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**EVALUATION OF DFID'S POLICY
AND PRACTICE IN SUPPORT
OF GENDER EQUALITY
AND WOMEN'S EMPOWERMENT****COUNTRY CASE STUDIES****VOLUME II****India****Nigeria****Western Balkans***COWI Evaluation Team*

DEPARTMENT FOR INTERNATIONAL DEVELOPMENT

EVALUATION REPORT EV669

**Evaluation of DFID's Policy and
Practice in Support of
Gender Equality and Women's Empowerment**

Country Case Studies

Volume II

India

Nigeria

Western Balkans

COWI Evaluation Team

August 2006

PREFACE

By Mark Lowcock
Director General, Policy & International

In 2005, the international community reaffirmed its commitment to the Beijing Platform for Action and to supporting gender equality. DFID recognises that gender equality and the empowerment of women are critical factors for poverty reduction, the upholding of human rights, and achievement of the Millennium Development Goals (MDGs). Since 1985, we have worked in support of these aims, and we are proud of our many contributions in this area.

Recent changes in the way we work, including supporting nationally-owned development strategies and delivering more of our aid through government budgets, have presented new challenges for our work on gender equality. DFID has recognised the need to renew our efforts in this area, to ensure our programmes continue to reflect our commitments.

In support of this renewed effort, DFID's Evaluation Department (EVD) commissioned an independent evaluation of the effectiveness of our work on gender equality, to inform our future strategy. The evaluation was carried out by COWI Consult (Denmark), and the process was managed by Jo Bosworth, John Murray and Jane Gardner in EVD. The evaluation consists of three volumes, containing:

Volume I: Synthesis Report
Volume II: Country Case Studies
Volume III: Thematic Papers

These reports, as well as additional working papers for the evaluation are available at <http://www.dfid.gov.uk/aboutdfid/performance/default.asp>.

The evaluation concludes that the pursuit of gender equality and women's empowerment is still important for DFID's work. Our significant and positive contribution in support of gender equality in education is acknowledged, as is our strength in policy making and research on gender issues. However, the evaluation also highlights some areas where we need to do more to improve our performance.

All DFID's Divisions are now involved in the development of an Action Plan to respond to the Evaluation's findings and to strengthen our efforts in support of gender equality.

ACKNOWLEDGEMENTS

This report reflects findings from reports based on field and desk work carried out between August 2005 and February 2006.

The evaluation team would like to thank the management and staff of DFID India, Nigeria and Western Balkans for their interest, assistance and support, which greatly facilitated the evaluation process. The evaluation team would like to particularly thank Ms Geeta Unnikrishnan (DFID India) and Mr Peter Hawkins and the Gender Mainstreaming Team (DFID Nigeria). We are grateful to all DFID staff for their time.

Last but not least, our thanks and encouragement go to the many women and men beneficiaries of DFID-supported programmes whom we met in the field and who are struggling to change gender inequalities with great courage, imagination and persistence.

Finally, we would like to stress that full responsibility for the text of this report rests with the author. In common with all evaluation reports commissioned by DFID's Evaluation Department, the views contained in this report do not necessarily represent those of DFID or of the people consulted.

CONTENTS

	Glossary	vii
	INDIA	1
	Abbreviations	3
	Executive Summary	9
1	INTRODUCTION	13
2	APPROACH AND METHODOLOGY	15
3	COUNTRY CONTEXT	19
4	INTERNAL EFFECTIVENESS ANALYSIS	25
5	DFID's EXTERNAL EFFECTIVENESS	43
6	DFIDI'S ROLE AND COMPARATIVE INFLUENCE IN COUNTRY - CONTEXT EFFORTS ON GE	57
7	CONCLUSIONS	61
8	LESSONS LEARNT	65
9	RECOMMENDATIONS	67
	Annexes	69
	References	81
	NIGERIA	87
	Abbreviations	89
	Executive Summary	91
1	INTRODUCTION AND SCOPE	97
2	APPROACH AND METHODOLOGY	99
3	NIGERIA'S SOCIO-ECONOMIC AND POLITICAL ENVIRONMENT	103
4	DFID NIGERIA'S INTERNAL EFFECTIVENESS	109
5	DFID NIGERIA'S EXTERNAL EFFECTIVENESS ANALYSIS	117
6	DFID's EXTERNAL EFFECTIVENESS	133
7	DFIDI'S ROLE AND COMPARATIVE INFLUENCE IN COUNTRY - CONTEXT EFFORTS ON GE	137
8	CONCLUSIONS	141
9	RECOMMENDATIONS	143
	Annexes	155
	References	

Table of Contents

	WESTERN BALKANS	161
	Abbreviations	163
	Executive Summary	165
1	INTRODUCTION AND SCOPE	171
2	APPROACH AND METHODOLOGY	173
3	GENDER IN THE REGIONAL AND COUNTRY CONTEXTS	175
4	INTERNAL EFFECTIVENESS: PRACTICE, SYSTEMS AND PROCESSES	183
5	EXTERNAL EFFECTIVENESS: PRACTICE, SYSTEMS AND PROCESSES	193
6	DFIDI'S ROLE AND COMPARATIVE INFLUENCE IN COUNTRY - CONTEXT EFFORTS ON GE	203
7	CONCLUSIONS, LESSONS AND RECOMMENDATIONS	205
	Annexes	211
	References	221

Empowerment

Individuals acquiring the power to think and act freely, to exercise choice and fulfil their potential as full and equal members of society. Women's empowerment is a process of transforming gender relations through groups or individuals by developing awareness of women's subordination and building the capacity to challenge it.

Equality of opportunity

Equal rights for women, including entitlement to human, social, economic and cultural development, and an equal voice in civil and political life.

Equity of outcomes

The exercise of equal rights and entitlements, leading to outcomes that are fair and just and that enable women to have the same power as men to define objectives of development.

Evaporation (policy evaporation)

When good policy intentions fail to be followed through in practice.

Gender and Development (GAD)

An approach that bases interventions on analysis of men's and women's roles and needs in an effort to empower women to improve their position relative to men in ways that will benefit and transform society as a whole.

Gender blind

Refers to policies, strategies, programmes and interventions that do not take into account the different needs of women and men; also refers to interventions that do not use gender analysis to identify and recognise the socio-cultural contexts, economic and biological differences and related needs of women and men.

Gender Equality (GE)

Women having the same rights and opportunities as men, including the ability to participate in public life.

Gender mainstreaming

A strategy to ensure that women's and men's concerns and experiences are integral to the design, implementation, monitoring and evaluation of all legislation, policies and programmes.

Gender roles

Roles that are classified by gender where this is social rather than biological, for example in child-rearing.

Resistance

When mechanisms are used to block gender mainstreaming based on 'political' opposition embedded in unequal gender power relations, rather than on 'technocratic' procedural constraints.

Twin-track approach

DFID's strategy, combining focused actions aimed at women's empowerment with gender-aware actions in the mainstream of development work.

Women in Development (WID)

The WID approach seeks to integrate women into development by making more resources available to increase their efficiency in existing roles.

DEPARTMENT FOR INTERNATIONAL DEVELOPMENT

EVALUATION REPORT EV669

**Evaluation of DFID's Policy and
Practice in Support of
Gender Equality and Women's Empowerment
India Country Case Study**

Volume II

**Charles Pendley, Knud Olander, Alanagh Raikes, Rekha Dayal,
Kamal Gaur and Rikke Ingrid Jensen**

August 2006

ADB	Asian Development Bank
AP	Andhra Pradesh
APDP	Annual Performance and Development Plan
APLP	Andhra Pradesh Livelihoods Programme
CAP	Country Assistance Plan
CARS	Consultation And Review Section
CAST	Change Assessment and Scoring Tool
CEDAW	Convention on Elimination of all forms of Discrimination Against Women
CO	Country Office
CSP	Country Strategy Paper
CSS	Centrally Sponsored Scheme
DDP	Director's Delivery Plans
DFID	Department for International Development
DFIDI	Department for International Development India
DLB	Directorate of Local Bodies
DPEP	District Primary Education Programme
DWCD	Department of Women and Child Development
EC	European Commission
EMIS	Educational Management Information System
EPO	Education Programme Office
EvD	Evaluation Department
FMO	Field Management Office
G&L	Gender and Law
GAD	Gender and Development
GDI	Gender-related Development Index
GDP	Gross Domestic Product
GE	Gender Equality
GNP	Gross National Product
GoI	Government of India
GoO	Government of Orissa
GoWB	Government of West Bengal
HDI	Human Development Index
HDR	Human Development Report
HPI	Human Poverty Index
HPO	Health Programme Office
HQ	Headquarters
HRD	Human Resource Development
IDC	International Development Committee
IFAD	International Fund for Agricultural Development
IFI	International Financial Institution
ILGUS	Institute of Local Government and Urban Services
ILO	International Labour Organisation
IPAP	NGO Partnership Agreement Programme
IPOS	India Professional Officers Scheme
KGBV	Kasturba Gandhi Balika Vidyalaya
KM	Knowledge Management

Abbreviations

KUSP	Kolkatta Urban Services for the Poor
LF	Logical Framework
M&E	Monitoring and Evaluation
MAD	Municipal Affairs Department
MDG	Millennium Development Goals
MDP	Management Development Programme
MED	the Municipal Engineering Directorate
MFI	Microfinance Institution
MSC	Most Significant Change
NGO	Non-Governmental Organisation
NMFSP	National Micro-Finance Support Project
NPEGEL	National Programme for Education of Girls at the Elementary Level
ODA	Overseas Development Assistance
OPR	Output-to-Purpose Review
OVI	Objectively Verifiable Indicators
PACS	Poorest Areas Civil Society scheme
PCM	Project Cycle Management
PDP	Personal Development Plans
PfA	Platform for Action (Beijing)
PIM	Policy Information Marker
PIMS	Policy Information Marker System
PLST	Performance, Learning and Strategy Team
PM	Project Memorandum
PRBS	Poverty Reduction Budget Support
PSA	Public Service Agreements
PSIA	Poverty and Social Impact Assessments
RCH	Reproductive and Child Health
RDO	Rural Development Office
SAP	State Assistance Plan
SC	Scheduled Castes
SDA	Social Development Advisor
SDP	Staff Development Plan
SFMC	SIDBI Foundation for Micro-credit
SHG	Self-Help Groups
Sida	Swedish International Development Cooperation Agency
SIDBI	Small Industries Development Bank of India
SKP	Shiksha Karmi Project
SMA	State Management Agency
SMT	Senior Management Team
SRSG	Statistical Reporting and Support Group
SSA	Sarva Shiksha Abhiyan - Education for All
ST	Scheduled Tribes
ST&D	Staff Training and Development
SUDA	State Urban Development Agency
SWAps	Sector Wide Approaches
TOR	Terms of Reference

TOT	Training of Trainers
TSP	Target Strategy Paper
UK	United Kingdom
UN	United Nations
UNDP	United Nations Development Programme
UNFPA	United Nations Fund for Population Activities
UNHCR	United Nations High Commissioner for Refugees
UNICEF	The United Nations Children's Fund
UNIFEM	United Nations Development Fund for Women
UPA	United Progressive Alliance (present governing coalition)
UPE	Universal Primary Education
UPO	Urban Poverty Office
WB	World Bank
WCP	Women's Component Plan
WE	Women's Empowerment
WID	Women In Development
WSO	Water and Sanitation Office
WVB	West Bengal Valuation Board

EXECUTIVE SUMMARY

S1 The overall purpose of the *Evaluation of DFID's Policy and Practice in support of Gender Equality and Women's Empowerment* is to inform future DFID gender strategy by assessing the results of DFID's policies and programming on gender equality and women's empowerment and any consequent effects on poverty reduction. The evaluation includes three country/regional case studies and three thematic studies.

S2 The present report constitutes the India country case study and is based on data collected in India in September-October 2005 during which field visits, interviews with DFIDI and partner staff were undertaken. The scope of the case study includes the assessment of three interrelated dimensions:

- **DFIDI's internal effectiveness** through the analysis of the GE focus in DFIDI's key strategies and policies, human resources (GE capacity, commitment and training), performance and knowledge management.
- **DFIDI's external effectiveness** in three thematic areas and six selected interventions; *Good Governance and Access to Justice* (Kolkatta Urban Services for the Poor (KUSP) and Gender and Law), and *Education (Sarva Shiksha Abhiyan Education for All (SSA) District Primary Education Project (DPEP) and Shiksha Karmi)*, and *Pro-poor growth* (National Micro-finance Support Project - NMFSP). DFIDI's role and contribution to GE in India is analysed across the six interventions overall purposes and strategic goals, financial resources, approaches and channels utilised, monitoring and evaluations. It concludes with an assessment of GE's results, impact and contributions in each of the selected interventions.
- **DFIDI's role and comparative influence** in country-context efforts on GE.

Country context

S3 India's gender-related development index (GDI) ranking is 98th (out of 140 countries). Gender disparities feature in most key social and economic indicators, with the exception of life expectancy (64 years for women and 62 for men). Women have higher levels of adult illiteracy (55% compared to 32% for men), lower primary school enrolment (76% compared to 91% for men), higher school drop out rates, and participate less in the labour market (32%). There appears to be a high correlation between low sex ratios and high female and maternal mortality rates due to cultural practices, nutritional poverty, and differential access to health care.

S4 All of the above is relevant to the situation in DFID's four focus states (Andhra Pradesh, Madhya Pradesh, Orissa and West Bengal) where GE is equally high. For example, both Madhya Pradesh and Orissa score low in adult literacy rates as well as on the incidence on poverty. Moreover, since poverty is still a largely rural phenomenon in all of the focus states and since women are over-represented among the rural poor, working in states with high levels of rural poverty provides a good opportunity to address the gender dimension of poverty.

Executive Summary

Internal effectiveness

S5 *Strategic Clarity.* DFIDI has retained attention to GE and the status of women/women's empowerment in all the country programmes evaluated, albeit not always as a central objective. The approach to GE has shifted over time from a Women in Development (WID) approach focusing on women as beneficiaries, to a rights-based perspective highlighting Women's Empowerment (WE) issues, to a social inclusion approach to poverty reduction in which 'women' is one of four targeted marginalised groups. The social inclusion perspective was introduced already in DFIDI's 1995-98 Country Strategy Paper (CSP) but has become a strategic choice in the current Country Assistance Plan (CAP) since it captures diverse dimensions of social exclusion affecting poverty in the Indian society. However, (and as pointed out in the International Development Committee's review), despite DFIDI's continual attention to gender equality and women's empowerment, regular reviews of DFIDI's programme are required in order to ensure that GE and social inclusion receives the weight and significance needed. Further, there is a risk that GE issues such as domestic and dowry related violence against women, which are not captured by the exclusion approach, are not addressed.

S6 *Human Resources.* DFIDI benefits from having a well-capacitated and committed staff for GE. However, in terms of the quantity of human resources, the resourcing of Social Development Advisors (SDAs) seems to be inadequate in light of their designated lead on GE. Further, GE is lacking in induction training and in training for influencing, up-streaming and institutional work.

S7 *Performance Management.* DFIDI has a system in place which tracks progress using GE indicators, although this is mainly within the limited areas of girls' education and maternal health. Only when DFIDI applies Government of India (GoI) Millennium Development Goal (MDG) targets, does the range of indicators referred to become broader. Further, at individual level there are no established GE performance indicators. Indeed, many staff members stress disbursement as the overriding individual performance target which they feel detracts from the time allocated to the integration of cross-cutting issues such as GE.

S8 *Knowledge Management.* DFIDI has been experimenting with knowledge management in a more comprehensive manner since the merging of offices in 2000. However, the different generations of knowledge management (KM) strategies are more focused on the identification of KM practices, tools and fora than on the development of learning objectives and audiences to guide the knowledge sharing, including for areas such as GE. Some GE knowledge sharing has taken place, although primarily within the SDA group and not in a focused manner.

External effectiveness

S9 *Focus.* The six interventions assessed have focus on GE as reflected in the logical frameworks although in varying degree, and follow through from the logical frameworks differs. The Gender and Law project has GE as the primary objective so GE is addressed throughout the logical framework. The education sector interventions are also very consistent in their approach with GE included under project objective, intermediate results, and principal outcomes and project budget (special GE budgetary allocations). For the other governance and micro-finance interventions (KUSP and NMFSP) evaluated, GE budgetary allocations are not made. Further, in regard to the scope of GE activities, while both KUSP and NMFSP hold self-help groups that

almost exclusively consist of women as the primary stakeholders there is, however, a gap in decision making powers and opportunities for women to influence policies and financial planning and disbursements within institutions.

S10 *Approach*. DFIDI operates with strategic approaches to selection of channels/partners and modalities although with great variance reflecting sectoral differences as well as shift in methodology over time. A mix of modalities within the education sector has proved beneficial, with projects serving as laboratories for the piloting of innovative practices and Sector Wide Approaches (SWAs) serving as vehicles for the mainstreaming of best GE practices at regional and national level.

S11 *Monitoring and evaluation systems*. Only the education interventions have had well-developed monitoring systems with considerable attention to GE dimensions by using specific gender-related indicators. The indicators for the other interventions – as presented in logical frameworks– were insufficiently developed to fully capture gender-related changes and impacts. Likewise, in the interventions examined, only limited attention was paid to the twin-track approach in monitoring and evaluation activities.

S12 *Impact and contributions*. The GE contributions, achievements and impacts assessed have generally been significant. The education sector interventions are by far the most successful in this respect. By having had clear GE aims, strategies and indicators, they have accomplished clear GE results and impacts. Meanwhile, NMFSP and KUSP both have considerable potential to contribute to GE and have shown evidence of positive contributions. However, the lack of a systematic approach to GE weakens their ability to both maximise GE impact and document GE achievements for future programming. Finally, the Gender & Law project has had important but limited impact due to its narrow scope and by not being part of a wider programmatic approach targeting the justice sector.

DFID's role and comparative influence

S13 *Role*. DFIDI stands out for its policy formulation and analytical rigor in GE across a variety of sectors and themes and is widely recognised among government and multilateral partners as being a progressive and serious gender champion. However, international partner organisations find lack of easy access to DFIDI staff a constraining factor for regular dialogue.

S14 *Policy dialogue with multilaterals*. DFIDI's key dialoguing entry point for GE vis-à-vis other donors and multilateral organisations is in the capacity of a funding agency, supporting existing GE competencies and explicit gender mandates of partners through trust funds. However, DFIDI has missed important opportunities for integrating GE dimensions into current trust fund frameworks with the World Bank and Asian Development Bank.

S15 *Policy dialogue with GoI*. In regard to the GoI, no explicit goal-setting and/or procedures have been established with regard to GE (and general) dialoguing. Nonetheless, clear examples of GE promotion by DFID at national and state level were identified. DFID's mirroring of the GoI state apparatus in the form of state programming teams has been a key factor in this regard and a model for replication.

Executive Summary

Overall conclusion

S16 To sum up, the overall conclusion is that DFIDI is at the forefront of gender sensitive development assistance. The office benefits from (still) having gender competent staff and internal policies and procedures which are instrumental in attaining results on the ground. Though gender mainstreaming is difficult to assess and attribute to a specific donor, a number of positive steps, results and impact have been observed in the interventions evaluated. DFIDI plays an active role in influencing results and engaging in dialogue on gender equality and women's empowerment through partnerships with GoI, civil society organisations and other donors, though staff shortages are repeatedly referred to by partners as detracting from opportunities for mutual learning. The shift in gender policy from a WID approach over a rights based approach to the current social inclusion policy has provided DFIDI and its national partners with a multitude of experience. With the current strategic choice of approach to poverty reduction, DFIDI will be in the forefront to show whether integrating a social inclusion and a gender mainstreaming approach is possible.

Lessons

S17 Key lessons to be learnt from the DFID India GE experience are as follows:

- **Strategy development:** The continual evolution of GE concepts in country and GE strategies has proved to be an important instrument for sensitizing staff to GE concerns. Indeed, the strategy-update process has served as an important vehicle for staying abreast of the latest international and national GE developments.
- **Leadership:** While it has been difficult to establish direct causal linkages between DFIDI's internal and external effectiveness, it is apparent that DFIDI's continual attention to gender issues has led to an internalisation of the importance of GE in programming to the point of integrating GE concerns in non-PIMS GE marked interventions (KUSP).
- **M&E systems:** DFIDI's primary focus on primary education and maternal health in corporate GE performance reporting echoes the performance management reporting requirements at DFID HQ level. As a consequence, any DFIDI GE results to be found on the ground outside of these two targets are invisible in reporting systems.
- **Structure:** The state team structure of the DFIDI country office has proved to be beneficial for the integration of cross-cutting issues such as gender due to (i) the enhanced inter-disciplinary approach to poverty reduction in comparison with a sector team structure; and (ii) its mirroring of the GoI state apparatus which facilitates the identification of entry-points for dialoguing and influencing.

Recommendations

S18 Below follows a list of recommendations to facilitate an increased focus on GE. The recommendations are addressed at DFIDI only.

1. Strategy and analysis: DFIDI should **unpack the social inclusion approach in relation to gender issues**. The social inclusion approach is well suited to capture discrimination of different types and different groups (ethnic, social, gender, age) but cannot replace gender mainstreaming. Gender needs to be explicit in all social exclusion analyses and in other diagnostic analyses of structural inequalities informing the country's poverty reduction strategy and DFID's contributions. Gender issues which stem from power relations between the sexes and do not pertain directly to exclusion, e.g. female trafficking, forced marriages between young women and old men, domestic and dowry related violence against women, female foeticide and infanticide, must also be addressed.
2. Staffing: The level of gender competence of the DFIDI team is of high quality. However, the reduction of staff numbers, in particular of Social Development Advisers who normally lead on GE, increases the risk of diluting competence and detracting from the **motivation** which **gender champions** can stimulate in staff members across the board. DFIDI has to consider how to **strengthen its cadre of gender champions**, e.g. by recruiting a full-time SDA for the national team, or in other ways strengthen gender expertise, for example by designating other sector/thematic specialists as gender focal points/champions. This would also be a response to the lack of easy access identified by donor partners.
3. Training: Experience from different agencies suggests that integrating GE modules into other training programmes, not least into **sector and poverty related training** is the most effective approach and should be given to a wider category of staff than SDAs. Further, **GE** should be mainstreamed **into** induction **training** and training pertaining to influencing and dialogue. Also, training on the development of GE indicators for M&E systems taking into account the synergy between complementary goals (social exclusion, poverty, and gender) should be conducted. The deployment of locally available training resources should be considered in this context as should the possibility of drawing on donor partner resources.
4. Monitoring and evaluation: The **M&E systems of major on-going interventions** should be **reviewed** to ensure that they capture the progress and results of programmes which focus on both men and women. The M&E system should integrate gender-related progress, process and impact indicators. Further, the conduct of **baseline studies integrating social exclusion, poverty and gender perspectives** should be undertaken for all new interventions.

-
5. In order to **enhance the learning from** the social inclusion and gender mainstreaming strategies pursued by DFIDI, it is recommended that **gender reviews of programmes** be undertaken on a regular basis to maintain the focus of the strategies and their synergetic effects.
 6. Furthermore, other GE indicators than those pertaining to primary education and maternal health should be monitored. A sex disaggregation of other key indicators could be a starting point.
 7. Knowledge management: A **knowledge management strategy for DFIDI should be developed**, with knowledge targets and linked with the scheduled people strategy in order to encourage learning synergies. The formulation of the knowledge targets should be guided by the CAP as well as by the recent IDC review which among others stresses the importance of social inclusion as a central objective for DFIDI.
 8. **External partnerships: Gender mainstreaming action plans should be developed for all interventions** taking into consideration lessons from integrated poverty, social exclusion and gender analysis, and built on experience from the Andhra Pradesh Livelihoods Programme (APLP) experience and on the lessons emerging from KUSP and NMFSP.
 9. DFIDI should actively contribute to work of the **Inter-Agency Working Group on Gender and Development work**. Sharing good practices and jointly updating approaches to address gender issues in new aid modalities would be in line with DFIDI's comparative strengths.
 10. DFIDI should **mainstream gender into all trust fund agreements** with donor partners.

1 INTRODUCTION

1.1 The overall purpose of the *Evaluation of DFID's Policy and Practice in Support of Gender Equality and Women's Empowerment* is to inform the future DFID strategy by assessing the results of DFID's policies and programming on gender equality and women's empowerment and any consequent effects on poverty reduction. The evaluation includes three country/regional case studies and three thematic studies.

1.2 The present report constitutes the India country case study and is based on data collected in India in September-October 2005 during which field visits, interviews with DFIDI and partner staff were undertaken. The scope of the case study includes the assessment of three interrelated dimensions:

- **DFIDI's internal effectiveness** through the analysis of the GE focus in DFIDI's key strategies and policies, human resources (GE capacity, commitment and training), performance and knowledge management.
- **DFIDI's external effectiveness** in three thematic areas and six selected interventions; *Good Governance and Access to Justice* (Kolkatta Urban Services for the Poor (KUSP) and Gender and Law), and *Education* (*Sarva Shiksha Abhiyan - Education for All* (SSA) District Primary Education Project (DPEP) and Shiksha Karmi (SK)), and *Pro-poor growth* (National Micro-finance Support Project (NMFSP)). DFIDI's role and contribution to GE in India is analysed across the six interventions' overall purposes and strategic goals, financial resources, approaches and channels utilised, monitoring and evaluation. It concludes with an assessment of GE's results, impact and contributions to each of the selected interventions.
- **DFIDI's role and comparative influence** in country-context efforts on GE.

1.3 The report is structured as follows:

section 2 presents the approach and methodology used in the country case study

section 3 discusses the socio-economic context influencing GE in India

section 4 provides an analysis of DFIDI's internal effectiveness as described above

section 5 analyses DFIDI's external effectiveness in three thematic areas through six selected interventions

section 6 assesses DFIDI's role and comparative influence in GE in India

Introduction

section 7 presents the main conclusions for each evaluation dimension

section 8 presents the lessons learnt

section 9 presents main recommendations for the evaluation

2 APPROACH AND METHODOLOGY

2.1 This section presents the approach and methodology used in the country case study and describes main methods used for data collection and analysis.

2.1 Methods for data collection and analytical tools

Sampling of interventions

2.2 Interventions included in the evaluation were selected according to a set of agreed criteria and in close consultation with DFIDI. The interventions selected and the criteria used are shown in Table 1 below.

Table 1 Selection criteria and interventions

Selection Criteria	Interventions					
	Good governance/access to justice		Pro-poor growth	Education		
	KUSP	G&L	NMFSP	SSA	DPEP	SKP
At least 1½ - 2 years old, preferably at least at mid-stage	●	●	●	●	●	●
Central to objectives and strategies in CSP/CAP and PRSP or equivalent		●		●		●
Above average size/scope/importance for DFIDI's country programme	●		●	●	●	
Represent different aid modalities/channels				●	●	
Reflect various administration levels (central, state, local)	●	●	●	●	●	●
Gender marker in PIMS		●	●	●	●	●
Track(s) in the twin-track approach	WE	GE	Both	Both	Both	Both

2.3 DFIDI expressed a preference to include an additional education intervention due to the relative importance and long duration of education in DFID's country portfolio. Further, the evaluation team did not have access to sustainable livelihood interventions due to the fact that the sustainable livelihoods programme was the subject of an ongoing review/assessment at the time of the evaluation. As a consequence, three education interventions and one pro-poor growth intervention were selected rather than two interventions per theme as originally designed.

Approach and Methodology

2.4 Aid modalities other than projects are represented in two of the education interventions, namely in the form of Sector Wide Approaches (SWAs). For further presentation of interventions, please see Section 5.1.

Data collection and analytical tools

2.5 Data collection was undertaken using the data sheets developed during the inception phase of the evaluation. The sheets address internal and external effectiveness in DFIDI's work on GE as well as DFIDI's comparative, influencing role. Further, logic models for addressing thematic issues were drawn upon. The data retrieved were analysed to answer the evaluation questions posed by the terms of reference (see evaluation framework in Annex 1). To the degree possible, plausible cause and effect linkages were analysed to understand the presence and absence of findings. Further, elaboration of 'what inferences can be drawn about potential impacts with and without gender mainstreaming' (TOR 5.2) was also extrapolated from the findings collected, and discussed as opportunities/ missed opportunities, as appropriate.

2.6 The key data collection modalities for the internal effectiveness analysis and for DFIDI's comparative role and contribution have consisted of documentation analyses, interviews and focus group discussions.

2.7 The criteria used to assess gender equality and women's empowerment, e.g. GE focus - in documents, interventions, procedures etc. follow the practical tools and guidelines of DFID's Gender Manual (2002) to the degree possible and as relevant. The criteria are in brief:

- *gender analytical information incl. sex disaggregated data* - i.e. reflection of gender analytical framework information on *beneficiary groups* and *organisations* - DFID and partners¹
- *influencing the development agenda and linking GE and poverty reduction* - reflected in analysis of women's and men's needs, priorities and constraints, planning and activities to promote women's (and men's) involvement in decision-making at different levels
- *actions and tools used to promote GE* - i.e. whether GE is reflected in the different elements of logical frameworks: in target groups, purpose and goal, in outputs, inputs and activities and in quantitative and/or qualitative gender sensitive indicators. Secondly, how PIMS markers on removal of gender discrimination are used to mark GE as 'principal' or 'significant' project objectives
- *organisational capacity building and change* - reflected in gender focal staff, financial resources, capacity building strategies, incl. gender training, management support, organisational culture, staff perceptions and attitudes

¹ See Outline gender analytical framework: beneficiary groups (page 15) and Outline gender analytical framework: development organisations - Work Programme and Working Culture (page 18), in DFID Gender Manual 2000.

2.8 These criteria cut across the scope and focus of the evaluation, i.e. the gender equality and women's empowerment analysis of internal effectiveness, external effectiveness and DFIDI's influencing role (TOR Section 5), and with regard to both sides of the twin-track gender strategy of *targeted* or *mainstreamed* interventions.

2.9 Two sets of tools were used to measure results, impact and contributions: the Change Assessment and Scoring Tool (CAST) and the Most Significant Change (MSC) tool. The CAST assesses changes as negative changes, no changes / missed opportunities, expected changes and positive changes. The MSC, on the other hand, specifies the most significant changes that have occurred under each intervention. The changes captured reflect assessments by different stakeholder and beneficiary groups.

2.2 Learning to improve GE effectiveness

2.10 Consistent with a key objective of the evaluation, i.e. 'to facilitate institutional learning and action in respect of GE policy and practice', this country case study attempts to assess internal processes and to identify specific opportunities for practical application in ongoing plans, programmes and activities.

2.11 A participatory approach was adopted throughout the evaluation mission in India with a view to utilise the outcome of the evaluation in the internal (DFIDI) institutional learning process. However, due to time constraints in terms of staff availability, the team did not have an opportunity to conduct a participatory learning exercise as planned. Instead, targeted learning sessions with the Social Development Advisor group was conducted to validate early findings as well as to identify ways forward.

2.3 Limitations

2.12 Limitations of the study mainly relate to the level of detail and depth that this evaluation is *not* able to reach for the following reasons:

- the size and history of the very large India programme to be covered in a 2-week field visit
- a high degree of staff turnover during the 10-year period limited institutional memory about the early part of the evaluation period, this both in regard to institutional changes and changes on the ground. This gap in institutional memory has limited the mapping of casual effect between the different effectiveness dimensions over time
- late provision of, and flaws in, the comprehensive documentation provided - the latter due to the fact that the documentation requested was not easily identifiable due to the 10-year time period examined
- insufficient M&E systems established and utilised – not least concerning gender sensitive indicators that regularly assess outcomes and impact

3 COUNTRY CONTEXT

3.1 India's social, economic and political complexity provides a unique set of challenges. The 28 states of the federation differ considerably in terms of natural resources, capacity, and economic performance. While poverty has declined in both poor and rich states, progress has been greatest in states that were relatively more developed. Poorer states perform worse on health, education, safe water and sanitation. The overall picture is one of extensive inequality which has not diminished to any significant extent. Women, in particular, remain disadvantaged according to virtually every key indicator. They are more likely to be illiterate and less likely to remain in full time education, to gain employment in the formal sector, and participate in decision-making. All but three of the Millennium Development Goals (MDGs) - income poverty, tuberculosis, and access to safe water - are unlikely to be met on projected trends.

3.1 Political & Social-Economic Context

3.2 India is generally regarded as having made significant progress towards the goals of economic growth and human development in the last decade. The population stands at around 1,079 million (2nd to China) and is growing at a rate of 1.6% per annum². The economy is ranked as the world's tenth largest (with a gross domestic product of \$692 billion in 2004) and GDP growth averaging 5.8% between 1992 and 2001. Key social indicators, including literacy, school enrolment and some aspects of health (exceptions being maternal mortality and HIV/AIDS prevalence), show marked improvements. Life expectancy has increased from 54 years in 1980 to 64 years in 2000³. As a result, the country's Human Development Index (HDI) ranking has risen to 127th (out of 177) with an HDI index of 0.602 (compared to 0.513 in 1990 and 0.438 in 1980).

3.3 Behind these headline results, however, lie persistent regional and other disparities – including in the area of GE. The sex ratio (number of females per 1000 males in the population) is 933, which is up from 927 in 2001⁴ but lower than it was in 1901. There are also considerable regional disparities - ranging from Punjab state (874) to Kerala (1058). Kerala is the only state with a positive female: male ratio. Overall, the ratio has actually declined in the crucial 0-6 year old group (from 945 in 1991 to 927 in 2001)⁵.

3.4 Although India's poverty index (HPI) currently places it 58th out of 103 countries⁶, India remains home to over a third of the world's poor, with around 250 million people still impoverished⁷. Social dimensions of poverty include discrimination by sex, caste, or other social category, exploitative employee/employer relations, lack of power, and access to resources and skills. Agricultural workers, small and marginal farmers, and the urban poor constitute the majority of the population below the poverty line. Members of 'scheduled castes' and 'scheduled tribes' account for around 25% of the population but 40% of the poor.

²World Bank (2005) *India at a glance*.

³World Bank (2005) *India Data Profile/Summary Gender Profile*.

⁴Census 2001.

⁵GOI (2002) *Tenth Five Year Plan*. Page 229.

⁶While HDI measures the average progress of a country in human development, HPI focuses on the proportion of the population living below basic dimensions of human development (such as living a long and healthy life, having access to education and a decent standard of living). UNDP HDR 2005 Country Fact Sheet - India.

⁷World Bank (2003) *India: Sustaining Reform, Reducing Poverty*, Page i.

Country Context

3.5 Under-nutrition is a significant problem, affecting an estimated 233 million people (23% of the population) in 2000. Women and girls have a consistently worse nutritional status than their male counterparts.

3.6 More than half of the poor are concentrated in the states of Uttar Pradesh, Bihar, and Madhya Pradesh, and country-wide three quarters of the poor are located in rural areas⁸. The disparity is exacerbated by the fact that the richer states (such as Gujarat, Haryana, Karnataka, Punjab and Tamil Nadu) are growing faster than the poorer states, thus compounding the concentration of the poor. Among the consequences are that the poorer states lag behind in most key social indicators – notably life expectancy (where the variation between Maharashtra and Bihar, Orissa and Assam is eight years)⁹.

3.2 Poverty reduction and the tenth five year plan

3.7 The reduction of poverty represents one of the Indian Government's most overriding challenges. The tenth five year plan sets out the Government's strategies for poverty reduction and growth in the period 2002-2007 and has clear reference points to all the Millennium Development Goals (in a number of cases going beyond them), including addressing extreme poverty. The plan targets human development of vulnerable groups, including women, children and people from low castes. It emphasises interventions for education (particularly primary school attendance and literacy), health (especially primary health care, maternal and infant mortality, and HIV/AIDS) and family welfare (particularly intra-household disadvantages faced by women and children)¹⁰.

3.8 Since the 2004 elections, there has been a further shift in emphasis towards the rural poor. The 'Common Minimum Programme' – the Government's policy agenda – again emphasises the focus on the MDGs, particularly the target of halving the proportion of people living in extreme poverty and achieving universal primary education.

3.3 Selected GE indicators

3.9 India is signatory to various international conventions and their recommendations, including the Beijing Declarations and Platform for Action, the Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW) and the Conventions on the Rights of the Child. Within the Indian Constitution, Article 14 confers equality of rights and opportunities in the political, social and economic spheres and Article 15 prohibits discrimination on the grounds of sex, religion, race, caste, or ethnicity.

3.10 India's gender-related development index (GDI) ranking is 98th out of 140 countries¹¹. As demonstrated in the table below, there are gender disparities in most of the important social and economic indicators. One exception is life expectancy (65 years for women and 62 for men).

⁸ World Bank (2005) *India Country Brief*.

⁹ World Bank (2003). *India: Sustaining Reform, Reducing Poverty*. Page 9.

¹⁰ GOI (2002) *Tenth Five Year Plan*. Pages 4-12.

¹¹ UNDP (2005) Country Fact Sheet, India. GDI measures achievements in the same areas as HDI but captures inequalities in achievement between men and women.

Table 2 Gender disparities in selected MDG indicators

MDG 1: Poverty		
○ Proportion of population below \$1 a day ¹² :	35 (not disaggregated)	35 (not disaggregated)
MDG 2: Education		
○ Net enrolment ratio in primary education ¹³ :	90	85
MDG 3: Gender equality		
○ Literacy ¹⁴ :	73	48
○ Wage employment ¹⁵ :	87	45
○ In parliament ¹⁶ :	92	8
MDG 4: Child mortality		
○ Under-five mortality ¹⁷ :	25 per 1,000	37 per 1,000
MDG 5: Maternal health		
○ Maternal mortality ¹⁸ :		540 per 100,000
MDG 6: HIV/AIDS		
○ HIV infection rate ¹⁹ :	62% of HIV-positive people	38% of HIV-positive people

3.11 Further, as shown in Table 3, gender inequality is significant in all of DFIDI's four focus states (Andhra Pradesh, Madhya Pradesh, Orissa and West Bengal).

¹² UNDP 2005, Human Development Report, Table 3.

¹³ UNDP 2005, Human Development Report, Table 27.

¹⁴ UNDP 2005, Human Development Report, Table 27.

¹⁵ 'Participation in the labour force', World Bank 2005, World Development Indicators, Table 2.22.

¹⁶ UNDP 2005, Human Development Report, Table 30.

¹⁷ World Bank 2005, World Development Indicators, Table 2.19.

¹⁸ World Bank 2005, World Development Indicators, Table 2.16.

¹⁹ World Bank 2005, World Development Indicators, Table 2.18.

Country Context

Table 3 Focus State Gender Equality Matrix²⁰

Primary school enrolment (%)²²	126	92	74 ²³	67	98	94	105	101	90	85	
Literacy (%)	76	51	74 ²⁴	62	77	50	71	51	73	48	
Education index		0.639		0.681						0.61	
Wage employment (%)		12		9		26					
Income index, ratio of female to male earned income		0.349		0.270						0.38	
Infant mortality, per 1,000 live births	98.5	97.6	49 ²⁵		89.6	89.5	65 ²⁶		63 ²⁷		
Life expectancy (years)	56.9	56.6	65	69	55	55	62 ²⁸		62	65	
Gender Development Index (GDI)		0.546		0.549		0.587		0.801 ²⁹		0.586	

²⁰ It is necessary to stress that comparisons between states must be treated with caution, since the data in the table covers different years (even for the same indicators) and since some of the indicators are used differently from one state to another (see footnotes to the table). We have attempted to minimise the risks involved by using data only published by one source, namely the UNDP. The sources used are the most recent UNDP Human Development Reports for Orissa (2004), West Bengal (2004) and Madhya Pradesh (2002). UNDP has not produced a Human Development Report for Andhra Pradesh. The data on India as a whole (last column) is drawn from the UNDP 2005 Human Development Report.

²¹ Andhra Pradesh, Human Development Fact Sheet: <http://www.undp.org.in/programme/Fact%20Sheets.pdf>.

²² For the individual states only gross enrolment figures are available, whereas for India as a whole the net enrolment rate is given. Gross enrolment is the ratio of all primary school students to all primary school aged children in the population. The high enrolment rates for Orissa and Andhra Pradesh (over 100%) indicate large numbers of over-age children in primary school, which is an indication of poor academic progress or a high level of repetition in the school system.

²³ The 2004 UNDP Human Development Report for West Bengal does not contain data on school enrolment as official data based on school records tend to inflate enrolment. The data provided here (from the same report, Table 7.2) covers school attendance in 1995 of rural boys and girls age 11-13 years.

²⁴ Literacy rates for rural males and rural females in 2001, 2004 UNDP Human Development Report for West Bengal (Figure 7.1).

²⁵ Sex disaggregated figures on infant mortality rates are not available. The rate quoted is therefore placed only in the column for males.

²⁶ Sex disaggregated figures on infant mortality rates are not available. The rate quoted is therefore placed only in the column for males.

²⁷ The UNDP 2005 Human Development Report does not provide sex disaggregated figures on infant mortality rates. The rate for India is therefore listed only in the column for males.

²⁸ Sex disaggregated figures on life expectancy are not available. The rate quoted is therefore placed only in the column for males.

²⁹ Gender Disparity Index Value 1991; this may not be identical with the GDI.

3.12 The scores in the overall GDI (see footnote above) for three of the states are fairly similar (the figure for Andhra Pradesh is from 1991 and so cannot be compared). In terms of specific gender equalities, the data demonstrates inequalities in the areas of adult literacy, infant mortality, life expectancy, and wage employment and income. Adult literacy is particularly pronounced, in Madhya Pradesh, Orissa and Andhra Pradesh; whereas infant mortality rates - for girls and boys alike - are considerably higher in Madhya Pradesh and Orissa than in India as a whole and in both of these states women's life expectancy at birth is ten years below the Indian average. Finally, in regard to wage employment (women as a percentage of all employees) and income, the data indicates that women are particularly disadvantaged in West Bengal. Moreover, since poverty is still a largely rural phenomenon in all of the focus states – and even more so in Orissa and Madhya Pradesh – and since women are over-represented among the rural poor, working in states with high levels of rural poverty provides a good opportunity to address the gender dimension of poverty.

3.4 GE Policy

3.13 India has a number of high level policy commitments on GE. The National Policy for the Empowerment of Women (2001) highlights the magnitude of the challenge, calling for 'the general advancement, development and empowerment of women; the introduction of a responsive and women sensitive legal and judicial system; ensuring women's equality and participation in power sharing and decision-making; mainstreaming gender into development processes; strengthening and formation of institutional mechanisms; partnership with community based organisations; and implementation of international commitments³⁰.'

3.14 The Tenth Plan includes a three-pronged strategy for empowering women, through:

- social empowerment - the creation of an enabling environment through policies and programmes specifically designed to empower women and increase their access to basic needs
- economic empowerment - the provision of training, employment and income generating activities with the aim of increasing women's economic independence and self-reliance
- gender justice - the elimination of gender discrimination in practice as well as law in all spheres³¹

3.15 The need for earmarked resources for tackling GE has been recognised. Specific funding for women from general development was introduced in 1992 and has been further developed through the Women's Component Plan (WCP) of 1997 that required that 30% of funds/benefits from various welfare and development budgets be earmarked for pro-women and women-specific programmes and activities.

³⁰ Gol (2005), *Platform for Action: 10 years after. India Country Report*. Page 2.

³¹ Gol (2005), *Platform for Action 10 years after: India Country Report*. Page 3.

Country Context

3.5 GE institutions

3.16 In 1985, the Indian Government established a separate Department of Women and Child Development (DWCD). Its move from the Ministry of Social Welfare to the Ministry of Human Resource Development signified that gender issues should be addressed not as a social welfare issue but rather as an issue of development for a major section of the population that has been continually disadvantaged by long-standing social and cultural norms. DWCD has established a National Resource Centre for Women, whose purpose is to collect and disseminate information on women's development, to facilitate the generation of data on women's issues, and to advance a gender perspective in policies, planning, implementation and monitoring.

3.17 Another important national body is the National Commission for Women, the statutory ombudsman mandated to safeguard the rights and interests of women in India. In addition, the Parliamentary Committee on Empowerment of Women, established in 1997, exercises oversight of central government bodies and programmes relating to women.

3.18 At state level, there are Departments of Women and Child Development, Commissions for Women and State Social Welfare Boards.

3.19 In the justice sector, discrimination on grounds of sex is prohibited by Article 15 of the Constitution and Article 15(3) empowers the State to take affirmative action in favour of women. The Supreme Court has played an activist role in gender justice by issuing directives to the State relating to safeguarding and strengthening the rights of women. Landmark judgements have also served to advance the legal position of women by setting guidelines for how offences against women should be tackled to ensure justice for the victim. Women's groups have campaigned hard to change bias in the law and for changes in relation to rape and dowry deaths³².

3.20 In the education sector, principles of Indian education policy set out in the National Policy for Education (1986) and the 86th Constitutional Amendment include:

- equality of opportunity for girls and women in education
- the right to free and compulsory education for all children between the ages of 6 and 14

3.21 The centrally-sponsored scheme, *Sarva Shiksha Abhiyan* (Education for All), which started in 2001, is the Government's national umbrella programme for elementary education and is the main instrument for improving access to and outcomes of basic education in the Tenth Plan.

3.22 Outside government, civil society organisations play an important role in the institutional set-up. More than 12,000 voluntary organisations throughout India work with women's and children's issues and the implementation of central and state-sponsored programmes. In addition, a large and growing number of self-help groups in rural and urban areas exists, the vast majority of which are informal women's groups. Self-help groups have shown themselves to be instrumental in mobilising women's participation in development activities and serve as channels for expressing needs and interests and as platforms for collective action.

³² Steward, A, *Implementing gender justice through the judiciary: a case study of judicial training in India*.

4 INTERNAL EFFECTIVENESS ANALYSIS

4.1 This section evaluates DFIDI's internal effectiveness through an assessment of GE in strategies and policies, human resources, performance and knowledge management. An analysis of GE resourcing is presented in Annex 5.

4.2 To the extent possible, the team has sought to conduct the analysis for the entire 10-year period as required. However, due to lack of data, certain aspects such as human resources and knowledge management have only been analysed in a more recent time frame.

4.1 Strategies and policies

4.3 This section analyses GE focus in DFIDI's country strategies and evaluates DFIDI's GE strategies.

GE focus in DFIDI country strategies 1995-2005

4.4 Three country strategies have succeeded each other over the period under evaluation. While attention to GE and the status of women/ women's empowerment has been included in all the country strategies evaluated, the approach to GE has evolved over time, with a shift from treating GE as peripheral to recognition of its central nature.

4.5 DFID Country Strategy Paper - **CSP (1995-1998)**: In this CSP, GE was addressed by applying a *Women in Development (WID) approach* targeting women as beneficiaries, and this primarily in relation to the focus area two concerning the social sectors in response to 'the difficulty of designing projects so as to effectively target the needs of the poor and women'³³.

4.6 GE was not treated as an essential dimension of the CSP's central objective which was 'to strengthen Indian capacity to reduce poverty in a sustainable way over the medium term'³⁴. Instead, a general reference was made to 'ODA's seven objectives, one of which is the promotion of the status of women' as well as a means to poverty reduction: 'greater attention to gender issues will be an integral part of this overall strategy to address poverty more effectively'. In the poverty analysis of the CSP, gender was treated as one of the four dimensions of social exclusion, with the others being caste, religion and urban bias³⁵. The social exclusion/inclusion perspective is retained as a strategic focus in the 2004-2008 CAP - see below.

4.7 DFID **CSP 1999-2003**: This made a shift from a WID to a *rights-based perspective* to GE. Violence against women, bonded labour practices and the dowry system were singled out, in the recognition that such practices '...exacerbate poverty.'³⁶ This new emphasis on rights was also reflected under the Politics and Governance section of the CSP where issues of poor implementation of legal measures '... to protect the social and economic rights of women...' and of affirmative policies were mentioned³⁷.

³³ India Country Strategy Paper. 1995. ODA

³⁴ India Country Strategy Paper. 1995. ODA. Page 9, F5.

³⁵ India Country Strategy Paper. 1995. ODA. Page 2, C3.

³⁶ CSP 1999. Page 4.

³⁷ CSP 1999. Page 6, B13 and B14.

Internal Effectiveness Analysis

4.8 GE was identified as central to the CSP's goal of making 'progress towards the elimination of poverty in India³⁸,' with one out of the four specific objectives specifically targeting gender issues: 'Greater empowerment of the poor, especially women and members of scheduled castes and scheduled tribes³⁹.' Further, in the explanatory notes to this objective, DFIDI committed itself to '(...) continue to adopt a twin-track approach to GE issues, both mainstreaming them in other activities and developing a women's empowerment programme (...)'

4.9 GE is also one of the key aspects on which DFIDI's partnership with India's central government was based in this period, through stressing the need for 'working with and contributing to high priority national programmes... on broader poverty approaches including women⁴⁰.... Gender also appears in one of the four selection criteria for state partnerships: 'commitment to ... tackle difficult social issues such as gender⁴¹ ... '. Further, in regard to partnerships with civil society, women's groups were mentioned as important actors in terms of influence and knowledge relevant to poverty and development⁴².

4.10 In June 2003, a review was undertaken of the CSP 1999-2003 and of the DFIDI's programme for this period. While the review took note of the progress in dialogue with Gol towards a more rights-based approach, the review concludes that 'gender and caste issues have not been effectively mainstreamed into project and programme analysis' due to 'lack of clarity about how to take forward an empowerment agenda⁴³.'

4.11 DFID Country Assistance Plan (CAP) 2004-2008: The current CAP applies a *social inclusion approach*, in recognition that 'a particular requirement to strengthen the 'voice' of the poor, particularly of scheduled castes, scheduled tribes and women exist in order for them to influence the policies and demand the services that matter to them⁴⁴.' This approach is in line with the various background studies to the CAP which, among others, recognise movements of the socially excluded as key drivers to poverty reduction.

4.12 While GE is not specifically referred to in the overall goal or objectives of the CAP, gender concerns are referred to in the explanatory notes for two of the three central objectives:

- Objective 1; more integrated approaches to tackling poverty in focus states: 'A key area will be supporting local governments, and the effective participation of women and scheduled castes and tribes.' The importance of building 'capacity to analyse how policy and public spending decisions affect women and scheduled castes and tribes, and to raise public awareness and support for poverty-reduction' was stressed⁴⁵

³⁸ CSP 1999. Page 14., E4.

³⁹ CAP 2004. Page 3, B.2.3.

⁴⁰ CSP 1999. Page 10, C3.

⁴¹ CSP 1999. Page 10, C4.

⁴² CSP 1999. Page 11, C9.

⁴³ An External Perspective on DFID's India Country Strategy. Page 29.

⁴⁴ CAP 2004. Page 7.

⁴⁵ CAP 2004. Page 9.

- Objective 2; improving the enabling environment for sustainable and equitable growth: 'The national and private sector will promote sustainable rural livelihoods and private sector growth, particularly for women and in the small-scale unorganised sector⁴⁶.'

