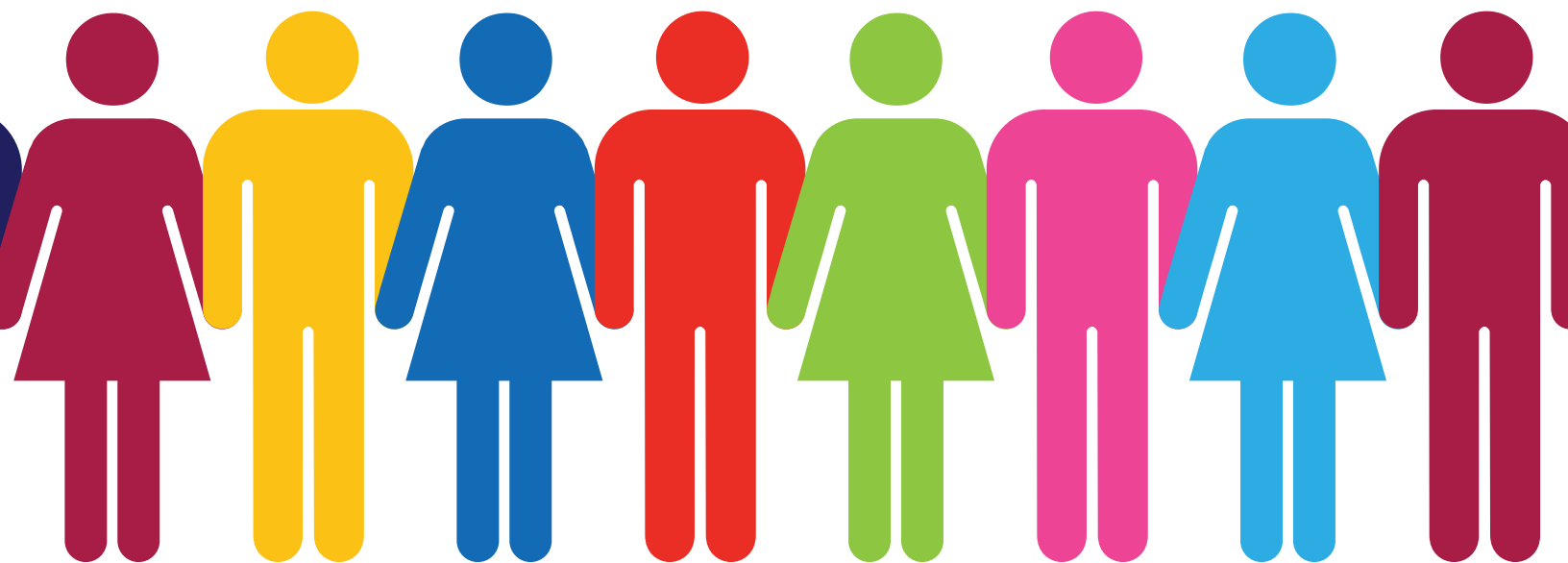


# UN-SWAP 2.0

ACCOUNTABILITY FRAMEWORK FOR MAINSTREAMING  
GENDER EQUALITY AND THE EMPOWERMENT OF WOMEN  
IN UNITED NATIONS ENTITIES

## FRAMEWORK & TECHNICAL GUIDANCE

Version **2** December 2019



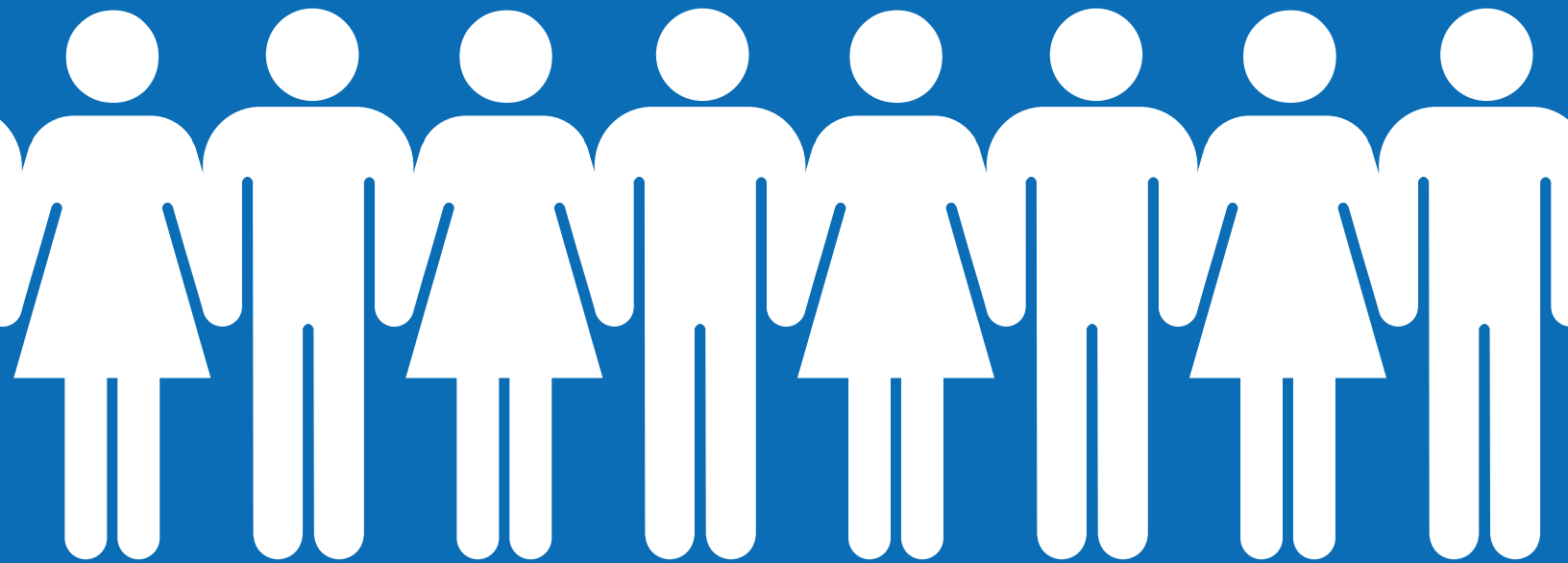


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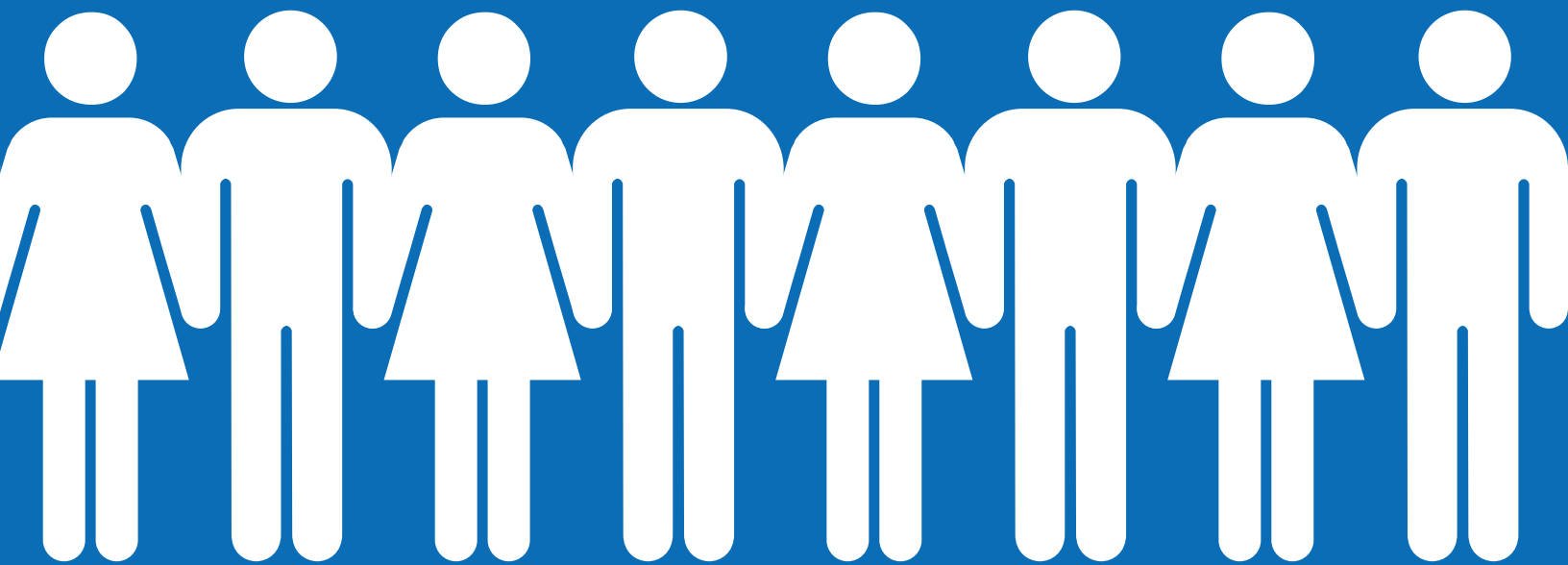
# ACRONYMS



<b>AGD</b>	Age Gender and Diversity
<b>CCPCJ</b>	UN Commission on Crime Prevention and Criminal Justice
<b>CEB</b>	Chief Executives Board for Coordination
<b>CEDAW</b>	Convention on the Elimination of All Forms of Discrimination against Women
<b>CoP</b>	Community of Practice
<b>CRC</b>	Convention on the Rights of the Child
<b>CRPD</b>	Convention on the Rights of Persons with Disabilities
<b>DFID</b>	Department for International Development of the UK
<b>DFS</b>	Department of Field Support
<b>DGACM</b>	Department for General Assembly and Conference Management
<b>DM</b>	United Nations Department of Management
<b>DPKO/DFS</b>	Department of Peacekeeping Operations
<b>ECOSOC</b>	United Nations Economic and Social Council
<b>ERP</b>	Enterprise Resource Planning
<b>ESCWA</b>	United Nations Economic and Social Commission for Western Asia
<b>FAO</b>	Food and Agricultural Organization
<b>FWA</b>	Flexible Working Arrangements
<b>GBV</b>	Gender Based Violence
<b>GED</b>	Gender, Equality and Diversity
<b>GEEW</b>	Gender equality and empowerment of women
<b>GEM</b>	Gender equality mainstreaming
<b>GenCap</b>	The Gender Standby Capacity Project
<b>GEWE</b>	Gender equality and women's empowerment
<b>GFP</b>	Gender Focal Point
<b>HLCM</b>	High-Level Committee on Management
<b>HLCP</b>	High-level Committee on Programmes
<b>IAEA</b>	International Atomic Energy Agency
<b>IANWGE</b>	Inter-Agency Network on Women and Gender Equality
<b>IASC</b>	Inter-Agency Standing Committee
<b>ICCS</b>	International Classification of Crime for Statistical Purposes
<b>IFAD</b>	International Fund for Agricultural Development
<b>ILO</b>	International Labour Organization
<b>IOM</b>	International Organisation for Migration
<b>IRIN</b>	IRIN News Agency
<b>ITC</b>	International Trade Centre
<b>ITC-ILO</b>	International Training Centre of the ILO
<b>ITU</b>	International Telecommunication Union
<b>JIU</b>	Joint Inspection Unit
<b>OAJ</b>	Office of Administration of Justice

<b>OCHA</b>	Office for Coordination of Humanitarian Affairs
<b>OECD-DAC</b>	Development Assistance Committee of the Organisation for Economic Co-operation and Development
<b>OHCHR</b>	Office of the High Commissioner for Human Rights
<b>OHRM</b>	Office of Human Resources Management
<b>OIG</b>	Office of the Inspector General
<b>OIOS</b>	Office of Internal Oversight Services
<b>OLA</b>	Office of Legal Affairs
<b>PBSO</b>	Peacebuilding Support Office
<b>RBM</b>	Results based management
<b>SDG</b>	Sustainable Development Goals
<b>SGBV</b>	Sexual and gender-based violence
<b>TOF</b>	Training of Facilitators
<b>UN Women</b>	United Nations Entity for Gender Equality and the Empowerment of Women
<b>UNAIDS</b>	The Joint United Nations Programme on HIV/AIDS
<b>UNCDF</b>	United Nations Capital Development Fund
<b>UN-CTS</b>	United Nations Survey of Crime Trends and Operations of Criminal Justice Systems
<b>UNDP</b>	United Nations Development Programme
<b>UNEG</b>	United Nations Evaluation Group
<b>UNFCCC</b>	United Nations Climate Change
<b>UNFPA</b>	United Nations Population Fund
<b>UN-HABITAT</b>	United Nations Human Settlements Programme
<b>UNHCR</b>	United Nations High Commissioner for Refugees
<b>UNICEF</b>	United Nations Children's Fund
<b>UNIDO</b>	United Nations Industrial Development Organization
<b>UNODC</b>	United Nations Office on Drugs and Crime
<b>UNOG</b>	United Nations Office at Geneva
<b>UNON</b>	United Nations Office at Nairobi
<b>UNOPS</b>	United Nations Office for Project Services
<b>UNOV</b>	United Nations Office at Vienna
<b>UNRIAS</b>	United Nations Representatives of Internal Audit Services
<b>UNSDG</b>	United Nations Sustainable Development Group
<b>UNSSC</b>	UN System Staff College
<b>UN-SWAP</b>	United Nations System Wide Action Plan
<b>UNRWA</b>	United Nations Relief and Works Agency for Palestine Refugees
<b>WFP</b>	World Food Programme
<b>WHO</b>	World Health Organisation
<b>WPS</b>	Women, Peace and Security

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Lead UN-SWAP Coordinator for the UN system: Aparna Mehrotra, Director of UN System Coordination Division in UN Women;

Lead consultant: Tony Beck

Project Coordinators within the UN System Coordination Division in UN Women: Monica Dyer, former Inter-agency Coordination Specialist; Sara Callegari, former Inter-agency Coordination Specialist; Linda Kaseva, Inter-agency Coordination Specialist; Cynthia Boyson, UN Coordination Associate and Priya Alvarez, Inter-agency Coordination Advisor.

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UN-SWAP 2.0 underwent two rounds of piloting with representative sets of entities, by nine entities between May and September 2016, and 11 entities between January and March 2018. UN Women would like to thank the pilot entities for their crucial feedback to the development of indicators and related methodology. These include:

2016 Piloting: ECA, ILO, ITC-ILO, IOM, UNAIDS, UNDP, UNIDO, UN Women, WFP.

2018 Piloting: ESCWA, FAO, ITCD ILO, UNAIDS, UNFCCC, UNIDO, UNOV/UNODC, UNOG, UN Women, WFP, WMO.

The typology of UN system-wide contributions to support the achievement of gender equality and the empowerment of women and girls in the context of the SDGs, used for indicators 1 and 3, was developed during 2018 by a working group of 14 entities ECA, ESCWA, IOM, OHCHR, UN Habitat, UNAIDS, UNDSS, UNESCO, UNICRI, UNICEF, UNIDO, UNODC, UNU and WHO. The group was facilitated by UN Women's consultant, Leslie Groves Williams.

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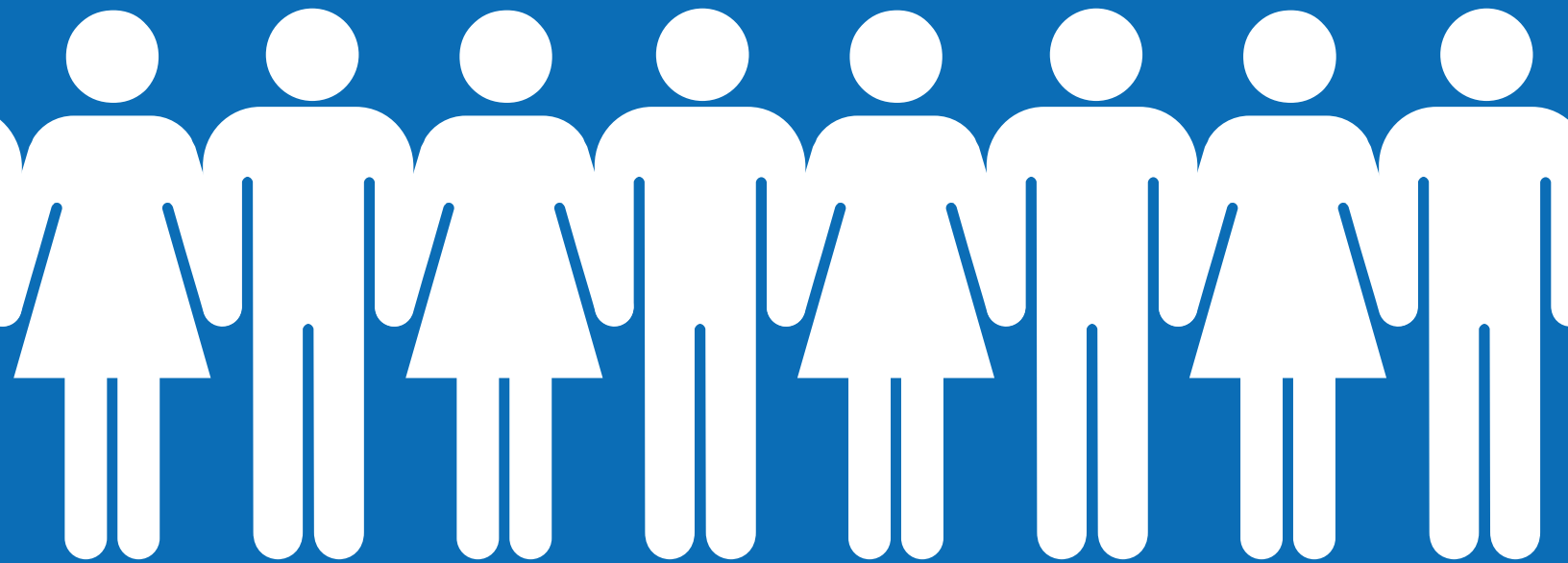
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# FOREWORD



Realizing the promise of the 2030 Agenda for Sustainable Development and its 17 Sustainable Development Goals (SDGs) is an imperative for all United Nations (UN) entities. This includes mainstreaming gender equality and women's empowerment into all of our work and backing up these commitments with strong accountability frameworks. System-wide coordination around these common efforts is more important than ever as the UN system responds to the ongoing reform process.

In this regard, UN Women is honoured to launch the second generation of the System-wide Action Plan for Mainstreaming Gender Equality and the Empowerment of Women (UN-SWAP 2.0). UN-SWAP 2.0 provides an accountability framework which defines commonly-agreed standards and coordinated approaches for the UN system to reach its goals and measure progress systematically.

We have come a long way since 2012, when the first UN-SWAP came into effect with the support of 55 participating UN entities and the endorsement of the UN System Chief Executives Board for Coordination. Since then, participation has increased to 66 UN entities in 2018 and we have seen steady progress across a range of indicators, which when clustered together, cover all the essential functions of a UN institution. This progress has been aggregated across the UN system and annually reported to the Economic and Social Council (ECOSOC). UN Women and a system-wide network of gender focal points and their leaders have worked to ensure that the system has integrated and strengthened gender equality in all aspects of each institution.

UN SWAP 2.0 continues guiding the UN system along this path, while aligning strongly with the 2030 Agenda and its focus on results.

We thank all UN entities for their partnership, and the support of Member States over the past years, and we look forward to strengthened coordination and meaningful results as we move into the next five-year cycle.

