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EVALUATION OF DFID'S POLICY AND PRACTICE IN SUPPORT OF GENDER EQUALITY AND WOMEN'S EMPOWERMENT   VOLUME 1   SYNTHESIS REPORT

EVALUATION OF DFID'S POLICY AND PRACTICE IN SUPPORT OF GENDER EQUALITY AND WOMEN'S EMPOWERMENT

VOLUME 1

SYNTHESIS REPORT

*COWI Evaluation Team
Rikke Ingrid Jensen et al*

DEPARTMENT FOR INTERNATIONAL DEVELOPMENT

EVALUATION REPORT EV669

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

SYNTHESIS REPORT

COWI Evaluation Team
Rikke Ingrid Jensen et al.

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

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- DFID's Efforts to Address Gender Equality Goals in International Partnerships
- Gender and Pro-Poor Growth

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.

BRIDGE	Briefings on Development & Gender
CAP	Country Assistance Plan
CIDA	Canadian International Development Agency
CSP	Country Strategy Plan
DAC	Development Assistance Committee
DCI	Development Cooperation Ireland
DDP	Director's Delivery Plan
DFID	Department for International Development
DoC	Drivers of Change
EC	European Commission
EMAD	Europe Middle East and Americas Division
EQ	Evaluation Question
FCO	Foreign and Commonwealth Office
FCPD	Finance and Corporate Performance Division
GAD	Gender And Development
GADN	GAD- Network
GE	Gender Equality
HQ	Headquarters
IDT	International Development Targets
IS	Institutional Strategy
JAS	Joint Assistance Strategy
LFA	Logical Framework Approach
M&E	Monitoring and Evaluation
MDG	Millennium Development Goal
MEFF	Multilateral Effectiveness Funding Framework
MoU	Memorandum of Understanding
Norad	Norwegian Agency for Development Cooperation
ODA	Overseas Development Administration
OECD	Organisation for Economic Co-operation and Development
PAF	Performance Assessment Framework
PDP	Personal Development Plan
PfA	Platform for Action
PIMS	Project Information Marker System
PPA	Partnership Programme Agreement
PPG	Pro-poor growth
PRBS	Poverty Reduction Budget Support
PRS	Poverty Reduction Strategy
PRSP	Poverty Reduction Strategy Paper
PSA	Public Service Agreement
PSIA	Poverty and Social Impact Assessment
R&D	Research and Development
RAP	Regional Assistance Plan
SDA	Social Development Adviser
SDC	Swiss Agency for Development and Cooperation
Sida	Swedish International Development Cooperation Agency
SWAp	Sector Wide Approach

Abbreviations

TOR	Terms of Reference
TSP	Target Strategy Paper
UK	United Kingdom
UKMIS	The United Kingdom Mission to the United Nations
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nation's Children's Fund
UNIFEM	United Nations Development Fund for Women
WB	World Bank
WIDE	Women in Development Europe

EXECUTIVE SUMMARY

S1   The 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. This report is a synthesis of:

•   three country/regional case studies – Nigeria, India, and Western Balkans

•   an analysis of DFID's portfolio 1995–2005

•   three thematic studies, on gender equality (GE) and

  •   budget support

  •   justice and rights-based policies and programmes

  •   international partnerships

Research has also been conducted on gender mainstreaming in pro-poor growth interventions.

Main conclusion

S2   The overall conclusion is that there is a continuing need and justification to pursue the goal of gender equality and women's empowerment in its own right, and as a key factor in poverty alleviation and pro-poor growth. There is some appreciation amongst DFID staff and partners of the links between equal rights and opportunities for women and men on the one hand, and economic and social development on the other, and this has grown in the last decade. However, this understanding needs to be developed further if we are to move beyond the still widespread notion that GE (gender equality) is in competition with other development objectives.

S3   The evaluation demonstrates that DFID has made important contributions to gender achievements at policy and at practice level. However, the contribution and impact is uneven, with variations across sectors, countries and partnerships. The unevenness of gender mainstreaming can be attributed to inconsistency at policy, conceptual and at institutional level as well as to an insufficiently enabling environment.

Response to the Evaluation Questions (EQ)

S4   The changes in the way DFID works (EQ1) – a shift to country-led approaches and newer aid modalities – have accentuated the lack of a common appreciation of the status of DFID's gender policies and guidelines. Generally, they are regarded as optional, not prescriptive. This has contributed to a fragmentation in the application of approaches and strategies in the area of gender equality and women's empowerment, and to a subsequent uneven impact.

S5   In terms of what has worked in integrating gender concerns, our sample suggests that the integration of gender targets in the performance management framework has helped in institutionalising gender mainstreaming within the targeted sectors of primary and secondary education and maternal health. Moreover, it is evident that the application of multi-dimensional poverty analysis is critical when developing gender-sensitive country strategies. The existence of strong country office gender focus, in the form of genderised country strategies and country-specific GE strategies and leadership, is also found to be a contributing factor in integrating gender concerns in different country contexts. DFID India's interdisciplinary programme team approach has proved to be an efficient model for dialogue with and influence of state governments.

S6   For newer aid modalities and more specifically for Poverty Reduction Budget Support (PRBS) schemes, it was found that the lobbying of a Poverty Reduction Strategy (PRS) gender team composed of civil society organisations and donors was an effective measure to integrate gender concerns into the PRS. In contrast, the combination of a gender-blind PRS and the application of a non-conditional aid policy on gender in the PRBS does not promote gender concerns.

S7   The current organisational structures (EQ2), with the disbanding of the project approval committee vetting all project proposals for coherence with DFID policies, has weakened compliance with gender policies.

S8   With regard to the performance management framework, the system rewards compliance with gender polices in so far as the gender mainstreaming activities are captured within the Public Service Agreement (PSA) gender targets. However, given that the current gender targets are very narrow in scope, the system does not discourage gender-blind programming outside of these targets (see EQ1). Narrow gender targeting in result setting has not been balanced by consistent and broad-based senior management leadership on gender. Indeed, gender achievements outside of the PSA-targeted areas are not perceived to be highly rated by senior management when compared with other achievements. As a consequence, DFID's emphasis on GE strategies and women's empowerment goals tends to reflect the degree to which GE strategies and priorities are already reflected in the local context and in partner organisations' core mandates.

S9   DFID's role in the international effort to address gender issues (EQ3) has been significant in terms of policy leadership and knowledge development. However, these strengths are not coherently reflected at country level, where the evaluation shows no evidence of a pattern in the division of labour. Instead, an ad-hoc country-specific approach to the sharing of tasks among donors has been noted, reflecting current staff expertise and resources, for DFID and other donors alike.

S10   The evaluation is inconclusive as to the appropriateness of DFID's mix of channels (EQ4) for addressing GE goals, since a comprehensive and comparative analysis of gender-related impact attained through different channels was not possible.

S11   With regard to the level of resources (EQ5) available for GE programming, the evidence

suggests that the current level of staffing is not appropriate for broad-based gender mainstreaming. In terms of funding, the evidence derived from the Project Information Marker System (PIMS) data is inconclusive due to the incoherent manner in which the system is applied. Hence no conclusion can be drawn about the appropriateness of the funding for GE programming.

S12   DFID's systems for knowledge sharing (EQ6) have contributed to limitations in gender mainstreaming results. While DFID is at the forefront in terms of funding for gender-specific research, the dissemination of the tools and resources developed remain a challenge. The gender tools made available by DFID do not meet knowledge needs expressed by staff; such as tools for gender mainstreaming into PRBS.

S13   DFID's current monitoring system is not adequately used for tracking the processes of gender mainstreaming (EQ6). At corporate level, only GE results within primary and secondary education and maternal health are being reported.

S14   At intervention level, the logical framework approach (LFA) has not been consistently applied in monitoring. This has limited reporting on good practices including the potential effects of GE on poverty reduction and has contributed to the invisibility of gender concerns, with variations among sectors and countries as noted previously.

S15   The analysis of the gender PIMS data raises questions regarding the adequacy of this system as an instrument for monitoring resources for gender equality and women's empowerment work.

S16   The impact and contribution of DFID's policy and practice (EQ7) on gender are clearly more pronounced in gender-explicit interventions, with nine out of ten interventions evaluated found to be contributing to GE goals. For PRBS, findings support the conclusions of the recent evaluation of General Budget Support: gender as a cross-cutting issue does not feature prominently either in the PRS or in the PRBS agreements. This is clearly a missed opportunity, and a cause for concern, due to the planned increase in the relative weight of PRBS.

