingly interview panels are requested to systematically assess the gender-sensitivity of candidates. The OHCHR Gender Equality Strategic Plan (2014-17) foresees that 100% of staff should have a goal, action or success criteria in their performance evaluation related to their gender integration responsibility in their annual ePerformances evaluation (staff performance assessment system).

UNHCR's revised 2012 Competency Framework mainstreams gender in several competencies: i. The value "Respect for Diversity" has behavioral indicators on supporting gender equality, including among staff, and developing skills in Age Gender and Diversity analysis. ii. The competency on "Communication" includes adapting communication style to an understanding of diversity, including gender. iii. The competency on "Judgment and Decision Making" has as an indicator on taking a stand on the principles of gender equality and empowerment. iv. The managerial competency on "Managing Resources" includes planning and using resources in accordance with the gender equity policy. v. The cross-functional competency "Negotiation and conflict resolution" refers to acknowledging Age Gender and Diversity differences.

***Examples of systems of recognition:***

The [UN Public Administration Programme](#) includes a public service award for promoting gender responsive delivery of public services, which started in 2011, and is judged against seven areas, including responsiveness to the needs of women, and accountability in service provision to women. The overall purpose of the United Nations Public Service Awards is to recognize the institutional contribution made by public servants to enhance the role, professionalism, image, and visibility of the public service. The award is the most prestigious international recognition of excellence in public service. Award winners are recognized during UN Public Service Day on the 23rd June at an event held in New York.

UNHCR has a system of recognition in place for promoting gender equality: the Team Achievements in Gender Award. For this Award, Representatives are invited to nominate country teams that have undertaken exemplary work with refugees, IDPs and returnees to promote gender equality mainstreaming and women's empowerment. The names of the teams are then announced by the Deputy High Commissioner.

UNDP is implementing a programme designed to certify and recognize the performance of Country Offices/Units and its managers in advancing gender equality and the empowerment of women. The UNDP Gender Equality Seal is a capacity building and quality assurance mechanism which evaluates both accountability and the development of gender equality and the empowerment of women initiatives. It is a corporate certification process that recognizes good performance of UNDP offices/units to deliver gender equality results. It offers three levels of certification: Gold, Silver, and Bronze. The Gender Equality Seal initiative aims to accelerate gender equality in the workplace and generate data and evidence to improve and demonstrate efficiency and results.

In 2013, IFAD implemented Gender Awards for Project Performance. The Gender Award is an initiative of IFAD management, implemented by the gender desk in the Policy and Technical

Advisory Division. It recognizes the efforts and the achievement of IFAD-supported projects in delivering on the strategic objectives of the IFAD's policy on Gender Equality and Women's Empowerment. The purpose is to recognize the best performing projects in addressing gender inequalities and empowering women in each region, providing them with visibility and recognition throughout IFAD and its network of partners.

## 9. Performance Indicator: Financial resource tracking

Approaches requirements	Meets requirements	Exceeds requirements
9a. Working towards a financial resource tracking mechanism to quantify disbursement of funds that promote gender equality and women's empowerment	9b. Financial resource tracking mechanism in use to quantify disbursement of funds that promote gender equality and women's empowerment	9ci. Financial resource tracking mechanism in use to quantify disbursement of funds that promote gender equality and women's empowerment and 9cii. Results of financial resource tracking influences central strategic planning concerning budget allocation

### Mandate:

Several ECOSOC resolutions<sup>32</sup> have either called upon or requested the United Nations system, including its agencies, funds and programmes within their respective organizational mandates, to continue working collaboratively to enhance gender mainstreaming within the UN system, including by tracking gender-related resource allocation and expenditure, including through the promotion of the use of gender markers.

### How to use the performance indicator:

To meet the requirement for this Performance Indicator, UN entities should have a financial tracking system in place to quantify funds disbursed for the promotion of gender equality and the empowerment of women.

To exceed the requirement, there needs to be an explicit link between the resource tracking mechanism and UN entity budgeting processes. For example, in the case of the Inter-Agency Standing Mechanism Gender Marker, gender codes appear in the OCHA Financial Tracking System and donors interested in investing in gender-responsive projects can select projects which are well designed in terms of advancing gender equality. In the case of UNDP, the Gender Marker is intended to lead to increased investment in gender equality issues as staff become more aware of, and interested in, how to undertake gender-responsive planning and budgeting.

Gender marker systems not specifically tied to tracking resources, but rather to assessing overall programme performance, should be rated as approaching requirements.

<sup>32</sup> [ECOSOC resolutions](#) 2011/6 para 7d, 2012/28 para 8d, 2013/16 para 10d , 2014/2 para 6f, 2015/12 para 14i, on Mainstreaming a gender perspective into all policies and programmes in the United Nations system.

**Current practice and examples:**

The UNDG has produced a [Gender Equality Marker Guidance Note](#) and its companion [Financing for Gender Equality and Tracking Systems - Background Note](#). The former explores what a system-wide report on allocation and tracking of resources could include and the responsibilities of each entity to develop systems that will enable them to contribute to this data set. The *Background Note* also highlights the importance of agreement on minimum standards for institutional gender equality markers and stresses the need for clarity and transparency in reporting. The *Guidance Note* sets out common principles and standards for gender equality marker systems that track and report on allocations and expenditures for gender equality and women's and girls' empowerment. It is intended as a guide to the development of an effective and coherent approach for tracking resources that support gender equality results with agreed upon parameters and standards inside the UN system. This will allow for UN system-wide reporting with regard to funds contributing to promoting gender equality. The *Guidance Note* is also intended to provide direction for individual entities instituting or improving their gender equality marker systems.

There are a number of gender marker systems in place in the UN system that meet the requirement for this Performance Indicator.

These gender marker systems usually rate interventions in a similar way to the [OECD-DAC Gender Equality Policy Marker](#), and in their coding system provide an indicative overview of resources allocated to promotion of gender equality and the empowerment of women. For example, the [Inter-Agency Standing Committee Gender Marker](#) is required in all Consolidated Appeals Processes and other humanitarian appeals and funding mechanisms. This uses a 0-2 scale for projects, where:

- 0 means no reflection of gender
- 1 means there are gender dimensions in only one or two components
- 2a means that there is potential to contribute significantly to gender equality, and
- 2b means the project's principal purpose is to promote gender equality

While for projects rated 2b close to 100 per cent of financial resources may be assumed to promote gender equality, no similar calculation can be made for projects rated 1 or 2a under this gender marker system, which is why assessment of resource disbursement is indicative only. In 2012 this marker began allocating financial amounts to each category, so the marker is being used for both planning and reporting purposes. UNDP and UNICEF are using similar systems, although the unit of analysis differs – outputs in the case of UNDP, and intermediate results in the case of UNICEF. UNDP rolled out its gender marker in 2009, and has been a pioneer entity in implementing the gender marker and providing advice and technical support to UN entities in this area.

Gender marker systems are also being developed in the UN system, which are tied to percentage allocations of resources to promote gender equality and the empowerment of women – see the example of the Peacebuilding Fund under performance indicator 9 on resource allocation. These systems will be more related to determining resource allocation than tracking resources already disbursed, which is why they are referred to under Performance Indicator 9. These percentage based systems should also be rated as meeting requirements under Performance Indicator 8.



UNICEF has developed the Results Assessment Module (RAM) in the VISION Performance Management System through which the status and likelihood of achieving results, the challenges, and any revisions to mitigate and/or to overcome them are assessed during mid-year, annual, mid-term and end of cycle reviews. These reviews record analytical statements. The statements make reference the extent to which the gender equality objectives of results and their associated indicators are being achieved, particularly in relation to results rated 2 (significant) or 3 (principal). If bottlenecks and barriers to achieving the targets on gender equality are identified through the RAM adjustments are made to address these challenges. In addition, as of 2012, the IASC Gender Marker has been a mandatory part of CAPS OLS system, and all CAP projects must be scored. Training on GEM was carried out in collaboration with GenCap on GEM use have been conducted at CO, RO and HQ level with UNICEF colleagues.

UNFPA's gender marker is mandatory and captured for all programme funds. Management funds are presently not included. A pilot phase was carried out in 2012 after which the coding was adjusted from a 3 to a 4-point scale. Initially UNFPA settled on a 3 point scale, however, the pilot revealed the limits of 3 points scale. Subsequently UNFPA opted for 2a/2b (not 2 and 3) because it did not want to create the impression that 3 was superior to 2. The 2a/2b also gave more granular information which was missed with a 3-point scale.