4.13 The objectives of the CAP are complemented by four cross-cutting themes of equity, accountability, sustainability and partnership.

4.14 In the poverty analysis of the CAP, gender concerns are referred to in regard to access to education, the labour market and food security.

4.16 The International Development Committee (IDC) review of *DFID's bilateral programme of assistance to India*, May 2005, raised concerns about the current CAP strategy of mainstreaming gender and social equity, fearing that it does not give 'sufficient weight to these issues⁴⁷.' This concern was considered particularly pertinent as DFIDI was moving away from project approaches to macro instruments. The same review stated that the Gol's 'concentration on income poverty' as a means to poverty reduction – which has been replicated by DFIDI by focusing 'mainly on pro-poor implications of economic growth and reform' – has left India's 'off-track' MDGs such as education, health and HIV/AIDS un-prioritised⁴⁸. Therefore, while the IDC review saw it as a 'positive sign that DFIDI has begun to include components targeting socially excluded groups in its projects and programmes', it recommended that the addressing of 'social exclusion be one of the central objectives of its India programme' with the conduct of regular gender and social exclusion reviews as a means to maintain focus⁴⁹.

⁴⁶ CAP 2004. Page 10.

⁴⁷ House of Commons. International Development Committee. *DFID's bilateral programme of assistance to India*. Third Report of Session 2004-05. Page 30, paragraph 49.

⁴⁸ House of Commons. International Development Committee. *DFID's bilateral programme of assistance to India*. Third Report of Session 2004-05. Page 16, paragraph 17 and 18.

⁴⁹ House of Commons. International Development Committee. *DFID's bilateral programme of assistance to India*. Third Report of Session 2004-05. Page 69, paragraph 10, 11, and 13.

Box 1 Social exclusion and gender

DFID's policy paper *Reducing Poverty by Tackling Social Exclusion* (September 2005) defines social exclusion as a 'process by which certain groups are systematically disadvantaged because they are discriminated against'. Social inclusion is one of three cross-cutting principles (along with participation and fulfilling obligations) outlined in the Target Strategy Paper *Realising Human Rights for Poor People*.

However, the mainstreaming of a 'social exclusion framework' and gender mainstreaming are not interchangeable approaches.

While gender can 'differentiate and exacerbate, other forms of disadvantage, and thus feed into the destructive synergies, which underlie hard-core exclusion', women's oppression stems from the power relations between the sexes that are based on the specifics of gender relations. Thus when women are unjustly treated they are not necessarily being excluded. Furthermore, gender mainstreaming not only concerns addressing women's needs, it also crucially concerns focusing on men both as targets for inputs and actors promoting change.

Thus, a social inclusion approach cannot replace gender mainstreaming. Therefore, not only should gender be mainstreamed into all social exclusion analyses; gender should also be mainstreamed into other diagnostic analyses concerning structural inequalities informing a country's/region's poverty reduction strategy.

Source: Kabeer, Naila. (2000) *The Power to Choose: Bangladeshi Women and Labour Market Decisions in London and Dacca*; Verso, London and New York.

See also: Beall, Jo and Laure-Hélène Piron (May 2005) *Social Exclusion Review*, LSE and ODI. Table 1, page 26.

4.17 In conclusion, DFIDI has retained attention to GE and the status of women/women's empowerment over the whole period reviewed and in all the country strategies, albeit not always as a central objective. The approach to GE has shifted over time from a WID approach focusing on women as beneficiaries, to a rights-based perspective highlighting Women's Empowerment (WE) issues, to a social inclusion approach to poverty reduction. The social inclusion perspective was introduced already in the 1995-98 CSP but has become a strategic choice in the current CAP since it captures diverse dimensions of social exclusion which affect poverty in the Indian society. However, with the inclusion strategy there is a risk that GE issues not captured by such an approach - such as domestic and dowry related violence against women - are not addressed.

DFIDI gender strategies

4.18 DFIDI is one of the few country offices which has benefited from having country office gender strategies guiding its programmes throughout the period being evaluated.

4.19 A background study on GE issues in India was conducted by BRIDGE in 1995 to help prepare a new Women in Development (WID) strategy for DFIDI, with the intention of helping technical, field and desk personnel with enhancing the gender-sensitivity of the India aid programme⁵⁰.

⁵⁰ Background Report in Gender Issues in India: Key Findings and Recommendations. Annex 1, TOR.

4.20 DFID developed during the period of 1996-1997 a series of Sector Gender Strategies with the objective of reflecting issues and opportunities arising out of efforts to implement a GE agenda within DFID supported projects and programmes⁵¹. A total of five gender strategies were developed, one for each Field Management Office (FMO)⁵².

4.21 The gender sectoral strategies were informed by the Beijing Platform for Action (PfA) as well as DFID's commitment to poverty elimination with the reinforcement of social justice as an underlying principle⁵³. A twin-track approach was adopted, combining gender-focused projects with broader efforts to mainstream GE issues within all programme interventions⁵⁴.

4.22 Building on the sectoral strategies, a first GE strategy was prepared for DFID in February 1998 as a response to the new poverty elimination focus of DFID outlined in the 1997 White Paper. Furthermore, both the PfA and the 1995 Indian national policy that focuses on the empowerment of women provided further impetus for this strategy. It was prepared with the objective of informing the 1999 CSP process and assisting DFID to focus its support to GE and poverty reduction initiatives. The purpose of the DFID India gender strategy was 'to enable poor women to overcome gender inequalities' through an effective usage of DFID's resources.

4.23 The GE Strategy employed the same twin-track approach as the sectoral strategies. It furthermore outlined a more upstream and rights-based GE tactic in response to the need of 'a broader approach to gender and poverty⁵⁵.' The areas identified for further emphasis were:

- supporting and engaging in discussions on policies and policy instruments which affect poor women and men
- establishing dialogue and links with national and state machinery for women and other planning mechanisms;
- promoting a women's rights agenda through law, judiciary, information on rights and so on; and
- gender-focused and/or cross-sectoral interventions designed to address key aspects of gender inequality or to promote women's empowerment through a holistic and needs-based approach to planning

4.24 In 2004, a new Gender Equity Strategy was drafted which outlines how DFID 'intends to approach the issue of gender equity in order to ensure that it is adequately mainstreamed in programmes⁵⁶.' While not mentioned specifically, the twin-track approach still guided this strategy, along with an increased focus on internal constraints to GE. These include the lack of an action plan outlining human resourcing and monitoring arrangements; weak capacity of staff;

⁵¹ UK Department for International Development. India Programme. Gender Equality Strategy 1998-2003 Page 5.

⁵² The 5 Field Management Offices: Rural development office (RDO), Urban poverty office (UPO), Water and sanitation (WSO), Education programme office (EPO), Health programme office (HPO).

⁵³ UK Department for International Development. India Programme. Gender Equality Strategy 1998-2003. Annex 1, synthesis document: FMO strategies for Gender Equity in India.

⁵⁴ UK Department for International Development. India Programme. Gender Equality Strategy 1998-2003. Executive Summary, page 2.

⁵⁵ UK Department for International Development. India Programme. Gender Equality Strategy 1998-2003. Executive Summary, page 3.

⁵⁶ Approach Paper to Gender Equity. Final Draft. Page 1.

Internal Effectiveness Analysis

and inadequate lesson sharing. As a consequence, the strategy delineated an action plan for 'operationalising the approach' which is presented below in Table 4 along with progress assessments:

Table 4 Operationalising the gender approach 2004

Identified actions in gender approach paper 2004	Progress January 2005 ⁵⁷	Progress October 2005 ⁵⁸
Identify where best the corporate responsibility at DFID India for ensuring gender mainstreaming might be located	Performance, Learning , Strategy Team (PLST) identified and cross-cutting team formed with Gender Focal Points nominated	
Designate individual responsibility within National and State Teams to take the lead in facilitating team members to mainstream gender issues and consolidate lessons	By default is the SDA of the respective team; could be reviewed according to skill mix	
Office wide awareness-raising on gender and development issues as appropriate	2 sessions on Gender and Equity issues held; write up in Development Matters on Gender MDG	
Make available to staff, and build their capacity to use, relevant tools to mainstream gender	Not pursued this year; priority for 2005	"How to note" on Social Inclusion developed by Dennis Paine
Use existing resources such as those available in the DFID Policy division	Pat Holden in the Exclusion Rights and Justice Team kept in the loop on developments	
Address gender issues in our Communication strategy	Priority for 2005; need to inform draft DFID communication strategy	Done
Being accountable within periodic UK democratic requirements on our progress on gender equity as part of our global commitments	Ongoing	
Review this approach within the overall Country Plan Performance review and as part of DFID corporate reporting against the PSA and the DDP	Priority for 2005	In progress through impact assessments

⁵⁷ Progress Against DFID's Gender Approach Paper (2004).

⁵⁸ Source: Geeta Unnikrishnan, Lead Gender Focal Point.

4.25 In response to the IDC review and drawing on the newly issued DFID HQ Policy Reducing Poverty by Tackling Social Exclusion, the latest generation DFIDI Gender Strategy is in the form of a Social Inclusion Strategy (currently being drafted) which identifies women as a marginalised group along with scheduled castes, and tribes, Muslims, disabled and people with HIV/ AIDS. The drafting of the social inclusion strategy is not sufficiently advanced to allow for an evaluation. However, a comprehensive social exclusion study undertaken in 2003 did not include GE as a dimension as also signalled in the foreword to the study.

4.26 In conclusion, DFIDI has benefited from having country office gender strategies guiding its programmes throughout the evaluation period. The gender strategies have evolved with the office shifting from a sector focus to an integrated approach to poverty reduction (see Section 4.2.1 below). Further, the overall approach to GE has changed over time, from a WID approach to a rights-based perspective and now to a current social inclusion approach responding in a dynamic manner to the policies and strategies of DFID HQ and to the developments in the international and national (Indian) discourse (see also Section 4.2.3).

4.2 Human resource development

4.2.1 Organisational restructuring

4.27 DFIDI has been subject to a continuous stream of restructurings over the past decade in response to (i) the overall decentralisation agenda of DFID HQ; (ii) the new emphasis on strategic partnerships; and (iii) India's federalised system of government with an increasing devolution of powers leading to:

- the merging of six field management offices into a single office
- the transformation of the project portfolio was launched, moving away from smaller-scale projects to programmes and budget support
- the shift from advisory sector groups to state teams to strengthen an integrated approach to poverty reduction

4.28 As outlined in the Consultation and Review Section (CARS) review and echoed by numerous staff members through interviews, the state-based structure of the office has proved to be an effective means to allow DFIDI to apply an integrated approach to poverty reduction with influencing and policy work as the general principles for working⁵⁹. Further, due to the interdisciplinary team set-up, gaps in staff GE knowledge (see Section 4.2.3) do not seem to represent a constraint to gender mainstreaming for the teams holding SDAs as these are widely recognised as leads on GE (as well as formally appointed gender focal point) and consulted in this regard. An example of SDA consultative work on GE is the advice offered for the APLP which has led to a programme specific gender policy as well as a comprehensive action plan (APLP gender initiatives).

⁵⁹ CARS. Page 9. DFID India. Improved Ways of Working. A guide for staff. November 2000. Page 5.

Internal Effectiveness Analysis

4.29 However, as predicted the geographically-based structure presents challenges to cross-team learning – a problem addressed but not entirely resolved by the introduction of the Performance, Learning and Strategy Team (see Section 4.4).

4.30 In conclusion, the current organisational structure of DFIDI building on interdisciplinary state teams seem to be beneficial for GE work, enhancing not only gender mainstreaming through the integrated manner in which the SDAs work, but also creating the basis for a holistic/context-driven approach to poverty reduction (see Sections 4.2.3 and 4.2.4). However, measures have to be taken to enhance the limited cross-team learning.

4.2.2 Capacity to promote GE

4.31 The human resource capacity for gender mainstreaming has been evaluated in regard to the quality (GE knowledge) and quantity (time) of human resourcing through interviews with staff.

4.32 In terms of knowledge of DFID HQ GE policies and tools, most staff members interviewed were informed of the two Target Strategy Papers (TSPs)⁶⁰ whereas knowledge of the gender manual varied from ‘didn’t know it existed’ (State Team Leader) to an SDA having been involved in its development. In contrast, all staff members were informed about the very recent DFID HQ policy on social exclusion.

4.33 With regard to DFIDI GE strategies and tools, all staff members interviewed were informed about the GE and social exclusion papers; while only some knew of the sector-specific tools.

4.34 The staff best capacitated for GE work were - not surprisingly - the SDAs who with one exception had been exposed to GE training and work in their careers. However, other staff members had also undergone extensive GE training such as the Senior Governance Adviser who has undertaken a 6-month GE training course in her former posting with the Gol.

4.35 Further, DFIDI has the advantage of a highly capacitated management team: the new Head of Office was previously Head of DFID HQ Governance and Social Development Group while the Deputy Head of Programmes and Policy has extensive research experience on GE in an Indian context. Both senior managers are recognised internal champions on GE (see Section 4.2.3).

4.36 In regard to the quantity of human resourcing, interviews with staff and numerous review reports point to the fact that DFIDI is under great pressure to allocate its human resources in the most efficient manner possible – also as regards cross-cutting work.

4.37 During staff interviews, it was repeatedly mentioned that time management is an issue as also illustrated by the various programme rationalisation measures such as the abolition of ‘project gold plating’ and the ‘hands-off’ approach⁶¹. The Head of Office drove the point home

⁶⁰ *Poverty Elimination and the empowerment of women and Realising human rights for poor people.*

⁶¹ Project Cycle Management in DFID India. *Review of Practice in Design and Appraisal Stage.* October 2004. Project Gold Plating refers to ‘going too deep in an area where it is not required or going too broad by insisting on absolutely everything’ including ‘the tinkering on the margins with the quality of a (project) document’. The hands-off approach refers to the outsourcing of work to implementation partners as relevant.

during the debriefing by stressing that any recommendations coming out of the evaluation implying extra work for DFIDI staff has to be accompanied by another recommendation pinpointing where DFIDI can cut existing workload.

4.38 While the evaluation team did not detect any direct effects in terms of time constraints on GE work in the 6 interventions evaluated, the team is concerned with the general resourcing of SDAs, in particular regarding the lack of a permanent and full-time SDA for the National Team considering the crucial role that the SDAs are playing in leading and providing technical expertise on GE (see paragraph 4.29). The team finds that the work pressure is such that despite a very dedicated and capable SDA group, the overall quality of GE work might be compromised – especially with regard to cross-team learning and influencing work⁶².

4.39 In conclusion, the DFIDI staff teams are well capacitated to undertake GE work. However, in terms of the quantity of human resources, the resourcing of SDAs seems to be inadequate in light of their designated lead on GE.

4.2.3 Commitment to promote GE

4.40 Judging from the many review reports, strategy papers (see Section 4.1), and interviews, the main impetus for shifts in GE *approaches* seem to be externally driven, whereas GE *implementation* is sustained by internal drivers in the form of champions and new organisational structures.

4.41 DFID HQ policies have over the past decade consistently generated impetus for shifts in GE approaches at DFIDI level, e.g. the 1997 White Paper initiated the new emphasis on up-streaming and rights-based work; response to the 2003 GAD-Network evaluation⁶³ led to DFIDI taking on the issue of policy evaporation and the recently released social exclusion policy paper informs the development of DFIDI social exclusion strategy⁶⁴.

4.42 Other important external GE drivers have been review missions – such as the 2005 IDC review mission which led to an increased focus on social exclusion. Further, national initiatives also seem to have acted as drivers such as the adoption of the PfA in 1995 which informed the DFIDI 1998 GE Strategy (see also Section 4.1.2).

4.43 In terms of internal champions, the new Head of Office is providing leadership on social exclusion with GE as one targeted dimension. Further, the Deputy Head for Programmes and Policy is recognised as having pushed the GE agenda by inter alia supporting initiatives such as the Poorest Areas Civil Society scheme (PACS).

4.44 In terms of other champions, the SDAs are by some seen as being key internal champions ‘without which GE issues will fall out of programming’. For others, the other key

⁶² During the latest restructuring where the Social Advisory staff (SDA and IPOS -India Professional Officers Scheme) was cut from 18 to 5, DFIDI outsourced non-critical work such as Project Cycle Management (PCM) and Output to Purpose Reviews (OPR). CARS, page 28.

⁶³ Macdonald, M (2003) *Gender equality and mainstreaming in the policy and practice of the UK Department for International Development*, London: The Gender And Development Network.

⁶⁴ DFID (2005), *Reducing poverty by tackling social exclusion - A DFID Policy Paper*, London.

Internal Effectiveness Analysis

internal driver (besides DFIDI top management) is not personal but institutional – namely the restructuring of DFIDI. The shift from a sector-based to a state-based structure has allowed for a more holistic and inter-disciplinary approach to poverty reduction programming which facilitates the inclusion of cross-cutting issues such as GE.

4.45 In conclusion, DFIDI benefits from strong internal leadership on GE supported by committed staff and a focus on context in programming. Furthermore, DFIDI has consistently responded to external GE impetus in adjustment of its GE approaches.

4.2.4 GE training

4.46 While the evaluation team had no access to training data for the years 1995 to 2000 due to the decentralised field management offices' approach, it can be deduced from various review reports that DFIDI training for this period was 'ad hoc and/or supply driven'⁶⁵ with DFID India staff wishes guiding Staff Training and Development (ST&D) activities and the Annual Performance and Development Plan (APDP) process in the absence of a DFIDI Human Resource Development (HRD) strategy⁶⁶. The result was that the outputs of the training conducted had 'variable' impact⁶⁷.

4.47 In 2001, a Staff Development Plan (SDP) for DFIDI was developed based on the same bottom-up approach identifying training needs to be met over a 2-3 year period with staff wishes and not strategic organisational needs guiding the process⁶⁸. A total of 23 different core and 17 job-specific training courses were scheduled for 2002-2003, but no training activities were planned in the area of GE. However, other training efforts on cross-cutting issues were identified – such as mandatory training for all staff on HIV/AIDS mainstreaming and awareness-raising.

4.48 When evaluating the mainstreaming of GE into other training programmes, the evaluation team was informed that GE was mainstreamed into training activities on poverty awareness and diversity; but only to a limited extent. For other training areas such as the Management Development Programme (MDP) and the induction training for new recruits (including for SDAs), GE is not mainstreamed⁶⁹.

4.49 In order to evaluate whether new GE needs have arisen since the 2001 training needs assessment, a review of expressed training needs in APDPs for year 2003-2005 was undertaken. For all training needs expressed, - none specified GE, however - a total of three staff requested training on social protection/social exclusion/social policy. We assume that gender perspectives will be addressed in the latter.

4.50 A situational analysis of DFIDI's human resources has just been undertaken and upon approval from DFID HQ will feed into a 'People Strategy'. Further, as a first move towards strategic-based training plans, in April 2005 the training budget was decentralised, requesting

⁶⁵ Staff Development Plan. 2001.

⁶⁶ Review of Organisation and Management. Phase I Outputs. Page 208.

⁶⁷ Staff Development Plan. 2001

⁶⁸ Ibid.

⁶⁹ Source: DFIDI Human Resources.

team leaders to develop training plans which cohere with their respective Business Plans. It remains to be seen whether training on GE becomes a priority with the new emphasis on social exclusion.

4.51 In conclusion, there is little evidence of recent GE training demands or supply. This may be a reflection of an already capacitated staff (see paragraph 4.39). Nonetheless, the lack of GE in induction training for new staff is clearly a gap which needs filling, especially with regard to an introduction to DFIDI's existing GE strategies and tools. Furthermore, taking into consideration that social exclusion has been recommended as a central objective for the CAP along with the continuous emphasis on strategic partnerships; the new strategic approach to HRD should include training on generic skills such as influencing and policy and institutional work in relation to GE (see Section 4.2.3).

4.3 Performance management

4.52 The focus on performance management is a relatively new undertaking for DFIDI as also expressed by the former Head of Office who noted in relation to the remodelling process in 2003 that in regard to staff resourcing, 'none (has been spent) on evaluation and learning⁷⁰.'

4.53 This weak emphasis on performance management is also reflected in the DFIDI office guidelines from 2000, where the only direct reference made to performance management is under the role of the Senior Management Team (SMT), where it is specified that the SMT is responsible for 'reviewing performance of programmes⁷¹.'

4.54 This is probably the reason why the 2003 review of the CSP 2003 concluded that: 'Reviews of CSP have noted the general lack of a well-articulated link between project and other activities (that DIFD is doing) and the outcomes around which strategic objectives are set - which has been identified as the missing middle⁷².'

4.55 With the remodelling process in 2003, DFIDI made its first serious effort to introduce PM measures and procedures for the CO. Following-up on the recommendations of the remodelling review, two important changes have been made, and one is still in progress:

- the Performance, Learning and Strategy Team (PLST) was established and charged with monitoring performance against CAP objectives, financial performance. It has facilitated learning and strategic activity across the country programme
- team and MDG progress monitoring has been introduced to track performance
- a resourcing model to inform the allocation of funds is under development with the objective of linking resourcing with results.

⁷⁰ Remodelling DFID India. Page 5.

⁷¹ DFID India. Improved Ways of Working. A guide for staff. November 2000. Page 22.

⁷² Oxford Policy Management. *An External Perspective on DFID's India Country Strategy*. June 2003.. Page 7.

Internal Effectiveness Analysis

4.56 When reviewing the various performance management mechanisms currently in place for DFIDI, a total of six systems have been identified. These systems are summarised in Table 5 which maps out indicators (incl. comments) where GE has been referred to.

Table 5 GE in current performance management systems

Performance Management Instrument	Objective	GE indicators/success criteria
DDP	Annual reporting to the Director's Delivery Plan (DDP) on the performance of the annual country indicators. Recipient: Asia Department	<p><i>DDP 2003-04:</i></p> <ul style="list-style-type: none"> PACS partners are working closely with district administrations around identified thematic issues (such as) ... women's rights⁷³. National Reproductive and Child Health (RCH) II agreed (...) which includes technically sound and cost-effective strategies to address under-5 mortality/health. In States and Districts where DFID supports primary education, District and State report cards show improved participation (...) and improved gender statistics. <p><i>DDP 2005-06:</i></p> <ul style="list-style-type: none"> Support the achievement of Universal Primary Education in India through the Sarva Shiksha Abhiyan programme by ensuring that (...) gender and social gaps narrowed by further 1%.
CAP	Annual reporting on the Country Assistance Plan (CAP) on the performance of a different set of indicators than that for the DDP. Recipient: Asia Department.	<p>2000:⁷⁴</p> <ul style="list-style-type: none"> Female literacy rate; ratio of girls to boys in primary, upper primary and secondary education; Maternal mortality per 100,000 live births, contraceptive prevalence; HIV prevalence in pregnant 15-24 year olds; female life expectancy at birth. <p>2001:⁷⁵</p> <ul style="list-style-type: none"> (...) reduction in the number of people whose lives are affected by violent conflict (...). In commentary to objective: Conflict is a major issue in India both internally (...), conflict within the home, particularly violence against women) and in Gol's relationship with its neighbours. Improvements in gender equality in education. Improvements in (...) maternal (...) health. <p>2003-04:⁷⁶</p> <ul style="list-style-type: none"> PACS partners are working closely with district administrations around identified thematic issues (such as) ... women's rights⁷⁷. National Reproductive and Child Health (RCH) II agreed (...) which includes technically sound and cost-effective strategies to under-5 mortality rates and maternal mortality health. In States and Districts where DFID supports primary education, District and State report cards show improved participation (...) and improved gender statistics.

⁷³ Comment only. There is no reference made to GE in the attached indicator.

⁷⁴ Annual Plan and Performance Review. DFID India. November 2000. Annex 1: Indicators of Progress Towards the International Development Trends. Annex 2: Partner states at a Glance - Key Facts and Figures.

⁷⁵ DFID India. Annual Plan and Performance Review. Draft - 31 October 2001. Annex 3: Country Level Progress Against PSA/SDA Targets.

⁷⁶ DFID India. Progress Against Country Assistance Plan 2003-4. Draft 7 May 2004 Annex 4: DDP Progress Table: Country-Wise Annual Milestones for India - 2003/04. Annex 5: CAP monitoring framework for 2004/05.

⁷⁷ Comment only. There is no reference made to GE in the attached indicator.

Performance Management Instrument	Objective	GE indicators/success criteria
CAP	<p>Annual reporting on the Country Assistance Plan (CAP) on the performance of a different set of indicators than that for the DDP. Recipient: Asia Department.</p>	<p>2004-05:⁷⁸</p> <ul style="list-style-type: none"> PACS partners are working closely with district administrations around identified thematic issues (such as) ... women's rights In States and Districts where DFID supports primary education (DPEP), report cards show improved participation (...) and improved gender statistics National RCH II. Project document includes technically sound and effective strategies to address maternal mortality (...). The programme includes the recommendations of the Maternal Mortality Task Force and strategies to achieve the MDG proxy indicator
MDG⁷⁹	<p>Annual reporting on Millennium Development Goals (MDG) progress. Recipient: internal document.</p>	<ul style="list-style-type: none"> The ratio of girls to boys in primary and secondary education The ratio of literate 15-24 year-old females to males
SAP⁸⁰	<p>Annual reporting (consultation) on State Assistance Plan progress. Recipient: internal document.</p>	<ul style="list-style-type: none"> Ratio of girls to boys in primary and secondary education Ratio of literate girls to boys 15-24 years Share of women in non-agricultural wage employment Proportion of seats held by women in National Parliament
TEAM BUSINESS PLANS⁸¹	<p>Annual reporting on Team Business Plans. Recipient: internal document.</p>	<ul style="list-style-type: none"> Production and dissemination of practical guidance on mainstreaming cross-cutting issues
APDP	<p>Annual reporting on Performance and Development Plans (PDP). Recipient: internal document.</p>	<ul style="list-style-type: none"> The team did not have access to PDPs, however no staff reported during interviews having GE indicators on PDPs.

⁷⁸ DFID India. Progress Against Country Assistance Plan 2004-5. May. 2005. Annex 4: DDP Progress Table: Country-Wise Annual Milestones. Annex 4a: Progress against additional DDP indicators for 04-05.

⁷⁹ DFIDI Minute. Challenged MDGs in India. September 2004.

⁸⁰ DFID India. Partnership for Development. State Assistance Plan. West Bengal (2005-07). October 2004.

⁸¹ PLST Deliverables 2005

4.57 With regard to annual reporting to the Directors Delivery Plan (DDP) for the Asia Department, DFIDI reports on a set of indicators (success criteria) set by the Country Office and agreed to by the Asia Directorate. The indicators are structured around a sub-set of the three regional and one national programme.

4.58 The evaluation team has had access to two annual DDP reports for the years 2003/04 and 2005/06. For both reports, the indicators are for the most part not sex disaggregated, which probably explains why there is little reference to GE outside of the directly targeted programmes in maternal health and girls' primary education. The Poorest Areas Civil Society Scheme (PACS), which applies a rights-based perspective, is the exception through its direct targeting of women's rights.

4.59 For progress reporting against the Country Strategy/Assistance Plans (CSP/CAP) the team had access to annual reports from 2000, 2001, 2003/04 and 2004/05:

- in the annual CSP/CAP reporting for 2000, separate DFID progress indicators were not developed. Instead, general India MDG progress indicators were reported on and sorted by sector, but with no direct linkage to DFIDI activities
- for the CSP reporting for 2001, reference was made to GE for indicators addressing violence, health and education
- for the CAP monitoring frameworks for 2003-04 and 2004-05, the programme indicators are identical to those of the DDP reporting (see paragraphs 4.57 and 4.58). However, neither set of additional indicators (Success Criteria) specifically address GE, aside from the comment attached to indicator 2 of CAP Monitoring framework 2004-05 addressing gender as 'one form of social exclusion⁸².'

4.60 The MDG progress reporting is a new internal annual monitoring instrument which helps clarify the DFIDI position in regard to national attainment of MDGs. In the MDG report of September 2004 reference is made to two GE specific indicators/targets both pertaining to education targets.

4.61 The State Assistance Plans (SAP) underpin the CAP by outlining at state level how DFIDI aims to contribute to the achievement of the MDGs. The SAP for West Bengal replicates the government-owned MDG indicators for the State (see Table 5 above). Yearly consultations are held between DFIDI staff and State partners to review progress. At the last roundtable meeting in February 2005, DFIDI encouraged the Government of West Bengal to strengthen its pro-women policies/programmes in particular in relation to women's legal position in marriage and economic development programmes targeting women⁸³.

4.62 In August 2004, a new planning and reporting procedure was introduced requiring team leaders to develop annual team business plans which outline team objectives, deliverables,

⁸² DFID India. Progress Against Country Assistance Plan 2003-4. Draft 7 May 2004. Annex 4a: Progress against additional DDP indicators for 04-05.

⁸³ Minutes of GoWB – DFID Annual Roundtable Meeting 10th February 2005: 1500 hrs – 1700 hr.

Internal Effectiveness Analysis

deadlines, and responsibilities. For the programme teams (state and national), the business plans are 3-year rolling plans underpinning the SAPs. For the non-programme teams, business plans are annual. The evaluation team had only access to the business plan for the Performance Learning Strategy Team (PLST) for 2005, which implicitly makes reference to GE as an issue to be mainstreamed along with the other cross-cutting issues.

4.63 With regard to the Personal Development Plans (PDPs), the team did not have access to these planning instruments due to their confidential nature. Nonetheless, the extent to which PDPs reflect GE concerns was discussed during interviews with individual staff who informed that there were no GE indicators in their PDPs. Indeed, the only indicator referred to was the delivery of spending frameworks, which is the key indicator of DFIDI Team Leaders.

4.64 The documentation and interviews with staff demonstrate that the MDG focus has helped bring about important change for DFIDI, namely in the form of:

- an orientation towards results rather than opportunity-driven programming
- facilitated work with one Gol partner rather than six sectoral partners

4.65 However, the MDG focus also has its constraints such as its limited target setting. This is also reflected in the GE indicators listed in Table 5, where all gender-related indicators are within the realm of established MDG GE targets - maternal health and girls' education. Only the Poorest Areas Civil Society (PACS) programme has provided alternative targets, and this in the form of process indicators contributing to the overall success criteria. Only when DFIDI applies Gol MDG targets - as in the case of the analysed SAP - does the range of indicators referred to become broader. Further, although DFIDI adheres to a gender mainstreaming strategy (see Section 4.1.2), none of the other MDG targets are sex disaggregated.

4.66 Further, and on a more general note, while DFIDI shall be complimented for its commitment to tracking performance; the mapping of identical GE indicators in separate reporting instruments points to the fact that a rationalisation of PM procedures is desirable. DFIDI is aware that their PM system needs reviewing. This is why a study is about to be launched to assess DFIDI's effectiveness and impact, evaluating among other aspects DFIDI's effectiveness in meeting CAP and MDG targets. The study was scheduled to be completed by the end of 2005.

4.67 In conclusion, DFIDI has a performance management system in place which tracks progress using GE indicators, although this is mainly on the limited targets of girls' education and maternal health. Only when DFIDI applies Gol MDG targets does the range of indicators referred to become broader. Further, at individual level no established GE performance indicators exist. Indeed, many staff members stress disbursement as the overriding performance target which they feel detract from the time allocated to the integration of cross-cutting issues such as GE.

4.4 Knowledge management

4.68 Two 'generations' of knowledge management (KM) have been identified for DFIDI. A semi-structured approach to KM was launched with the merging of the offices in 2000, and an institutionalised approach to KM with the formation of the Performance, Learning and Strategy Team (PLST) in 2003.

4.69 The KM guidelines outlined in Improved Ways of Working report (2000) build on three instruments for knowledge sharing: (i) the DFIDI Resource Centre, (ii) the shared ('G:') drive on the internal computer network and (iii) theme teams for knowledge sharing.

4.70 With regard to the GE resources available at the DFIDI Resource Centre, the documents made available were incomplete – especially in regard to already completed programmes and projects. Further, the most current and useful documents were in the personal possession of individual management and professional staff. As to the proposed teams for knowledge sharing, the Women's Empowerment Team was never launched as planned. Instead the knowledge sharing on GE has been integrated into the weekly SDA learning sessions with the consequence of limiting the learning audience. Finally, in regard to the creation of GE repositories on the common G drive, this instrument could not be evaluated due to the roll-out of QUEST at the time of the mission.

4.71 With the creation of the PLST, the responsibility for DFIDI knowledge management became anchored institutionally, with this team facilitating lesson learning; collating and disseminating information and analysis pertaining to contextual and aid effectiveness issues; and co-ordinating effective policy links with HQ and other Whitehall departments⁸⁴. Senior advisers are playing a key role in this regard, liaising with their respective professional groups to ensure wider lesson learning across the office.

4.72 In 2005, a draft KM and Sharing Strategy for DFIDI⁸⁵ was developed, informed by the DFIDI Remodelling Report, *Information Needs Mapping and the DFID-wide Doing the Knowledge 2*. With the objective of increasing the quality of programmes, saving time in Project Cycle Management, facilitating access to best practices, and facilitating external access to DFIDI generated learning and knowledge, a two-tiered approach to knowledge management is outlined:

- changing organisational culture and practices by institutionalising current good DFIDI practises, as well as by proposing the adoption of new measures
- using the common G-drive more effectively by re-structuring the drive in a more efficient manner

4.73 In the KM strategy, no reference is made to specific learning objectives, including for GE. The only specific GE tool is the proposed gender folder to be included on the new G-drive structure as a separate folder under the MDGs. DFIDI is currently in the process of introducing QUEST, a new electronic knowledge management system, to replace the G-drive. However, it is

⁸⁴ Terms of Reference. Performance, Learning and Strategy Team - PLST. Draft 12.01.04,

⁸⁵ Improving Knowledge Management and Sharing in DFID India. 2005.

Internal Effectiveness Analysis

too early in the process to determine the adequacy of the GE repositories which are yet to be fully designed.

4.74 A workshop was launched in August 2005 with the objective of identifying ‘the top 3 areas in which greater knowledge sharing is needed in the organisation⁸⁶.’ However, rather than identifying knowledge sharing objectives, the report identifies constraints to KM (e.g. insufficient incentives and allocation of time) and proposed new practices such as job-swapping and short-term secondments. No reference was made to GE.

4.75 In conclusion, DFIDI has been experimenting with KM in a more comprehensive manner since the merging of offices in 2000. However, both generations of KM strategies seem to be more focused on the identification of KM practices, tools and fora than on the development of learning objectives and audiences to guide the knowledge-sharing, including for areas such as GE. Some GE knowledge-sharing has taken place, although primarily within the SDA group and not in a focused manner.

⁸⁶ Report. DFID Event on Knowledge Management. 31 August 2005. DFID India.

5 DFID's EXTERNAL EFFECTIVENESS

5.1 This section analyses DFID's external effectiveness through consideration of three thematic areas and six selected interventions. GE has been analysed across the six interventions overall purpose and strategic goals; approaches focusing on channels and modalities utilised; monitoring and evaluation; and, GE results, impact and contributions.

5.2 However, first follows a brief introduction of the DFID programming context to allow for a better understanding to the general reader.

5.1 DFID programming context

5.3 DFID's assistance to India is the UK's largest bilateral programme to any country. The UK has undertaken development work in India since the Overseas Development Administration (ODA) was created in the early 1970s. From 1995/96 to 1999/00, DFID's annual assistance to India was relatively stable at around £80 million per year. Since then, DFID's expenditure has risen dramatically, rising from £110 million in 2000/01 to £256 in 2004/05 (see also Annex 5 for further statistical data).

5.4 The ODA's work in India was mostly based on project work in specific sectors. Since its establishment, however, DFID has moved away from a project-based approach towards engagement with sectoral themes. Overall, the sectoral distribution of DFID's expenditure in India between 1995 and 2005 has been the following: economic (32%), health (24%), education (17%), governance (11%) and rural livelihoods (7%). By 2000, DFID had adopted a 'focus state' approach concentrating its work on four specific states (Andhra Pradesh, Orissa, West Bengal and Madhya Pradesh) providing them with direct budget support, where feasible⁸⁷. Between 2001/02 and 2004/05, an average of 30% of annual expenditure has been provided as budgetary assistance⁸⁸. Since 2000, DFID India also developed a more integrated approach to poverty reduction, emphasising collaboration with central and state governments around core issues such as planning, poverty-monitoring and budgeting. DFID's intention was to contribute to poverty reduction through a more targeted and less sector-specific approach.

5.2 Interventions

5.5 The six selected interventions can be categorised in the following three thematic areas: Good Governance and Access to Justice (Kolkata Urban Services for the Poor and Gender & Law); Education (Shiksha Karmi, Sarva Shiksha Abhiyan, and District Primary Education Project); and Pro-poor growth (National Microfinance Support Project). See also Table 1 in Section 2.1.

⁸⁷ After 2004 PRBS to India has been provided in the form of state-level sector budget support. House of Commons, International Development Committee, 2005. *DFID's Bilateral Programme of Assistance to India*. Third Report of Session 2004-05, Vol. I, page 8 and 49.

⁸⁸ The PRBS to India has consisted of Andhra Pradesh Economic and Public Sector Reform, Orissa Budgetary Aid, Universal Elementary Education and Reproductive and Child Health. Source: statistical data provided to the Evaluation Team by DFID's Statistical Reporting and Support Group (SRSG).

DFID's External Effectiveness

5.6 DFIDI currently holds four programme management teams; one national team and three state teams: Orissa, West Bengal, and Madhya Pradesh/Andhra Pradesh. The evaluation's thematic areas and selected interventions are presented in Table 6 below. See Section 2.2 for more details on sampling and criteria.

Table 6 Selected interventions for the GE evaluation

DFIDI teams and evaluation theme	Selected interventions
National	
Education	Sarva Shiksha Abhiyan (SSA)* Shiksha Karmi Project (SKP - covers only Rajasthan)*
Pro-poor growth Access to Justice	National Micro-Finance Support Project (NMFSP) * Gender and Law*
Orissa	
Education	District Primary Education Programme (DPEP)*
West Bengal	
Governance (as a cross-cutting dimension)	Kolkata Urban Services for the Poor (KUSP)

* Gender Marker (PIM)

Education

5.7 *Sarva Shiksha Abhiyan (SSA)* is a national scheme that aims to ensure quality primary education all over the country for all children by 2010 and to bridge social, regional, minority and gender gaps with the active participation of the community in the management of schools.

5.8 The National Programme for Education of Girls at the Elementary Level (NPEGEL) aims to bring girls from scheduled castes and tribes into the education system through a variety of interventions which are targeting family, community and school-related constraints.

5.9 SSA is scheduled to run from 2003 to 2007 and is implemented as a partnership between central, state and local governments and communities. Funding partners are the Government of India, state governments, DFIDI, the World Bank, and the EC with a total budget of around £570 million.

5.10 The District Primary Education Programme (DPEP) is a multi-donor intervention set up to address the Gol's goal of universal primary education in backward states. The goal of the programme includes reducing primary dropout rates to less than 10%, increasing learning achievements of primary school students by at least 25% and reducing gender and social gaps to less than 5%. It was launched in 1994 initially covering 42 districts in 7 states and has received support from DFIDI, the World Bank, EC, the Netherlands and UNICEF. At its peak in 2002,

DPEP covered almost half of India's 600 or so districts, with total annual funding in excess of £125 million.

5.11 The Shiksha Karmi Project (SKP) was initiated in 1987 as a collaboration between Gol and the Government of Rajasthan with the aim to improve primary education in remote and socio-economically disadvantaged villages in Rajasthan. The main approach of the project has been the replacement of single teacher schools with para-teachers consisting of local residents called Shiska Karmis who were trained by the project in teaching techniques. Central to the project is thus the concept that change agents belonging to the community can achieve more effective results. Swedish International Development Cooperation Agency (Sida) supported the project from 1998. From 1999 to 2005 DFIDI supported the project.

Governance and access to justice

5.12 The Kolkata Urban Services Programme (KUSP) aims to address the ability of elected urban local bodies to deliver services in accordance with the needs of the people. The overall approach is to strengthen local governance structures at the lowest levels and to make use of already established structures for national health and economic schemes for the poor. Within the overarching objective to reduce poverty in urban slums KUSP seeks to: i) support the process of urban reforms by making urban governance accountable, transparent and responsive through the participation of the poor in the municipal planning process; ii) enhance access to basic services for the poor through infrastructure investments; and iii) promote pro-poor economic growth. By bringing in a rights perspective, the programme also aims to enhance the programme's effort to empower the urban poor.

5.13 The programme is implemented by the Municipal Affairs Department (MAD) of the West Bengal Government with support from other state organisations such as the Directorate of Local Bodies (DLB); the State Urban Development Agency (SUDA); the West Bengal Valuation Board (WVB); the Municipal Engineering Directorate (MED) and the Institute of Local Government and Urban Services (ILGUS). KUSP started in 2004 and is a multidimensional seven-year programme with total budget of £100 million that builds on earlier interventions supported by DFID.

5.14 The Gender and Law Project was designed to strengthen gender sensitivity in India's high courts and, to a lesser extent, the Supreme Court. It aimed to combat gender biases within the Indian legal system through the training of 'frontline' judges. It was managed on DFID's behalf by the British Council with the National Judicial Academy and the School of Law at the University of Warwick as training partners. Implementation took place from April 1996 - April 2000 and had a final cost of £787,258.

Pro-poor growth/microfinance

5.15 The National Micro Finance Support Project (NMFSP) aims to develop a formal, extensive, and effective microfinance sector on a national scale. It is designed to address the lack of access to financial services by poor women and men in India and is implemented by the Small Industries Development Bank of India (SIDBI). The project's target is to benefit 1.3 million poor people – of which at least 70% are to be women.

5.16 DFID's contribution to the project focuses on enhancing the institutional capacity of the SIDBI Foundation for Microcredit (SFMC) to promote the development of India's micro-finance sector by supporting a number of microfinance institutions (MFIs) in scaling up their operations and expanding their range of financial and related services to their clients. Other outputs include capacity building of support institutions, and influencing the policy environment by supporting studies, workshops, action research and providing support to MFI networks. IFAD co-finances the project by providing £13.2 million as a loan. The project was initiated in 1999 and is to end in 2007.

5.3 Focus

5.17 In the following section, an analysis is presented outlining the extent to which the selected six interventions contain a 'specific GE focus⁸⁹.' The assessment is based on a review of concept notes, project memorandums, social appraisals, and output to purpose reviews (OPR) made available and analysed for actions and tools used to promote GE applying the criteria outlined in Section 2.1.2.

5.18 Table 7 summarises a mapping of GE focus across the six interventions set against the activities on the ground.

⁸⁹ Terms of Reference, Section 5.2.

Table 7 Mapping of GE focus in interventions

Interventions	Concept note	Social appraisal	Logical framework	Progress reports/JRM	OPR	Project completion report	Actual outcomes & activities
Sarva Shiksha Abhiyan (SSA) ⁹⁰	N/A	Strong GE focus: referring to special initiatives for girls.	GE included in results framework under project objective, intermediate results and principal outcomes. GE also included in budget with a 6.5 % budget allocation of towards text books for girls, SC and ST. ⁹¹	Strong GE focus: addressing girls education issues and initiatives ⁹² .	N/A	N/A	Activities on the ground reflect logical framework
District Primary Education Programme (DPEP)	Not seen	Strong GE focus: gender aspects adopted in all aspects of planning and implementation	GE OVI at development objective (goal), immediate objective (purpose) and at output level. Further special budgetary allocation made for Girls Education ⁹³ .	Not seen	Strong GE focus: Objectively Verifiable Indicators at purpose level sex disaggregated ⁹⁴ .	N/A	Activities on the ground reflect logical framework
Shiksha Karmi Project (SKP)	Not seen	Not seen	GE OVI at immediate objective (purpose) and at output level ⁹⁵ .	Not seen	Strong GE focus: Objectively Verifiable Indicators at purpose level sex disaggregated ⁹⁶ .	Strong GE focus: GE: emphasizes success criteria in regard to girls primary education	Activities on the ground reflect logical framework

⁹⁰ Joint donor documentation for DFIDI, the World Bank and the European Commission.

⁹¹ SSA Project Memorandum. 16 April 2004.

⁹² SSA. Second Joint Review Mission. July 18-27, 2005. Aide-Memoir

⁹³ Orissa DPEP logical framework.

⁹⁴ OPR. 29 November - 13 December 2004.

⁹⁵ OPR, 10 -13 January 2005.

⁹⁶ OPR. February 2003. OPR 10 - 13 January 2005.

⁹⁰ Joint donor documentation for DFIDI, the World Bank and the European Commission.

⁹¹ SSA Project Memorandum. 16 April 2004.

⁹² SSA. Second Joint Review Mission. July 18-27, 2005. Aide-Memoir

⁹³ Orissa DPEP logical framework.

⁹⁴ OPR. 29 November - 13 December 2004.

⁹⁵ OPR, 10 -13 January 2005.

⁹⁶ OPR. February 2003. OPR 10 - 13 January 2005.

5.19 GE has been a main focus of all three **education interventions** assessed by the evaluation team (see Table 7). Their respective analyses, planning documents and logical frameworks consistently include explicit GE dimensions. For instance, regarding SKP, a baseline GE analysis indicated the need for GE interventions that included specific programmes for women and girls from the beginning. Special emphasis was placed on understanding why girls did not attend primary school; enrolment constraints for girls; and why a higher proportion of girls then dropped out of school. Measures to address the issues of gender disparity were established and have been assessed to be effective.

5.20 All three interventions – from the earlier interventions such as Shiksha Karmi through to the subsequent national programmes (DPEP and SSA) – have consistently addressed and emphasised gender disparities such as enrolment and retention of girl students; recruitment of female teachers; and, to some extent, the quality of education for girls in the goals and implementation of the intervention. For instance, the SSA programme aims to close all gender disparity gaps at primary and elementary education level by 2007 and 2010, respectively. Furthermore, in order to address the particular issue of girls' education, two extra components National Programme for Education of Girls at the Elementary Level (NPEGEL) and Kasturba Gandhi Baliki Vidyalaya (KGBV) have been added to the programme to enhance the gender focus and ensure that girls are supported in a number of ways to enable them to attend primary education⁹⁷.

5.21 There were originally several favourable conditions for integrating a strong GE focus in **KUSP**. The nearly two-decade history of DFIDI supporting urban slum programmes resulted in accumulated knowledge on the importance of addressing the needs of women for sustainable results. Furthermore, through a participatory process involving a range of stakeholders, DFIDI prepared the sector-specific 'Gender Equality Strategy for the Urban Poverty Offices and its Projects' in 1997. Like the overall DFID GE Strategy 1998-2003 that succeeded in time, the strategy outlines a clear mainstreaming approach to gender equality and women's empowerment.

5.22 The early planning efforts of the KUSP were clearly influenced by this work. As a result, the programme's social appraisal contained a sound GE analysis emphasising a need for development of a gender strategy with a short and long-term approach for addressing gender inequality through mainstreaming. However, a gender strategy was never undertaken and the GE-related aspects were watered down in the final Project Memorandum (PM) as illustrated by the lack of GE activities in the logical framework. Some significant references to women were nevertheless made in the logical framework. These include the goal of at least 40% of poor women report on improvement of livelihood opportunities; increased participation and representation of women in ward committees; a 50% reduction in time spent by women on water collecting and storage activities; ensuring minimum wages for women; and women receiving priority with regard to community contracting. However, the comparative weakness of GE in the PM resulted in the programme not receiving a PIMS gender marker – despite its potential importance for GE.

⁹⁷ Ibid. footnote 93.

5.23 KUSP is still in its early stages and most attention so far has been devoted to developing the necessary administrative infrastructure within the local government, KUSP's approach in practice ensures a significant GE potential: its slum improvement efforts hinge on work undertaken by different neighbourhood and community self-help groups which almost entirely consist of women. Furthermore, several external studies and assessments underline the importance of GE dimensions for the programme's success. In particular, they point out that the low level governance structures established in the urban local bodies need to be strengthened to facilitate women's participation in decision-making. It is expected that this aspect will constitute an important focus of the programme in the near future. In addition, the draft development plans currently being prepared by the urban local bodies – which are central to the whole programme – are designed to show the participation of women and other socially excluded groups. Nevertheless, the lack of a gender strategy within KUSP undermines a systematic treatment of GE throughout the programme's many efforts.

5.24 Given that the **Gender & Law** intervention's main aim was to specifically provide gender training within the judiciary, GE was a strong, visible dimension of the project throughout, while women's empowerment did not feature in any prominent way. However, some key programme documents such as the Project Memorandum or its equivalent were not available making it impossible for the team to assess how the GE focus was made explicit in these.

5.25 The social appraisal and PM of the **NMFSP** contained GE dimensions – although women are largely presented as a homogeneous subset of 'the poor' and are conceived of as a single common interest group rather than as a socially, culturally and demographically differentiated group. Thus the analysis of different needs and different subgroups of poor women – such as rural and urban – was overlooked by the project's approach.

5.26 Nevertheless, the logical framework's goal and purpose especially target women and aim to have 70% of the additional borrowers and savers being women. Activities such as the training of formal finance institutions in the needs of poor women and men include a target of at least 35% of those trained being women. The fact that the project supports self-help groups – which women have a greater propensity to form than men – has ensured that the majority of beneficiaries are women. Over 95% of the self-help groups consist of women only. However, the mid-term review of the project identified a lack of explicit GE focus and the need for a GE policy and strategy within the project's apex organisation SIDBI's SFMC. Furthermore, the review recommended that the project develop a wider range of financial and livelihood services to meet the evolving needs of women entrepreneurs.

5.27 The six interventions assessed have focus on GE as reflected in the logical frameworks although in varying degree. Further, follow through from the logical frameworks differs. The Gender and Law project has GE as the primary objective so GE is addressed throughout the logical framework. The education sector interventions are also very consistent in their approach with GE included under project objective, intermediate results, and principal outcomes and project budget (special GE budgetary allocations). For the other governance and micro-finance interventions (KUSP and NMFSP) evaluated, GE budgetary allocations are not made. Further, in regard to the scope of GE activities, while both KUSP and NMFSP hold self-help groups that almost exclusively consist of women as the primary stakeholders, however, a gap exists in

decision making powers and opportunities for women to influence policies and financial planning and disbursements within institutions.

5.4 Approach

5.28 This section examines whether DFID has used an appropriate mix of channels/ implementing partners and modalities for addressing GE goals for the selected interventions, and if there is adequate coherence and coordination between approaches used.

5.29 In regard to **education**, the three modalities applied represent almost a hierarchy for pilot-testing with the SK project approach serving as a testing ground for innovative approaches, DPEP with the mainstreaming of piloting experience into regional programmes, and finally the SSA, where lessons from SK/DPEP feed into the design of the national programme, influencing India's national scheme for primary education (see also Section 6.3). This mainstreaming of lessons learned has also had direct impact in regard to GE as illustrated with the two components, NPEGEL and KGBV specifically targeting girls' primary education. Thus DFIDI - along with its donor partners - seems to be applying a strategic approach to the usage of modalities by specifically utilizing the strengths of the different instruments in the most beneficial manner.