Recommendations

S17   In recognition of DFID's strengths in policy making and knowledge development alongside the observed weaknesses of uneven gender mainstreaming in programming, we offer four main recommendations.

1.   Pursuit of DFID's gender policy objectives in a new context for international development assistance. Following the increasing emphasis on harmonisation and alignment after the Rome Declaration in 2003, all donors are faced with the dilemma of having to navigate between their own policy objectives and country-led approaches to development. DFID needs to enable staff to manage these complexities in their interactions with development partners, governments and other donors alike. In this context, it has to be recognised that gender policy objectives as well as other cross-cutting and sector policy objectives are affected.

- *Influencing at country level.* The new global aid environment implies that the effectiveness of development assistance is strongly affected by influencing and negotiation processes: influencing of partner governments and other stakeholders in the preparation of PRS and sector policies; influencing of other donors in the negotiation of joint donor responses in the form of Joint Assistance Strategies, PRBS, Sector Wide Approaches (SWAps), and so on. With regard to the influencing of partner governments, the evaluation team recommends that DFID identifies ways to support local advocacy efforts for the promotion of gender issues in PRS. As for the influencing of the donor response, DFID should equip country office staff with influence and dialogue mandates, instructions, and tools; these should include guidance on DFID's role in donor gender coordination forums and PRBS working groups.

- *Influencing the aid effectiveness agenda at international level.* DFID should revitalise its international lead on gender policy development with the addressing of gender concerns in the context of the Development Cooperation Directorate's (DAC's) aid effectiveness working groups. Joint donor work should be instigated to address the issue of appropriate donor response to lack of national ownership of gender equality and women's empowerment. An entry point could be the exploration of optimal aid modality mixes to meet different country contexts.

2. Recognition that DFID's commitment to the multi-dimensional definition of poverty needs concerted application with regard to gender equality and women's empowerment. Insufficient ownership of the idea that gender equality and women's empowerment are integral to poverty reduction is largely due to inconsistency in the application of poverty concepts across DFID's various policies and guiding instruments. The application of multi-dimensional (and hence gender-sensitive) poverty analyses to inform programming will help build the evidence base on gender in DFID's operating environment.

- *Enhancing conceptual coherence.* Rather than redrafting the gender Target Strategy Paper (TSP), a strengthening of coherence in poverty concepts should first be addressed in the guidelines and tools that drive DFID's analytical framework for programming. It is therefore recommended that DFID's guidelines for tools such as Drivers of Change (DoC), Poverty and Social Impact Assessments (PSIA), and social inclusion analyses be reviewed by Policy Division for consistency in linkages between GE and poverty reduction. Further, the guidelines at programming level[1] should be adjusted by Finance and Corporate Performance Division (FCPD) to ensure that all programming is based on gender-sensitive poverty analysis. Minimum standards in the application of multi-dimensional poverty analysis tools should be stipulated, building on the review work of Policy Division referred to above.

- *Establishing conceptual clarity.* In light of the different interpretations of the goal of gender equality and women's empowerment, it is recommended that Policy Division

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[1] Director's Delivery Plan (DDP), Regional Assistance Plans (RAP), Country Assistance Plans (CAP), Institutional Strategies (IS) and Partnership Programme Agreements (PPA).

clarifies the different approaches to reaching the objective. In particular, the implications in the form of different outcomes of applying the rights-based approach and social inclusion perspective need clarification.

3. Recognition of the need for the approach to gender mainstreaming to be anchored institutionally. Even if the importance of gender equality and women's empowerment to poverty reduction were widely recognised, the strategy of gender mainstreaming is still not adequate in institutional terms. Accountability measures need to be broadened in order to better anchor the strategy.

- *Enhancing institutional coherence*. Institutional coherence is needed in order to encourage staff to effectively pursue GE objectives in their work. A broadening of the established PSA GE targets is needed – at the moment these are too narrow, covering only education and health. An entry point could be a review of PSA 1 targets (eradication of extreme poverty and hunger) to ensure that gender equality and women's empowerment targets are made explicit in the approach to poverty reduction. Furthermore, in line with DFID's support of the United Nations as the norm-setting system, the millennium development goal (MDG) review of September 2005 that expanded MDG 3 targets to address wider gender issues, including sexual and reproductive health rights and actions against violence against women, should be institutionalised into DFID's performance management framework[2]. The broadened priorities need to be institutionalised into key programming documents (IS, PPA, DDP, RAP, and CAP – see above and footnote 1). In addition, the same broadened priorities should be reflected in Personal Development Plans (PDPs), with regard to both performance and learning objectives. A starting point would be integration of gender-specific indicators into the PDPs of the gender champions to be nominated (see recommendation 4).

- *Monitoring for coherence*. The broadened gender targets need to be reflected in formal and informal monitoring and evaluation (M&E), at both institutional and intervention level. This would include the integration of gender concerns into DFID's frameworks for monitoring and assessment of the performance of multilateral and civil society partnerships, including the Multilateral Effectiveness Funding Framework (MEFF). An audit mechanism also needs to be put in place to ensure that the updated M&E guidelines are adhered to. The mandate of existing UK gender advocacy forums could be expanded to encompass this role.

4. Enhancement of the enabling environment for gender equality and women's empowerment. Management at DFID headquarters and country offices need to demonstrate continued commitment to the importance of gender equality and women's empowerment: this will serve as a powerful incentive for staff.

- *Champions for gender*. The 2003 Development Committee's commitment to nominate a top management champion should be acted upon. Moreover, all

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[2] Revised draft outcome document of the High-level Plenary Meeting of the General Assembly of September 2005 submitted by the President of the General Assembly.

management groups of country offices should nominate a champion, preferably from outside of the Social Development Adviser (SDA) advisory group in order to broaden the existing lead on gender.

- *Knowledge*. Guidance should be improved on locating and accessing existing gender knowledge products (including information, tools, guidelines and training modules), complemented by an update of the existing resources and the development of new tools as required, in order to enable staff to pursue the suggested, broadened PSA GE targets. Policy Division should take the lead on this.

- *Training*. Following the review of the poverty analysis instruments (see recommendation 2), training in these should be reviewed, as should training in programming guidelines. Moreover, training in the Project Information Marker System (PIMS) need to be conducted at country office level to ensure coherent application. Such training is already foreseen with the forthcoming training on DFID's new reporting and e-information system, ARIES.

- *Learning environments*. Cross-country and cross-departmental learning should be strengthened in order to facilitate sharing of best practice and to address the shortcomings of the interdisciplinary approach. A starting point would be to hold regular retreats for all gender champions. Gender concerns should also be mainstreamed into the retreats of all professional advisory groups, and not only those of the SDAs. This will contribute towards revitalising the learning environment for gender mainstreaming within DFID.

1   INTRODUCTION

1.1   The 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 in this area by assessing the results of DFID's policies and programming on gender equality (GE) and women's empowerment and any consequent effects on poverty reduction. Other objectives are to assess DFID's contribution, its internal systems and its incentives in support of GE.

1.2   Seven evaluation questions (EQ) concerning DFID's internal and external effectiveness and role in the international effort to address gender issues have guided the evaluation (see Terms of Reference and Evaluation Framework in annexes 1 and 2). The seven clusters of evaluation questions of the terms of reference (TOR) capture issues raised in the pre-evaluation thematic studies[3]. These studies provide preliminary overviews of how gender has been addressed in different areas of DFID work, and suggest frameworks and entry points for further study, which have inspired this evaluation, the thematic studies in particular.

1.3   DFID is publicly committed to pursuit of GE and women's empowerment. DFID's commitment to international conventions on equality and elimination of discrimination against women has been incorporated into key policy documents like the Gender Target Strategy (TSP) 2000 and is reflected in White Papers, in Public Service Agreement targets and in various strategies and guidelines. The process of building commitment dates back to the 1970s when DFID (then ODA[4]) was an active participant in the first World Conference on Women in 1975. This culminated in the formal adoption of a 'twin-track' strategy combining specific activities aimed at empowering women, with a commitment to pursue GE in the mainstream of all development programmes (gender mainstreaming). The outcome, DFID's Gender Strategy (TSP 2000), follows the route of the international community of development cooperation. Many bilateral and multilateral donors adopted gender mainstreaming strategies more or less at the same time.