The marker was implemented in UNFPA's ERP system (Atlas-PeopleSoft) in 2014 as part of the rollout of the Global Programming System (GPS) which is a customized (bolt-on) module built within its ERP. When creating electronic workplans in GPS, each workplan activity is tagged to Gender Marker and other attributes such as SP output & Outcome, PC outputs, Intervention area etc.

Activity tagging is mandatory and, unless tagged, users are not able to create programme budget or expend against the budget. The tagging can be revised throughout the year, but is locked down when the accounts are closed. Even though any GPS user can do the tagging for the activities of a Workplan, Programme Managers are responsible for reviewing and adjusting the accuracy of the tagging.

## 10. Performance Indicator: Financial resource allocation

Approaches requirements	Meets requirements	Exceeds requirements
10a. Financial benchmark is set for implementation of the gender equality and women's empowerment mandate	10b. Financial benchmark for resource allocation for gender equality and women's empowerment mandate is met	10c. Financial benchmark for resource allocation for gender equality and women's empowerment mandate is exceeded

### Mandate:

[ECOSOC Resolution 2011/6](#)<sup>33</sup> requests the United Nations system, including its agencies, funds and programmes within their respective organizational mandates, to continue working collaboratively to enhance gender mainstreaming within the United Nations system, including by: enhancing resource mobilization capacity and increasing the predictability of both human and financial resources for gender equality and the empowerment of women

[ECOSOC Agreed Conclusions 1997/2](#)<sup>34</sup> states that clear political will and the allocation of adequate and, if need be, additional human and financial resources for gender mainstreaming from all available funding sources are important for the successful translation of the concept into practice

### How to use the performance indicator:

To meet this indicator the UN entity should have **set and achieved** a financial target for meeting its gender equality and empowerment of women mandate in all of its budgets, including HQ, regular, core and extra-budgetary resources. For example, if a UN entity has a mandate to achieve gender parity in its training workshops for Member States, resources should be allocated and tracked for achievement of such gender parity. Similarly if a UN entity's mandate is to empower women through greater participation in political processes, the resources required for this should be estimated and tracked.

### Current practice and examples:

There have been previous attempts in the UN system to set financial targets for support to gender equality and the empowerment of women. For example, in 1997 research indicated that less than two percent of UNDP's core resources were being allocated to gender equality, which was then one of five UNDP Focus Areas. As a result the Administrator's requested managers to allocate twenty percent of thematic funds to gender equality (Direct Line 11), a requirement that was discontinued in 2000.<sup>35</sup>

However, through its [Gender Equality Strategy 2014-2017](#), UNDP has set a financial benchmark for meeting its gender equality and empowerment of women mandate corresponding to a target

<sup>33</sup> ECOSOC Resolution 2011/6. Mainstreaming a gender perspective into all policies and programmes in the United Nations system (paragraph 7c and 7j).

<sup>34</sup> ECOSOC Agreed Conclusions 1997/2. Mainstreaming a gender perspective into all policies and programmes in the United Nations system.

<sup>35</sup> *UNDP Gender Equality Strategy 2008-2011*, p. 36.

of 15% of the expenditures of the organization. This measure will be tracked and monitored through UNDP's Gender Marker.

In one of the first major systematic initiatives of its kind in the UN system, [the Secretary-General in 2010 committed the Peacebuilding Fund](#) to doubling the proportion of funding devoted to gender-focused projects by October 2012, and set a target of 15 percent of UN-managed peacebuilding funds to be spent on projects that promote women's specific needs, advance gender equality or empower women. The Secretary-General's report (A/65/354 – S/2010/466) reads as follows:

The Secretary-General is committed to promoting a partnership between the United Nations system and Member States to ensure that at least 15 per cent of United Nations-managed funds in support of peacebuilding are dedicated to projects whose principal objective, consistent with organizational mandates, is to address women's specific needs, advance gender equality or empower women. The Peacebuilding Fund will immediately initiate a process for meeting this target. .... In the case of United Nations field missions, the Secretary-General will be working to create a baseline understanding of how United Nations budgeting of mandated tasks supports the overall goal of advancing gender equality and empowering women within existing programme planning and budgetary procedures.

## 11. Performance Indicator: Gender architecture

Approaches requirements	Meets requirements	Exceeds requirements
<p>11. Gender focal points or equivalent at HQ, regional and country levels are:</p> <p>a. appointed from staff level P4 and above</p> <p>b. have written terms of reference</p> <p>c. at least 20 per cent of their time is allocated to gender focal point functions</p>	<p>11bi. Gender focal points or equivalent at HQ, regional and country levels are:</p> <p>a. appointed from staff level P4 and above for both mainstreaming and representation of women</p> <p>b. have written terms of reference</p> <p>c. at least 20 per cent of their time is allocated to gender focal point functions</p> <p>and</p> <p>11bii. Gender department/unit is fully resourced according to the entity mandate</p>	<p>11ci. Gender focal points or equivalent at HQ, regional and country levels are:</p> <p>a. appointed from staff level P5 and above for both mainstreaming and representation of women</p> <p>b. have written terms of reference</p> <p>c. at least 20 per cent of their time is allocated to gender focal point functions</p> <p>d. specific funds are allocated to support gender focal point networking</p> <p>and</p> <p>11cii. Gender department/unit is fully resourced according to the entity mandate</p>

### Mandate:

ECOSOC Resolution 2004/4<sup>36</sup> requests all entities of the United Nations system to enhance the effectiveness of gender specialist resources, gender focal points and gender theme groups, by establishing clear mandates; by ensuring adequate training, access to information and to adequate and stable resources; and by increasing the support and participation of senior staff.

ECOSOC Resolution 2001/L.30<sup>37</sup> requests the United Nations system, including its agencies, funds and programmes within their respective organizational mandates, to continue working collaboratively to enhance gender mainstreaming within the United Nations system, including by: enhancing resource mobilization capacity and increasing the predictability of both human and financial resources for gender equality and the empowerment of women; and ensuring progress, including through managerial and departmental accountability, towards achieving the goal of a 50/50 gender balance at all levels in the Secretariat and throughout the United

<sup>36</sup> ECOSOC Resolution 2004/4. Review of Economic and Social Council agreed conclusions 1997/2 on mainstreaming the gender perspective into all policies and programmes in the United Nations system (paragraph 9).

<sup>37</sup> ECOSOC Resolution 2001/L.30. Mainstreaming a gender perspective into all policies and programmes in the United Nations system (paragraph 7c and 7j).

Nations system, with due regard to the representation of women from developing countries and keeping in mind the principle of equitable geographical representation, in conformity with Article 101, paragraph 3, of the Charter of the United Nations.

A/64/347<sup>38</sup> recommends that Senior managers at all entities should be held accountable, in accordance with the relevant and applicable procedures, for their responsibility in the implementation of the prescribed measures through, inter alia, enhanced performance objectives; management compacts; appointment of focal points at appropriately high levels, with terms of reference, access to management and minimal 20 per cent allocation of time to associated functions.

#### **How to use the performance indicator:**

For this Performance Indicator, UN entities need to meet both requirements – gender focal points and a resourced gender unit.

The junior level of the designated gender focal points has frequently been raised in reviews in the last 10 years as symptomatic of lack of commitment to gender equality and the empowerment of women across the UN system.<sup>39</sup> Gender focal points have often been the most junior female staff members, which sends a message that gender equality is not being taken seriously. Further, the resolutions of the General Assembly have repeatedly called for their appointment at high levels. To meet requirements for this Performance Indicator, an entity must have a gender focal point appointed from the P4 level or equivalent or above. If the P4 level requirement has been satisfied, additional focal points can be from all professional levels.

The number of gender focal points within a UN entity is determined by that UN entity. For the 20 per cent time allocation, this can be distributed across Gender Focal Points; one Focal Point does not have to dedicate 20 per cent of his/her time to gender focal point responsibilities. The 20 per cent requirement can be achieved by summing the time several gender focal points devote to the associated functions, thereby allowing for burden sharing, especially in those cases where the focal point is undertaking the UN-SWAP/gender functions in addition to their regular functions not related to gender work.

The Performance Indicator on gender focal points refers to “equivalents”. Some UN entities, such as OHCHR and UNDP, are moving away from a focal point system. In UNDP the move is to a team-based system, where teams assign specific gender focal point functions – human resources, programming, etc. – to different staff members, with the teams reporting to a senior manager. In OHCHR Gender Facilitators are assistants to senior managers in charge of programme development and follow up on compliance within a Branch or Division. The requirements of this Performance Indicator apply, whether the UN entity chooses to appoint individual staff members as gender focal points or form a gender focal point team.