5.30 With regard to the two evaluated good governance/access to justice interventions, DFIDI has applied two different approaches to channels and modalities:

- KUSP is a multidimensional project implemented through a multitude of municipal and local government partners
- gender and Law is a stand-alone project with the British Council as the executing agency

5.31 The **KUSP** project is benefiting from being anchored in a larger programmatic approach based on the State Partnership Agreement which constitutes the modality for cooperation between DFIDI and the Government of West Bengal (GoWB). Thus, while KUSP primarily offers financial support, the overall programmatic approach contributes other forms of assistance to the GoWB including technical assistance. Having a state-donor agreement constituting the basis for programming offers opportunities in terms of influencing GoWB's urban policy in a gender sensitive direction, which cannot be met by a pure project approach (see also Section 6.3). Further, KUSP being implemented through national partners has the added benefit of enhancing sustainability.

5.32 With regard to the **Gender and Law** project, it was advantageous having the British Council as the executing agency. The BC's relationship with UK universities such as Warwick University, who collaborated with the BC in implementing the project, added considerable value to the project and facilitated access to UK legal resources and was instrumental in establishing relationships between Indian and UK judges and legal institutions. However, the fact that the project was stand-alone with a limited lifetime - and was not a component within a broader access to justice programme - diminished the impact (see also Section 5.5) although a training module was secured with the National Judiciary Academy, which was the National Counterpart.

5.33 The pro-poor growth intervention **NMFSP** has a project modality but is co-financed by DFIDI and IFAD. DFIDI's support is earmarked for policy development and capacity-building of the national apex organisation, while IFAD's resources were primarily used – along with the partner organisation, SIDBI's, own financial resources – for loan capital. The multi-partnership came about with the objective of reproducing tribal development approaches on a wider scale. The social inclusion perspective entails an opportunity to address GE in that perspective.

5.34 In conclusion, DFIDI operates with strategic approaches to channels/partners and modalities although with great variance reflecting sectoral differences as well as shift in methodology over time. The education sector has applied a strategic approach to partnerships and modalities, maximising the potential of the various instruments with the overall objective of reproducing lessons learnt from pilot interventions into broad national schemes. The governance intervention KUSP has benefited from the programmatic framework that the State Assistance Plan offers in terms of opportunities for policy dialogue. Further, the implementation through national government partners strengthens sustainability. In contrast, the Gender and Law project - as an example of a former stand-alone project approach - has had limited impact due to its lack of anchoring within a broader access to justice programme. Finally, the NMFSP has applied a multi-donor partnership model with the objective of achieving critical mass of scale.

5.5 Monitoring and evaluation

5.35 The assessment of GE monitoring and evaluation (M&E) in interventions has been undertaken through a review of established indicators in logical frameworks as well as through an assessment of existing M&E systems.

5.36 The **education interventions** applied systematic and specific quantitative gender-related indicators. The SKP in Rajasthan has a very comprehensive monitoring structure with tools to track GE-related results. Likewise, the collection and reporting of gender-disaggregated information in the GoI programmes (SSA and DPEP) is institutionalised in monitoring and reporting protocols. In the DPEP, there is also evidence of gender-related monitoring data being used by both GoI and the states, and recommendations are incorporated in future planning.

5.37 At intervention level, community-based monitoring is carried out in all three interventions by such entities as women's task forces, Village Education Committees, and trainers, among others. The Educational Management Information System (EMIS) correlates school level data with community-based information obtained from micro planning and surveys. This system includes gender-specific information on access; enrolment; retention; ratio of female to male education workers; training of women teachers; training of village education committees to include women and women's involvement in education. Certain qualitative gender-related data are also compiled - such as gender differences with regard to learning attainment in mathematics and language.

5.38 Although **KUSP's** logical framework contains a few GE indicators – such as increased number of female members of urban local councils and ward committees; number of women receiving credit and 50% reduction in time spent by women on water collecting and storage activities – the programme's monitoring system is still being devised. It is too early to tell whether GE aspects will be properly integrated into the monitoring effort. However, there are indications that the nuances of the quality of women's participation – such as effective decision-making abilities and opportunities, effective control of finances along with responsibilities – are not currently regarded as central GE issues at all levels among DFID's implementing partners.

5.39 DFIDI plans to support a Poverty and Social Impact Analysis (PSIA) to analyse the distributional impact of urban reforms on the well-being of key stakeholder groups with particular focus on the poor and vulnerable. However, the terms of reference do not address gender.

5.40 The logical framework of the **Gender & Law project** was solely based on standard quantifiable output indicators (e.g. number of persons trained etc.) and no impact indicators were developed. An assessment near the end of the project noted that lack of a baseline assessment made it difficult to measure impact. However, impact evaluation of training on the participants' day-to-day activities in the court rooms and justice administration would have been a difficult and sensitive task to undertake. Instead, judges' own self-assessments provided evidence on impact.

5.41 Reporting from smaller and medium MFIs within the **pro-poor/ microfinance intervention** contains more gender-disaggregated data on beneficiaries, participation in training and other capacity-building activities. At the activity and output level, the client profile includes vulnerable and socially marginalised groups such as scheduled castes, scheduled tribes and women-headed households. However, qualitative gender-disaggregated indicators relating to outcomes and impact, such as indicators of economic empowerment, social status, and participation of women and men in other community activities were not included in the reporting of the MFIs visited.

5.42 The mid-term review and the ongoing longitudinal assessment of the project have included information on gender-specific participation, outcomes and impacts. Both assessments highlighted the lack of a coherent GE and poverty policy and strategy.

5.43 In sum, the education interventions have had well-developed monitoring systems with considerable attention to GE dimensions by using specific gender-related indicators. Meanwhile the indicators for the other interventions – as presented in logical frameworks– are as yet insufficiently developed to fully capture gender-related changes and impacts. In the interventions examined, there was limited attention to the twin-track approach in monitoring and evaluation activities in the form of indicators for monitoring women's empowerment.

5.6 Contributions, achievements and impact

5.44 This section presents evidence of GE contributions, achievements and impact based on information obtained and observations made in the field. In cases where there was an absence of reliable empirical data, structured interviews and focus group discussions using MSC and CAST were used to elicit qualitative information regarding GE outcomes and impact resulting

from the intervention. Document reviews and direct observation were used to supplement or confirm information obtained from other sources.

5.45 The DFID-supported **education interventions** over the last decade have contributed to the positive impacts on both enrolment and retention of girl students in primary education. Innovative provisions to encourage girls to enter and stay in school in the earlier interventions (SKP and DPEP) have influenced the design of subsequent centrally sponsored schemes such as SSA and DPEP's later phases so that these are now mainstreamed. The retrospective time frame of the evaluation made it possible to trace a cumulative, stepwise achievement and influence on national education policy, planning and programming extending from such as Lok Jumbish in the mid 1990s to the national primary education framework and programme, Sarva Shiksha Abhiyan (SSA) ten years later. While universal primary education was not an explicit goal of the early interventions such as Shiksha Karmi, it would be hard to imagine the SSA of today without the previous, pioneering work of these earlier interventions.

5.46 The GE achievements of the education interventions have been significant. In particular, measures to address gender disparity in education have been effective. For instance, assessment of DPEP's results shows that the enrolment of girls improved significantly in DPEP districts compared to non-DPEP districts⁹⁸. Likewise SKP achieved near universal enrolment of girls in primary schools and high attendance and high transition rates in 3646 primary schools in remote parts of Rajasthan. By 2001 – according to an evaluation by Sida⁹⁹ – the initiative reached 202,000 pupils (84,000 of them girls) through 2,700 day schools, 4,335 evening schools and 97 courtyard schools. Furthermore, involvement of the community in education through Village Education Committees and other informal groups has increased community and families' awareness and their acceptance of the importance of sending girls to school.

5.47 Since **KUSP** was only initiated in 2004, impact cannot be discerned. However, activities so far allow for some inferences to be made. A social impact assessment in Andhra Pradesh of the urban services project, which started in 2000, found evidence that the project had been able to empower women through strengthening of women's self-help groups and freed more time for women within the family¹⁰⁰. The centrality of Community Development Societies (CDS) and participation of its members in KUSP suggests that it may also contribute similarly to GE. The Andhra Pradesh assessment also found, however, that reaching out to the most vulnerable groups – in particular poor female-headed households – proved to be extremely difficult and that targeted interventions would be needed to reach them. The KUSP organisational development study came to a similar conclusion¹⁰¹.

5.48 The KUSP organisational development study point to that the selection of beneficiaries for pro-poor schemes was reportedly a political exercise in many urban local bodies. Since for some urban local bodies 'political enfranchisement was an essential requirement for being considered

⁹⁸ 'Differences in enrolment, dropout and learning achievement among gender and various social groups reduced to less than 10%.' Source: OPR. 29 November - 13 December 2004.

⁹⁹ New Education Division Documents No. 7, *Rajasthan Shiksha Karmi Project: An overall appraisal*, Vimala Ramachandran and Harsh Sethi, Sida, New Delhi, 2001.

¹⁰⁰ ThinkSoft Consultants, APUSP: *Social Impact Assessment Study*, Final Report June 2005.

¹⁰¹ Verulam Associates Ltd. *KUSP Organisational Development Consultancy*, March-November 2004, Final report and Synthesis.

a beneficiary under any of the poverty schemes', this has created problems particularly for migrant populations¹⁰². The TARU Report on Slum Infrastructure while quoting the Organisational Development also states that KUSP interventions in training and capacity building to CDS members is empowering them and helping them to be more vocal. To quote: 'The members strongly felt the need to have more information and training so that they could function independently' (page 35).

5.49 The governance aspect of KUSP indicates further worrying developments in relation to GE and women. The organisational development study has revealed that party cadres are dominating the institutionalised community structures and that the majority parties of the urban local bodies have used a top-down approach when establishing the community organisations. In most cases the executive members of the community development societies – which are apex bodies for the self-help groups (neighbour committees and neighbourhood groups) – were selected before the lower level groups were formed. Thus women in self-help groups have not had the influence, representation and participation in the community development societies as expected¹⁰³.

5.50 KUSP has an immense opportunity to contribute to women's empowerment. Since the Indian constitution now stipulates that women must occupy one third of the seats in the urban local bodies, women have the chance to transform this into effective participation supported by real delegation of powers and responsibilities. This requires that the skills and knowledge of elected women be upgraded. They will need to be informed of laws, rules and regulations; understand their rights, duties and responsibilities as elected officials; and be prepared for the complex urban problems and social issues they will have to deal with. KUSP's activities include training of elected officials but do not specify the special needs of women councillors. Developing the GE dimensions within the programme's governance efforts has the potential to make significant contributions to GE and women's empowerment among the urban poor in West Bengal. The project has an opportunity to put measures in place which should help to counter the risk of women being excluded because of party politics and the nature of beneficiary selection and to give poor women and men voice through the institutional structures.

5.51 The **Gender & Law Project** produced a substantial training resource within the Judiciary. Through a Training of Trainers (TOT) approach, forty-three trained judges took responsibility for the training of about 2500 – 3000 judges over a six year period¹⁰⁴. There is evidence collected by the former Project Director that a number of judges continued awareness and training activities on an individual basis after the project was completed through spin-off initiatives. For instance, a Maharashtra team consisting of two female judges have continued to conduct training for all judges in the state of Gujarat in the form of training sessions in all local districts¹⁰⁵.

5.52 The project has also had some impact on the formalised judicial training system. According to the Head of the National Judicial Academy, the Gender & Law project systematised judiciary

¹⁰² Verulam Associates Ltd. *KUSP Organisational Development Consultancy*, March-November 2004, Final report and Synthesis. Annex 4: Governance and Human Resources Management Synthesis of Organisational Reviews; f) Poverty Focus.

¹⁰³ Ibid. footnote 103.

¹⁰⁴ According to the Project Director Ann Stewart.

¹⁰⁵ Ann Stewart provided the information in a note to the Evaluation Team.

training on gender issues. The project's training modules have been refined and training in GE and justice is today a part of the training programmes of the National and State Training Academies. Gender training furthermore featured prominently in the National Judicial Academy's inaugural brochure from 2002¹⁰⁶.

5.53 However, it is hard to measure the wider impact of clients of the system, as the judiciary in India is enormous, highly regimented and not particularly susceptible to institutional change – which would depend on the existence of a critical mass of judges aware of gender issues. As a senior lawyer who acted as a resource person for the project pointed out, the intervention needed to have continued for a longer period to create significant impact. Furthermore, the final evaluation of the project stated that to make a general impact, the training must be set within a broader framework designed to tackle institutional discrimination within the judicial administrative system¹⁰⁷.

5.54 For **NMFSP**, the most significant change reported by beneficiaries has been improved access to credit and economic empowerment for women and women's groups, as well as increased social status of women entrepreneurs and their families¹⁰⁸. It was also noted that successful women entrepreneurs serve as positive role models for other women and serve as informal recruiters for other women to join MFIs to obtain micro-credit and other benefits. Available information from the large and small MFIs visited indicates that demand for micro-credit remains strong and is rapidly growing among both men and women¹⁰⁹. Furthermore, credit is often combined with savings, which supports and deepens the impact of micro-credit on women's financial security.

5.55 At the same time there has been a lack of emphasis on developing a gender policy and consistent strategy for microfinance interventions, based on the intervention examined during the evaluation. Gender policy evaporation among the apex MFI is partly offset by a gender targeting strategy and eligibility criteria¹¹⁰. among medium and smaller MFIs. At present an assessment is in progress of the impact of the NMFSP, which includes an assessment of participation of and its impacts on the poor and women. Preliminary results from this assessment indicate that – in addition to formulating a clear policy and strategy to improve gender and poverty targeting – a need exists for broadening the range of services offered to include insurance, social protection and small business development, among others. These services would have the potential to further enhance the empowerment of participating women in a significant way. SMFC is currently in the process of developing some of these products.

5.56 In conclusion, the GE contribution, achievements and impact of the interventions examined by the evaluation have generally been significant within their own target groups. The education sector interventions are by far the most successful in this respect. By having had clear GE aims, strategies and indicators, they have secured clear GE achievements and impacts. Meanwhile, NMFSP and KUSP both have considerable potential to contribute to GE and have

¹⁰⁶ Professor Madhava Menon, Head of the National Training Academy in Bhopal in a interview.

¹⁰⁷ Draft evaluation report, Indo British Gender and Law Project.

¹⁰⁸ Focus group discussion with members of a self-help group associated with Vardan Trust, Dahod, Gujarat.

¹⁰⁹ Bandhan (205) Annual Report 2004-05, BANDHAN, Hope for the Poor, Kolkata.

¹¹⁰ The policy of many MFIs of requiring borrowers to form self-help groups (SHG) has *de facto* favoured women, since women tend to be more inclined to form SHGs than men.

DFID's External Effectiveness

shown evidence of positive contributions. However, the lack of a systematic approach to GE weakens their ability to both maximise GE impact and document GE achievements for future programming. Within the context of both interventions, recommendations have been made to draft a gender strategy to guide the implementation process. Preparing and implementing such a strategy could constitute a key effort to ensure that both interventions realise their full GE potential. Finally, the Gender & Law project has had important but limited impact due to its narrow scope and by not being part of a wider programmatic approach targeting the justice sector.

6 DFIDI'S ROLE AND COMPARATIVE INFLUENCE IN COUNTRY

6.1 This section evaluates DFIDI's comparative role as well as DFIDI's influencing capacity in the context of country efforts on GE. Although the evaluation is supposed to cover a 10-year span, this analysis will primarily focus on DFID's influencing in the recent past based on interviews and current partnerships arrangements. Mapping of past policy dialogues has not been possible due to lack of information/documentation.

6.2 A qualifying remark might be in order in relation to the context that DFIDI is working in; pertaining to 'the insignificance of donor contributions in relation to the Gol's overall budget¹¹¹.' Donor funding contributes only 4% to India's GNP; which creates a different environment in terms of leverage as compared to an African context.

6.3 Below follows an assessment of DFIDI's GE dialoguing efforts in relation to multilateral and Gol partners.

6.1 DFIDI's role

6.4 DFIDI stands out for its policy formulation and analytical rigor in GE across a variety of sectors and themes and is widely recognised among government and multilateral partners met as being a progressive and serious gender champion.

6.5 Further, DFIDI is widely recognised and appreciated for its flexibility, willingness to support piloting of innovative approaches, and working with and through a variety of channels and partners as reflected in the sections below (see paragraph 6.11)

6.6 However, international partner organisations find that the lack of easy access to DFIDI staff is a constraining factor for regular dialogue¹¹². Further, a difference in GM was found between DFID's own directly implemented programmes and its trust funds (see paragraph 6.12).

6.2 Dialoguing with multilateral partners

6.7 Until recently, the main forum for donor gender coordination was the Inter-Agency Working Group on Gender and Development chaired by UNIFEM. However, this group is internal to the UN system, and DFIDI has not participated.

6.8 In terms of current donor coordination groups on gender, only one group is identified, namely the newly launched Gender Community under the new Solution Exchange Initiative of UNDP co-sponsored by DFIDI. So far only one meeting has been held, to discuss its mandate, so it is too early to assess DFIDI's role.

6.9 Thus, DFIDI's influencing role vis-à-vis international partners in regard to GE discourse has primarily been through partnerships arrangements.

¹¹¹ House of Commons. International Development Programme. *DFID's bilateral programme of assistance to India*. Third Report of Session 2004-05. Page 15.

¹¹² Interviews with donor partners.

DFID's Role and Comparative Influence in Country

6.10 DFIDI's CAP emphasises working with and through a range of organisations as an important strategy element in achieving poverty reduction. Thus, partnership arrangements in the form of trust funds and management contracts have been growing – also as a consequence of the 'hands-off' initiative (see also Section 4.2.2).

6.11 This has provided important opportunities for collaboration with multilateral agencies such as UN agencies and the International Financial Institutions (IFIs). DFIDI currently has trust fund agreements with UNDP, UNICEF, the World Bank and Asian Development Bank (ADB), and is currently considering a partnership agreement with ILO.

6.12 Multilateral partners interviewed tend to see DFIDI as a reliable funding agency and 'like-minded partner', but underrated or failed to recognize DFID as an international resource in GE expertise and guidance and its potential intellectual leadership role in this area outside its own domain. No references were made to DFID as a GE champion by partners contacted during the evaluation. This finding was echoed in the analysis of the various trust fund arrangements referenced below where GE objectives were found mainly where gender concerns are explicit in the mandate of the organisations (e.g. UNICEF).

6.13 A mapping of GE focus in trust fund or partnership agreements found little evidence of direct DFIDI GE influencing in relation to the IFIs:

- the new DFIDI - World Bank Trust Fund logical framework does not contain a specific reference to GE or women, although some indicators relating to achieving progress on MDGs and poverty reduction would require gender disaggregated data to assess progress and achievement
- the logical framework for the 'Poverty' Trust Fund Agreement between DFIDI and ADB does not contain a specific reference to GE or women's empowerment – although there are many references to poverty reduction¹¹³.

6.14 In contrast, DFIDI's trust fund agreements with the two UN agencies contain strong GE focus in line with these agencies' comparative strength:

- the Strategic Partnership Agreement between UNICEF and DFIDI defines the overall goal of DFIDI-UNICEF collaboration as the 'realisation of the rights of poor people', especially women and children with specific objectives addressing maternal mortality and girls education¹¹⁴
- the Team did not have access to the Trust Fund Agreement between UNDP and DFIDI. However, evidence of influencing can be found in the DFIDI support of the national and state-level human development reports which have proved to be powerful tools for GE mainstreaming into local policy-making¹¹⁵

¹¹³ DFIDI. Logical Framework: ADB Poverty Trust Fund.

¹¹⁴ The Strategic Partnership between the UK Department for International Development and the United Nations' Children's Fund. June 2003.

¹¹⁵ UN Inter Agency Working Group on Gender & Development. Gender Mainstreaming in State Human Development Reports. May 2004.

6.15 For ILO, the partnership agreement is yet to be finalised, but the draft trust fund between ILO and DFIDI contains a number of GE-related objectives, goals and activities in regard to the promotion of gender-friendly labour policies and practices¹¹⁶.

6.16 DFIDI does not hold a direct trust fund arrangement with UNFPA, nonetheless, as co-sponsor of the Reproductive Child Health (RCH) II programme, DFIDI is indirectly sponsoring UNFPA's comparative advantage of advocating a rights-based approach to women's health by placing UNFPA in the role of lead gender agency in the new RCH II programme.

6.17 For multilateral partners with whom DFIDI holds no trust fund agreements or implementation partnership, no evidence of GE influencing has been identified. This includes UNIFEM, which is potentially a missed opportunity in terms of a regional window to showcase and disseminate DFIDI's achievements and good practices.

6.18 In summary, DFIDI's key dialoguing entry-point with regard to GE vis-à-vis other donors and multilateral organisations is in the capacity of a funding agency, supporting existing GE competencies and explicit gender mandates of partners through trust funds. However, for the World Bank and the Asian Development Bank, DFIDI has missed important opportunities for integrating GE dimensions into current trust fund frameworks.

6.3 Dialoguing with Gol partners

6.19 The first reference to influencing development policies as an approach for DFIDI was mentioned in the 1999-2003 CSP in the form of partnership with selected state governments¹¹⁷ and, more explicitly, in the staff manual in 2000, where influencing is referred to as one of the 'general principles for improved working'¹¹⁸. No explicit goal-setting and/or procedures have been established in regard to GE influencing. This probably explains why neither the CSP review of 2003 nor the IDC review of 2005 finds evidence of GE influencing in regard to Gol partners.

6.20 The CSP review assesses state partnerships by *inter alia* the depth and breadth of engagement with administrators, politicians and civil society in DFIDI's focal states. However, for the four states evaluated, no engagement was referred to regarding GE¹¹⁹.

6.21 For the IDC review, influencing at national level was regarded as limited to the reducing of income poverty and did not focus sufficiently on the issues of social exclusion and inequality. At state level the review found no evidence of policy dialogue impact¹²⁰.

6.22 While the evaluation team did not identify a logical, coherent and convergent approach to influencing of Gol over time and across sectors and themes, the replication of DFIDI's 'genderised' education pilot models such as SKP into the Centrally Sponsored Schemes (CSS) such as SSA is a clear indicator of policy influencing.

¹¹⁶ DFIDI. Project Memorandum. ILO Partnership.

¹¹⁷ CSP 1999-2003. Page 10.

¹¹⁸ DFID India. Improved Ways of Working. A guide for staff. November 2000. Page 5.

¹¹⁹ An External Perspective on DFID's India Country Strategy. Chapter 6.

¹²⁰ House of Commons. International Development Programme. *DFID's bilateral programme of assistance to India*. Third Report of Session 2004-05. Page 40-41.

DFID's Role and Comparative Influence in Country

6.23 The DFIDI-sponsored civil society organisation programmes – such as the Poor Areas Civil Society scheme (PACS) and the International NGO Partnership Agreement Programme (IPAP) – serve as entry points and vehicles to address social exclusion, including women's rights. Similarly, the new justice programme – Access to Justice – is also designed to address social exclusion issues. The programme is implemented through UNDP – which as a multilateral partner institution to the government is perceived as a more neutral party – and therefore considered a suitable strategic partner to address human rights issues.

6.24 Regarding gender budgeting, through its budget support to India DFIDI has earned a place at the table and enjoys some leverage with the Union Ministry of Finance and, earlier, with state governments in AP and Orissa. The Finance Minister highlighted gender budgeting in this year's budget speech, and DFIDI supported a workshop on gender budgeting in Orissa in 2003 which included GoO representatives. The union budget for 2005-06 initiated the first step in gender budgeting by proposing the incorporation of a separate statement highlighting gender sensitivities of budgetary allocations for grants to union ministries and departments.

6.25 At state level, GE influencing has been identified under the framework of yearly round-tables to discuss state assistance plan progress (see also Section 4.3). An issue paper was produced entitled *Issues relating to Inequality in West Bengal - Implications for Policy Choices* to guide the discussion. The paper included data on gender-based inequality in the state. At the roundtable meeting the issue was pursued in relation to inter-district performance on poverty¹²¹.

6.26 In conclusion, promising but limited evidence is found of DFIDI influencing in relation to GE discourse at national and at state level. Further, DFID's mirroring of the GoI state apparatus in the form of state teams seem to be a key factor in the design of entry points for policy dialogue and a model for replication.

¹²¹ Minutes of GoWB – DFID Annual Roundtable Meeting 10th February 2005: 1500 hrs – 1700 hrs.

7 CONCLUSIONS

7.1 This section summarises the main findings of the evaluation examined in relation to the three dimensions: Internal effectiveness, external effectiveness and DFID's role and comparative influence. The evaluation questions in the terms of reference are in line with the attached evaluation framework in Annex 1.

7.2 The overall conclusion is that DFIDI is at the forefront of gender sensitive development assistance. The office benefits from having gender competent staff and internal policies and procedures which are instrumental in attaining results on the ground. Though gender mainstreaming is difficult to assess and attribute to a specific donor, a number of positive steps, results and impact have been observed in the interventions evaluated. DFIDI plays an active role in influencing results and engaging in dialogue on GE and women's empowerment through partnerships with GoI, civil society organisations and other donors, though staff shortages are repeatedly referred to by partners as detracting from opportunities for mutual learning. The shift in gender policy from a WID approach over a rights based approach to the current social inclusion policy has provided DFIDI and its national partners with a multitude of experience. With the current strategic choice of approach to poverty reduction, DFIDI will be in the forefront to show whether integrating a social inclusion and a gender mainstreaming approach is possible.

7.3 Therefore, the findings, lessons and recommendations outlined in the following three sections should be read as measures to further increase DFIDI's already high degree of gender mainstreaming effectiveness.

7.1 Internal effectiveness

7.4 *Strategic Clarity:* DFIDI has retained attention to GE and the status of women/women's empowerment in all the country programmes evaluated, albeit not always as a central objective. The approach to GE has shifted over time from a WID approach focusing on women as beneficiaries, to a rights-based perspective highlighting Women's Empowerment (WE) issues, to a social inclusion approach to poverty reduction in which 'women' is one of four targeted marginalised groups. The social inclusion perspective was introduced already in the 1995-98 CAP but has become a strategic choice in the current CAP since it captures diverse dimensions of social exclusion which affect poverty in the Indian society. However (and as pointed out in the IDC review), despite DFIDI's continual attention to GE and women's empowerment, regular reviews of DFIDI's programme are required in order to ensure that GE and social inclusion receives the weight and significance needed. Further, there is a risk that GE issues such as domestic and dowry related violence against women, which are not captured by the exclusion approach, are not addressed.

7.5 *Human Resources:* DFIDI benefits from having a well-capacitated and committed staff for GE. However, in terms of the quantity of human resources, the resourcing of SDAs seems to be inadequate in light of their designated lead on GE. GE is lacking in induction training on GE issues and in training for influencing, policy and institutional work.

Conclusions

7.6 *Performance Management:* DFIDI has a system in place which tracks progress using GE indicators, although this is mainly within the limited areas of girls' education and maternal health. Only when DFIDI applies GoI MDG targets does the range of indicators referred to become broader. Further, at individual level there are no established GE performance indicators. Indeed, many staff members stress disbursement as the overriding performance target which they feel detract from the time allocated to the integration of cross-cutting issues such as GE.

7.7 *Knowledge Management:* DFIDI has been experimenting with KM in a more comprehensive manner since the merging of offices in 2000. However, the different generations of KM strategies are more focused on the identification of KM practices, tools and fora than on the development of learning objectives and audiences to guide the knowledge sharing, including for areas such as GE. Some GE knowledge sharing has taken place, although primarily within the SDA group and not in a focused manner.

7.2 External effectiveness

7.8 *Focus.* The six interventions assessed have focus on GE as reflected in the logical frameworks although in varying degree, and follow through from the logical frameworks differs. The Gender and Law project has GE as the primary objective so GE is addressed throughout the logical framework. The education sector interventions are also very consistent in their approach with GE included under project objective, intermediate results, and principal outcomes and project budget (special GE budgetary allocations). For the other governance and micro-finance interventions (KUSP and NMFSP) evaluated, GE budgetary allocations are not made. Further, in regard to the scope of GE activities, while both KUSP and NMFSP hold self-help groups that almost exclusively consist of women as the primary stakeholders, however, a gap exist decision making powers and opportunities for women to influence policies and financial planning and disbursements within institutions.

7.9 *Approach.* DFIDI operates with strategic approaches to selection of channels/partners and modalities although with great variance reflecting sectoral differences as well as shift in methodology over time. A mix of modalities within the education sector has proved beneficial, with projects serving as laboratories for the piloting of innovative practices and Sector Wide Approaches (SWAs) serving as vehicles for the mainstreaming of best GE practices at regional and at national level.

7.10 *M&E systems.* Only the education interventions have had well-developed monitoring systems with considerable attention to specific gender-related indicators. The indicators for the other interventions – as presented in logical frameworks – were insufficiently developed at the time of this study to fully capture all gender-related changes and impacts. Likewise, in the interventions examined, there was limited attention to the twin-track approach in monitoring and evaluation activities and this especially concerns the development of indicators for measuring impact in regard to women's empowerment.

7.11 *Impact and contributions.* The GE contributions, achievements and impacts assessed have generally been significant. The education sector interventions are by far the most successful in this respect. By having had clear GE aims, strategies and indicators, they have

accomplished clear GE results and impacts. Meanwhile, NMFSP and KUSP both have considerable potential to contribute to GE and have shown evidence of positive contributions. However, the lack of a systematic approach to GE weakens their ability to both maximise GE impact and document GE achievements for future programming. Finally, the Gender & Law project has had important but limited impact due to its narrow scope and by not being part of a wider programmatic approach targeting the justice sector.

7.3 DFIDI's role and comparative influence

7.12 *Role.* DFIDI stands out for its policy formulation and analytical rigor in GE across a variety of sectors and themes and is widely recognised among government and multilateral partners as being a progressive and serious gender champion. However, international partner organisations find that lack of easy access to DFIDI staff is a constraining factor for regular dialogue.

7.13 *Policy dialogue with multilaterals.* DFIDI's key dialoguing entry point for GE vis-à-vis other donors and multilateral organisations is in the capacity of a funding agency, supporting existing GE competencies and explicit gender mandates of partners through trust funds. However DFIDI has missed important opportunities for integrating GE dimensions into current trust fund frameworks with the World Bank and Asian Development Bank.

7.14 *Policy dialogue with Gol.* In regard to the Gol, no explicit goal-setting and/or procedures have been established in regard to GE (and general) dialoguing. Nonetheless, clear examples of GE dialoguing at national and at state level were identified. DFIDI's mirroring of the Gol state apparatus in the form of state programming teams has been a key factor in this regard and a model for replication.

Conclusions

8 LESSONS LEARNT

8.1 Key lessons to be learnt from the DFID India GE experience are as follows:

- *Strategy development.* The continual evolution of GE concepts in country and GE strategies has proved to be an important instrument for sensitizing staff to GE concerns. Indeed, the strategy-update process has served as an important vehicle for staying abreast of the latest international and national GE developments
- *Leadership.* While it has been difficult to establish direct causal linkages between DFIDI's internal and external effectiveness, it is apparent that DFIDI's continual attention to gender issues has led to an internalisation of the importance of GE in programming to the point of integrating GE concerns in non-PIMS GE marked interventions (KUSP)
- *M&E systems.* DFIDI's primary focus on primary education and maternal health in corporate GE performance reporting echoes the performance management reporting requirements at DFID HQ level. As a consequence, any DFIDI GE results to be found on the ground outside of these two targets are invisible in reporting systems
- *Structure.* The state team structure of the DFIDI CO has proved to be beneficial for the integration of cross-cutting issues such as gender due to (i) the enhanced inter-disciplinary approach to poverty reduction in comparison with a sector team structure; and (ii) it's mirroring of the Gol state apparatus which facilitates the identification of entry-points for dialoguing and influencing

Lessons Learnt

9 RECOMMENDATIONS

9.1 DFIDI is at the forefront of gender-sensitive development assistance. The office benefits from having - for the most part - internal policies and procedures which are instrumental in attaining GE results on the ground; mainstreaming gender in interventions; and influencing results in gender equality and women's empowerment through partnerships with Gol, civil society organisations and other donors.

9.2 Nonetheless, echoing the recently conducted IDC review, setting social inclusion including gender as a central objective is a requirement in helping the Gol focusing on the 'off-track' MDGs.

9.3 Below follows a list of recommendations to sustain or enhance the effectiveness of DFIDI's work with gender equality and women's empowerment. The recommendations are addressed at DFIDI only.

1. DFIDI should **unpack the social inclusion approach in relation to gender issues**. The social inclusion approach is well suited to capture discrimination of different types and different groups (ethnic, social, gender, age) but cannot replace gender mainstreaming. Gender needs to be explicit in all social exclusion analyses and in other diagnostic analyses of structural inequalities informing the country's poverty reduction strategy and DFID's contributions. Gender issues which stem from power relations between the sexes and do not pertain directly to exclusion, e.g. female trafficking, forced marriages between young women and old men, domestic and dowry related violence against women, female foeticide and infanticide, must also be addressed.
2. The level of gender competence of the DFIDI team is of good quality, but any reduction of staff numbers, in particular of Social Development Advisers who normally lead on GE, would increase the risk of diluting competence and detracting from the **motivation** which **gender champions** can stimulate in staff members across the board. DFIDI has to consider how to **strengthen its cadre of gender competent staff**, e.g. by recruiting a full-time SDA for the national team, or in other ways strengthen gender expertise, for example by designating other sector/ thematic specialists as gender focal points/ champions. This would also be a response to the lack of easy access identified by donor partners.
3. Experience from different agencies suggests that integrating GE modules into other training programmes, not least into **sector and poverty related training** is the most effective approach and should be given to a wider category of staff than SDAs. Further, **GE** should be mainstreamed **into** induction **training** and training pertaining to influencing and dialogue. Also, training on the development of GE indicators for M&E systems taking into account the synergy between complementary goals (social exclusion, poverty, and gender) should be conducted. The deployment of locally available training resources should be considered in this context as should the possibility of drawing on donor partner resources.

Recommendations

4. The **M&E systems of major on-going interventions** should be **reviewed** to ensure that they capture the progress and results of programmes which focus on both men and women. The M&E system should integrate gender-related progress, process and impact indicators. Further, the conduct of **baseline studies integrating social exclusion, poverty and gender perspectives** should be undertaken for all new interventions.
5. In order to **enhance the learning from** the social inclusion and gender mainstreaming strategies pursued by DFIDI, it is recommended that **gender reviews of programmes** be undertaken on a regular basis to maintain the focus of the strategies and their synergetic effects.
6. DFIDI's **performance management system should be rationalised** to avoid overlap and to strengthen focus. Furthermore, other GE indicators than those pertaining to primary education and maternal health should be monitored. A sex disaggregation of other key indicators could be a starting point.
7. A **knowledge management strategy for DFIDI should be developed**, with knowledge targets and linked with the scheduled people strategy in order to encourage learning synergies. The formulation of the knowledge targets should be guided by the CAP as well as by the recent IDC review which among others stress the importance of social inclusion as a central objective for DFIDI.
8. **Gender mainstreaming action plans should be developed for all interventions** taking into consideration lessons from integrated poverty, social exclusion and gender analysis, and build on experience from the APLP experience and on the lessons emerging from KUSP and NMFSP.
9. DFIDI should actively contribute to work of the **Inter-Agency Working Group on Gender and Development work**. Sharing good practices and jointly updating approaches to address gender issues in new aid modalities would be in line with DFIDI's comparative strengths.
10. DFIDI should **mainstream gender into all trust fund agreements** with donor partners.

Annex 1: Evaluation Framework

Evaluation framework

Evaluation Question	Analyses	Notes
EQ1 (a): How have changes in the way DFID works (...) affected the approach to gender issues in DFID's work?	External effectiveness analyses (aid modalities) PRBS thematic study Western Balkans case study (regional working) International effectiveness analysis (policy dialogue and influencing)	Links to EQ2(a); EQ 2(b); EQ 6 (b); EQ 4(a).
EQ1 (b): What evidence is there of what works and what doesn't in integrating gender in newer aid modalities and in different country contexts?	External effectiveness analysis PRBS thematic study India country case study	Thematic study will consider a variety of approaches to gender in SWAps and budget support in different country contexts
EQ2 (a): What organisational structures exist to motivate and reward the achievement of gender commitments in programmes, in DFID and externally, and how have these changed over time?	Internal effectiveness analysis (strategic clarity, performance management)	
EQ2 (b): Do DFID's current internal incentive systems reward compliance with gender policies or discourage gender-blind programming?	Internal effectiveness analysis (human resource development; performance management; knowledge management)	
EQ3: What is DFID's role in the international effort to address gender issues? Given DFID's gender equality objectives, are there areas and contexts in which DFID has particular strength or advantage in addressing gender-related concerns? Are there areas of programming or contexts for gender programming in which DFID operates where others would have greater influence, capacity or opportunity, and could take the lead?	Country case studies – International effectiveness analysis (policy dialogue and influencing) Partnership thematic study	Links to internal and external effectiveness analysis
EQ4: Has DFID used an appropriate mix of channels for addressing gender equality goals and is there adequate coherence and co-ordination between approaches?	External effectiveness analysis (partnerships) Country case studies Thematic impact evaluations (Good Governance/Access to Justice; Sustainable Livelihoods/Pro-Poor Growth)	Links to EQ3
EQ5: Has the level of resources (funding, staff, and knowledge) for gender equality programming been appropriate to requirements to meet DFID's policy objectives?	Internal effectiveness analysis Gender analysis of DFID's portfolio External effectiveness analysis Country case studies Thematic impact evaluations (Good Governance/Access to Justice; Sustainable Livelihoods/Pro-Poor Growth.)	Links to EQ6

Evaluation framework

Evaluation Question	Analyses	Notes
<p>EQ6: How consistently and effectively does DFID use gender knowledge and experience to inform its programming? How effective are DFID's systems for knowledge sharing, for tracking processes of gender mainstreaming and women's empowerment, and for monitoring progress towards gender equality goals? How do these compare with international best practice? What changes does DFID need to make to improve its monitoring and lesson-learning on gender equality?</p>	<p>Internal effectiveness analysis (performance management, knowledge management)</p> <p>Thematic evaluations (resourcing and M&E)</p>	<p>Links to EQ1 – this in particular in regard to M&E of GEWE in budget support and SWAps</p>
<p>EQ7 (a): What has been the impact and contribution of DFID's policy and practice on UK, partner country and international targets for gender equality and women's empowerment goals?</p>	<p>External effectiveness analysis: results and impact</p> <p>Thematic impact evaluations (Good Governance/Access to Justice; Sustainable Livelihoods/Pro-Poor Growth)</p>	<p>Quantitative and qualitative assessment</p>

Annex 2: List of Persons Met

DFID India Country Office (DFIDI CO)		
Name	Title	Organisation
Andrew Kenningham	DFID Economist and Team Leader for West Bengal Program	DFIDI
Anuradha Bhattacharji	Training Officer	DFIDI
Aruna Bagchee	Senior Governance Adviser	DFIDI
Chris Chalmers	Team Leader, West Bengal team	DFIDI
David Radcliffe	Senior Rural Livelihoods and Environment Adviser	DFIDI
Geeta Unnikrishnan	Social Development Adviser	DFIDI
Jiji Bhattacharji	Deputy Head Human Resources	DFIDI
Juhi Sahai	Development Press Officer	DFIDI
Julian Hamilton-Peach	Resources Manager	DFIDI
Mark Lewis	Team Leader, National Team	DFIDI
Sandhya Kanneganti	SDA, West Bengal Team, and Diversity Champion	DFIDI
Shouvik Dutta	Ass. Project Manager, KUSP	DFIDI
Gopi Menon	Ass. Team Leader, Orissa State team	DFIDI
Sanjay Valsangkar	Senior Deputy Programme Manager	DFIDI
Shantanu Mitra	Senior Economic Adviser and Head	PLST
Susanna Moorehead	Head of Office	DFIDI
Sushila Zeitlyn	Senior Social Development Adviser	DFIDI
Sylvia Bluck	Governance Adviser, National Team	DFIDI
Pushpa Subramaniam	Governance Adviser, West Bengal team	DFIDI

DFID India Partners		
Name	Title	Organisation
Anjana Chellani	Programme Officer	ILO Sub-regional Office for South Asia
Ena Singh	Assistant Representative	UNFPA
Dhanashri Brahme	Programme Officer, Gender and Community	UNFPA
Firoza Mehrotra	Deputy Regional Program Director	UNIFEM, South Asia Regional Office
Prof. K. Seeta Prabhu	Head, Human Development Resource Center	UNDP
K.S. Ravichandran	Programme Officer	ILO Sub-regional Office for South Asia
Meenakshi Kathel	Research Associate(Gender), Human Development Resource Center	UNDP
Reiko Tsushima	Gender Specialist	ILO Sub-regional Office for South Asia
Kiran Sharma	Programme Director, PACS	Development Alternatives
Poonam Metha	State Coordinator, Maharashtra	Development Alternatives
Anju Pandey	Head	Gender Training Institute
Shalini Sinha	Independent Consultant	
Christopher Marsden	Country Programme Manager	OXFAM

Annexes

Good Governance/Access to Justice The Kolkata Urban Services Programme (KUSP)		
Name	Title	Organisation
15 CDS members	Halisar Municipality	Halisar Community Development Society
Andrew Kenningham	Project Manager, KUSP/Economist, WB Team	KUSP
Anup K. Matilal	Project Manager	KUSP Change Management Unit
Gopal Sarkar	Engineering Expert	KUSP Change Management Unit
Jayanta Kr. Chakraborty	OD & Poverty Expert	KUSP Change Management Unit
Group members	Mayor, Councillors and staff	Halisar Municipality
Group members	Mayor, Councillors and staff	Barasat Municipality
Mr. Praveen More	Consultant PPA	
Sandhya Kanneganti	Ass. Project Manager, KUSP	KUSP
Shrinivas Kowligi	Institutional Expert	KUSP Change Management Unit, PriceWaterHouseCoopers
Swapan Kumar Chakrabarti	Director of Local Bodies & Ex-officio Jt. Secretary	Municipal Affairs Department, Government of West Bengal
Gautam Pal	Poverty Alleviation Adviser	SUDA
Group Discussion	CDS and NHC members	Chapadanga Slum Settlement

Good Governance/Access to Justice The Gender and Law Programme		
Name	Title	Organisation
Kamal Singh	Head, Governance and Social Justice	British Council
Ann Stewart	Reader in Law, School of Law	Warwick University (UK)
N.R. Madhava Menon	Director	National Judiciary Academy
Kirthi Singh	Lawyer	Partners for Law in Development

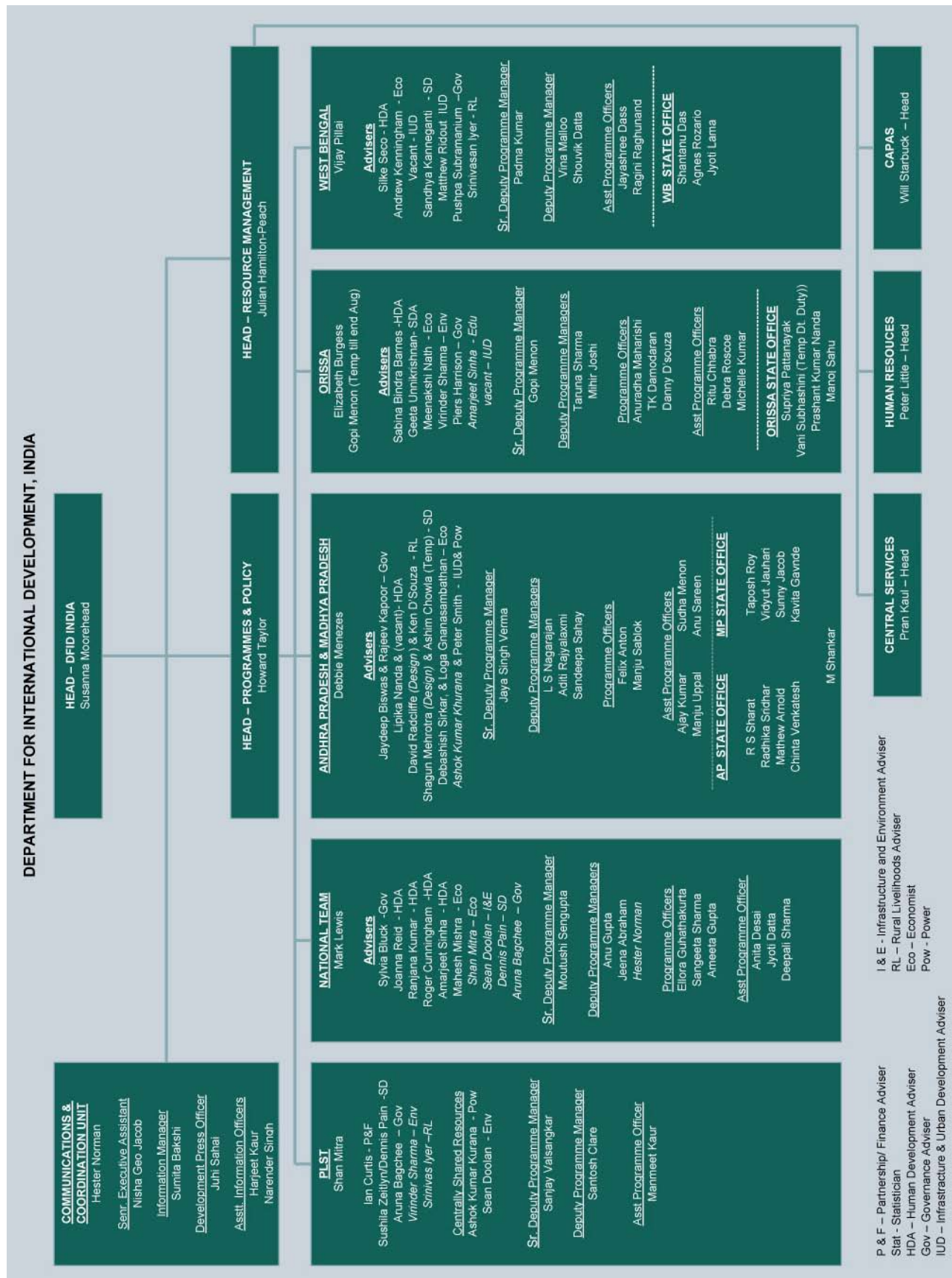
Education Sarva Shiksha Anhiyan (SSA)		
Name	Title	Organisation
Ms. Arti Saheji	Programme Officer	UNICEF
Ms. Chetna Kohli	Programme Officer	UNICEF
Ms. Kameshwari Janadhalya	Director	Mahila Samkhya
Ms. Parimal Bardhan	Senior Education Advisor	European Commission
Ms. Sujaya Krishnan	Former Deputy Secretary	MHRD, GOI
Ms. Susanna Allman	Senior Education Advisor	UNICEF
Prof. Venita Kaul	Senior Education Specialist	World Bank

Education District Primary Education Programme (DPEP)		
Name	Title	Organisation
Ms. Asha Hans	Director Santa Memorial, Orissa	
Bishakka Bhanja		National Alliance of Women, Orissa Chapter, UNICEF
Gitanjali Jena	Programme Coordinator	CYSD, Orissa
Ms. Jayadev Vihar		Santa Memorial, Orissa
Kasturi Mohapatra		Open Learning Systems. Orissa
Madhu Sudan Padhi	State Project Director	OPEPA
Manoj Kumar Sahu	Programme Assistant	DFID Orissa State Office
Namila Palo	Coordinator, Girls Education ECCE, Community Mobilisation	DPEP/SSA, Kandhamal
Ms. Nina Badgaiyan	Former Consultant- Planning, Technical Support Group	DPEP
Mr. Premandidli Seth	OAS, District Project Coordinator	DPEP/SSA
Rachna Singh	State Programme Officer	UNFPA, Orissa
Saviar Laxmi Nayak	Pedagogy co-ordinator	DPEP/SSA, Kandhamal Phulbani
Sukanta Kumar Mishra	Associate Program Manager	CYSD, Orissa

Education Shiksha Karmi Project (SK)		
Name	Title	Organisation
Ms. Vrinda Swarup	Joint Secretary, Elementary Education	MHRD, GOI

Pro-poor Growth National Micro-Finance Support Project (NMSP)		
Name	Title	Organisation
15 beneficiaries	Group members	Bandhan (Ultodanga Branch)
Group of ca. 50 women	Group Members, beneficiaries	Vardan Trust
Mr. C. S. Ghosh	President	Bandhan
Ms. Daksha Nirranjan	Programme Head	Women's World Banking, Ahmedabad
Ms. Kalpna Vara	Secretary	Vardan Trust, Dahood, Gujarat
Mr. Mahesh Vara	Executive Trustee	Vardan Trust, Dahood, Gujarat
Mr. Partho Pratim Somnath	Regional Manager	Bandhan
Mr. Partho Sabathi Dey	Ultodanga Branch Manager, Konnahsah	Bandhan
Ms. Shruti Gonsalves	Senior Programme Officer - Credit	Friends of Women's World Banking, India
Mr. Vikeram	Chief, General Manager	SIDBI SFMC

Annex 3: Organisational diagram



Annex 4: Map of India



Annex 5: Resourcing

10 Resourcing

The present Section provides a short review of the trends and developments in DFID's gender marked commitments and expenditures during the period 1995 - 2005, based on data provided by DFID's Statistical Reporting & Support Group applying DFID's Policy Information Marker System (PIMS).

10.1 Methodology

PIMS provides a framework for marking DFID's projects and programmes in relation to key policy areas. The marker applied for tracking GE project and programmes is the Gender Equality (GE) marker. It is used for tracking commitment and expenditures for MDG 3 by applying:

- *principal* markers (P) for gender-specific activities, which are usually smaller projects, and
- *significant* markers (S) for gender mainstreaming activities, and for projects where gender is an important part of the project but not the main objective¹²²

As only few projects have been marked with a 'P', projects and programmes marked with a 'P' or 'S' have been merged into one gender marked category.