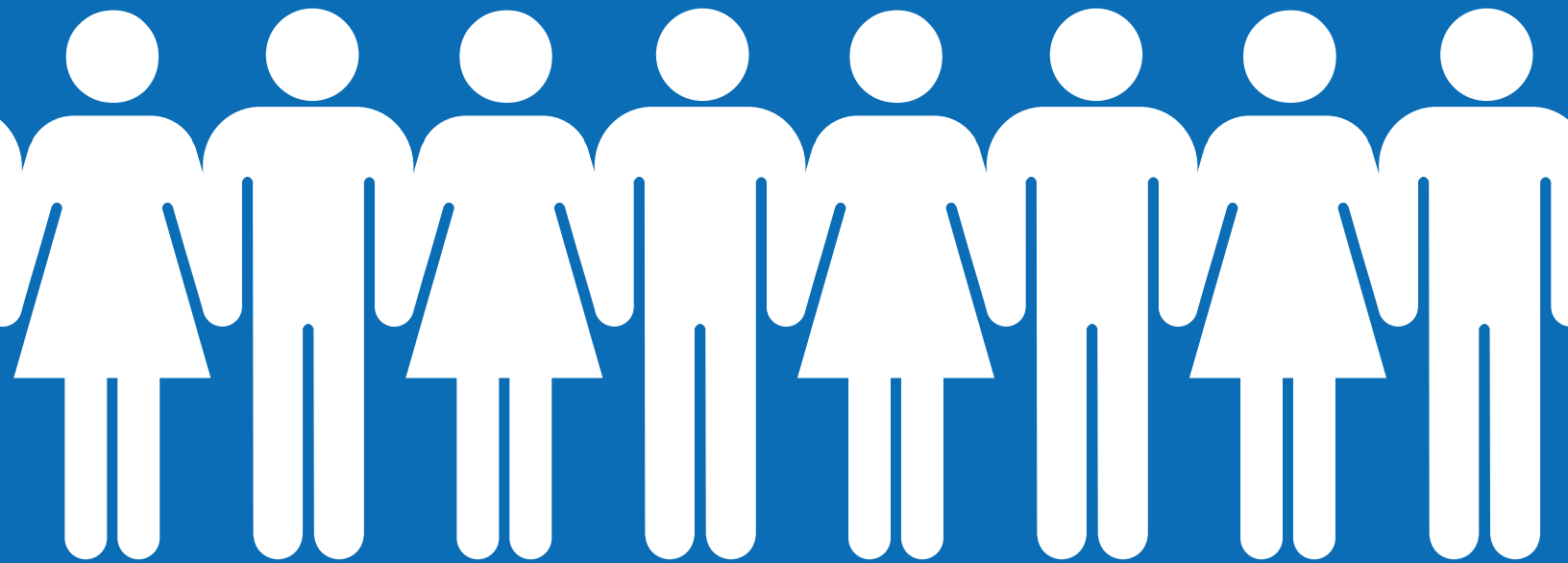


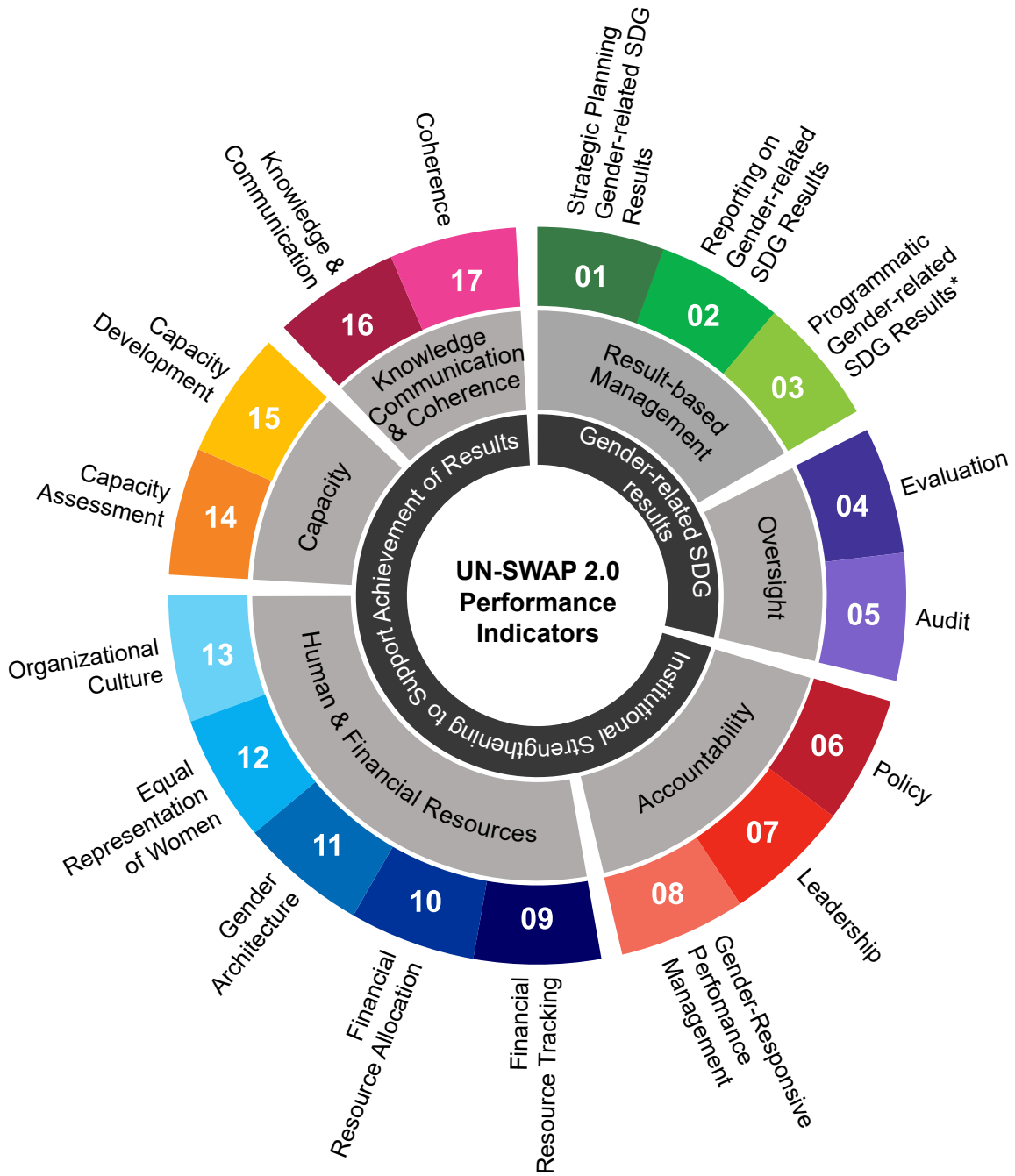
**Phumzile Mlambo-Ngcuka**

United Nations Under-Secretary-General and Executive Director of UN Women

November 2018

# **UN-SWAP 2.0 ACCOUNTABILITY FRAMEWORK**








\*not directly captured in the Strategic Plan




## I. Gender-related SDG Results

### A. Results-Based Management




#### 01. Performance Indicator: Strategic Planning Gender-related SDG results

 <b>Approaches requirements</b>	 <b>Meets requirements</b>	 <b>Exceeds requirements</b>
<p>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</p>	<p>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</p> <p><b>and</b></p> <p>1bii. Entity has achieved or is on track to achieve the high-level result on gender equality and the empowerment of women</p>	<p>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</p> <p><b>and</b></p> <p>1cii. Entity has achieved or is on track to achieve the high-level transformative result on gender equality and the empowerment of women</p>

#### 02. Performance Indicator: Reporting on Gender-related SDG results




 <b>Approaches requirements</b>	 <b>Meets requirements</b>	 <b>Exceeds requirements</b>
<p>2ai. Entity RBM system provides guidance on measuring and reporting on results related to gender equality and the empowerment of women</p> <p><b>or</b></p> <p>2aii. Systematic use of sex-disaggregated data in strategic plan reporting</p>	<p>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</p> <p><b>and</b></p> <p>2bii. Systematic use of sex-disaggregated data in strategic plan reporting</p>	<p>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</p> <p><b>and</b></p> <p>2cii. Systematic use of sex-disaggregated data in strategic plan reporting</p> <p><b>and</b></p> <p>2ciii. Reporting every two years to the Governing Body or equivalent on implementation of the entity's gender equality and empowerment of women policy</p>

### 03. Performance Indicator: Programmatic Gender-related SDG Results\*1




 <b>Approaches requirements</b>	 <b>Meets requirements</b>	 <b>Exceeds requirements</b>
<p>3ai. Results on gender equality and the empowerment of women are consistently included in programmatic initiative planning documents</p>	<p>3bi. Programmatic results on gender equality and the empowerment of women are met or on track to be met</p>	<p>3ci. Programmatic results on gender equality and the empowerment of women are met or on track to be met <b>and</b> 3cii. Programmatic initiatives consistently include transformative results on gender equality and the empowerment of women</p>

### B. Oversight

### 04. Performance Indicator: Evaluation

 <b>Approaches requirements</b>	 <b>Meets requirements</b>	 <b>Exceeds requirements</b>
<p>4ai. Meets some of the UNEG gender-related norms and standards in the UNEG Guidance on Integrating Human Rights and Gender Equality in Evaluations</p>	<p>4bi. Meets the UNEG gender equality - related norms and standards <b>and</b> 4bii. Applies the UNEG Guidance on Integrating Human Rights and Gender Equality in Evaluations during all phases of the evaluation</p>	<p>4ci. Meets the UNEG gender equality - related norms and standards, applies the UNEG Guidance on Integrating Human Rights and Gender Equality in Evaluations during all phases of the evaluation <b>and</b> 4cii. Conducts at least one evaluation to assess corporate performance on gender mainstreaming or equivalent every 5-8 years</p>

### 05. Performance Indicator: Audit

 <b>Approaches requirements</b>	 <b>Meets requirements</b>	 <b>Exceeds requirements</b>
<p>5ai. 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</p>	<p>5bi. 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</p>	<p>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</p>

1 \*not captured in the Strategic Plan






## II. Institutional Strengthening to Support Achievement of Results

### C. Accountability




#### 06. Performance Indicator: Policy

 <b>Approaches requirements</b>	 <b>Meets requirements</b>	 <b>Exceeds requirements</b>
<p>6ai. Policies and plans being developed on gender equality and women's empowerment, including gender mainstreaming and the equal representation of women</p>	<p>6bi. Up to date polices and plans implemented on gender equality and women's empowerment, including gender mainstreaming and the equal representation of women</p>	<p>6ci. Up to date policies and plans implemented on gender equality and women's empowerment, including gender mainstreaming and the equal representation of women</p> <p><b>and</b></p> <p>6cii. Specific senior level mechanism in place for ensuring accountability for promotion of gender equality and the empowerment of women</p>

#### 07. Performance Indicator: Leadership




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

## 08. Performance Indicator: Gender-responsive Performance Management




 <b>Approaches requirements</b>	 <b>Meets requirements</b>	 <b>Exceeds requirements</b>
<p>8ai. The entity's core values and/or competencies being revised to include assessment of gender equality and the empowerment of women</p>	<p>8bi. 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</p>	<p>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</p> <p><b>and</b></p> <p>8cii System of recognition in place for excellent work promoting gender equality and women's empowerment</p>

## D. Human and Financial Resources




### 09. Performance Indicator: Financial Resource Tracking

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




### 10. Performance Indicator: Financial Resource Allocation

 <b>Approaches requirements</b>	 <b>Meets requirements</b>	 <b>Exceeds requirements</b>
<p>10ai. Financial benchmark is set for implementation of the gender equality and women's empowerment mandate</p>	<p>10bi. Financial benchmark for resource allocation for gender equality and women's empowerment mandate is met</p>	<p>10ci. Financial benchmark for resource allocation for gender equality and women's empowerment mandate is exceeded</p>




## 11. Performance Indicator: Gender Architecture

 <b>Approaches requirements</b>	 <b>Meets requirements</b>	 <b>Exceeds requirements</b>
<p>11ai. Gender focal points or equivalent at HQ, regional and country levels are:</p> <ul style="list-style-type: none"> <li>a. appointed from staff level P4 and above</li> <li>b. have written terms of reference</li> <li>c. at least 20 per cent of their time is allocated to gender focal point functions</li> </ul>	<p>11bi. Gender focal points or equivalent at HQ, regional and country levels are:</p> <ul style="list-style-type: none"> <li>a. appointed from staff level P4 and above for both mainstreaming and representation of women</li> <li>b. have written terms of reference</li> <li>c. at least 20 per cent of their time is allocated to gender focal point functions</li> </ul> <p><b>and</b></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> <ul style="list-style-type: none"> <li>a. appointed from staff level P5 and above for both mainstreaming and representation of women</li> <li>b. have written terms of reference</li> <li>c. at least 20 per cent of their time is allocated to gender focal point functions</li> <li>d. specific funds are allocated to support gender focal point networking</li> </ul> <p><b>and</b></p> <p>11cii. Gender department/unit is fully resourced according to the entity mandate</p>

## 12. Performance Indicator: Equal Representation of Women




 <b>Approaches requirements</b>	 <b>Meets requirements</b>	 <b>Exceeds requirements</b>
<p>12ai. Plan in place to achieve the equal representation of women for General Service staff and all professional levels in the next five years</p>	<p>12bi. The entity has reached the equal representation of women for General Service staff and all professional levels</p>	<p>12ci. The entity has reached the equal representation of women for General Service staff and all professional levels including the senior most levels of representation in Field Offices, Committees, Advisory Bodies and Funds linked to the entity irrespective of budgetary source</p>

## 13. Performance Indicator: Organisational Culture




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

## E. Capacity

### 14. Performance Indicator: Capacity Assessment




 <b>Approaches requirements</b>	 <b>Meets requirements</b>	 <b>Exceeds requirements</b>
<p>14ai. Assessment of capacity in gender equality and women's empowerment for individuals in entity is carried out</p>	<p>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 <b>and</b> 14bii. A capacity development plan is established or updated at least every five years</p>	<p>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 <b>and</b> 14cii. A capacity development plan is established or updated at least every three years</p>

### 15. Performance Indicator: Capacity Development




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

## F. Knowledge, Communication and Coherence

### 16. Performance Indicator: Knowledge and Communication

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

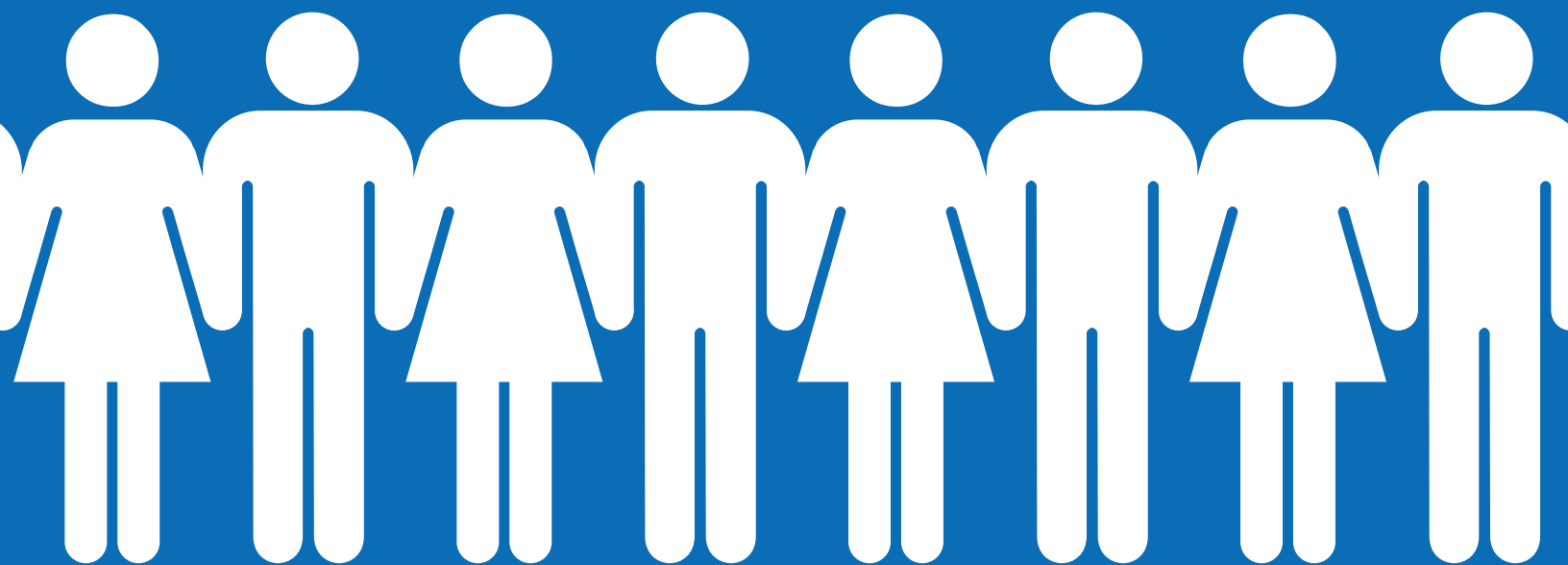
### 17. Performance Indicator: Coherence

 <b>Approaches requirements</b>	 <b>Meets requirements</b>	 <b>Exceeds requirements</b>
<p>17ai. Participates in an ad hoc fashion 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><b>and</b></p> <p>17bii. Participates in a 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><b>and</b></p> <p>17cii. Participates in a UN-SWAP peer review process</p> <p><b>and</b></p> <p>17ciii. Supports implementation of at least one UN-SWAP Performance Indicator in another entity</p>

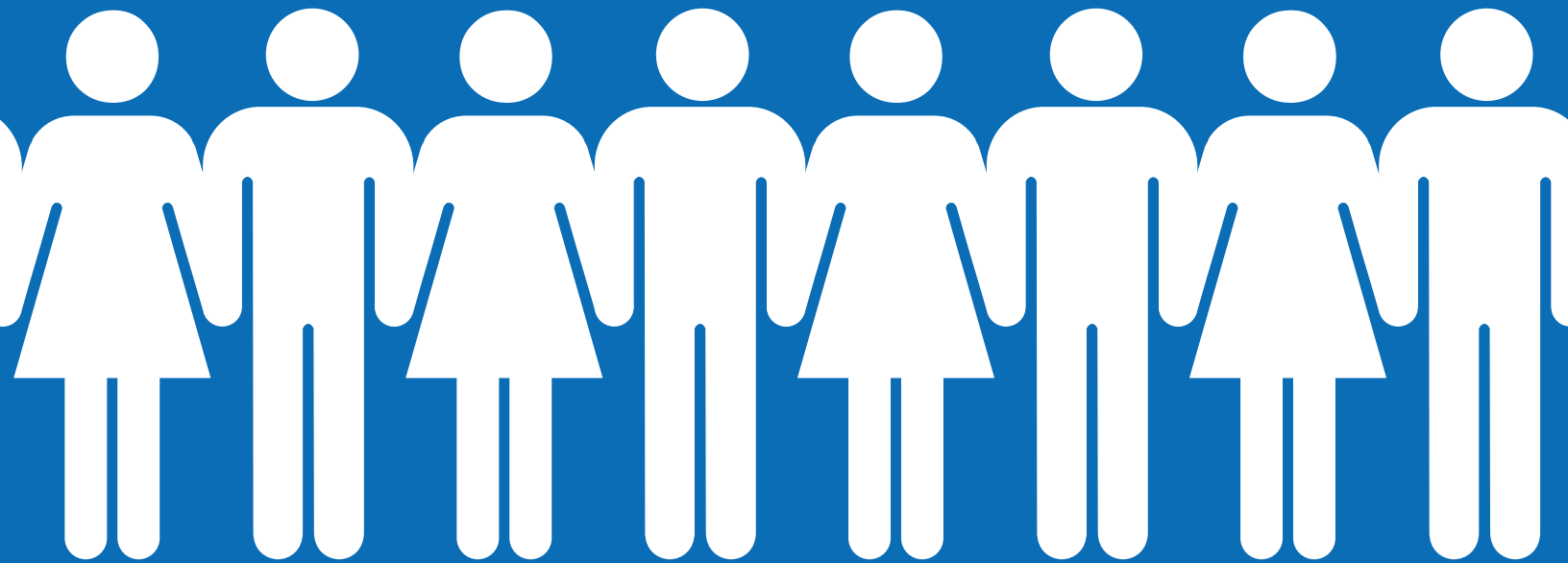
# **UN-SWAP 2.0**

## **2019 TECHNICAL**

### **GUIDANCE**



# **BACKGROUND AND MANDATES**



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 rating meets or exceeds improving from 31 to 65 per cent across the 15 UN-SWAP 1.0 Performance Indicators between 2012 and 2017, with 66 UN entities reporting, or 94 per cent of all UN entities.<sup>2</sup> Building on this significant system wide progress, UN-SWAP 2.0 raises the bar for accountability by strengthening existing indicators and anchoring the framework within the 2030 Agenda for Sustainable Development.

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>3</sup> The timeframe for implementation of the UN-SWAP 2.0 is five years (2018-2022).

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 UNCT-SWAP Gender Equality Scorecard<sup>4</sup>), aligned to UN-SWAP 2.0, has been 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 until 2018, and constitute the changes in UN-SWAP 2.0. These and corresponding revisions to the UNCT Performance Indicators into the UNCT-SWAP Scorecard complete the accountability framework as originally planned.

UN-SWAP 2.0 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 former UN-SWAP 1.0 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.

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2 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: <https://undocs.org/E/2017/57>

3 *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

4 The UNCT-SWAP Scorecard (<https://undg.org/document/unct-swap-gender-equality-scorecard/>) is a standardized assessment of UN country-level gender mainstreaming practices and performance that is aimed at ensuring accountability of senior managers and improving UNCT performance. It results from almost two years of work by the UNSDG, under the leadership of UN Women and the United Nations Development Programme (UNDP). The UNCT-SWAP Scorecard was updated to align with the SDGs and harmonized with the UN-SWAP to strengthen accountability for gender mainstreaming and development results at country level.



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

## Purpose and organisation of the Technical Guidance

This Technical Guidance provide guidance on compliance with 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 Guidance set out:

- the Performance Indicator itself;
- how to complete the rating for the Performance Indicator, i.e. guidance on what you need to do to report on each Performance Indicator;
- current practice and examples from across the UN system that will support your entity in meeting and exceeding the Performance Indicators; and
- the inter-governmental mandate on which the Performance Indicator is based<sup>5</sup>.

## 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”.

<sup>5</sup> Mandates can be found in Annex 3.

The “missing” rating should be applied when the Performance Indicator is relevant to an entity, but the “approaches requirements” rating is not met. “Not applicable” applies where the Performance Indicator is not relevant to a UN entity.

In the UN-SWAP web-based reporting system, UN entities are expected to provide a clear justification 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 Guidance.

## Action Plans for Performance Indicators

UN-SWAP reporting requires the submission of Action Plans to accompany ratings for all indicators, including timelines, resources and responsibility for follow-up actions in order to keep or improve current ratings. Action plans are critical for enabling gaps and challenges to be addressed, and where possible should be agreed upon at the highest possible level within entities.

**Unless plans of action adequately express clear commitments to maintain or improve performance, entities’ UN-SWAP reports will not be accepted.**

1. **Action Points for Improvement:** Entities need to include planned activities to maintain and/or improve performance for each Performance Indicator. Examples of planned activities could include: undertake a capacity assessment (in X year led by X department), conduct a UN-SWAP peer review (with X entity in X year), make the “I Know Gender” course mandatory (for X year), hire a consultant to help develop the entity’s gender policy (in X year).
2. **Timelines:** Timelines for improving or maintaining performance for each Performance Indicator should be realistic. Timelines should reflect implementation plans and review dates included in gender policies/strategies and/or gender equality related outputs included in strategic plans. When applicable, the respective number of years and/or months needed to attain the next performance level since the time of reporting should be indicated.
3. **Resources:** Entities need to include resources required to improve performance for each Performance Indicator. 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 platform, 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 approximately 25,000 USD in consultancy funds and implementing a training course may cost approximately 100,000 USD.

Staffing resources for work related to improving gender equality and the empowerment of women should only be included for Performance Indicator 11 (Gender Architecture). 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.

- 4. Responsibility for follow up:** The UN-SWAP seeks to clarify staff and departmental responsibility for gender mainstreaming and for 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 relevant Performance Indicator. The WFP Business Owners are supported by the WFP Gender Office, which provides overall technical advice, coordination and coherence.