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<sup>38</sup> Report of the Secretary-General on the Improvement in the Status of Women in the United Nations System

<sup>39</sup> For an overview see AfDB (2011) *Mainstreaming gender: a road to results or a road to nowhere. Evaluation synthesis*. Addis Ababa: African Development Bank, pp. 40-2.

<http://www.afdb.org/fileadmin/uploads/afdb/Documents/Evaluation-Reports/Gender%20Synthesis%20-%20Working%20paper%20-%20Ed.pdf>

In order to meet the requirements of this Performance Indicator, one of the designated responsibilities for the gender focal points should pertain to achievement of gender balance in staffing and representation of women. Some UN entities may opt to have separate *gender balance* focal points, or equivalent. Gender balance focal points support senior management in relation to staff selection processes, identifying qualified female candidates and supporting the development of policies. Gender balance focal points may be required to serve on interview panels and review bodies, and assist with monitoring the status of women and men within their organizations.

The gender unit/department can be considered to be fully resourced if it has adequate human and financial resources to support the UN entity in meeting its gender equality and empowerment of women mandate. This will differ from entity to entity. To estimate if the unit/department is fully resourced, the requirements as set out in the UN entity gender equality policy, and assessment against the UN SWAP Performance Indicators, can be taken into account. All UN entities should eventually be exceeding requirements. UN entities will thus need to determine the quantity of resources required by its gender unit/department for fulfilment of its gender mandate, including coordination, capacity development, quality assurance and inter-agency networking.

#### **Current practice and examples**

The Secretariat has an established network of departmental focal points coordinated by a Focal Point for Women established since 1997 at the Director level, and now in UN Women. As well as a specific network of focal points for Flexible Work Arrangements has been established to encourage uptake of the policy. Since 2008, the Secretariat has had terms of reference for Departmental focal points for women in the Secretariat (ST/SGB/2008/12).

FAO has Gender Focal Points in HQ, regional, sub-regional and country level offices. The process of appointing GFPs in all of the HQ units and divisions, as well as regional, sub-regional and country offices, is ongoing. There are GFPs and alternates in most of the divisions and offices at FAO headquarters and in the decentralized offices. In 2014, there were 60 GFPs and alternates appointed at headquarters and more than 130 in decentralized offices. The majority of FAO's GFPs are appointed from staff level P4 and above (i.e. more than 65% of the GFPs in FAO headquarters are P4 and above). FAO's GFPs have written terms of reference and they are requested to allocate 20% of their time to the gender focal point functions. In addition, FAO has developed terms of reference that are specific to the GFPs in decentralized offices.

ILO has a Gender Focal Point Network of over 120 focal points in the field offices and at HQ with written, detailed TORs indicating the amount of time to be devoted to gender-related outcomes. ILO Action Plan for Gender Equality has an indicator: "No. of units and field offices without GFPs" with a target of "None". There is also an indicator on percentage of male focal points at HQ and in field offices.

ITC-ILO Gender Focal Points network is composed of two representatives per Programme (one Professional and one administrative staff). In this way, G staff is also involved in the promotion of gender equality. This system also helps promoting the idea that everyone in the organization – regardless of his or her professional category – is accountable for gender equality.

ESCWA established a gender focal point system in 2008 with defined TORs and 20% of time dedicated to gender focal points functions. In its HR gender policy action plan, UNRWA has set a target to reach gender parity in women in senior positions by 2015. In addition, in 2014, ESCWA established a post for a Senior SWAP Coordinator with direct reporting lines to the Commissioner General.

UNIDO's gender policy has institutionalized and expanded the network of mid to senior level Gender Focal Points (P3 to Directors). According to the policy, Gender Focal Points (GFPs) are appointed in each Division of the organization and in field offices, are expected to devote 20% of their time to GFP functions, and serve for a period of 2 years. The Gender Focal Points (GFPs) are responsible to promote greater awareness of gender issues and gender mainstreaming in their respective organizational divisions or field offices.

## 12. Performance Indicator: Equal representation of women

Approaches requirements	Meets requirements	Exceeds requirements
12a. Plan in place to achieve the equal representation of women for General Service staff and at P4 and above levels in the next five years	12b. The entity has reached the equal representation of women for General Service staff and also at P4 and above levels	12c. The entity has reached the equal representation of women for General Service staff and also at P4 and above levels including the senior most levels of representation in Field Offices, Committees, Advisory Bodies and Funds linked to the entity irrespective of budgetary source

### Mandate:

A/RES/72/147<sup>40</sup>, paras 29-30:

29. *Requests* the Secretary-General to accelerate further his efforts to achieve the goal of 50/50 gender balance at all levels throughout the United Nations system, including in the field and in peacekeeping missions, with full respect for the principle of equitable geographical distribution, in conformity with Article 101, paragraph 3, of the Charter of the United Nations, considering, in particular, women from the developing and the least developed countries, countries with economies in transition and unrepresented or largely underrepresented Member States, and to ensure the implementation of measures, including temporary special measures, as well as the strengthening of the implementation of policies and measures for work-life balance and to prevent and address harassment and abuse of authority in the workplace, so as to accelerate progress, and managerial and departmental accountability with respect to gender balance targets;

30. *Calls upon* the United Nations system to significantly increase its efforts towards achieving the goal of 50/50 gender balance, including with the active support of gender focal points and up-to-date statistics to be provided annually by entities of the United Nations system, including on the number and percentage of women and their functions and nationalities throughout the United Nations system, as well as information on the responsibility and accountability of the offices of human resources management and the secretariat of the United Nations System Chief Executives Board for Coordination for promoting gender balance, and requests the Secretary-General to provide an oral report to the Commission on the Status of Women at its sixty-second and sixty-third sessions and to report to the General Assembly at its seventy-fourth session on the improvement of the status of women in the United Nations system and

<sup>40</sup> General Assembly Resolution, Follow-up to the Fourth World Conference on Women and full implementation of the Beijing Declaration and Platform for Action and the outcome of the twenty-third special session of the General Assembly, 19 December 2017.



on progress made and obstacles encountered in achieving gender balance, under the item entitled “Advancement of women”.

**How to use the performance indicator:**

In 2017 the Secretary-General issued the [System-Wide Strategy on Gender Parity](#) to operationalize system-wide efforts to advance this priority. The Strategy notes (p.5):

The goal of gender parity at all levels in the UN is a commitment that is now two decades old, and is reflective of core values that are as old as the Organization itself. In the intervening years there has been no shortage of policies, reports and recommendations to further this goal; yet implementation has been hampered in the main by a lack of sustained political will and accountability, absence of accompanying measures and enabling conditions for real reform, and resistance at different moments from key stakeholders.

The Strategy notes that while only five entities have achieved parity at the aggregate professional levels and higher, the majority of entities are within only ten percentage points of making parity a reality. However, women are under-represented in leadership and senior management, and in the field, particularly in conflict-affected settings. Parity is considered by the strategy to be within the 47%-53% margin, however the GA Resolutions continue to mandate the attainment of “50/50 gender balance”.

**To approach the requirement for this Performance Indicator**, the UN entity must have a plan in place for achieving the equal representation of women, based on the Secretary-General’s *System-wide Strategy on Gender Parity*. Furthermore, the development of an implementation plan by December 2017 was the first deliverable requested by the strategy. The strategy provides recommended actions across a range of areas including leadership, accountability recruitment, retention, talent management, senior appointments, mission settings and creating an enabling environment. A **sample** of these is below:

- Annual targets set by level to reach gender parity before the ultimate deadline of 2028.<sup>41</sup>
  - While a proposed methodology is presented in the strategy, entities are free to establish targets as they choose provided they result in the attainment of parity by the 2028 deadline. It is recommended that entities review anticipated vacancies and retirements in evaluating opportunities to advance progress towards gender parity.
- How senior managers will be held accountable for meeting targets.
- Incentives for promoting parity.
- How the entity intends to accelerate progress towards meeting its targets, e.g. through workforce planning; temporary special measures; strengthening of organizational

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<sup>41</sup> For UN Secretariat departments and offices, your targets have been provided to you by OHRM. Targets in Phase 1 initially focus on staff on fixed/permanent/continuous appointments at the Professional levels and higher. Phase 2 to be rolled out in 2018 will include General Service and national staff on fixed/permanent/continuous appointments. (See pages 12 & 15 of strategy)

culture; addressing unconscious bias in recruitment; retention, progression and talent management; outreach for recruitment, and as appropriate, specific action in relation to mission settings.

- How the entity will ensure real-time data is made available to hiring managers and entity heads to track process and implement accountability measures.
- The internal oversight mechanism through which progress will be monitored, and details of reporting.
- Resources required to achieve targets.
- The institutional structure, including focal points appointed at a senior level with clear and written terms of reference and an appropriate dedication of time, resources, and training.