In the data analysis below, the following considerations have been taken into account:

- it is not possible to say how much of the commitments/expenditures would actually be earmarked to gender equality, as this is not separated out, given that this work is mainstreamed
- while the audit reviews both trends in commitments and expenditures, these two entities are not directly comparable. Commitments cover the entire project/programme cycle (which can vary from 2-5 years although it is commonly three years) and represent *planned* expenditures. 'Expenditures' cover recorded expenditures in a given financial year
- the commitment/expenditure data could underestimate the level of GE activities undertaken as PIMS markers are generally only applied to projects of over £100,000, thereby overlooking projects of smaller amount
- the registration in PIMS is made by DFID Project Officers at the time of project approval, based on the available project documentation, which can be subject to interpretation by the individual officers

¹²² The marker should be scored as *principal*, where the subject of the marker is a fundamental objective of the project, which would not be undertaken without this objective, or *significant*, where the subject of the marker, although important, is not one of the principal reasons for undertaking the project. DFID (2005an) *'The Pink Book' - Project Header Sheet Guidance incorporating Input Sector Codes and Policy Information Marker System*, London: DFID

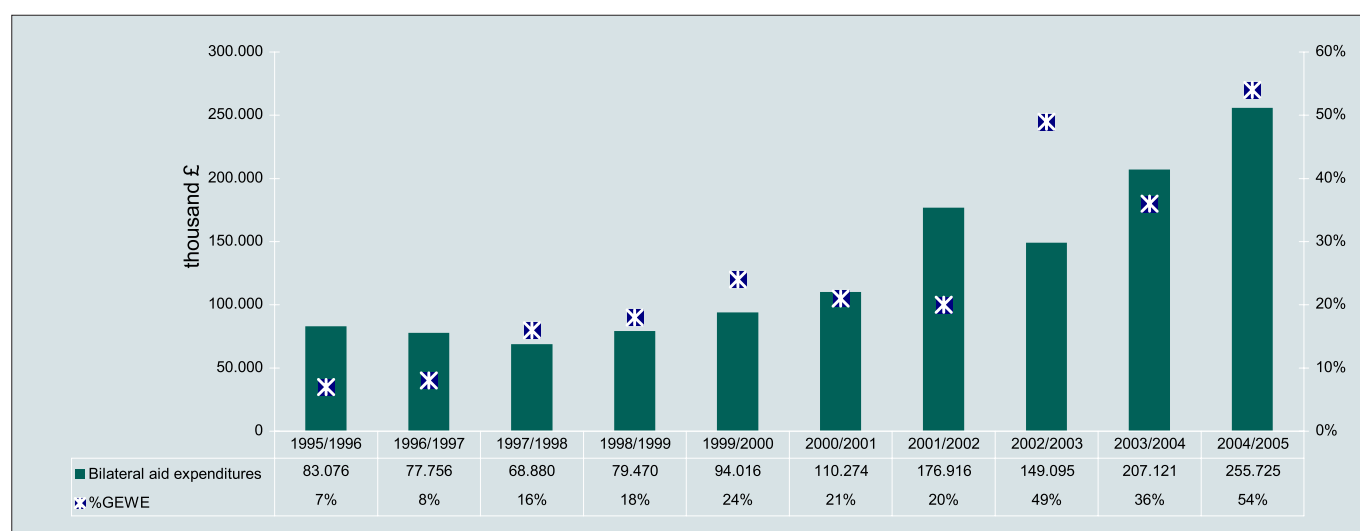
It should also be mentioned that all data derives from PIMS and hence only includes data on marked commitments/expenditures, even when they are referred to as commitments/expenditures in the analysis below.

10.2 Review of GE marked data

The total PIMS marked aid to India during the ten year period increased by more than 200% from around £83 million in 1995 to £256 million in 2005, making India one of the top three recipients of aid from UK today. At the same time aid marked for GE has increased from 7% in 1995/96 to 54% in 2004/2005.

Chart 1 below shows the total expenditure for each year of the period 1995 – 2005 and the percentage of the total aid marked for gender equality, by either a *Principal* or *Significant* marker.

Chart 1 Total DFID aid expenditures (thousand £) and the percentage of bilateral aid marked for gender equality (%), 1995-2005



In 2002/2003 a considerable jump took place from 20% to 49%. Looking at Chart 2 below, which shows GE % of commitment per year, this can be explained by the high percentage of new commitments made in 1998 (86%) and 1999 (76%), expenditure from which was counted in 2002/2003. A number of new large commitments in the education, rural livelihoods, and environment, social and health sectors were made by DFID in those two years (1998-9)¹²³.

In 2002 only three smaller projects totalling £1.5 million received a GE marker out of the total £362 million committed by DFID that year. Large funds were committed for support to; Public

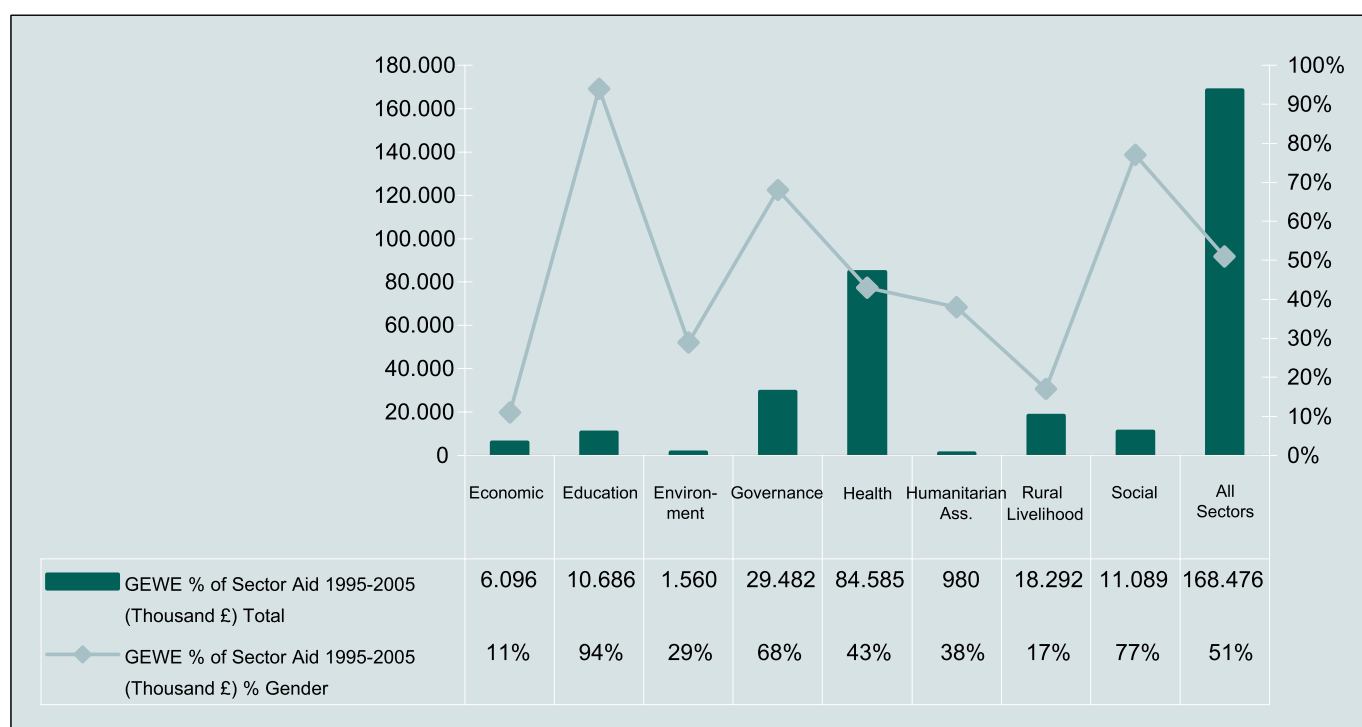
¹²³ In 1998 Maharashtra Water and Environmental Sanitation Project (£69 million), Poorest Area Civil Society Programme (£27 million), RNTCP Andhra Pradesh (£21 million) and UNICEF Water and Environmental Sanitation (£18 million) and in 1999 Andhra Pradesh Urban Services for the Poor (£66 million), Andhra Pradesh Livelihoods Project (£46million), Lok Jumbish III (£31 million), West Bengal District Primary Education Project (£33 million) and Western Orissa Rural Livelihoods Project (£33 million) all got were marked Significant in the PIMS.

Annexes

Sector Reforms in Andhra Pradesh (£120 million), Polio Eradication (£86 million), Asian Development Bank Poverty Trust Fund (£50 million) and; Orissa Post Cyclone Reconstruction of Primary Schools (£30 million). None of these projects were GE marked.

Looking at the percentage of GE marked commitments for 2004 and 2005, the high proportion of GE marked DFID bilateral expenditures to India is expected to be maintained for the next few years. In 2004 the £210 million Sarva Shiksha Abhiyan educational project and in 2005 the £95 million National Aids Control Programme for £95 million were both marked Significant for GE.

Chart 2 Total DFID aid commitments and percentage spent on gender equality by sectors, 1995-2005



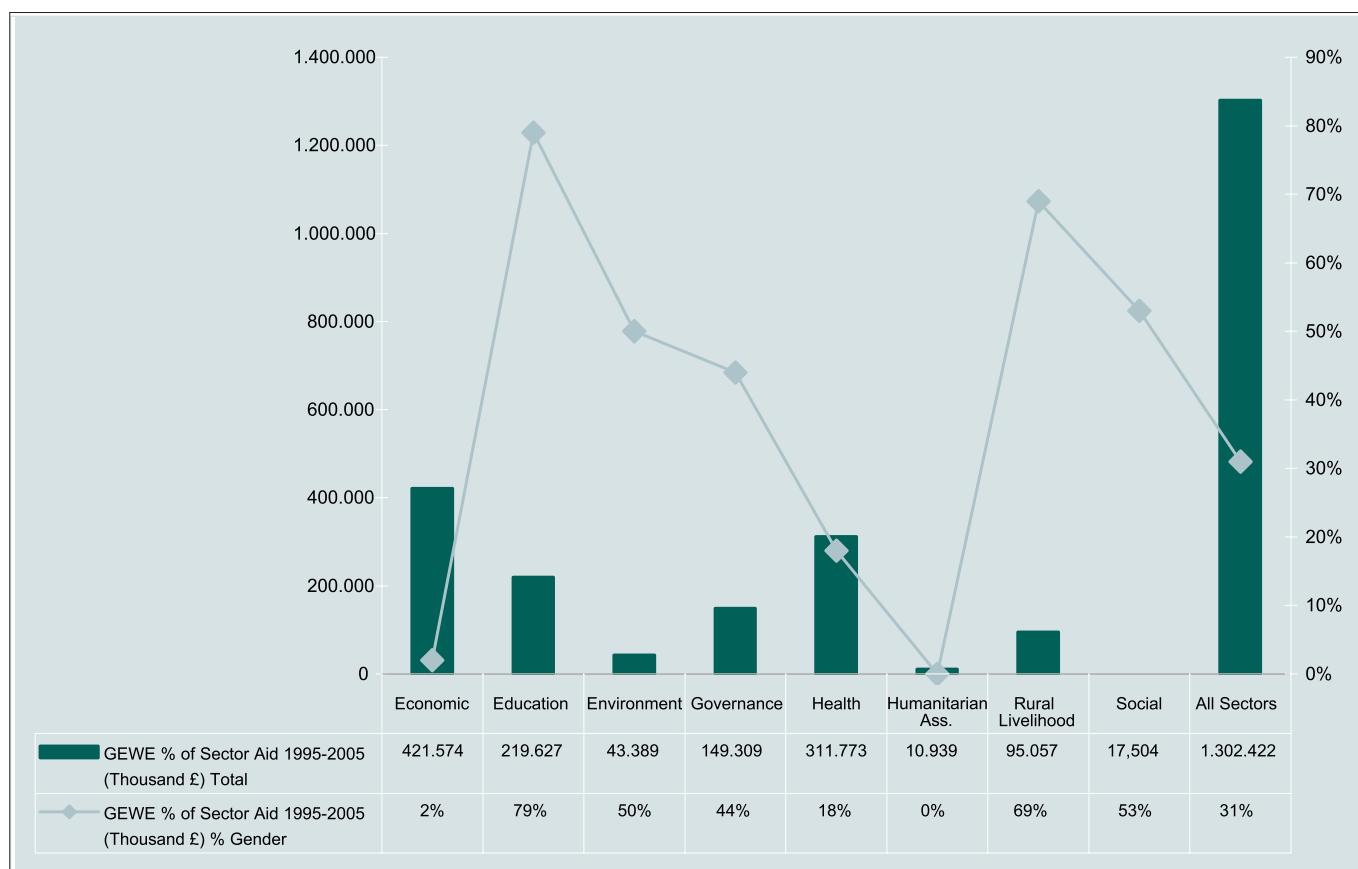
To examine the percentage of aid marked expenditures for gender equality by programme sector, projects were categorised into eight broad sectors: Economic, Education, Health, Governance, Social, Humanitarian Assistance, Rural Livelihoods and Environment¹²⁴.

Chart 3 below shows aid PIMS marked expenditures divided by broad economic sectors for the period 1995 – 2005 and percentage of aid marked for Gender Equality in the different sectors¹²⁵.

¹²⁴ The social sector includes: Social policy, Strengthening civil society, Human rights, Social protection, Social violence reduction, Shelter and housing, Water supply, Sanitation and waste control, Alternative development, and social research.

¹²⁵ Since October 2002, it has been possible to specify up to six sector codes each project to capture multi-sector projects. However, the broad sector categorisations based on the largest percentage to be spent in a sector by a multi-sector project is still recorded and used.

Chart 3 GE % of Sector Aid 1995-2005 (Thousand £)



As can be seen, the educational sector is the sector with the highest GE marked aid expenditures (79%) with rural livelihoods (69%) as second. In the governance and social sectors half of the expenditures are GE marked.

In summary, GE marked expenditures and commitments have risen over the past 10 years to a level of approximately 50%. In terms of GE marked expenditures for sectors education and rural livelihoods sectors have the highest percentage of gender marked projects. However, as mentioned above this conclusion does *not* lead to related conclusions regarding earmarked GE expenditures and commitments as per the considerations listed under methodology above.

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DEPARTMENT FOR INTERNATIONAL DEVELOPMENT

EVALUATION REPORT EV669

**Evaluation of DFID's Policy and Practice in Support
of Gender Equality and Women's Empowerment:
Nigeria Country Case Study**

Volume II

**Sarah Forti, Rikke Ingrid Jensen, Julian Brett,
Daniel de la Cour, Olabisi Aina, Nkoyo Toyo
August 2006**

A2J	Access to justice
ARFH	Association for Reproductive and Family Health
BC	British Council
CAP	Country Assistance Plan
CAST	Change Assessment and Scoring Tool
CEDAW	Convention on the Elimination of All Forms of Discrimination against Women
CEDRA	Centre for Development Research and Advocacy
CIDA	Canadian International Development Agency
CO	Country Office
CPS	Country Partnership Strategy
CSO	Civil Society Organisation
CSP	Country Strategy Plan/Paper
DCGG	Donor Coordination Gender Group
DFID	Department for International Development
DFIDN	DFID Nigeria
DoC	Drivers of Change
ELPE	Extended Life Planning Education
ERAP	Ekiti Rural Access Programme
ET	Evaluation team
FMWA	Federal Ministry of Women's Affairs
GDI	Gender-related Development Index
GDP	Gross Domestic Product
GE	Gender equality
GEM	Gender Empowerment Measures
GEP	Girls' Education Project
GM	Gender Mainstreaming
HDI	Human Development Index
HDR	Human Development Report
HQ	Headquarters
HIV/AIDS	Human Immunodeficiency Virus / Acquired Immune Deficiency Syndrome
IDA	International Development Association
IL	Institutional Learning
JEWEL	Jigawa Enhancement of Wetlands Livelihoods
JIR	Joint Inception Review
LF	Logical Framework
LFA	Logical Framework Approach
LPE	Life Planning Education
M&E	Monitoring and Evaluation
MDG	Millennium Development Goal
MDGR	Millennium Development Goal Report
MSC	Most Significant Change
N/A	Not Applicable
NEEDS	National Economic Empowerment and Development Strategy
NGF	Nigeria Governance Fund
NGO	Non-Governmental Organisation
ODA	Overseas Development Administration

Abbreviations

OPR	Output to Purpose Review
PIM	Policy Information Marker
PSA	Public Service Agreements
RAMP	Rural Access and Mobility Programme
SDA	Social Development Advisor
SEEDS	State Economic Empowerment and Development Strategy
SGBV	Sexual Gender Based Violence
SJG	Security, Justice and Growth
SME	Small and Medium-sized Enterprise
STD	Sexually Transmitted Disease
TL	Team Leader
ToR	Terms of Reference
TSP	Target Strategy Paper
TNA	Training Needs Assessment
UBE	Universal Basic Education
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
UNIFEM	United Nations Development Fund for Women
VAW	Violence against Women
WB	World Bank
WE	Women's empowerment

EXECUTIVE SUMMARY

S1 This document constitutes the Nigeria country case study of the Evaluation of DFID's Policy and Practice in support of Gender Equality (GE). The overall purpose of the evaluation is to inform future DFID gender strategies by assessing the results of DFID's policies and programming regarding gender equality and women's empowerment and any consequent effects on poverty reduction.

S2 The scope of this study includes three interrelated dimensions:

- **DFIDN's internal effectiveness** through an assessment of GE focus in DFIDN's key strategies and policies, human resources (GE capacity, commitment and training) and performance and knowledge management
- **DFIDN's external effectiveness** through the analysis of three thematic areas and six selected interventions, respectively, *Good Governance and Access to Justice* (Nigeria Governance Fund (NGF) and Security, Justice and Growth (SJG)), *Pro-Poor Growth and Sustainable Livelihoods* (Ekiti Rural Access Programme (ERAP)) and Jigawa Enhancement of Wetlands Livelihoods (JEWEL) and *Education* (Girls' Education Project (GEP)) and Life Planning Education (LPE). GE is analysed across the six interventions' overall purposes and strategic goals, financial resources, approaches and channels utilised, monitoring and evaluations. It concludes with an assessment of GE's results, impact and contributions in each selected intervention
- **DFIDN's role and comparative** influence in country-context efforts on GE.

Country background

S3 Despite vast natural wealth, about two-thirds of the Nigerian people are poor. Although revenues from crude oil have been increasing over the past decades, Nigerians have been falling deeper into poverty. In 1980, an estimated 27% of Nigerians lived in poverty. By 1999, about 70% of the population had an income of less than \$1 a day, and the figure has risen since then. If present trends continue, the country is not likely to meet the Millennium Development Goals (MDGs). The Government's national poverty strategy, National Economic Empowerment and Development Strategy (NEEDS) is complemented at state level by an equivalent process called State Economic Empowerment and Development Strategy (SEEDS).

S4 Currently, the government's strategy for the achievement of the MDGs is hinged on the medium-term framework for poverty reduction in Nigeria. The NEEDS document is premised on four pillars:

- i) a strong focus on reforming government and institutions
- ii) developing the private sector

Executive Summary

- iii) implementing the social charter
- iv) developing a value re-orientation for the country

S5 Although NEEDS goes beyond the conventional economic development framework to address the political economy of Nigeria, there are mixed views about its viability. For example, critique from civil society points to the tangential link in NEEDS between the gains of economic reforms at the macro level and its expected outcome and impact on poverty reduction and social inequalities at the micro level.

S6 The history of women's movements in Nigeria has developed in a fragmented manner. In contemporary Nigeria, women are periodically mentioned in relation to social sectors such as health and education, whereas their productive role, their participation in the national economy and their political contribution to society are largely unrecognised. The little availability of sex-disaggregated statistics at national and state level is a constraint to the development of *effective* strategies that seek to address gender inequalities and poverty in Nigeria.

Internal effectiveness

S7 At the time of the evaluation mission, DFIDN was in the process of actively undertaking a number of GE-related initiatives. The development of a Gender Mainstreaming (GM) strategy in DFIDN was thus running parallel to this evaluation which is expected to contribute to the GM process. Although it is too early for such initiatives to be assessed by this evaluation, they nevertheless reflect a genuine willingness on the part of DFIDN to include gender in its work and prioritise GE within the different cross-cutting issues to mainstream. It is to be hoped that this process will encourage further interlinkages between cross-cutting issues and the overall goal of poverty reduction and avoid 'compartmentalisation' of cross-cutting themes.

S8 One of DFIDN's most remarked contributions to the poverty reduction agenda in Nigeria has been the development of an analytical framework that seeks to tackle structural inequalities at the root causes of poverty. The Drivers of Change (DoC) study has thus been the main country analysis informing the Country Assistance Plan (CAP) and Country Partnership Strategy (CPS). Although DFIDN commissioned a gender study to be included amongst the many studies that were carried out in order to develop the DoC, for unknown reasons the gender study was never carried out. As a result, DFIDN missed an important opportunity to make the linkages between GE and poverty reduction at the heart of its policy and strategic analytical level by not considering and understanding gender inequalities as *integral* and *essential* parts of structural inequalities.

S9 Consequently, while a first step was achieved towards the visibility of gender in the CAP, the essential nature of the link between gender and poverty of GE remains unclear at DFIDN's policy and strategic level. The manner in which GE is included in the CAP/CPS has led to a 'ghettoisation' of gender. This is evidenced by a lack of systematic integration of GE across the rest of the dynamic and rationale of the CAP/CPS documents. In other words, gender is mentioned as one of the various 'issues' to be mainstreamed across DFIDN programmes but it is not actually mainstreamed in the various chapters and sections of the CAP/CPS. However,

such 'ghettoisation' needs to be understood in light of a broader problematic at DFID's Headquarters (HQ) level, concerning overall policy coherence and the multiplicity of DFID's strategic approaches to the achievement of MDGs¹. It is not clear to DFIDN staff whether the mainstreaming of gender is a mandatory approach in reaching the MDG or whether it is optional.

S10 The lack of *clarity* with regard to the *essentiality of GE* at policy and strategic level is in turn reflected at DFIDN's human *resources and organisational development level*. In particular, GE leadership, competencies and resources have not been adequately addressed. This is partly a reflection of a general lack of gender knowledge and methods and partly a lack of *clarity* as to the status and the 'corporate' importance of DFID internal gender strategies (Target Strategy Paper (TSPs)) amongst DFID's staff. This is most clearly evidenced by a general lack of awareness of the existence of the TSP pertaining to women's empowerment and poverty reduction, the existence of the DFID Gender manual and other general gender tools. As a result, GE is treated as an abstract concept, isolated from the rest of the programming work. Consequently, the office does not currently have sufficient gender knowledge and expertise for an effective GM.

S11 Further, the current *performance management* instruments offer too limited an incentive for GE work by only targeting the social sectors.

S12 Finally, with regard to *electronic knowledge management systems* the office does not currently have GE learning procedures in place.

External effectiveness

S13 The analysis of *GE focus* in DFIDN projects and programmes demonstrates that in the absence of a GM strategy, GE issues have been addressed on an ad hoc basis and unsystematically across the selected interventions depending on the degree of commitment of the staff or project/programme manager involved.

S14 The most strategic selection of *GE partners* at intervention level has been: a) GE champions (SJG) and b) women's non-governmental organisations (NGOs) that represent an actual constituency or hold a degree of legitimacy within civil society and are thus able to drive GE structural changes (SJG) or partner organisations with specific gender competence/mandate (GEP). An inadequately strategic selection of partners can be highlighted in interventions such as NGF and JEWEL resulting in missed opportunities to maximise potential GE impact while ERAP and Extended Life Planning Education (ELPE) did not select partners on a GE strategic basis. However, although the different interventions together cover a variety of GE partnerships, DFIDN does not yet have an overall coherent and strategic approach to GE partnerships which could help increase potential impact on GE.

¹ See Synthesis Report for this Evaluation and DFID (2005) Policy Coherence Review, London : DFID.

Executive Summary

S15 For all the interventions evaluated, the current *monitoring and evaluation* (M&E) applied did not encompass GE outcomes and impact M&E. This further contributes to the invisibility of actual GE results *in practice*, which in turn shows the limited importance attributed to monitoring GE impact and limits the scope for institutional learning (IL) and information sharing for future programming.

S16 All GE *results, achievements and contributions* identified so far are either addressing or expected to address several aspects of poverty in its *multidimensional* definition. Indeed, the evidence collected within this selection of interventions shows that GE - except for the intervention specifically targeting girls' education and the targets under MDG3 - is subsumed to other social and rights dimensions of poverty within the selected Governance/Access to Justice and Pro-poor Growth and Sustainable Livelihoods thematic areas.

S17 In some cases, findings show that, while including gender-related information in the project *documentation* and a gender analysis at appraisal stage are important steps within the gender mainstreaming process, according to the DFID gender manual² they are by no means sufficient to ensure GE is translated into *practice*.

S18 Further, findings also show that in other cases, project *documentation* is not consistently updated to reflect GE *practices* in the field. This leads to the invisibility of a GE focus in logical frameworks (LFs). Consequently, many interesting *GE practices, results, achievements and contributions* which are usually the fruit of gender-committed development practitioners - whether project managers or DFID staff - remain invisible. As a result, such GE *practices* are not adequately utilised to inform and add value to current and future development programming processes.

DFIDN's role and influence in country-context efforts on GE

S19 DFIDN has shown interest and commitment to promote GE issues at donor coordination level by joining the Donor Coordination Gender Group (DCGG) as a member and currently chairing the group. DFIDN's *comparative advantage over other donors* lies in its ability to develop general analytical (macro) frameworks. Such analytical skills have contributed to the effective coordination of the DCGG and to the development of gender analytical matrices, in which other donors with stronger gender expertise have taken the lead. While chairing the DCGG is in itself a sign that DFIDN is engaged in promoting GE, DFIDN remains keen to bring added value and complementarity to other donors' expertise in this field - and not necessarily to taking the lead in championing GE as such.

S20 In terms of DFIDN's *influencing role* at bilateral level vis-à-vis the partner government, there is a hesitation by DFIDN to champion GE upfront. This is a reflection of DFID's lack of clarity as to the *essentiality* of GE in the context of a bilateral strategic policy dialogue on macro-economic development, which is further evidenced by the status of GE in DFIDN's key country strategic and analytical documents - CAP/CPS and DoC.

² DFID (2002) Gender Manual: A practical guide for development policy makers and practitioners, Step 1 p.11, London : DFID.

S21 At *intervention* level, DFIDN has succeeded in having targeted influence on GE through the selected programmes within the thematic areas of education and good governance/access to justice. With regard to sustainable livelihood/pro-poor growth interventions, there was no evidence found on specific GE dialogue with local authorities and state counterparts.

S22 In summary, whereas DFIDN overall strategic country dialogue could have benefited from a greater GE focus, DFIDN remains more open to nurture strategic dialogue pertaining to GE at intervention level and through donor-coordination activities.

Recommendations

S23 In order to have a *meaningful* impact GE needs to be understood as a strategic instrument for improving the effectiveness of DFIDN's response to poverty reduction and not merely perceived as an additional issue to mainstream. For this to occur, fundamental changes need to take place at i) policy and strategic level, ii) at organisational development level and iii) intervention level.

S24 Elaborating on the recommendations of 2003 Joint Inception Review (JIR) (calling for a pro-active approach to GM) and DFIDN's paper on an approach to incorporating cross-cutting themes (calling for a change in thinking), the following *recommendations* attempt to provide practical and simple steps towards achieving an effective mainstreaming of GE across DFIDN's programmes and organisation. In order to obtain an effective GM process, it should be envisaged fully and coherently as described in the DFID gender manual as opposed to partially and inconsistently.

S25 At policy and strategic level:

1. In the short term, DFIDN should **finalise the DoC** by commissioning the GE study and revise the DoC accordingly. DFIDN should further ensure that any other country poverty analysis integrates a gender analysis. This would ensure that the linkages between poverty reduction and GE are made at the country analytical level.
2. In the medium term and as foreseen by the gender mainstreaming team, **GE action plans/strategies should be developed for each thematic team**. For each team GE related activities, outcomes and indicators need to be developed as well as explicit linkages between GE and all other cross-cutting issues.
3. In the long term and during the course of a foreseen revision of CAP/CPS, DFIDN should take the opportunity to rethink the CAP/CPS from a gender perspective based on the revised DoC and/or any subsequent country gender analysis and gender action plans developed.

S26 At human resources and organisational development level:

4. If GE is to become a strategic priority, any effective GM process would need **adequate and supporting human resource and organisational developments**.

Executive Summary

In the short to medium term i) all DFIDN staff members should have an adequate understanding of GE and how to mainstream gender in their respective fields, ii) GE should be monitored within the current corporate monitoring systems to ensure incentive and iii) the gender mainstreaming team should be institutionalised beyond its immediate mandate.

5. The foreseen **gender action plans for the three teams should include the organisational level** for each objective and activity and should specify a) who will be responsible for implementation and monitoring, b) how the implementation and monitoring are to take place and c) what, if any, organisational capacity is required to do this. There is a need to consider the organisational/internal implications of the foreseen gender action plans, as there is a risk that inadequate resources and capacity are allocated to implement and monitor such plans.

S27 At practice and intervention level:

6. In the medium term and in response to the recommendations of the JIR 2003, DFIDN in cooperation with the implementing partners should **revise the logical frameworks of the ongoing main programmes** to ensure *systematic* and *explicit* inclusion of GE outcomes and related indicators.
7. In the medium term, **DFIDN should establish a coherent strategy for the selection of GE channels/partners** in future programmes to ensure optimal GE impact.
8. Finally and in the medium term, DFIDN should systematise effective **monitoring of GM processes** to ensure that GE does not 'evaporate'. This could be done, amongst other, by consistently including GE in all Terms of Reference (ToRs) of Output to Purpose Reviews (OPRs), Annual Reviews and Evaluations.

1 INTRODUCTION AND SCOPE

1.1 The overall purpose of the Evaluation of DFID's Policy and Practice in support of Gender Equality (GE) is to inform the future DFID GE strategy by assessing the results of DFID's policies and programming on gender equality and women's empowerment and any consequent effects on poverty reduction. This study is one of three Country/Regional Case Studies carried out in Nigeria, India and the Western Balkans, respectively.

1.2 The scope of the evaluation's country case studies includes the assessment of three interrelated dimensions:

- **DFIDN's internal effectiveness** through the analysis of the GE focus in DFIDN's key strategies and policies, human resources (GE capacity, commitment and training), performance and knowledge management.
- **DFIDN's external effectiveness** through the analysis of three thematic areas and six selected interventions, respectively, *Good Governance and Access to Justice* (Nigeria Governance Fund (NGF) and Security, Justice and Growth (SJG)), *Pro-Poor Growth and Sustainable Livelihoods* (Ekiti Rural Access Programme (ERAP) and Jigawa Enhancement of Wetlands Livelihoods (JEWEL)) and *Education* (Girls' Education Project (GEP) and Extended Life Planning Education (ELPE)). GE is analysed across the six interventions' overall purposes and strategic goals; financial resources; approaches and channels utilised and monitoring and evaluation. Furthermore, the results, impact and contributions of GE are assessed in each selected intervention.
- **DFIDN's role and comparative** influence in country-context efforts on GE.

1.3 The present report constitutes the Nigeria country case study and is based on data collected in Nigeria in August-September 2005 during which field visits, interviews with DFIDN, partner staff and programme beneficiaries were undertaken. The report is structured as follows:

- section 2:** presents the approach and methodology of the Nigeria country case study. It introduces the participatory and institutional learning (IL) approach undertaken and specifies the methods for data collection and analysis
- section 3:** introduces Nigeria's political context, poverty reduction strategies and GE developments
- section 4:** provides an analysis of DFIDN's internal effectiveness
- section 5:** analyses DFIDN's external effectiveness

Introduction and Scope

section 6: assesses DFIDN's role and comparative influence in country-context efforts on GE

section 7: provides the main conclusions for each evaluation dimension

section 8: Lists the recommendations

2 APPROACH AND METHODOLOGY

2.1 Methods for data collection and analytical tools

2.1.1 Sampling of interventions

2.1 In the case of Nigeria, the selection process had to take into account the fact that the DFID Country Office (CO) is quite young and therefore relevant interventions are mainly ongoing and GE-related initiatives at their early stages. There were also security considerations that affected which interventions could be visited. In Table 1 below, an overview is provided of the selection criteria applied to each intervention.

Table 1 Selection criteria and interventions

Selection Criteria	Interventions					
	Good governance/access to justice		Sustainable livelihood/pro-poor growth		Education	
	NGF	SJG	ERAP	JEWEL	ELPE	GEP
At least 1½ - 2 years old, preferably at least at mid-stage	●	●	●	●	●	
Central to objectives and strategies expressed in CSP/CAP and PRSP or equivalent		●		●		●
Be of above average size/scope/importance for DFIDN's country programme	●	●	●	●		●
Represents different aid modalities and channels	N/A	N/A	N/A	N/A	N/A	N/A
Reflects various administration levels (federal, state, local)		●	●	●		●
Represents 'with' and 'without' gender markers	With	With	Without	With	Without	With
Represents both tracks of the twin-track approach	WE	GE	GE	GE	GE	WE

2.2 Although four out of six interventions were gender-marked Policy Information Marker (PIM), this did not prevent the evaluation team (ET) from looking at components within the gender-marked programmes that were without GE explicit goals.

Approach and Methodology

2.3 DFIDN's programme is currently 100% project aid and hence no variation in aid modalities could be evaluated.

2.4 For further presentation of the specific interventions please see sub-section 5.1.

2.1.2 Data collection and analytical tools

2.5 Data collection was undertaken using the data sheets developed during the inception phase of the evaluation. The sheets address internal, external and international effectiveness dimensions of DFIDN's work with GE as well as logic models for addressing thematic issues. The data retrieved were analysed to answer the evaluation questions posed by the terms of reference (see Evaluation Framework - Annex 1). To the degree possible, plausible cause and effect linkages were analysed to understand the presence and absence of findings.

2.6 With regard to the measurement of results, impact and contributions, two sets of tools were used - the Change Assessment and Scoring Tool (CAST) and the Most Significant Change (MSC) tool. In Section 5 the CAST provides an overview of evidence of the type of changes that have occurred or are expected to occur. The CAST assesses these changes as negative changes, no changes / missed opportunities, expected changes and positive changes. The MSC, on the other hand, specifies the most significant changes that have occurred under each intervention. The changes captured reflect assessments by different stakeholder and beneficiary groups.

2.2 Participatory approach and institutional learning

2.7 A participatory approach was adopted throughout the evaluation mission in Nigeria with the view to utilise the outcome of the evaluation in the internal (DFIDN) institutional learning process.

2.8 A participatory *force field analysis* was carried out halfway through the mission. This exercise aimed at including the participation of DFIDN's staff in the analytical process through the assessment of negative and positive forces affecting internal and external dimensions, including DFIDN's partnerships for promoting gender equality. Further, staff members were asked to identify ways forward for each dimension. The process, which was facilitated by a staff member, resulted in a constructive interaction between the evaluation team and staff members. The process highlighted gaps and was used for triangulating findings. Participation of DFIDN staff in the field mission further contributed to sharing concrete experience of interaction with beneficiaries and of assessing GE impact, results and contributions in the field thereby broadening their understanding of GE in practice.

2.9 The experience of the Nigeria country case study demonstrates the value of linking an external evaluation process with an internal reflective one. This has been a key driving force behind the institutional learning process. Indeed, the participatory data collection process, the debriefing presentation highlighting preliminary findings, the first draft report and the follow-up

discussions with DFIDN following their comments to the draft report have been contributing to DFIDN's strategic gender planning process throughout the different stages of the evaluation process.

2.3 Limitations

2.10 Limitations of the study mainly relate to the level of detail and depth this evaluation is *not* able to reach for the following reasons:

- the broadness in scope of the terms of reference and limited time. As the country study covered three dimensions in the space of a two-week field mission, it was agreed and understood that the study could offer a broad overview rather than an in-depth analysis of the country context and the selected interventions' activities
- late provision of and flaws in the comprehensive documentation provided
- insufficient monitoring and evaluation (M&E) systems established and utilised, not least concerning gender sensitive indicators that regularly assess outcomes and impact

3 NIGERIA'S SOCIO-ECONOMIC AND POLITICAL ENVIRONMENT

3.1 With a total population of about 133 million (growing at a rate of 3% annually) Nigeria is the most densely inhabited country in Africa and the tenth most populous in the world³. It also has enormous political and economic potential, boasting a large economy (Africa's second largest), significant oil and gas production and reserves, agricultural and other natural resources and a relatively large pool of well-educated human talent. It is a distressing paradox that, despite this, Nigeria remains one of the poorest countries in the world; current data suggests that around 70% of the population is living on less than \$1 a day and life expectancy is around 43 years⁴. A major part of the responsibility for this failure is attributed to the poor performance of successive governments since independence in 1960 particularly the long periods of military rule, which progressively denuded the country of its wealth and institutions and left it politically isolated. However, with the return to civilian democratic rule in 1999 under President Obasanjo this situation is at last beginning to be reversed.

3.1 Political context

3.2 Nigeria is organised as a federation of 36 states (plus the capital, Abuja) and these are sub-divided into some 774 local government areas. Federalism has been used skilfully to embrace different and divergent interests into a national arrangement which provides considerable political and fiscal autonomy to the states (which receive approximately 50% of all the resources available to the federation). By the same token, the federal arrangement presents huge challenges for holding persons in state and local government accountable to a uniform reform agenda.

3.3 The advent of civil rule in 1999 brought hope that significant systemic changes would be possible - a promise that was largely unfulfilled until the second term of the Obasanjo government in 2003. The preceding years of military rule had cultivated a clientele class that benefited from its continuation, was largely male-driven and sustained diverting the country's resources to personal use and promoted an 'incumbency syndrome' where political activity became focused on the retention of power. Meanwhile, the failure to manage the economy (particularly the windfall available from oil revenue⁵) caused Nigeria to become progressively more indebted. This in turn reduced the level of social services and the livelihood opportunities of most Nigerians and increased poverty and conflict⁶.

3.4 Although some progress is now visible, the process is gradual and incremental. Indeed, the immediate effect of democracy was to generate more conflict at the heart of which lie political corruption and lack of transparency⁷. Nigeria remains rated by Transparency International as one of the most corrupt countries in the World⁸. The slow pace of change is

³ Medium variant projection from 1991 census.

⁴ DFID (2004) Nigeria's Country Assistance Plan (CAP), London : DFID.

⁵ About 70% of fiscal revenues come from oil. DFID (2003) DoC Headlines, Page 7.

⁶ The MDGR for 2004, for example, notes that Nigeria's debt service obligation in 2002 was over 5% of GDP, which was about three times the national education budget and nine times the public health budget.

⁷ World Bank (May 2003) Nigeria Strategic Conflict Assessment, Social Development Note No.11. Since 1999, internal conflict has resulted in over 10,000 deaths and 300,000 displaced people.

⁸ Transparency International placed Nigeria 132nd (out of 133) on its Corruption Perception Index 2003. (2004) Global Corruption Report, Page 224.

Nigeria's Socio-Economic and Political Environment

traceable to Nigeria's complex federal structure; varying commitment from states to the reform process; the politics of ethnic and religious identity which inform what is considered as politically acceptable; a high level of debt servicing; and the scale of systemic change required⁹.

3.2 Poverty reduction strategies, NEEDS and SEEDS

3.5 Available statistics on Nigeria's poverty situation make for stark reading. United Nations Development Programme (UNDP) ranks the country as 160th (out of 177 countries) in terms of Gross Domestic Product (GDP) per capita¹⁰ and its Human Development Index (HDI) rating is placed at 158th, reflecting the poor access to basic social services within the country. Poverty is high throughout the country with the highest proportion of poor people in the northwest and the lowest in the southeast¹¹. The 2004 Millennium Development Goal Report (MDGR) characterises Nigerian poverty as being deep and pervasive (rising from 28.1% in 1980 to 65.6% in 1996) and notes that Nigerian poverty is also precarious in terms of both income poverty and food poverty¹². It goes on to highlight eight major challenges facing Nigeria as it tackles poverty:

- poor access to employment opportunities
- inadequate physical assets, such as land and capital, and minimal access by the poor (especially women) to credit
- poor access to the means of supporting rural development
- poor access to markets where the poor can sell their goods and services
- low endowment of human capital
- destruction of natural resources, environmental degradation and reduced productivity
- poor access to assistance for those living at their margin
- lack of participation in the design, implementation and monitoring of development programmes

3.6 In its second term, the government of President Obasanjo has responded to the country's economic challenges by re-organizing its economic agenda through the infusion of a strong economic team that has made progress in the area of macroeconomic stability. The adoption of NEEDS, Nigeria's home-grown Poverty Reduction Strategy Process, is one of its far-reaching outputs. The major elements of NEEDS are:

- reforming government and institutions: involving civil service and institutional reforms and service delivery

⁹ DFID (2005) DFID's Drivers of Change Report, London: DFID, compares the scale of structural reform required to that required to undo apartheid in South Africa and communism in the former Soviet Union. DOC, page iii.

¹⁰ UNDP HDR (2005) - country fact sheet, Nigeria.

¹¹ Abridged version of NEEDS, page 20, Chapter 2.

¹² UNDP (2004) Nigerian MDGs Report, Page 9. The prognosis, however, is that the proportion of people living in poverty is expected to decline to 21.4% by 2015. Page 8.

- growing the private sector: involving de-regulation and liberalisation and infrastructure development; development of agriculture, industry/Small and Medium-sized Enterprises (SMEs), services, oil and gas and minerals; mobilisation of capital; regulatory frameworks and trade policy; and regional integration
- implementing a social charter: involving health and basic human needs, education, employment, poverty reduction, empowerment (including women's empowerment), participation and HIV/AIDS¹³

3.7 While NEEDS outlines an economic reform process, it also recognises the extent of the challenge '...despite great natural wealth, Nigeria is poor and social development is limited. If present trends continue, the country is not likely to meet the MDGs¹⁴'. NEEDS is complemented at state level by an equivalent process called SEEDS.

3.8 Progress towards the attainment of both NEEDS/SEEDS and the MDGs is intrinsically linked to changes in the use of oil resources, growth in the non-oil sector of the economy, the promotion of greater public accountability and the rebuilding of dysfunctional social services and infrastructure. However, although NEEDS goes beyond the conventional economic development framework to address the political economy of Nigeria, there are mixed views about its viability. Critiques from civil society point to the tangential link in NEEDS between the gains of economic reforms at the macro level and its expected outcome and impact on poverty reduction and social inequalities at the micro level.

3.3 GE within the boundaries of the economic and political environment

3.9 Women in Nigeria are regarded as being particularly disadvantaged. The country has a Gender-related Development Index (GDI)¹⁵ rank of 123 (out of 140 countries). Nigeria also performs relatively poorly in terms of gender empowerment measures (GEM)¹⁶.

3.10 The absence of women in major positions of power and decision-making is particularly striking. There is still a preference for males in leadership and public positions. The disparity is particularly apparent in the area of political representation where women constitute about 49% of the total population of Nigeria yet hold less than 5% of political and elective positions. In the 1999 elections, out of the 11,881 elective positions only 181 were won by women (1.62%). Of these, 12 were members of the 360-member House of Representatives while three were members of the 109-member Senate. This poor showing in the National Assembly improved marginally in the 2003 elections when 25 women got into the House of Representatives and another four were elected to the Senate.

¹³ UNDP (March 2004) Nigeria Country Development Profile, Page 5.

¹⁴ Abridged version of NEEDS, Chapter 2, Page 18.

¹⁵ GDI is similar to the more well-known Human Development Index (HDI) but captures inequalities in achievement between men and women.

¹⁶ Nigeria is ranked 145th (out of 162 countries) in terms of women legislators and 117th (out of 154) for the ratio of female earned income to male earned income.

Nigeria's Socio-Economic and Political Environment

3.11 Despite Nigeria's adoption of the African Union Solemn Declaration on Gender Equality in Africa and its commitment to the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW), the quality of its application at national and state level has been limited and often weak. This is exemplified in certain sections of the constitution that discriminate against women¹⁷.

3.12 Women's rights in Nigeria are further subject to discrimination especially in terms of property and inheritance¹⁸. The popular view is that this imbalance is due to socio-cultural determinants which establish women's domain as being in the private sphere where strong patriarchal bonds hinder their development. Women are also less literate than male counterparts (41% compared to 58% for men)¹⁹; more impeded by legal and religious practices (especially nomadic women, women in Purdah and women in rural areas), and lack in the type of socialisation that promotes self-confidence and voice to participate meaningfully in public spaces.

3.3.1 The institutionalisation of GE in Nigeria

3.13 The history of women's movements in Nigeria has developed in a fragmented manner. At the national level, gender equality was initially championed by the wives of Nigerian presidents and only later by the national machinery, non-state organisations and individuals. By the mid-80s, there was a responsive attitude from government to women's issues because of these champions – although feminist organisations were unhappy with the usurpation of the women's agenda and processes used by First Ladies which were not accountable.

3.14 The National Commission on Women emerged in 1989 and was upgraded in 1995 to a full Ministry for Women and Social Development²⁰. Complaints that the actions of the national machinery were not guided by a policy framework propelled the Ministry to act towards the adoption of a National Policy on Women in 2000 – the thrust of which was support for the alleviation of constraints to women's full integration in development processes. National and state authorities carried out several collaborative programmes. This included the mainstreaming of gender equality by establishing gender desks in line ministries/sectors which have subsequently been involved in policy formulation and review processes of other ministries. Other policy actions in which gender equality have been mainstreamed included those on Poverty Reduction, the Revised National Policy on Education (1998), the Social Development Policy 1989, Universal Basic Education (UBE) and Education for All. In contemporary Nigeria, women are thus periodically mentioned in relation to social sectors such as health and education, whereas their productive role, their participation in the national economy and their political contribution to society are largely unrecognised.

¹⁷ For instance, Section 26 discriminates against women in the area of residency rights; and Section 42(3) indirectly permits discrimination. In Chapter II (Sections 15, 17 & 18) they purport to create equal opportunities for men and women, but are actually non-enforceable. The same constitution has opened the space for the adoption of the Shari'ah criminal legal system with rules of evidence that have tended to weigh against women.

¹⁸ DFID (2003) Nigeria Poverty Analysis, Page 24 London: DFID.

¹⁹ UNDP. (2004) Nigerian MDGs Report, Page 25.

²⁰ Internal Publication of the Federal Ministry of Women Affairs, Abuja.

3.3.2 The challenge of meeting MDGs and improving GDI

3.15 At the policy level, it is now generally recognised that Gender Equality is strongly tied to national development and progress.

3.16 Although NEEDS intends to provide some leverage for gender equality principles²¹, in order for this to be effective it needs to take into consideration that Nigerian women generally lack access to land, credit/capital, labour and entrepreneurial skills. Since they tend to lack collateral, women have not easily obtained bank loans and have tended to rely on traditional cooperative systems ('esusu') to access trading funds. In the past, women-targeted development programmes like the 'Better Life for Rural Women', the 'Family Support Programme' and 'Family Economic Advancement Programme' used this medium to meet women's financial needs. However, sources indicate that less than 5% of the target beneficiaries were ever reached due to the low level of awareness amongst rural women and other structural problems associated with programme planning and implementation²².

3.17 Thus, beyond addressing gender discrimination in the economic sphere and in order to tackle structural inequalities at the root causes of poverty, efforts need to be made towards achieving women's control over resources and income of productive activities.

3.18 Increasing women's access to primary and secondary education (MDG3) will involve countering attrition in primary schools amongst girls. The Nigerian MDG Report's list of restraining factors provides a good indication of the overall scale of the GE challenge in this area, including: income-generating employment during school hours; direct schooling costs (uniforms, text books etc.); inaccessibility in rural areas; ill-health arising from poor sanitation, lack of potable water etc.; religious and cultural factors promoting religious schools; early marriage and teenage pregnancy.

3.19 The MDG Report for 2004 also highlights the need to strengthen the capacity of government to incorporate gender analysis into all spheres of planning and management – including the macroeconomic²³. Unfortunately, even in documents emanating from the Federal Ministry of Women Affairs, gender analysis is poorly captured and has not impacted significantly on the national policy environment. The lack of sex-disaggregated data hinders the development of a clear overview of the extent of the elements mentioned above. Information on women's incomes, livelihoods and resource constraints is generally insufficient. Deficiencies in information and analysis mean that actions taken to deal with poverty in the policy arena run the risk of remaining largely speculative.

3.20 It is against this background and national context that DFIDN's internal and external effectiveness in the approach to gender equality and women's empowerment is assessed in the following sections.

²¹ NEEDS intends that gender equality and the gender perspective be mainstreamed in the planning and budgeting processes while also ending discrimination in women's working status.

²² Williams, Stella (2001), 'The Feminisation of Poverty'. In Simi Afonja et al, 'Research and Policy Directions on Policy in Nigeria'. Ife: centre for Gender and Social Policy Studies, Obafemi Awolowo University.

²³ National MDGs Report 2004, Pages 12 & 28.

4 DFIDN'S INTERNAL EFFECTIVENESS

4.1 This section provides an analysis of GE in DFIDN's strategies and policies, human resources and performance and knowledge management. An analysis of DFIDN gender-marked expenditures and commitments can be found in annex 5.

4.2 To the extent possible, the team has sought to analyse the entire 10-year period as required. However, most of the analysis has had to focus on the latter part of the targeted timeframe which coincided with the establishment of the DFIDN country office.

4.1 Strategies and policies

4.3 This sub-section analyses the GE focus in DFIDN's country strategies as well as the gender mainstreaming strategy work in progress.

4.1.1 GE focus in DFIDN country strategies 1995-2005

4.4 The country activities for the period 1995-1999 were similar to a 'holding operation'²⁴ managed by the regional desk of Overseas Development Agency (ODA) /DFID in London with a small staff presence in Lagos managing a total of 19 projects and programmes. The country framework for this period could not be identified in either DFIDN or DFID Headquarters (HQ), hence the GE focus could not be evaluated. Nevertheless, DFID explicitly targeted women in this period by providing project support to women NGOs that mainly operated in rural areas. Capacity building and basic needs constituted their main focus areas.

4.5 It was only in early 2001 with the change of government in Nigeria that the DFID office in Abuja was established. The Nigeria Country Strategy Plan/Paper (CSP) 2000-02 for this first period did not explicitly target either GE or women's empowerment (WE) in its 3 principal strategic areas. HIV/AIDS, on the other hand, was both a main area (pillar) and the only cross-cutting issue²⁵.

4.6 The Country Assistance Plan for 2004-2008²⁶ was informed by two key studies: the 2003 Joint Inception Review (JIR) of DFID Nigeria Programmes and the Drivers of Change (DoC) study.

4.7 The JIR emphasised the need for more effective mainstreaming of cross-cutting issues in general as well as clearer conceptualisation, strategy and added value of gender in DFIDN's work²⁷. This recommendation led to the emergence of both GE and WE issues in the Country Assistance Plan (CAP) 2004-2008.

²⁴ Source: Mick Frost, First Secretary (Political) of the British High Commission.

²⁵ Nigeria CSP 2000-02 pp.11-14.

²⁶ The evaluation team has not had access to Interim CAP 2003.

²⁷ DFID (December 2003) Joint Inception Review of DFID Nigeria Programmes, London: DFID. A summary of findings and recommendations.