During 2018-2019 the Joint Inspection Unit (JIU) conducted a Review of UN-SWAP 1.0<sup>6</sup> which included a desk review, questionnaires to UN Women and 55 reporting entities, an online survey, a series of interviews and a focus group discussion. The Review also includes an analysis of enabling factors and best practices for each UN-SWAP 1.0 Performance Indicator.<sup>7</sup>

The thorough Review concluded that the UN-SWAP has proven to be an effective framework for tracking system-wide progress and a useful benchmark and catalyst for advancement towards gender mainstreaming in most participating entities, as well as a system-wide achievement.

The JIU Review of the UN-SWAP contains five recommendations aimed at further improvements, addressed respectively to the members of the Chief Executives Board for Coordination, the executive heads of the reporting entities, the Under-Secretary-General/Executive Director of UN-Women and to the legislative and governing bodies of the United Nations system organizations. These recommendations aim at enhancing credibility in the implementation of SWAP, increasing the ownership of reporting entities and reinforcing accountability by executive heads and governing bodies.

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6 Review of UN-SWAP 1.0 (2012-2017) by JIU: [https://www.unjiu.org/sites/www.unjiu.org/files/jiu\\_rep\\_2019\\_2\\_english\\_0.pdf](https://www.unjiu.org/sites/www.unjiu.org/files/jiu_rep_2019_2_english_0.pdf)

7 UN-SWAP 1.0 review by JIU: Annex 3, page 30: [https://www.unjiu.org/sites/www.unjiu.org/files/jiu\\_rep\\_2019\\_2\\_english\\_0.pdf](https://www.unjiu.org/sites/www.unjiu.org/files/jiu_rep_2019_2_english_0.pdf)

### Recommendations from the JIU Review of the United Nations System-wide Action Plan on Gender Equality and the Empowerment of Women (JIU/REP/2019/2)

1. Considering that UN-SWAP is based on self-assessment, quality assurance mechanisms in place in the reporting entities should be assessed regularly to ensure that ratings by indicator are accurate and are appropriately supported by evidence.
2. The members of the CEB are invited to undertake a comprehensive review of the results achieved following the implementation of the first phase of UN-SWAP and endorse the framework as revised in 2018 which was expanded to promote more sustainable achievements by UN Country Teams at the field level.
3. UN-Women is encouraged to review the content of the report formally presented by the United Nations Secretary-General to the Economic and Social Council, notably to indicate the progress made by individual reporting entities, the drivers of success and the challenges they face.
4. The legislative and governing bodies of the United Nations system organizations should review the UN-Women annual letter addressed to executive management that should be accompanied by the measure proposed by executive management to be undertaken to improve compliance with the indicators and expected contribution to gender equality and the empowerment of women.
5. An independent assessment of effective progress towards gender mainstreaming to promote gender equality and the empowerment of women should be undertaken within each of the UN participating organizations, possibly using UN-SWAP as a benchmark.

In response to the JIU Review recommendations, UN Women is publishing in its website individual UN entity performance results<sup>8</sup> against the UN-SWAP 2.0 framework. For a stronger evidence base in the UN-SWAP 2.0 reporting, entities are required to upload the necessary documents to substantiate the self-assessment outlined for each Performance Indicator. In the same vein, entities are also encouraged to conduct UN-SWAP peer reviews included among the requirements for the Performance Indicator 17 on Coherence.

## Additional

This updated version of the UN-SWAP 2.0 Technical Guidance also includes an Annex which clarifies the reporting requirements for Secretariat entities which have a mainly administrative function.

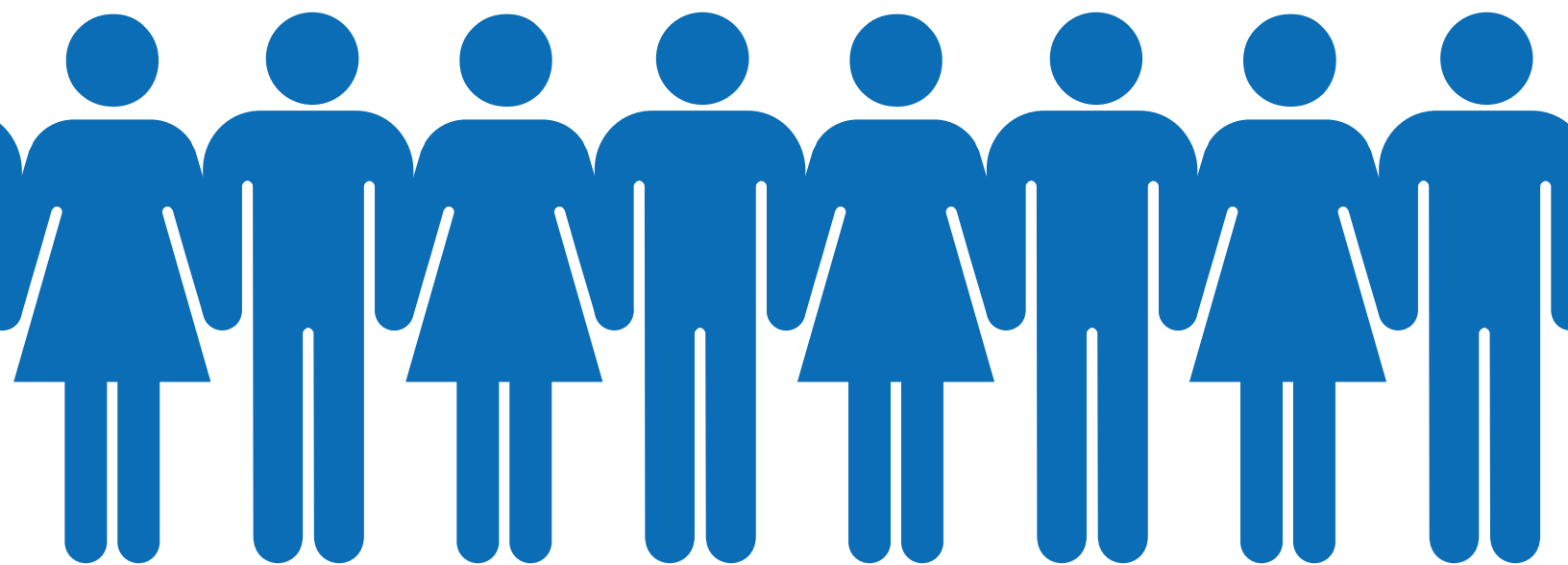
**\*NOTE:** Please do not include acronyms in reporting. It is important to include full titles and office/department names.

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

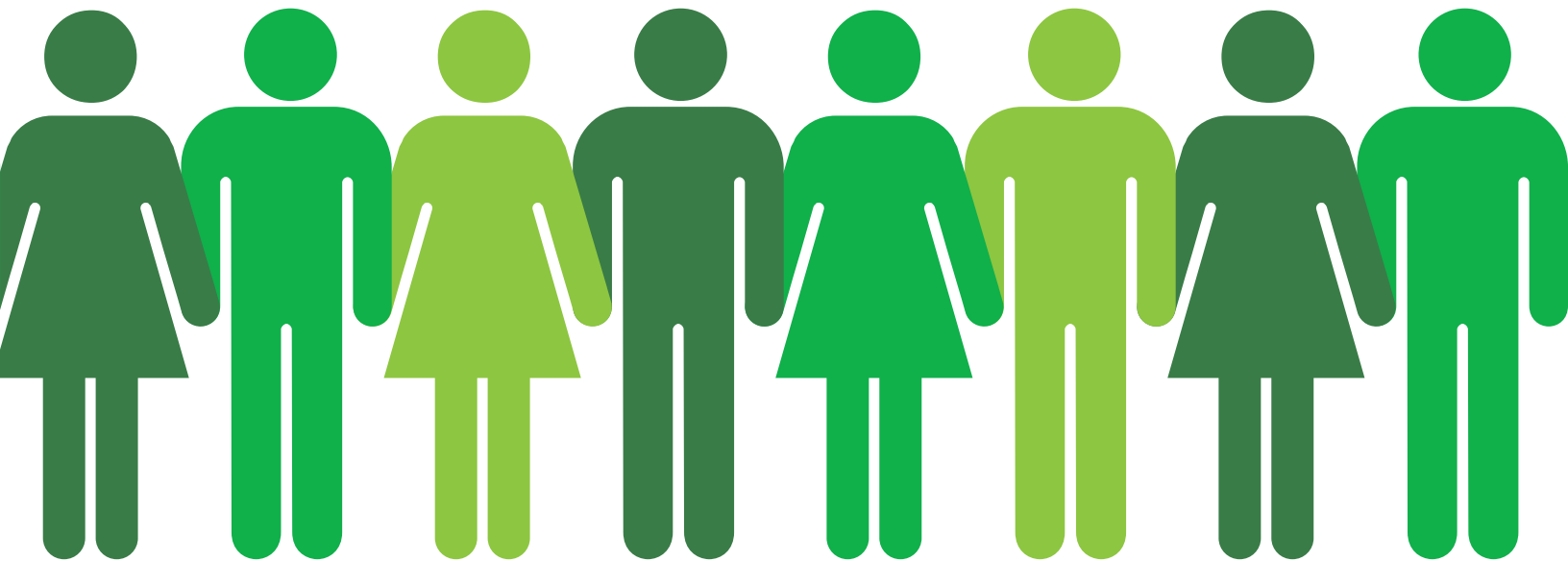
<sup>8</sup> UN-SWAP 2.0 2018 results by entity:

<https://www.unwomen.org/en/how-we-work/un-system-coordination/promoting-un-accountability/un-swap-results>

# I. GENDER-RELATED SDG RESULTS



# A.RESULTS-BASED MANAGEMENT






# PERFORMANCE INDICATOR

01

## STRATEGIC PLANNING GENDER-RELATED SDG RESULTS



## 01. Performance Indicator: Strategic Planning Gender-related SDG results

 <b>Approaches requirements</b>	 <b>Meets requirements</b>	 <b>Exceeds requirements</b>
<p>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</p>	<p>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</p> <p><b>and</b></p> <p>1bii. Entity has achieved or is on track to achieve the high-level result on gender equality and the empowerment of women</p>	<p>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</p> <p><b>and</b></p> <p>1cii. Entity has achieved or is on track to achieve the high-level transformative result on gender equality and the empowerment of women</p>



### What is the Strategic Planning Gender-related SDG Results indicator?

The Beijing Platform for Action promotes a dual approach to achieving gender equality and the empowerment of women (GEEW), that is mainstreaming a gender perspective and promoting women’s empowerment (targeted approaches), known as a twin-track approach.<sup>9</sup> The SDG outcome document retains this dual approach by mainstreaming gender equality throughout and including targeted measures through SDG 5. **When integrating gender into the main strategic planning document entities should bear in mind the need to follow a dual approach to implementing the SDGs, as appropriate to their mandate, and the importance of linking targeted and mainstreaming approaches so that there is a coherent impetus on GEEW.** While this Indicator focuses on including at least one high level result on GEEW in the main strategic planning document, without such a dual approach it is likely that entity focus will only be partial. UN Women is preparing guidance on mainstreaming gender into strategic plans as a complement to these Technical Notes which will be available in 2020.

**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 described in the section “*How to Approach Requirements.*” Entities that do not have a mandate to work on the SDGs should note this in UN-SWAP 2.0 reporting and are still required to include a high-level result related to GEEW to meet requirements.



### Evidence base

Examples of documents to attach to substantiate the entity self-assessment for this indicator:

- Strategic Plan

<sup>9</sup> <http://www.un.org/womenwatch/osagi/pdf/e65237.pdf>



- Report on progress against outlined indicators
- Donor reports
- Reference to SDGs, GEEW Policy or Entity’s Legislative or Governing Body statements

**Note:** Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those to be shared in the Knowledge Hub.



## How to approach 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 inputs for the following table for “approaches”, “meets” and “exceeds” ratings. Examples of completed inputs 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 – include attachments and page numbers	E.g. entity report on main strategic plan
4. Internal assessment of progress using entity assessment methodology for reporting on its main strategic planning document	e.g. not on track, on track, achieved
5. UN-SWAP rating	Not Applicable, Missing, Approaches, Meets or Exceeds requirements If approaches, see table below
6. Specific SDG target(s) and indicators to which result contributes	Online reporting system includes a drop-down box with all SDGs. More than one SDG can be selected.

<p>7. Areas for current UN system-wide contributions to support the achievement of GEWE in the context of the SDGs</p>	<p>Online reporting system includes a drop-down box with 8 areas for contributions. * Select a maximum of three areas</p> <ol style="list-style-type: none"> <li>1. UN System Change</li> <li>2. Access to gender-responsive services</li> <li>3. Financing for GEEW</li> <li>4. Women’s engagement and participation</li> <li>5. Women’s economic empowerment</li> <li>6. Eliminate all forms of violence against all women and girls</li> <li>7. Norms and Standards</li> <li>8. Knowledge</li> </ol> <p>An explanation of these 8 areas can be found below.</p>
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8. 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 (limit: 800 words). Organize the narrative by the 8 areas in section 7 of this table. Select a maximum of three areas in order of priority of focus and highlight which have been selected. In the narrative, make sure to establish the link between the high-level result and the SDGs. Include both targeted and mainstreamed results here.

The narrative should also include reference to contributions to achieving SDG 5 results.

**Format:**

1. What was achieved?
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 States)?

**Typology of current UN system-wide contributions to support the achievement of gender equality and the empowerment of women and girls in the context of the SDGs**

**1. UN System Change**

Continue or scale up internal UN system change to enable gender equality and the empowerment of women and girls. This refers specifically to gender mainstreaming throughout the entities’ work and includes staff systematically engaging in gender analysis, gender responsive planning, implementation, monitoring and evaluation, in programming, human resource management, leadership, internal and external policy development and every other activity that staff engage in. This focus on having a fully gender responsive UN system will make a direct contribution to the attainment of SDG 5 and will contribute to all other SDGs. This is the results area where non-programmatic entities such as UNOG/V/N, DGACM and OLA can report on their work on gender mainstreaming and parity.

## **2. Access to gender-responsive services**

This area of work contributes to the attainment of each of the 17 SDGs. It involves supporting rights holders to access gender responsive services, such as promotion of women's economic empowerment, health, water, housing, education, natural resources, agricultural services, and food assistance. Examples are providing school lunches for girls so they can attend school, staffing with more female health care assistants to encourage women to attend health care centres, and providing seeds grown mainly by women. This also includes capacity development for both rights holders and duty bearers in relation to availability of, and access to, services.

## **3. Financing for GEEW**

Provide support to countries with systems to track and make public allocations for gender equality and the empowerment of women and girls. This area relates directly to SDG 5, Target 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". The indicator for this target is Indicator 5.C.1 "Proportion of countries with systems to track and make public allocations for gender equality and women's empowerment". Also relevant is SDG Indicator 1.b.1 "Proportion of government recurrent and capital spending to sectors that disproportionately benefit women, the poor and vulnerable groups". This includes support to gender budgeting, and capacity building of duty bearers, e.g. in Ministries of Finance.

## **4. Women lead, participate in and benefit equally from governance systems**

Support the engagement of both women and men in attaining gender equality and the empowerment of women and girls. This area contributes to SDG Target 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", SDG Target 5.1 "End all forms of discrimination against all women and girls everywhere" and multiple other indicators that require women's full participation in the decisions that affect them (e.g. Indicator 5.6.1 "Proportion of women aged 15-49 years who make their own informed decisions regarding sexual relations, contraceptive use and reproductive health care"). This includes support to civil society.

## **5. Women have income security, decent work and economic autonomy**

This contributes to SDG 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 law." This should include any programming on women's economic empowerment, including capacity development for duty bearers and rights holders.

## **6. All women and girls live a life free from violence**

This contributes to SDG 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." This should include any programming on violence against women and girls, including capacity development for duty bearers and rights holders.

## **7. Comprehensive set of norms, policies and standards on gender equality and the empowerment of women**

Support policy strengthening and legal adherence, including national standards development, to enable gender equality and the empowerment of women and girls, in alignment with agreed gender equality and human rights norms and standards. This directly relates to SDG Target 5.1 "End all forms of discrimination against all women and girls everywhere", Indicator 5.1.1 "Whether or not legal frameworks are in place to promote, enforce and monitor equality and non-discrimination on the basis of sex" as well as Target 5.C: "Adopt and strengthen policies and enforceable legislation for gender equality".

## 8. Knowledge

Support knowledge generation, management and transfer to enhance integration of gender equality and the empowerment of women and girls across the SDGs. This relates to SDG 17, target 17.9 “Enhance international support for implementing effective and targeted capacity-building in developing countries to support national plans to implement all the sustainable development goals, including through North-South, South-South and triangular cooperation”.

## Table for “approaches requirements”

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.



## 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.**

Entities that do not have a mandate to work on the SDGs should note this in UN-SWAP reporting, and are still required to report on high level results related to GEEW.

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 UN Secretariat entities, in its resolution 72/266 A, entitled “Shifting the management paradigm in the United Nations”, the General Assembly, approved, inter alia, the change from a biennial to an annual budget period on a trial basis<sup>10</sup>. The Programme Plan for programmes and subprogrammes and programme performance information presents achievements under Objectives and Results, based on the instructions contained in the Budget Guide for the preparation of the programme budget.<sup>11</sup> Reporting on Objectives and Results through the Performance Reports can therefore also be used as one source for UN-SWAP reporting.

## 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:

- 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.

<sup>10</sup> <https://undocs.org/E/AC.51/2019/1/Rev.1>

<sup>11</sup> The Programme Plan also includes Deliverables, however they are not considered high-level results for UN-SWAP 2.0 purposes.

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 their contributions to SDG 5 targets while tracking achievement of results.** 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. Transformative results contribute to changes in social norms, cultural values, power structures and the root causes of gender inequalities and discrimination. What constitutes a transformative GEEW result is outlined below, and **entities are required in their reporting to articulate why they consider their result transformative.**



## Additional Information: 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 with 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>12</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>13</sup>

Entities also focus on structural change in their definition of transformative results, for example:

**United Nations Research Institute for Social Development (UNRISD):** Transformative change involves changes in all three dimensions of the 2030 Agenda for Sustainable Development: economic, environmental and social. ....it requires changes in social structures and relations, including addressing the growing economic and political power of elites and patterns of stratification related to class, gender, ethnicity, religion or location that can lock people (including future generations) into disadvantage and constrain their choices and agency. It also means changing norms and institutions, both formal and informal, that shape the behavior of people and organizations in the social, economic, environmental and political spheres.

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12 Transforming our World: the 2030 Agenda for Sustainable Development, A/RES/70/1, para 8.

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



**United Nations Development Programme (UNDP):** “Transformative results are results that contribute to changes in norms, cultural values, power structures and the roots of gender inequalities and discriminations”.

**United Nations Economic and Social Commission for Western Asia (UNESCWA):** “Gender transformative change (GTC) is a deep structural change achieved by addressing the root causes of gender inequality, adapting to the context, and collaborating with a wide network of partners who agree on a common overarching agenda and focused interventions”. GTC incorporates aspects such: profound, holistic, multidisciplinary, multilevel, long-term, non-linear, emergent, inclusive, multi-actor, relational, shifting paradigm. The approach of GTC is analysed as having three key dimensions: - root causes, context, and partnerships”.

Given that transformative results focus on changing root causes of inequality, they 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, with the latter more likely to be transformative. 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.

When determining if your entity’s main strategic plan includes transformative results, please consider the following points:

- The result should focus on changing the root causes of gender inequality and disempowerment of women
- The result statement should be developed through a participatory process consulting all key stakeholders
- The result should be based on local context
- Transformative change will likely take a considerable time to achieve, and entities need to demonstrate, in UN-SWAP 2.0 reporting, that they have designed interventions in a way that will facilitate that change and are on track to achieving what is planned

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

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 from 2019 to 2023 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.

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



## Example: Approaching 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

**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 typology of current UN system-wide contributions. Select a maximum of three areas in order of priority of focus and highlight which have been selected. In the narrative, make sure to establish the link between the high-level result and the SDGs. Include both targeted and mainstreamed results here.

The narrative should also include reference to contributions to achieving SDG 5 results..

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 is 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.



### Example: Meeting 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
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

<p>6. Specific SDG target(s) and indicators to which result contributes and linkage to SDG 5</p>	<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>
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**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 typology of current UN system-wide contributions. Select a maximum of three areas in order of priority of focus and highlight which have been selected. In the narrative, make sure to establish the link between the high-level result and the SDGs. Include both targeted and mainstreamed results here.

The narrative should also include reference to contributions to achieving SDG 5 results.

**Thematic areas:**

Access to gender-responsive services

Women’s economic empowerment, engagement and participation

**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: 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
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**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 typology of current UN system-wide contributions. Select a maximum of three areas in order of priority of focus and highlight which have been selected. In the narrative, make sure to establish the link between the high-level result and the SDGs. Include both targeted and mainstreamed results here.

The narrative should also include reference to contributions to achieving SDG 5 results..

**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.

**PERFORMANCE INDICATOR  
02**

**REPORTING ON  
GENDER-RELATED SDG RESULTS**



## 02. Performance Indicator: Reporting on Gender-related SDG results

 <b>Approaches requirements</b>	 <b>Meets requirements</b>	 <b>Exceeds requirements</b>
<p>2ai. Entity RBM system provides guidance on measuring and reporting on results related to gender equality and the empowerment of women</p> <p><b>or</b></p> <p>2aii. Systematic use of sex-disaggregated data in strategic plan reporting</p>	<p>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</p> <p><b>and</b></p> <p>2bii. Systematic use of sex-disaggregated data in strategic plan reporting</p>	<p>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</p> <p><b>and</b></p> <p>2cii. Systematic use of sex-disaggregated data in strategic plan reporting</p> <p><b>and</b></p> <p>2ciii. Reporting every two years to the Governing Body or equivalent on implementation of the entity's gender equality and empowerment of women policy</p>



### What is the Reporting on Gender-related SDG Results 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 gender-related 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.