Issues of organizational culture including in relation to gender parity are covered in Performance Indicator 13. For further details review the Secretary General's *System-wide Strategy on Gender Parity*.

While the UN-SWAP Performance Indicator focuses on aggregate staff levels of GS and P4 and above staff, this does not exclude a plan that covers all staff, and given the Strategy sets disaggregated targets, you are strongly encouraged to monitor the gender balance at all levels of your organization.

**To meet requirements for this indicator**, entities should achieve the milestones and targets set in their gender parity plan.

**To exceed requirements for this indicator** entities should meet requirements, and ensure equal representation in any bodies established by the entity, including the senior most levels of representation in Field Offices, Committees, Advisory Bodies and Funds linked to the entity irrespective of budgetary source.

### Resources

The [UN Women website](#) contains information about the representation of women in the UN system including: the Reports of the Secretary-General on the [Improvement of the status of women in the UN system](#), which provides system-wide sex-disaggregated data on the selection, representation, advancement and retention of women, information on progress made and obstacles encountered in achieving gender balance, and recommendations for accelerating progress; key policies and acts.

The Focal Point for Women in the UN System actively supports the network of Focal Points for Women in the UN Secretariat and Gender Focal Points from across the system in their advocacy, capacity building, sharing of good practices and interagency coordination and collaboration.

### Current practice and examples<sup>42</sup>

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<sup>42</sup> Adapted from the Secretary-General's *System-wide Strategy on Gender Parity*.

Evidence demonstrates that rapid transformation can be achieved when underpinned by dedication from senior leadership and accountability measures. For example, UNAIDS initiated a Gender Action Plan with clear targets and an emphasis on accountability and career development. Between March 2013 and June 2017, the number of female heads of country offices increased from 23% to 48% with UNAIDS being close to reaching parity in P5 and above levels. In 2015, ITC was one of the few organizations more than ten points from parity, yet its Executive Director set 2020 as a target at the professional level overall. This ambitious target is accompanied by accountability—gender parity is now a mandatory goal assessed in performance appraisals for senior staff across all levels, effective planning, and special measures in staff selection. These measures have been codified in an Executive Director’s bulletin giving institutional force.

### **Examples of special measures**

UNDP has women-only candidate pools for bureaux that have fallen below 45% representation and strengthened accountability of managers to reach gender balance targets;

- a ‘global south women only’ call for the Peace and Development Advisers (UNDP/ DPA) roster was recently issued;
- multiple entities enforce the removal of ranking of recommended candidates to allow for greater latitude in the final selection process, and compare candidates’ qualifications against the job vacancy requirements, as opposed to against one another;
- both UNDP and UNHCR apply flexibility in around time in post criteria for female candidates;
- UNHCR considers women who have separated to be internal candidates for a number of years after separation, as well as women from other agencies

In 2013, DFS launched the “Senior Women Talent Pipeline”, which developed a pipeline of primarily external candidates for D1 and D2 positions in peace operations in the areas of public information, political affairs, civil affairs, and rule of law. A public global call was initiated and following the call candidates were screened for suitability and an inter-departmental board selected an initial pool. Pipeline candidates were directed to suitable vacancies and received support on preparing their applications and throughout the assessment process. Candidates who were selected also were tracked into pre-deployment training such as the Senior Mission Leaders Course and received some limited post-deployment support such as mentorship. About 10 deployments were made through this initiative.

### **Retention, progression and talent management**

UN Office at Nairobi (UNON) has created a network for female P5 staff across all 60 entities. In New York the UN system and a number of missions are joining together to launch a new initiative ‘Women in Leadership and Development’ that will provide a space to address the challenges women face to career progression and establish an informal mentorship network.

The Global Call for the generic SRSG/DSRSG positions in UN Field Missions which was launched by the Senior Leadership Appointment Section, DFS earlier this year and used Member State networks, advertising, and outreach through networks to build a pool of applicants stands as a good practice on the kind of outreach and sourcing efforts needed in all areas.

### 13. Performance Indicator: Organizational culture

Approaches requirements	Meets requirements	Exceeds requirements
13a. Organizational culture partly supports promotion of gender equality and the empowerment of women	13b. Organizational culture fully supports promotion of gender equality and the empowerment of women	13ci. Organizational culture fully supports promotion of gender equality and the empowerment of women and 13cii. ILO Participatory Gender Audit or equivalent carried out at least every five years

#### Mandate:

[A/RES/59/184](#) requests the Secretary General and the executive heads of the organizations of the United Nations system to ensure that recruitment strategies, promotion and retention policies, career development, justice, anti harassment and sexual harassment policies, human resources and succession planning, work/family policies, management culture and mechanisms for managerial accountability accelerate the goal of 50/50 gender distribution.

[A/RES/55/69](#) requests the Secretary-General ...to intensify his efforts to create, within existing resources, a gender-sensitive work environment supportive of the needs of his staff, both women and men, including the development of policies for flexible working time, flexible workplace arrangements and child-care and elder-care needs, as well as the provision of more comprehensive information to prospective candidates and new recruits on employment opportunities for spouses and the expansion of gender-sensitivity training in all departments, offices and duty stations.

A/64/347<sup>43</sup> recommends that executive heads of entities should place special emphasis on the promulgation and enhanced implementation of work-life policies and practices to meaningfully support flexibility in the workplace and to accommodate disproportionate caregiver burdens.

#### How to use the performance indicator:

A positive and supporting organizational culture for all staff has been repeatedly identified as a key enabler in the promotion of gender equality and the empowerment of women. The available literature considers “organizational culture” as a set of deeply rooted beliefs, values and norms (including traditions, structure of authority and routines) in force within the institution; and a

<sup>43</sup> Report of the Secretary-General on the Improvement in the Status of Women in the United Nations System

pattern of shared basic assumptions internalized by the institution. This is materialized in the following:

- Ways in which the institution conducts its business, treats its employees and partners
- Extent to which decision-making involves workers (irrespective of rank, grade or opinion) and power and information flows (formal and mostly informal)
- Commitment of workers towards collective objectives

To meet this Performance Indicator, the UN entity needs to demonstrate in its reporting that it is carrying out the following.

### **1. UN Ethics-related Legal Arrangements**

- 1.1 UN rules and regulations on ethical behaviour are enforced and staff are required to complete the mandatory ethics training, with zero tolerance for unethical behaviour implemented.
- 1.2 Implement policies for the prevention of discrimination and harassment, including special measures for prevention from sexual exploitation and sexual abuse, ethics office, abuse of authority, administration of justice, conflict resolution and protection against retaliation.

### **2 Facilitative Policies**

- 2.1 Implement, promote and report on facilitative policies for maternity, paternity, adoption, family and emergency leave, breast-feeding and childcare.
- 2.2 Implement, promote and evaluate policies related to work-life balance, including part-time work, staggered working hours, telecommuting, scheduled breaks for extended learning activities, compressed work schedules, financial support for parents travelling with a child, and phased retirement.
- 2.3 Promote existing UN rules and regulations on work-life balance with an internal mechanism available to track implementation and accessibility by gender and grade.
- 2.4 Periodic staff meetings by units are scheduled during core working hours and on working days of staff working part-time, with teleconference or other IT means actively promoted.

### **3 Monitoring Mechanisms**

Conduct regular global surveys and mandatory exit interviews which obtain and analyse data relevant for an assessment of the qualitative aspect of organizational culture and provide insight into issues that have a bearing on recruitment, retention and staff experience.

### **4 Sexual harassment**

Demonstrate adherence to all system-wide and individual sexual harassment policies.

**To demonstrate enactment of the preceding requirements, UN entities are required to upload supporting documentation, such as policies, surveys and training manuals, to the UN-SWAP online reporting system. If any of the required actions have not been undertaken, the rating for this Performance Indicator is “approaches requirements”.**

**To exceed requirements** for this Performance Indicator, entities should conduct a participatory gender audit or equivalent every five years. Gender audits, which are different from “formal” audits focus on issues of organizational culture and do not necessarily follow formal audit

processes, will differ dependent on the size of entity and whether or not there are regional and country offices. For entities with only an HQ presence the audit should cover the whole of the entity. For entities with regional and country offices the focus can be either on HQ and/or regional and country offices. The minimum standard is that the audit is a substantive exercise that feeds into a strengthening of organizational culture. The focus of the participatory gender audit should be mainly on organizational culture, but can also include programming.. Examples of participatory gender audit methodologies are provided below.