4.8 However, the DoC study – DFIDN's key background study informing not only the country programme framework but also the joint World Bank (WB)/DFID country partnership strategy – was gender-blind²⁸. An approximate number of 30 position papers were commissioned for the study – one of which was a scheduled but, for unknown reasons, never submitted paper on 'Gender in Nigerian society and structure'²⁹. As a result, the conceptualisation of poverty developed in the DoC is 'gender neutral'. Had the DoC incorporated gender as a parameter in its analysis, the study could have provided:

- a country gender and poverty analytical profile
- a sound understanding of the different and specific needs and rights of women and men living in poverty
- an entry point to include gender inequality within the DoC's broad and pertinent analysis of other social inequalities (including ethnicity, age and religion) and inequitable power relations
- gender issues as potential drivers of broader changes in structural inequalities at national, state and community level

4.9 This latest CAP was replaced in May 2005 by the joint World Bank (WB) (IDA) and DFID Country Partnership Strategy (CPS). However, as the CPS is informed by the same background study (i.e. the DoC), GE is dealt with in a peripheral manner with reference to GE as an issue to be mainstreamed across outcomes and partner interventions along with other cross-cutting issues such as environmental sustainability, conflict, HIV/AIDS, communication and capacity building and two broad references to MDGs and the Social Chapter of NEEDS³⁰.

4.10 In conclusion, while a first step was achieved towards the visibility of gender in the CAP, the *essentiality* of GE remains unclear at DFIDN's policy and strategic level. The manner in which GE is included in the CAP/CPS has led to a 'ghettoisation' of gender. This is evidenced by a lack of systematic integration of GE across the rest of the dynamic and rationale of the CAP/CPS documents. In other words, gender is mentioned as one of the various 'issues' to be mainstreamed across DFIDN programmes, but it is not actually mainstreamed in the various chapters and sections of the CAP/CPS. However, such 'ghettoisation' needs to be understood in light of a broader problematic at DFID's HQ level concerning overall policy coherence and the multiplicity of DFID's strategic approaches to the achievement of MDGs³¹. It is not clear to DFIDN staff whether the mainstreaming of gender is a mandatory/essential approach in reaching the MDGs or whether it is optional.

4.1.2 Gender mainstreaming strategy

4.11 In response to the JIR, which recommended the use of a *pro-active* rather than an *add-on* approach to mainstreaming through the development of an integrated mainstreaming strategy,

²⁸ Haymans, C and Pycroft C, (May 2005) Drivers of Change in Nigeria.

²⁹ List of scheduled DoC position papers.

³⁰ IDA/DFID Country Partnership Strategy 2005. Box 11.

³¹ See Synthesis Report for this Evaluation and DFID (2005) Policy Coherence Review, London (DFID).

DFIDN took the initiative in March 2005 to develop a phased strategy for the mainstreaming of cross-cutting themes. This focuses on: (i) gender and HIV/AIDS in year 2005; (ii) rights and conflict in year 2006; and (iii) environment in year 2007. Gender and HIV/AIDS were thus selected as the first cross-cutting themes to be launched in consideration of:

- staff available with relevant technical skills and focus within these cross-cutting themes
- the urgent need to focus on these interlinked themes if progress was to be made on poverty reduction goals

4.12 As a consequence of GE being prioritised among the cross-cutting issues to be mainstreamed, a gender working group was established on a voluntary basis led by the team leader of the Human Development Team at the time of the evaluation mission. The activities identified for the group for the year 2005 were as follows:

- gender mainstreaming in the log-frame of main programmes
- screening of all current projects and programmes from a gender perspective
- brief review of context - GE-related national strategies
- assessment of DFIDN from a gender perspective to identify opportunities for its strengthening
- development and implementation of three gender strategic plans for mainstreaming gender within the three teams

4.13 While DFIDN's launch of a gender mainstreaming strategy development process should be commended, the evaluation team is concerned with the overall phased mainstreaming process as this does not allow for inter-linkages *between* cross-cutting issues but may encourage compartmentalisation and further ghettoisation of each cross-cutting issue. For instance, HIV/AIDS prevention cannot be fully addressed without understanding the complexities of gender relations in a given society, nor its treatment without consideration of rights and social inequalities. In the same vein, conflicts cannot be analysed in isolation from human rights (notably women's rights).

4.14 In conclusion, at the time of the evaluation mission, DFIDN was in the process of actively undertaking a number of GE-related initiatives. The development of a Gender Mainstreaming (GM) strategy in DFIDN was thus running parallel to this evaluation which is expected to contribute to the GM process. Although it is too early for such initiatives to be assessed by this evaluation, they nevertheless reflect a genuine willingness on the part of DFIDN to include gender in its work and prioritise GE within the different cross-cutting issues to mainstream. It is to be hoped that this process will encourage further interlinkages between cross-cutting issues and the overall goal of poverty reduction and avoid 'compartmentalisation'/'ghettoisation' of cross-cutting themes.

4.2 Human resources

4.15 This section assesses the level of GE capacity and commitment by the DFIDN staff as well as the GE training provided.

4.2.1 Capacitated to driving GE

4.16 The human resource capacity for GM has been evaluated with regard to the quality (GE knowledge) and quantity (time) of human resources provided.

4.17 With regard to GE knowledge, the interviews with the staff present at the time of the evaluation mission produced limited evidence of knowledge of the DFID Target Strategy Paper 2002 on the poverty elimination and the empowerment of women and the Gender Manual³². This explains to a certain extent and with the exception of a few staff a general lack of 'corporate' understanding of GE concepts and policy objectives – as defined by DFID – and the lack of knowledge of GM tools as indicated in DFID's gender manual. While these are not the only available sources of GE knowledge - otherwise easily accessible via the internet - the lack of awareness at corporate level of the existence of a DFID gender-related TSP is a reflection of the lack of *clarity* of the status and the importance of internal gender strategies amongst DFID's staff.

4.18 Furthermore, such lack of awareness of the TSP might also have contributed to the difficulty that most staff experience in understanding the relevance and/or *essentiality* of GE to their current programming work and to perceive its added value in relation to the impact of programmes.

4.19 While all staff interviewed recognised that the process of GM is in principle the responsibility of all staff, in practice, staff tend to rely on the Social Development Advisor (SDA) who is expected to be responsible for the provision of gender expertise and guidance. To most staff members, this explains why so few of them have felt the need to actively pursue GE or sought to develop their GE competencies further (see sub-section 4.2.3).

4.20 Little data on the quantity of human resources allocated to GM were made available by the Country Office. However, judging from total head count and spending framework developments over time, DFIDN – in response to DFID HQ – is stretching an already strained human resource situation by doubling the size of spending frameworks coupled with a 10-15% downsizing of staff (between 2003 and 2005)³³. The spending framework is scheduled for a further 50% increase in size before 2007. The stretched human resources are the reason why DFIDN has decided to apply a phased approach to mainstreaming cross-cutting issues – the resources not being available for contemporaneous and inter-linked mainstreaming work (see sub-section 4.1.2).

4.21 In conclusion, staff members' understanding of the *essentiality* of GE in relation to DFIDN's various programming activities and other cross-cutting issues is deemed insufficient. This is partly a reflection of a general lack of gender knowledge and methods and partly a lack of

³² All interviews held from 22.08 to 26.08.05.

³³ Source: Head Corporate Services.

clarity as to the status and the 'corporate' importance of DFID internal gender strategies (Target Strategy Papers (TSPs)) amongst DFID's staff. This is most clearly evidenced by a general lack of awareness of the existence of the TSP pertaining to women's empowerment and poverty reduction, the existence of the DFID Gender manual and other general gender tools. As a result, GE is treated as an abstract concept isolated from the rest of programming work. Consequently, the office does not currently have sufficient gender knowledge and expertise for effective GM.

4.2.2 Committed to drive GE

4.22 Management – whether at HQ or country office level – is perceived by most staff members to play a very limited role as GE champions, as priority is often given to other issues such as macroeconomic reforms. In the country office, this has led to uncertainties as to how far to push the GE agenda in the context of alignment to national (state) priorities as experienced with regard to SEEDS benchmarking exercises (further explained in sub-section 6.2).

4.23 Instead, the key GE champions have typically been GE committed SDAs, project managers and other DFID staff with a strong inclination for social development. While individual champions are key to bringing GE issues forward, once the staff in question leaves the duty station or the organisation, there is a risk that GE falls back into invisibility, if not institutionally grounded.

4.24 However, with the formation of the GM team, DFIDN has taken a first step towards institutionalising GM within programming work. This development is further facilitated by the fact that DFIDN is organised in multidisciplinary teams – a structure which is conducive to GM. The future of the GM team is unclear once the country office moves on to the mainstreaming of the next cross-cutting issues.

4.25 In conclusion, while the GM team has recently contributed to the institutionalisation of leadership on GE in DFIDN, it is critical that it continues its mandate in order to ensure the effectiveness and continuity of the process of gender mainstreaming. Without the GM team in place, there would be little GE leadership left apart from the few and very committed staff.

4.2.3 GE training

4.26 Prior to 2004, there is no recollection by long-term staff members in the Human Resources department of any gender training conducted. In March 2004, Training and Staff Development Policy Guidelines were developed. These outline eligibility and application criteria for training but do not provide any information regarding corporate training needs. The Policy Guidelines were followed by a Training Needs Analysis (TNA) in February 2005 that applied a participatory approach by asking staff in collaboration with their immediate reporting officer to outline their learning goals. On the basis of the TNA, a Draft DFID Nigeria 2005 Staff Development Plan was developed listing prioritised training at an estimated total budget of app. £151,000. Only one member of staff identified so far a need for GE training namely the SDA.

4.27 In conclusion, GE training in DFIDN has not yet taken place for most staff to gain an understanding of the relevance of GE in their programming work and undertake subsequent

DFID Nigeria's Internal Effectiveness

actions as specified in the GM strategy across the various programmes. Further, the voluntary approach to gender training adopted so far has not *effectively* addressed the GE training needs in DFIDN.

4.3 Performance and knowledge management

4.28 This section assesses the adequacy of DFIDN performance and knowledge management systems for GE.

4.3.1 Performance management system

4.29 DFID's *global* performance management system, which along with spending targets drives the DFIDN agenda, is not perceived by DFIDN staff to provide sufficient incentives for gender mainstreaming efforts. The GE MDG targeting is limited to girls' education and maternal mortality and offers no incentives for GM outside of the social sectors.

4.30 DFIDN's *corporate* monitoring against indicators outlined in annual work plans and change forecasts was not made available to the evaluation team but may nonetheless hold relevant GE indicators. Interviews with staff, however, highlighted the lack of tangible GE end-targets as a key obstacle to the attainment of GE results³⁴.

4.31 With regard to reporting at *intervention level*, there has been very limited monitoring. The current monitoring system does not capture impact and lessons learnt beyond the delivery of outputs (see sub-section 5.4). This has unfairly limited institutional knowledge and learning processes with regard to impact in general but, most specifically, with regard to GE impact in particular and its relevance to poverty reduction.

4.32 Monitoring and evaluation work are currently undertaken by an external consultant focusing on how to improve the monitoring and assessment of impact throughout DFIDN programmes. It is unclear to the evaluation team whether GE concerns will be incorporated into this work.

4.33 In conclusion, there is little evidence of any particular incentives for GE work aside from the reporting against Public Service Agreements (PSA) targets. Currently, there is an opportunity for making them institutionally driven by expanding on the PSA targets outside the social sectors thus institutionalising GM in the existing performance management framework.

4.3.2 Electronic knowledge management systems

4.34 The team found that there was no electronic knowledge management system in place in DFIDN. The only current repositories for data are e-mail folders, staff's personal drives, paper files and the commonly shared G-drive. On the G-drive only one folder pertaining to gender was identified. This was at the regional office of Enugu, a DFIDN branch office from which a former DFIDN staff and gender expert was operating.

³⁴ Source. Senior Management Team.

4.35 DFIDN is, however, in the process of introducing a knowledge management system - QUEST - which is part of a global DFID initiative and which is to be scheduled to be rolled out in Nigeria by November 2005. QUEST will provide an opportunity for the development of a structure for knowledge sharing and also encourage Nigeria CO to (more efficiently) share its knowledge with other COs.

4.36 The macro file plan of QUEST has been developed at HQ (level 1 and 2) establishing classes for end-to-end business processes and processes of a generic nature. It remains to be seen whether the 'Continent or Portfolio for programme management' (level 3) and the 'Country or Sub-Portfolio for Programme Management' (level 4) will include classes for knowledge sharing on GE.

4.37 In conclusion, while DFIDN does not currently hold an electronic knowledge management system for GE, a new system – QUEST – is in process of being established and provides an opportunity for introducing GE knowledge sharing practices in the organisation.

5 DFIDN'S EXTERNAL EFFECTIVENESS

5.1 This sub-section analyses DFIDN's external effectiveness through three thematic areas and six selected interventions. GE has been analysed across the six interventions' overall purpose and strategic goals; approaches focusing on channels utilised³⁵, monitoring and evaluation and GE results, impact and contributions.

5.1 Interventions selected

5.2 The six selected interventions can be categorised into the following three thematic areas: Good Governance and Access to Justice (NGF and SJG), Sustainable Livelihoods/Pro-Poor Growth (ERAP and JEWEL), and Education (GEP and LPE). As illustrated in the table below, the six interventions also correspond to three key thematic areas of the CAP 2004-08, namely, social and political changes; pro-poor growth and human development (see also Table 1 in Section 2.1). The following sections discuss each intervention.

Table 2 Selected interventions for the GE evaluation and PIM markers

DFIDN thematic team and evaluation thematic areas	Selected intervention 1	Selected intervention 2
Social and political change team Good governance and access to justice	Nigeria Governance Fund (NGF) *	Security, Justice and Growth Programme (SJG) * (formerly entitled A2J programme)
Pro-poor growth team Pro-poor growth and sustainable livelihoods	Ekiti Rural Access Programme (ERAP)	Jigawa Enhancement of Wetlands Livelihoods (JEWEL)*
Human Development team Education	Extended Life Planning Education (ELPE)	Girls Education Programme (GEP)*

* Gender marked (PIM)

5.1.1 Good Governance and Access to Justice

5.3 The purpose of **NGF** was to support DFIDN's overarching aim of poverty reduction and achievement of the international development targets by supporting civil society and official bodies attempting to improve the quality of governance. The NGF has funded NGO and CSO projects that supported principles of good governance to hold the authorities to account and produce an enabling environment for the achievement of poverty reduction. This programme was managed by the British Council from 2000 until May 2005.

5.4 The overall goal of the **SJG** is to enhance access to and the quality of safety, security and justice for poor people. Its purpose is to support the development of a Nigeria-led justice sector reform so that pro-poor policies are implemented. The programme focuses on three components: Safety and Security, Access to Justice, and Growth. Until recently the programme has included support to the development of a sector strategy; improved coordination between members of the

³⁵ Throughout the report, the terms project/programme are used interchangeably.

criminal justice sector; penal reform; improved policing and security for communities and improved access to justice. The programme is implemented at federal and focal state level and also works with civil society. The British Council manages the programme which runs from 2001 until 2007.

5.1.2 Sustainable Livelihoods and Pro-Poor Growth

5.5 The aim of the **ERAP** is to improve rural livelihoods by providing improved access to economic and social services. The programme emphasises sustainability by working through six partner Local Government Authorities (who also contribute funds) and Local Village Communities. In particular, the programme seeks to address the concerns of local farmers whose access to social and economic services has been restricted by the lack of regular vehicular access to their communities. The programme runs from March 2004 until March 2006 and serves as a model for a wider World Bank/Federal Government rural access and mobility programme (RAMP).

5.6 The **JEWEL** project aims to protect and improve the livelihoods of poor people who rely upon the wetlands of Jigawa and neighbouring states in north eastern Nigeria. Past mismanagement of the wetlands has resulted in the invasion of the flood plain by typha grass that is unsuitable for grazing and prevents fishing. The project addresses this through (i) establishing and supporting coalitions of stakeholders in combating typha grass; (ii) flow proportioning at the wetlands level; and (iii) reliable data generation for stakeholders at the river basin level. The project runs from November 2003 until October 2006.

5.1.3 Education

5.7 The **ELPE** aimed at improving sexual and reproductive health of adolescents in Oyo State as a model for national replication. Its purpose was to improve sexual and social behaviour and the utilisation of appropriate services by adolescents in target communities of Oyo State. 131 out of 327 public secondary schools in Oyo State were involved from 1999-2003. LPE was taught by project-trained teachers in combination with a system of 'peer educators'. The Association for Reproductive Family Health (ARFH) was the main implementing partner together with State Ministries of Education and Health.

5.8 The **GEP** provides DFID assistance, through UNICEF and alongside other donors, to the development, coordination and implementation of an inter-sectoral girls' education initiative in northern Nigeria. The goal of this collaborative initiative is the achievement of the education and health MDGs in Nigeria – particularly the attainment of gender equality in education. The purpose is to improve the quality of life of girls in Nigeria through a collaborative, inter-sectoral approach to girls' education. The project focuses on six northern states and covers the period 2004-07.

5.9 Please see Annexes 3 and 4 for DFIDN's organisational diagram and a map of Nigeria (also showing the location of the interventions examined).

5.2 Focus

5.10 In the following section, an analysis is presented outlining the extent to which the selected six interventions contain a 'specific gender equality focus'³⁶. This has been addressed by the evaluation team through a review of concept notes, project memorandums, social appraisals and OPRs made available.

5.11 The table below summarizes a mapping of GE focus across the six interventions set against the activities on the ground.

³⁶ Terms of Reference, Section 5.2.

Table 3 Mapping of GE focus in interventions

Inter-ventions	Concept note	Social appraisal	Logical framework	Progress reports	OPR	Project completion report	Actual outcomes & activities
NGF	Not seen	Not seen	No LFA available but GE (WE focus) included in fund criteria	GE impact not assessed	GE impact not assessed	Not available	More limited than what was outlined in LFA due to alignment with new CSP which narrowed down the scope for addressing GE issues. Logical framework has not been revised.
SJG	Not seen	Thorough gender analysis undertaken from a rights perspective	No explicit GE focus in the original version of the LFA - under revision at the time of evaluation mission	Gender audit in the inception phase led to formulation of new GE outcomes - not yet integrated in the new LFA at the time of evaluation	Joint Inception Review specifically requesting to mainstream GE in LFA which then led to the gender audit	N/A	More extensive than what was outlined in original LFA due to new GE outcomes formulated. New LFA in the process of being revised at the time of the evaluation. It is expected that the GE outcomes as presented to the evaluator will be included in the newly revised LFA.
ERAP	Not seen	Brief mention of gender issues rather than a more comprehensive gender analysis	No specific GE focus	No specific GE focus	No specific GE focus	N/A	No reference to GE activities in project documentation, but identifiable GE practices on the ground.
JEWEL	Not seen	Brief mention of gender issues rather than a more comprehensive gender analysis	WE explicitly included both in the original and revised LFA under activities	Reference to Women Action Group activities in progress reports. Need for improved coverage of gender highlighted in Inception Phase Review (Nov 03)	Reference to WE issues raised following the inception review	N/A	More extensive than what was outlined in the original LFA with (limited) undertaking of WE activities. LFA has been revised.
ELPE	Not seen	Limited mention of GE and no comprehensive gender analysis	No specific GE focus	Repeated calls for inclusion of GE focus in programme documentation	Repeated calls for inclusion of GE in programme documentation	End of project evaluation concludes that the inclusion of GE focus is inconsistent	No reference to GE activities in project documentation but identifiable GE practices on the ground.
GEP	Not seen	Thorough gender analysis undertaken	GE - gender equality and girls' empowerment in particular included in LFA goal, purpose, activities and resources	Steering group minutes stress GM	N/A	N/A	Programme only launched in 2004 and therefore it is too early to evaluate GE impact

5.12 Regarding the selected interventions on *good governance/access to justice*, NGF originally had several explicit GE-related criteria for the selection of projects to be funded. Whereas the SJG original Logical Framework (LF) did not have explicit GE focus, it is expected that specific GE outcomes will be integrated in the newly revised version of the LF - in the process of being developed at the time of the evaluation mission. For the NGF, the initial WE focus of the fund was shifted to adapt to new priorities in DFIDN CSP 2001³⁷. As a consequence, 14 new themes were introduced with only one of them focusing on the '*role of women in improved governance, including increased political participation and rights awareness*³⁸'. This process diminished thereby the number and scope of GE-related selection criteria to grant project funding.

5.13 SJG had an independent gender audit commissioned early in the Inception Phase and as a result of the Inception Review³⁹. A gender strategy was commissioned in 2005 which led to the development of new GE outcomes by the programme. However, these are still to be incorporated in the new LF under revision. It is not possible, therefore, to draw out a clear cause and effect link between GE reflected at the social appraisal stage and its subsequent visibility in the programmes' original LF. This demonstrates that although social appraisals may include a thorough GE analysis – as in the case of SJG – it is not a sufficient step in itself, to ensure that GE is explicitly reflected in the programme's project memorandum and LF.

5.14 The selected interventions on *sustainable livelihood/pro-poor growth* show that neither ERAP nor JEWEL have explicit GE focus in their respective LF. In the case of ERAP, the project documentation is essentially gender-blind despite the fact that an analysis of the prevailing socio-economic environment would reveal that men and women have differing roles in the community and would therefore benefit differently. In JEWEL, gender differences are more fully recognised and empowering women is an explicit focus of the project – albeit one that is subsidiary and somewhat ill-defined.

5.15 In different ways, the selected *education* interventions demonstrate coherent cause and effect linkages between a specific gender analysis and GE focus in project design: ELPE has *no* gender analysis and there is no explicit reference to GE in ELPE's LF, while GEP drew out a thorough gender analysis at social appraisal stage and GE - gender equality and girl's empowerment in particular - is the project's overall goal and is thus, consistently reflected throughout the LF.

5.16 In summary, the findings do not show a regular pattern of GE as an 'explicit focus' in the interventions' respective LFs. Instead, the interventions show a broad range of scenarios that may be summarised as follows:

- a complete lack of explicit GE focus in the LFs of ELPE and ERAP
- some GE perspectives included in SJG (GE-explicit targeted outcomes yet to be incorporated in the LF under revision) and JEWEL (the inclusion of a few GE explicit activities)

³⁷ Nigeria Governance Fund Priorities (2001) paragraph 2) - Draft 3rd March.

³⁸ Nigeria Governance Fund Priorities (2001) paragraph 5) 9th Bullet Draft 8th March.

³⁹ DFID (2003) Access to Justice Inception Review, London : DFID.

- GE included as one of the explicit criteria for selection of projects to be funded in NGF and GE as an overall goal in GEP and reflected throughout the LF

5.17 The main reason for such irregular patterns of GE visibility across programme and project cycles is the lack of a *holistic* and *systematic* approach to gender mainstreaming which would ensure a coherent set of results.

5.18 While including GE in projects and programmes key documentation is essential to ensure its visibility, it is not in itself sufficient to ensure that GE is carried out *in practice* as this depends on several other factors. Indeed, while other factors may have an influence on the *practice*, the original project documentation may not be sufficiently and systematically updated to reflect the changes on the ground. This is why the expected correlation between the programme documentation and *practice* could not always be verified and the findings show irregular patterns of GM as follows:

- interventions *with* GE-explicit focus (criteria) in the LF may not use GE sufficiently strategically in *practice* (NGF)
- interventions *with* new GE-explicit targeted outcomes (SJG) - although not yet integrated in the documentation as the LF was under revision - have resulted in visible GE *practices*. This is due to the programme manager's strategic approach in the use of GE partners and commitment to address social inequalities
- interventions *without* explicit GE focus in their respective logical frameworks nevertheless show identifiable GE *practices* (ELPE) due to other external factors such as gender training commissioned by committed DFID staff

5.19 In conclusion, the analysis of *GE focus* in DFIDN projects and programmes demonstrates that in the absence of a GM strategy GE issues have been addressed on an *ad hoc basis* and *unsystematically* across the selected interventions depending on the degree of commitment of the staff or project/programme manager involved.

5.3 Approach

5.20 This section analyses whether GE strategic approaches in the form of strategic channels and partnerships in particular - were utilised in the different interventions towards GE impact. The choice of instruments is not evaluated as the project modality is the only instrument being applied by DFID Nigeria at the time of the evaluation mission.

5.21 In the two *good governance/access to justice* interventions contrasting outcomes were identified in terms of strategic use of partnerships. Although the NGF programme had explicit GE criteria for the funding of projects, it missed the opportunity to use a GE strategic approach in the selection of partners. The tendering process resulted in a selection of isolated projects implemented by different partners that did not necessarily link together in terms of impact. Further, the tendering process did not ensure that all women's Civil Society Organisations

(CSOs) selected had legitimacy amongst the Nigeria population. The lack of a strategic use of partners reduced the potential of GE impact of the NGF.

5.22 In contrast, the SJG's management team, in a strategic move towards achieving greater impact, chose to work with NGOs and individuals that represent an actual constituency or hold a degree of legitimacy within civil society and are thus able to drive structural changes in general and GE structural changes in particular. Further, the programme was able to utilise high level political and public relation strategies to promote the visibility of women's rights challenges in northern Nigeria.

5.23 With regard to the *sustainable livelihood/pro-poor growth* interventions, ERAP does not have an explicit GE targeted approach nor does it make use of strategic GE channels while JEWEL includes women's NGOs as active participants.

5.24 Regarding the *education* interventions, the selection of UNICEF as implementing partner in GEP constitutes a strategic choice of partner that would have the required capacity to produce specific GE-related results. On the other hand, in ELPE a former staff committed to gender issues in DFIDN at the time deemed that the selected partner had little GE capacity and therefore addressed the gap by providing gender training of key personnel as part of the programme. As a result, this maximised the scope for targeting GE activities during project implementation.

5.25 The mix of channels/partners used by the DFID Nigeria office to work with GE for the six interventions evaluated can be summarised as follows:

- CSOs: SJG, NGF, ELPE and JEWEL
- women's NGOs that represent an actual constituency or hold a degree of legitimacy within civil society and are thus able to drive structural changes: SJG
- GE 'champions' - male or female individuals that are in the position and have the capacity to catalyse changes: SJG
- multilaterals and other bilateral donor agencies: in the role of participants in country dialogue fora, such as the Donor Coordination Gender Group, is further analysed in Section 6

5.26 In conclusion, the most strategic selection of GE partners at intervention level has been: a) GE champions (SJG) and b) women's NGOs that represent an actual constituency or hold a degree of legitimacy within civil society and are thus able to drive GE structural changes (SJG) or partner organisations with specific gender competence/mandate (GEP). An inadequately strategic selection of partners can be highlighted in interventions such as NGF and JEWEL resulting in missed opportunities to maximise potential GE impact while ERAP and ELPE did not select partners on a GE strategic basis. However, although the different interventions together cover a variety of GE partnerships, DFIDN does not yet have an overall coherent and strategic approach to GE partnerships which could help increase potential impact on GE.

5.4 Monitoring and evaluation

5.27 The assessment of GE (M&E) in interventions has been undertaken through a review of established indicators in logical frameworks as well as through an assessment of existing M&E systems with the objective of assessing GE *visibility*.

5.28 In the two selected *good governance/access to justice* interventions NGF did not have any GE-related M&E indicators against which it was to report and subsequent OPRs did not assess GE impact. As the GE-related outcomes have not yet been inserted in the LF under revision, the SJG programme had not yet reported on GE results on the ground. Nevertheless, the programme has collected highly relevant GE quantitative and qualitative data through a series of surveys and other research⁴⁰ which should provide a good basis for the development of GE-specific indicators to be included in the revised logical framework once it is finalised.

5.29 Within *sustainable livelihood/pro-poor growth* and even though gender was included in recent JEWEL's OPRs neither of the two interventions examined have developed adequate indicators for monitoring GE impact in the target communities, thus missing important opportunities for reporting on GE-related activities that are actually taking place on the ground.

5.30 Echoing the findings above, in the *education* interventions, very limited GE monitoring was undertaken in the ELPE project despite the fact that GE issues were repeatedly raised in several OPRs. The end-of-project evaluation concluded that 'While several ELPE stakeholders interviewed showed recognition of such concerns (the importance of gender power relations), and while some efforts had been made to re-orient gender expectations, it was clear that 'gender lenses' did not consistently inform ELPE strategies and approaches⁴¹'. In contrast, GEP's gendered logical framework has led to a monitoring system explicitly targeting GE, although progress reporting has not been undertaken so far as the project is still in its early stages⁴².

5.31 Beyond posing a *substantive* obstacle to assessing the GE progresses and related impact on the ground, the lack of GE monitoring clearly results in several missed opportunities. These include:

- documenting knowledge, experience, lessons learnt and results on GE, thereby leading to *invisibility* of results on the ground (all interventions except GEP)
- broadening the scope and depth with which programmes are being currently measured, in particular their differentiated impact on female and male beneficiaries in any thematic area (all interventions except GEP)
- using GE-related knowledge, experience and lessons learnt to inform current and future programming (all interventions except GEP)

⁴⁰ DFID (July 2005) Women's rights public survey; Widowhood rights survey Enugu State, London : DFID; DFID (2003) Human rights and accessible justice during the proceedings of IGWES-IN-Council in Enugu state, London : DFID; DFID (2005) Land rights of women and the poor in Jigawa state, London : DFID.

⁴¹ Expanded Life Planning Education Project, Oyo State, Nigeria. Report of an end of project external evaluation, 28th September-3rd October 2003, page 9.

⁴² DFID (2004) Girls Education Project, Project Memorandum, page 38, London : DFID.

5.32 In conclusion, for all the interventions evaluated, the current *monitoring and evaluation* applied did not encompass GE outcomes and impact M&E. This further contributes to the invisibility of actual GE results *in practice*, which in turn shows the limited importance attributed to monitoring GE impact and limits the scope for institutional learning and information sharing for future programming.

5.5 Contributions, achievements and results

5.33 As discussed above, the six interventions do not show a systematic correlation between the content of the respective project documentations and the actual *practice* in the field. In light of these contradictions, the evaluation could not systematically correlate GE contributions, achievements and results directly with indicators and activities described in the interventions' respective LFA, simply because these are often not updated to reflect the changes occurring in practice.

5.34 Instead, the evaluation used a set of indicators developed during the inception phase in the thematic logic models⁴³ and applied to them a combination of CAST and MSC participatory methodologies during the field mission. The table below therefore, lists not only indicators as described in the logic models⁴⁴ but also further identified changes by the beneficiaries themselves during the course of focus group discussions.

5.35 The table captures an indication of negative changes, no changes/missed opportunities, expected changes and positive changes identified in the six interventions. The evidence of contributions and results was collected through the conduct of MSC and CAST exercises with beneficiaries and stakeholder groups and triangulated by document reviews and observations.

⁴³ See this Evaluation Inception Report Annexes.

⁴⁴ The logic models were developed by the evaluation team upon request of and approved by DFID EVD. These logic models were especially tailor made for this evaluation - showing potential changes expected to be found during the field mission - see inception report approved annexes.

Table 4 Overview of evidence of GE contributions, achievements and results from identified changes observed in the field and anticipated results in inception phase

Evidence of identified changes observed from practice in the field and from anticipated results	Negative change	No change/ missed opportunity	Expected change but too early stage to assess	Positive change
Good Governance – NGF				
1. Women's participation as full citizens and in (strategic) decision-making positions in governance and political processes (Quantitative participation)		Lack of strategic use of NGF programme		
2. Women's needs, interests and rights reflected in government strategies, policies and plans (Qualitative participation)		Discussed in NGF forum but insufficiently targeted		
3. Knowledge of women's rights related to political participation and decision-making processes			Evidence on knowledge but failure to collect evidence of impact of forum and training pertaining to the increase of such knowledge as well as impact of documentation distributed	
Access to Justice – SJG				
4. Women's participation in justice reform process				In Enugu through CSOs and northern Nigeria through activities related to women's coalitions
5. Knowledge of women's rights			Expected in Enugu but failure to collect impact data beyond distribution of women's rights leaflets	
6. Women's legal empowerment and access to formal justice system - increased access to legal aid			Expected change	
7. Coherence of national legal framework and legislations with international women's human rights commitments			Expected for activities related to the Bill on VAW	
8. Elimination of discrimination in traditional norms and practices conflicting with women's human rights			Expected regarding activities around widowhood practices, land rights, domestic violence and interpretation of Shari'ah law	
9. Use of traditional justice systems/ norms/practices where they provide more accessible women's rights-oriented services			Expected from activities regarding pro-women's rights interpretation of Shari'ah law	
10. Adequacy of institutional resource to deal with sexual /gender-based violence (police stations, courts, other formal and informal institutions)		Not targeted		
11. Confidence and trust by women to report sexual /gender-based violence cases to the police or other formal and informal authorities.		Not targeted		
12. Reduction in level of sexual /gender-based violence			Expected outcome but specific activities need to be designed	
13. Women and men's mind-sets, roles and attitudes towards women's rights				In Enugu regarding widowhood rights and on women's coalition in north Nigeria

Sustainable livelihoods				
14. New opportunities and access to assets by poor men and women				Evident in both ERAP and JEWEL
15. Increased partnerships/ networks to support poor men and women's access to resources/ power				Interaction with local government and CSOs evident in both ERAP and JEWEL. In JEWEL this has had direct impact on GE.
16. Increased reflection of needs and priorities of poor women and men		Lack of sex-disaggregated baseline studies made GE planning imprecise		
17. Increased access to new infrastructure to improve the lives of poor women and men				Rural roads following ERAP are used by rural communities with variety of livelihood benefits. N/A to JEWEL.
18. Increased access to natural resources by poor women and men			JEWEL is promoting sustainable community management of water resources.	
Education				
19. Increased access to education opportunity for girls in difficult socio-cultural environments				GEP launched in northern Nigeria/ Working with the Islamia schools and establishing "girls only" schools to ensure girls education in these predominantly Muslim areas.
20. Constructive dialogue, change of mind-sets in formal and informal institutions for greater acceptance and commitment to provide education for girls				GEP is negotiating commitment to girls education with local governments, religious and community leaders, women leaders and parents in six northern states. GE policy dialogue and training with the Federal Ministry of Education (together with UNICEF).
21. Gender balance in employment opportunities in the education sectors				GEP has achieved gender balance within the newly recruited GEP coordinators.
22. Gender balance - reduction of the gap between boys' and girls' enrolment rates			Expected in GEP	
23. Increased girls' empowerment			Self-esteem, confidence for girls - expected in GEP	Self-esteem, confidence for girls - ELPE
24. Reduction of violations of girls' rights			Expected in GEP - in terms of right to education	ELPE chapters on gender roles and relationships, negotiation techniques (i.e. for safe sex) and sexual harassment included in the Life Planning Education Curriculum for Junior and Senior Secondary Schools ⁴⁵
25. Improved boys behaviour towards girls at school				ELPE improved gender relations in the schools.
26. Reduced incidence of undesired pregnancies and STDs including HIV/AIDS				ELPE

⁴⁵ Life Planning Education - A Curriculum for Junior and Senior Secondary Schools, Ministries of Education and Health, Oyo State in collaboration with Association for Reproductive and Family Health (ARFH), Ibadan, Nigeria.

- the opening of political spaces for women to networks where they did not previously exist. The Jigawa State Women's Network for Access to Justice is one of the highlights of the programme in terms of achievements given the socio-cultural context of northern Nigeria - and a pre-condition to placing women's rights on the state's political agenda

5.40 The identified achievements are ground breaking first steps, the impact of which cannot be yet evaluated but should be interesting to assess in the future. They can be attributed to (i) the strategic approach used by the programme management both in relation to the choice of partners; and ii) the overall commitment of the programme's manager to address social inequalities.

5.41 In terms of missed opportunities, there is a need for more targeted activities to address sexual and gender-based violence (SGBV). While the programme took the initiative to conduct a highly relevant domestic violence survey, it should have followed this up by improving the capacity of first instance reporting institutions (formal) such as the police and other traditional and community-based organisations (informal) to deal with SGBV cases.

5.42 The *sustainable livelihoods/pro-poor growth* interventions show that the most significant change is the improved access to assets made available to the poor men and women in the rural areas targeted. This was most obvious in ERAP, where the dramatically improved access to transport had increased their access to markets producing a variety of beneficial side effects. Women have benefited from these because they were included as beneficiaries of the programme.

5.43 In the case of JEWEL, the most significant change apparent so far, is the increased participation of women in decision-making processes – which is a direct outcome of the project. This allows improved opportunities to voice women's needs and priorities. Livelihood improvements are already beginning to be felt by both poor men and women where improved resource management has resulted in increased agricultural productivity. The project appears to have increased inter-community cooperation on natural resource management (which had previously been deficient) - although not all stakeholders are involved to the same degree. In the medium to long term, the project also offers potential to support skills and job training for women through local NGO resources.

5.44 None of the GE-related achievements and contributions found in the interventions related to *livelihoods and pro-poor growth* can be clearly attributed to a specific activity or approach except for the fact that both interventions had women and men as beneficiaries. The main missed opportunity in these interventions is the little effort applied in addressing the specific needs of women living in poverty in the rural areas. This is often derived from the absence of adequate sex-disaggregated baseline data and programming (especially in ERAP) which in turn makes GE monitoring difficult and restricts the potential for programme design and learning.

5.45 With regard to the *education interventions*, the team could corroborate the GE-related results and impacts explicitly highlighted in the ELPE end-of-project evaluation which included:

DFID Nigeria's External Effectiveness

- girls' improved self-esteem
- better negotiating skills for safe sex among adolescent girls
- improved gender relations in the schools covered by the ELPE-project
- a positive change in boys' behaviour towards girls
- increased sensitivity and respect from Life Planning Education teachers towards boys and girls
- increased awareness of sexually unacceptable behaviour towards girls among teachers
- reduced incidence of teenage pregnancies and a subsequent reduced drop-out rate for girls (also due to more post-pregnancy friendly policies in ELPE schools)
- chapters on gender roles and relationships, negotiation techniques (i.e. for safe sex) and sexual harassment included in the Life Planning Education Curriculum for Junior and Senior Secondary Schools⁵⁰.

5.46 Such results and impacts can be clearly attributed to the timely gender training provided by DFIDN to key project staff, which improved their gender capacity as indicated by the stakeholders themselves, but also to the fact that Life Planning Education as a subject in itself hinges upon gender relations. However, these results and activities remained largely invisible in the project documentation and logical framework as the latter was never updated to reflect these, despite the repeated calls for gender mainstreaming by the different OPRs.

5.47 Given the fact that the GEP only started in late 2004 it is too early to assess any impact as such. Nevertheless, the following contributions to GE can already be highlighted:

- the launching of the GEP is in itself an achievement given the socio-cultural environment in the six targeted northern states
- increasing commitment to girls' education by state governments, religious and community leaders, women leaders and parents in 6 northern states
- gender balance achieved among the newly recruited GEP coordinators
- more open and constructive policy dialogue on girls education with the Federal Ministry of Education (together with UNICEF)

⁵⁰ Information gathered via various interviews with students, peer educators, ELPE teachers, principals and school councillors in Oyo State as well as the End of Project Report and the Life Planning Education - *A Curriculum for Junior and Senior Secondary Schools*, Ministries of Education and Health, Oyo State in collaboration with Association for Reproductive and Family Health (ARFH), Ibadan, Nigeria.

- increased cooperation in predominantly Muslim areas, with the Islamia schools and establishing 'girls only' schools to ensure girls education and change of mind-sets⁵¹

5.48 The preliminary GE related 'results' are directly linked to the project's focus on the MDG related to girls' education. GEP is indeed the only project amongst the 6 interventions examined that establishes a direct cause and effect link between the project's documentation and GE results in practice. This is largely due to the correlation of several factors i.e. the design of the project LF, DFIDN's strategic choice of partners and the active promotion of GE through strategic dialogue with implementing partners.

5.49 All GE *results, achievements and contributions* identified so far are either addressing or expected to address several aspects of poverty in its *multidimensional* definition. Indeed, the evidence collected within this selection of intervention shows that GE - except for the intervention specifically targeting girls' education and the targets under MDG3 - is subsumed to other social and rights dimensions of poverty within the selected Governance/Access to Justice and Pro-poor Growth and Sustainable Livelihoods thematic areas.

5.50 In some cases, findings show that, while including gender-related information in the project *documentation* and a gender analysis at appraisal stage are important steps within the gender mainstreaming process, according to the DFID gender manual⁵² they are by no means sufficient to ensure GE is translated into *practice*.

5.51 Further, findings also show that in other cases, project *documentation* is not consistently updated to reflect GE *practices* in the field. This leads to the invisibility of a GE focus in logical frameworks. Consequently, many interesting *GE practices, results, achievements and contributions* which are usually the fruit of gender-committed development practitioners - whether project managers or DFID staff - remain invisible. As a result, such GE *practices* are not adequately utilised to inform and add value to current and future development programming processes.

⁵¹ Information gathered from interviews with the GEP project manager, Local State GEP coordinators from Jigawa state and minutes from a GEP Technical Steering Committee Meeting on 7th July 2005.

⁵² DFID (2002) Gender Manual: A practical guide for development policy makers and practitioners, Step 1 p.11, London: DFID.

6 DFIDN'S ROLE AND COMPARATIVE INFLUENCE IN COUNTRY-CONTEXT EFFORTS ON GE

6.1 This section evaluates DFIDN's influencing capacity at country and at intervention level in relation to GE issues by assessing its comparative advantages.

6.2 DFIDN's role and effectiveness have been assessed in the context of: (i) the work of the Donor Coordination Gender Group (DCGG); (ii) country level policy dialogue; and (iii) intervention level policy dialogue.

6.1 DFIDN's role at multilateral level

6.3 DCGG was established in October 2004 and currently holds a total of seven bilateral members, four multilateral and three NGO members⁵³. DFIDN has shown a genuine interest and commitment to promote GE issues at donor coordination level by joining the DCGG as a member and currently chairing the group.

6.4 DFIDN's chairing of the DCGG resulted in the coordination of the following ongoing and planned project areas to be implemented by the various members of the DCGG:

- *the Forum*: a resource website on which all the various activities related to GE and supported by the various donors will be viewed
- *coordination*: monthly meetings and support to the preparation of country reports and shadow reports for Beijing +10
- *research*: development of matrices/inventories of all gender-related activities supported by multilateral and bilateral donors for greater visibility and coherence
- *capacity building*: gender training for the executive, legislative, the judiciary and NGO partners. This project area aims at supporting the Federal Ministry of Women's Affairs (FMWA) and gender budget training for federal ministers. Training is also foreseen for FMWA on engaging more pro-actively with NEEDS/SEEDS and support to the development of gender strategies as well as piloting tools on engendering SEEDS in partnership with UNIFEM and Oxfam. It is important to note that this activity was foreseen at the time of the evaluation mission and not yet implemented by the multilateral agency and NGO cited above

6.5 DFIDN's comparative advantage was recognised by the majority of multilateral and bilateral donor agency members of the DCGG for its unique capacity to develop coherent and strategic analytical frameworks. There was an explicit reference to DFIDN's DoC analysis, which was recognised by the different partners as a key analytical framework and a substantive contribution to innovative development assistance in Nigeria. DFIDN's comparative advantage

⁵³ *Bilaterals*: DFID, BC, CIDA, the French, Belgian and Japanese Embassies and USAID. *Multilaterals*: UNIFEM, UNDP, WB and the EC. Other Nordic Plus bilateral agencies are not currently present in Nigeria. *NGOs*: Save the Children UK, Catholic Relief Services, and CEDRA.

DFIDN's Role and Comparative Influence in Country-Context Efforts on GE

was seen not in terms of specific gender expertise but rather in terms of general analytical and coordinating skills that can positively contribute to the coordination of the DCGG and the development of gender analytical matrices. However, given DoC's popularity amongst donors as an analytical tool, if DoC had been gender mainstreamed DFIDN's specific contribution to GE would have been more substantial. Nevertheless, DFIDN points out that a gathering of gender champions in Nigeria found DoC very useful despite its 'gender blindness'.

6.6 Amongst the DCGG members it is recognised and accepted that Canadian International Development Agency (CIDA) having the strongest capacity and expertise takes the lead in championing GE. Members' views coincided with DFIDN's staff views that capacity and activities should complement each other. While CIDA may feel more apt to champion GE upfront, DFIDN contributes to GE in what it feels it can bring in terms of its comparative advantage and added value as highlighted above.

6.7 In conclusion, DFIDN has shown interest and commitment to promote GE issues at donor coordination level by joining the DCGG as a member and currently chairing the group. DFIDN's *comparative advantage over other donors* lies in its ability to develop general analytical (macro) frameworks. Such analytical skills have contributed to the effective coordination of the DCGG and to the development of gender analytical matrices, in which other donors with stronger gender expertise have taken the lead. While chairing the DCGG is, in itself, a sign that DFIDN is engaged in promoting GE, DFIDN remains keen to bring added value and complementarity to other donors' expertise in this field - and not necessarily taking the lead in championing GE as such.

6.2 GE in country level policy dialogue at bilateral level

6.8 DFID – along with the World Bank – is one of the lead donors in terms of strategic dialogue with Nigeria on macro-economic development. DFIDN has made a significant contribution to Nigeria's successful debt relief by providing a major human resource input (estimated at 60% of the Head of Office's working time)⁵⁴. Furthermore, DFIDN enjoys a solid and fruitful strategic dialogue with the partner country on NEEDS.

6.9 However, there is no evidence that DFIDN is applying this advantage for introducing other socially-related issues, such as GE, in its bilateral strategic country dialogue at macro level:

- DFIDN, at bilateral level in its country strategic dialogue, could have seized the opportunity to raise GE as a relevant strategic approach to achieve the MDGs
- furthermore, the DFID co-sponsored SEEDS benchmarking exercise did not include the proposed GE issues due to resistance from State counterparts

6.10 In conclusion, and in terms of DFIDN's influencing role at bilateral level vis-à-vis the *partner government*, there is a hesitation by DFIDN to champion GE upfront. This is a reflection of DFID's lack of clarity as to the *essentiality* of GE in the context of a bilateral strategic policy dialogue on macro-economic development, which is further evidenced by the status of GE in DFIDN's key country strategic and analytical documents - CAP/CPS and DoC.

⁵⁴ Interviews with Management and TLs, Abuja 24-26.08.05.

6.3 GE in policy dialogue with government counterparts at intervention level

6.11 Significant dialogue with government counterparts on GE was undertaken by DFIDN's staff responsible for education with the strong political collaboration of the Ministry of Education. This resulted in the promotion of Girls' Education in northern Nigeria.

6.12 There is also evidence of GE policy dialogue contributions within the *good governance/access to justice* interventions. The SJG programme has maintained an intensive dialogue with state counterparts in raising quite sensitive issues related to domestic violence, women's rights pertaining to access and control of land and widowhood rights. The SJG programme opened and nurtured a dialogue with both formal and informal governmental authorities – such as states and local governments, traditional leaders and religious leaders on such GE issues. The NGF British Council project team contributed to a dialogue with national counterparts on Beijing's 12 thematic areas as outlined in sub-section 5.5 above.

6.13 For the two selected *sustainable livelihood* interventions no evidence was found of specific GE policy dialogue with local authorities and State counterparts.

6.14 At *intervention* level, DFIDN has succeeded in having targeted influence on GE through the selected programmes within the thematic areas of education and good governance/access to justice. With regard to sustainable livelihood/pro-poor growth interventions, there was no evidence found on specific GE dialogue with local authorities and State counterparts.

6.15 In summary, whereas DFIDN's overall strategic country dialogue could have benefited from a greater GE focus, DFIDN remains more open to nurture strategic dialogue pertaining to GE at intervention level and through donor-coordination activities.

7 CONCLUSIONS

7.1 This section presents the main conclusions in relation to the three dimensions analysed. The evaluation questions in the terms of reference are integrated in line with the attached evaluation framework in Annex 1.

7.1 Internal effectiveness

7.2 At the time of the evaluation mission, DFIDN was in the process of actively undertaking a number of GE-related initiatives. The development of a GM strategy in DFIDN was thus running parallel to this evaluation which is expected to contribute to the GM process. Although it is too early for such initiatives to be assessed by this evaluation, they nevertheless reflect a genuine willingness on the part of DFIDN to include gender in its work and prioritise GE within the different cross-cutting issues to mainstream. It is to be hoped that this process will encourage further interlinkages between cross-cutting issues and the overall goal of poverty reduction and avoid 'compartmentalisation' of cross-cutting themes.

7.3 One of DFIDN's most remarked contributions to the poverty reduction agenda in Nigeria has been the development of an analytical framework that seeks to tackle structural inequalities at the root causes of poverty. The DoC study has thus been the main country analysis informing the CAP and CPS. Although DFIDN commissioned a gender study to be included amongst the many studies that were carried out in order to develop the DoC, for unknown reasons the gender study was never carried out. As a result, DFIDN missed an important opportunity to make the linkages between GE and poverty reduction at the heart of its policy and strategic analytical level by not considering and understanding gender inequalities as *integral* and *essential* parts of structural inequalities.

7.4 Consequently, while a first step was achieved towards the visibility of gender in the CAP, the essential nature of GE remains unclear at DFIDN's policy and strategic level. The manner in which GE is included in the CAP/CPS has led to a 'ghettoisation' of gender. This is evidenced by a lack of systematic integration of GE across the rest of the dynamic and rationale of the CAP/CPS documents. In other words, gender is mentioned as one of the various 'issues' to be mainstreamed across DFIDN programmes, but it is not actually mainstreamed in the various chapters and sections of the CAP/CPS. However, such 'ghettoisation' needs to be understood in light of a broader problematic at DFID's HQ level, concerning overall policy coherence and the multiplicity of DFID's strategic approaches to the achievement of MDGs⁵⁵. It is not clear to DFIDN staff whether the mainstreaming of gender is a mandatory approach in reaching the MDG or whether it is optional.

7.5 The lack of clarity with regard to the *essential nature of GE* at policy and strategic level is in turn reflected at DFID N's human *resources and organisational development level*. In particular, GE leadership, competencies and resources have not been adequately addressed. This is partly a reflection of a general lack of gender knowledge and methods and partly a lack of *clarity* as to the status and the 'corporate' importance of DFID internal gender strategies

⁵⁵ See Synthesis Report for this Evaluation and DFID, 2005, Sarah Ladbury, Policy Coherence Review.

Conclusions

(TSPs) amongst DFID's staff. This is most clearly evidenced by a general lack of awareness of the existence of the TSP pertaining to women's empowerment and poverty reduction, the existence of the DFID gender manual and other general gender tools. As a result, GE is treated as an abstract concept isolated from the rest of the programming work. Consequently, the office does not currently have sufficient gender knowledge and expertise for an effective GM.

7.6 Further, the current *performance management* instruments offer too limited an incentive for GE work by only targeting the social sectors.

7.7 Finally, with regard to electronic *knowledge management systems* the office currently does not have GE learning procedures in place.

7.2 External effectiveness

7.8 The analysis of GE focus in DFIDN projects and programmes demonstrates that in the absence of a GM strategy, GE issues have been addressed on an ad hoc basis and unsystematically across the selected interventions depending on the degree of commitment of the staff or project/programme manager involved.