### Evidence base

Examples of documents to attach to substantiate the entity self-assessment for this indicator:

- Entity RBM system guidance on measuring and reporting on GEEW
- Governing Body report that includes systematic use of sex-disaggregated data in Strategic Plan reporting

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those to be shared in the Knowledge Hub.





## How to approach requirements

To approach requirements for this Performance Indicator 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.



## How to meet 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 report will be due January 2020 for reporting year

2019. Reporting on the strategic plan results for 2019 may not take place until June 2020, in which case the entity would report its strategic plan results from 2018.

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



## How to exceed 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.



## Example: Meeting Requirements

**The United Nations Office on Drugs and Crime (UNODC)** incorporates a section on gender into its Results Based Annual Report, encouraging projects and programmes to report significant achievements and challenges relating to gender, and requires that results are reported against SDG 5 and its targets and indicators.

UNODC data collections are regularly assessed and upgraded to make them fully gender sensitive. As a minimum this means that sex-disaggregated data are collected for statistics/indicators referring to persons (e.g. victims or perpetrators of crime, drug prevalence, etc.). This principle applies both to mandated data collections managed by UNODC, e.g. UN-Crime Trends Survey (UN-CTS), Annual Report Questionnaire (ARQ), Trafficking in Persons data collection and to survey exercises undertaken at country level with UNODC assistance, such as victimisation, corruption, drug use or drug cultivation surveys.

In 2017, the UN-CTS was thoroughly reviewed and special attention was devoted to make it fully gender sensitive. Besides ensuring that all data are disaggregated by sex, it also gathers statistics on specific issues or with specific data disaggregation in order to capture information relevant to shed light on gender issues. For example, the scope of intentional homicide data was broadened to collect detailed information on homicide perpetrators. UNODC is the only organisation collecting and producing estimates on such killings at global level, and is now able to regularly produce data on women/girls killed by their current or former partner, an indicator that represents a very important component of gender-based killings or femicides. The on-going review process of the ARQ has already identified a number of topics (such as drug use prevalence and access to treatment) to expand the collection of data to make them fully gender-relevant.




# PERFORMANCE INDICATOR

03

## PROGRAMMATIC GENDER-RELATED SDG RESULTS NOT DIRECTLY CAPTURED IN THE STRATEGIC PLAN



### 03. Performance Indicator: Programmatic Gender-related SDG Results\*1

 <b>Approaches requirements</b>	 <b>Meets requirements</b>	 <b>Exceeds requirements</b>
<p>3ai. Results on gender equality and the empowerment of women are consistently included in programmatic initiative planning documents</p>	<p>3bi. Programmatic results on gender equality and the empowerment of women are met or on track to be met</p>	<p>3ci. Programmatic results on gender equality and the empowerment of women are met or on track to be met</p> <p><b>and</b></p> <p>3cii. Programmatic initiatives consistently include transformative results on gender equality and the empowerment of women</p>



### What is the Programmatic Gender-related SDG Results not captured in the Strategic Plan indicator?

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.



### How to use this performance indicator

#### Programmatic 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.

Examples of programmatic results include: implementation of an international convention; implementation of regional agreements on gender equality and trade; the capacity of counterparts developed; working and living conditions of informal economy workers improved; 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.

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.**

Entities are required to provide inputs for the following table for approaches, meets and exceeds ratings.

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, or include in a separate attachment
2. Achievement in year/s	Note briefly progress towards the results, 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.
7. Areas for current UN system-wide contributions to support the achievement of GEWE in the context of the SDGs	<p>Online reporting system will include a drop-down box with 8 areas for contributions. * Select a maximum of three areas</p> <ol style="list-style-type: none"> <li>1. UN System Change</li> <li>2. Access to gender-responsive services</li> <li>3. Financing for GEEW</li> <li>4. Women’s engagement and participation</li> <li>5. Women’s economic empowerment</li> <li>6. Eliminate all forms of violence against all women and girls</li> <li>7. Norms and Standards</li> <li>8. Knowledge</li> </ol>

#### 8. 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 typology of current UN system-wide contributions. Select a maximum of three areas in order of priority of focus and highlight which have been selected. In the narrative, make sure to establish the link between the high-level result and the SDGs. Include both targeted and mainstreamed results here.

The narrative should also include reference to contributions to achieving SDG 5 results.

#### **Format:**

1. What was achieved?
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)?

**Please refer to pages 34, 35 and 36 for the typology of current UN system-wide contributions to support the achievement of gender equality and the empowerment of women and girls in the context of the SDGs.**

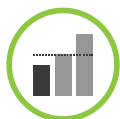


### Evidence base

Examples of documents to attach to substantiate the entity self-assessment for this indicator:

- Gender marker data compiled (x% of projects are rated at least 2a or 2b)
- Annual reports and/or donor reports demonstrating that results have been met

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those to be shared in the Knowledge Hub.



### How to approach requirements

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.



## How to meet requirements

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 2019 entities would review all programmatic initiatives completed in 2018. 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: 2019
- Date UN-SWAP report for 2019 is due: January 2020
- Year from which programmatic initiatives should be reviewed: 2018

Entities that do not have a mandate to work on the SDGs should note this in UN-SWAP reporting, and are still required to report on high level results related to GEEW.



## How to exceed requirements

### 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.

“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.

**Please refer to pages 38, 39 and 40 for more information on transformative results, including some examples.**

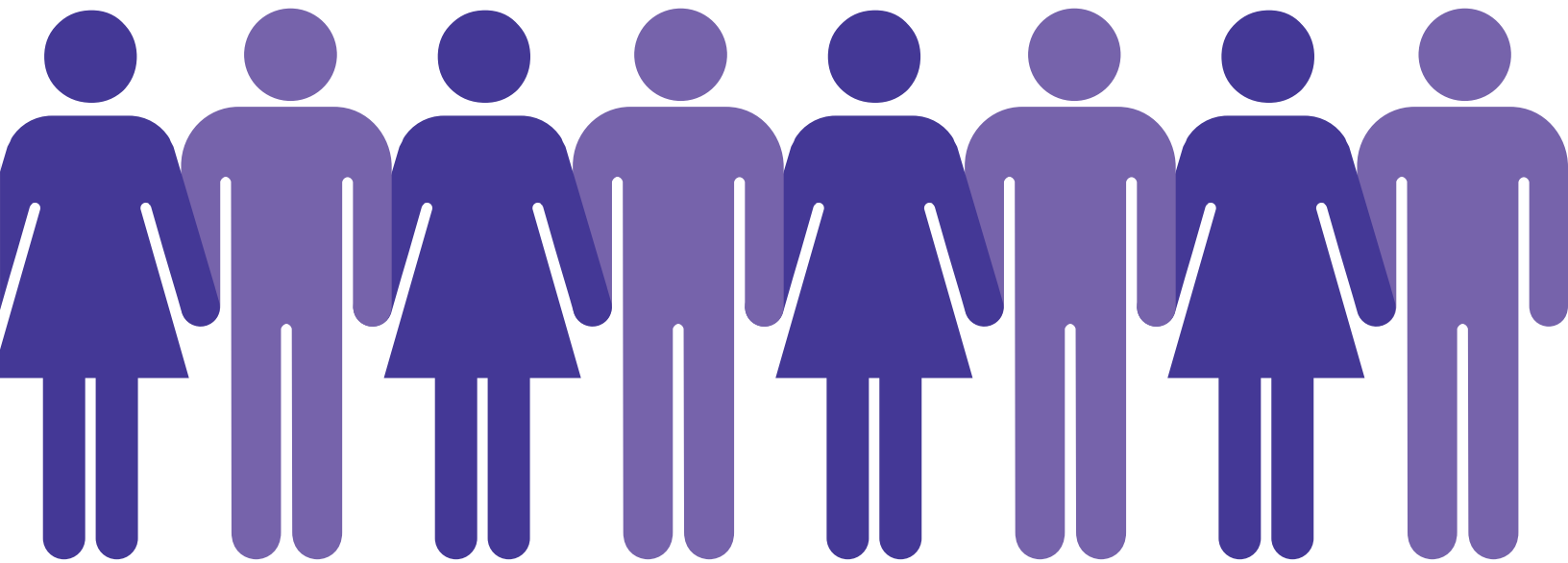


## Additional Points

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 “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.

## B. OVERSIGHT








# PERFORMANCE INDICATOR

04

## EVALUATION



## 04. Performance Indicator: Evaluation

 <b>Approaches requirements</b>	 <b>Meets requirements</b>	 <b>Exceeds requirements</b>
<p>4ai. Meets some of the UNEG gender-related norms and standards in the UNEG Guidance on Integrating Human Rights and Gender Equality in Evaluations</p>	<p>4bi. Meets the UNEG gender equality - related norms and standards <b>and</b> 4bii. Applies the UNEG Guidance on Integrating Human Rights and Gender Equality in Evaluations during all phases of the evaluation</p>	<p>4ci. Meets the UNEG gender equality - related norms and standards, applies the UNEG Guidance on Integrating Human Rights and Gender Equality in Evaluations during all phases of the evaluation <b>and</b> 4cii. Conducts at least one evaluation to assess corporate performance on gender mainstreaming or equivalent every 5-8 years</p>



### What is the Evaluation indicator?

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

### UNEG gender-related Norms, Standards and Guidance

The UNEG Norms and Standards for Evaluation were updated in 2016<sup>14</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 on Human Rights and Gender Equality is paramount for ensuring it is institutionalized across the UN system.



### How to use this performance indicator

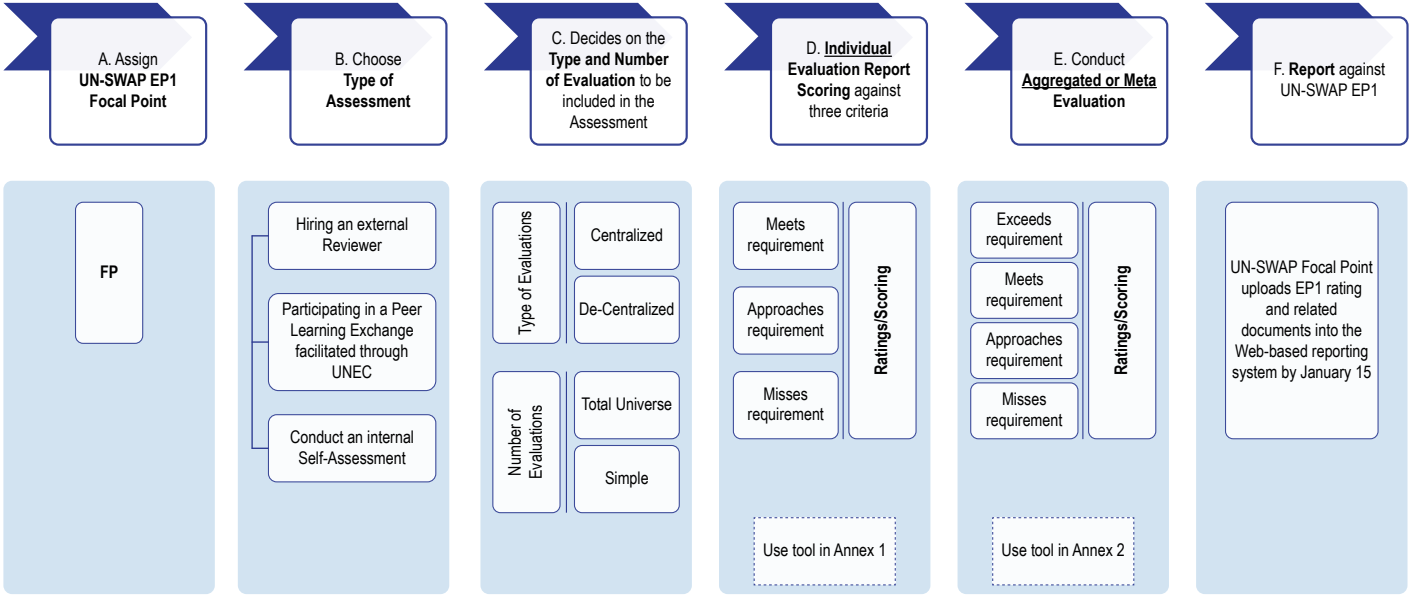
The use of the UNEG endorsed UN-SWAP Evaluation Scorecard<sup>15</sup> provides a basis for harmonization across entities by assigning an overall aggregate score for reporting against the UN-SWAP Evaluation Performance Indicator’s scaled rating system: missing, approaching requirements, meeting requirements, or exceeding requirements.

14 United Nations Evaluation Group (2016). Norms and Standards for Evaluation. New York: UNEG:  
<http://www.unevaluation.org/document/detail/1914>

15 Integrating Gender Equality and Human Rights in Evaluation - UN-SWAP Guidance, Analysis and Good Practices:  
<http://www.unevaluation.org/document/detail/1452>

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 evaluation and thus the indicator is 'not applicable'.

**Essential steps of the UN-SWAP EPI reporting cycle**



**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 assessment only those reports that meet the UNEG definition for evaluation. 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. 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.

**The UN-SWAP Evaluation Scorecard**

The UNEG endorsed scorecard<sup>16</sup> is a tool aimed at assessing evaluation reports of an entity against three criteria.

16 Revised UN-SWAP EPI Technical Note and Scorecard (April 2018):

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>17</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:

- 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).<sup>18</sup> 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.

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

<sup>17</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.

<sup>18</sup> <http://www.unevaluation.org/document/detail/1452>

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
- 9.01-12 = Exceeds Requirement



## Evidence base

Examples of documents to attach to substantiate the entity self-assessment for this indicator:

- Aggregated/meta-evaluations
- Completed UN-SWAP Evaluation Scorecards
- Report of corporate gender mainstreaming evaluation

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those to be shared in the Knowledge Hub.



## How to approach requirements

To approach the requirement for this Performance Indicator, at least one of the three criteria needs to be assessed at “Satisfactorily Integrated (2)”. Example below.



## How to meet requirements

For an evaluation to “meet requirements” at least one of the criteria needs to be assessed at “fully integrated (3)”. 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 [UNEG endorsed UN SWAP EPI Technical Note<sup>19</sup> - Annex 1 and 2.](#)



## How to exceed requirements

In order to exceed requirements, an entity’s evaluation reports must ‘meet requirements’ and the 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”.

### 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, the **United Nations Development Programme (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 an 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 requirements”.

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.

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.

<sup>19</sup> <http://www.uneval.org/document/detail/1452>

Examples of a completed Scorecard on how to report against this performance indicator can be found in UNEG endorsed UN SWAP EPI Technical Note - 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>20</sup>, who is responsible for uploading these to the web-based reporting system<sup>21</sup>. 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.

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.”



### Example: Meeting Requirements

The **United Nations Population Fund (UNFPA)** Evaluation Office commissioned an independent quality assessment of 22 evaluations covered in the 2017 UN SWAP EPI reporting cycle: 2 corporate evaluations and 20 decentralized programme-level evaluations (including 19 country programme evaluations and one regional programme level evaluation) were included.

The assessment used the UNEG endorsed Technical Note and Scorecard, which specifies the overall score as well as the score by evaluation (vis-à-vis the four criteria comprising the EPI), providing a detailed explanation of why a particular rating was given. In 2017, on aggregate, UNFPA evaluation reports “met the requirements” of the EPI, with an overall score of 9.45, reflecting a year on year improvement from 2015 to 2017 in the quality of evaluation reports, including the integration of gender equality and women’s empowerment. Twenty of the 22 evaluation reports “met the requirements”, while one “exceeded requirements”. One report (a corporate evaluation), “approached requirements”.

The evaluation quality assurance and assessment (EQAA) system expands and strengthens assurance and assessment processes. The evaluation quality assessment grid against which all evaluations are assessed – includes a criterion on gender which directly mirrors the language of the EPI. In 2017, the grid (and its use) was further strengthened: a guidance note was developed and the approach to addressing the sub-criteria (under each criterion in the grid) was made explicit, ensuring consistency in and transparency of the assessment.

However, challenges to integration continued to be faced, including in ensuring adequate resources are directed toward integration (which often requires a radical re-think in the methodological approach to evaluation), including ongoing practical training on integrated gender equality in evaluation.

<sup>20</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>21</sup> [Unswap.unwomen.org](http://Unswap.unwomen.org)



## Example: Exceeding Requirements

**The International Fund for Agricultural Development (IFAD)** Independent Office of Evaluation (IOE) undertook a meta-evaluation of 17 evaluations (completed in 2016-2017), comprising of 9 project performance evaluations, 1 impact evaluation, 5 country strategy programme evaluations and 2 evaluation syntheses against the criteria set out in the UN SWAP EPI scorecard. The individual meta-scores across different types of evaluation vary. 12 out of 17 (70%) evaluations exceed requirements, 4 (24%) meet requirements, 1 (6%) approaches requirements, resulting in a meta-score of 10.7. IOE has thus “exceeded requirements”.

The highest average score (2.88 out of 3) was on performance criteria 1 (scope of analysis and indicators designed ensuring that GEWE related data be collected) and criteria 2 (2.82 out of 3) (evaluation criteria and evaluation question specifically address how GEWE has been integrated into the design, planning, implementation of the intervention and the results achieved). The criterion scoring the lowest was criterion 4 (findings, conclusions and recommendations reflect a gender analysis) with an average scoring of 2.41 out of 3. This indicates that integrating GEWE into the scope and evaluation design have improved, more is required to ensure that important findings are also reflected in the conclusions and recommendations.

Drivers for positive result identified in IFAD’s meta-evaluation:

- Since 2010 a conscious effort made to integrate GEWE in most evaluations and evaluation synthesis reports;
- IOE management is aware and supportive of GEWE issues and increased attention to GEWE issues in peer reviews and quality assurance;
- Increased effort to integrate GEWE issues and principles across core sections of the evaluation reports e.g. context, relevance, human and social impact, climate change and sustainability, non-lending activities and country strategy performance;
- More conscious effort to ensure gender balance and/or gender expertise in evaluation teams and some country strategy programme evaluations.
- Further refine the granularity and quality of the data and analysis by paying attention to who benefits from project activities (presenting sex disaggregated results);
- Ensure that important gender findings are reflected in the conclusions and recommendations.





# PERFORMANCE INDICATOR

05

## AUDIT



## 05. Performance Indicator: Audit

 <b>Approaches requirements</b>	 <b>Meets requirements</b>	 <b>Exceeds requirements</b>
<p>5ai. 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</p>	<p>5bi. 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</p>	<p>5ci. Relevant gender equality findings are systematically presented in annual reports of the internal audit departments <b>and</b></p> <p>5cii. Internal audit departments undertake a targeted audit engagement related to gender equality and the empowerment of women at least once every five years</p>



### What is the Audit indicator?

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.



### How to use this 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.

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.

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.



## Evidence base

Examples of documents to attach to substantiate the entity self-assessment for this indicator:

- Tools used for auditing GEEW-related issues
- Annual audit reports
- Report of targeted audit

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those to be shared in the Knowledge Hub.



## How to approach requirements

To approach the requirements, organizations should organize consultation 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.



## How to meet requirements

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.



## How to exceed requirements

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).



## Example: Meeting Requirements

At the **World Health Organisation (WHO)**, gender, equity and human rights (GER) are systematically taken into consideration in independent risk audit assessment planning since 2014, with consultation with the GER team when required. “Gender, Equity and Human Rights” budget centre is included as a separate auditable unit in the audit universe.

It is standard procedure to include specific audit tests on Gender, Equity and Human Rights related issues as part of the performance area in integrated audits. In 2017, the IOS methodology for GER review was revised in consultation with the GER team. In 2017, the GER tests were expanded from three to five areas covering seven data sets (policies/strategies, guidelines/tools, workplans, health information systems, publications, communication materials, and donor reports). In 2017 an audit step was added in the operational audits to specifically mention the review of “gender” in the recruitment process. The Office of Internal Oversight Services had discussions with staff / gender focal points at different levels of the organization (Headquarters, Regional Offices and a selection of Country Offices) in relation to gender equality and the empowerment of women and discussions on risks related to gender equality and the empowerment of women.



### Example: Exceeding Requirements

The **World Food Programme (WFP)** Office of the Inspector General (OIGA) consults 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 includes gender in engagement specific risk assessments. OIGA, in collaboration with the Gender Office, also undertook a Participatory Gender Audit (PGA) in 2016 covering one Headquarters division (Human Resources), one Regional Bureau (Cairo), one Liaison Office (Amman) and two country offices (Sudan and Jordan). The results of the audit have informed engagement-level risk assessments for audit planning purposes.

The Office of the Inspector General (OIG) of the **Food and Agricultural Organization (FAO)** has a gender focal point responsible for ensuring that gender-related risks are duly considered in all its internal audit activities. Consultation with FAO’s Gender Team takes place every year as part of OIG’s annual planning process, and to update country office standard audit programmes as necessary. These audit programmes include a standard section related to gender mainstreaming. The findings of each audit are included in individual country reports. In addition, a summary of issues is included in a periodic capping report and presented to senior management. For corporate performance audits, gender related risks are identified and assessed in all engagements at audit planning stage and, where considered relevant, included in the audit scope. Moreover, OIG’s annual activity report includes a section that summarizes all OIG’s gender-related activities in the year. OIG also ensures that all of its staff receive sufficient trainings and sensitization in the area of gender and are kept aware of relevant corporate initiatives. Specifically, all OIG staff must complete UN WOMEN’s basic gender training for UN staff. In addition, workshops with FAO’s Gender Team are organized periodically. Furthermore, a divisional newsletter which is disseminated to OIG staff on a quarterly basis includes regular articles on gender.