1.4   Over the last decade, the recognition that the empowerment of women is an essential precondition for the elimination of world poverty and the establishment of respect for human rights has grown stronger. Research spearheaded by the World Bank[5] underpinned the linkage, for example:

- improved equal rights reducing corruption

- progress in closing educational gender gaps accelerating economic growth

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[3] The thematic pre-evaluation studies (working papers) examined DFID's gender equality policies and programming in eight areas of DFID's work: HIV/Aids, education, maternal health, voice and accountability, enabling environment, conflict, migration and gender violence. A scoping study summarises DFID's experience of gender mainstreaming 1995-2004.

[4] Until 1997 DFID was the Overseas Development Administration (ODA). For the sake of clarity DFID has been used throughout the report.

[5] Most important is the research reported in World Bank (2001) *Engendering Development – Through Gender Equality in Rights, Resources and Voice*.

• fair and equal access to productive resources and employment opportunities advancing GE and enhancing economic efficiency

1.5　The linkage between GE and poverty elimination was recognised in DFID's Gender Strategy (TSP 2000) and has been re-emphasised since then, latterly in policies and strategies which take as their starting point the Millennium Declaration and the eight Millennium Development Goals (MDGs). However, this evaluation confirms that poverty reduction and GE need to be better understood and actively pursued in order to make aid more effective and reach the goals to which DFID is committed. It is a contention of this evaluation that a number of the issues listed as a rationale for this evaluation (including the observation that 'almost all PSA targets where progress is slipping have strong gender-related components'[6]), need to be addressed with a stronger commitment to pursuing poverty reduction within GE.

1.6　The evaluation includes:

• three country/regional case studies
    • Nigeria
    • India
    • the Western Balkans (Bosnia and Herzegovina and Kosovo)

• three thematic studies
    • Gender and Budget Support
    • Gender Equality and Women's Empowerment through Justice and Rights-based Policies and Programmes
    • DFID's Efforts to Address Gender Equality Goals in International Partnerships

• a gender analysis of DFID's portfolio 1995–2005

1.7　Separate research was conducted on gender in pro-poor growth interventions.

1.8　The present report synthesises findings and conclusions from all parts of the evaluation and provides recommendations to DFID. The recommendations are for DFID as a whole, but many have implications for departments and country programmes. The country case study reports contain recommendations for the specific country offices, and recommendations are provided within the scope of some of the thematic studies.

1.9　While all aspects outlined above are referred to, the focus of the evaluation has been on DFID's internal effectiveness, as reflected in the structure of the report:

section 2　presents the methodology of the evaluation, specifying the methods for data collection and analysis as well as limitations experienced

section 3　presents findings of DFID's impact and contribution to GE goals

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[6] See the terms of reference for this evaluation, section 2.2, annex 1.

section 4 provides an overview of the changes in the way DFID has worked during the past
10 years and the influence on DFID's approach to gender

section 5 assesses DFID's policies and organisational structures in relation to incentives for
GE work

section 6 analyses DFID's resourcing for gender equality in terms of knowledge, staffing, and
funding

section 7 evaluates DFID's practices on the ground, focusing on the project cycle

section 8 assesses DFID's usage of partnerships for gender equality work

section 9 provides the main conclusions for each evaluation question

section 10 lists the recommendations

1.10   The TOR, the evaluation framework, a timeline of key changes and the gender analysis of DFID's portfolio are attached as annexes. The other background studies are published as two separate volumes.

2. METHODOLOGY

2.1 Changing concepts and approaches

2.1 'Assessing progress in the mainstreaming of a GE perspective is a bit like picking up mercury. It all too quickly slips through your fingers. There is often no agreement on what to look for, how to measure progress, how 'high the bar' should be. Until organisations have clear objectives and targets of what they hope to achieve and how they will monitor and measure those achievements, it will be up to evaluators to sort out what they are looking for[7]'.

2.2 This quote captures a number of challenges in implementing and evaluating gender mainstreaming policy and practice, all of which DFID shares with many other aid agencies[8]. The methodological challenges reflect the changing and to some degree conflicting perspectives on what GE mainstreaming is, why it is important[9] and how changes in GE and women's empowerment[10] can be obtained and measured. For example:

- within a few decades, the debate has changed from the welfare perspective of Women in Development (WID), to the Gender and Development (GAD) perspective: that is, from regarding women as victims to regarding women as active participants and as a resource

- GE and women's empowerment are interpreted as goals in their own right, but also as a means to obtain other goals; for example, economic growth, poverty reduction and fulfilment of human/women's rights

- GE is a value-based rather than primarily a technical matter: to work with GE in development cooperation nevertheless still requires gender skills, capacity, time and resources

- gender inequality is seen as an outcome of cultural practices, of economic, social and legal discrimination and of power relations

- a common view in partner countries is that GE is an externally imposed goal rather than an internally generated policy[11]

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[7] Freeman, Ted, B. Mikkelsen et al (2003) *Reflection on Experiences of Evaluating Gender Equality,* Sida Studies in Evaluation 2003/01.

[8] See EC's, Sida's, Norad's, UNDP's, World Bank's and DAC's gender evaluations. All of these underline the same challenges, though they also demonstrate 'islands of success'.

[9] DFID, like other agencies, follows the PfA recommendations for a 'twin-track' gender mainstreaming strategy – i.e. combining specific activities aimed at empowering women with a commitment to place concerns about gender equality into the mainstream of development programmes. (DFID (2000a) *Poverty Elimination and the Empowerment of Women*).

[10] Gender equality objectives and women's empowerment objectives are linked but different in their focus. The TSP discusses the meaning of these terms as understood in DFID. In this report 'gender equality' will be taken to include gender equality and women's empowerment unless a clear distinction is required.

[11] This is a widespread view even in countries which are signatories to international conventions on gender equality and women's empowerment.

- action to mainstream GE is often vague and is not backed up with appropriate analysis of gender disparities and gender-disaggregated analysis of poverty

2.3   The evaluation takes into account the changing concepts and approaches in assessing the effectiveness and outcomes of DFID's mainstreaming strategy.

2.2   Evaluation frameworks and criteria

2.4   Despite the diversity of views about the importance of GE for pursuing effective development, consensus has been developing since the first International Conference on Women in Mexico in 1975, being later reflected in all significant global and regional forums and most recently in the prominence given to GE and women's empowerment in the Millennium Summit. Underlying agreements on the GE goal runs a critical discourse about the adequacy of pursuing GE through mainstreaming[12], which is referred to in various places of this evaluation.

2.5   The starting point for this evaluation has been a set of pre-evaluation studies and a first phase scoping study[13]. A number of issues and frameworks from these have inspired this evaluation of the seven sets of questions outlined in the TOR (see annexes 1 and 2). Interpretations of DFID's gender policy[14] have been based on the relevant White Papers, on DFID's strategies for achieving the international development targets – *Realising Human Rights for Poor People* and the Target Strategy Paper (TSP) on *Poverty Elimination and the Empowerment of Women* (the Gender Strategy) and the Gender Manual (2002).

2.6   The Gender Strategy and Gender Manual capture the major developments in gender thinking over the last few decades. They include lessons on mainstreaming and provide guidance on the tools DFID staff are expected to have used during the decade under evaluation (1995–2005). With other guidelines and key policy documents specifically referred to in the course of the evaluation, they provide the basis for assessing DFID's policy and practice in support of GE and women's empowerment.

2.7   The Gender Strategy states[15], 'The purpose of the strategy is to ensure that women's empowerment and GE are *actively pursued* in the mainstream of all development activities' (evaluation team's emphasis). The evaluation criteria (see box 1) have been devised to assess whether and how effectively the purpose of the strategy[16] has been reflected 'in the mainstream'[17] – in policies, strategies, guidelines, and documents – and in the awareness of staff and other stakeholders and partners, along with their capability and approaches to work with GE goals in planning, implementation and monitoring.

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[12] For example, UNIFEM and DAC workshops (2005) have critically reviewed the mainstreaming strategy.

[13] The thematic pre-evaluation studies (working papers) examined DFID's gender equality policies and programming in eight areas of DFID's work: HIV/Aids, education, maternal health, voice and accountability, enabling environment, conflict, migration and gender violence. A scoping study summarises DFID's experience of gender mainstreaming 1995-2004.

[14] Interpretations of DFID's gender policies have been validated through numerous interviews.

[15] DFID (2000a) p. 29-30.

[16] DFID (2000a) p. 29–30, exemplifies the more specific objectives of the strategy.