7.9 The most strategic selection of GE *partners* at intervention level has been: a) GE champions (SJG) and b) women's NGOs that represent an actual constituency or hold a degree of legitimacy within civil society and are thus able to drive GE structural changes (SJG) or partner organisations with specific gender competence/mandate (GEP). An inadequately strategic selection of partners can be highlighted in interventions such as NGF and JEWEL resulting in missed opportunities to maximise potential GE impact while ERAP and ELPE did not select partners on a GE strategic basis. However, although the different interventions together cover a variety of GE partnerships, DFIDN does not yet have an overall coherent and strategic approach to GE partnerships which could help increase potential impact on GE.

7.10 For all the interventions evaluated, the current *monitoring and evaluation* applied did not encompass GE outcomes and impact M&E. This further contributes to the invisibility of actual GE results *in practice*, which in turn shows the limited importance attributed to monitoring GE impact and limits the scope for institutional learning and information sharing for future programming.

7.11 All GE *results, achievements and contributions* identified so far are either addressing or expected to address several aspects of poverty in its *multidimensional* definition. Indeed, the evidence collected within this selection of interventions shows that GE - except for the intervention specifically targeting girls' education and the targets under MDG3 - is subsumed to other social and rights dimensions of poverty within the selected Governance/Access to Justice and Pro-poor Growth and Sustainable Livelihoods thematic areas.

7.12 In some cases, findings show that, while including gender-related information in the project *documentation* and a gender analysis at appraisal stage are important steps within the gender mainstreaming process, according to the DFID gender manual⁵⁶ they are by no means

⁵⁶ DFID (2002) Gender Manual: A practical guide for development policy makers and practitioners, Step 1 p.11.

sufficient to ensure GE is translated into *practice*. Further, findings also show that in other cases, project *documentation* is not consistently updated to reflect GE *practices* in the field. This leads to the invisibility of a GE focus in logical frameworks. Consequently, many interesting *GE practices, results, achievements and contributions* which are usually the fruit of gender-committed development practitioners - whether project managers or DFID staff - remain invisible. As a result, such *GE practices* are not adequately utilised to inform and add value to current and future development programming processes.

7.3 DFIDN's role and influence in country-context efforts on GE

7.13 DFIDN has shown interest and commitment to promote GE issues at donor coordination level by joining the DCGG as a member and currently chairing the group. DFIDN's *comparative advantage over other donors* lies in its ability to develop general analytical (macro) frameworks. Such analytical skills have contributed to the effective coordination of the DCGG and to the development of gender analytical matrices, in which other donors with stronger gender expertise have taken the lead. While chairing the DCGG is, in itself, a sign that DFIDN is engaged in promoting GE, DFIDN remains keen to bring added value and complementarity to other donors' expertise in this field - and not necessarily taking the lead in championing GE as such.

7.14 In terms of DFIDN's influencing role at bilateral level vis-à-vis the *partner government*, there is a hesitation by DFIDN to champion GE upfront. This is a reflection of DFID's lack of clarity as to the *essentiality* of GE in the context of a bilateral strategic policy dialogue on macro-economic development, which is further evidenced by the status of GE in DFIDN's key country strategic and analytical documents - CAP/CPS and DoC.

7.15 At *intervention* level, DFIDN has succeeded in having targeted influence on GE through the selected programmes within the thematic areas of education and good governance/access to justice. With regard to sustainable livelihood/pro-poor growth interventions, there was no evidence found on specific GE dialogue with local authorities and State counterparts.

7.16 In conclusion, whereas DFIDN's overall strategic country dialogue could have benefited from a greater GE focus, DFIDN remains more open to nurture strategic dialogue pertaining to GE at intervention level and through donor-coordination activities.

Conclusions

8 RECOMMENDATIONS

8.1 In order to have a *meaningful* impact, GE needs to be understood as a strategic instrument for improving the effectiveness of DFIDN's response to poverty reduction and not merely perceived as an additional issue to mainstream. For this to occur, fundamental changes need to take place at i) policy and strategic level, ii) at organisational development level and iii) intervention level.

8.2 Elaborating on the recommendations of 2003 JIR (calling for a pro-active approach to GM) and DFIDN's paper on an approach to incorporating cross-cutting themes (calling for a change in thinking), the following *recommendations* attempt to provide practical and simple steps towards achieving an effective mainstreaming of GE across DFIDN's programmes and organisation. In order to obtain an effective GM process, it should be envisaged fully and coherently, as described in the DFID gender manual, as opposed to partially and inconsistently.

At policy and strategic level

In the short term, DFIDN should **finalise the DoC** by commissioning the GE study and revise the DoC accordingly. DFIDN should further ensure that any other country poverty analysis integrates a gender analysis. This would ensure that the linkages between poverty reduction and GE are made at the country analytical level.

In the medium term and as foreseen by the gender mainstreaming team, **GE action plans/strategies should be developed for each thematic team**. For each team GE related activities, outcomes and indicators need to be developed as well as explicit linkages between GE and all other cross-cutting issues.

In the long term and during the course of a foreseen revision of CAP/CPS, DFIDN should take the opportunity to rethink the CAP/CPS from a gender perspective based on the revised DoC and/or any subsequent country gender analysis and gender action plans developed.

At human resources and organisational development level

If GE is to become a strategic priority, any effective GM process would need adequate and supporting human resource and organisational developments. In the short to medium term all DFIDN staff members should have an adequate understanding of GE and how to mainstream gender in their respective fields, GE should be monitored within the current corporate monitoring systems to ensure incentive and the gender mainstreaming team should be institutionalised beyond its immediate mandate.

The foreseen gender action plans for the three teams should include the *organisational level* for each objective and activity and should specify a) who will be responsible for implementation and monitoring, b) how the implementation and monitoring are to take place and c) what, if any, organisational capacity is required to do this. There is a need to consider the organisational/internal implications of the foreseen gender action plans, as there is a risk that inadequate resources and capacity are allocated to implement and monitor such plans.

Recommendations

At practice and intervention level

In the medium term and in response to the recommendations of the JIR 2003, DFIDN in cooperation with the implementing partners should **revise the logical frameworks of the ongoing main programmes** to ensure *systematic* and *explicit* inclusion of GE outcomes and related indicators.

In the medium term, **DFIDN should establish a coherent strategy for the selection of GE channels/partners** in future programmes to ensure optimal GE impact.

Finally and in the medium term, DFIDN should systematise effective **monitoring of GM processes** to ensure that GE does not 'evaporate'. This could be done, amongst other, by consistently including GE in all ToRs of OPRs, Annual Reviews and Evaluations.

Annex 1: Evaluation Framework

Annex 1: Evaluation Framework

Evaluation framework

Evaluation Question	Analyses	Notes
EQ1 (a) : How have changes in the way DFID works (...) affected the approach to gender issues in DFID's work?	External effectiveness analyses (aid modalities) PRBS thematic study Western Balkans case study (regional working) International effectiveness analysis (policy dialogue and influencing)	Links to EQ2(a); EQ 2(b); EQ 6 (b); EQ 4(a).
EQ1 (b) : What evidence is there of what works and what doesn't in integrating gender in newer aid modalities and in different country contexts?	External effectiveness analysis PRBS thematic study India country case study	Thematic study will consider a variety of approaches to gender in SWAps and budget support in different country contexts
EQ2 (a) : What organisational structures exist to motivate and reward the achievement of gender commitments in programmes, in DFID and externally, and how have these changed over time?	Internal effectiveness analysis (strategic clarity, performance management)	
EQ2 (b) : Do DFID's current internal incentive systems reward compliance with gender policies or discourage gender-blind programming?	Internal effectiveness analysis (human resource development; performance management; knowledge management)	
EQ3 : What is DFID's role in the international effort to address gender issues? Given DFID's gender equality objectives, are there areas and contexts in which DFID has particular strength or advantage in addressing gender-related concerns? Are there areas of programming or contexts for gender programming in which DFID operates where others would have greater influence, capacity or opportunity, and could take the lead?	Country case studies – International effectiveness analysis (policy dialogue and influencing) Partnership thematic study	Links to internal and external effectiveness analysis
EQ4 : Has DFID used an appropriate mix of channels for addressing gender equality goals and is there adequate coherence and co-ordination between approaches?	External effectiveness analysis (partnerships) Country case studies Thematic impact evaluations (Good Governance/Access to Justice; Sustainable Livelihoods/Pro-Poor Growth)	Links to EQ3

Annex 1: Evaluation Framework

Evaluation framework

Evaluation Question	Analyses	Notes
<p>EQ5: Has the level of resources (funding, staff, and knowledge) for gender equality programming been appropriate to requirements to meet DFID's policy objectives?</p>	<p>Internal effectiveness analysis Gender analysis of DFID's portfolio External effectiveness analysis Country case studies Thematic impact evaluations (Good Governance/Access to Justice; Sustainable Livelihoods/Pro-Poor Growth.)</p>	<p>Links to EQ6</p>
<p>EQ6: How consistently and effectively does DFID use gender knowledge and experience to inform its programming? How effective are DFID's systems for knowledge sharing, for tracking processes of gender mainstreaming and women's empowerment, and for monitoring progress towards gender equality goals? How do these compare with international best practice? What changes does DFID need to make to improve its monitoring and lesson-learning on gender equality?</p>	<p>Internal effectiveness analysis (performance management, knowledge management) Thematic evaluations (resourcing and M&E)</p>	<p>Links to EQ1 – this in particular in regard to M&E of GEWE in budget support and SWAps</p>
<p>EQ7 (a): What has been the impact and contribution of DFID's policy and practice on UK, partner country and international targets for gender equality and women's empowerment goals?</p>	<p>External effectiveness analysis: results and impact Thematic impact evaluations (Good Governance/Access to Justice; Sustainable Livelihoods/Pro-Poor Growth)</p>	<p>Quantitative and qualitative assessment</p>

Annex 2: List of Persons Met

DFID CO Nigeria and Programme Managers		
Name	Title	Organisation
Peter Hawkins	Team Leader Human Development, Team Leader of Gender Task Force, Chairperson DCGG,	DFIDN
Matt Moris	Economic Adviser	DFIDN
Richard Butterworth	Assistant Governance Adviser	DFIDN
Alex Stevens	Assistant Governance Adviser	DFIDN
Sam Unom	Assistant Governance Adviser	DFIDN
Colin Clark	Head of Corporate Services	DFIDN
Oge Omeribe	Office Manager, Corporate Services	DFIDN
Helen Okeke	Administrative Assistant, Corporate Services	DFIDN
Dipak Mistry	Deputy Programme Manager, Human Development	DFIDN
Okey Eze	Personal Assistant to Head of Office	DFIDN
Tolulope Lewis-Tamoka	NGF Project Manager	British Council
Vince Del Buono	SJG Programme Coordinator	British Council
Jan Wimaladharma	Enterprise Development Also accompanied JB on ERAP field work	DFIDN
Lola Leigh	Programme Officer	DFIDN
Edward Idenu	Assistance Programme Officer	DFIDN
John Leigh	Health (and Education) Adviser	DFIDN
Mavis Owusu-Gyamfi	Team Leader, Pro-Poor Growth	DFIDN
Munirat Ogunlayi	Health Adviser and former project manager for the ELPE programme	DFIDN
Liz Gaere	Deputy Head of Office	DFIDN
James Zasha	Team Leader, Social Political Change	DFIDN
Aminata H. Maiga	Project Manager of the Girls Education Project (GEP)	Unicef
Collins Okeleke	Assistant Programme Officer	DFIDN
Hassan Bdliya	JEWEL Programme Manager	DFIDN
Adiya Ode	Livelihoods Adviser	DFIDN

Gender Donor Coordination Group (DDGG) , Abuja		
Name	Title	Organisation
Peter Hawkins	Team Leader Human Development, Team Leader of Gender Task Force, Chairperson DCGG	DFIDN
Ejiro Otine	Country Representative	CEDRA
Ram Shankar	Programme Specialist	UNDP
Kenna Owoh	Director, Programme Support Unit	CIDA
Tolulope Lewis-Tamoka	Governance Manager	British Council
Maryam Abdu	Project Manager	European Commission Representation
Raheemat Momoda	Programme Manager	European Commission Representation
Ajayi Ayo	Project Manger	Catholic Relief Services
Kiyomi Kaida	Gender Expert	JICA
Caroline Nicolson	Programme Development Manager	Save the Children UK
Vincent Lanoyé	Attaché de Coopération	French Embassy

Annexes

CSO Meeting, Abuja		
Name	Title	Organisation
Clement Nasah	Executive Director	Community Action for Popular Participation CAPP
Moru John		Action Aid Nigeria
Fehcis Ornbob		Civil Society Coalition on Education for All CSACEFA
Machill Maxwell Manidu		TMG

DFID CO Nigeria and Programme Managers		
Name	Name	Name
Yahaya Bawuro		Ministry of Environment
Jim Ackers	Head of Integrated Growth and Development	Unicef
Ibrahim Suleiman	Director of the Department of Social Mobilisation	Universal Basic Education Programme
Esther Usman Walabai	Gender Focal Point	World Bank
Key staff		Federal Ministry of Education (FME)
Mick Frost	First Secretary (Political)	British High Commission

ACCESS TO JUSTICE AND GOOD GOVERNANCE: NGF and SJG Stakeholders and Beneficiaries		
Name	Title	Organisation
Grantees and Beneficiaries – NGF		
Ada Agina Ude	Director, NGF Grantee	GADA, Lagos
Tijah Bolton	Programme officer, NGF Grantee	GADA, Lagos
Clara Olanrewaju Sarumi	First lady, Lagos State, Beneficiary	GADA, Lagos
Soji Akinyemi	Beneficiary	Project Development Initiative - GADA, Lagos
Bimbo Olayede	National Coordinator, NGF Grantee	Women's Optimum Development Foundation, WODEF- Media Agenda 2003, Lagos
Baweyoko Fabamise	Programme Officer	WODEF
Abiola Costello	Director, NGF Grantee	KIND - Young Women Leadership Programme, Lagos
Chioma Ogullegbu	Programme Officer, NGF Grantee	KIND, Lagos
Tohu Oyero	Finance / Administrator Officer, NGF Grantee	Legal Defence and Assistance Project - LEDAP
Leona Ebo	Legal Intern, NGF Grantee	LEDAP
SJG - Beneficiaries and Stakeholders- Dutse, Northern Nigeria		
Sadiq Ahmed Abubawar		Ministry of Land and Survey
Sadik Falali		Jahin, LGA
Abdulkadir Usman		Community Law Centre
Musa Imam		Community Law Centre
Aishatu Tsuma		Women Development initiative
Fatima Tallo		Jigawa State People Congress
Umar Muffammad		Ministry of Budget and Planning
Yushan Abubakar		State Council of Ulama
Suleh Umar		Ministry of Justice
Minkaila Abdullah		SMWASD Jigawa State
Uwani Ymusa		JIWNAJ
Furura Baffi		MWASD Jigawa state
Lawan Abdullali		Village Development Initiative
Halima Miko		NAWE Mairo
Hadiza Giwa		Jarda
Ainah Horahin		JIWNAJ
Lamura Jibo Musa		JIWNAJ

**PRO-POOR GROWTH AND SUSTAINABLE LIVELIHOODS:
ERAP and JEWEL stakeholders and beneficiaries**

Name	Title	Organisation
Eng. Yahaya Bawuro	Director	Floods & Erosion Control, Ministry of Environment
Shafiya Mohmamed	Permanent Secretary	Ministry of Women's Affairs
Oby Okivuonu	Assistant Director	Women's Affairs
Florence Omadara	ERAP Project Manager	Ado-Ekiti
James Kukoyi		DFID Office, Ado-Ekiti
J.A.O Ojo and other community beneficiaries (men and women, disaggregated)	Beneficiaries	Orungbedu, Nr Ido Ekiti
M.O. Ojo and other community members	Community members	Aba-Egira, nr Ido Ekiti
Joseph Babatunde Ilori	Chief Community Development Officer	SRRPIU (ERAP), Ado-Ekiti
Engr. Adu Dare	Local Govt Engineer	Ido Ekiti
T.A.Aina	Executive Chairman	Ido /Osi Local Government
Wale Bello	Permanent Secretary	Ministry of Agriculture, Ado-Ekiti
E.A. Mogaji		SWANN (NGO), Ado-Ekiti
Agatha Johnpaul		Global Hope (NGO), Ado Ekiti
E.O Okunmolale	Contractor	ERAP
V.J Egunjobi Afolabi	Contractor	ERAP
Muhammad J. Chiroma	Research officer	JWL project, Dutse
Jummai Garba	Member of Women's Action Group	JWL project, Hadejia
Ahhaji Ismaila Dawaki	Village Head	Guli
Malam Umalu Yuguda	Chairman	Farmers Association, Guli
Hajiya Gaji	Head of Women's Group	Guli
Malam Umara Likozi	Fisherman	Likozi Bridge, nr Guli
Isah Suleiman	Community Research Officer	Dutse

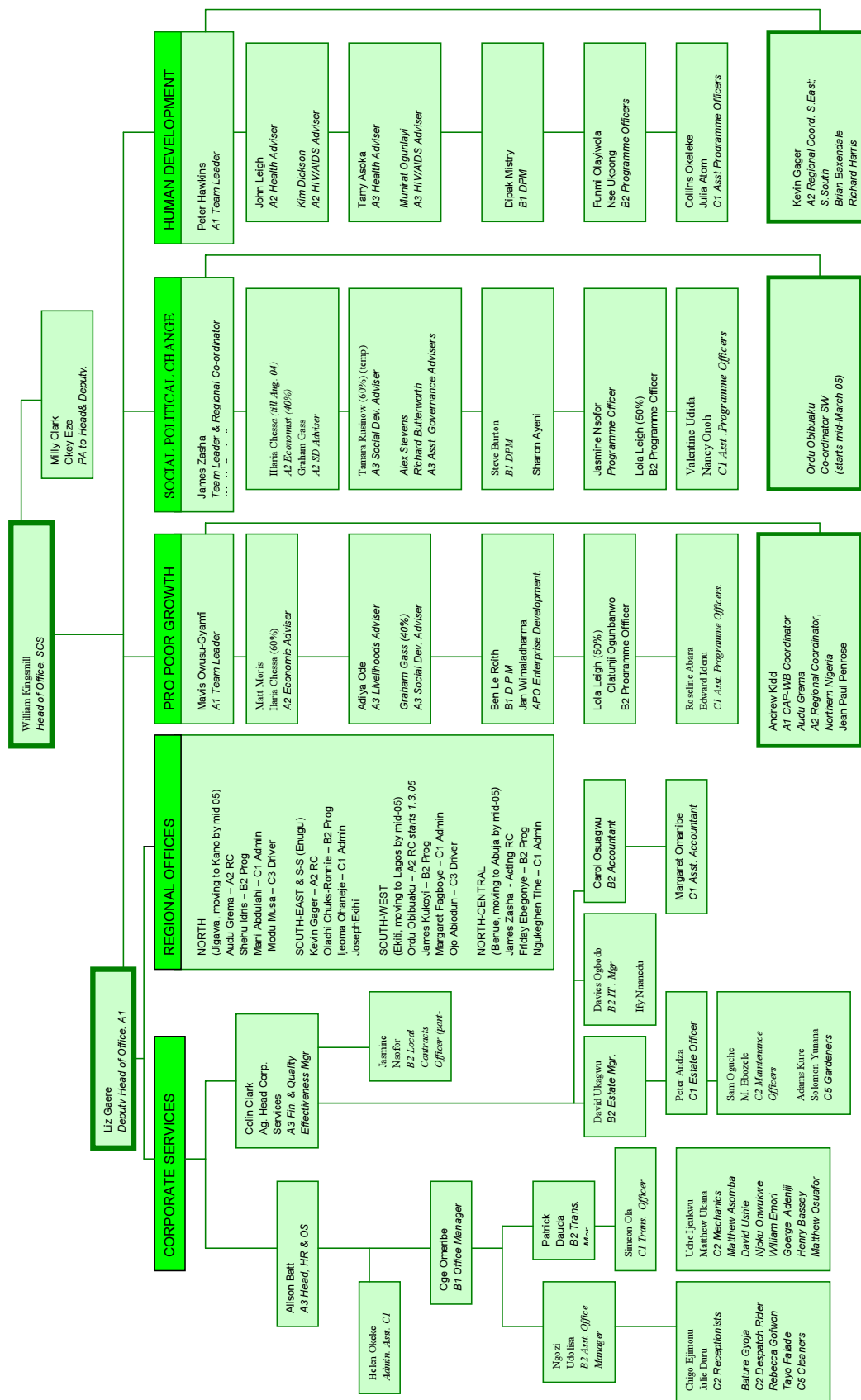
EDUCATION : GEP and ELPE Stakeholders and beneficiaries

Name	Title	Organisation
H.U. Abdullahi	DD (WSBE)	Federal Ministry of Education
Dicko Kalu	AD (ANFE-WSSBE)	Federal Ministry of Education
Loretta K. Ogbobilea	ACEO – GEP Officer	Federal Ministry of Education
Jim Ackers	Head of Integrated Growth and Development	Unicef
Aminata H. Maiga	Project Officer (GEP project manager)	Unicef
Ibrahim Suleiman	Director	Dept of Social Mobilisation, Universal Basic Education Programme
Professor Ladipo	Founder	ARFH, Ibadan
Kelinde Osinowo	ELPE Programme Coordinator and Training Manager	AFRH, Ibadan
Gbenga Elegbe	Senior Programme Officer (IEC)	ARFH
Banji Faromaju	Manager Youth programmes	ARFH
Funke Oloyede	Programme Officer, Training	ARFH
Professor Lawrence Adeokun	Director, Research, Monitoring and Evaluation	ARFH, Ibadan
O. Oyelakin	ELPE Coordinator	Ministry of Health, Oyo State
Lucy Eniola	LPE/HIV/AIDS Desk Officer	Ministry of Education((MOE), Oyo State
Sunday Ojewumi	M&E Officer/master trainer	LPE/HIV/AIDS Unit, MOE, Oyo State
B. Niyi Adeleke		Oyo State Post Primary Schools Teachers Service Commission (TESCOM)
Chief Femi Adesala	Principal	Loyola College, Ibadan
S.O. Ominiya	Vice Principal	Loyola College, Ibadan

Annexes

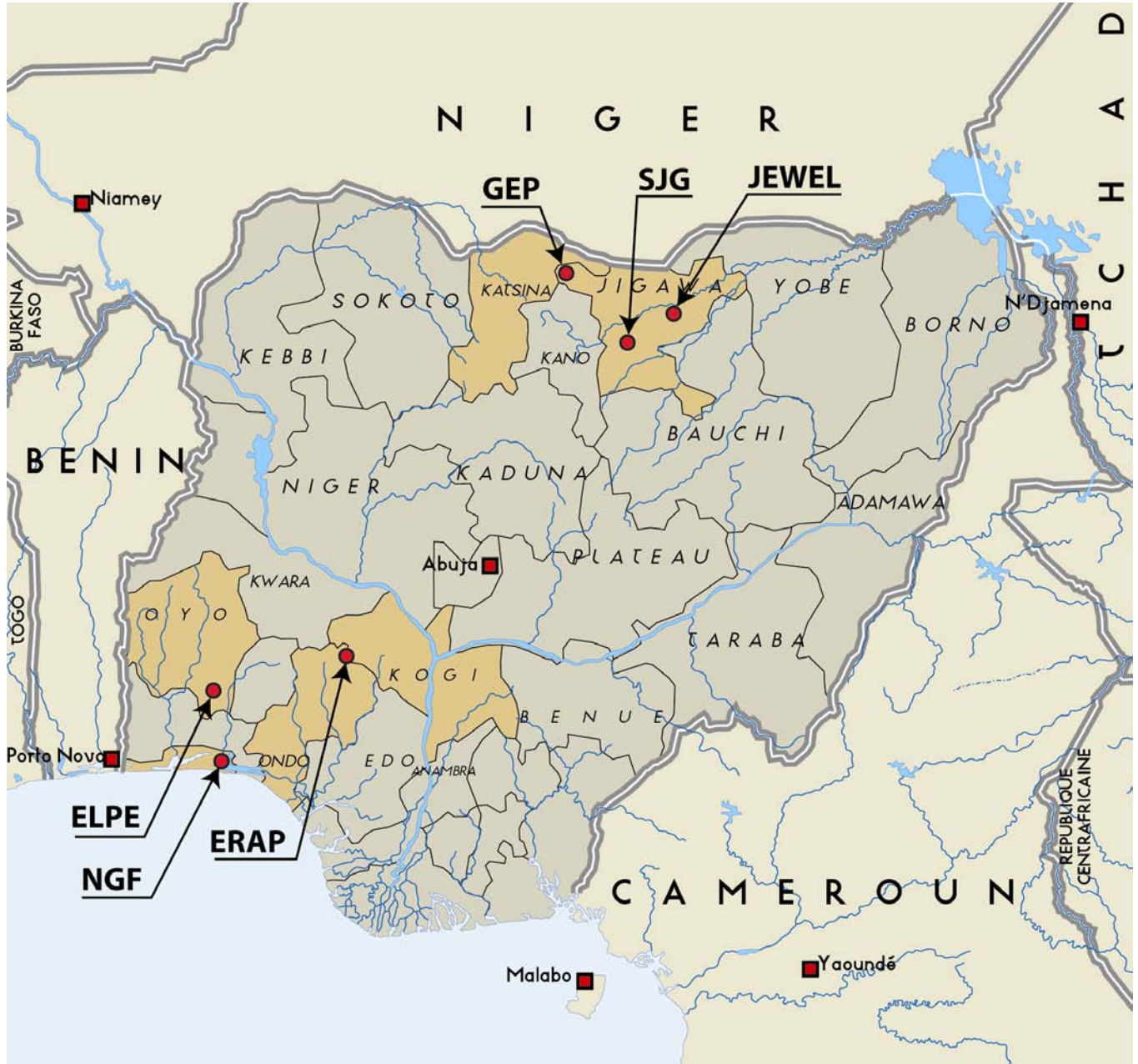
EDUCATION : GEP and ELPE Stakeholders and beneficiaries		
Name	Title	Organisation
Elhaji A.A. Amusat	Principal	Junior Moslem Grammar School, Odinjo, Ibadan
O.A. Ogunsola	ELPE Teacher	Junior Moslem Grammar School, Odinjo, Ibadan
Bello	School Counsellor	Junior Moslem Grammar School, Odinjo, Ibadan
Olabissi G. Oderinde	LPE Teacher	St Patricks Grammar School, Ibadan
Paul O. Bolatiri	LPE Teacher	Government College, Ibadan
O. Orija	LPE Teacher	Ikolaba Grammar School, Ibadan
C.O. Oyinwole	LPE Teacher	Ikolaba Grammar School, Ibadan
N.A. Akinsika	LPE Teacher	Ikolaba Grammar School, Ibadan
Mary A. Oyesola	LPE Teacher	Ikolaba Grammar School, Ibadan
A.B. Akintunde	LPE Teacher	Loyola College, Ibadan
Opeyemi Ojewumi	Former student, ELPE Peer educator	Queen School, Apata, Ibadan
Victor Famakimwa	ELPE Peer educator	
Olajide Yusuf	ELPE Peer educator	
Olajide Ajayi	ELPE Peer educator	
A. Habeeb Alabi	ELPE Peer educator	
Mr. Ade Akinmoladun	ELPE parent (and training consultant)	
2 focus group interviews with 16 girls and 16 boys	Students	Moslem Junior Grammar School, Odinjo, Ibadan
Lawan Yunusa Danzomo	Honourable Commissioner for Education	Jigawa State
Alhaji Musa Gambo Abdullahi	Director,	Teacher Training and Inspection Jigawa State
Alhaji Shehu Yusuf	Unicef focal point	Ministry of Education (primary), Jigawa State
Musa Muhammad Hadijia	Local State GEP Coordinator, Jigawa	
Abubakar M. Nashabaru	Local State GEP Coordinator, Jigawa	
Sani Harisu	Local State GEP Coordinator, Jigawa	
Hadjia Jummai Ali Kazaure	Local State GEP Coordinator, Jigawa	
Hadjia Anwahu Habiba	Local State GEP Coordinator, Jigawa	
Lami Danjani	Gender focal point	Ministry of Education, Jigawa State
8 women		Womens Centre, Kazaure
Mrs. Hauwa Lawan	Founder	NGO Girl Child Education, Kazaure, Jigawa State
Mallam Muhammanou Imam	Imam	Local mosque, Kazaure
Mallam Abdul Malik Ahmad	Opinion leader	Kazaure
Mallam Yahuya Imam	Opinion leader	kazaure

Annex 3: DFIDN's organisational diagram



Annex 4: Map of Nigeria

Annex 4: Map of Nigeria



Annex 5: Resourcing

8.1 Resourcing

The present Section provides a short review of the trends and developments in DFID's gender marked commitments and expenditures during the period 1995 - 2005, based on data provided by DFID's Statistical Reporting & Support Group applying the Policy Information Marker System (PIMS).

Methodology

PIMS provides a framework for marking DFID's projects and programmes in relation to key policy areas. The marker applied for tracking GEWE project and programmes is the Gender Equality (GE) marker. It is used for tracking commitment and expenditures for MDG 3 by applying:

- *principal* markers (P) for gender-specific activities, which are usually smaller projects, and
- *significant* markers (S) for gender mainstreaming activities, and for larger projects⁵⁷

As only few projects have been marked with a 'P', projects and programmes marked with a 'P' or 'S' have been merged into one gender marked category.

In the data analysis below, the following considerations have been taken into account:

- it is not possible to say how much of the commitments/expenditures would actually be earmarked to gender equality, as this is not separated out, given that this work is mainstreamed
- while the audit reviews both trends in commitments and expenditures, these two entities are not directly comparable as commitments cover the entire project/programme cycle and expenditures only disbursements in a given financial year.
- the commitment/expenditure data could underestimate the level of GEWE activities undertaken as PIMS markers are generally only applied to projects of over £100,000, thereby overlooking projects of smaller amount
- the registration in PIMS is done by DFID Project Officers based on the available project documentation, which can be subject to interpretation by the individual officers.

⁵⁷ The marker should be scored as *principal*, where the subject of the marker is a fundamental objective of the project, which would not be undertaken without this objective, or *significant*, where the subject of the marker, although important, is not one of the principal reasons for undertaking the project. DFID (2005an) *'The Pink Book' - Project Header Sheet Guidance incorporating Input Sector Codes and Policy Information Marker System*, London: DFID.

- The registration in PIMS is done by DFID Project Officers based on the available project documentation, which can be subject to interpretation by the individual officers.

Annexes

It should also be mentioned that all data is derived from PIMS and hence solely includes data on marked commitments/expenditures, even when they are referred to as commitments/expenditures in the analysis below.

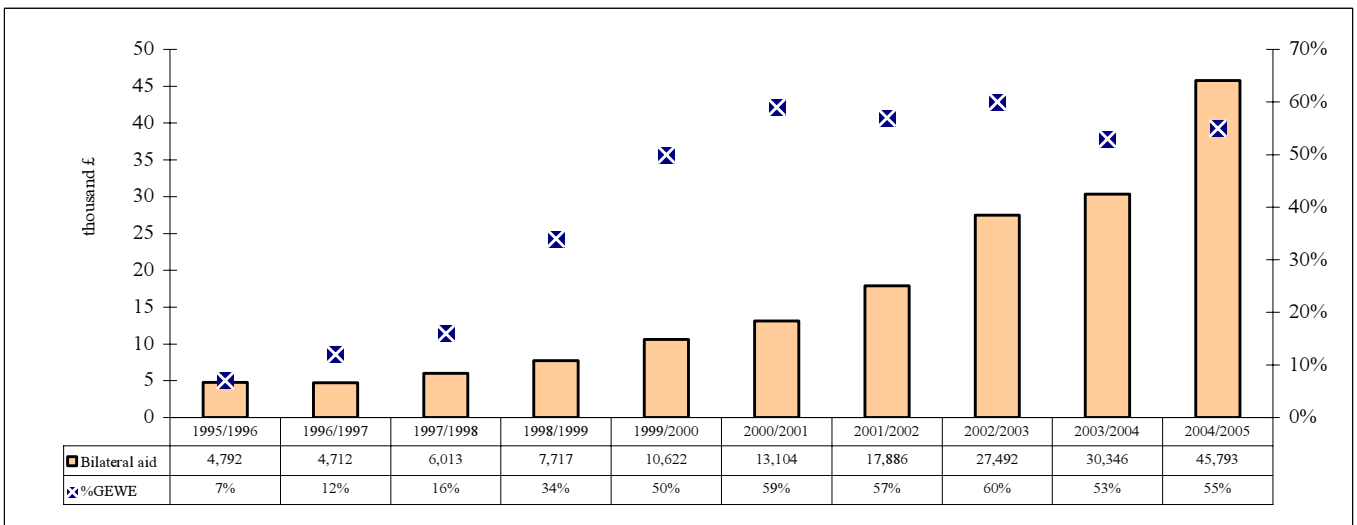
8.1.2 Review of GEWE marked data

The annual DFID aid expenditure to Nigeria stood at £45.8 million in 2004/2005, that is more than ten times its level in 1995 (£4.8 million) reflecting an assistance developed from a holding operation to a fully fledged DFID country assistance programme (see Section 4.1).

The increase in aid expenditures to Nigeria over the last decade was coupled with a steady increase in the percentage of total annual aid marked for gender equality, a rise from 7% in 1995 to 55% in 2005.

Chart 1 below shows the total expenditure per year for each year of the period 1995-2005 and the percentage of the total aid marked for gender equality by either a *Principal* or *Significant* marker.

Chart 1 Total aid expenditures (thousand £) and the percentage of bilateral aid marked for gender equality (%), 1995-2005



The percentage of total aid marked for gender equality adopted an accelerated growth rate over the last decade, particularly in the period between 1998/1999 and 2000/2001 to peak at 60% in 2002/2003. Since 2003, the percentage of expenditures on aid marked for gender equality began moderately falling but remained around 55%.

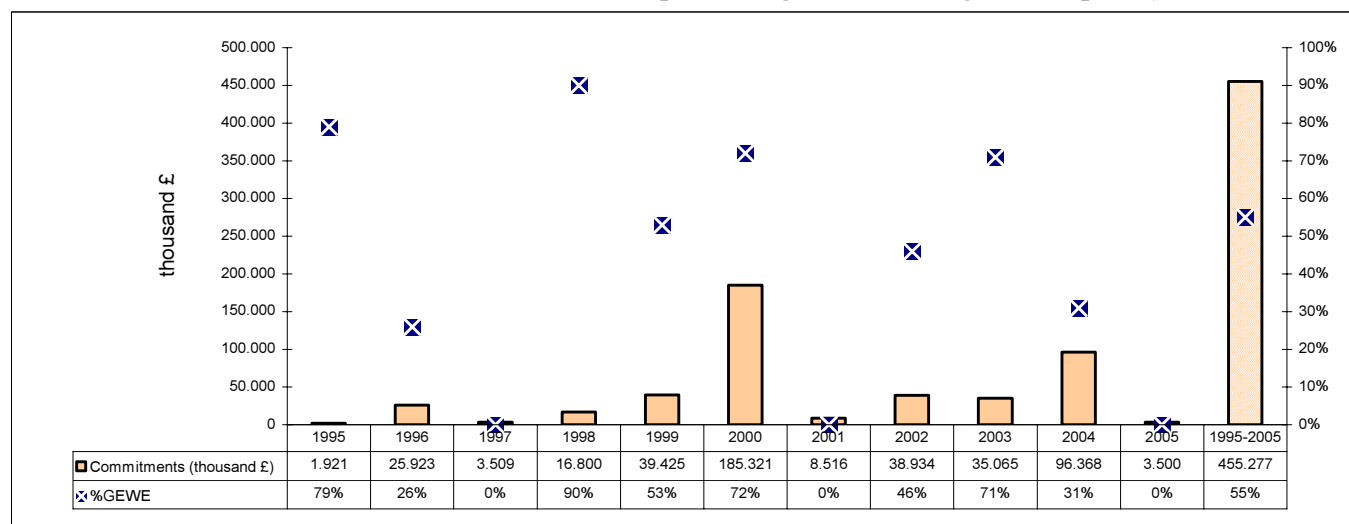
In parallel, total aid commitments for the period 1995-2005 have had an average percentage for GE of 55%. Chart 2 below shows a total aid commitment of £455 million for the period 1995-2005. It also reveals that 40% of this period's commitments were made in 2000 (around £185 million) and 21% in 2004 (around £96 million). The large commitments of 2000 are mainly

⁵⁸ Aid refers to both bilateral and multilateral aid.
⁵⁸ Aid refers to both bilateral and multilateral aid.

due to the launching of three large programmes of a budget exceeding £30 million per programme, namely the sexual and reproductive health for HIV/AIDS reduction (£52.8 million), PATHS (£39 million) and the justice programme (£30.1 million). In 2000, two main programmes were committed for, namely Health commodities (£30 million) and Girls' education Plus (£26 million). In 2004, two main programmes were committed for, namely Health commodities (£30 million) and Girls' education Plus (£26 million).

Chart 2 Total aid commitments (thousand £) and percentage marked to gender equality (%), 1995-2005

Chart 2 Total aid commitments (thousand £) and percentage marked to gender equality (%), 1995-2005



To examine the percentage of aid marked expenditures for gender equality by programme sector, projects were categorised into eight broad sectors: Economic, Education, Health, Governance, Social, Humanitarian Assistance, Rural Livelihoods and Environment⁵⁹.

Chart 3 shows aid expenditures across the range of broad economic sectors for the period 1995-2005 and the percentage of aid marked for gender equality in these sectors⁶⁰.

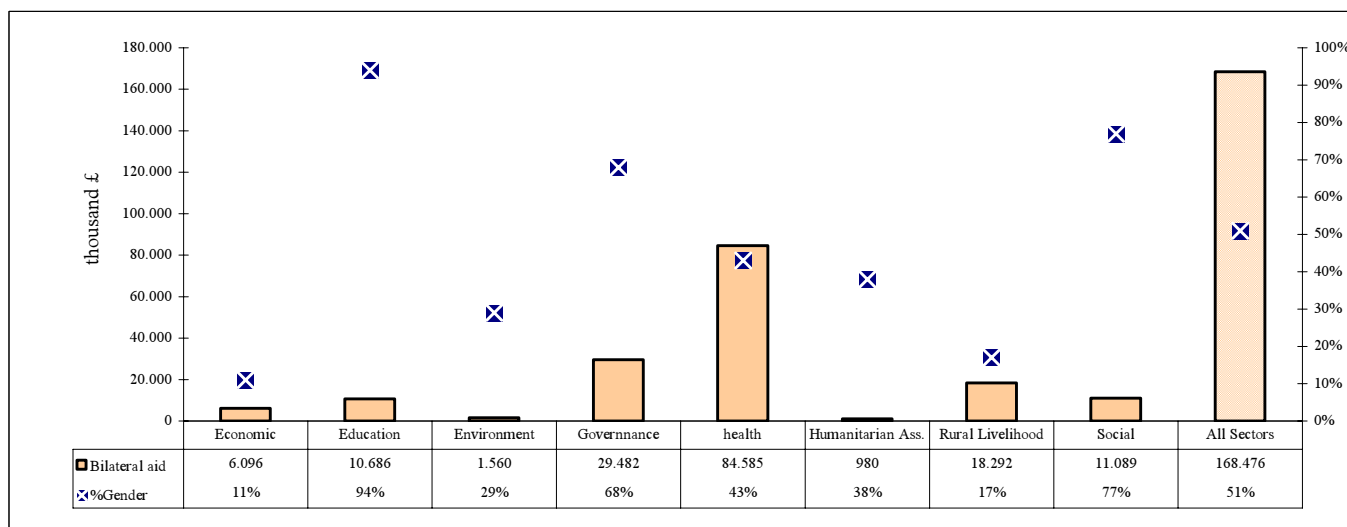
Chart 3 Total aid expenditures (thousand £) and percentage spent on gender equality by sectors (%), 1995-2005

⁵⁹ The social sector includes: Social policy, Strengthening civil society, Human rights, Social protection, Societal violence reduction, Shelter and housing, Water supply, Sanitation and waste control, Alternative development, and social research.

⁶⁰ Since October 2002, it has been possible to specify up to six sector codes each project to capture multi-sector projects. However, the broad sector categorisations based on the largest percentage to be spent in a sector by a multi-sector project is still recorded and used.

⁶⁰ Since October 2002, it has been possible to specify up to six sector codes each project to capture multi-sector projects. However, the broad sector categorisations based on the largest percentage to be spent in a sector by a multi-sector project is still recorded and used.

Chart 3 Total aid expenditures (thousand £) and percentage spent on gender equality by sectors (%), 1995-2005



At an average GE marked aid expenditures of 51% for all sectors for the period 1995-2005, the percentage of aid marked for gender equality is highest in the educational sector (94%), which ranks fifth in terms of total aid expenditures to Nigeria. The second highest is the social sector (77%) and third highest is governance (68%), which rank as number 4 and 2 respectively in terms of DFID's aid expenditures to Nigeria. The least GE marked aid expenditures are mainly in the economic sector (11%) and in the rural livelihood (17%) sector, which is the third largest recipient of aid expenditures.

In summary, GE marked expenditures and commitments have risen over the past 10 years to a steady level of 55%. In terms of GE marked expenditures for sectors education, social sectors and governance have the highest percentage of gender marked projects. However, as mentioned above, this conclusion does not lead to related conclusions regarding earmarked GE expenditures and commitments.

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DEPARTMENT FOR INTERNATIONAL DEVELOPMENT

EVALUATION REPORT EV669

**Evaluation of DFID's Policy and Practice in Support
of Gender Equality and Women's Empowerment:
Western Balkans Regional Case Study**

Volume II

**Niels Eilchow Olesen, Susanne Vedsted, Britha Mikkelsen
& Rikke Ingrid Jensen
August 2006**

APPR	Annual Plan and Performance Review
BiH	Bosnia and Herzegovina
CAP	Country Assistance Plan
CCA	Common Country Assessment
CEDAW	Convention on the Elimination of All Forms of Discrimination against Women
CHAD	Conflict and Humanitarian Affairs Department
CHF	Conflict and Humanitarian Fund
CIDA	Canadian International Development Agency
CO	Country Office
CPCS	Community Policing and Community Safety
CSO	Civil Society Organisation
CSP	Country Strategy Paper
CSR	Civil Service Reform
DDP	Director's Delivery Plan
DFID	Department for International Development
DoC	Drivers of Change
EC	European Commission
ECAD	Europe and Central Asia Department
EMAD	Europe Middle East America Division
EPPU	Economic Policy and Planning Unit
EU	European Union
FBiH	Federation of Bosnia and Herzegovina
FCO	Foreign & Commonwealth Office
GAD	Gender and Development
GDI	Gender Development Index
GDP	Gross Domestic Product
GE	Gender Equality
HDI	Human Development Index
HQ	Headquarters
IBHI	Independent Bureau for Humanitarian Issues
IDA	International Development Association
IOM	International Organisation for Migration
KFOR	Kosovo Force
KIPA	Kosovo Institute for Public Administration
KPS	Kosovo Police Service
KSP	Kosovo Social Protection Project
LFA	Logical Framework Approach
M&E	Monitoring and Evaluation
MDG	Millennium Development Goal
MIC	Middle-Income Countries
MICRA	Middle Income Country Resource Allocation
MTDS	Mid-Term Development Strategy
NAP	National Action Plan
NATO	North Atlantic Treaty Organisation
NGO	Non Governmental Organisation
ODA	Overseas Development Administration

Abbreviations

OHCHR	Office of the United Nations High Commissioner for Human Rights
OPM	Office of the Prime Minister
OPR	Output to Purpose Reviews
OSCE	Organisation for Security and Co-operation in Europe
OSCE/ODIHR	OSCE Office for Democratic Institutions and Human Rights
PAI	Public Administration International
PDP	Personal Development Plans
PIM	Policy Information Marker
PISG	Provisional Institutions of Self-Government
PPERP	Post Privatisation Enterprise Restructuring Project
PRSP	Poverty Reduction Strategy Papers
PSA	Public Service Agreement
RAP	Regional Assistance Plan
RS	Republika Srpska
RSSC	Reforming the Systems and Structures of Central and Local Social Policy Regimes
SDA	Social Development Advisor
SDP	Staff Development Plan
SEE	South Eastern Europe
SERC	Socioeconomic Regeneration Component
Sida	Swedish International Development Assistance
SSAJ	Safety, Security, Access to Justice
ToR	Terms of Reference
TSP	Target Strategy Paper
UNDP	United Nations Development Programme
UNGG	United Nations Gender Group
UNICEF	United Nations Children' Fund
UNIFEM	United Nations Development Fund for Women
UNMIK	United Nations Interim Administration Mission in Kosovo
WB	The World Bank
WE	Women's Empowerment
WID	Women in Development

EXECUTIVE SUMMARY

S1 The overall purpose of the Evaluation of DFID's Policy and Practice in support of Gender Equality and Women's Empowerment is to inform future DFID strategy by assessing the results of DFID's policies and programming on gender equality (GE) and women's empowerment (WE) and any consequent effects on poverty reduction. The Evaluation includes three Country/Regional Case Studies and three Thematic Studies.

S2 This regional case study of the Western Balkans targets Bosnia and Herzegovina (BiH) and Kosovo and includes three interrelated dimensions as follows:

- **DFID's internal effectiveness** through an assessment of the gender equality focus in DFID's key strategies and policies, human resources (capacity, commitment and training) and performance and knowledge management
- **DFID's external effectiveness** through two thematic areas¹ and seven selected interventions. The seven interventions are analysed concerning the overall purpose and strategic goal, financial resources, approach and channels utilised, monitoring and evaluation. It concludes with an assessment of results, impact and contributions in each selected intervention in respect of gender equality
- **DFID's role and comparative influence** in country-context efforts on gender equality

S3 Understanding the local context is vital for the analysis of DFID's development cooperation in general and for mainstreaming gender equality in particular.

Regional context

S4 After World War II and during decades of socialist rule, the Western Balkans made progress regarding gender equality illustrated by a high rate of female employment and affirmative action helping women enter into formal representative organs. However, restrictions on the open exchange of ideas made it difficult to raise controversial issues, among them radical feminist issues. These restrictions hampered the evolution of attitudes and behaviour that happened elsewhere.

S5 Extreme nationalism in the 1980s set gender equality back by introducing a new form of traditionalism; the female role was redefined away from 'working women' (productive role) towards 'mother of the nation' concentrating on 'family, home and maternity' (reproductive role). The wars of the 1990s reinforced traditional values but also gave women non-traditional responsibilities. Since the second part of the 1990s the countries of the Western Balkans have embarked on significant economic, political and social transition. Today, gender inequalities in leadership, decision making, employment, income generation and education remain a challenge in view of further European integration.

¹ Thematic areas: Good Governance and Access to Justice; and Sustainable Livelihoods and Pro-poor Growth and International Partnerships.

Executive Summary

Country context

S6 As DFID partners, both countries belong in the middle-income country category, which represents approximately 10% of DFID's total aid budget. Likewise, both countries are characterised by having gone from conflict to post-war reconstruction and development over the past 5-10 years. The countries are young and have relatively small aid programmes operating mainly through projects.

S7 Bosnia and Herzegovina and Kosovo are among the poorest countries in South East Europe. Unemployment is high (>20%) and women are particularly affected. As the war destabilised the roles of women and men, gender disparities in economic, political and judicial spheres are dramatic. In both countries there is an active women's movement which advocates for human rights and against the unfavourable economic position of women.

S8 In BiH, the establishment of gender centres marked an important milestone in the strategic approach to gender equality. Despite a well-developed legal framework to address gender equality goals, implementation remains weak. The political and economic agenda is focused on ethnic integration, macro-economic stability and the process towards the European Union rather than gender equality which is treated as an isolated additional task.

S9 Kosovar women have been active in efforts to enhance the status of women in all aspects of society and for greater integration of gender dimensions in the new institutions and frameworks established under the Provisional Institutions of Self-Government and United Nations Interim Administration Mission in Kosovo (UNMIK). Through these efforts several institutional mechanisms have been established to promote gender equality. Important institutional and policy achievements have been made, but they require continued national and international support for effective implementation in practice.

External effectiveness

S10 DFID has provided different types of assistance to the Western Balkans during the three phases of emergency, post conflict and transition to development. The current evaluation has primarily focussed on the development phase. Overall, DFID has no strategic clarity in regard to gender equality in so far as to translating DFID Headquarters (HQ) gender policies and instruments to the Western Balkans context. Indeed, the country offices have missed important opportunities for addressing gender equality and women's empowerment issues during all three phases of country/regional programmes. During the emergency situation in Bosnia and Herzegovina, gender equality was not part of the assessment criteria according to Overseas Development Administration (ODA) 'Guidelines on Humanitarian Assistance' (1994)². For the reconstruction and development phases, gender equality was only addressed as one dimension of social exclusion - as opposed to a crosscutting dimension - reflecting the limited importance attached to gender in DFID's strategies for Middle-Income Countries.

S11 The seven interventions assessed in Bosnia and Herzegovina and Kosovo are for the most part gender blind, i.e. devoid of attention to women's and men's different needs and

² Gender has since been included in DFID's Guidelines on Humanitarian Assistance (1997).

opportunities. Gender equality dimensions are consistently absent from project documents, indicators, monitoring systems and reports. Nevertheless, a couple of gender equality-related activities in the projects were undertaken mainly as a result of individual initiatives and flexibility that were built into the project design. In both BiH and Kosovo several opportunities for improving assistance in terms of involving and building on the resources of both women and men, by integrating gender equality dimensions within project planning and implementation, have been missed.

S12 Overall, DFID in the Western Balkans has been largely gender blind in strategy and programming from the emergency phase, through transition and into the current regional assistance phase. This is explained by: lack of clarity in translating HQ commitments into front-line programming, together with the absence of gender equality and women's empowerment goals in important HQ policies for Middle Income Countries (MICs), absence of incentives to work on gender, weaknesses in staff availability and commitment and knowledge of how to mainstream gender equality goals. Moreover, it is remarkable that DFID's strength in gender, emergencies and post conflict situations are recognised internationally but is poorly reflected in the Western Balkans programme. DFID's partnerships and interventions have incorporated gender perspectives only in the few cases where initiatives have been taken by implementers. The consequences for the programme are a number of missed opportunities both to address gender equality and to strengthen programme impact on poverty.

DFID's role and comparative influence in country-context efforts on gender equality

S13 The team did not find any evidence of a DFID influencing role in regard to the overall policy dialogue on gender issues in Bosnia and Herzegovina and Kosovo. Gender equality capacitating of staff as a prerequisite for the conduct of policy dialogue around gender equality issues had not been envisaged at the time of the visit.