### **Current practice and examples:**

#### *Facilitative Policies*

ESCWA had developed a tracking system for the flexible working arrangement with an aim of tracking numbers and the status of requests. The online tracking system allows staff to set requests for any of the four options of the flexible working arrangements. The new application also contains four short videos that were developed to facilitate the use of the system. In addition, the online application serves as a resource application containing all documents related to FWAs (i.e. frequently asked questions, myths and facts about FWAs, STI on FWA). Each request follows an approval process that is aligned to ESCWA's rules and regulations. Managers not approving FWAs requests are obliged to justify their decision, which will be reflected in a quarterly report produced by the application. This is expected to allow ESCWA to detect and thus facilitate addressing resistance. The tracking system was officially launched in October 2014.

OHCHR has developed an internal mechanism to track implementation and use of Flexible Work Arrangements and UN Regulations on ethical behaviour to make reporting possible. This mechanism is also an additional tool to ensure that management is accountable for the way in which these policies are implemented.

UNAIDS implements facilitative measures under its new Flexible Working Arrangements policy, including: Flexible Working Hours; Compressed Working Schedule, and Flexible Place of Work/Teleworking. In addition, the policy provisions supporting facilitative measures with regards to maternity-paternity leave, breastfeeding hours, Family leave for child care, adoption, family emergency, Special leave without pay (after maternity, for childcare or family issues) as well as part-time work are available and regulated under Staff Rules and Regulations.

In 2014, UNICEF revised its Administrative Instructions on "Special leave"; and "Family, adoption, maternity and paternity leave". The principal purpose in amending these Instructions was to extend leave for maternity from the present 16 weeks mandated in the UN Staff Rule to 24 weeks through the addition of 8 weeks of special leave with full pay. A change in the Staff Rule on pre-delivery maternity leave was also made to eliminate the need for a certificate regarding their state of fitness for staff to continue working up to 2 weeks before the anticipated delivery date.

#### *UN Ethics-related Legal Arrangements*

For the 2014 Report of the Secretary General on the Improvement of the Status of Women in the UN system, all thirty-five entities required to submit data reported having policies that prohibit discrimination, harassment and abuse of authority.

UNAIDS introduced the Prevention of Harassment E-module in 2011 which is mandatory for all staff.

### *Monitoring Mechanisms*

The Global Staff Survey is UNDP's internal mechanism to annually track implementation and accessibility, by gender, to work-life policies and unethical behaviors. An on line course on Prevention of Sexual Harassment is mandatory for all UNDP staff. During 2011, UNDP implemented a gender-sensitive exit interview for international staff to inform its UNDP Gender Parity Action Plan.

In order to develop its Gender Action Plan, UNAIDS implemented an all-staff Survey on Achieving Gender Parity and Empowerment of Women; the survey was accompanied by individual interviews and focus groups with staff at HQ and in the field. The survey focused on organizational culture as well as other dimensions. In 2009, UNAIDS established the Ethics and Change Management Office with a mandate to assist the UNAIDS Executive Director in ensuring that all staff members observe and perform their functions in consistency with the highest standards of integrity.

UN Women's 2014 Global Workforce Survey included a specific set of questions on Gender Capabilities and Knowledge, with the results indicating that staff are confident that managers understand and practice Gender in the workplace. Following the Global Workforce Survey, a set of global Working Groups and Aligned Focus groups, containing women and men, were established, so as to ensure a fully participative approach to institutional strengthening.

### **Examples of Participatory Gender Audits**

The ILO has developed a methodology for [participatory gender audit](#), which has been widely used within the UN system and elsewhere. This accountability tool is well accepted by ILO constituents, ILO administrative units, regional partners and the UN family to assess and monitor progress towards the achievement of gender equality. It is also a tool for gender mainstreaming in the Common Country Assessments and UNDAF processes. The audit recommendations are firmly owned by the audited entity. Training of audit facilitators (TOF) creates a multiplier effect by building capacity on gender equality among Member States, national gender experts and UN staff. To support this, the International Training Centre of the ILO in Turin (ITC-Turin) has conducted since 2007 a standard course on "Training for gender audit facilitators" (offered in English, French and Spanish).

In 2012 UN-HABITAT undertook a gender audit to assess the extent to which gender was mainstreamed into policies, projects, programmes, organisational structure, internal practices and procedures (human resource, budgeting and strategic planning); and provide learning on how to effectively implement gender mainstreaming in the various aspects of UN-Habitat work as per its mandate. The analytical framework for the audit was drawn mostly from the UN-SWAP areas of analysis and was further informed by the gender audit methodologies developed by the ILO, as well as methodologies developed by DFID and InterAction.

In 2010 FAO undertook a [Gender Audit](#) using a methodology similar to that used in the ILO Participatory Gender Audit. The central question of the audit was: "What does FAO need to do to adapt its institutional mechanisms and processes to mainstream gender equality throughout the Organization?" The methodology included:

- Review of: gender evaluations and audits of other UN organizations; lessons, benchmarks and good practices in gender mainstreaming; and relevant evaluation reports
- Engagement with management and staff working on gender issues in FAO and a gender audit advisory committee
- Facilitated group discussions with more than 40 gender focal points and designates
- Online survey targeting professional staff and long-term consultants
- Interviews and group discussions, based on a semi-structured interview guide, at FAO headquarters, three regional offices (Europe and Central Asia, Asia and the Pacific, and Africa) and two sub-regional offices (Central and Eastern Europe and West Africa), and the Vietnam, Cambodia and Ghana country offices.

The audit findings fed into a process of considerable strengthening of institutional mechanisms to promote gender equality and the empowerment of women in FAO.

ESCWA conducted its first participatory gender audit in 2014. To ensure that the gender audit was conducted in a participatory manner, the Executive Secretary of ESCWA formed an internal team comprising of a team leader and five team members, who worked closely with a regional consultant. The gender audit utilized the ILO participatory methodology and aimed at providing in-depth insight on how gender is mainstreamed at the planning, implementation and evaluation levels in ESCWA. Results of the ESCWA participatory gender audit informed the development of ESCWA policy on gender equality and the empowerment of women.



## 14. Performance Indicator: Capacity assessment

Approaches requirements	Meets requirements	Exceeds requirements
14a. Assessment of capacity in gender equality and women's empowerment for individuals in entity is carried out	14bi. Entity-wide assessment of capacity of all relevant entity staff at HQ, regional and country levels in gender equality and women's empowerment is carried out and 14bii. A capacity development plan is established or updated at least every five years	14ci. Entity-wide assessment of capacity of all relevant entity staff at HQ, regional and country levels in gender equality and women's empowerment is carried out and 14cii. A capacity development plan is established or updated at least every three years

### Mandate:

[ECOSOC Resolution 2011/6](#)<sup>44</sup> requests the United Nations system, including its agencies, funds and programmes within their organizational mandates, to continue working collaboratively to enhance gender mainstreaming within the United Nations system, including by: improving the application of a gender perspective in programming work and enhancing a broader approach to capacity development for all United Nations staff, including the Secretariat staff, including through working on guidelines which could provide specialized instructions on gender mainstreaming and serve as performance indicators against which staff could be assessed; and ensuring that all personnel, especially in the field, receive training and appropriate follow-up, including tools, guidance and support, for accelerated gender mainstreaming, including by providing ongoing capacity development for resident coordinators and the United Nations country teams to ensure that they are better able to assist national partners in achieving gender equality and the empowerment of women through their development frameworks.

### How to use the performance indicator:

The ECOSOC Resolution quoted above notes the need for assessment of staff vis-à-vis gender equality and the empowerment of women. This performance indicator was developed based on [UN Development Group guidance on capacity development](#). While the UN Development Group does not cover the whole UN system, the methodologies that it has developed for capacity assessment and development are relevant across the system.

<sup>44</sup> ECOSOC Resolution E/2011/6. Mainstreaming a gender perspective into all policies and programmes in the United Nations system (paragraph 7e and 7h).

Lack of capacity in promoting gender equality and the empowerment of women has been defined as one of the key constraints to better performance and leadership.<sup>45</sup> UN staff need the capacity to fulfil the UN's gender mandate, which many currently do not have. An assessment is the first step to enhancing capacity.

Capacity assessment can be based on the entity's core value/competency on gender equality and women's empowerment. It could also be carried out using the Performance Indicators for the UN-SWAP. It could form part of performance review or other ongoing staff assessment, or it could be through a self-administered on-line questionnaire. All of these initiatives meet the requirement for this performance indicator.

UN Women has developed a [capacity assessment tool](#) which entities can use as a basis to develop their own capacity assessment plans.