[17] DFID's twin-track strategy prompts a focus on both targeted interventions on women's empowerment and on gender equality goals mainstreamed into policies/strategies, sector and programme interventions.

Box 1: Evaluation criteria

The criteria used to assess Gender Equality and Women's Empowerment in policies, strategies, documents, interventions, procedures and dialogues follow the practical tools and guidelines of DFID's gender manual (2002) as relevant. The criteria are in brief:

- *gender analytical information including sex disaggregated data* – reflection of gender analytical framework information on *beneficiary groups* and *organisations* – DFID and partners[18].

- *influencing the development agenda and linking gender equality 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 gender equality* – whether gender equality 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 gender equality as 'principal' or 'significant' project objectives.

- *organisational capacity building and change* – reflected in gender focal staff, financial resources, capacity building strategies, including gender training, management support, organisational culture, staff perceptions and attitudes.

These criteria are used in the assessment of the seven clusters of questions set out for this evaluation (see annexes 1 and 2).

2.8   Methodologically, we recognise that ongoing interventions supported by DFID may span gender approaches, policies and country strategies and other strategies from different periods[19]. Whether this is reflected in changing targets, indicators and approaches to gender mainstreaming, for example in how logical frameworks for specific interventions are used, is considered. However, linkages between changing gender discourses and policies and particular interventions are not always clear since many different factors influence outcomes.

2.9   The assessment of policy and practice implications for GE outcomes is undertaken in recognition of the different and sometimes conflicting interpretations and appreciation of (resistance to) the Gender Strategy amongst different stakeholders within and outside DFID[20].

2.3   Sampling frame and tools

2.10   The following sampling clusters were selected for evaluation.

- *Stakeholders.* In addition to DFID staff of the targeted country offices, some current or former staff within DFID's policy and regional offices, in cross-disciplinary groups and in

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[18] 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.
[19] See Annex 3, Timeline of Key Changes.
[20] See for example Moser, C et al (2004) *DFID Malawi Gender Audit: Evaporated, Invisibilised or Resisted?*, London DFID.

line functions have also been targeted for interview. In addition, some staff at embassies, representatives of partner organisations and beneficiaries, of gender research and advocacy groups and networks, and other donors (bilateral and multilateral agencies) have been interviewed. Complete lists of persons interviewed are included in annexes to the background studies.

- *Countries*. Four countries/regions have been subject to field studies: India; Nigeria; Western Balkans (Bosnia Herzegovina and Kosovo); and Ethiopia. Ethiopia was only used in the context of PRBS. Further country-specific initiatives in Brazil, Jordan, Kenya, Mozambique, Pakistan, Peru, South Africa, Tanzania, Uganda, Zambia, and Zimbabwe have been subject to desk study.

- *Themes*. Four themes have been targeted for study: good governance/access to justice; sustainable livelihoods/pro-poor growth; and PRBS and education. The last of these was used only in the context of the country case studies. A separate paper on international partnerships was issued to complement the findings of the country case studies.

- *Interventions*. A total of 36 interventions (thirty-one projects, four PRBS and one SWAp) have been evaluated. See section 7, table 1 for further details.

- *Partners*. Three partners have been targeted for evaluation: the European Commission (EC); the United Nations Children's Fund (UNICEF); and World Bank (WB). A range of national and international partners have been reviewed in country case studies and strategy assessment (institutional strategy).

2.11   The evaluation has attempted to provide evidence of the impact and contribution of DFID's policy and practice on international targets, taking into account changes over the years in the way DFID works, the channels used and the resources dedicated to gender-focused work[21]. Impact has been 'measured' by assessing people's perception of change[22]. In this regard the following tools have been applied for the 'measuring' of impact:

- *Interviews*. These were primarily semi-structured, and were with representatives of different staff categories, management responsibility and seniority. Information obtained from those with direct responsibility for gender issues has been complemented by interviews with others who are expected to promote gender mainstreaming. For several thematic papers, short structured mail questionnaires were complemented by personal or telephone interviews.

- *Focus group discussions*. Most Significant Change assessment[23] has been used as a tool where appropriate. Discussions were conducted with beneficiaries and with implementing and management staff. The *Change Assessment and Scoring Tool* (CAST)[24] has been

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[21] See Annex 2, Evaluation Framework.

[22] Inspiration comes from Roche, C (1999) *Impact Assessment for Development Agencies – Learning to Value Change*, Oxfam and Novib, UK and NL.

[23] See Sigsgaard, P (2002) *Monitoring without indicators: an ongoing testing of the MSC approach*. In Journal of Evaluation. New Series, Vol. 2, No. 1. See also Mikkelsen, B (2005) *Methods for Development Work and Research. A New Guide for Practitioners*. p 297-99: Sage Publications, New Delhi.

[24] See Mikkelsen, B et al (2002b) Sida, UTV Working Paper 2002:1: Stockholm.

used to synthesise findings. These tools are useful in an evaluation such as this which attempts to capture lessons on process, considering changes in the way DFID works as well as the impact of past policies and programming on gender equality and women's empowerment, and any consequent effects on poverty reduction.

- *Documentary analysis*. Key policy and strategy documents, country programme documents, and standard intervention documentation for the themes, countries, partners and interventions were reviewed to the extent possible prior to field visits. All documents are listed in annexes to the various background studies.

- *Triangulation*. Preliminary observations have been validated by the use of alternative methods and sources of information whenever possible. For example, the relevance and validity of early hypotheses from documentary studies and observations on the ground were tested on DFID staff or on external stakeholders and evaluation team members.

2.4   Limitations

2.12   The selection process for case countries and interventions during the inception phase of the evaluation has imposed limitations on the sample used by the evaluation team for its assessments. Several country offices did not agree to have a gender evaluation undertaken. Only three country offices (as opposed to the four country cases stipulated in the TOR) agreed to the evaluation, two of which had programmes of considerably shorter duration than the ten-year period 1995–2005. Others requested that the evaluation did not look into particular themes, for example sustainable livelihoods, which were likely to have provided significant lessons on gender mainstreaming. This prevented early access to relevant documentation and key informants by the evaluation team. The sample size was severely limited, particularly in sector-specific evaluations and different aid modalities such as SWAps and PRBS. The Terms of Reference for the Thematic Papers had to be significantly revised to adjust for some of these shortcomings.

2.13   A lesson to be drawn from this is that early agreement on cases, samples and documentation is necessary. This will help to ensure that longer 'institutional memory' is captured. A related lesson concerns the need to consider some form of self-evaluation in country offices prior to the external evaluation, with different degrees of headquarter involvement. This could help to clarify the purpose of a 'sensitive' evaluation and mobilise staff at country offices and in implementing partner organisations. In other words, self-evaluation could help to build a common evaluation culture.

3 DFID'S IMPACT AND CONTRIBUTION

3.1   While DFID has had an important impact on global gender equality efforts in policy setting and knowledge sharing, its impact and contribution at programme level show great variation. This section discusses DFID's impact and contribution at these two levels over the last decade.

3.2   At the global level, the impact of DFID's policy and practice is through contributing to the formulation of international targets for gender equality and women's empowerment. At the Beijing Conference in 1995, DFID's Social Development Advisers (SDAs) played an active role in promoting the 'twin-track' mainstreaming approach to pursue the goals of GE. This approach was central to the Platform for Action (PfA) that was subsequently endorsed by the UN member states. DFID also played an active role in the DAC-Gendernet, spearheading the preparation of gender tools and guidelines. In addition, DFID has facilitated gender research and documentation. Most notably, it has supported the establishment of the resource centre BRIDGE, which has had a global impact on gender research within development assistance. Support has also been provided to NGOs through the GAD Network and to university-based Research and Development (R&D) activities. As a result, DFID has contributed to development of the gender discourse and has provided intellectual leadership, according to a wide range of stakeholders including partners, civil society representatives, researchers and other donors[25].

3.3   In terms of multilateral programming, DFID has indirectly contributed to the international discourse on women's and children's rights, girls' education and women and conflict by funding partners such as United Nations Children's Fund (UNICEF), United Nations High Commissioner for Refugees (UNHCR) and United Nations Development Fund for Women (UNIFEM). DFID's impact has been more limited where the mandate of the partner organisation is less gender-explicit, such as in the case of the European Commission and the World Bank.