Internal Effectiveness

S14 The lack of strategic clarity is reflected in the approach to gender equality in human resource instruments where the weak or invisible gender equality leadership, competencies and resources at HQ and at country office level have not been adequately addressed. Further, the current structure, where the HQ-based Social Development Advisor for Western Balkans who has competencies in the field of gender equality does not have a cross-cutting responsibility across projects, is a constraint to gender mainstreaming in the two country programmes.

S15 The overall performance management system for Europe Middle East America Division (EMAD) is gender blind, i.e. it does not include gender perspectives and lacks any element of gender equality-related targets or indicators which is again reverberated in the lack of incentives at the individual level. Further, the current Millennium Development Goal3 (MDG3) targets that DFID has adopted to guide internal performance do not capture the principal gender challenges of middle-income transition countries nor the gender equality issues pertaining to humanitarian emergencies. Hence it provides limited incentive for gender mainstreaming.

S16 The regional programme provides for sharing of knowledge through exchanges,

Executive Summary

workshops etc. but there was no evidence of gender equality knowledge sharing. This despite the lesson-learning objective of the Regional Assistance Plan (RAP) which could provide a framework for specific learning initiatives under the umbrella of aid effectiveness.

Lessons

Policy and strategy

S17 Understanding the regional and country contexts in which DFID's development cooperation takes place, particularly the increase in gender disparities over the last decade, requires an in-depth analysis of the region and the dynamics of change. In the absence of such analysis, gender equality goals are easily out competed by other issues which are perceived to be more important (e.g. ethnicity, economic growth, security etc.).

S18 Operating in an environment where national self-perception is coloured by a history of perceived gender equality requires that the international partner is well prepared to tackle the limited interest exerted by national partners which is likely to arise when an international partner aims to mainstream gender in all activities.

Design & implementation

S19 The evaluation shows that it is seldom too late to take gender equality issues into concern even if programmes have been designed with no explicit attention to gender equality. While missed opportunities cannot be redone there is ample reason not to go on missing opportunities. In both countries local constituencies, women's groups etc. are active and ready to get more involved in addressing gender equality goals.

Management

S20 While understanding the country context is essential, solid management initiative (HQ and country offices (COs)) and clear objective-setting within DFID's performance management systems and in the regional assistance plan are important factors in order to ensure that the gender equality objectives of DFID's corporate agenda are implemented.

Recommendations

S21 The two regional case countries Bosnia and Herzegovina and Kosovo are middle-income and post-conflict countries. This needs to be clearly reflected in the approach to gender equality and women's empowerment work. Further, as both countries aspire to join the European Union (EU) in the foreseeable future, they are working toward fulfilling the EU's gender equality requirements. Hence, DFID needs to take a strategic approach to the selection of intervention areas based on national development plans (Mid-Term Development Strategy/Poverty Reduction Strategy Papers (MTDS/PRSP)) - taking into account the social, political and economic realities of the countries and incorporating gender equality and women's empowerment dimensions at all relevant levels of the programme.

S22 The absence of gender issues in the design of projects and programmes in the two

countries combined with the potential for addressing gender issues in a social exclusion perspective, prompts the following recommendations to be addressed at EMAD/ECAD and in the BiH and Kosovo country offices:

Policy and strategy

- 1) Recognising that focusing mainly on economic growth and poverty reduction is not the most appropriate starting point for DFID's strategy in middle-income countries, EMAD should **clarify the analytical connection between stability, growth and security** (which is guiding work in middle-income countries) and DFID's traditional focus on **poverty, exclusion and inequality**, including gender equality and women's empowerment. In particular the social exclusion approach needs 'unpacking' to understand the practical implications of gender as a cross-cutting dimension.
- 2) To raise the analytical understanding of the dynamics of the region DFID HQ should **commission a regional Drivers of Change (DoC) study**, which focuses *inter alia* on DFID's ambivalent view on gender equality and women's empowerment in a middle-income country and post-conflict scenario.
- 3) In view of the drivers of change study, Europe and Central Asia Department (ECAD) should initiate a **review of the Regional Assistance Plan** and revise accordingly when the plan is up for revision. In the meantime ad hoc initiatives should be taken to mend the gap. Key gender issues for middle-income countries such as the Western Balkans include those related to the labour market. There is ample scope to address gender equality by monitoring a number of gender-specific indicators (e.g. percentage of women that reach post-primary education, occupational segregation within the labour force, level of remuneration and wage differentials etc.). Furthermore, given the history of recent violent conflict and the regional problems with trafficking, relevant target areas include reducing the level of domestic violence and decreasing the incidence of trafficking.

Human resources and organisational development

- 4) A **review of the organisational structures and human resources in regard to gender equality** and the role of HQ-based advisors vis-à-vis gender mainstreaming should be undertaken.
- 5) The **Social Development Advisor** should act as a **cross-cutting adviser** and knowledge resource on women's empowerment and gender mainstreaming. This in order to support the gender mainstreaming efforts in all relevant themes as an inherent part of their responsibility. DFID's internationally recognised expertise in gender and post conflict issues should also be relied on.
- 6) **Gender equality training** should be offered **to all in-country and HQ staff (EMAD)**. The objective is to provide all staff with a basic understanding of gender

Executive Summary

equality, how it relates to the development challenges of the region and how it relates to DFID corporate strategies. Given the similarities in the region, it would also be worthwhile to organise staff exchanges, joint workshops, programme visits etc. in order to take full advantage of the regional approach to explore the different gender equality challenges.

- 7) EMAD should **incorporate gender equality indicators into its performance management instruments** such as Director's Delivery Plan (DDP), RAP part three and Personal Development Plans (PDPs).

Practice/intervention

- 8) The two country offices should **revisit selection criteria for partners** for all main programmes to ensure optimal gender equality impact.
- 9) The two country offices should **mainstream gender into future projects/programmes** to address issues of gender policy evaporation and invisibility:
 - baseline survey and other qualitative analysis that is supposed to inform the conceptualisation of a given programme /project should include a gender analysis
 - social appraisals should be conducted as a course of procedure in programming
 - gender equality should be addressed in the design of programme documents, in logical frameworks, purpose, indicators, activities and Monitoring and Evaluation (M&E) systems - this not only to maintain focus but also to ensure visibility of results on the ground
- 10) **Gender equality should be mainstreamed into the influencing work of the two country offices** and into the participation in relevant donor forums. In Kosovo, DFID should exploit the opportunity to collaborate with the CHAD-sponsored United Nations Development for Women (UNIFEM). This would potentially strengthen DFID's gender competencies and further develop a country approach on how to increase its influence on gender issues in programming and design of interventions.

1 INTRODUCTION AND SCOPE

1.1 The overall purpose of the Evaluation of DFID's Policy and Practice in support of Gender Equality and Women's Empowerment is to inform future DFID strategy by assessing the results of DFID's policies and programming on gender equality and women's empowerment and any consequent effects on poverty reduction. The evaluation includes three country/regional case studies and three thematic studies. The scope of the evaluation in the country case studies includes three interrelated dimensions as follows:

- **DFID's internal effectiveness** through an assessment of the gender equality focus in DFID's key strategies and policies, human resources (capacity, commitment and training) and performance and knowledge management.
- **DFID's external effectiveness** through two thematic areas and seven selected interventions, respectively, *Good Governance and Access to Justice*, *Pro-poor growth and Sustainable livelihoods*. Gender equality is analysed across the seven interventions' overall purposes and strategic goals, approaches to channels and modalities utilised, monitoring and evaluations. It concludes with an assessment of gender equality results, impact and contributions in each selected interventions
- **DFID's role and comparative influence** in country-context efforts on gender equality

1.2 The present report constitutes the Western Balkans regional case study and is based on data collected in Bosnia and Herzegovina and Kosovo in September-October 2005 during which time field visits and interviews with DFID' and partner staff were undertaken. The report is structured as follows:

- section 2** presents the approach and methodology of the Western Balkans country case study. It introduces the methods for data collection and analysis.
- section 3** introduces the political context in the Western Balkans region and in the two selected countries, Bosnia and Herzegovina and Kosovo as well as poverty reduction strategies and gender equality developments
- section 4** provides an analysis of DFID's internal effectiveness
- section 5** analyses DFID's external effectiveness
- section 6** assesses DFID's role and comparative influence in country-context efforts on gender equality
- section 7** provides the main conclusions for each evaluation dimension
- section 8** lists the recommendations

2 APPROACH AND METHODOLOGY

2.1 Methods for data collection and analytical tools

Sampling of interventions

2.1 In the case of the Western Balkans, the selection of interventions had to adapt to the fact that DFID's country offices in the region are relatively newly established (from mid 1990s) Thus, most of the evaluated interventions are relatively new with a few exceptions. In Table 2-1 follows an overview of the selection criteria satisfied per intervention.

Table 2-1 Selection criteria and interventions

Selection criteria	Good Governance/ Access to Justice					Sustainable Livelihood/ Pro-Poor Growth	
	Community Policing and Community Safety (CPCS-K)	Community Policing and Community Safety (CPCS-BIH)	Support to the Office of the Prime Minister (OPM)	Civil Service Reform (CSR)	Post Privatisation Enterprise Restructuring (PPERP)	Reforming the Systems and Structures of Central and Local Social Policy regimes (RSSC)	Social Protection Project (KSSP)
At least 1½ - 2 years old, preferably at least at mid-stage	X	X	X	X		X	X
Central to objectives and strategies expressed in CSP/CAP and PRSP or equivalent	X	X	X	X		X	X
Be of above average size/scope/importance for DFID's country programmes					X		
Represent different aid modalities and channels	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Reflect various administration levels (federal, state, local)	X	X			X		X
Represent 'with' and 'without' gender markers	Without	Without	Without	Without	Without	With	Without
Represent both tracks of the twin-track approach	GM	GM	GM	GM	GM	GM	GM

2.2 Interventions were selected within the following two thematic areas: good governance/access to justice and sustainable livelihoods/pro-poor growth. As it turned out only one out of the seven interventions were gender marked Policy Information Marker (PIM). However none of the other sectors contained more gender marked interventions.

Approach and Methodology

2.3 The current Regional Assistance Programme (RAP) from 2004 represents a new focus on influencing, donor coordination and policy dialogue but is still based on project aid as the implementing modality. The previous country assistance programmes in BIH and Kosovo were also project aid based, but an exception is a limited amount of direct budget support in 2000 and 2001 to Kosovo's Consolidated Budget. The evaluation has not assessed these funds. Hence, none of the sampled interventions represents a variation in aid modalities. However, it was stressed that the RAP envisages a move towards new more harmonised ways of working.

2.1 Data collection and analytical tools

2.4 The data collection process was undertaken following the data sheets developed during the Inception Phase. These address internal, external and international effectiveness dimensions of DFID's work with gender equality, as well as logic models for addressing thematic issues.

2.5 Data from the region were collected during two one-week missions; the visit to Bosnia and Herzegovina was undertaken from 12-16 September and the visit to Kosovo from 10-14 October 2005. Supplementary beneficiary data were collected in Bosnia and Herzegovina from 1-3 November. A visit to DFID HQs took place on 18 October in order to interview key advisers and senior management responsible for the Western Balkans in the Europe and Central Asia Department (ECAD).

2.6 The data compiled in connection with this evaluation are based on review of project documentation, semi-structured interviews with key stakeholders as well as focus group discussions with beneficiaries.

2.2 Limitations

2.7 The time allocated to carry out the country evaluations has been very limited in view of the complex situations in both countries. This has influenced the depth of the analysis.

2.8 Further, access to documentation has also proved to be difficult. Some documentation has been stored in London, some at DFID's offices in Bosnia and Herzegovina and in Kosovo while other intervention-related documentation has been accessed through the contractors that implement the projects. In addition, documentation was lost in the process of changing IT system. This in particular affected access to relevant documentation from inter alia emergency operations.

2.9 As the DFID programme in both countries is relatively new, the interventions have for the most part reached mid point. This inevitably affects the assessment of contribution and impact as it is too early to assess the full impact and contribution of the projects.

3 GENDER IN THE REGIONAL AND COUNTRY CONTEXTS

3.1 This section provides an overview of gender issues in the Western Balkans and with specific focus on the two selected country case studies Bosnia and Herzegovina and Kosovo.

3.1 Gender in the Western Balkans context³

3.2 During the more than four decades of socialist rule that followed the end of World War II, progress was made regarding gender equality in the Western Balkans. The authorities held a high rate of female employment to be the main indicator of success. Affirmative action helped women enter into formal representative organs. Modern feminist groups emerged in the bigger cities, like Zagreb and Belgrade, in the 1970s. However, restrictions on the open exchange of ideas made it difficult to raise controversial issues among them radical feminist issues. These restrictions hampered the evolution of attitudes and behaviour that happened elsewhere in Europe.

3.3 After the dissolution of the state socialist system in the region, several social security mechanisms - conducive to gender equality and women's empowerment goals (such as kindergartens and maternity leave) - were reduced or removed. Today the Western Balkans has the highest poverty rate in Europe and women are the most affected. At the same time, the new economic system opens up new opportunities for women to cope with the situation, for instance by setting up private businesses.

3.4 The upsurge of extreme nationalism in the 1980s set gender equality back by introducing a new form of traditionalism; the female role was redefined away from 'working women' towards 'mother of the nation', concentrating on 'family, home and maternity'. In areas of the Western Balkans haunted by ethnic war in the 1990s, women were victims of gender-based violence (e.g. mass rape) as a means of intimidation and ethnic cleansing. Today men dominate the political life in Western Balkans and gender inequalities are experienced in leadership, decision making, employment, income generation, education etc. Women rarely enter politics. The activities supportive of gender equality, among them the re-introduction of affirmative action, are countered by the above-mentioned strong tendency of returning to traditional values.

3.2 Bosnia and Herzegovina

3.5 After the Dayton Peace Agreement, the Bosnia and Herzegovina (BiH) constitution established a complex, skeletal framework of common state institutions based on equality and parity representation of Bosniacs (Bosnian Muslims), Serbs and Croats as collectively defined communities⁴. While the common institutions are limited to a narrow band of competencies, many of the key state functions (such as jurisdiction over social policy, fiscal policy and the

³ See Shiffmann, J., Skrabalo, M., Subotic, J. (2002) '*Reproductive Rights and the state in Serbia and Croatia*' in *Social Science and Medicine*, 54 (4), p. 625-642; and in Norad (2005) *Women can do it - an evaluation of the WCDI programme in the Western Balkans*, Evaluation report 2/2005, Oslo: Norad.

⁴ The Dayton Peace Agreement established BiH consisting of two constituent entities: The Federation of BiH (FBiH) and Republika Srpska (RS). In addition, in March 2000 the Brčko District was declared an autonomous unit. The authority to oversee the implementation of the civilian aspects of the Peace Agreement was given to a High Representative in 1997 with a combination of legislative, executive and also judicial powers.

Gender in the Regional and Country Contexts

majority of tax collection in addition to internal affairs, defence, and the judiciary) remain under the control of the two entities, Federation of Bosnia and Herzegovina (FBiH) cantons, cantonal and Republika Srpska (RS) municipalities⁵. The highly complex governance practices and weak rule of law have led to a decrease in the quality of and access to public services and basic education and healthcare and have furthermore resulted in a lack of effective social protection – particularly for vulnerable groups such as the elderly and female-headed households.

3.6 It is estimated that 17.8% of the BiH population is below the general poverty line⁶ and another 30% of the population is close to the poverty line⁷. Unemployment is estimated at 21.5% (2004) with women mostly affected⁸.

3.7 BiH's Poverty Reduction Strategy - the 'Mid-Term Development Strategy of Bosnia and Herzegovina (MTDS) 2004-2007' - does not have objectives with a specific gender equality focus, but the document highlights a number of issues related to gender equality and poverty. These include the facts that: i) due to the war women have lost a role in public life and reverted back to the limits of the home; ii) the proportion of women in the workforce is the lowest in any country in South Eastern Europe (SEE); and iii) women in returnee households are by far in the worst position of all due to their minority status and isolation from the community to which they have returned.

3.8 The United Nations Development Programme's (UNDP) Millennium Development Goal (MDG) Report (2003) identifies MDG 3 priority areas that are of special importance to BiH, including the strengthening of gender equality via policy actions in the education sector and via analysis of gender stereotypes in higher education, the pay gap, reproductive health issues and gender-based violence⁹. The second goal in the MTDS also focuses on poverty reduction and gender equality, emphasising the need to support the implementation of the state-level Gender Equality law, adopted by the BiH parliament in March 2003.

Gender equality indicators

3.9 The Gender Development Index (GDI) for BiH (see Table 3-1 below) confirms the significant differences between women and men. The high disparity in income (on average men earn twice as much as women) is one factor that explains why the GDI is relatively low.

⁵ UN BiH: Common Country Assessment (CCA), p. 10.

⁶ €940 p.a.

⁷ See EPPU (2005) Preliminary report on poverty in BiH for period 2001-2004; World Bank (2005), Bosnia and Herzegovina. *Country Economic Memorandum*, p. 8-9. Figures are based on a Living Standard Measurement Survey from 2003.

⁸ Bosnia and Herzegovina Human Development Report: UNDP: *Where will I be in 2015?* Chapter III: Poverty reduction, p.16.

⁹ UNDP (2003), MDG Update Report for BiH - PRSP, Europe and beyond, p. 11.

Table 3-1 Gender equality in the Western Balkans (2003)

Country	Gender-related development index (GDI)	Seats held in parliament (%)	Female economic activity as % of male rate
Bosnia and Herzegovina	0.731*	12.3	60
Kosovo	0.726		
Albania	0.776	6.4	74
Croatia	0.837	21.7	74
Serbia	0.773**	7.9	-
Montenegro	0.773	7.9	-
Macedonia	0.794	19.2	73

*2001;*2002.

Source: UNDP (2005), Human Development Report; UNDP (2004), Kosovo Human development Report; UNDP (2005), Human Development Report Serbia.

Governmental and non-governmental structures

3.10 BiH ratified the International Convention on the Elimination of all forms of Discrimination Against Women (CEDAW) in 1993. A first CEDAW report on the implementation of the convention was presented by the Ministry of Human Rights and Returnees in 2003. The report will be discussed at the CEDAW 35th Session from 15 May to 2 June 2006.

3.11 The women's movement in BiH became active during and after World War II when the focus on gender equality changed from an academic issue to more practical needs. At the same time, the movement came down to a grassroots level with women engaging in psychosocial support, counselling and advocacy for human rights. Women's rights constituted the basis of the women's movement in BiH.

3.12 The establishment of gender centres in both entities (FBiH in 2000 and 2002 in RS) marked an important milestone in the strategic approach to gender equality. The gender centres have developed a gender-mainstreaming network that includes focal points nominated by ministers and mayors at all levels. The main task of the gender centres (as with the Gender Agency at state-level) is to monitor and supervise the implementation of the gender law, participate in the formulation of new laws and screen existing laws to ensure that gender equality is reflected. Towards the end of 2003, a group of experts from Office of the United Nations High Commissioner for Human Rights (OHCHR), UNDP and United Nations Children's Fund (UNICEF) collaborated with the gender centres in the creation of a State Action Plan for implementation of the gender law.

Gender in the Regional and Country Contexts

3.13 A law on domestic violence (drafted in cooperation with non-governmental organisations (NGOs), judges, policemen and social workers) has also been presented although at the time of writing it had not been adopted (2005).

3.14 In summary, while BiH has a well-developed legal framework to address gender equality, implementation remains weak. The political and economic agenda is marked by a focus on ethnic integration, macro-economic stability and the process towards the European Union (EU). Overall, gender equality is seen as an isolated additional task and not as a crosscutting issue to be integrated into existing or future activities. As gender equality is not present in the development agenda, very few donors are supporting gender-related activities¹⁰.

3.3 Kosovo¹¹

3.15 On 10 June 1999 the United Nations Security Council passed Resolution 1244 (1999) authorising the United Nations Interim Administration Mission in Kosovo (UNMIK) to begin the long process of building peace, democracy, stability and self-government with support from the NATO-led Kosovo Force (KFOR) and the Provisional Institutions of Self-Government (PISG).

3.16 PISG agreed to an action plan for implementing the 'Standards for Kosovo', a comprehensive set of short-term development requirements endorsed by the UN Security Council. The standards include the rights for all to participate fully and safely based on economic, political and social rights and the monitoring of key socio-economic indicators disaggregated by gender, ethnicity etc.

3.17 While Kosovo is the poorest among the countries of the Western Balkans with an estimated Gross Domestic Product (GDP) in 2003 at € 848 per capita and 40% of the households characterised as being poor, poverty in Kosovo is differentiated between urban and rural areas, between ethnic groups and between men and women. Small rural households composed of old people are the extreme poor¹². The World Bank estimates that unemployment is between 40 and 50%. As illustrated below, unemployment rates differ significantly between men and women, and female unemployment ranks among the highest in the Western Balkans. The employed women work in the public sector and more often in health and education.

¹⁰ Currently, CIDA is carrying out projects with gender equality focus. The Finnish government and Sida are also among donors that have implemented projects with a gender equality-focus.

¹¹ See UNDP (2004), *Kosovo Human Development Report*, UNDP.

¹² World Bank (2005) *Kosovo Poverty Assessment*, World Bank: Washington D.C.

Table 3-2 Participation in the labour force and unemployment rates

Rural	74	25.5	49.5	43	66	49
Urban	77	37	56	33.5	52	40
Total	75	31	52	38	58	44

Source: UNDP (2004) Kosovo Human Development Report, UNDP: Pristine, p. 19.

3.18 Lack of personal safety is an important dimension of poverty that is not solely related to inter-ethnic tension. Moreover, it has several gender dimensions, including the trafficking of women and girls. Kosovo is a state of origin and destination and a place with internal trafficking – mostly for sexual exploitation and domestic violence against women¹³. According to UNIFEM (2000), 23% (out of the 213 respondents) had experienced either psychological or physical violence by known men during 1999-2000.

Gender equality indicators¹⁴

3.19 Achievement of gender equality is an objective for the international community, in particular for UNMIK that reports regularly on the achievements in Kosovo, including gender issues¹⁵.

3.20 A GDI for Kosovo was calculated for the first time in the Kosovo Human Development Report of 2002¹⁶. The absolute score confirms that women are disadvantaged compared to men on most dimensions of the Human Development Index (HDI). Regional comparisons reveal that Kosovo's GDI (0.707) ranks at the lower end of the medium human development scale. This is mainly due to the high income disparity between men and women. While men earn four times more on average than women (€134 compared to €42 per month), women typically hold lower-paid positions. However, legally there is no differentiation in salary scales between women and men.

¹³ UNICEF (2004), *Trafficking in Human Beings in South Eastern Europe*.

¹⁴ Please refer to the Table 3-3, p.10.

¹⁵ United Nations (2005) S/2005/335, Report of the Secretary-General on the United Nations Interim Administration Mission in Kosovo, United Nations: New York.

¹⁶ See UNDP (2004) *Kosovo Human Development Report 2004*, UNDP: Pristine, Chapter 1.

Gender in the Regional and Country Contexts

Table 3-3 Gender equality in the Western Balkans (2003)

Bosnia and Herzegovina	0.731*	12.3	60
Kosovo	0.726		
Albania	0.776	6.4	74
Croatia	0.837	21.7	74
Serbia	0.773**	7.9	-
Montenegro	0.773	7.9	-
Macedonia	0.794	19.2	73

*2001;**2002.

Source: UNDP (2005), Human Development Report; UNDP (2004), Kosovo Human development Report; UNDP (2005), Human Development Report Serbia.

Governmental and non-governmental structures

3.21 Since 1989 and even more so in the post-conflict period, Kosovar women have been highly active in efforts to enhance the status of women in all aspects of society. In particular, women's NGOs have advocated for greater integration of gender dimensions in the new institutions and frameworks established under the PISG and UNMIK. Through these efforts, several institutional mechanisms have been established to promote gender equality.

3.22 The Kosovo parliament has created a Gender Committee and following provisions in the Law on Gender Equality (Law no. 2004/2) a Gender Agency within the Prime Minister's Office was established in 2005. The law stipulates that the agency is responsible for implementing and monitoring provisions of the Law, proposing amendments to existing laws and supervising the implementation of international acts and agreements on gender equality, among other functions. At the operational level, gender focal points have been established in all 10 ministries, municipal gender officers are in place in all 30 municipalities and 14 gender committees have been established at the municipal level.

3.23 The National Action Plan for the Achievement of Gender Equality (NAP) and the Gender Law were drafted after a broad consultative process involving the parliament, government and civil society. Implementation of gender policies is also included in the Standards for Kosovo. Other policy achievements include the enactment of Regulation 2003/13 on domestic violence, drafting the anti-discrimination law and anti-trafficking regulation, and integration of CEDAW in the Constitutional Framework.

3.24 The Kosovo Police Service reports that 15% of its officers are female – a proportion that is considered higher than in most Western countries - and within the civil service the Kosovo Institute for Public Administration (KIPA) has delivered gender training to staff from government departments.

3.25 In summary, the drafting of the National Action Plan (NAP) for the Achievement of Gender Equality and the Gender Law as well as the implementation of gender policies included in the Standards for Kosovo are important achievements at the institutional and policy level. Given the monitoring of the international community of the Standards for Kosovo, which also includes gender equality goals, there is clearly more focus on gender issues in Kosovo compared to BiH.

4 INTERNAL EFFECTIVENESS: POLICIES, SYSTEMS AND PROCESSES

4.1 This section analyses gender equality and women’s empowerment in DFID’s country and regional strategic assistance plans, human resources and performance and knowledge management. Annex 5 contains an analysis of gender equality resourcing.

4.1 Strategies and policies

4.2 This sub-section analyses whether and how gender equality is reflected in DFID country strategies and how gender mainstreaming is addressed.

DFID assistance to Bosnia and Herzegovina and Kosovo

4.3 DFID’s presence in the Western Balkans is relatively new. In both Bosnia and Herzegovina the assistance was sparked by an emergency situation that required immediate humanitarian aid. Humanitarian emergency assistance to Bosnia and Herzegovina was initiated in 1993 at the beginning of the war. In Kosovo emergency assistance was initiated in 1999. The different phases of DFID assistance are presented in table 4-1 below.

Table 4-1 Phases of assistance to Bosnia and Herzegovina and Kosovo

1. Emergency relief / reconstruction	1993 – 1999	1999 – 2000
2. Transition into development assistance based on country strategy/strategic papers ¹⁷	1999 – 2004	2000 – 2004
3. Development assistance based on a regional development approach	2004 – 2008	2004 – 2008

Phase 1: Emergency relief/reconstruction

Phase 1: Emergency relief / reconstruction

4.4 The first phase of DFID’s presence in **Bosnia and Herzegovina** (1993-1996) was characterised by the provision of emergency assistance and emergency engineering and infrastructure support through bilateral and multilateral agencies. From 1996-1999 the focus was on reconstruction and infrastructure support through bilateral and multilateral relief agencies. From 1996-1999 the focus was on reconstruction programmes policy and social service delivery, privatisation and health financing. Staff who worked at DFID’s Humanitarian Department during this period emphasise that the department managed a reproductive health project in BiH implemented by Marie Stopes International (international NGO). The NGO started these activities in 1992 in Croatia and then moved on to BiH in 1995.

¹⁷ Due to the unsettled status of Kosovo a Strategic Paper was developed and not a Country Strategy Plan (CSP).

Internal Effectiveness: Policies, Systems and Processes

4.5 In **Kosovo**, DFID was one of the major providers of emergency and humanitarian assistance totalling £108 million over a short period of time. The focus of the assistance was support to refugees, their hosting communities in the region, preparing for the return of refugees from Kosovo and the transition from emergency humanitarian relief to rehabilitation and reconstruction. The humanitarian assistance provided was implemented through a DFID subcontracting arrangement with Crown Agents. As of April 2000 DFID's new country team arrived with the task of preparing the transition to the development phase. The largest share of the initial assistance was provided in the form of direct budget support to the Kosovo Consolidated Budget (£5 million in 2000 and £7 million in 2001) at a time when local resources were extremely limited to fund basic social services. Based on interviews with staff involved in the emergency phase at DFID's Humanitarian Department, there is no evidence that gender equality goals had any significant role during the emergency phase. It is, however, mentioned that a consultant was hired by the Department to advise on human rights including gender issues, and that DFID sponsored International Organisation for Migration (IOM) to implement a project focusing on women exposed to trafficking (1997-2000). These activities were discontinued after 2000.

4.6 In the emergency situations in Bosnia and Herzegovina and Kosovo, gender equality was not a part of the assessment criteria for the humanitarian assistance that was delivered. While the 1994 Overseas Development Administration (ODA) 'Guidelines on Humanitarian Assistance' (1994) did not include gender equality goals, gender issues were mentioned as a dimension to be assessed in accordance with DFID's 1997 Guidelines on Humanitarian Assistance¹⁸. Notwithstanding, the evaluation of the Kosovo crisis in 2000 by the National Audit Office did not refer to gender equality goals as a concern¹⁹.

4.7 The recent DFID strategy for Security and Development - which is relevant to the context given that both Bosnia and Herzegovina and Kosovo are both post-conflict societies - recognises that insecurity affects in particular poor women. It goes on to mention domestic violence and sexual violence as particular threats to poor women. The strategy thereby follows Security Council Resolution 1325 on Women, Peace and Security and confirms that women (and children) are exceptionally at risk in situations of 'insecurity' and need special attention²⁰. Following this approach, DFID's response to the initial phase of emergency relief and reconstruction in Bosnia and Herzegovina and in Kosovo did not clearly reflect this essential dimension.

Phase 2: Transition into development assistance based on country strategy papers

4.8 In **Bosnia and Herzegovina**, the underlying principle behind the Country Strategy Paper (CSP) (2000) was to have an influencing agenda and thus to support a relatively small number of strategic projects as entry points for wider policy reform focusing primarily on some of the former reconstruction activities²¹. While a key issue emphasised in the strategy is the

¹⁸ DFID (1997) Guidelines on Humanitarian Assistance, DFID: London. See p. 5 re. project approach and p. 26 re. agency performance and organisational appraisal. The current Conflict and Humanitarian Fund (CHF) Guidelines do not contain any reference to gender equality.

¹⁹ See National Audit Office (2000) Emergency Aid: The Kosovo Crisis, Report by the Comptroller and Auditor General, DFID: London. See p. 37.

²⁰ DFID (2005) Fighting Poverty to Build a Safer World, a Strategy for Security and Development, DFID: London.

²¹ Activities include inter alia private sector development and an enhanced capacity to trade and stimulate direct investment; effective social policy and social service and welfare delivery systems; improved access to health care; the justice system; and, and effective and impartial media.

importance of focusing on and supporting a non-discriminatory system in a multi-ethnic country; gender issues do not feature at all. In terms of actual activities supported, issues relating to multi-ethnicity are not clearly reflected and gender equality was not addressed.

4.9 An Annual Plan and Performance Review (APPR) was conducted in 2001 resulting in several recommendations including support to fewer projects in the areas of capacity building and increasing local partnership; improved governance and access to justice; supporting the process of adaptation of EU norms and standards and support for the preparation of a poverty reduction strategy²². However, the APPR does not recommend refocusing the strategy to include gender equality objectives.

4.10 In **Kosovo**, the Strategic Paper (2001) focuses on priority areas such as health care system, safe communities/fair and effective justice system and strategies of social policy. There is no mention of gender equality and women's empowerment (or ethnicity), nor is there reference to social analysis, social appraisal or other background analysis as instruments to inform the development of the strategy and the identification of focus areas. The strategy is clearly gender blind. It does not consider the potential importance or influence of gender equality dimensions in the selected sectors nor does it consider gender equality as a parameter when designing the interventions²³. No review has yet been conducted of the Strategic Paper.

4.11 The strategic assistance plans in Bosnia and Herzegovina and Kosovo developed in 1999-2000 coincided with the development of DFID's first poverty reduction strategy for middle-income countries (MIC)²⁴. The strategy stresses that 'the causes and circumstances of poverty in middle-income countries differ in a number of important respects from those in low-income countries' (p. 8). In terms of 'the challenge' that the strategy seeks to address, gender inequality and ethnicity are briefly mentioned as factors contributing to social exclusion and poverty. However, there is no analysis of whether gender equality is any more or less important than other issues affecting poverty and social exclusion. The MIC strategy was updated in 2005 with a more nuanced analysis of the challenges facing middle-income countries vis-à-vis the MDGs and DFID's response²⁵. The strategy applies a social exclusion perspective with gender equality being seen merely as one dimension among several others, that is, with no reference to gender equality as a cross-cutting dimension^{26 27}.

4.12 A number of factors illustrate the relevance of social exclusion in the Western Balkans context (See Box 1).

²² Country Strategy Paper Review, p. 26.

²³ The evaluation team was informed that no review of the strategy paper has been conducted.

²⁴ DFID (Nov. 2001) *Eliminating Global Poverty: The Middle-Income Countries*, DFID: London.

²⁵ DFID (Aug. 2004) *Achieving the Millennium Development Goals: The Middle-Income Countries*. A strategy for DFID: 2005-2008, DFID: London.

²⁶ However, the MIC strategy notes that 'poverty reduction is not the starting point either for many donors or for many governments in MICs. Ideas about stability, growth and security resonate better and provide much more common ground with DFID's concerns about poverty, exclusion and inequality' (Box 5, p. 9).

²⁷ DFID (2005) *Reducing poverty by tackling social exclusion*, a DFID policy paper, DFID: London.

Box 1 Selected factors that explain the nature of social exclusion in the Western Balkans

- changing demography of the region, with the elderly constituting the vast majority in most countries, except Kosovo and Albania where the youth make up more than 50% of the population
- complex patchwork of geographically interwoven ethnic and national identities
- effects of being post-conflict countries (e.g. heavy reconstruction needs; large displacement of people)
- transition to market economy (e.g. sharply rising unemployment, particularly for women, outpacing alternative job creation)
- large-scale migration (e.g. positive benefits from remittances versus greater vulnerability from family break up/abandonment)
- redefinition of rights/responsibilities between state and citizens in social support (e.g. erosion/reform of financially unsustainable and poorly targeted social protection systems)
- weaknesses in the rule of law (e.g. rise of organised crime, and human trafficking as a key facet)

Source: Beall, Jo and Laure-Hélène Piron (May 2005) *Social Exclusion Review*, LSE and ODI, p. 58-59.

4.13 As illustrated in Box 1, disadvantages shaped by ethnic identity, conflict and displacement remain significant phenomena affecting social exclusion. However, it is essential to note that within the different dimensions of social exclusion, gender equality is essentially a cross-cutting dimension, i.e. social exclusion is linked to the factors above and there are gender dimensions to exclusion (e.g. elderly, youth, ethnic identity etc.) and how people are excluded and the effects (e.g. family breakup/abandonment and human trafficking). These dimensions are not reflected in the MIC strategy or in the RAP²⁸.

4.14 In summary, the strategy papers for Bosnia and Herzegovina and Kosovo as well as the middle-income strategies provide virtually no reference to the importance of the cross-cutting dimension of gender equality in the analysis or in the proposed intervention areas. However, both country papers mention different social challenges (e.g. unemployment, ethnic conflicts, health etc.) but without analysing how gender equality relates to all of these challenges.

Phase 3: Development assistance based on a regional development approach

4.15 The RAP covering the Western Balkans (2004-2008) serves as an overall framework for sector priorities and activities in the region. The overall goal is 'to enhance the effectiveness of the overall international community engagement in the Western Balkans in promoting and supporting poverty reduction' (p. 14). The RAP is based on three macro-level objectives: i) ensuring connection between nationally owned, pro-poor development strategies and EU accession policies and processes; ii) working with donors and governments for improved aid

²⁸ See DFID (2006) 'Gender equality through Justice and Rights-based policies and programmes', Thematic study. 2006.

effectiveness; and iii) active engagement in the region by taking account of development concerns'. Working within the three objectives, technical assistance is supported within four core areas:

- strategic policy, planning and monitoring capacity (incl. poverty reduction strategy processes)
- public administration/civil service reform (implementation capacity)
- public finance activities (medium-term expenditure frameworks)
- safety security and access to justice (through the Global Conflict Prevention Pools)

4.16 The analytical part of the RAP that leads toward the proposed objectives and activities also covers poverty issues. The plan recognises that gender, age and ethnicity are significant factors in the poverty challenges facing the region, and further that 'female poverty is a feature across the region. Younger women often lack access to formal employment. Factors compounding female poverty also include: insecure property rights, limited access to social services, domestic violence and abandonment by émigré husbands'. However, the analytical focus on selected vulnerable groups does not translate into a special vulnerability focus in the interventions studied or more broadly through the visited country programmes.

4.17 Although gender equality and women's empowerment is not explicitly mentioned as priorities in the RAP, the focus of the plan (objective 1) creates an indirect opportunity for focusing on gender equality. Likewise, to fulfil the EU accession requirements it is necessary to establish institutional structures within the field of gender equality (such as those that have already been established in Bosnia and Herzegovina), change legislation and ensure that these structures fully function. This may also constitute an entry point for supporting gender equality aspects of the accession process²⁹.

4.18 In conclusion, the RAP acknowledges that gender, age and ethnicity are important factors in the poverty challenge facing the region. However, it is problematic that none of the objectives refers to gender equality related outcomes. Nevertheless, as referred to above, there are opportunities for focusing on gender issues within RAP objective 1.

4.2 Human resources

4.19 This section assesses three aspects of human resources; the organisation and structure within which staff operate; the capacity of the staff; and the commitment of senior management and staff to drive gender equality issues.

Organisational structure

4.20 At HQ, the Social Development Advisor (SDA) is the main source of cross-cutting gender mainstreaming competence. However, the SDA is only responsible for interventions within the

²⁹ EU accession countries must fulfil Community requirements which, according to the Treaty of Amsterdam (Article 2), aim to eliminate inequalities and promote equality between men and women.

Internal Effectiveness: Policies, Systems and Processes

area of Sustainable Livelihoods / Pro-Poor Growth and can therefore only support gender mainstreaming in the work of other advisers in other themes - e.g. governance - in so far as the Western Balkans Team Leader approves cross-thematic gender mainstreaming support.

4.21 The office in **Bosnia and Herzegovina** is not devolved which essentially means that main programme decisions are taken by programme staff and advisers at HQs (see Annex 3). The office shares premises with the Foreign Commonwealth Office (FCO) and is a part of the FCO IT system. This is a closed, high-security system. The DFID staff do not have access to DFID's Intranet. Overall programming decisions and technical advice are provided by technical advisers located at HQs – including decisions on gender mainstreaming in interventions.

4.22 In contrast, the office in **Kosovo** is a devolved office with the authority to approve projects up to £500,000. The office does not hold resident advisers and the Head of Office is the only UK permanent staff (see Annex 3). Therefore, the same cadre of advisers at HQs provides technical input for the development of the programme – often through consultants.

4.23 For both countries, the teams are very small with only 4-5 programme managers, including the Head of Office. Likewise, the financial volume of country programmes is limited in both countries. Nonetheless, with the current division of staff and responsibility between HQs and country offices, the ability to respond in a holistic and timely manner to the challenges arising in the country programmes is limited. This echoes the conclusion of the recent Middle Income Country Resource Allocation (MICRA) review where it was established that 'to be effective, a country team must be of a minimum size'³⁰.

4.24 Further, as the professional competencies of all Western Balkans advisers are stretched between several countries that each offers a complex set of different challenges, there is a natural limit to the depth of the advice that can be given.

4.25 In conclusion, the current structure where the HQ based SDA has the responsibility for gender mainstreaming in only one theme is a constraint to gender mainstreaming in the two country programmes.

Staff capacity

4.26 Local staff and HQ based advisory staff have not received training in gender mainstreaming during their employment with DFID (except the SDA who already has gender mainstreaming competence). Since local staff had not used the target strategy paper focusing on gender equality or the Gender Manual, they had little knowledge of the corporate gender strategy - except that they acknowledged that in other partner countries it was considered an important area for DFID³¹. As a consequence, staff did not feel capacitated to take on a more proactive role in the field of gender equality. HQ-based advisers also knew of the corporate gender policy but argued that due to the country circumstances gender was not a priority. The analysis undertaken prior to the RAP had favoured other important issues such as EU accession, PRSP development process, etc.

³⁰ DFID (2004) *Middle Income Country Resource Allocation (MICRA)*. Final Report. Page 10.

³¹ See DFID (2000) *Poverty Elimination and the Empowerment of Women*, London: DFID; Derbyshire, H (2002) *Gender Manual: A Practical Guide for Development Policy Makers and Practitioners*, London: DFID.

4.27 The ECAD Staff Development Plan (SDP) of 2004 identified gender awareness training as one of the capacitating priorities for all staff, but as implementation of the staff development plan is the responsibility of the individual staff members, no gender awareness trainings have been implemented in Kosovo or Bosnia and Herzegovina so far. A staff development plan for 2005 was not produced due to the pending review of the learning and staff development processes in ECAD.

4.28 The ECAD Staff Development Manager (based in Belgrade, Serbia and Montenegro) stated that the current link between learning and development processes and RAP targets needs improvement³². An ECAD Training Strategy has been developed in 2005 highlighting key focus areas for the coming year (drafting & briefing, presentation and influencing skills) but seemingly with no connection to the required competencies for the attainment of RAP objectives including those pertaining to social exclusion. A review of the strategy is expected in 2006 in order to design an effective linkage between RAP targets, needs of team leaders, staff competencies (and gaps in competencies), Personal Development Plans (PDPs) and SDP. However, this review process does not automatically serve as an opening for gender equality dimensions to be included in the SDP as long as gender equality is not recognised as a key corporate priority.

4.29 In summary, the understanding of gender equality and gender mainstreaming, not as abstract and isolated concepts, but in relation to the various programming work and other cross-cutting issues relevant to DFID, is insufficient. Gender equality training and hands-on experience/exposure are clearly needed at country level and at HQ.

Commitment

4.30 At the time when the RAP was developed during 2003-2004, senior management at HQ assessed that other priorities were more important and relevant for DFID to focus on than gender equality issues. However, it should be recalled that the pre-RAP period - the emergency and transition phases - was also largely characterised by an absence of focus on gender equality and women's empowerment.

4.31 Current senior management at HQ recognises that DFID in the Balkans needs to focus more systematically on ethnicity and gender equality issues in its future approach since the Western Balkans is a region where - as it was stressed - 'mass rape and ethnic cleansing were used as weapons of war'³³. But there was no specific information revealed on how and when such a more systematic approach would be applied.

4.32 The SDA in the Western Balkans team agrees with the need to focus more on gender equality issues in future interventions. However, the new HQ commitment to gender equality has to be accompanied by a restructuring that assigns the SDA with a broader cross-cutting gender mandate in order to work across the thematic areas.

4.33 While the offices in Bosnia and Herzegovina and Kosovo prioritised the issues reflected in the RAP with little regard for the mainstreaming of gender in the ongoing activities there was an

³² Based on email and telephone communication with the Staff Development Manager.

³³ Telephone interview with the Team Leader of the Western Balkans Team.

Internal Effectiveness: Policies, Systems and Processes

acknowledgement among staff at both offices that a gender equality perspective could indeed be relevant in past and present interventions. Similarly at HQ, advisory staff acknowledged that gender equality goals should be more in focus.

4.34 In sum, there has been a weak commitment to the inclusion of a gender equality perspective in past programmes and interventions. However, senior management at HQ and at the country level recognises that there is a need to focus on gender equality issues in analyses of sector areas and, as relevant, in the individual interventions.

4.3 Performance and knowledge management

4.35 This sub-section assesses the adequacy of DFID's performance and knowledge management systems.

4.36 Being an MDG-driven organisation, DFID's work on gender equality issues is *inter alia* related to MDG3, which the Department focuses on and reports against. MDG3 has been translated into objectives and targets in the Public Service Agreement (PSA) through a focus on primary school enrolment rates³⁴. However, in terms of the measuring gender equality impact, Goal C / Objective III of the PSAs (2003-2006 and 2005-2008) has not been broken down into any PSA targets which are relevant for the countries within the EMAD³⁵. Likewise, the Directors Delivery Plan (DDP) for EMAD (2005-2008) contains no reference to objectives or targets related to gender equality. As indicated previously, the Regional Assistance Plan monitored through the 'Western Balkans RAP Monitoring and Quarterly Reporting Framework' contains no gender equality objectives or indicators. In addition, gender is not mentioned in the PDP of the Western Balkans Team leader.

4.37 While gender disparity in primary and secondary education is an essential issue to focus on in low-income developing countries, the specific gender equality 'battleground' in middle-income countries is not clearly reflected in the MDG's or the PSA's objectives and targets. This is supported by DFID's Chief Advisers and Head of Profession who in 2003 suggested a broader perspective on gender equality than contained in MDG 3 – including specific gender equality issues for EMAD (e.g. women's role in peace-building and democratic processes) in their input for the review of DDPs³⁶. The evaluation team found no evidence that this comment has led to changes of the DDP for EMAD.

4.38 Further, while the weak gender equality focus in DDPs of Asia and Africa has recently been criticised by the DFID Management Board; the gender-blind EMAD DDP did not give cause for similar criticism³⁷.

4.39 In sum, the overall performance management system for EMAD is gender blind and lacks any element of gender equality-related targets or indicators which is again reverberated in the lack of incentives at the individual level. Further, the current MDG3 targets that DFID has

³⁴ Mainly in Asia and Africa in accordance with PSA Target 1, Sub-target 2 and PSA Target 2, Sub-target 2.

³⁵ PSA Goal C / Objective III is 'Promotion of gender equality and empowerment of women'.

³⁶ DFID (2003) Evidence-Based Poverty Reduction: A Commentary by DFID's Chief Advisers and Heads of Profession on its Regional Delivery Plans and Forward Strategy, DFID: London.

³⁷ DFID Management Board Meeting, 25-26 January 2005, Minutes of meeting.

adopted as an internal performance measure do not reflect the gender challenges of middle-income transition countries nor the gender equality issues pertaining to humanitarian emergencies, and hence provide no incentive for gender mainstreaming.

4.40 Concerning learning and knowledge management between the offices in the region, the evaluation team did not find evidence that learning is taking place. The exception is the annual 'in-week' organised in London which provides a forum for regional sharing of experience among DFID staff. However, the team found no evidence of gender equality lesson sharing during this event. Further, the lack of access to DFID's intranet for BiH seems to pose a serious constraint to lesson sharing and learning.

5 EXTERNAL EFFECTIVENESS: PRACTICE, APPROACH AND RESULTS

5.1 This section analyses DFID's external effectiveness in the Western Balkans through seven interventions in the two thematic areas. Gender equality is analysed in relation to the interventions' overall purpose and strategic goals; approach to channels used; monitoring and evaluation; and gender equality results, impact and contributions.

5.1 Programme overview

Good Governance / Access to Justice

5.2 Community policing and community safety (**CPCS**): The 'Strategy on Safety, Security and Access to Justice (SSAJ)' is a regional programme and thus implemented simultaneously in Bosnia and Herzegovina, Serbia, Kosovo and Albania. The programme comprises three result areas: justice policies, delivery of justice and regional lessons. The long-term goal of the strategy is a safe and just society for all in the Balkans, with laws and practices that meet European standards. The medium-term goal is that well-functioning justice systems reduce the sources of conflict in the region. The aim is that public bodies implement comprehensive justice strategies, which effectively reduce local tension and conflict and prevent crime. The programme was initiated in 2001 and was planned to run for a period of three years but has been extended until the beginning of 2006.

5.3 Civil Service Reform (**CSR**): This project aims at establishing a sound regulatory and institutional framework for the management of the civil service and at developing Kosovar capacity to organise and manage civil service in accordance with this framework. The project contains four subcomponents focusing on i) strengthening of the personnel service of the Ministry of Public Service; ii) establishing an independent oversight mechanism; iii) developing personnel procedures and systems; and iv) undertaking personnel management capacity-building. The project started in 2002 and ended in 2005.

5.4 Support to the Office of the Prime Minister (**OPM**): The project has two components of which the first aims at supporting the reform and development of the OPM in Kosovo through developing the capacities for policy coordination and strategic planning within the OPM. The second component supports the implementation of the 'Standards for Kosovo' in all ministries and municipalities including support to OPM in coordinating the work and monitoring progress. The project was started in April 2004 and is planned to run until March 2007.

Sustainable Livelihoods and Pro-Poor Growth

5.5 Reforming the Systems and Structures of Central and Local Social Policy regimes in BiH (**RSSC**): The programme aims at supporting the development of inclusive and fiscally sustainable social policies in BiH by strengthening the capacity of government and civil society actors to reduce poverty, inequality and social exclusion. The programme intervenes at three levels: the macro level (entity government social policy structures, systems and strategies); the meso-level (municipal social policy management and service delivery); and finally the micro-level

External Effectiveness: Practice, Approach and Results

(community action projects and community partnerships between civil society actors and municipalities). The intervention was launched in 2001 and ended in 2005.

5.6 Post-Privatisation Enterprise Reconstructing Project (**PPERP**): The overall aim of PPERP is to assist newly privatised enterprises to restructure in order to ensure long-term viability. The main activity has been to give direct assistance to newly privatised enterprises. Other activities included in the project focused on addressing related problems and developing local capacity for enterprise restructuring. Because of the high level of unemployment and the probability of further job losses, the project has worked with a range of key actors – including local governments, NGOs and other donor-supported projects – on activities to promote the development of new jobs. In total, the PPERP provided assistance to 28 enterprises through 32 sub-projects, by supporting restructuring efforts and addressing specific problems and weaknesses within the individual enterprises. The original design of the PPERP contained a ‘social mitigation component’. However, this was later transformed into an emphasis on social development through the labour and socio-economic regeneration component (SERC) focusing on two main elements – capacity building and job-creation. The project started in September 2001 and ended in August 2004.

5.7 Kosovo Social Protection Project (**KSPP**): The Kosovo Social Protection Project aims at developing and implementing a comprehensive and fiscally sustainable social protection regime in Kosovo. Furthermore, it also aims at developing and reforming social protection in the context of post-conflict socio-economic restructuring by adjusting emerging programmes and expenditures to fiscally sustainable levels. Approximately one-third of the total project expenditure exclusively covers an infrastructure component focusing on rehabilitation and construction of new centres for social welfare. The project is co-financed with the World Bank (IDA) which is the project’s lead agency. The project was initiated in 2001 and was initially scheduled to end in 2004. Due to delay in training activities, one component of the project is still running.

5.2 Focus in the selected interventions

5.8 Table 5-1 overleaf summarises the mapping of gender equality focus across the seven interventions set against the activities on the ground. As reflected in the table, a gender equality focus is absent throughout the entire range of project documentation.