To meet this performance indicator, the entity should carry out a capacity assessment of all relevant staff, and implement a plan, with resources and timelines outlined, to meet capacity gaps at all levels at least every five years. To exceed the indicator this should be done at least every three years. Carrying out a capacity assessment at least every five years will allow entities to determine if their capacity development strategy, covered in performance indicator 15, is working.

#### **Current practice and examples:**

As part of development of its gender strategy, UNCDF undertook a gender equality and the empowerment of women capacity assessment by sending out a questionnaire to 130 UNCDF staff. The purpose of the questionnaire was to assess current capacity in UNCDF for gender mainstreaming and elicit recommendations for the content of the strategy and its accompanying implementation plan. Accordingly, the results were analyzed and findings utilized to develop capacity development plans for the organization. While the capacity assessment will be repeated every three years, the Global Staff Survey is conducted annually and will provide UNCDF with an idea of how the organization is doing on a broader level in terms of capacity in gender equality and women's empowerment.

In its [baseline survey for review of its Gender Strategy](#), WHO administered an online survey to assess awareness of institutional gender equality policies/strategies, knowledge of gender concepts, and application of gender analysis skills. The following areas were covered, which in effect make up a capacity assessment:

- a basic understanding of gender and health
- awareness of at least one WHO gender policy or strategy
- a good knowledge of gender concepts
- WHO staff who say Yes, gender is relevant to the work of their unit
- WHO staff who say gender is relevant to their own work

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<sup>45</sup> For a synthesis of recent reviews, see AfDB (2011) *Mainstreaming gender: a road to results or a road to nowhere. Evaluation synthesis*. Addis Ababa: African Development Bank.  
<http://www.afdb.org/fileadmin/uploads/afdb/Documents/Evaluation-Reports/Gender%20Synthesis%20-%20Working%20paper%20-%20Ed.pdf>

- WHO staff who are at least moderately applying gender analysis and actions in their work (disaggregated by sex, WHO category, WHO level and WHO region)

All WHO staff were emailed a link to the online survey and encouraged by senior management in their respective offices (i.e. Assistant Directors-General, Regional Directors and Directors) to complete the questionnaire. Designing and analysing the results from such a questionnaire would form the basis for developing a capacity development plan.

FAO has carried out numerous assessments of individual and organizational capacity to address gender equality and women's empowerment, in both technical units and field offices. For the entity as a whole, this includes a Gender Audit and a Gender Evaluation. In-person qualitative assessments of capacity at selected decentralized offices were carried out in 2012, and 11 units within the organization have carried out gender stocktaking exercises which investigated existing staff capacity to address gender issues in the technical work of FAO. An in-depth analysis was carried out of staff capacity needs building on the findings of these assessments, complemented by short survey monkeys with the divisional gender focal points and other selected staff. In February 2013, the gender unit of FAO endorsed a Strategy to develop capacities of Member countries and staff on gender equality in food security and agriculture, with a work plan to implement the strategy.

OCHA completed a department-wide assessment of OCHA's knowledge and skills on gender as a baseline for developing its OCHA Gender Equality Policy. This will be repeated every five years or sooner. Results of the assessment demonstrated that OCHA staff require additional training. An OCHA Gender Tool Kit has been developed to assist staff to implement the new Policy. GenCaps can also support this training. Staff can also benefit from the use of the IASC e-learning and regular webinar trainings.

A needs assessment was conducted at IFAD in 2013 to assess the capacity of gender resource people at HQ and in IFAD-supported projects and country offices, including project directors, gender focal points and government officers; 231 responses were received. The survey results provided insights into the need for new methods of communication, collaboration, and learning that would enable IFAD to intensify its efforts to close gender gaps and improve the economic and social empowerment of rural women.

## 15. Performance Indicator: Capacity development

Approaches requirements	Meets requirements	Exceeds requirements
15a. Working towards ongoing mandatory training for all levels of entity staff at HQ, regional and country offices	15b. Ongoing mandatory training for all levels of entity staff at HQ, regional and country offices	15ci Ongoing mandatory training for all levels of entity staff at HQ, regional and country offices and 15cii. Senior managers receive tailored training during orientation

### Mandate:

ECOSOC Resolution 2006/36<sup>46</sup> Calls upon all entities of the United Nations system, including United Nations agencies, funds and programmes, within the United Nations Staff Development programme budget and other existing United Nations training budgets, without prejudice to the achievement of other training priorities, to make specific commitments annually to gender mainstreaming training, including in core competence development, and ensure that all gender equality policies, strategies and action plans include such commitments; and to make gender training mandatory for all staff and personnel and develop specific training for different categories and levels of staff.

### How to use the performance indicator:

To meet this indicator, all relevant staff should receive stand-alone training on how to promote gender equality and the empowerment of women. This does not preclude training on gender equality and the empowerment of women being mainstreamed into other entity training. Training should be adapted by staff member type (ex. non-gender specialist should receive introductory gender training similar to UN Women's I Know Gender e-course). The following constitutes an adequate level of entity-wide training:

- Training on gender equality and the empowerment of women takes place for all relevant staff - at least one day of training for new staff during the first year, minimum of one day of training once every two years after this.
- Gender specialists and gender focal points receive specific, tailored training - minimum two days of training a year on gender equality and women's empowerment.

Entities should determine which training courses, from the number of courses available, are most relevant for their staff.

<sup>46</sup> ECOSOC Resolution 2006/36. Mainstreaming a gender into all policies and programmes in the United Nations system (paragraph 4 a and c).

In order to exceed the indicator entities should organize in-depth training for managers at the P5 and above level, including: background on key Conventions (in particular CEDAW, CRC and CRPD); results of international meetings (e.g. the Beijing Platform for Action); relevant entity policies and documents on gender equality and the empowerment of women (e.g. gender equality and equal representation of women policy; operational manual; Head of Entity Directives); the ways in which the entity intends to promote gender equality and the empowerment of women; and responsibilities for promotion of gender equality and the empowerment of women.

### **Current practice and examples:**

Details of UN System-wide training courses can be found on the [UN Women Training for Gender Equality Community of Practice \(CoP\) platform](#)<sup>47</sup>. UN Women has also produced a [Compendium of Good Practices for Training in Gender Equality](#).

**Blended Course for UN System Gender Focal Points:** The UN Women Training Centre holds training for UN System Gender Focal Points. It is a collaborative effort between UN Women Training Centre and ITC-ILO and is only open to UN System GFPs. It includes an online phase followed by a one week long residential phase. The training focuses on the UN Gender architecture and explores strategies and tools for addressing women's empowerment and gender equality within the UN. It examines gender mainstreaming tools (such as gender markers and the UN System Wide Approach on Gender Equality) and their concrete application, as well as tackling gender equality issues within substantive areas. The course also aims to build a community of practice within UN GFPs to foster discussion and sharing of good practices. Participation in this course would meet the requirements for the tailored training of Gender Focal Points component of this Performance Indicator.

**Introductory Online Gender Course:** UN Women's Training Centre has developed an introductory, interactive and self-paced e-course on gender to be offered to all staff across the United Nations System called [I Know Gender: An Introduction to Gender Equality for UN Staff](#) (launched in October 2014).

The overall objective of the Introductory Gender Course is to develop and/or strengthen understanding and awareness of basic concepts of gender equality and women's empowerment for all staff at HQ, regional and country level and promote a first step towards behavioural change and integration of a gender perspective in everyday work.

The course:

- Is a contribution of UN Women to the UN System and can be used as needed by each agency. It complements and include references, when possible, to other existing UN courses.
- Does not replace the mandatory existing courses required by different agencies.
- Provides a background of general knowledge and information about gender equality and women's empowerment.

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<sup>47</sup> The Training for Gender Equality CoP is a global online community for knowledge sharing on Training for Gender Equality. It includes a calendar of trainings and a clearinghouse of training resources.

- Is not a technical course per se, as it does not aim to provide technical skills on gender analysis and mainstreaming methods and techniques important to users and practitioners.
- Is self-paced and takes approximately 2.5 hrs. It has 3 mandatory modules and 13 optional modules.

Four entities (UN Women, UNDP, UNFPA, and UNICEF) have developed a joint course for programme staff [Gender Equality, UN Coherence and You](#), the objectives of which are to:

- Strengthen gender programming knowledge and skills required for UN programme staff
- Identify positive entry points for strengthened programming
- Gain understanding of how themes of gender equality and UN coherence mutually reinforce each other

The course is divided into eight areas: language of gender equality; women's and girls' rights, international commitments and culture; gender mainstreaming in the UN; working together for results on gender equality; using UN system guidance and mechanisms at the national level; integrating gender equality into national processes; gender equality in humanitarian settings/action and beyond; and engaging men and boys in gender equality. This course could be considered as one day of training for non-specialists.