3.4   In bilateral programming, the country studies revealed considerable variation. At one end of the scale is the Western Balkans, where DFID's strategy is devoid of gender perspectives and any GE impact, such as inclusion of women police officers in the community policing and community safety programme, is incidental and not attributable to DFID. At the other end of the spectrum is the country office in India where DFID's long-term presence and evolving country and sector gender strategies together with a strong national gender network has influenced the Indian government, for example on girls' education[26]. DFID's activities in Nigeria are somewhere in the middle – there is an intention to mainstream GE, and the momentum is opening prospects for the continued impact of innovative interventions, for example on gender in relation to Sharia law.

3.5   Variations were found in DFID's contribution through different aid modalities. The projects evaluated showed comparatively greater effectiveness and indications of impact with regard to GE. For the four PRBS reviewed no documentation was found of gender-related achievements.

3.6   There are also sector differences in impact. For example, while all education interventions evaluated in India and Nigeria show evidence of contributing to GE objectives, no evidence was found of gender achievements in the pro-poor growth interventions evaluated in South Africa, Kenya, Tanzania and Zambia.

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[25] DFID's Efforts to Address Gender Equality Goals in International Partnerships. See section 2.
[26] India country case study. See section 4.

DFID's Impact and Contribution

3.7   The following sections of the report seek to explore the reasons why variations exist in DFID's contributions to GE over time and in different contexts, through an analysis of the links between internal and external effectiveness.

4 CHANGES IN THE WAY DFID WORKS

4.1   This section addresses how changes in the way DFID works have affected the approach to gender issues. After a brief outline of key changes, the effects that DFID's country-led approaches, newer aid modalities and the international aid effectiveness agenda have on its gender work are discussed.

4.1 The context

4.2   Over the past decade, DFID has made considerable changes in the way it works (see Annex 3, Timeline of Key Changes). Certain changes have been specific to DFID as a Whitehall institution, but the majority follow global trends and shifts in development cooperation.

4.3   With regard to specific DFID changes, a significant factor has been the introduction of a country-led approach, which has led to country programmes being run from country offices. DFID now has 66 country offices; country strategies direct the programming work; and funding proposals are no longer vetted by a headquarter-based project approval committee.

4.4   With regard to organisational changes, DFID's restructuring of the Policy Division in 2001 from professional groups to multi-disciplinary teams and its abolition of selected chief advisory posts have had an important effect on professional learning environments.

4.5   This decentralisation has been accompanied by an overall increase of 70% in the budget and 25% in staff over the ten-year period. However, in 2003 DFID launched a downsizing and subsequent outsourcing exercise in response to the 'doing more with less' initiative[27]. With the enlarged budget, channelling of funds through multilateral agencies has also increased from 28% of funding in 1995 to 39% in 2005[28].

4.6   In addition, over the last decade DFID has increased its focus on poverty reduction, not only at policy level in the form of the two White Papers, but also in its channelling of programme funds. Currently, 90% of DFID's disbursements are channelled to the Least Developed Countries.

4.7   Commitment to poverty reduction is also expressed in the alignment of DFID's internal performance management framework to the MDG, which focus on meeting the International Development Targets (IDT).

4.8   DFID has been at the forefront of the overall push towards aid effectiveness, which emphasises ownership, alignment, donor harmonisation and results. This is reflected in the adoption of a country-led approach to development through poverty reduction strategies (PRS) in 2000, as well as DFID's prominent role in developing and adopting new aid modalities in response to the aid effectiveness agenda. PRBS schemes now constitute approximately 20% of DFID's bilateral spending[29].

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[27] UK government initiative.
[28] DFID (1998–2005),*DFID Departmental Reports, 1998–1999, 2000 and 2005* and *Statistics on International Development 2000–2005, London*.
[29] DFID (2005b), *DFID Statistics on International Development 2000/01–2004/05*, table 11.

4.9   In line with the overall trends towards the use of macroeconomic and political economy instruments in development cooperation, DFID has attempted to shift its focus from implementation to influencing work. As a consequence, new tools have been developed such as the DoC analytical framework.

4.10   The overall shift in the international aid agenda with its focus on ownership, harmonisation, alignment and results has induced DFID, along with other donors, to rethink its conditionality policies and its approach to partnerships.

4.11   Of these changes, two have been particularly significant for the mainstreaming of gender in DFID's work. Firstly, the country-led approach with decentralisation of funding and programming responsibilities to country offices. Secondly, the newer aid modalities coupled with the overall push for harmonisation and alignment. Other significant shifts such as the increased channelling of funds through multilateral agencies and the introduction of performance management will be addressed in other sections of this report.

4.2   Country-led approach

4.12   With the country-led approach, the operationalisation of corporate priorities at country level has come into focus. This section addresses the extent to which DFID's GE and women's empowerment polices have been reflected at country office level.

4.13   The guiding gender policies for the evaluation period of 1995–2005 have essentially been those that underpinned the commitments made in the Platform for Action (PfA) of 1995[30]. The key components of the policies have been:

- mainstreaming as the overarching strategy

- the twin-track approach (gender equality and women's empowerment) as the key implementation modality

- GAD as the guiding approach

4.14   The latest gender policy, now recognised as DFID's Gender Strategy, is set out in the TSP *Poverty Elimination and the Empowerment of Women* (2000) and the gender commitments specified in the Public Service Agreements (PSAs) that are aligned with the MDGs (see also section 5).

4.15   Although DFID's continuous commitment to GE as a central policy objective is indisputable, gender is not being consistently mainstreamed in programming.

4.16   There have been varying degrees of policy evaporation for all the country and regional plans (CSP/CAP/RAP) and most of the interventions evaluated[31].

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[30] For a complete list of gender policies please consult table in Annex 3.
[31] See country/regional case studies for India, Nigeria, and the Western Balkans.

4.17   For the country and regional plans, policy evaporation is sometimes revealed in the weak mainstreaming of gender into background analyses guiding the plans, and in the plans themselves. For instance, the comprehensive DoC study informing Nigeria's CAP did not include gender concerns in the background analysis, which led to an almost gender-blind plan. Meanwhile, DFID India has maintained a focus on gender throughout the ten-year period, as illustrated by the country-specific GE strategies. Even so, the recent International Development Committee (IDC) review mission of DFID India's country programme recommended upgrading gender and social inclusion to a central objective, while warning against a narrow focus on income poverty.

4.18   For most of the interventions evaluated, policy evaporation is manifest in the lack of gender mainstreaming in the various stages of the project cycle – from the design stage (concept notes, social appraisals, logical frameworks) to implementation and completion phase (inception reports, progress reports, output-to-purpose reviews and project completion reports), as outlined below[32].

4.19 Variations were found, ranging from inconsistencies in the project cycle only, to inconsistencies within and between programmes and sectors, and between countries. For DFID India inconsistencies in gender mainstreaming were limited to the project cycle. Typically, the design phase of an intervention was gender mainstreamed while the monitoring of the intervention was not. For DFID Nigeria, the degree of gender mainstreaming varied within and between sectors. This was shown by the uneven gender mainstreaming within the education sector, with one programme being gendered and another gender-blind, as well as by the markedly less significant gender mainstreaming in the sustainable livelihood interventions. For DFID in Bosnia and Herzegovina and Kosovo, there was a complete lack of gender mainstreaming in the Regional Assistance Plan, and interventions were gender-blind.

4.20   As mentioned above, our sample suggests that there is a relationship between the degree of policy evaporation and the specific country context, sector and aid modality evaluated.

4.21   For instance, in the Middle-Income-Country (MIC) context of the Western Balkans there was no mention of GE in the guiding policies for the region, such as DFID's poverty reduction strategy for middle-income countries in 2001 and 2005, or in the Directors Delivery Plans for the region Europe Middle East and Americas Division (EMAD) of 2003–2005. In terms of sector variances in gender mainstreaming the policy evaporation was generally minor in the education sector, where DFID has a history and tools and targets for mainstreaming, as compared to the policy evaporation experienced, for example, in pro-poor growth interventions (see Volume III). Finally, in relation to aid modalities it was found that the degree of policy evaporation was generally greater in PRBS schemes compared with projects and SWAps, reflecting the low priority given to gender in the national Poverty Reduction Strategies (PRSs) and in the PRBS agreements (Memorandums of Understanding (MoUs)) and Performance Assessment Frameworks (PAFs)[33].

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[32] See external effectiveness analyses of the country /regional studies, section 5.2.