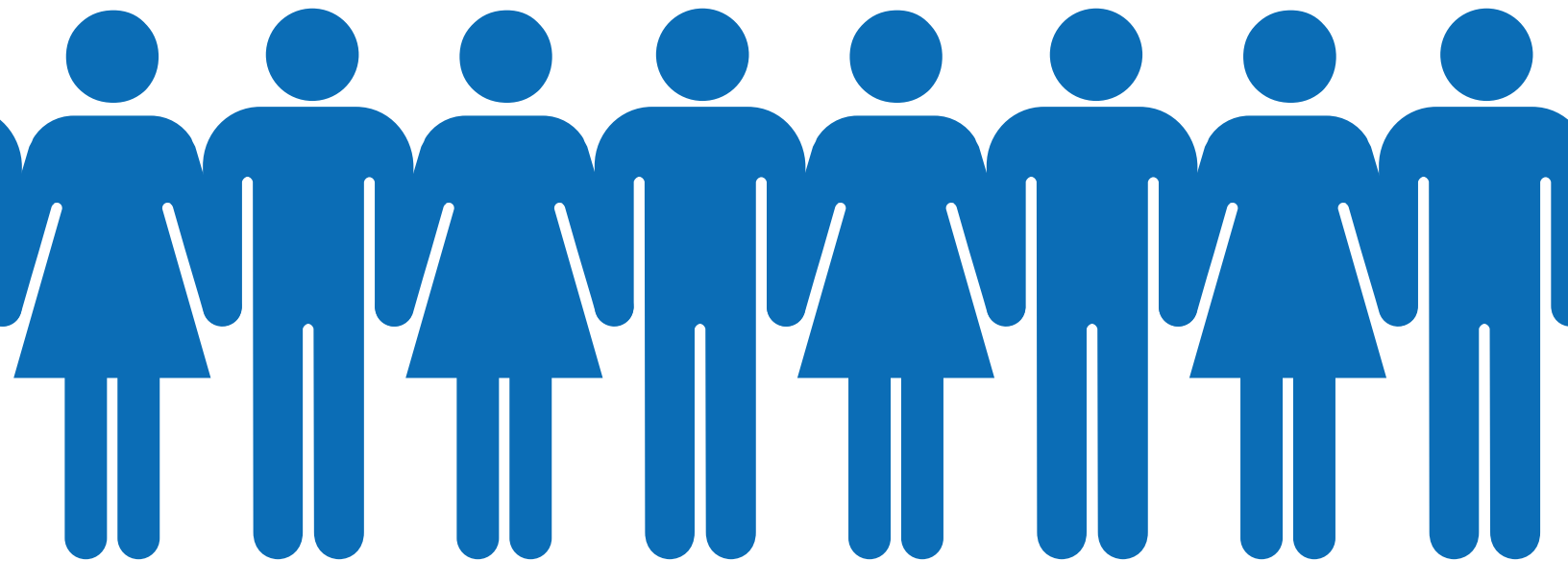
The **Internal Audit of the International Telecommunication Union (ITU)** conducted a GEM audit in 2017 with the objective of providing to the ITU Secretary-General a reasonable assurance that there is adequate governance and risk management with respect to GEM, and that the internal controls are effective 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.



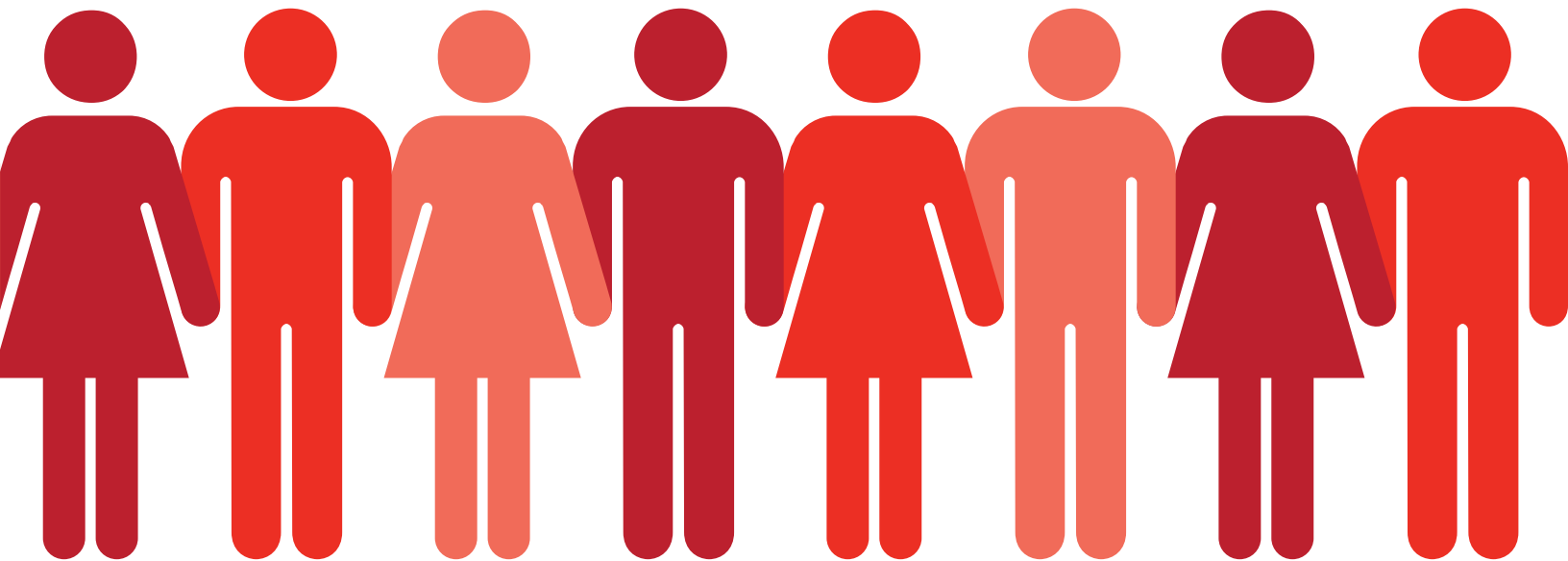
### Additional Points

UNRIAS, recognizing 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.

## **II. INSTITUTIONAL STRENGTHENING TO SUPPORT ACHIEVEMENT OF RESULTS**



## C. ACCOUNTABILITY



# **PERFORMANCE INDICATOR**

**06**

## **POLICY**



## 06. Performance Indicator: Policy

 <b>Approaches requirements</b>	 <b>Meets requirements</b>	 <b>Exceeds requirements</b>
<p>6ai. Policies and plans being developed on gender equality and women's empowerment, including gender mainstreaming and the equal representation of women</p>	<p>6bi. Up to date polices and plans implemented on gender equality and women's empowerment, including gender mainstreaming and the equal representation of women</p>	<p>6ci. Up to date policies and plans implemented on gender equality and women's empowerment, including gender mainstreaming and the equal representation of women</p> <p><b>and</b></p> <p>6cii. Specific senior level mechanism in place for ensuring accountability for promotion of gender equality and the empowerment of women</p>



### What is the Policy indicator?

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.



### How to use this performance indicator

Entities must have both up-to-date gender equality and women's empowerment policies/strategies and 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 includes a focus on equal representation of women plans, entities are encouraged to report on the implementation of policies and plans for equality representation of women policies under Performance Indicator 6.



### Evidence base

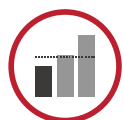
Examples of documents to attach to substantiate the entity self-assessment for this indicator:

- Gender mainstreaming policy/strategy
- Gender Action Plan/Implementation plan



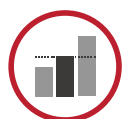
- Gender parity strategy
- Documents to demonstrate that the policy is being monitored, for instance Gender Steering Board or Senior Management Team meeting minutes

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those to be shared in the Knowledge Hub.



## How to approach requirements

To approach the requirements of this indicator, entities should be in the process of developing a gender equality and women's empowerment policy/strategy and plan.



## How to meet requirements

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

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

#### 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.

#### 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 gender policy. Policies developed prior to 2018 should follow the Technical Guidance 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.

## 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.



### How to exceed requirements

To exceed requirements for this indicator, entities need to have both up to date gender equality and women's empowerment policy/strategy and implementation plan (including gender mainstreaming and the equal representation of women) - and have specific senior level mechanism in place for ensuring accountability for promotion of gender equality and the empowerment of women.



### Example: Meeting Requirements

The **International Organisation for Migration (IOM)** adopted its Gender Equality Policy 2015-2019 with an accompanying strategic implementation plan in 2015. The Gender Coordination Unit (GCU) leads the implementation of the policy, in close collaboration with the business owners of the relevant sections. IOM's Diversity and Inclusion Workplan includes targets for gender parity and other activities to foster a gender-inclusive work environment. Implementation of the Diversity and Inclusion Workplan is coordinated by the Diversity and Inclusion Officer who is part of the Human Resources Management Division (HRM).

GCU, HRM and other relevant offices continue to inform staff about the Gender Equality Policy through various trainings and presentations at Headquarters and in the field. In particular, staff are informed about their specific responsibilities under the policy as they relate to, inter alia, project development and endorsement, monitoring and evaluation, human resources management, and so forth.

Regarding gender parity in staffing, in 2018, a Diversity and Inclusion Steering Committee was formed and met twice in 2018. The Committee is chaired by the Deputy Director General and has ten members in total. It is gender balanced, includes the Gender Officer (Head of GCU) and has representation from various levels and locations.

A Mid-Term Evaluation of the IOM Gender Equality Policy was finalized in late 2017 and distributed to IOM staff in May 2018. A report of the evaluation findings and recommendations, along with IOM's progress on implementing the UN-SWAP framework from 2012-2017, was distributed to IOM Member States in April 2018 and later presented to IOM Member States at the Standing Committee on Programmes and Finance meeting in June 2018. A final evaluation of the implementation of Gender Equality Policy is planned for 2020.



## Example: Exceeding Requirements

The **United Nations Industrial Development Organization (UNIDO)**'s Policy on Gender Equality and the Empowerment of Women includes performance requirements that align with the six pillars of the UN-SWAP (Accountability, Results-based Management, Oversight, Human and Financial Resources, Capacity Development, and Coherence and Knowledge, and Information Management) and respond to the respective performance indicators within each pillar. The gender policy highlights gender mainstreaming and the equal representation of women as key priorities for the Organization. In addition, the gender policy outlines the Organization's gender architecture, which introduced more senior accountability mechanisms to ensure the full and meaningful mainstreaming of gender at all levels and within all areas of work.

In addition, UNIDO has a Gender Equality and Empowerment of Women Strategy 2016-2019 that provides a clear results-oriented framework and plan of action. The gender strategy is fully aligned with the Organization's strategic planning documents, including the Integrated Results and Performance Framework, the Medium-Term Programme Framework 2016-2019 and Programme and Budgets 2016- 2017. Similar to the updated gender policy, UNIDO's gender strategy aligns its focus areas with the six pillars of the UN-SWAP, including a road map to comply with UN-SWAP standards. The UNIDO Strategy for Gender Equality and the Empowerment of Women (2020–2023), which promotes UNIDO's vision that women and men equally lead, participate in, and benefit from inclusive and sustainable industrial development (ISID) was launched on 4 November 2019.

UNIDO's Gender Mainstreaming Steering Board 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.

The **United Nations Development Programme (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.



## Additional Points

Policy-related documents can be found on the UN-SWAP Knowledge Hub<sup>22</sup> housed on the online UN- SWAP reporting site.

UN Women has also prepared a Guidance Note<sup>23</sup> on the preparation of gender equality and the empowerment of women policies and strategies to ensure alignment with the UN-SWAP. This guidance is currently being revised to align with the updated UN-SWAP 2.0 framework.

<sup>22</sup> Online: [unswap.unwomen.org](https://unswap.unwomen.org)

<sup>23</sup> Guidance on the development of gender equality and the empowerment of women policies: <https://www.unwomen.org/-/media/headquarters/attachments/sections/how%20we%20work/unsystemcoordination/guidance-development-gender-policies.pdf?la=en&vs=1440>




# PERFORMANCE INDICATOR

07

## LEADERSHIP



## 07. Performance Indicator: Leadership

 <b>Approaches requirements</b>	 <b>Meets requirements</b>	 <b>Exceeds requirements</b>
<p>7ai. Senior managers internally champion gender equality and the empowerment of women</p>	<p>7bi. Senior managers internally and publicly champion gender equality and the empowerment of women</p>	<p>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</p>



### What is the Leadership indicator?

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 on Gender Equality and the Empowerment of Women (CEB/2 – 6/2) was formulated to help overcome 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 the context of the overall move to strengthen leadership across the UN.

Senior managers for this Performance Indicator are defined as personnel of grade D1 and above level or equivalent, and reporting on the Performance Indicator should have a particular focus on the Head and Deputy Head(s) 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.

In accordance with CEB leadership framework<sup>24</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; UN leaders are bound to promote 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;” this is of particular importance in relation to gender equality and the empowerment of women, which can be controversial.

24 United Nations system leadership framework. CEB/2017/1. <https://www.unsceb.org/content/united-nations-system-leadership-framework-0>

**Accountable**, “mutually within the system, to beneficiaries and to the public beyond,” including specific accountability to women and girls as those often left furthest behind;

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

**Transformational**, “of ourselves and those we serve.” The UN system needs to invest in strong transformational leadership. Transformational leadership is heavily reinforced by attitudinal and behavioural adjustments, by development of leadership capabilities, and by strong vision and leadership for change;”

**Collaborative**, “within and beyond the UN system.” Today’s UN leaders actively create safe and meaningful opportunities to hear the voices of people themselves, civil society, local communities, the marginalized and excluded within them, and those most at risk of being left behind.” Again this is key to gender equality and the empowerment of women, which seeks to ensure effective participation of and decision-making by women and girls; and

**Self-applied**, “A UN leader is expected not just to preach UN principles and norms to other, but to live them....This means that in interactions within offices, teams, agencies, and across the system the UN leader is fully respectful of all colleagues at all levels, is gender-sensitive, promotes and celebrates diversity as a strength, fosters teamwork, empowers staff, recognizes and rewards merit, and operates with integrity, transparency and fairness.”

In addition, the leadership framework notes that a commitment to continuous learning and professional/leadership development are key attributes of the UN leader.

The CEB Leadership Framework has guided the components of this UN-SWAP Performance Indicator, which focus on internal and public championing of gender equality and the empowerment of women, with attention to **the need for transformational leadership, personal commitment of senior managers, attitudinal change, engagement with gender issues during engagements, and the importance of actively advocating externally and internally for gender equality and the empowerment of women**, as a central mandate of the UN, and in spite of external or internal push back or opposition.



## Evidence base

Examples of documents to attach to substantiate the entity self-assessment for this indicator:

- Minutes of CEB, HLCM, HLCP, UNSDG
- Governing body minutes
- Senior Management Team meeting minutes
- Speeches

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those to be shared in the Knowledge Hub.



## How to approach requirements

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

- Articulate a vision of the ways in which the entity will support the promotion of gender equality and the empowerment of women as a central UN norm, 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 to promote attitudinal change. 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 or equivalent. 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.



## How to meet requirements

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 reaches equal representation of women in staffing within an appropriate time-frame, in particular at the P4 or equivalent level and above.
- Advocating for gender equality and the empowerment of women in at least two of the following areas:
  - o 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.
  - o Advocate with other UN entities concerning the importance of promoting gender equality and the empowerment of women. The evidence base will be minutes of the CEB, HLCM, HLCP and UNSDG, and minutes of inter-agency meetings or equivalent.
  - o Promote equal representation of women in delegations to Governing Bodies, assemblies and/or intergovernmental fora.<sup>25</sup>
  - o Promote mentoring programmes on gender equality and the empowerment of women for in particular for the senior management team or equivalent.

<sup>25</sup> See the following resources for support in this area: Shaping the International Agenda: Raising Women's Voices in Intergovernmental Forums. UN Women and International Gender Champions Geneva, March 2017; Gender-Responsive Assemblies: An Agenda for Concrete Action. International Gender Champions, September 2018.

- o Ensure that substantive attention to gender equality and the empowerment of women is included in all relevant engagements of senior managers. The evidence base will be agendas of meetings, representation on panels and any other evidence from engagements.
- Prioritizing funds for achieving the entity's gender equality and the empowerment of women mandate through advocating for additional funds and human resources, 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.



## How to exceed requirements

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

The **International Fund for Agricultural Development (IFAD)**'s senior management creates a supportive and enabling environment for gender mainstreaming, especially with regard to operations. The speeches of the IFAD President are analysed annually to determine the extent to which gender issues are addressed (and reported in the annual report). Gender issues were addressed at the Third Global Meeting of the Indigenous Peoples' Forum at IFAD, immediately before the 2017 Governing Council of IFAD. The Forum had a particular focus on women and youth.

Gender issues were also addressed during the 2017 Governing Council in the Briefing by Italy on the G7 Presidency and other statements and debate. IFAD Management has appointed a high-level gender champion – currently the Associate Vice President of the Programme Management Department (PMD) who facilitates high-level meetings on gender.

At the **United Nations Office at Vienna (UNOV)/United Nations Office on Drugs and Crimes (UNODC)**, senior managers have continued to demonstrate leadership and publicly champion the promotion of the equal representation of women. In particular, the Director-General/Executive Director of UNOV/UNODC places gender as a priority for the office and has voiced the importance of promoting gender equality through mainstreaming gender in programmes and initiatives as well as through achieving gender parity in staff. In June 2017, the DG/ED joined the Vienna chapter of the International Gender Champions Initiative. To promote an inclusive organizational culture, he has committed to encourage the increased use of flexible working arrangements within UNOV/UNODC. The DG/ED has instructed senior management to make gender equality a priority and encouraged leadership to support efforts so that the office will achieve gender equality goals/commitments. Notably, as gender is a cross-cutting theme, a corporate decision was made to place the Global Programme on Gender in the Office of the DG/ED, where it would have visibility and the highest-level of impact across both UNOV and UNODC. The DG/ED has also called on men in leadership positions to take an executive responsibility to ensure that the organizational culture is conducive to the advancement of women. On this issue, he contributed to the iKNOW Politics and International Gender Champions' e-Discussion on Engaging Male Champions to Support Women's Political Participation.



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.

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.



### Additional points

The International Gender Champions and UN Women have published guidance for gender-responsive assemblies: *Shaping the International Agenda: Raising Women’s Voices in Intergovernmental Forums*.<sup>26</sup> The publication aims to build knowledge on women’s participation in national delegations to meetings of international organizations’ governing bodies and their leadership roles in these meetings.

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26 <https://www.unwomen.org/en/digital-library/publications/2017/3/raising-womens-voices-in-intergovernmental-forums>




# PERFORMANCE INDICATOR

08

## GENDER-RESPONSIVE PERFORMANCE MANAGEMENT



## 08. Performance Indicator: Gender-responsive Performance Management

 <b>Approaches requirements</b>	 <b>Meets requirements</b>	 <b>Exceeds requirements</b>
<p>8ai. The entity's core values and/or competencies being revised to include assessment of gender equality and the empowerment of women</p>	<p>8bi. 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</p>	<p>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</p> <p><b>and</b></p> <p>8cii System of recognition in place for excellent work promoting gender equality and women's empowerment</p>



### What is the Gender-responsive Performance Management

Clear accountability mechanisms are key to ignite and sustain progress. Accountability for gender equality is best implemented when it not only targets senior leaders but also includes all staff, through the integration of appropriate objectives in each staff member's performance plan and review.

The UN-SWAP recognizes that positive performance is the result of the combination of accountability mechanisms as well as rewards and incentives.



### How to use this performance indicator

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



### Evidence base

Examples of documents to attach to substantiate the entity self-assessment for this indicator:

- Core values and competencies
- System of recognition

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those to be shared in the Knowledge Hub.



## How to approach requirements

To approach requirements for this indicator entities should be revising the core values and/or competencies to include assessment of gender equality and the empowerment of women.



## How to meet requirements

To meet the requirements for 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.

In its Resolution 63/251<sup>27</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.

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.



## How to exceed requirements

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.

In addition, 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.



## Example: Meeting Requirements

The **United Nations Population Fund (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

<sup>27</sup> United Nations Common System: Report of the International Civil Service Commission.

of the core values specified in all vacancy announcements and specific requirements related to gender are detailed in programme and operations vacancies at UNFPA.

The **Food and Agriculture Organization of the United Nations (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.

As of January 2013, 100 per cent of the **Office of the United Nations High Commissioner for Human Rights (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 per cent 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).

At the **UN Refugee Agency (UNHCR)**, diversity including gender equality and the empowerment of women is one of the core values of the organization and the importance of this has been emphasized in the Global Strategic Directions 2016-2021. This is reinforced in the culture through the Code of Conduct Refresher theme of Inclusion and Diversity for 2017/2018.

- All job advertisements include a statement in respect of diversity: ‘UNHCR is committed to diversity and inclusion within its workforce, and encourages qualified candidates from all national, religious and ethnic backgrounds, including people living with disabilities, to apply to become a part of our organization’.
- Clear accountability for managers in respect of shortlists of two-thirds women has been built into the Recruitment and Assignments framework, with mandatory justification in cases where provision not adhered to.
- Composition of the Performance Rebuttal Board is gender diverse as per UNHCR’s Administrative Instructions Introducing Procedures on Performance Management
- Reference to gender equality or empowerment is included in more than one-third of the UNHCR competencies, including core cross-functional and managerial competencies as well as values.



### Example: Exceeding Requirements

The **United Nations Development Programme (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.

The **United Nations Office for Project Services (UNOPS)** competency framework promotes “Integrity and Inclusion” as a core competency that applies to all UNOPS personnel and calls upon senior managers to act as “Role models for diversity and inclusion” and to “Drive and promote diversity; demonstrate awareness and management of own unconscious biases.” On a regular basis, all UNOPS personnel are evaluated against the core competency of “integrity and inclusion” as part of the annual performance appraisal, where personnel are formally evaluated against both objectives

and competencies. This is included within the performance management policy and is mandatory for all personnel who work with UNOPS for six months or more.