One of UNDP's five mandatory on line courses is on gender issues. The Gender Journey course is a mandatory training for all UNDP staff. The training is an exploration of the meaning of gender equality to help staff understand the connection between gender equality and UNDP's goal and what they can do to help achieve gender equality in the workplace and in the world. Contents of the course are: 1) Understanding gender; 2) Dominant gender norms; 3) Gender inequality and development; 4) Gender Equality inside UNDP; and 5) What can you do.

In early 2013, UNHCR launched an on-line course on age, gender and diversity (AGD) for all staff, which has already attracted more than 800 staff. This course focused on UNHCR's AGD approach and explains how age, gender and diversity issues affect protection risks and programming. It is expected that by the end of 2013 the course will be mandatory for all staff and open to partners. Additionally, UNHCR launched Sexual and gender-based violence on-line course for staff, which illustrates key concepts that help recognize SGBV and identify prevention and response strategies. The latter course has more than 2,000 enrolled staff members.

Twice yearly mandatory training for all DPA staff, including staff in SPMs, on gender mainstreaming and women, peace and security issues is conducted. Gender is also included in DPA induction courses for new staff. The DPA Gender team has developed three training programmes to cover the broad range of 1325 issues: i) Women, peace and security training (WPS) for DPA staff at HQ and field missions; ii) Gender and Mediation training for mediators and selected staff, and iii) a Mediation and Sexual Violence in Conflict training module in response to SCR 1820/1888/ 1960. Gender is similarly being mainstreamed in thematic trainings, e.g. conflict-related sexual violence is integrated into the Norwegian Defence International Centre.

UNRWA has mandatory gender awareness training for all staff. Furthermore, UNRWA is developing capacities on gender in relationship with its programmes. For example, within the current education programme reform, UNRWA is working on addressing gender stereotypes and

bias through a new curriculum framework and through building the capacity of UNRWA teachers (approximately 20,000) who will receive clear gender guidance and with gender included in their performance review.

## 16. Performance Indicator: Knowledge and communication

Approaches requirements	Meets requirements	Exceeds requirements
16a. Internal production and exchange of information on gender equality and women's empowerment	<p>16bi. Knowledge on gender equality and women's empowerment is systematically documented and publicly shared</p> <p>and</p> <p>16bii. Communication plan includes gender equality and women's empowerment as an integral component of internal and public information dissemination</p>	<p>16ci. Knowledge on gender equality and women's empowerment is systematically documented and publicly shared</p> <p>and</p> <p>16cii. Communication plan includes gender equality and women's empowerment as an integral component of internal and public information dissemination</p> <p>and</p> <p>16ciii. Entity is actively involved in an inter-agency community of practice on gender equality and the empowerment of women</p>

### Mandate:

ECOSOC Resolution 2007/33<sup>48</sup> calls upon the United Nations system to share and disseminate good practices, tools and methodologies electronically and through regular meetings on gender mainstreaming, including through the Inter-Agency Network on Women and Gender Equality and its task forces, as well as the United Nations country teams.

[A/RES/58/144](#)<sup>49</sup> welcomes the objective of improving gender balance in action plans on human resources management for individual departments and offices, and encourages further cooperation, including the sharing of best practice initiatives, between heads of departments and offices, the Special Adviser on Gender Issues and Advancement of Women and the Office of Human Resources Management of the Secretariat in the implementation of those plans, which include specific targets and strategies for improving the representation of women in individual departments and offices.

<sup>48</sup> ECOSOC Resolution 2007/33. Mainstreaming a gender into all policies and programmes in the United Nations system (paragraph 4a and c).

<sup>49</sup> GA Resolution 58/44. Improvement of the status of women in the United Nations system.



### **How to use the performance indicator:**

**To meet this indicator**, entities should systematically document and publicly share, on their websites or equivalent, knowledge on gender equality and the empowerment of women substantially related to their mandate and to the representation and status of women in the institution itself. For example, if an entity has a food and hunger related mandate, it should synthesise on a regular basis its knowledge related to hunger and gender equality, publish, and proactively disseminate this. Internal and public communications should also be gender-sensitive and draw attention to the gender dimensions of issues wherever relevant, as well as to information on the representation and status of women within the institution.

In addition, the entity communication plan, if this exists, should systematically integrate gender equality and the empowerment of women. If the entity does not have a communication plan this should be noted in UN-SWAP reporting.

**To exceed the requirements**, entities should also be involved in an inter-agency community of practice on gender equality and the empowerment of women, an example of which is given under current practice and examples.

### **Current practice and examples**

In terms of exceeding requirements, examples of communities of practice are: the [UN International Network of Female Police Peacekeepers](#), which offers its members a mentoring programme, and training and networking opportunities, including a [FaceBook](#) page; and the [gender based violence community of practice](#), hosted by UNITAR, as part of the global protection cluster for humanitarian situations.

As part of its knowledge management strategy, UNDP has consolidated different knowledge mechanisms:

1. **The UNDP Gender-Net.** The *Gender-Net* was created to connect and support gender practitioners. It's an expanded Community of Practice with about 2,000 members. The Net promotes thematic e-discussions and consultations, dissemination of relevant information (news and updates), key and new gender resources, etc. This is the UNDP global tool used as a core resource for Country Offices, civil society organizations and academic centers.
2. **UNDP Regional Knowledge Management Platform "America Latina Genera"** is a regional knowledge broker on gender equality in Latin America with some 35,000 monthly visits. This innovative Portal has generated a wide range of knowledge products (conceptual frameworks, toolkits, rosters, Virtual Communities of Practice, Knowledge Fairs and documents for the debate). The platform is designed in such a way as to greatly facilitate accessibility and understanding of the contents. <http://www.americalinagenera.org/es/>

Gender is a key consideration in the production of OCHA's communications products and information sharing platforms. It is one of the searchable themes in OCHA's external websites, such as IRIN, ReliefWeb, and OCHA Online. Both gender and Gender Based Violence (GBV) are also themes on the OCHA's intranet, facilitating access for staff seeking to learn more about gender. This includes OCHA-on-Message, a simple document informing all staff about the OCHA

position on this issue. Finally, as spelled out in its new Advocacy and Communications Strategy (2013-2015), OCHA will shortly be developing both an annual Advocacy Action Plan, as well as one-page advocacy briefs on key priorities, including gender equality and the empowerment of women.

DPKO/DFS pursues knowledge generation and communication via a range of initiatives including the International Network of Female Peacekeepers, a Gender Community of Practice and the use of social media (such as the Facebook page on UN peacekeeping). In addition, gender equality and women's empowerment are integral to communication activities of the Public Affairs Section of DPKO/DFS, notably through specific digital media campaigns including profiling Peacekeeping gender initiatives and operations in the lead up to the Commission on the Status of Women and International Women's Day in March each year.

Fostering a community of practice, inclusive of the exchange of, good practices and tools, is a key element of WFP's commitment to advancing gender equality to realize food security and nutrition. To this end, the WFP intranet includes a dedicated gender 'topic page'; blogs and dialogues are ongoing on the online 'Gender Community'; each month a 'gender brown bag' is held, connecting HQ, with the Regional Bureaus and Country Offices; and gender equality is always among the corporate key messages, speeches and statements. In addition, WFP employees and partners can access the WFP Gender Toolkit (in Arabic, English, French and Spanish), along with the 'Gender Learning Channel' on WFP's corporate learning platform.

## 17. Performance Indicator: Coherence

Approaches requirements	Meets requirements	Exceeds requirements
17a. Participates in an ad hoc fashion in inter-agency coordination mechanisms on gender equality and the empowerment of women	17bi. Participates systematically in inter-agency coordination mechanisms on gender equality and the empowerment of women  17bii. Participates in a UN-SWAP peer review process	17ci. Participates systematically in inter-agency coordination mechanisms on gender equality and the empowerment of women  and 17cii. Participates in a UN-SWAP peer review process  and 17ciii. Supports implementation of at least one UN-SWAP Performance Indicator in another entity

### Mandate:

ECOSOC Resolution 2006/36<sup>50</sup> calls upon all entities of the United Nations system, including United Nations agencies, funds and programmes, within the United Nations Staff Development programme budget and other existing United Nations training budgets, without prejudice to the achievement of other training priorities, to create or expand electronic knowledge networks on gender mainstreaming to increase effective support for and follow-up to capacity-building activities; strengthen inter-agency collaboration, including through the work of the Inter-Agency Network on Women and Gender Equality, to ensure systematic exchange of resources and tools across the system to promote cross-fertilization of ideas.