[33] The evidence of policy evaporation is supported by numerous other DFID gender reviews and audits carried out during the past decade. See, for example, Derbyshire (1999) *Mainstreaming gender equality in project implementation*, London, DFID; Dillon, B (2005), *Raising our Game on Gender in African Division*, London, DFID; MacDonald, Mandy (2003); *Gender equality and mainstreaming in the policy and practice of the UK Department for International Development*. The GAD Network; Khan, Z (2003), *Closing the Gap,* London: One World Action; Watkins, F (2003) *A review of gender mainstreaming in DFID's Country Assistance Plans.* Evaluation Department, DFID; and country gender audits (Kenya 1998, Bangladesh 2001, Ghana 2000, Malawi 2004). Harmonization Action Plan, February 2003.

4.3   Newer aid modalities

4.22   A major change in the way DFID works has come about as a result of the shift in the international development cooperation agenda, which has increased the emphasis on aid effectiveness. The two main aspects of this are harmonisation, which has resulted in an increasing number of joint and multi-donor programmes; and alignment with partner countries' policies and systems in pursuit of national ownership.

4.23   The newer aid modalities that have become increasingly important on the scene over the last ten years are SWAps and PRBS schemes, most often in a multi-donor arrangement. The shift to SWAps and PRBS has been a fundamental challenge to DFID's efforts to ensure the mainstreaming of gender in development. There is inevitably a tension between a strategy of holding back to allow space for national policy making and ownership on the one hand, and the urge to promote preferred policy solutions on the other. There are also challenges in forming joint policy positions in a multi-donor group, and in pursuing preferred policy solutions through the work of another donor as part of a division of work between donors.

4.24   DFID's Harmonisation Action Plan of 2003 makes strong commitments to the channelling of funds through SWAps and PRBS with the aim of: 'providing more than half of our country programmes as PRBS or programme support[34]'. Currently, 20% of DFID's bilateral budget is channelled through PRBS albeit with great regional differences, sub-Saharan Africa being the recipient of 69% of total PRBS resources.

4.25   The thematic desk study on aid modalities examined the budget support schemes in Uganda, Ethiopia, Tanzania, and Mozambique through a review of key PRS and PRBS documents, a short visit to Ethiopia and limited follow-up interviews. Based on the evidence a vailable from this study, two conclusions are drawn. Firstly, the gender orientation of DFID's budget support is mainly a function of how gender is dealt with in the PRS. Secondly, the gender mainstreaming efforts of a PRBS donor such as DFID have to focus on the integration of gender concerns within the PRS and its implementation. It requires considerable effort (policy dialogue, influencing and advocacy) to make the implementation of the PRS more gender focused than the PRS itself[35]. Hence, in view of the generally limited attention given to gender issues within the PRSs examined and in the attendant PAFs, DFID's ability to promote GE through PRBS and to assess achievements in this area needs to be strengthened and better documented. From the interviews it was clear that DFID staff do play a role in gender advocacy in the broader aid environments of the four countries. However, we found no evidence on the impact of DFID's work on GE in any of the documents reviewed for the study.

4.26   In Mozambique, for instance, DFID decided to provide PRBS knowing that Mozambique's PRS (the PARPA) is largely gender blind. This decision is fully in line with the Paris Declaration and DFID's own policy on conditionality ('the UK will not make aid conditional on specific policy decisions, or attempt to impose policy choices'). As a consequence, DFID is not likely to contribute to any improvement in gender equality or women's empowerment through its PRBS contribution to Mozambique. In contrast, the present third generation PRS (the PEAP) in Uganda

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[34] Harmonization Action Plan, February 2003.
[35] It should be noted that the cross-cutting issue of gender equality and women's empowerment is just one of several that DFID is obliged to pursue.

is strong on gender and it is our assessment that the PRBS to Uganda will contribute towards improving GE if the gender-oriented parts of the plan are actually implemented.

4.27   The evidence from Uganda shows that stakeholders in the PRBS arrangements were principally concerned with fiduciary risk, budgeting and financial management in the first generations of the PRBS arrangements. The overall findings of the recent Joint Evaluation of General Budget Support[36] indicate that this is fairly typical. The Joint Evaluation also found that the prominence of cross-cutting issues, including gender, in PRBS arrangements varies for a number of arbitrary and pragmatic reasons. Sometimes PRBS dialogue and conditions or performance targets are used to support a cross-cutting issue; at other times their promotion is deliberately left to other forums or modalities[37].

4.28   Provided there are strong domestic champions working towards the incorporation of more strategic concerns such as gender equality and women's empowerment in PRSs, this may happen in the second and future generations of PRS and the linked PRBS arrangements (see Box 2).

4.29   As far as the SWAp modality is concerned, only the education interventions selected for evaluation in India were relevant, which is why previous studies were used to triangulate findings. However, in line with other evaluations and reviews it was found that 'compared to a situation where donor agencies are pursuing support to an education sector through project interventions, the transition to an effective SWAp should enable an enhanced capacity to promote a gender mainstreaming approach through the sector'[38]. The effectiveness of gender mainstreaming in a SWAp was found to be primarily determined by two factors: the degree of ownership of gender mainstreaming within the partner institutions; and the degree of unity of approach from the donor community. Indeed, the case of limited contributions to GE goals was to a large extent attributed to the inconsistency in approach ('voice') in donor response exemplified by statements such as '… gender concerns are a Western agenda which does not enjoy support from within recipient countries'[39].

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[36] Lister, Stephen (2006) *Evaluation of General Budget Support: Synthesis Report, IDD and Associates*.
[37] Lister (2006) p 89.
[38] ODI (2000) *Mainstreaming Gender through Sector Wide Approaches in Education*, by Sibbons, M and A Norton et al, London, ODI p12.
[39] Ibid.

Box 2: Budget Support for Gender Equality – the Ugandan case

In 1997 the *Poverty Eradication Action Plan* (PEAP), a framework for addressing the key poverty challenges, was developed and launched. Uganda was the first country to have a workable PRS. It was first revised in 2000, and in May 2005 the government formally launched its revised PEAP for the next three years, which serves as Uganda's PRS. The first two iterations of the Uganda PEAP were largely silent on gender; although the second addressed it, it did so only as a social issue. During the PEAP revision, begun in 2003/04, key government officials decided to take the strategic opportunity offered by the revision to pursue gender mainstreaming proactively in the new PEAP. They mobilised civil society organisations and development partners to form a PEAP Gender Team, which worked systematically to integrate gender concerns into the new PEAP.

Their efforts, which may inspire others, included:

• development of guidelines on gender mainstreaming to guide the process of gender mainstreaming and highlight gender issues for each of the PEAP pillars

• engagement with various Sector Working Groups to ensure that the gender issues were addressed in the PEAP submissions of these groups

• commissioning of research and analytical work to support the work of the PEAP Gender Team.

• focusing attention on the economic and strategic importance of gender

• gender analysis carried out on the first draft of the PEAP

4.30   The extent of gender mainstreaming related to the implementation of both PRBS and SWAps is to a large extent determined by the degree of convergence among DFID's and partner governments' objectives. Indeed, both of these aid modalities hold greater potential for the achievement of structural improvements in gender relations than does the project modality. This presupposes that the partner country has a constituency that is supportive to gender mainstreaming within the national institutions: unfortunately, this policy convergence is rare.

4.31   DFID's latest guidelines emphasise that 'where possible DFID country and regional teams should be aiming to align DFID's CAP/RAP planning processes with partner government led poverty planning and budgeting processes, and to harmonise their assistance plans with those of other donors'[40]. This alignment typically takes place around the PRSs or similar.

4.32   The examples of PRBS in the evaluation suggest that when differences arise DFID country offices may tend to align to partner government priorities to the extent of not pursuing gender equality and women's empowerment. This acquiescence reflects the current tension between donor-driven and partner-driven priorities. The guidelines for country assistance plans state: 'we should continue to support country-led processes, but where these are assessed to be weak we may need to consider other ways of working'[41]. However, in practice this process is

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[40] Blue book (B1).
[41] DFID (n.a.), *How CAPs Link to the Corporate Planning and Performance Monitoring System – Country Assistance Plan Guidance*, London: DFID.

difficult to manage. Indeed, the DFID Development Committee recently noted that 'a balance needs to be struck between the two[42]'.

4.33   DFID staff seem less informed about minimum policy requirements with regard to gender than on financial and fiduciary conditions[43], as summarised by a DFID senior staff member: 'DFID and its donor partners set macroeconomic conditions for funding of poverty reduction strategies, but gender conditions are never set'.