A leadership mindset, grounded in the UNOPS competency framework, was introduced in 2017, defining what it means to be a people leader in the organization. Through this leadership mindset we aim to demonstrate consistent beliefs, values and assumptions about the way our people are led at UNOPS. Creating an inclusive work environment, and treating people fairly and with respect, is at the heart of the mindset. The mindset has the ability to: (1) influence the culture of the organization; (2) determine the tone of personnel experience in the workplace; and (3) support the purpose of the organization.

UNOPS considers the contribution to gender equality when choosing the winners of UNOPS annual awards. UNOPS established two awards with links to gender equality: (1) The PEOPLE LEADERSHIP Award for team leaders and supervisors who have inspired others to succeed and demonstrated the mind-set and skills of great people leadership and shown commitment to the achievement of gender equality and knowledge sharing. (2) The VALUES AND PRINCIPLES Award for individuals or teams who have advanced and embody the UN Values of Integrity, Professionalism and Respect for Diversity.

For 2018, Performance objectives on Gender Parity Targets were included for Senior Leadership.

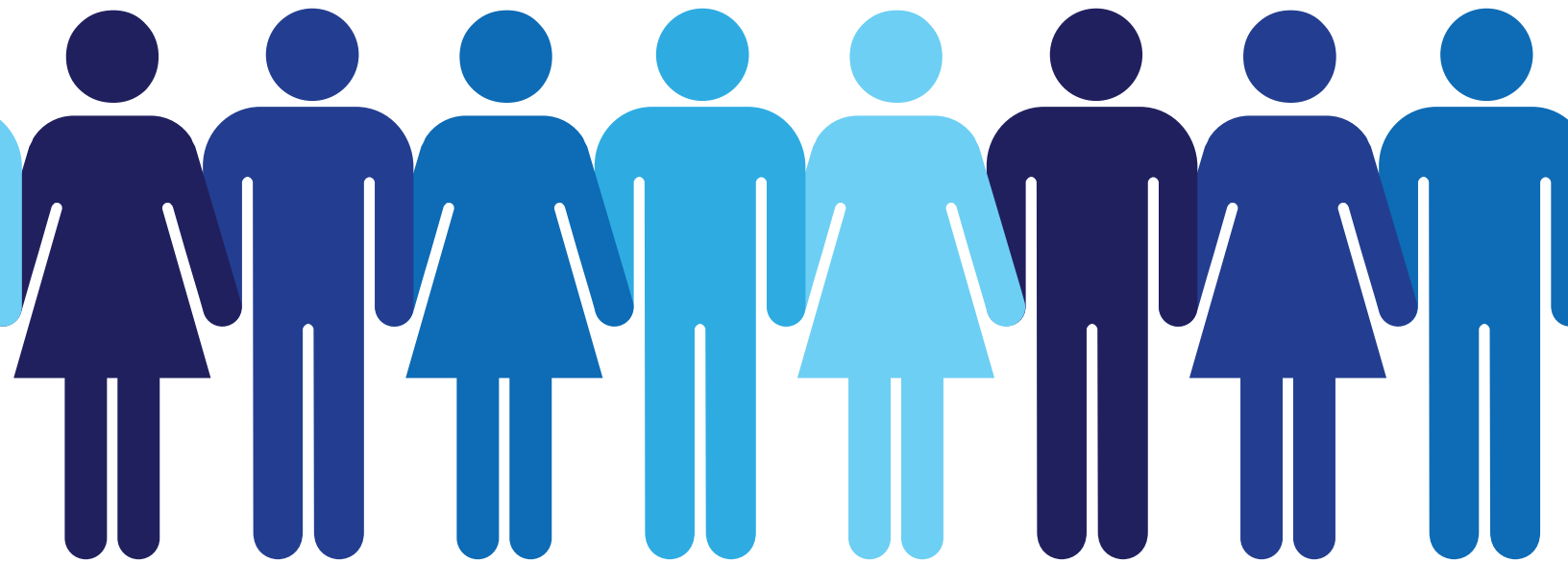
#### **Examples of systems of recognition:**

At the **UN Refugee Agency (UNHCR)**, a new award - the Individual Award for Excellence in Leadership and Management - was introduced during 2018. It targets managers at heads of section/unit and above and includes as one of the criteria: "Established a respectful work environment for all colleagues at all levels, that is gender-sensitive, and promotes and celebrates diversity as a strength."

The **United Nations Development Programme (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, the **International Fund for Agricultural Development (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.

# D. HUMAN AND FINANCIAL RESOURCES



# PERFORMANCE INDICATOR



09

## FINANCIAL RESOURCE TRACKING





## 09. Performance Indicator: Financial Resource Tracking

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



### What is the Financial Resource Tracking indicator?

Financial resource tracking involves the ability to track financial disbursements. Generally, such tracking is done through the introduction of tagging (e.g. a gender marker) into the financial resource tracking system that the entity uses to track expenditures. In the UN system two major systems that perform these duties are ATLAS and UMOJA.

Several ECOSOC resolutions<sup>28</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 this performance indicator

A gender marker involves evaluating expenditures to assess the degree to which and how they address GEEW. The intent of the financial resource tracking indicator is fourfold: to track the UN's financial support for gender equality, to encourage increased discussion of how to improve the gender responsiveness across a range of projects and programs, and eventually to establish an iterative process whereby planning and implementation are linked, and finally a gender marker is an excellent tool to help inform indicator 10.

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

<sup>28</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: <https://www.un.org/en/ecosoc/docs/docs.shtml>

These gender marker systems build off the OECD-DAC Gender Equality Policy Marker<sup>29</sup>, and in their coding system provide an indicative overview of resources allocated to promotion of gender equality and the empowerment of women. These systems generally use a 0 to 2b or 0 to 3 scale as follows,

- 0 means no reflection of gender
- 1 limited reflection of gender
- 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

Because of difficulties in breaking down budgets into component parts, in most cases an examination of needs assessment, outcomes/outputs or activities is done. For projects that merit a 2a or 2b, close to 100 per cent of resources should be allocated towards gender.



## Evidence base

Examples of documents to attach to substantiate the entity self-assessment for this indicator:

- Information extracted from financial resource tracking (budgeting and expenditures for gender equality results)
- Meeting minutes to demonstrate decisions based on financial resource tracking data

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those to be shared in the Knowledge Hub.



## How to approach requirements

Gender marker systems not specifically tied to tracking financial resources, but rather to assessing overall programme performance, should be rated as approaching requirements. Similarly, unless financial tracking captures a significant portion of programs or projects, the appropriate rating is approaching. Given that all entities receive financial resources, not applicable is not an appropriate category for indicator 9. Entities that are awaiting the incorporation of a gender marker into UMOJA for example should report approaching requirements rather than not applicable.



## How to meet requirements

To meet the requirements for this Performance Indicator, UN entities should have a financial tracking system in place to quantify funds allocated for the promotion of gender equality and the empowerment of women. This requires not just tracking funds that are explicitly focused on promoting gender equality, but also funds allocated for gender mainstreaming.

29 OECD DAC Gender Equality Policy Marker: <http://www.oecd.org/dac/gender-development/dac-gender-equality-marker.htm>



## How to exceed requirements

To exceed the requirement, an explicit link should be made between the resource tracking mechanism and UN entity budgeting processes. Entities that have successfully exceeded this requirement have therefore facilitated regular communication between budget, gender equality and program staff.



## Example: Meets requirements

A number of entities have incorporated gender markers into the ATLAS financial system. **UNDP**, **UNFPA**, and **UNICEF** are using similar markers, although the unit of analysis differs – activities are coded in the case of UNFPA, 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. Because they were an early adaptor, UNDP uses a four-point scale that ranges from 0 to 3 (GEN 0: not expected to contribute to gender equality, GEN 1: contributes to gender equality in a limited way, GEN 2: gender equality is a significant objective, GEN 3: gender equality is a principle objective). Their experience though was used to inform other roll-outs, and has led to the recommendation that other entities use 0 to 2b instead.

The **United Nations Children's Fund (UNICEF)** 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 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.

The **United Nations Population Fund's (UNFPA)** gender marker is mandatory and captures all programme funds. Management funds are presently not included. UNFPA originally adopted a 3-point scale, but after the pilot phase was carried out in 2012 the limits of 3 points were revealed. A 4-point scale instead provided more granular information and in addition 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 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 the GPS, each workplan activity is tagged to a gender marker code and other attributes such as Strategic Plan output and outcome, PC outputs, Intervention area etc. Activity tagging is mandatory and, unless tagged, users are not able to create programme budgets 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.

The **United Nations Economic and Social Commission for Western Asia (ESCWA)** began developing a gender marker in 2014, which they piloted and then launched in 2015. In 2017 they successfully incorporated the gender marker

into UMOJA by projectizing outputs and creating an empty field where a gender marker could be entered. The ESCWA marker includes the categories blind, limited, significant and principal, which map fairly closely to the categories 0 to 2b.



## Example: Exceeds requirements

**The UN Peacebuilding Support Office (PBSO)** is one of the earliest adapters of a gender marker, having introduced the IASC gender marker in 2009. All entities that apply for Peacebuilding Funds (PBFs) must self-score their funding requests using the IASC gender marker. In recent years PBSO has begun rejecting applications that have a gender marker score of zero. PBSO has also linked indicator 9 to the SG's target to allocate 15 per cent of UN- managed funds to address the GEWE target, although they have yet to reach that target. Concerned that they were receiving an insufficient number of projects that aimed to promote gender equality, PBSO began to explicitly solicit proposals that have gender equality as a specific objective (2b). As such the gender marker is serving not just to track financial resources, but also to reshape policy priorities. As a result, PBSO has been successful in exceeding both indicators 9 and 10 in recent years.

**The Office for Coordination of Humanitarian Affairs (OCHA)** has also incorporated the IASC gender marker into their budgetary process. This process has involved assuring that gender advisors are involved in budgetary allocation decisions as well as in the project review process. In addition, data collection at the field level is used to assess whether funded projects are using a gender responsive approach. The data are also utilized for country level strategic planning. Finally, OCHA has made their gender marker data available to the general public.



## Additional Information: Resources

The **United Nations Development Group (UNDG) - now the United Nations Sustainable Development Group (UNSDG)** - has produced a Gender Equality Marker Guidance Note<sup>30</sup> and its companion Financing for Gender Equality and Tracking Systems - Background Note<sup>31</sup>. 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. The CEB Working Group on UN-SWAP Gender Marker Implementation has issued two guidance notes on Quality Assurance of Gender Equality Markers and Coding Definitions for Gender Equality Markers (December 2018).<sup>32</sup>

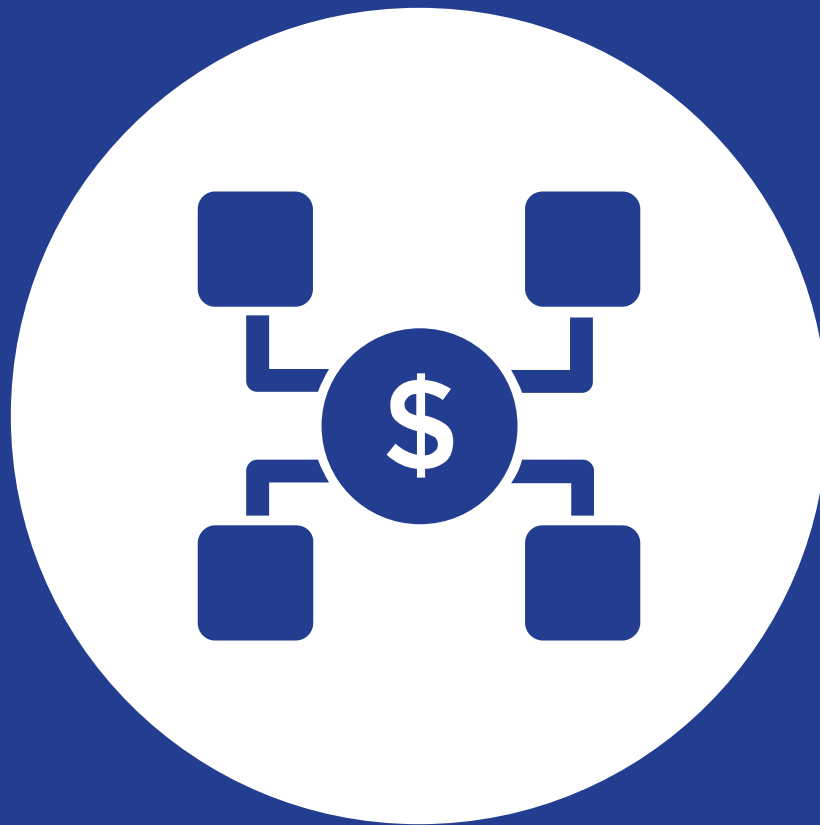
30 Gender Equality Guidance Note (2013). United Nations Development Group: <https://undg.org/document/gender-equality-marker-guidance-note/>

31 Financing for Gender Equality and Tracking Systems – Background note (2013). United Nations Development Group: <https://undg.org/document/background-note-financing-for-gender-equality-and-tracking-systems/>




32 CEB Working Group on UN-SWAP Gender Marker Implementation: <https://www.unsystem.org/content/working-group-un-swap-gender-marker-implementation>

**PERFORMANCE INDICATOR  
10**

**FINANCIAL RESOURCE ALLOCATION**



## 10. Performance Indicator: Financial Resource Allocation

 <b>Approaches requirements</b>	 <b>Meets requirements</b>	 <b>Exceeds requirements</b>
10ai. Financial benchmark is set for implementation of the gender equality and women's empowerment mandate	10bi. Financial benchmark for resource allocation for gender equality and women's empowerment mandate is met	10ci. Financial benchmark for resource allocation for gender equality and women's empowerment mandate is exceeded



### What is the Financial Resource Allocation indicator?

The UN has pledged to address gender inequality and promote women's empowerment. The financial resource allocation indicator involves entities establishing a benchmark or target percent of their funds to be spent on gender equality and women's empowerment with a focus on ways of addressing this issue in the context of each entity's mandate. In one of the first major systematic initiatives of its kind in the UN system, the Secretary-General in 2010 committed the Peacebuilding Fund<sup>33</sup> 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.



### How to use this performance indicator

By setting the goal to spend a percent of financial resources on GEEW, entities will be assuring that gender equality is incorporated into budgetary decisions. This requires an examination of and inclusion of regular, core and extra-budgetary resources. Discussions both about what the appropriate benchmark should be, as well as how to achieve that benchmark are necessary to this process. For example, if a UN entity runs training workshops for Member States and determines that achieving gender parity in these training sessions is core to their mandate, the budget process should involve identifying the resources needed to achieve this goal, with a focus on what percent of total financial resources this would require. Similarly, if a UN entity's mandate includes empowering women through greater participation in political processes, the resources required for achieving this goal should be estimated and then an appropriate benchmark should be calculated.

Ideally the setting of a financial benchmark will also be informed through the use of the gender marker data (indicator 9.) Entities will establish through use of the gender marker system the current allocation to promoting gender equality and the empowerment of women and be able to determine if this figure is adequate to meet their mandate. Entities that have not rolled out their gender marker or not gathered sufficient data, may set their target based on particular outputs that have a clear gender equality component. Once sufficient data are collected though, the gender equality target should be adjusted accordingly, preferably becoming not only more comprehensive but also more ambitious.

Although in some cases a clear mandate has been established by the UN leadership, (e.g. the SG target for 15 per cent of peacebuilding funds (PBF) to address GEEW), even entities that do not face a UN or donor-imposed mandates

33 [https://www.un.org/ga/search/view\\_doc.asp?symbol=A/65/354](https://www.un.org/ga/search/view_doc.asp?symbol=A/65/354)

should be establishing goals that assure that a percentage of their financial resources are spent on GEEW. Given that different entities engage with the issue of gender equality and the empowerment of women more or less directly, there is not a single percentage that is recommended for all entities, but what is expected is that strategic planning and budget discussions will incorporate discussions of how gender equality can be incorporated into each entity's mandate, with the aim of establishing a benchmark to assure that this occurs.

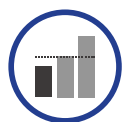


## Evidence base

Examples of documents to attach to substantiate the entity self-assessment for this indicator:

- Document that demonstrates that a financial benchmark has been set for the entity's activities to promote GEEW during a specific period
- Financial tracking/monitoring data

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those to be shared in the Knowledge Hub.



## How to approach requirements

A first step in this process is to assure that strategic planning and budget discussions include an emphasis on gender equality and the empowerment of women, in order to establish a benchmark that is both realistic and ambitious. This benchmark should be given as a percent of total financial resources. Entities still in the process of determining what the relevant percent should be should report that they are approaching the requirement. In addition, those who have established a numerical target (e.g. a set USD amount), rather than a percentage, should report that they are approaching the requirement and continue to work towards establishing a percent figure.



## How to meet requirements

Once the process of setting a percent target has occurred, the UN entity must then achieve their financial target across all budgets. In cases where an entity meets or exceeds the target for one or more years, but in subsequent years falls back below the target, they must again report approaching. Given that this process is meant to be iterative and work in tandem with indicator 9, note that it is possible, if an entity adjusts their financial target upwards, for the entity temporarily slip from meets to approaches. Entities should therefore aim not just to consistently meet a set target but also to periodically reassess whether sufficient resources are being allocated to GEEW and if necessary adjust the target upwards.



## How to exceed requirements

To exceed the requirement, UN entities should have surpassed their financial target and have allocated a percent of funds that is greater than their target to GEEW. An entity that consistently exceeds their target by a wide margin should probably consider increasing their benchmark.



## Example: Approaching Requirements

As far back as 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>34</sup> More recently, through its Gender Equality Strategy 2018-2022<sup>35</sup>, UNDP will seek to progressively increase programming which specifically addresses gender equality through its programmatic work. Therefore, UNDP will aim during the period of this strategy to eventually achieve having 15 per cent allocation of all country programme and project budgets to advancing gender equality and/or empowering women (Gender marker attribute GEN-3 – Gender equality and the empowerment of women is principal objective of outcome).”



## Example: Meeting Requirements

While UNFPA is not mandated in the same way that PBSO is, they set a target of 11 per cent based on the examination of one gender specific outcome that was incorporated into their strategic plan. In most years they have either met or exceeded that target. Given that gender equality is also a cross-cutting issue for UNFPA, estimating gender-related spending through a focus on a single outcome has probably led to an underestimation of their actual gender-related spending. Therefore, in years when they report meeting requirements, they may in fact be exceeding their goal. Given that UNFPA now has a functioning gender marker, as they collect and analyse more financial data, they will be able to set both a more realistic target and obtain better estimates of total gender-related spending. This should lead to them readjusting their target upwards in the coming years, as they incorporate more data into this process.



## Example: Exceeding Requirements

PBSO is an entity that is mandated by the SG Peacebuilding Fund commitment to reach at least the 15 per cent target. In 2015 PBSO met this commitment for the first time. The Peacebuilding Fund reached 19.2 per cent in 2016 and raised the target to 30 per cent in its business plan for the period 2017– 2019. In 2017 they increased gender related funding even more, reaching 36 per cent. In his 2018 report on Peacebuilding and Sustaining Peace (A/72/707–S/2018/43<sup>36</sup>), the SG requested that all United Nations funding mechanisms in support of peacebuilding projects meet and exceed this 15 per cent target and that Member States contribute specifically in this area, where resources are scarce but the impact great.

The PBSO example illustrates how indicators 9 and 10 work in tandem. After tracking their gender marker data for a number of years, PBSO became concerned at the low level of projects that have gender equality as a specific objective (2b or 3), so they launched an explicit initiative to solicit more gender related proposals. It was after they began this process that they were able to first meet and then exceed the indicator.

34 UNDP Gender Equality Strategy 2008-2011, p. 36.

35 UNDP Gender Equality Strategy 2018-2022: <https://www.undp.org/content/undp/en/home/librarypage/womens-empowerment/undp-gender-equality-strategy-2018-2021.html>

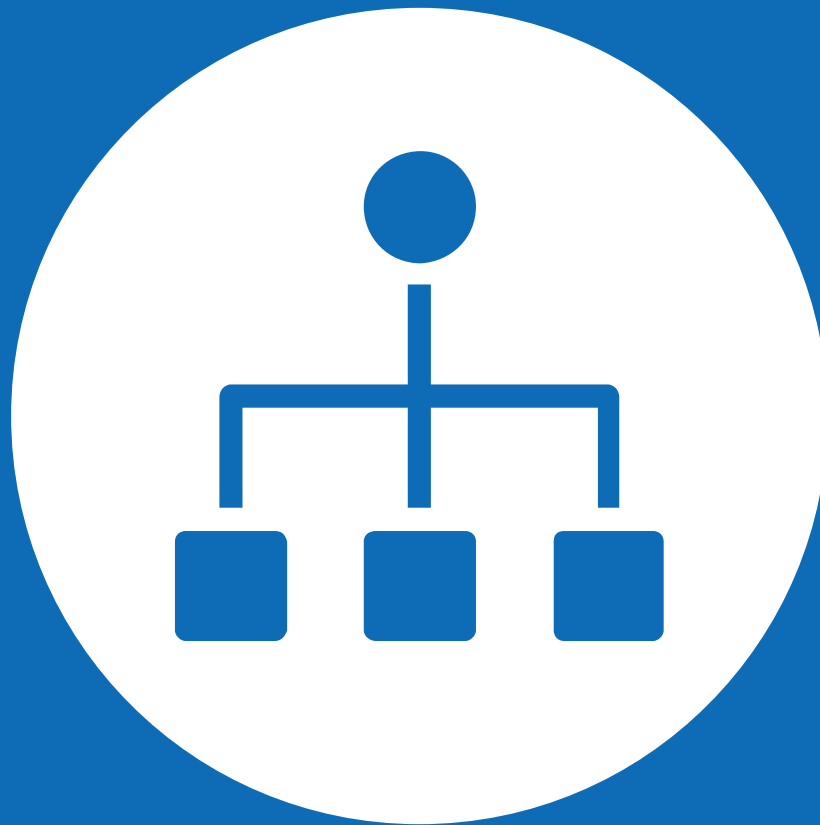
36 Peacebuilding and Sustaining Peace. Report of the Secretary-General 2018: <https://undocs.org/a/72/707>






The **United Nations Climate Change (UNFCCC)** In 2018, for the first time since the gender project was included as a project in the Trust Fund for Supplementary Activity (project 36, page 24 of Programme Budget) , donor funding was received that met and then exceeded the proposed budget amount for the year. The funding was sufficient to also contribute to Momentum for Change Women for Results pillar and to engage a consultant to support the work on gender internally and in the intergovernmental process.