ECOSOC Resolution 2004/4<sup>51</sup> recommends that all entities of the United Nations system continue to promote cooperation, coordination, sharing of methodologies and good practices, including through the development of tools and effective processes for monitoring and evaluation within the United Nations, in the implementation of agreed conclusions 1997/2, in particular through the Inter-agency Network on Women and Gender Equality, and recommends further that all inter-agency mechanisms pay attention to gender perspectives in their work.

<sup>50</sup> ECOSOC Resolution 2006/36. Mainstreaming a gender perspective into all policies and programmes in the United Nations system (paragraph 4d).

<sup>51</sup> ECOSOC Resolution 2004/4. Review of Economic and Social Council agreed conclusions 1997/2 on mainstreaming the gender perspective into all policies and programmes in the United Nations system (paragraph 12).

### **How to use the performance indicator:**

**How to meet requirements:** The main UN system wide co-ordination mechanism on gender equality and women's empowerment is the [Inter-Agency Network on Women and Gender Equality](#), a network of gender focal points chaired by UN Women. Regular participation in this network would meet the requirement for this Performance Indicator. Participation in UN-SWAP Annual Meetings or workshops would also meet the requirements.

In addition to meet requirements entities must participate in a UN-SWAP peer review where two UN entities review each other's performance at least once every five years, fostering accountability, learning and networking. Where there is no equivalent UN entity (e.g. OLA) entities can conduct an internal peer review between two or more internal units. The purposes of the peer review are to:

- promote cross-agency learning about accountability mechanisms and functions;
- review the UN SWAP process within entities, including constraints and opportunities to achieving gender equality and women's empowerment; and
- share experiences of UN SWAP and accountability for gender equality and the empowerment of women within the UN system.

UN Women has developed a guidance note on [peer reviews](#), including key questions to ask and a suggested process. Peer reviews can take place between gender offices or other entity offices which work on any of the UN-SWAP Performance Indicators. Entities are encouraged to include staff from outside the gender office in peer reviews.

Peer reviews should be substantive exercises that involve systematic exchange of experience and information between entities. **Entities should detail in UN-SWAP reporting who was involved in the peer review and the main lessons learnt from the peer review**, so that this knowledge can be analysed and communicated to the system, ensuring confidentiality of all parties as appropriate.

**How to exceed requirements:** In addition to the "meeting" requirements, to exceed requirements entities should support implementation of at least one UN-SWAP Performance Indicator in another entity. This should be substantive support, i.e. for development of a GEEW policy or gender marker. It should go beyond one off activities such as holding a workshop, and involve assisting another entity to meet or exceed UN-SWAP requirements in one Performance Indicator where it did not previously do so.

### **Current practice and examples**

#### *Examples of inter-agency coordination mechanisms*

- Inter-Agency Network on Women and Gender Equality (IANWGE)
- UN-SWAP Inter-Agency Network
- Coordination with Regionally-based Agencies to promote GEWE (Ex. Rome, Geneva, Nairobi, etc.)
- Inter-Agency Standing Committee (IASC)

- UNDG Task Team on Gender Equality
- Convention on the Elimination of All Forms of Discrimination against Women (CEDAW)  
Inter-agency task force
- High Level Committee on Programmes (HLCP)/Chief Executives Board for Coordination (CEB)
- UN Joint Programme on Accelerating Progress towards the Economic Empowerment of Rural Women

#### *UN-SWAP Peer Reviews*

In 2013 and 2014, Rome-based entities (WFP, IFAD and FAO) carried out UN-SWAP peer reviews by visiting each other and reviewing each other's UN-SWAP reporting procedures and results.

They came together to:

- ▶ Map agency ratings with respect to 15 indicators
- ▶ Allocate agencies to lead discussion in areas where had comparative strength
- ▶ Have substantive discussion focused on variables where the most marked difference in performance was present.
- ▶ Share good practices.

Another Rome-based entities peer review will be held in 2018.

## **Annex 1: UN-SWAP 2.0 and Secretariat entities with a mainly administrative function**

This purpose of this Annex is to clarify UN-SWAP 2.0 reporting requirements per Performance Indicator for Secretariat entities which have a mainly administrative function. It refers to OHRM, DM, OIOS, UNOG, UNOV, UNON, DGACM, OAJ, Office of the United Nations Ombudsman and Mediation Services, and OLA.

### **A. Gender-related SDG results**

#### **1. Commitment to gender-related SDG results**

Entities should include a high level result (expected accomplishment or equivalent) on gender parity in staffing, linked to the entity plan on gender parity in staffing, in the main Secretariat strategic planning document. Entities cannot exceed requirements for this Performance Indicator. Entities will exceed results if the result is met.

#### **2. Reporting on gender-related results**

Entities should report on the high level result on gender parity in staffing through the Secretariat Programme Performance Report, report on gender parity to the Secretary-General, or equivalent. To exceed requirements entities should hold at least one town hall meeting annually on gender parity in staffing where the current state of gender parity is reported on and discussed.

#### **3. Programmatic results on gender equality and the empowerment of women**

Entities should report on any gender-related initiatives not included in the main Secretariat strategic planning document, for example related to extra-budgetary resources. If there are no such initiatives this indicator should be rated on not applicable.

#### **4. Evaluation**

Entities with a mainly administrative function do not for the most part carry out evaluations. Where evaluations are carried out they should meet the requirements set out for this Performance Indicator. Self-evaluations should be assessed against the guidance for this type of evaluations provided by OIOS.

#### **5. Audit**

Audit is a centralized function in the Secretariat and entities should enter data provided by OIOS.

### **B. Institutional strengthening to support achievement of results**

#### **6. Policy**

Entities should report on their plan for fulfilling requirements in the System-wide strategy on gender parity. To exceed requirements entities should have a senior management accountability mechanism in place. Reference to gender equality and the empowerment of women in senior manager compacts is acceptable to exceed requirements.

#### **7. Leadership**

Entities should report as per the Technical Notes.

#### **8. Gender-responsive performance management**

Performance management is a centralized function in the Secretariat and entities should enter the data provided by OHRM. Entities can report on any systems of recognition they have in place to exceed requirements.

**9. Financial resource tracking**

Financial resource tracking for the regular budget is a centralized function in the Secretariat and entities should rate this indicator as not applicable and note that work is ongoing under UMOJA to develop a financial resource tracking system. Entities which have more than 20 per cent of Extra-budgetary funding should develop a resource tracking system.

**10. Financial resource allocation**

Financial resource allocation for the regular budget is a centralized function in the Secretariat and entities should rate this indicator as not applicable and note that work is ongoing under UMOJA to promote financial resource allocation. Entities which have more than 20 per cent of Extra-budgetary funding should develop a resource allocation system.

**11. Gender architecture**

Entities should report as per the Technical Notes.

**12. Equal representation of women**

Entities should report as per the Technical Notes.

**13. Organizational culture**

Entities should report as per the Technical Notes.

**14. Capacity assessment**

Capacity assessment is a centralized function in the Secretariat and entities should report based on data provided by OHRM.

**15. Capacity development**

Entities should report as per the Technical Notes.

**16. Knowledge and Communication**

Entities should report as per the Technical Notes.

**17. Coherence**

Entities should report as per the Technical Notes.

## **Glossary**

### **Gender Mainstreaming**

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. Source: [ECOSOC agreed conclusions 1997/2](#)

### **Equal Representation of Women**

The goal of gender balance / gender parity / the equal representation of women and men applies throughout the United Nations system, and in every department, office or regional commission, overall and at each level. Gender parity applies to all posts, without regard to the type or duration of the appointment, the series of Staff Rules under which the appointment is made, or the source of funding.

### **Gender Equality – Equality Between Women and Men**

“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 are the same but that women’s and men’s rights, responsibilities and opportunities do 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 concerns all men, women, girls and boys. Equality between women and men is both a human rights issue and a precondition for, and indicator of, sustainable people-centred development.

Source: <http://www.un.org/womenwatch/osagi/conceptsanddefinitions.htm>

### **Gender**

“Gender” refers to the social attributes and opportunities associated with being male and female, and the associated relationships between women, men, girls and boys. The attributes, opportunities and relationships assigned to women and men, girls and boys, are socially constructed and are learned; they are context and time-specific, and thus subject to change. In most societies there are differences and inequalities between women and men in responsibilities assigned, activities undertaken, access to and control over resources and decision-making opportunities.

Source: <http://www.un.org/womenwatch/osagi/conceptsanddefinitions.htm>