4.34   Thus, in many ways, the shift in aid modalities has accentuated the need to establish clarity of what DFID wants to do in terms of gender mainstreaming.

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[42] DFID (2004b) *Development Committee Meeting 13 July 2004*: *Key Questions emerging from the Review of the CAP Guidance*, London: DFID.
[43] Interviews with headquarter and country office staff.

5 POLICIES, SYSTEMS AND ORGANISATIONAL CULTURE

5.1   This section assesses how the concept of GE is interpreted at policy level, implemented at institutional level and encouraged at organisational level.

5.1   Policy level – interpretation and application of gender equality[44]

5.2   Despite the existence and availability of many internal and external policy and strategy documents[45] explaining the relevance of GE to poverty reduction and demonstrating how gender inequalities hinder development in terms of costs to social well-being, productivity, growth and governance, the extent to which the concept of GE is perceived as significant and essential to DFID's mandate and core poverty reduction work remains unclear and unevenly understood amongst DFID staff. Whereas many would appreciate the significance of 'gender' as a term often equated to 'women as a vulnerable target group amongst other beneficiaries' and an important issue in and of itself, the extent to which 'gender equality' is appreciated as essential in relation to poverty reduction work is still subject to debates and is widely disputed across the organisation. This divergence in perspectives gives rise to inconsistent interpretations and unsystematic applications of the GE goal in DFID's work across its internal, external and international dimensions.

5.3   Within DFID there are also divergent interpretations of the term 'poverty reduction'. The interpretations of what constitute poverty reduction vary, from staff that tend to place a greater emphasis on economic growth, to those that prefer a broader interpretation of poverty from a multi-dimensional perspective, emphasising social inequality and regarding gender inequality as essential to an understanding of poverty. The implication of this is that the significance of GE to poverty reduction and DFID's mandate depends on interpretations of poverty reduction.

5.4   From the results achieved by the 4th World Conference on Women in Beijing in 1995 to the current MDGs, there has been an obvious narrowing down of the definition of GE, from encompassing all fields of development to a narrower focus on girls' education and maternal mortality. This poses another dilemma for DFID staff that consider DFID as an 'MDG organisation'. Such a perspective may suggest that with regard to the GE goal, DFID does not necessarily have to commit itself to address GE beyond girls' education and maternal mortality. Using this interpretation, it may become hard to convince staff that GE should be viewed more broadly as this would require a clear and coherent body of policies that consistently points to a wider interpretation and application. Some of the key policies in question are considered below.

5.5   In 1997, the White Paper *Eliminating World Poverty: A Challenge for the 21st Century* laid down the vision and mission of DFID and now guides DFID's overall poverty reduction effort. It mentions women from an essentially Women In Development perspective. This is problematic from a Gender And Development point of view and was the result of political compromises needed to build consensus on the integration of GE. Although it did include women, it offered a narrow and insufficient perspective to deal with inequalities between women and men[46].

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[44] The evidence for section 5.1 is primarily derived from the thematic paper Gender Equality and Women's Empowerment through Justice and Rights-based Policies and Programmes.

[45] DFID (2000) TSP Poverty elimination and the empowerment of women; DFID (2002) *Gender Manual;* WB (2001) *Policy Research report, Engendering development through GE in Rights, Resources and Voice.*

[46] For further analysis see Justice and Rights Study, Volume III.

5.6   In this context, the TSP entitled *Poverty Elimination and the Empowerment of Women,* 2000 (the current Gender Strategy) and the DFID Gender Manual, 2002 became crucial as both aim to ensure that women's empowerment and GE are actively pursued in the mainstream of all development activities. The Women's empowerment TSP builds a strong case for women's empowerment as a prerequisite for GE and, most importantly, for poverty eradication[47]. The notion of poverty conveyed by the TSP is a multi-dimensional one that includes the lack of material resources as well as the lack of power and choice. How poverty and gender are linked is illustrated in the Gender Strategy reference to the IDTs for poverty reduction and IDT indicators. The linkages cover all of the economic wellbeing and social and human development targets of the IDTs, and are captured in the indicators which are used to measure progress[48]. Thus the notion of GE conveyed by the TSP is based on a multi-dimensional interpretation of poverty reduction and seeks to broaden the scope of GE compared with the IDTs that are predecessors of the present MDGs.

5.7   Despite the broadening of the concept of GE in the TSP compared with the focus on 'women as a vulnerable group' in the 1997 White Paper, the TSP's ten objectives centre on the non-discrimination principle. This in effect focuses on advocating for equal numbers of women and men participating in development processes. None of the objectives, however, explicitly involve changes in the allocation of and control[49] over resources or changes in power relations that might address the structural causes of gender inequalities.

5.8   Like other DFID policy and strategy documents, the development of TSPs is usually subject to various processes of drafting and internal debates, and often results in compromises that reflect a general consensus within the organisation. This is the main reason why the concept of GE may not have reached as far as the authors originally intended but instead reflects the consensus reached amongst those with different political perspectives within the organisation[50]

5.9   Other DFID policies did not significantly advance the concept of GE from different angles. For instance, the TSP *Realising Human Rights for Poor People* makes a limited reference to gender equality and women's empowerment. It assumes that human rights are gender neutral since they are universal, inalienable and indivisible and by definition apply to women and men alike. While the internationally agreed Convention for the Elimination of Discrimination Against Women (CEDAW) is mentioned in the analytical part of the paper, the paper does not explicitly mention the full categories and variety of women's rights: only violence against women is directly referred to. Thus in relation to the different 'key actions' specified in the Human Rights TSP, human rights law, humanitarian law and refugee law are all addressed but women's rights are left out. Furthermore, although sex-disaggregated statistics are mentioned under the 'key actions' on inclusion[51], ethnicity and cultural rights are identified as means of overcoming

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[47] DFID, (2000a) p.5.

[48] Of the 21 core indicators used, 12 already refer specifically to measures of progress for women or can be readily disaggregated by sex to provide male-female comparisons. Hence, there is a significant overlap in the indicators used to measure poverty reduction, inequality and women's empowerment and, more specifically, achievements in education and reduction of child mortality, reduction of women's mortality and improvements in reproductive health.

[49] The term 'control' is used in line with the Beijing PfA and implies changes in bargaining power and power relations.

[50] Politically diverging views of poverty and gender equality have been in evidence throughout the interviews held with DFID staff in country studies and thematic papers. Sources will not be revealed, as confidentiality was requested given the political sensitivity of these issues.

[51] DFID (2000b) S.5.11-5-13.

exclusion but women's rights are not. Although this was clearly a deliberate choice so as not to overlap with the Gender Strategy (TSP) being drafted at the same time, it still missed an opportunity to discuss the significance and practical implementation of women's human rights from an Rights-Based Approach (RBA) perspective.

5.10   Conceptual limitations on GE are also evident in relation to the 2002 guidelines for conducting poverty analyses, *Poverty: Bridging the Gap*. While this document clearly regards inequalities and gender inequality as essential in the multi-dimensional definition of poverty, the selection of cross-cutting issues (such as gender) is presented as optional, something that 'may vary from country to country'[52]. Similarly, while the 2004 guidelines for the development of Drivers of Change analyses make a strong case for addressing structural inequalities in general, it misses an important opportunity to establish specific linkages with parameters such as power relations which cause structural gender inequalities[53]. Interviews with DFID staff indicates that the politically more sensitive concepts of women's rights and power relations tend to fall out in negotiations over formulations of new policy papers, one reason perhaps being that few staff and consultants involved in preparation of policy and strategy papers and guidelines have much experience with women's rights advocacy and interventions. These perspectives are also almost absent in subsequent guidelines such as the Gender Manual.

5.11   In conclusion, while the Gender Strategy recognises the linkages between gender inequality, poverty and human development, achieving GE is not a one-time goal restricted to one policy paper, but one which needs to be regularly addressed across other policies and programmes. The GE goal should therefore always be incorporated in other policies in line with the gender mainstreaming strategy and without fear of overlaps, because GE will be addressed from different angles. With regard to the conceptual limitation of GE, the compromises made in the course of policy development have largely contributed to the narrowing down and the limiting of GE concepts. Although the process of consensus building is important and should not be undermined, it has particular implications for concepts such as GE. Indeed, it is the interpretation of GE that will determine the scope of its application. The narrower the interpretation, the more limited its application will be as a result.