# PERFORMANCE INDICATOR 11

## GENDER ARCHITECTURE



## 11. Performance Indicator: Gender Architecture

 <b>Approaches requirements</b>	 <b>Meets requirements</b>	 <b>Exceeds requirements</b>
<p>11ai. Gender focal points or equivalent at HQ, regional and country levels are:</p> <ul style="list-style-type: none"> <li>a. appointed from staff level P4 and above</li> <li>b. have written terms of reference</li> <li>c. at least 20 per cent of their time is allocated to gender focal point functions</li> </ul>	<p>11bi. Gender focal points or equivalent at HQ, regional and country levels are:</p> <ul style="list-style-type: none"> <li>a. appointed from staff level P4 and above for both mainstreaming and representation of women</li> <li>b. have written terms of reference</li> <li>c. at least 20 per cent of their time is allocated to gender focal point functions</li> </ul> <p><b>and</b></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> <ul style="list-style-type: none"> <li>a. appointed from staff level P5 and above for both mainstreaming and representation of women</li> <li>b. have written terms of reference</li> <li>c. at least 20 per cent of their time is allocated to gender focal point functions</li> <li>d. specific funds are allocated to support gender focal point networking</li> </ul> <p><b>and</b></p> <p>11cii. Gender department/unit is fully resourced according to the entity mandate</p>



### What is the Gender Architecture Performance Indicator?

Efforts to mainstream gender equality and the empowerment of women can easily be undermined by a lack of sufficient human and financial resources. Weak gender architecture, including understaffed and underfunded gender focal point networks and gender units, prevent UN entities from meeting their gender-related mandates. Given the paramount importance of ensuring adequate resourcing, the 2018 ECOSOC Resolution on Mainstreaming a gender perspective into all policies and programmes in the United Nations system, “requests the United Nations system, in particular UN-Women, in consultation with Member States, to address the issue of sustainable resourcing for the implementation of the System-wide Action Plan 2.0...”<sup>37</sup>

Analysis of UN-SWAP 1.0 results has shown that entities with a dedicated Gender Focal Point system appointed at the P-4 or higher level, written Terms of Reference and a minimum requirement of 20 per cent of time allocated to gender equality work meet or exceed, on average, requirements for 1/3 more indicators than those entities that are missing a Gender Focal Point System.



### Evidence base

Examples of documents to attach to substantiate the entity self-assessment for this indicator:

- Gender Focal Point TORs

<sup>37</sup> <https://undocs.org/en/E/RES/2018/7>

- Overview of the gender unit's budget for the reporting year and list of posts (titles and grades of all staff in the unit/department)
- Organizational chart showing location of Gender Unit

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those to be shared in the Knowledge Hub.



## How to approach requirements

### Gender Focal Points

To approach requirements for this indicator, entities need to have Gender Focal Points or equivalent at HQ, regional and country levels who are appointed from staff level P4 and above, have written terms of reference and have at least 20 per cent of their time allocated to gender focal point functions.

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>38</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.

It is recommended that, 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,

38 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://idev.afdb.org/en/document/mainstreaming-gender-equality-road-results-or-road-nowhere>

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.



## How to meet requirements

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

### Gender Unit

A Gender Unit or Equivalent (Office, Department, Branch, etc) is a separate organizational unit charged with coordinating the entity's work on GEWE through providing strategic support for the development of policies, projects, capacity building and strategic initiatives, etc.

The gender unit 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 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.

Gender units should be strategically placed in the entity and have adequate authority and capacity to influence entity's policies and decision-making. Optimally, gender units should be located at the highest possible level in the organigram and in direct connection with the executive office.

Strong gender architecture within an entity may be reflected by:

- senior gender personnel having roles within institutional decision-making and programmatic delivery, including authority/influence over budgets and policy (ie. extent to which perspectives of gender staff reflected in key policies, programmes and procedures)
- participation of gender-dedicated staff in cross-functional teams in priority issue areas (other than gender) and chairing internal task forces and inter-agency mechanisms;
- adequate capacity and training for gender personnel to carry out their functions
- associated budgets under gender experts' responsibility.



## How to exceed requirements

To exceed requirements for this Performance Indicator, UN entities need to meet both requirements – gender focal points and a resourced gender unit – and have specific funds allocated to support gender focal point networking



## Example: Meeting Requirements

The **Food and Agriculture Organization of the United Nations (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 per cent 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 per cent 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.

The **International Labour Office (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. The 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.

The **International Training Centre of the International Labour Office (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.

The **United Nations Economic and Social Commission for Western Asia (ESCWA)** established a gender focal point system in 2008 with defined TORs and 20 per cent 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.

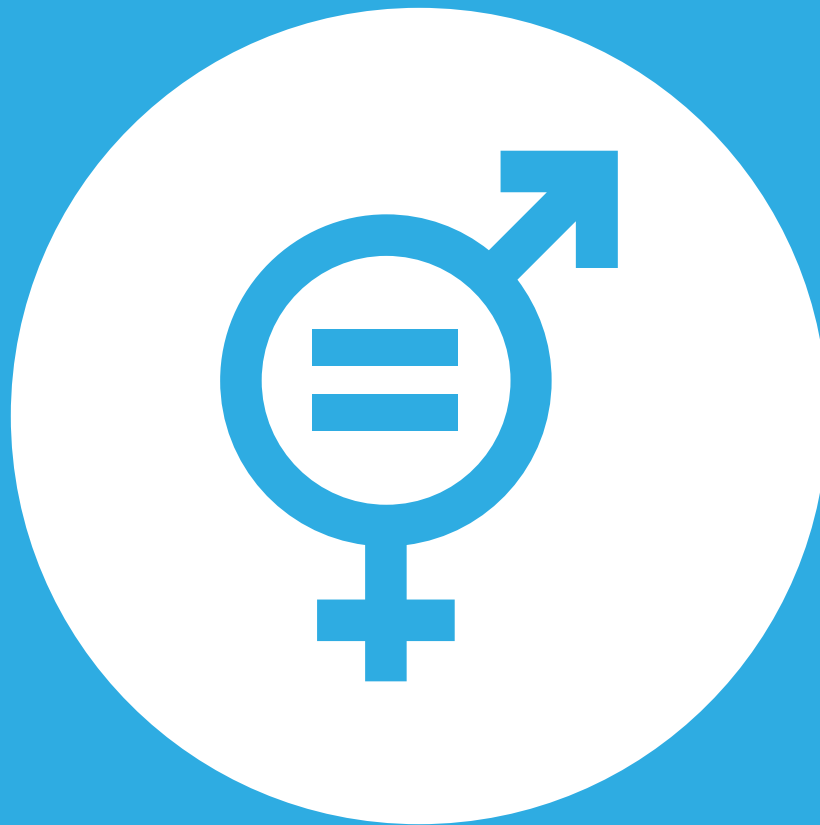
The **United Nations Industrial Development Organisation (UNIDO)**'s gender policy has institutionalized and expanded the network of mid to senior level Gender Focal Points (P3 to Directors). According to the policy, Gender Focal Points (GFPs) are appointed in each Division of the organization and in field offices, are expected to devote 20 per cent of their time to GFP functions and serve for a period of 2 years. The GFPs are responsible to promote greater awareness of gender issues and gender mainstreaming in their respective organizational divisions or field offices. In addition, UNIDO has an Office for GEEW, which serves as the institutional coordination point for the implementation of UNIDO's Policy and Strategy for GEEW and is in the Office of the Managing Director in the Directorate of Corporate Management and Operations. The Office is to be staffed with a minimum of two Professional and one General Service staff member and supported by a Rotational Gender Officer. The Rotational Gender Officer is a Professional staff member working at Headquarters who is assigned on a temporary basis for a minimum period of six months<sup>39</sup>.

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39 UNIDO Secretariat Director General's Bulletin: Policy on Gender Equality and the Empowerment of Women, DGB/2019/16, 18 September 2019

**PERFORMANCE INDICATOR  
12**

**EQUAL REPRESENTATION OF WOMEN**



## 12. Performance Indicator: Equal Representation of Women

 <b>Approaches requirements</b>	 <b>Meets requirements</b>	 <b>Exceeds requirements</b>
<p>12ai. Plan in place to achieve the equal representation of women for General Service staff and all professional levels in the next five years</p>	<p>12bi. The entity has reached the equal representation of women for General Service staff and all professional levels</p>	<p>12ci. The entity has reached the equal representation of women for General Service staff and all professional levels including the senior most levels of representation in Field Offices, Committees, Advisory Bodies and Funds linked to the entity irrespective of budgetary source</p>



### What is the Equal Representation of Women indicator?

In 2017 the Secretary-General issued the System-Wide Strategy on Gender Parity<sup>40</sup> 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.

According to the latest report of the Secretary-General on the Improvement in the Status of Women (2019)<sup>41</sup>, in 18 entities the overall representation of women was between 40-49 per cent, while in 11 entities the figure was below 40 per cent. In 7 entities, the share of women was 50 per cent or more. The gender gap is greatest at management levels and in the field, including in peace operations.

Parity, or the equal representation of women, is considered by the strategy, and for the purposes of UN-SWAP reporting, to be within the 47 per cent to 53 per cent margin.

The UN-SWAP predated the Secretary-General's System-wide Strategy and requires reporting for General Service as well as Professional staff, while the Strategy requires reporting for only P1 and above levels. However, it was decided to retain reporting on General Service Staff as this is already being done consistently under the UN-SWAP.

40 System-Wide Strategy on Gender Parity: <https://www.unwomen.org/en/digital-library/publications/2017/12/system-wide-strategy-on-gender-parity-un-women-implementation-plan>

41 Report of the Secretary-General on the Improvement in the Status of Women (2019): <https://www.unwomen.org/en/how-we-work/gender-parity-in-the-united-nations/reports-and-monitoring>





## Evidence base

Examples of documents to attach to substantiate the entity self-assessment for this indicator:

- Gender parity strategy
- Entities will also be required to submit gender parity data by level on the online reporting platform.

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those to be shared in the Knowledge Hub.



## How to approach requirements

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>42</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 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.

<sup>42</sup> For UN Secretariat departments and offices, targets have been provided 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)

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 and the Enabling Environment Guidelines for the United Nations system".<sup>43</sup>



## How to meet requirements

To meet requirements for this indicator, entities should achieve the milestones and targets set in their gender parity plan. Entities must submit up to date staffing statistics, for all levels, to substantiate their rating.



## How to exceed requirements

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.

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 per cent to 48 per cent with UNAIDS being close to reaching parity in P5 and above levels.

In 2015, the **International Trade Centre (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.

In March 2018, the **United Nations Office in Vienna (UNOV)** and the **United Nations Office on Drugs and Crime (UNODC)** hosted the "Leadership, Women and the UN" workshop which was facilitated by the UN System Staff College (UNSSC) in Vienna. The week-long workshop brought together twenty-seven UN system-wide staff members at the P4 and P5 levels for reflections about the gender dimension of leadership, power and influence. The workshop facilitated self-awareness through a 360-degree leadership assessment that utilized individual leadership action plans to ensure a truly transformational leadership experience. Given the excellent feedback received, UNOV/UNODC has requested the UNSSC to establish this important workshop in Vienna on an annual basis.

### Examples of special measures

The **United Nations Development Programme (UNDP)** has women-only candidate pools for bureaus that have fallen below 45 per cent 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;

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43 Enabling Environment Guidelines (2019): <https://www.unwomen.org/-/media/headquarters/attachments/sections/library/publications/2019/gender-parity-enabling-environment-guidelines-en.pdf?la=en&vs=1535>

- 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, the **Department of Field Support (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**

The **United Nations 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 Special Representative of the Secretary-General (SRSG) and Deputy Special Representative of the Secretary-General (DSRSG) positions in UN Field Missions which was launched by the Senior Leadership Appointment Section, Department of Field Support 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.



### **Additional Information**

The UN Women website<sup>44</sup> 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<sup>45</sup>, 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.

44 UN Women website: <https://www.unwomen.org/en/how-we-work/gender-parity-in-the-united-nations>

45 <https://www.unwomen.org/en/digital-library/publications/2016/12/status-of-women-in-the-united-nations-system>




# PERFORMANCE INDICATOR

13

## ORGANISATIONAL CULTURE



### 13. Performance Indicator: Organisational Culture

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



### What is the Organisational Culture indicator?

An enabling environment 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 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 staff (irrespective of rank, grade or opinion) and power and information flows (formal and mostly informal)
- Commitment of staff towards collective objectives

One of the key recommendations in the Secretary-General’s System-wide Strategy on Gender Parity was for UN Women to develop the **Enabling Environment Guidelines**<sup>46</sup> for the UN system which support the United Nation’s efforts to create a working environment that embraces equality, eradicates bias and is inclusive of all staff. The **Supplementary Guidance**<sup>47</sup> provides further recommendations and good examples.



### How to approach requirements

To approach requirements for this Performance Indicator, the UN entity need to demonstrate that organizational culture partly supports promotion of gender equality and the empowerment of women. If any of the required actions listed under the requirements to “meet” the indicator have not been undertaken, the rating for this Performance Indicator is “approaches requirements”.

46 Enabling Environment Guidelines (2019): <https://www.unwomen.org/-/media/headquarters/attachments/sections/library/publications/2019/gender-parity-enabling-environment-guidelines-en.pdf?la=en&vs=1535>

47 Supplementary Guidance (2019): <https://www.unwomen.org/-/media/headquarters/attachments/sections/library/publications/2019/gender-parity-enabling-environment-guidelines-supplementary-guidance-en.pdf?la=en&vs=1535>



## How to meet requirements

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

### 1 Facilitative policies

- 1.1 Implement, promote and report on facilitative policies for maternity, paternity, adoption, family and emergency leave, breast-feeding and childcare.
- 1.2 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.
- 1.3 Promote existing UN rules and regulations on work-life balance with an internal mechanism available to track implementation and accessibility by gender and grade.
- 1.4 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..

### 2 Monitoring mechanisms

- 2.1 Conduct, disseminate results of and report on 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, including staff well-being, equality and zero tolerance for unethical behaviour.
- 2.2 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. Demonstrate adherence to all system-wide and agency/ organization-specific sexual harassment policies, including (from 2019) the CEB Model Policy adopted in November 2018.
- 2.3 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.



## How to exceed 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.



## Evidence base

Examples of documents to attach to substantiate the entity self-assessment for this indicator:

- Policy documents
- Surveys
- Gender audit report

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those to be shared in the Knowledge Hub.



## Example: Meets requirements

### 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.

The **United Nations Office at Vienna/ United Nations Office on Drugs and Crime (UNOV / UNODC)** as part of the Secretariat is closely following the Secretary General's strategy on transparency and a zero-tolerance policy on sexual exploitation and abuse and is attentive to policy changes and initiatives proposed by the Department of Management following the Report of the Secretary General on "Special measures for protection from sexual exploitation and abuse: new approach (A/71/818)", especially with regard to measures concerning closer scrutiny in recruitment processes and the proposal aiming at raising staff awareness on sexual exploitation cases. Immediate actions have been implemented on 3 March 2017 following the Report of the Secretary General on "Special measures for protection from sexual exploitation and abuse: new approach (A/71/818)". As part of the Secretariat UNOV/UNODC applies ST/SGB/2008/5 on Prohibition of discrimination, harassment, including sexual harassment, and abuse of authority; ST/SGB/2008/20 on Prevention of workplace harassment, sexual harassment and abuse of authority; ST/AI/2017/1 on Unsatisfactory conduct, investigations and the disciplinary process and ST/AI/2017/2/Rev1. on Protection against retaliation for reporting misconduct and for cooperating with duly authorized audits or investigations.

**UNAIDS** introduced the Prevention of Harassment, Sexual Harassment and Abuse of Authority in the Workplace UN System-wide e-learning module in 2011, which is mandatory for all staff.

### Facilitative Policies

The **United Nations Children's Fund (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.

The **United Nations Economic and Social Commission for Western Asia (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 Flexible Work Arrangements (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.

The **Office of the High Commissioner for Human Rights (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.

### **Monitoring Mechanisms**

The **Global Staff Survey is the United Nations Development Programme's (UNDP)** 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.

The **United Nations Entity for Gender Equality and the Empowerment of Women's (UN Women)** 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.





## Example: Exceeding Requirements

In 2010 the Food and Agriculture Organisation of the United Nations (FAO) undertook a Gender Audit<sup>48</sup> 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.

The **United Nations Economic and Social Commission for Western Asia (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.

In 2012, the **United Nations Human Settlements Programme (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.

The **World Food Programme (WFP)** Office of Internal Audit, in collaboration with the Gender Office, conducted a participatory gender audit in 2016. The audit engaged one Headquarters division (Human Resources), one Regional Bureau (Cairo), one Liaison Office (Amman) and two country offices (Sudan and Jordan). The audit report was published in March 2017, with the audited entities implementing the resulting agreed actions.

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48 Gender audit of the Food and Agriculture Organisation of the United Nations 2011: [http://www.fao.org/fileadmin/user\\_upload/bodies/Progr\\_Comm/PC\\_108-documents/MB469E-GenderAuditExecSummary.pdf](http://www.fao.org/fileadmin/user_upload/bodies/Progr_Comm/PC_108-documents/MB469E-GenderAuditExecSummary.pdf)



## Additional Information: Resources

The **International Labour Organisation (ILO)** has developed a methodology for participatory gender audit<sup>49</sup>, 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).

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49 ILO Participatory Gender Audit: [http://www.ilo.org/wcmsp5/groups/public/@dgreports/@gender/documents/publication/wcms\\_101030.pdf](http://www.ilo.org/wcmsp5/groups/public/@dgreports/@gender/documents/publication/wcms_101030.pdf)

# E.CAPACITY






# PERFORMANCE INDICATOR

14

## CAPACITY ASSESSMENT



## 14. Performance Indicator: Capacity Assessment

 <b>Approaches requirements</b>	 <b>Meets requirements</b>	 <b>Exceeds requirements</b>
<p>14ai. Assessment of capacity in gender equality and women's empowerment for individuals in entity is carried out</p>	<p>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 <b>and</b> 14bii. A capacity development plan is established or updated at least every five years</p>	<p>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 <b>and</b> 14cii. A capacity development plan is established or updated at least every three years</p>



### What is the Capacity Assessment indicator?

ECOSOC Resolution E/2011/6 (see Annex; Mandates) 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 Sustainable Development Group (UNSDG) guidance on capacity development<sup>50</sup>. 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.

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>51</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<sup>52</sup> which entities can use as a basis to develop their own capacity assessment plans.

<sup>50</sup> UNSDG: Capacity Development UNDAF Companion Guide (2017): <https://undg.org/document/capacity-development-undaf-companion-guidance/>

<sup>51</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>

<sup>52</sup> Gender Equality Capacity Assessment Tool (2014), UN Women Training Centre: <https://www.unwomen.org/en/digital-library/publications/2014/6/gender-equality-capacity-assessment-tool>



## Evidence base

Examples of documents to attach to substantiate the entity self-assessment for this indicator:

- Capacity assessment survey
- Capacity assessment survey outcome
- Capacity development plan

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those to be shared in the Knowledge Hub.



## How to approach requirements

To approach the requirements of this indicator, the entity should carry out an assessment of staff capacities in gender equality and women's empowerment for individuals.



## How to meet requirements

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



## How to exceed requirements

To exceed the indicator, the capacity development plan should be established or updated at least every three years.



## Example: Meeting Requirements

The **Office for Coordination of Humanitarian Affairs (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 Toolkit has been developed to assist staff to implement the new Policy. GenCap Advisers can also support this training. Staff can also benefit from the use of the IASC e-learning on Gender Equality in Humanitarian Action and regular webinar trainings.

The **International Atomic Energy Agency (IAEA)** undertook its first ever survey on gender equality. This included an assessment of staff's knowledge and skills in relation to gender equality and most specifically on gender mainstreaming. The results of the survey were disseminated to all staff in 2018. The basis of the survey results served as an important input into the revised Gender Action Plan of the Agency. The Gender Action Plan, along with its Implementation Matrix clearly outlines the tasks, milestones and responsible party to achieve the objectives outlines.



### Example: Exceeding Requirements

As part of development of its gender strategy, the **United Nations Capital Development Fund (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.

The **Food and Agriculture Organization of the United Nations (FAO)** has carried out numerous assessments of individual and organizational capacity to analyze the capacity to promote 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 and online qualitative assessments of capacity at selected decentralized offices were periodically carried out, and as part of it 55 units within the organization have carried out gender stocktaking exercises which investigated existing staff capacity to address gender issues in the technical and country work of FAO. An in-depth analysis of staff capacity needs was organized with the divisional and country gender focal points and other selected technical staff. In February 2013, the gender unit of FAO endorsed a Strategy to develop capacities of Member countries and staff members on gender equality in food security and agriculture, with a related work plan to implement the strategy, as part of the corporate capacity development plan. This capacity development strategy is continually adapted, based on the new matrix-based structure of the organization, to emerging training needs and new learning methodologies (the latter includes blended training for the gender focal points and online gender courses.)