Table 5-1 Mapping of gender equality focus in interventions

Community Policing and Community Safety (CPCS BiH)	Not seen ³⁸	Not existing	No gender equality focus	No gender equality focus	No gender equality focus	No gender equality focus	Not seen	No gender equality focus	No gender equality focus	Not yet available	Not seen	No mention of gender equality in outcome/activities in the project documentation. In the field (Zepe) however, the project has had some gender equality focus since the project mainly worked with solving problems regarding domestic violence.
Community Policing and Community Safety (CPCS Kosovo)	None ³⁹	Not existing	No gender equality focus	No gender equality focus	No gender equality focus	No gender equality focus	Not seen	No gender equality focus	No gender equality focus	Not yet available	Not seen	No mention of gender equality in outcome/activities.
PPERP	Not seen	Not existing	Not seen	No gender equality focus in final report	No gender equality focus	No gender equality focus	Not seen	No gender equality focus	No gender equality focus	No	Not seen	No gender equality activities in the project document. In the support to set up of cooperatives, the project has been targeting families and thus been beneficial to men and women.
Civil Service Reform (CSR)	No gender equality focus	Not existing	No gender equality focus	No gender equality focus	No gender equality focus	No gender equality focus	Not seen	No gender equality focus	No gender equality focus	No	Not seen	No gender equality outcomes
Support to the OPM	No gender equality focus	Not existing	No gender equality focus	No gender equality focus	No gender equality focus	No gender equality focus	Not seen	No gender equality focus	No gender equality focus	Not yet available	Not seen	No gender equality outcomes
RSSC	No gender equality focus	Not existing	No gender equality focus	No gender equality focus	No gender equality focus	No gender equality focus	Not seen	No gender equality focus	No gender equality focus	No	Not seen	No mention of gender equality in outcome/activities in project documentation. In the field, many women's NGOs were contracted to work in the municipalities. Focus on vulnerable groups and in particular children and women.
Kosovo Social Protection Reform (SPR)	Not seen ⁴¹	Not existing	Not seen	No gender equality focus	No gender equality focus	No gender equality focus	Not seen	No gender equality focus	No gender equality focus	Not yet available	Not seen	No mention of gender equality in outcome/activities in project documentation. Awareness raising on gender equality was taught during training sessions.

³⁸ "Not seen": the evaluation did not get access to the document although it was requested.

³⁹ General Appraisal in Project identification report, Nov. 2001. LFA not available to Evaluation Team.

⁴⁰ Most project documentation is in the WB in Washington.

⁴¹ IDA project appraisal document exists.

External Effectiveness: Practice, Approach and Results

5.9 As also reflected in the table, none of the selected interventions has been subject to a social appraisal which could otherwise have highlighted important information concerning differences in men's and women's specific needs; access to services, resources and justice; and participation and representation. This reflects the lack of mandatory social appraisals as per the latest programming guidelines and office instructions⁴².

5.10 Irrespective of this, some gender equality-related activities in two projects have been identified by the evaluation team:

- the CPCS that is part of the regional SSAJ programme focused on domestic violence and a gender equality recruitment policy for the police in its pilot municipalities (Kosovo only)
- RSSC in BiH addressed gender equality to some extent through an extensive cooperation with some women's NGOs, although the overall approach to gender equality was insufficient
- the KSPF undertook some awareness-raising on gender equality during training sessions

5.11 In conclusion, in none of these interventions gender equality-related activities were foreseen in each project's respective documentation. Rather, they came about because there was a measure of flexibility built into the project with regard to the choice of activities to be eventually undertaken.

5.3 Approaches

5.12 DFID made extensive use of implementing partners to implement humanitarian assistance. These were selected on the basis of guidelines that contain a gender equality-specific focus in the agency performance and organisational appraisal of partners⁴³. However, no evidence was found of gender equality in the Terms of Reference (ToRs) of the partners selected.

5.13 Outsourcing of implementation of projects to local organisations and/or regional and international consultants is DFID's preferred way of working. According to the findings of the evaluation team, the terms of reference of these partners – consultants and NGOs – do not include a gender equality focus, let alone a requirement to mainstream gender equality. The failure to recognise gender equality as an important dimension for which implementing partners require expertise has resulted in missed opportunities. For instance:

5.14 Although gender equality issues are considered integral to effective poverty reduction, the ToR of the local poverty expert funded by DFID within the Economic Policy and Planning Unit (EPPU) (which monitors BiH's MTDS/PRSP) do not include gender equality aspects.

⁴² DFID. The Blue Book. Essential Guide to Rules & Tools. 2005. Version 1. Likewise, the previous Office Instruction did not specify any compulsory social appraisal processes.

⁴³ DFID Guidelines on Humanitarian Assistance. May 1997. Format for Project/Programme Documents over £1 million.

5.15 Within KSP, two UK consultants were involved in the drafting of the Law on Social and Family Services and in the training of social workers. No gender equality considerations were stipulated in their respective ToR and now neither the new law nor the social welfare services contain a gender equality perspective.

5.16 Moreover, it appears that opportunities have also been missed in making use of existing gender equality expertise among partners. For instance, the Independent Bureau for Humanitarian Issues (IBHI) that operates within the RSSC was selected based on its well-known capacities in the field of social policy. However, its capacity in the field of gender equality was not explicitly mentioned in the ToRs. IBHI therefore did not mobilise its gender equality resources to backstop the RSSC.

5.17 Furthermore, the Public Administration International (PAI) – the contractor for **OPM** – was supposed to (as part of its regulatory advisory role) advise the OPM/ government regarding the establishment of the Gender Agency. However, PAI lacked the necessary expertise and was required to request UNMIK for assistance. If gender equality competence had been a criterion in the selection of the contractor, DFID would have contributed in a highly strategic way to gender equality in Kosovo.

5.4 Monitoring and evaluation

5.18 None of the selected interventions shows evidence of monitoring and evaluation of gender equality dimensions. None of the accessible monitoring reports addresses the lack of gender equality focus in the interventions. The lack of gender equality-focused monitoring leads to a lack of visibility of results on the ground - such as the experience gained in e.g. the PPERP and the RSSC. Furthermore, the fact that sex-disaggregated data with respect to beneficiaries have not been compiled limits the possibility of a detailed impact assessment that could improve future programming. Finally, none of the interventions had baseline studies conducted prior to project start; a prerequisite for the conduct of post-project impact evaluations.

5.5 Contribution, achievement and results

5.19 The assessment of gender equality contributions, achievements and results is based on review of project documentations, semi-structured interviews with key stakeholders as well as focus group discussions with beneficiaries.

5.20 Table 5-2 captures indications of negative change, no change/missed opportunity, expected change and positive change identified in the interventions. These identified impact/change areas are based on the pre-identified outcome/impact areas outlined in the thematic logic models presented in the inception report.

External Effectiveness: Practice, Approach and Results

Table 5-2 Overview of identified gender equality contributions, achievements, and impact following the thematic logic model indicators and identified changes in the field

1. Women's participation as full citizens and in (strategic) decision-making positions in governance and political processes (quantitative participation)		OPM & CSR: Missed an opportunity to support the gender law on min. 40% women employed. The projects focused on ethnic quotas only.		
2. Women's needs, interests and rights reflected in government strategies, policies and plans (qualitative participation).		OPM: Missed an opportunity to work with gender mainstreaming via the support to implementation of the "Kosovo standards" and to provide gender related advice. CSR: Not directly targeted in project objectives		
3. Knowledge of women's rights related to political participation and decision-making processes		OPM/CSR: Not targeted		
Access to Justice: CPCS B2 + K2				
4. Women's participation in justice considerations at community level		CPCS: Not targeted		CPCS: Women take part in community safety forums mainly by default. Anecdotal evidence of improved attitude towards the police, Less social and ethnic tensions in pilot municipalities.

External Effectiveness: Practice, Approach and Results

5. Knowledge of women's rights improved		CPCS: Not targeted		
6. Women's legal empowerment and access to formal justice system - increased access to legal aid		CPCS: Not targeted		
7. Adequacy of institutional resource to deal with sexual /gender-based violence (police station, courts, other formal and informal institutions)		Not targeted but became a project activity		
8. Confidence and trust by women to report sexual /gender-based violence cases to the police, or other formal and informal authorities.		Not targeted but became a project activity	Victims of violence report more often to the police. Better collaboration with social centres	
9. Reduction in level of sexual /gender-based violence		Not targeted but became a project activity		CPCS-BiH: Increased focus on domestic violence and mitigating measures & information campaigns. Police reports on domestic violence have decreased.
10. Reduction in level of ethnic tension and violence				
11. Access to local police for men and women of all ethnic groups				
12. Improved confidence in local police			Men and women consider the police as a public service open for all	According to interviews with resource persons the confidence placed in the police has improved. As a result, women call the police for assistance.

External Effectiveness: Practice, Approach and Results

Sustainable Livelihoods/ Pro-Poor Growth: PPERP, RSSC, KSSP				
13. New opportunities and access to assets / employment by poor men and women		PPERP: Targeted but without a gender equality focus	In PPERP, training and assistance to redundant former enterprise staff to enter the agricultural sector	PPERP: Anecdotal evidence that support to cooperatives has increased income opportunities for women and men (families)
14. Partnerships/ networks to support poor men and women's access to resources/ power		RSSC: Missed opportunity to get more extensive use of specialised NGOs in project implementation Missed opportunity to get a better use of specialisation of implementing partner IBHI		RSSC: Dialogue and interaction between authorities, private sector and CSO has been constructive and frequent. Recognition that use of specialised NGOs to solve problems in the social sector is constructive.
15. Plans and activities reflect needs and priorities of poor women and men	PPERP: Lack of gender equality focus resulted in new job opportu- nities limited to men	All: Lack of sex- disaggregated baseline studies made gender equality monitoring and impact assessment imprecise/impossible		

16. Poor women and men use new infrastructure to improve their lives		No gender equality but ethnic focus	Rehabilitation of old and construction of new CSWs in majority & minority areas to ensure that all ethnic groups have equal access to social welfare benefits	CSW in KSSP are used by local communities. Better access to social services for women and men

5.21 As reflected in Table 5-2, in the area of Good Governance / Access to Justice gender equality contributions and impact are only identified in the CPCs where domestic violence was given priority in project implementation resulting in the emergence of gender-related activities⁴⁴. Within Sustainable Livelihood / Pro-poor Growth, the RSSC appears to have had a major impact on the ground in one of the four pilot municipalities in Bosnia and Herzegovina. Through the cooperation with specially women's NGOs at community level, the project has created a solid background with special experience of NGO/private/Civil Society Organisation (CSO) cooperation in the future.

5.22 One of the areas in which there has been a positive impact on women has been in relation to vocational training courses. Interviews with the project management confirm that the quality of the courses and the collaboration with the private sector actually resulted in success for all participants. The positive results obtained through this project have encouraged the pilot municipalities to continue the project set-up, whereby they solve the social problems in a more effective manner through civil society organisation that are very close to the communities.

5.23 While identifying missed opportunities of the past can be speculative, a few opportunities which may have had an important gender equality impact stand out:

- the PREREP/SERC could have had a stronger gender equality focus in relations to the restructuring process. It would have been relevant to e.g. pay special attention to continued employment for women since women in BiH are the most affected by unemployment. Likewise, the project could have influenced cooperatives and imposed gender equality as a basic condition in the support imposed gender equality as a basic condition in the support
- the Civil Service Reform intervention did not have a gender equality focus although this would have been an opportunity and this especially in regard to the development of diversity policies which could help address the constraints faced by female workers such as lack of appropriate day care services and flexible work hours

⁴⁴ According to interview with stakeholders in one municipality.

⁴⁴ According to interview with stakeholders in one municipality.

External Effectiveness: Practice, Approach and Results

5.24 In conclusion, the seven interventions assessed in Kosovo and BiH are for the most part gender blind. Gender equality dimensions are consistently absent from all project documents, indicators, monitoring systems and reports. Nevertheless, a couple of gender equality-related activities in the projects were undertaken and, particularly in the case of CPCS, have been successful. The reason for the gender equality focus of these activities was mainly due to the social focus of these interventions where women were the primary target group rather than an explicit reflection of gender equality goals. However, on the whole, in both BiH and Kosovo several opportunities for improving assistance by integrating gender equality dimensions within project planning and implementation have been missed.

5.25 The conclusion about gender blindness in DFID's external effectiveness is no surprise as the conclusion of the previous section also points to a non-existing focus on gender equality within the different dimensions of DFID's internal effectiveness. In this way there is consistent and systematic lack of gender equality focus in both internal and external effectiveness.

6 DFID'S ROLE AND COMPARATIVE INFLUENCE IN COUNTRY-CONTEXT EFFORTS

6.1 This section looks at DFID's influencing role at country and at intervention level in relation to the gender discourse by assessing DFID's capacity.

6.2 As a direct consequence of the lack of gender equality focus at programme and intervention levels, no evidence was identified in regard to influencing of gender discourse in relation to government partners, despite the potential entry points for policy influencing outlined in section 5 in the form of missed opportunities.

6.3 In Bosnia and Herzegovina, the only gender coordination group that exists is the United Nations Gender Group (UNGG), which is also open to other donors. So far, only UN agencies have participated. In Kosovo, there is a donor coordination group on gender with a broad range of bilateral and multilateral actors participating not including DFID⁴⁵. DFID Bosnia agreed that DFID should be represented at local gender forums in future. Likewise, this would also be an opportunity for DFID in Kosovo.

⁴⁵ E.g. UNIFEM, UNDP, UNICEF, OSCE, the Swiss, USAID and CIDA.

7 CONCLUSIONS, LESSONS AND RECOMMENDATIONS

7.1 This section presents the main conclusions, lessons and recommendations in relation to the dimensions analysed.

7.1 Conclusions

Country context

7.2 Bosnia and Herzegovina and Kosovo are among the poorest countries in Europe. While unemployment in Bosnia and Herzegovina is estimated at 21.5% (2004), the figure for Kosovo is estimated at 40-50% of the work force, and in both countries women are the most affected. As the war destabilised the roles of women and men, gender disparities in economic, political and judicial system are dramatic in both countries. In both countries, active women's NGOs are advocating for change.

7.3 In BiH, the establishment of gender centres in both entities and at state level marked an important milestone in the strategic approach to gender equality. However, despite a well-developed legal framework to address gender equality goals, implementation remains weak. The political and economic agenda is focused on ethnic integration, macro-economic stability and the process towards the European Union rather than gender equality which is treated as an isolated additional task.

7.4 In Kosovo, the drafting of the National Action Plan for the Achievement of Gender Equality and the Gender Law as well as the implementation of gender policies included in the Standards for Kosovo are important institutional and policy achievements. However, continued national and international support is required for effective implementation at the practice level.

Internal effectiveness

7.5 Overall, DFID has no strategic clarity in regard to gender equality in so far as to translating DFID HQ gender equality policies and instruments to the Western Balkans context. Indeed, the country offices have missed important opportunities for addressing gender equality and women's empowerment issues during all three phases of country/regional programmes. During the emergency situation in Bosnia and Herzegovina, gender equality was not part of the assessment criteria according to ODA 'Guidelines on Humanitarian Assistance' (1994). For the reconstruction and development phases, gender equality was only addressed as one dimension of social exclusion - as opposed to a cross-cutting dimension - reflecting the limited importance attached to gender in DFID's strategies for Middle-Income Countries.

7.6 The lack of strategic clarity is reflected in the approach to gender equality in human resource instruments where the weak gender equality leadership, competencies and resources at HQ and at country office level have not been adequately addressed. Further, the current structure where the HQ-based Social Development Advisor with competencies in the field of gender equality does not have a cross-cutting responsibility for gender mainstreaming is a constraint to gender mainstreaming in the two country programmes.

Conclusions, Lessons and Recommendations

7.7 The overall performance management system for EMAD is clearly gender blind and lacks any element of gender equality-related targets or indicators which is again reverberated in the lack of incentives at the individual level. Further, the current MDG3 targets that DFID has adopted as an internal performance measure do neither reflect the gender challenges of middle-income transition countries nor the gender equality issues pertaining to humanitarian emergencies and hence provides no incentive for gender mainstreaming.

7.8 There was no evidence found in regard to gender equality knowledge sharing, this despite the lesson-learning objective of the RAP which could provide an umbrella for specific learning initiatives.

External effectiveness

7.9 The seven interventions assessed in the Bosnia and Herzegovina and Kosovo are for the most part gender blind. Gender equality dimensions are consistently absent from all project documents, indicators, monitoring systems and reports. Nevertheless, a couple of gender equality-related activities in the projects were undertaken mainly as a result of flexibility that was built into the project design. However, on the whole, in both BiH and Kosovo several opportunities for improving assistance by integrating gender equality dimensions within project planning and implementation have been missed.

7.10 Overall, DFID in the Western Balkans has been largely gender blind in strategy and programming from the emergency phase, through transition and into the current regional assistance phase. This is explained by lack of clarity in translating HQ commitments into front-line programming, together with lack of gender visibility in important HQ policies for MICs, absence of incentives to work on gender, weaknesses in staff commitment and knowledge. DFID's partnerships and interventions have been almost wholly gender blind except where gender approaches have been instigated by implementers. The consequences for the programme are a host of missed opportunities both to address gender equality and to strengthen programme impact on poverty.

DFID's role and comparative influence in country-context efforts on gender equality

7.11 The team did not find any evidence of a DFID influencing role in regard to the overall gender discourse in Bosnia and Herzegovina and Kosovo. Gender equality capacitating of staff as a prerequisite for the conduct of gender equality policy dialogue has not been envisaged.

7.2 Lessons

Policy & strategy

7.12 Understanding the regional and country contexts, particularly the increase in gender disparities over the last decade requires an in-depth analysis of the region and the dynamics of change. In the absence of such analysis, gender equality goals are easily out-competed by other issues which are perceived to be more important (e.g. ethnicity, economic growth, security etc.).

7.13 Operating in an environment where national self-perception is coloured by a history of perceived gender equality requires that the international partner is well prepared to tackle the challenges of indifference which are likely to arise when an international partner aims to mainstream gender in all activities.

Design & implementation

7.14 Despite that DFID's country strategies and interventions in the region are gender blind, the evaluation shows that it is seldom too late to take gender equality issues into concern. While missed opportunities cannot be redone there is ample reason not to create new missed opportunities. In fact, in both countries local constituencies, women's groups etc. are active and ready to get more involved in addressing gender equality goals.

Management

7.15 While understanding the country context is essential, solid management initiative (HQ and COs) and clear objective-setting within DFID's performance management systems and in the regional assistance plan are important factors in order to ensure that the gender equality objectives of DFID's corporate agenda are implemented.

7.3 Recommendations

7.16 The two regional case countries, Bosnia and Herzegovina and Kosovo, are middle-income and post-conflict countries. This needs to be clearly reflected in the approach to gender equality and women's empowerment work. Further, as both countries aspire to join the European Union in the foreseeable future, they are working towards fulfilling the EU's gender equality requirements. Hence, DFID needs to take a highly strategic approach to the selection of intervention areas based on national development plans (MTDS/PRSP) - taking into account the social, political and economic realities of the countries - and incorporating gender equality and women's empowerment dimensions at all relevant levels of the programme.

7.17 The absence of gender issues in the design of projects and programmes in both of the countries, combined with the potential for addressing gender issues in a social exclusion perspective, prompts the following recommendations to be addressed at EMAD/ECAD and in the BiH and Kosovo country offices:

Policy and strategy

- 1) Recognising that focusing mainly on economic growth and poverty reduction is not the most appropriate starting point for DFID's strategy in middle-income countries, EMAD should **clarify the analytical connection between stability, growth and security** (which is guiding work in middle-income countries) and DFID's traditional focus on **poverty, exclusion and inequality**, including gender equality and women's empowerment. In particular the social exclusion approach needs unfolding in regard to gender as a cross-cutting dimension.

Conclusions, Lessons and Recommendations

- 2) To raise the analytical understanding of the dynamics of the region, DFID HQ should **commission a regional Drivers of Change study**, which focuses *inter alia* on DFID's ambivalent view on gender equality and women's empowerment in a middle-income country and post-conflict scenario.
- 3) In view of the drivers of change study, ECAD should initiate a **review of the Regional Assistance Plan** and revise accordingly when the plan is up for revision. In the meantime ad hoc initiatives should be taken to mend the gap. Key gender issues for middle-income countries such as the Western Balkans include those related to the labour market. There is ample scope to address gender equality by monitoring a number of gender-specific indicators (e.g. percentage of women that reach post-primary education, occupational segregation within the labour force, level of remuneration and wage differentials etc.). Furthermore, given the history of recent violent conflict and the regional problems with trafficking, relevant target areas include reducing the level of domestic violence and decreasing the incidence of trafficking.

Human resources and organisational development

- 4) A **review of the organisational structures and human resources in regard to gender equality** and the role of HQ-based advisors vis-à-vis gender mainstreaming should be undertaken.
- 5) The **Social Development Advisor** should act as a **cross-cutting adviser** and knowledge resource on women's empowerment and gender mainstreaming. This is in order to support the gender mainstreaming efforts in all relevant themes as an inherent part of their responsibility. DFID's internationally recognised expertise in gender and post-conflict issues should also be relied on.
- 6) **Gender equality training** should be offered **to all in-country and HQ staff (EMAD)**. The objective is to provide all staff with a basic understanding of gender equality, how it relates to the development challenges of the region and how it relates to DFID corporate strategies. Given the similarities in the region, it would also be worthwhile to organise staff exchanges, joint workshops, programme visits etc. in order to take full advantage of the regional approach to explore the different gender equality challenges.
- 7) EMAD should **incorporate gender equality indicators into its performance management instruments** such as Director's Delivery Plan (DDP), Regional Assistance Plan (RAP, part three) and Personal Development Plans (PDP).

Practice/intervention

- 8) The two country offices should **revisit selection criteria for partners** for all main programmes to ensure optimal gender equality impact.

- 9) The two country offices should **mainstream gender into future projects/programmes** to address issues of gender policy evaporation and invisibility:
- baseline survey and other qualitative analyses that are supposed to inform the conceptualisation of a given programme/project should include a gender analysis
 - social appraisals should be conducted as a course of procedure in programming
 - gender equality should be addressed in the design of programme documents, in logical frameworks, purpose, indicators, activities and M&E systems - this not only to maintain focus but also to ensure visibility of results on the ground
- 10) **Gender equality should be mainstreamed into the influencing work of the two country offices** including in the participation in relevant donor forums. In Kosovo, DFID should exploit the opportunity to collaborate with the CHAD-sponsored UNIFEM. This would potentially strengthen DFID's gender competencies and further develop a country approach on how to increase its influence on gender issues in programming and design of interventions.

Annex 1: Evaluation Framework

eWork	Evaluation Question	Analyses	Notes
	EQ1 (a): How have changes in the way DFID works (...) affected the approach to gender issues in DFID's work?	External effectiveness analyses (aid modalities) PRBS thematic study Western Balkans case study (regional working) International effectiveness analysis (policy dialogue and influencing)	Links to EQ2(a); EQ 2(b); EQ 6 (b); EQ 4(a).
	EQ1 (b): What evidence is there of what works and what doesn't in integrating gender in newer aid modalities and in different country contexts?	External effectiveness analysis PRBS thematic study India country case study	Thematic study will consider a variety of approaches to gender in SWAPs and budget support in different country contexts
	EQ2 (a): What organisational structures exist to motivate and reward the achievement of gender commitments in programmes, in DFID and externally, and how have these changed over time?	Internal effectiveness analysis (strategic clarity, performance management)	
	EQ2 (b): Do DFID's current internal incentive systems reward compliance with gender policies or discourage gender-blind programming?	Internal effectiveness analysis (human resource development; performance management; knowledge management)	
	EQ3: What is DFID's role in the international effort to address gender issues? Given DFID's gender equality objectives, are there areas and contexts in which DFID has particular strength or advantage in addressing gender-related concerns? Are there areas of programming or contexts for gender programming in which DFID operates where others would have greater influence, capacity or opportunity, and could take the lead?	Country case studies – International effectiveness analysis (policy dialogue and influencing) Partnership thematic study	Links to internal and external effectiveness analysis
	EQ4: Has DFID used an appropriate mix of channels for addressing gender equality goals and is there adequate coherence and co-ordination between approaches?	External effectiveness analysis (partnerships) Country case studies Thematic impact evaluations (Good Governance/Access to Justice; Sustainable Livelihoods/Pro-Poor Growth)	Links to EQ3
	EQ5: Has the level of resources (funding, staff, and knowledge) for gender equality programming been appropriate to requirements to meet DFID's policy objectives?	Internal effectiveness analysis Gender analysis of DFID's portfolio External effectiveness analysis Country case studies Thematic impact evaluations (Good Governance/Access to Justice; Sustainable Livelihoods/Pro-Poor Growth;)	Links to EQ6
	EQ6: How consistently and effectively does DFID use gender knowledge and experience to inform its programming? How effective are DFID's systems for knowledge sharing, for tracking processes of gender mainstreaming and women's empowerment, and for monitoring progress towards gender equality goals? How do these compare with international best practice? What changes does DFID need to make to improve its monitoring and lesson-learning on gender equality?	Internal effectiveness analysis (performance management, knowledge management) Thematic evaluations (resourcing and M&E)	Links to EQ1 – this in particular in regard to M&E of GEWE in budget support and SWAPs
	EQ7 (a): What has been the impact and contribution of DFID's policy and practice on UK, partner country and international targets for gender equality and women's empowerment goals?	External effectiveness analysis: results and impact Thematic impact evaluations (Good Governance/Access to Justice; Sustainable Livelihoods/Pro-Poor Growth)	Quantitative and qualitative assessment

Annex 2: List of Persons Consulted

DFID CO Bosnia		
Name	Title	Organisation
Mary Shocklegde	Head of Office	DFID BiH
Anamaria Golemac Powell	Social Policy Coordinator	DFID Bi
Ruvejda Hadžihrustić	Economic Policy Advisor	DFID BiH
Vesna Petrović	Governance coordinator (Banja Luka)	DFID BiH
Peter Paproski	Counsellor/Head of Technical Cooperation	CIDA
Michael Docherty	Second Secretary	European Union, Delegation of the EC to Bosnia and Herzegovina
Klelija Balta	Gender Programme Manager	UNDP Bosnia and Herzegovina
Yulia Privalova Krieger	Programme Coordinator	UNICEF BiH
Irena Smirnof	Programme Coordinator	World Bank
Samra Lilic	Coordinator Gender Agency	Gender Agency State level
Aida Pita	Poverty Specialist	EPPU
Azemina Vuković	Head of Office	Office for monitoring and Implementation of BiH Development Strategy (PRSP)
Ana Vukovic	Head of Gender Office	FBiH
Spomenka Krunic	Head of Gender Office	RS
Jelena Milinovic	Public Relations Officer/Gender Office	RS
RSSC		
Dr. Žarko Papić	Director	Independent Bureau for Humanitarian issues
Dūska Andrić-Ružičić	Manager	Medica Zenica
Vesna Mesic	Educator	Vocational Education Programme
Berina Ahmetonić	Beneficiary	RSSC
Doglod Vahid	Beneficiary	RSSC
Sahbegović Emina	Beneficiary	RSSC
Cedrina Huseinspolic	Director of school	RSSC beneficiary
Dragica Nestoror	Pedagogue	RSSC beneficiary
Lejla Calkić	Project administrator	RSSC
Hilda Jilduza Pojskic	Deputy Head of Department for finance and budget	Zenica
Koviljka Spiric	Manager	'Future Plus' - Tseli?
Sead Brljrvac	Chief of Social Sector	Municipality of Zenica
CPCS-BiH		
Sead Traljić	Country Programme manager	BiH DFID Balkans Safety, Security and Access to Justice programme
Jasna Lubura	Consultant	ATOS. DFID Balkans Safety, Security and Access to Justice Programme
Vladimir Jozinovic	Head of Police	Police
PPERP		
Zoran A. Pavlovic	Principal Consultant	PPERP
Brkić Ahmet	Manager	Poljoprivredna Zadruga 'Zenica' (PZZ) Agricultural Cooperative

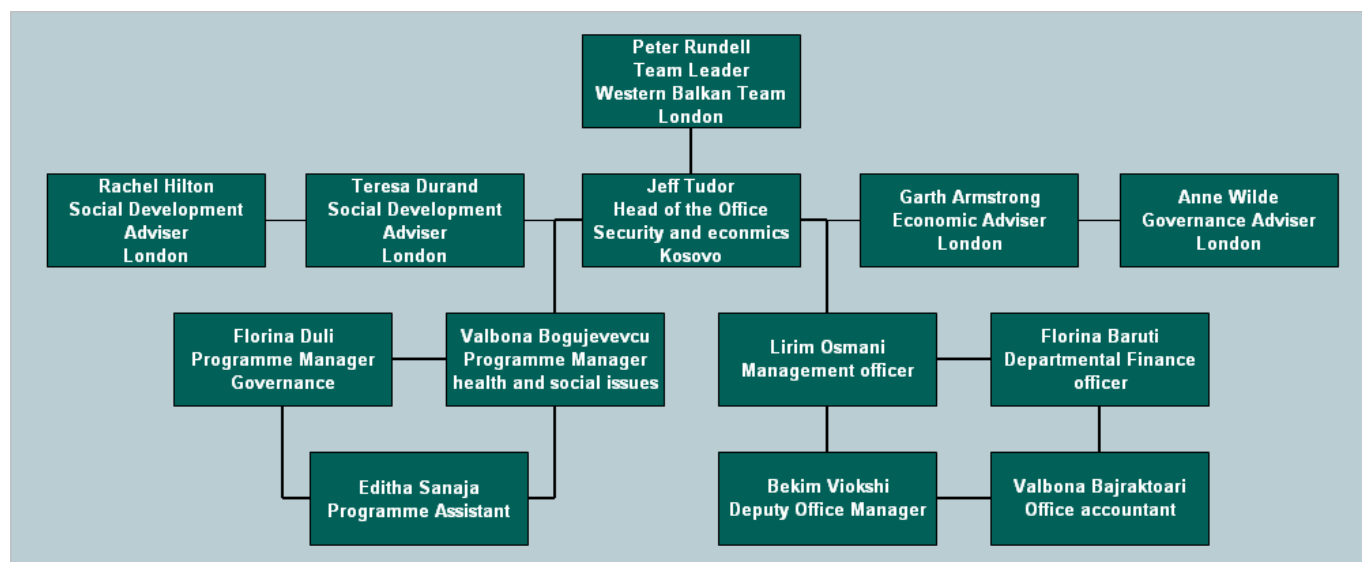
DFID CO Kosovo		
Name	Title	Organisation
Jeff Tudor	Head of Office	DfID Kosovo
Florina Duli	Deputy Programme Manager	DfID Kosovo
Valbona Bogujevcu	Deputy Programme Manager	DfID Kosovo
Flora Macula	Project Manager	UNIFEM
Krenar Loshi	Programme Officer	UNDP
Luljeta Vuniqi	Coordinator	Kosovar Center for Gender Studies
Vjosa Dobruna	Chair of Steering Board	Steering Board for Radio and Television of Kosova
Virginia Dumnica	National Programme Analyst/Gender Focal Point	UNDP
Maddalena Pezzotti	Head of Office	Office of Gender Affairs, UNMIK
Cristal Tojeiro	Associate Political Affairs Officer	Office of Gender Affairs
Alma Tafarshiku	Advisor on Standards to the Prime Minister	UNDP project support staff
OPM		
Bahtir Troshupa	Chair of Independent Oversight Board (IOB)	Ministry of Public Services
Fitim Krasniqi	Director	Government Coordination Secretariat, Office of the Prime Minister
Skender Bequiri	Head of Human Resources Unit	Office of the Prime Minister
Simon James	Team Leader	Policy Component, Public Administration International
Filloreta Bytyci	Project Assistant	Public Administration International
Mark Golding	Team Leader	Standards Component, Public Administration International
KSSP		
Basri Zuka	Municipal Management Consultant	
Halil Hamza	Director	Centre for Social Welfare
Gani Smakaj	Coordinator	Social Assistance
Hajdin Loshaj	Coordinator	Social Services
Timo Piirainen	Team Leader	Helsinki Group
Bajram Kelmendi	Department of Social Welfare	Ministry of Labour and Social Welfare
Muhamet Gjocaj	Department of Social Welfare	Department of Social Welfare, Ministry of Labour and Social Welfare
CSR		
Bajram Ajeti	Personnel Manager	Ministry of Health
Hatmane Lufi	Civil Servant	Ministry of Public Services
Habibe Haxhimustafa	Standard Coordinator	Municipality of Rahovec
CPCS-K		
Skender Zogaj	Mayor	Fuche Kosove
Vjollca Hoti	Police Station Commander	Fushe Kosove
Lumnije Xhigoli	Police Officer	Police Station Fuche Kosove
Ismet Ahmatovic	Police Officer	Police Station Fuche Kosove
Tamara Daffey	Director of Planning	Kosove Police Station Service School
Abdulaziz Hoxha	Police Station Commander	Police Station, Vushtri

Annexes

DFID HQ (ECAD)		
Name	Title	Organisation
Teresa Durand	Social Development Adviser	C&SE Europe, ECAD
Aileen Middleton	Programme Assistant (?)	Western Balkan Team, ECAD
Simon Robinson & Connie Alozie	Programme Assistants	C&SE Europe, ECAD
Anna Wilde	Governance Advisor	C&SE Europe, ECAD
Garth Armstrong	Senior Economic Adviser	C&SE Europe, ECAD
Richard Moberly	Former Team Leader	Western Balkan Team, ECAD
Peter Rundell	Team Leader	Western Balkan Team, ECAD
Josephine McLaughlin	Staff Development Manager	ECAD
Claire Morgan	Assistant Team Manager	Conflict, Humanitarian and Security Department (CHASE)

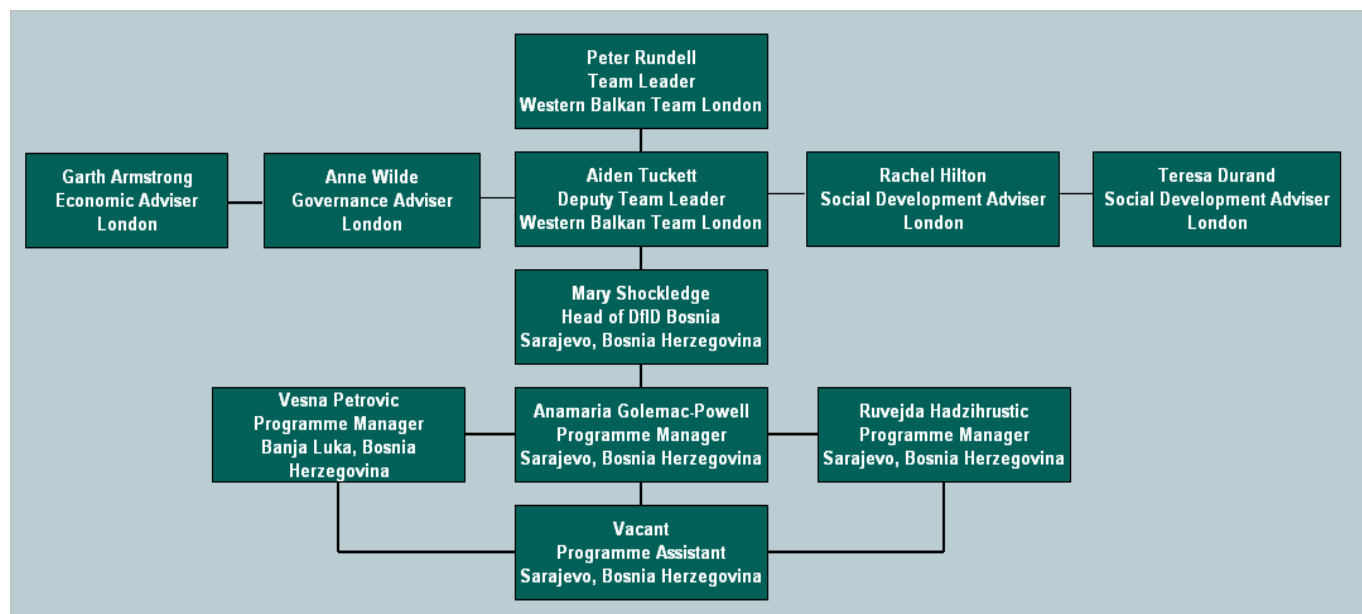
Annex 3: DFID's organisational diagram

Organogramme - DFID, Kosovo



Organogramme - DFID, Bosnia Herzegovina

Organogramme - DFID, Bosnia Herzegovina



Annex 4: Map of Western Balkan



Bosnia Herzegovina:

- CPCS: Zepče and Prijedor
- RSSC: Zenica, Banja Luka, Trebinje and Gornji Vakuf Uskoplje.
- PPERPP: Zenica, Banja Luka, Sarajevo, Prijedor, Tuzla.

Kosovo:

- KSSP : All municipalities in Kosovo. The CSW in Skanderaj was visited.
- OPM : Pristina All municipalities in Kosovo. The CSW in Skanderaj was visited
- CSR : Pristina Pristina
- CPCS : Kosovo Polje and Vushtri
- CPCS : Kosovo Polje and Vushtri

Annex 5: Resourcing

7.4 Resourcing

The present Section provides a short review of the trends and developments in DFID's gender marked commitments and expenditures during the period 1995 - 2005, based on data provided by DFID's Statistical Reporting & Support Group applying the Policy Information Marker System (PIMS).

Methodology

PIMS provides a framework for marking DFID's projects and programmes in relation to key policy areas. The marker applied for tracking GEWE project and programmes is the Gender Equality (GE) marker. It is used for tracking commitment and expenditures for MDG3 by applying:

- *principal* markers (P) for gender-specific activities, which are usually smaller projects, and
- *significant* markers (S) for gender mainstreaming activities, and for larger projects⁴⁶

As only few projects have been marked with a 'P', projects and programmes marked with a 'P' or 'S' have been merged into one gender marked category.

In the data analysis below, the following considerations have been taken into account:

- it is not possible to say how much of the commitments/expenditures would actually be earmarked to gender equality, as this is not separated out, given that this work is mainstreamed
- while the audit reviews both trends in commitments and expenditures, these two entities are not directly comparable as commitments cover the entire project/programme cycle and expenditures only disbursements in a given financial year
- the commitment/expenditure data could underestimate the level of GEWE activities undertaken as PIMS markers are generally only applied to projects of over £100,000, thereby overlooking projects of smaller amount
- the registration in PIMS is done by DFID Project Officers based on the available project documentation, which can be subject to interpretation by the individual officers

⁴⁶ The marker should be scored as *principal*, where the subject of the marker is a fundamental objective of the project, which would not be undertaken without this objective, or *significant*, where the subject of the marker, although important, is not one of the principal reasons for undertaking the project. DFID (2005an) "The Pink Book" - Project Header Sheet Guidance incorporating Input Sector Codes and Policy Information Marker System, London: DFID.

Annexes

- it should also be mentioned that all data derives from PIMS and hence solely includes data on marked commitments/expenditures, even when they are referred to as commitments/expenditures in the analysis below

Review of GEWE marked data

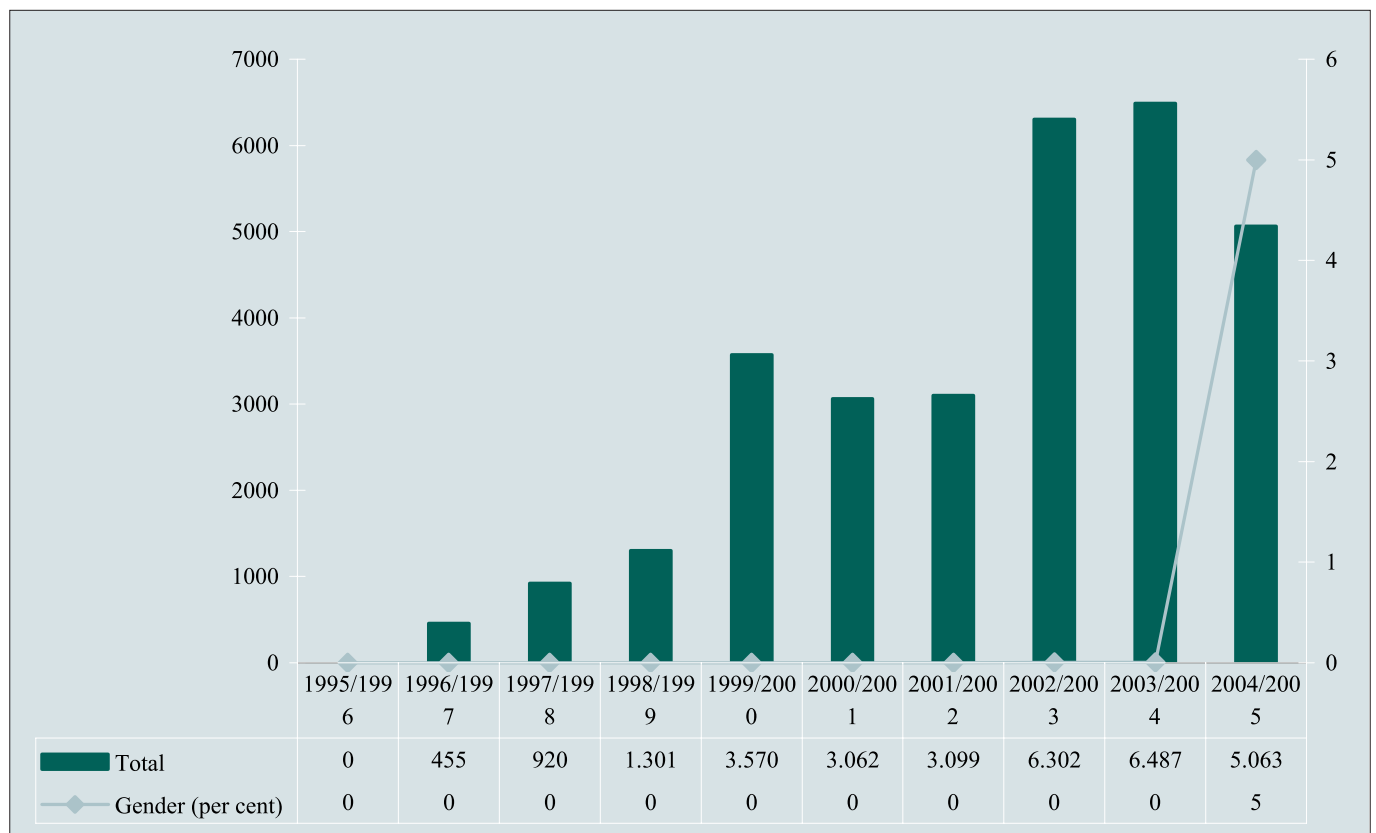
In 2004/2005 the annual DFID bilateral aid expenditure to Kosovo and Bosnia Herzegovina stood at £6.30 million.

As indicated in the main report, increases in expenditure since the humanitarian emergency phase has not resulted in an increase of aid marked for gender equality.

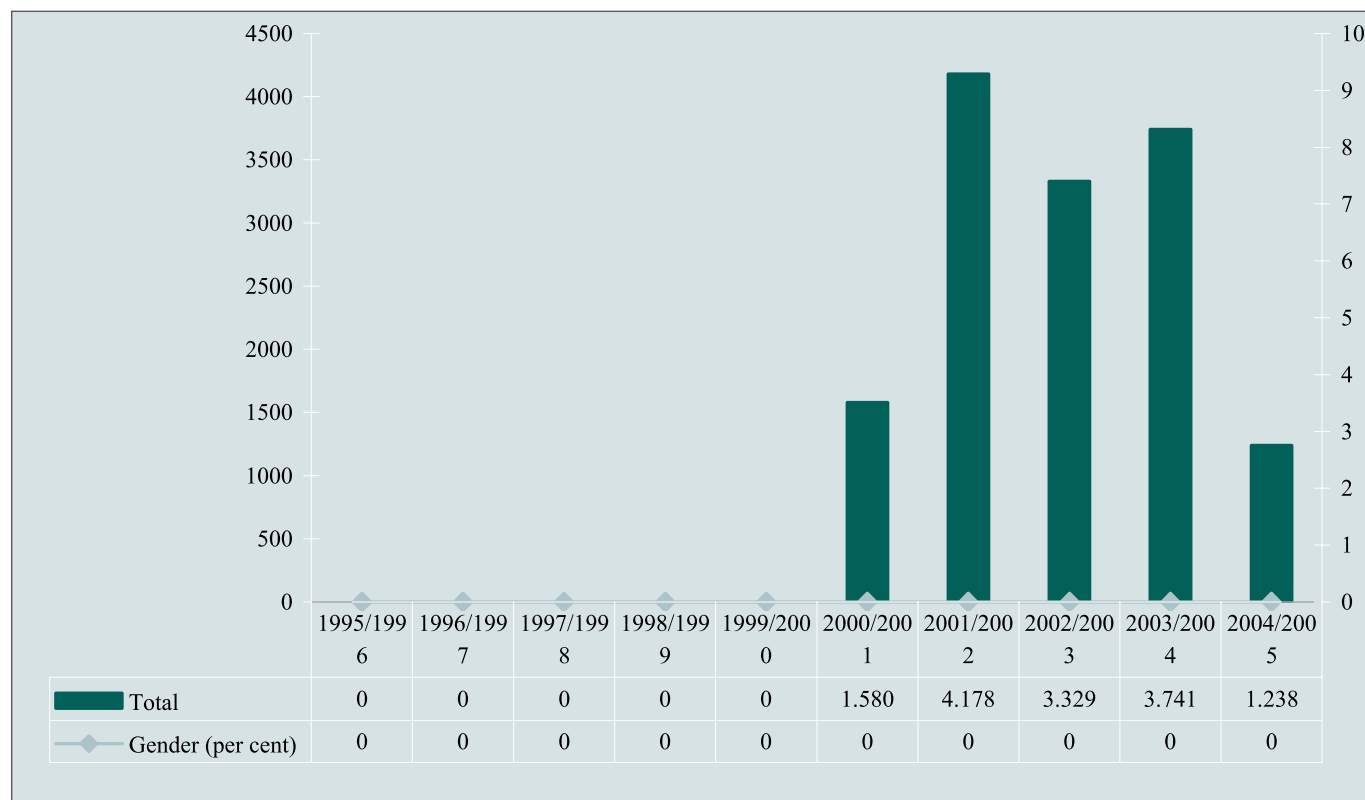
Chart 1 below shows the total expenditure per year for each year of the period 1995-2005 and the percentage of the total aid marked for gender equality by either a *Principal* or *Significant* marker.

Chart 1 Total aid expenditures (thousand £) and the percentage of bilateral aid marked for gender equality (%), 1995-2005

Bosnia Herzegovina



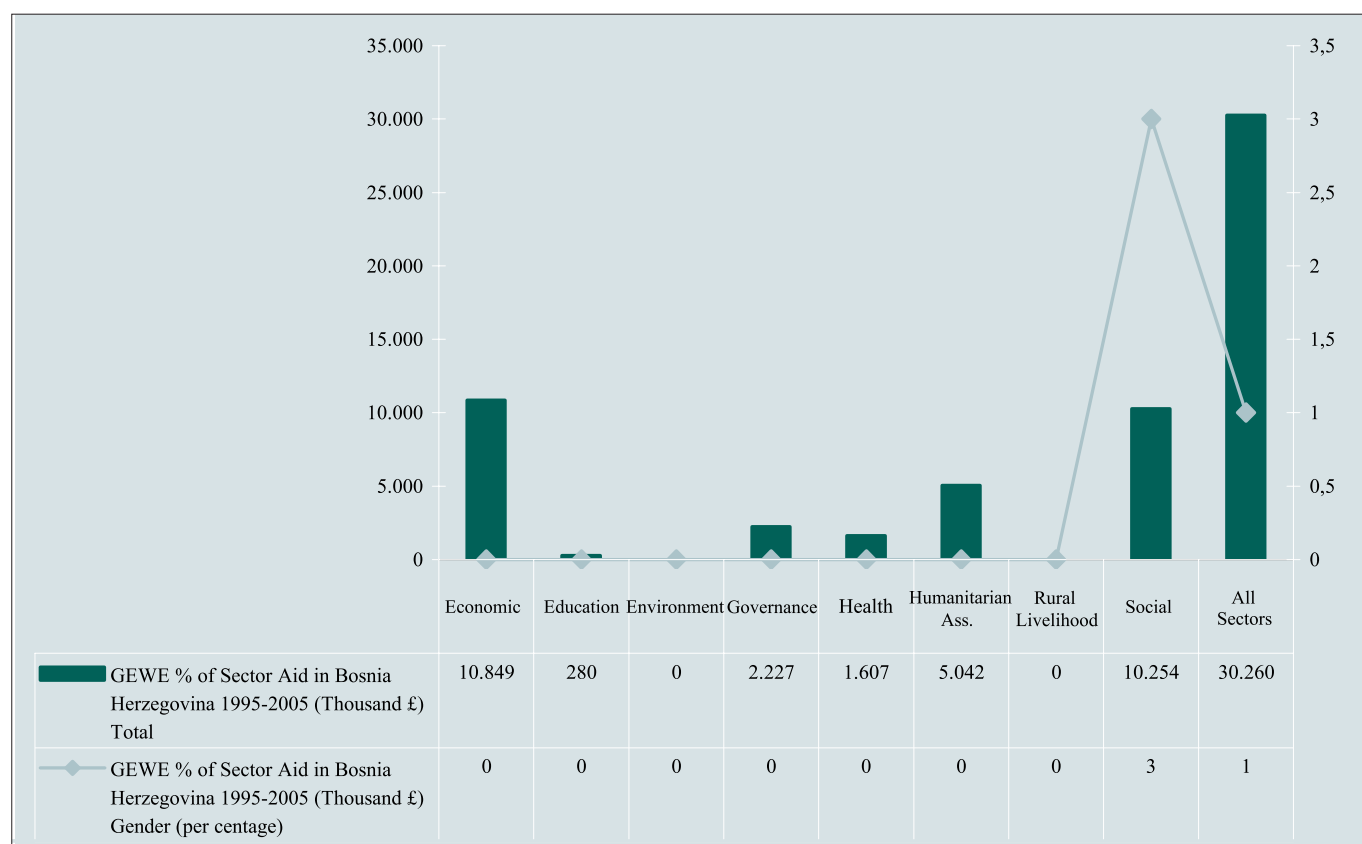
Kosovo



In Bosnia Herzegovina, the percentage of the programme marked with gender reached 5% of the programme in 2004/2005.

No parts of the programme in Kosovo have been marked for gender equality.

Chart 2 Total aid expenditures (thousand £) divided by sector and the percentage marked for gender equality in Bosnia Herzegovina (%), 1995-2005



In Bosnia Herzegovina, 3% of the projects in the social sector are GEWE marked⁴⁷. In fact, this share represents only one project, i.e. Reforming the Systems and Structures of Central and Local Social Policy Regimes (RSSC).

In summary, GEWE marked expenditures and commitments constitute an insignificant part of the programme in Bosnia Herzegovina and no parts of the programme in Kosovo.

⁴⁷ The social sector includes: Social policy, Strengthening civil society, Human rights, Social protection, Societal violence reduction, Shelter and housing, Water supply, Sanitation and waste control, Alternative development, and social research.

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