# PERFORMANCE INDICATOR 15

## CAPACITY DEVELOPMENT





## 15. Performance Indicator: Capacity Development

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



### What is the Capacity Development indicator?

Entities with an ongoing mandatory training for all staff, including senior managers, meet or exceed 70 per cent more UN-SWAP performance indicators than entities which do not have the above in place. This points to the foundational role of adequate gender related capacities at all levels to drive progress across all UN-SWAP indicators, beyond Performance Indicator (PI) 15. Entities aiming to improve their overall performance should therefore target capacity development as a lever for progress.



### Evidence base

Examples of documents to attach to substantiate the entity self-assessment for this indicator:

- Document stating that gender training is mandatory for all staff
- Tracking/monitoring data
- Training outline for senior management

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those to be shared in the Knowledge Hub.



### How to approach requirements

To approach requirements for this indicator, the entity should demonstrate that they are working towards implementing ongoing mandatory training for all levels of entity staff at HQ, regional and country offices.



## How to meet requirements

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.



## How to exceed requirements

In order to exceed requirements for 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.



## Example: Meeting Requirements

On International Women's Day 2014, the **Office of the United Nations High Commissioner for Human (OHCHR)** launched its online course on gender integration "Gender equality, human rights and me: a learning tool for OHCHR staff". The eLearning course, available in three languages (English, French and Spanish) was endorsed by the High Commissioner and made mandatory to all OHCHR staff, regardless of grade, duty station and function. As of January 2018, 97 per cent of OHCHR staff had completed the course and uploaded their certificate on the online tracking system.

One of the **United Nations Development Programme's (UNDP)** 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.



## Example: Exceeding Requirements

The **Department of Political Affairs (DPA)** of the UN Secretariat has developed and conducts on an annual basis a series of training programmes to cover the broad range of Gender/ Women, Peace and Security (WPS) issues: 1) Twice yearly mandatory WPS training for all DPA staff, including staff in Special Political Missions, on gender mainstreaming and WPS issues, ii) Gender and Mediation training for mediators, especially UN envoys and Special Representatives of the Secretary General, and select senior staff, and iii) Addressing Sexual Violence in Conflict in response to Security Council Resolutions 1820/1888/1960/2106. Gender is also included in DPA induction courses for new staff as well as for Peace and Development Advisors.

Since 2011, over 300 DPA staff have completed the WPS training and more than 200 senior officials have attended the High-level Seminar on Gender and Inclusive Mediation Processes.

The **United Nations Educational, Scientific and Cultural Organization (UNESCO)** requires mandatory gender equality training for all staff, including through its e-learning Gender Equality e-learning modules. In 2017, UNESCO's Division for Gender Equality combined its well-established general Gender Equality training with some executive education modules targeting in-house decision makers (directors and field office representatives) and senior officials in charge of ensuring that gender equality is effectively mainstreamed throughout all of the programmes. These additional Gender Equality half-day training modules, called Gender Clinics, were designed to address specific issues related to gender equality.

Additionally, senior managers receive specific tailor-made trainings by the Division for Gender Equality and all newly appointed senior managers meet the Director of the Division for Gender Equality as part of their orientation programme.



## Additional Information

Details of UN System-wide training courses can be found on the UN Women Training for Gender Equality Community of Practice (CoP) platform.<sup>53</sup> UN Women has also produced a Compendium of Good Practices for Training in Gender Equality.<sup>54</sup>

**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

<sup>53</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. <https://trainingcentre.unwomen.org/portal/product/community-of-practice-training-for-gender-equality/>

<sup>54</sup> Compendium of Good Practices in Training for Gender Equality (2016) UN Women Training Centre: <https://www.unwomen.org/en/digital-library/publications/2016/5/compendium-of-good-practices-in-training-for-gender-equality>

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).<sup>55</sup>

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.
- 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:

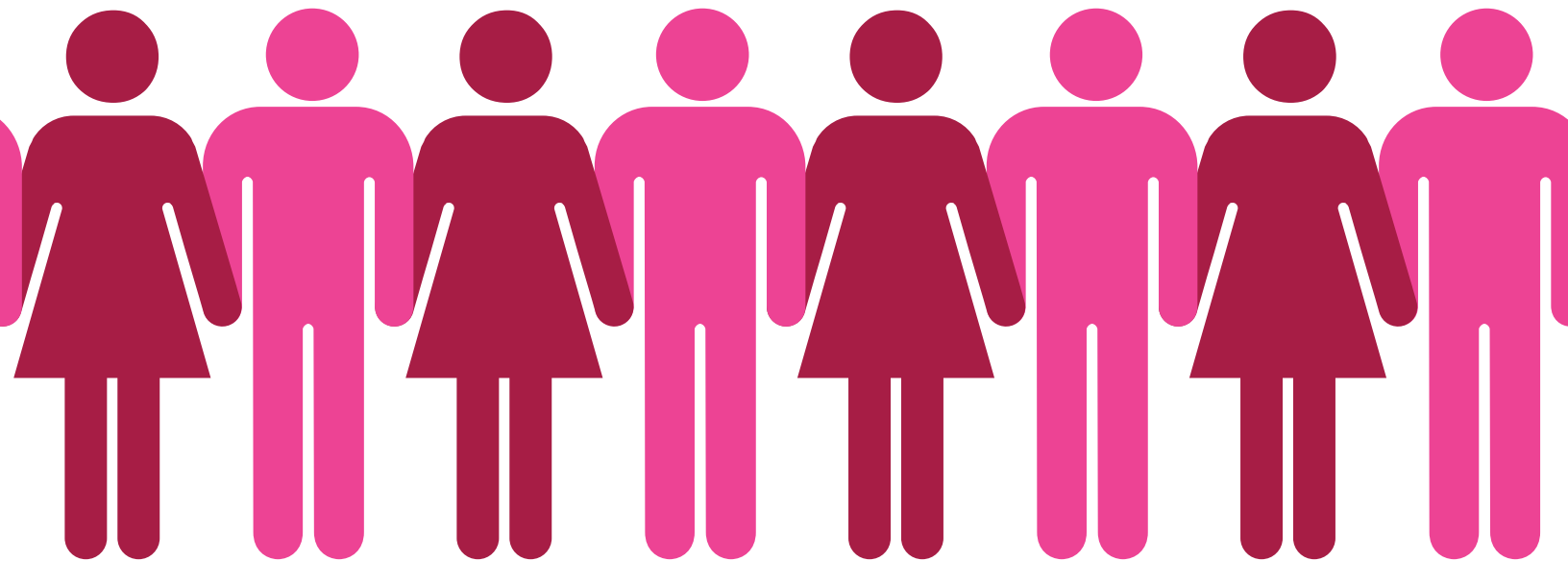
- o Strengthen gender programming knowledge and skills required for UN programme staff
- o Identify positive entry points for strengthened programming
- o Gain understanding of how themes of gender equality and UN coherence mutually reinforce each other

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.

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55 I Know Gender: <https://trainingcentre.unwomen.org/course/index.php?categoryid=11>

# **F. KNOWLEDGE, COMMUNICATION AND COHERENCE**



# PERFORMANCE INDICATOR

16

## KNOWLEDGE AND COMMUNICATION



## 16. Performance Indicator: Knowledge and Communication

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



### What is the Knowledge and Communication indicator?

Effective communication of gender equality work has a direct positive correlation with the overall UN- SWAP performance of an entity. Entities that systematically document knowledge on gender equality and women's empowerment, have a communication plan that includes gender equality and women's empowerment as an integral component of internal and public information dissemination and are actively involved in an inter-agency community of practice on gender equality and the empowerment of women are, on average, nearly twice as likely to meet or exceed the amount of UN-SWAP performance indicators than entities that do not.



### Evidence base

Examples of documents to attach to substantiate the entity self-assessment for this indicator:

- Screenshots of intranet or website with URL references
- Gender-related publications
- Communication plan

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those to be shared in the Knowledge Hub.



## How to approach requirements

To approach requirements for this indicator, the entity should have internal production and exchange of information on gender equality and women's empowerment. For example, internal communication channels such as websites and newsletters should regularly feature gender equality and the empowerment of women-related information.



## How to meet requirements

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.



## How to exceed requirements

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.



## Example: Meeting Requirements

Gender is a key consideration in the production of **the Office for Coordination of Humanitarian Affairs (OCHA)** 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.

The **Department of Peacekeeping Operations/Department of Field Support (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 the **World Food Programme's (WFP)** 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 Bureaux 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.

As part of its knowledge management strategy, the **United Nations Development Programme (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/>



## Example: Exceeding Requirements

Examples of inter-agency communities of practice on gender equality and the empowerment of women include:




- UN-SWAP Inter-Agency Network
- IANWGE: Inter-Agency Network on Women and Gender Equality
- The Inter-Agency Finance and Budget Network Sub-Working Group on Tracking
- Resources for Gender Equality and the Empowerment of Women
  - UNDG Task Team on Gender Equality
  - UN Task Force on Violence Against Women
- 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

**PERFORMANCE INDICATOR  
17**

**COHERENCE**



## 17. Performance Indicator: Coherence

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



### What is the Coherence indicator?

The findings of the evaluation of the UN system coordination function of UN Women, conducted in 2016, have pointed out that several entities significantly appreciate the sense of community that the UN-SWAP has created. Its implementation has helped revitalize and strengthen a network of solidarity across the UN system, through which UN entities and Focal Points are able to share expertise, lessons learnt, good practices and advocacy efforts. Focal points indicated that the horizontality of the operational culture with which the UN-SWAP is led gives equal influence to all participants, encourages inter-agency exchanges, and constitutes one of the most distinguishing factors contributing to its success.

Through partnerships supported by the UN-SWAP, UN entities are able to access expertise, knowledge and good practices that are relevant to their work, making savings on scarce resources and reducing duplication. Effective partnerships are often listed by focal points among the key factors for UN-SWAP progress.

In particular, inter-agency meetings have been mentioned by reporting entities as one of the main drivers to propel and sustain progress. Opportunities for in-person interaction significantly and meaningfully solidify partnerships, support information sharing and peer learning, enhance coherence and strengthen coordination.

One way to share good practice, experience and mutual learning about components of UN-SWAP implementation, and gender mainstreaming more generally, is to conduct a UN-SWAP Peer Review. As a self-reporting exercise, UN-SWAP Peer reviews also offer an opportunity to enhance the accuracy and quality of UN-SWAP reporting. Continuous improvement in quality assurance methodologies for the UN-SWAP reporting process is essential to maintaining the credibility and accuracy of reporting.



## Evidence base

Examples of documents to attach to substantiate the entity self-assessment for this indicator:

- Peer review report

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those to be shared in the Knowledge Hub.



## How to approach requirements

To approach the requirements of this indicator, the entity should participate in inter-agency coordination mechanisms on gender equality and the empowerment of women in an ad hoc fashion.



## How to meet requirements

To meet the requirements of this indicator, the entity should systematically participate in inter-agency coordination mechanisms on gender equality and the empowerment of women, such as UN-SWAP Annual Meetings or workshops and/or the Inter-Agency Network on Women and Gender Equality (IANWGE).

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.

The purposes of the peer review are to:

- Share good practice, experience and mutual learning about components of UN-SWAP implementation
- Review and compare the UN-SWAP process within entities, including constraints and opportunities
- Build greater internal capacity to report against UN-SWAP requirements
- Improve credibility and accuracy of reporting through a formal peer assessment
- Strengthen networking and inter-agency partnerships for the promotion of gender equality and the empowerment of women

UN Women has developed a **guidance note on peer reviews**, including key questions to ask and a suggested process, and templates for collecting information to be reviewed and reporting on results.

UN-SWAP Peer reviews should:

- Be substantive exercises that involve systematic exchange of experience and information between entities.
- Be conducted between entities with similar mandates and operational sizes where possible.

- Cover all UN-SWAP performance areas. Separate independent peer reviews for particular UN-SWAP Performance Indicators can also take place, e.g. Evaluation, but are not enough to meet the requirements of the indicator on their own.
- Involve staff from outside the gender office or equivalent, including senior management where possible.
- Conclude with a final report of the assessment to be circulated internally and uploaded with the entity's annual UN-SWAP review. Reports must include: the methodology used, a list of all participants, responses to the peer review assessment questions, and overall conclusions and recommendations.



## 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.



## Example: Meeting Requirements

Please see page 129 under PI16 for examples of inter-agency communities of practice on gender equality and the empowerment of 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.

In 2015, ESCAP and ESCWA participated in a UN-SWAP peer review exercise. The peer review was conducted in two stages. The first stage included a visit by ESCWA's Senior UN-SWAP Coordinator to ESCAP to look at ESCAP's experience. The second phase included a mission by ESCAP's Chief of its Gender Equality and Women's Empowerment Section to examine ESCWA's experience. The peer review focused on key progress made in each of the fifteen performance indicators and the key factors driving this change. It also identified key challenges obstructing improvements in certain areas and possible ways of breaking these obstacles.

In 2015/2016, IOM and UNOPS participated in a UN-SWAP peer review exercise. The peer review was conducted in two stages. The first stage included a visit from UNOPS' UN-SWAP focal points to IOM headquarters in Geneva in December 2015. The second stage included a visit from two IOM SWAP focal points (from the Gender Coordination Unit, GCU, and from the Human Resources Management Division, HRM) to the UNOPS headquarters in Copenhagen in February

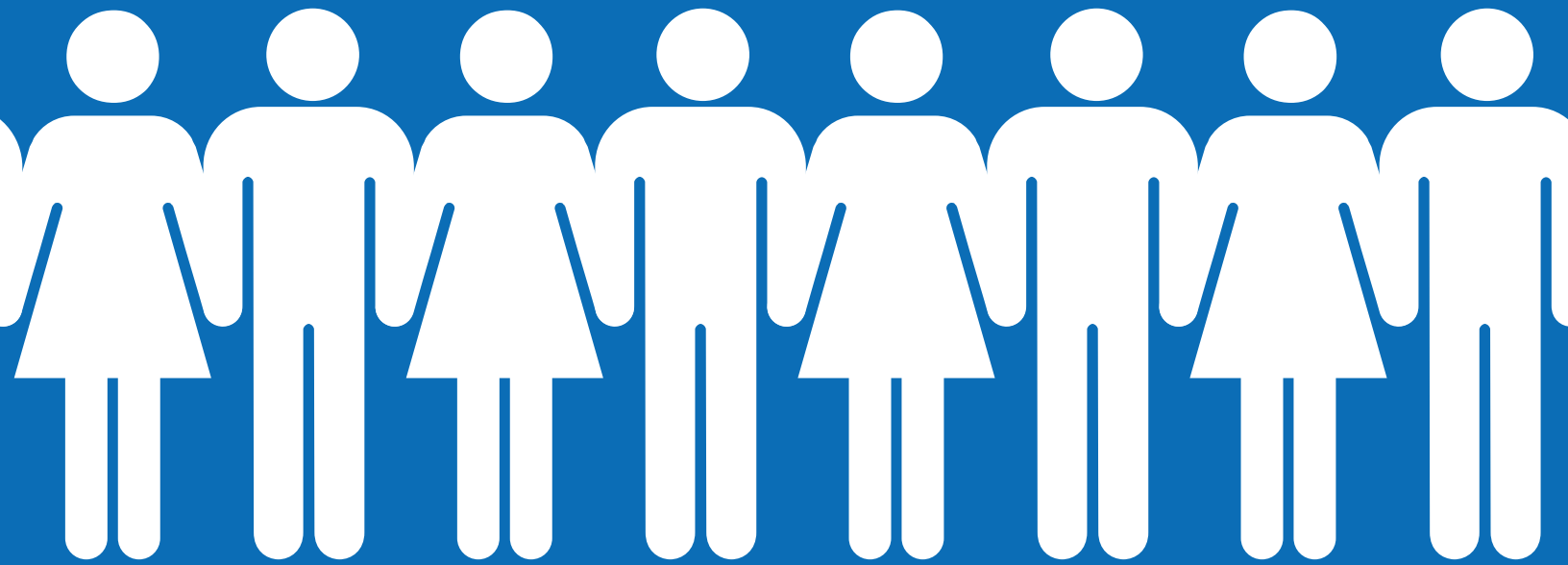
2016. The teams met with key individuals and teams working on the UN-SWAP implementation. Following the visits, the entities completed their review of all the performance indicators that each entity reports on (all 15 indicators for IOM and 14 indicators for UNOPS). The review looked at the accuracy and completeness of reporting, the adequacy of remedial action plans for all performance indicators, identified risks and constraints and highlighted good practices. Both entities circulated the final report of the review widely. For example, IOM circulated the complete report to UN Women, inter-agency SWAP Focal Points, IOM SWAP Focal Points, IOM Gender Focal Points and IOM senior management. In addition to GCU and HRM, IOM's Evaluation Unit also contributed to the UN-SWAP peer review process. Both entities have noted that the findings, lessons-learned and recommendations of the UN-SWAP peer review contributed to future plans for improved implementation of the UN-SWAP framework.



### **Example: Exceeding Requirements**

In 2012 and 2013, OHCHR supported ITU with the development of their Gender Equality and Mainstreaming Policy. OHCHR worked with ITU, using the UN-SWAP policy development guidance document, to create the Policy. They assisted them in the development stage to establish a skeleton policy that was then consulted on widely in ITU, including through the development of a Gender Task Force.

# ANNEX



# 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.

## I. Gender-related SDG Results

### A. Results-based Management

#### 01. Performance Indicator: Strategic Planning 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 and should rate as “exceeds” if they do so.

#### 02. Performance Indicator: Reporting on Gender-related SDG results

Entities should report on the high-level result on gender parity in staffing through the Secretariat standard programme budget reporting process. 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.

#### 03. Performance Indicator: Programmatic Gender-related SDG Results<sup>\*55</sup>

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.

### B. Oversight

#### 04. Performance Indicator: 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.

#### 05. Performance Indicator: Audit

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

## II. Institutional Strengthening to Support Achievement of Results

### C. Accountability

56 \*not captured in the Strategic Plan



#### 06. Performance Indicator: 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.

#### 07. Performance Indicator: Leadership

Entities should report as per the Technical Guidance.

#### 08. Performance Indicator: 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.

### D. Human and Financial Resources

#### 09. Performance Indicator: Financial Resource Tracking

Given that all entities receive and use financial resources, “not applicable” is not an appropriate category for indicator 9. Entities that are awaiting the incorporation of a gender marker into UMOJA for example should report approaching requirements rather than not applicable. Entities which have more than 20 per cent of their funding made up from Extra-budgetary funding should develop a resource tracking system specific to these resources.

#### 10. Performance Indicator: Financial Resource Allocation

Given that all entities receive and use financial resources, “not applicable” is not an appropriate category for indicator 10. Entities that are awaiting the incorporation of a gender marker for financial resource tracking and allocation in UMOJA for example should report approaching requirements rather than not applicable. Entities which have more than 20 per cent of their funding made up from Extra-budgetary funding should develop a resource allocation system specific to these resources.

#### 11. Performance Indicator: Gender Architecture

Entities should report as per the Technical Guidance.

#### 12. Performance Indicator: Equal Representation of Women

Entities should report as per the Technical Guidance.

#### 13. Performance Indicator: Organisational Culture

Entities should report as per the Technical Guidance.

### E. Capacity

#### 14. Performance Indicator: Capacity Assessment

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

#### 15. Performance Indicator: Capacity Development

Entities should report as per the Technical Guidance.

## F. Knowledge, Communication and Coherence

### 16. Performance Indicator: Knowledge and Communication

Entities should report as per the Technical Guidance.

### 17. Performance Indicator: Coherence

Entities should report as per the Technical Guidance.

## Annex 2: 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>

## Annex 3: Mandates

### I. Gender-related SDG Results

#### A. Results-based Management

##### 01. Performance Indicator: Strategic Planning Gender-related SDG results

A/RES/62/208<sup>56</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>57</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>58</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.

##### 02. Performance Indicator: Reporting on Gender-related SDG results

A/RES/62/208<sup>59</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>60</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>61</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 disaggregated by sex and age and sector-specific gender surveys, as well as gender-sensitive studies, guidelines and checklists for programming.

##### 03. Performance Indicator: Programmatic Gender-related SDG Results\*[?>](#)

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

58 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

59 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.

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

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

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

ECOSOC Resolution 2005/31<sup><?></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.

## B. Oversight

### 04. Performance Indicator: Evaluation

ECOSOC Resolution 2007/33<sup><?></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.

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.

### 05. Performance Indicator: Audit

A/RES/64/141<sup><?></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.

## II. Institutional Strengthening to Support Achievement of Results

### C. Accountability

### 06. Performance Indicator: Policy

ECOSOC Agreed Conclusions 1997/2<sup><?></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><?></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.

A/67/347<sup><?></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

#### **07. Performance Indicator: Leadership**

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.”

#### **08. Performance Indicator: Gender-responsive Performance Management**

ECOSOC Resolution 2006/36<sup><?></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><?></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.

## D. Human and Financial Resources

### 09. Performance Indicator: Financial Resource Tracking

Several ECOSOC resolutions<sup><?></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.

### 10. Performance Indicator: Financial Resource Allocation

ECOSOC Resolution 2011/6<sup><?></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><?></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.

### 11. Performance Indicator: Gender Architecture

ECOSOC Resolution 2004/4<sup><?></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><?></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 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><?></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.

## 12. Performance Indicator: Equal Representation of Women



A/RES/72/147<sup>2017</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 on progress made and obstacles encountered in achieving gender balance, under the item entitled "Advancement of women".

### 13. Performance Indicator: Organisational Culture

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><?></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.

A/RES/72/147 “requests the Secretary-General... 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”.

## E. Capacity

### 14. Performance Indicator: Capacity Assessment

ECOSOC Resolution 2011/6<sup><?></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.

### 15. Performance Indicator: Capacity Development

ECOSOC Resolution 2006/36<sup>20</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.

## F. Knowledge, Communication and Coherence

### 16. Performance Indicator: Knowledge and Communication

ECOSOC Resolution 2007/33<sup>21</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>22</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.

### 17. Performance Indicator: Coherence

COSOC Resolution 2006/36<sup>23</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>24</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.

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