5.2   Institutional systems – status of gender policies

5.12   DFID's culture of strategies and approaches sometimes referred to as 'let 1000 flowers bloom'[54] often places DFID at the cutting edge of innovative approaches in international development assistance. However, the same culture also means strategic documents are drafted in a compartmentalised manner and not disseminated as widely as they should be.

5.13   Interviews with staff at country office level reveal an uneven level of acquaintance with DFID gender polices and strategies. Few of the interviewees regarded the Gender Strategy as prescriptive, for which country offices are accountable. Instead, DFID staff widely regarded the gender policies as 'guidance/ resources' that may be drawn upon as needed. This may not differ from the view on the status of other policies.

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[52] DFID (2001) *Poverty: Bridging the Gap. Guidance notes*, London, p 119.
[53] DFID (2004a) *Drivers of Change Public Information Note*, London, September 2004.
[54] Ladbury, S et al (2005) *DFID Policy Coherence Review*, London, DFID p 11.

5.14   This 'voluntary' approach to core strategies and the preferred flexible contextual approach have contributed to an inconsistent application of gender perspectives in the performance framework further analysed below. This is not only an effect of the overall weak operationalisation of the strategy[55], but it also reflects a general trend. The recent policy coherence review stated that 'although in principle the TSPs provide a framework for guidance at a lower level the status of the documents remains unclear'[56]. A similar concern was raised in the 2005 Social Exclusion Review where it was stated that staff 'saw the need to achieve coherence in DFID's analytical and operational approach'[57].

5.15   With the advent of the MDG-driven Public Service Agreements (PSA) in 2001, performance management was introduced in the organisation, linking resourcing with established results and targets. However, while the new management approach has enabled the organisation to focus, this same approach, by its singular focus on the MDGs, has some serious limitations.

5.16   At one level, the introduction of results and tangible PSA targets and indicators has been a positive development in the organisation, particularly in the effect it has had on the approach to GE. Many staff members find that the PSA has contributed to an increased focus in the organisation, referring to going from opportunity-driven programming to an orientation towards results. Some staff members find that the MDG-driven performance management system has helped institutionalise GE objectives to the degree of acting as the main push for gender in DFID. Furthermore, the fact that DFID has chosen to align its performance management framework with the MDGs offers potential for eased alignment with partner countries and co-donors. However, at another level the system's limited scope and target setting renders it less effective as an instrument for promoting GE work in DFID, as outlined below.

5.17   In policy terms, the PSA contributes to a certain narrowing of concepts. The gender TSP adopts a broad-ranging twin-track approach to gender equality and women's empowerment to be applied to all sectors. Meanwhile, reflecting the fact that the MDGs singularly focus on social sectors, a shortcoming that has provoked considerable criticism internationally, the PSA essentially only targets gender concerns in the areas of primary and secondary education and health. What is more, the gender targets of the PSA do not reflect the twin-track approach, since there are no established targets for women's empowerment in the current MDG-driven performance framework.

5.18   DFID's departments and country offices are only required to report against the target of eliminating gender disparity in primary and secondary education (MDG 3 promotion of gender equality and empowerment of women) and maternal mortality rates (MDG 5 health targets). As a consequence, country offices such as the one in India only report on progress towards these targets, even though gender mainstreaming is also taking place in other sectors. This contributes to invisibility of practices and results. In Nigeria, as 'there is no push for gender mainstreaming with the current performance management system which, along with spending targets, drive the

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[55] An action plan of the TSP was scheduled but never materialised. This deficiency was to some extent overcome by the DFID Gender Manual of 2002. However, due to the time gap, it could not make up for the lacking action plan and the momentum was lost.
[56] Ladbury. S et al (2005), p11.
[57] Beall, J and Piron, L (2005), *DFID Social Exclusion Review*, London: School of Economics/ Overseas Development Institute.

country office agenda'[58], gender mainstreaming is basically limited to the health and education sectors.

5.19   The current guidelines to the key programming instruments, the Country Assistance Plans (country offices) and the Director's Delivery Plans, do not prescribe the inclusion of gender concerns outside of the targeted areas listed above, treating the gender TSP as a resource only, and not as a prescriptive policy. As a consequence, the analysis and proposed interventions included in the Middle-Income Strategy of 2005 provide virtually no reference to the importance of gender equality or women's empowerment. Hence, while the weak GE focus in Directors Delivery Plans (DDP) of Asia and Africa were recently subject to criticism by the Management Board, the gender-blind EMAD DDP (2005–2008) did not give cause for similar attention. Similarly, the Regional Assistance Plan (RAP) monitored through the 'West Balkans RAP Monitoring and Quarterly Reporting Framework' contains no GE objectives or indicators.

5.20   At the individual performance level, all members of staff are responsible for gender mainstreaming in accordance with DFID's mainstreaming strategy. However, as 'diffused responsibility all too easily equates to no responsibility'[59], no DFID staff members are held accountable for the attainment of gender policies in practice, although informally Social Development Advisers (SDAs) are still widely regarded as 'the designated lead on gender within DFID'[60] (see also section 5.3). The limited incorporation of gender indicators in Personal Development Plans (PDPs) prepared in the countries evaluated illustrates this point. In Ethiopia and Nigeria, only the PDPs of the SDAs contained reference to gender concerns. In Bosnia and Herzegovina and Kosovo, none of the DFID staff had any gender-related benchmarks in their job descriptions.

5.3   Organisational culture – an enabling environment for gender mainstreaming

5.21   For any organisation to effectively support key policy issues such as gender equality and women's empowerment, its organisational culture needs to be aligned with its mission, as demonstrated through expressed values and attitudes of staff and senior management, creating a conducive environment.

5.22   Experience from many bilateral and multilateral agencies show the importance of relying not only on enthusiastic individuals, who may not remain in post, but also on particular global debates. Commitment at senior management level is also required to create sustainable conditions for successful gender mainstreaming in the work of the organisation[61].

5.23   Although senior management should signal the relative priorities of staff time on different issues and provide the moral support for enabling staff to work on gender mainstreaming, SDAs have traditionally been the drivers of GE in DFID. While gender management champions were to be appointed after 2003, such appointments never materialised[62]. As a result of inconsistent

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[58] Interview with Nigeria country office management group.
[59] Derbyshire, H (1999).
[60] Dillon, B, (2005), DFID; p 3.
[61] Management responsibility and support for the gender equality agenda is reiterated in all major gender mainstreaming guidelines and gender evaluations referred to in this report, such as those of Norad, Sida, EC, DAC, UNDP and World Bank.
[62] DFID (2003a) *Minutes of the Development Committee Meeting - March 2003.*

senior management gender leadership, staff perceived that management attached little value to gender accomplishments as compared with other priorities, for instance saying when asked that they worked on voice and accountability instead of gender.

5.24   The limited leadership on gender at senior management level can be explained in part by the organisational environment and culture summarised below.

5.25   During the ten-year evaluation period, a gender-conducive organisational culture was experienced at times, for example, when the momentum of gender equality and women's empowerment work peaked around the preparation and follow up to the World Conference on Women in Beijing 1995, as observed by many internal and external respondents. The gender-supportive organisational culture in this period was attributed to the high importance attached to gender as exemplified by DFID's lead on policy work, coupled with dedicated gender resources in the form of research, mandatory gender training and strategic secondments and chairmanships (see also Annex 3, Timeline of Key Changes).

5.26   The loss of momentum since then has been frequently commented on[63] and is generally associated with weakening and not very visible leadership on gender. Discontinuation of dedicated gender resources in response to broader organisational changes such as the restructuring of Policy Division has led staff to observe that management is indifferent to gender. Only in terms of the value attached to MDG-related gender targets has the response been perceived to be consistent. This shift in priorities has not been lost on DFID's external stakeholders, who have perceived a loss of momentum in DFID's international efforts, aside from the MDG-related gender effort.

5.27   At country office level a varied picture emerges, with country offices attaching very different importance to gender issues in their work. DFID India has integrated gender mainstreaming for many years, as reflected in their continual production of country-specific GE strategies, showing a national context of strong gender advocacy organisations and networks. To avoid loss of momentum, DFID India needs continuous leadership support, which the evaluation observed was forthcoming from senior management and SDAs, who currently lead conceptual and policy discussions on integrating gender with the perspectives of social inclusion of marginalised groups and minorities.

5.28   Meanwhile, in DFID's Western Balkans and Nigeria country offices, visibility of the gender mainstreaming agenda was assessed to be respectively non-existent and emerging. Other priorities were considered more important, such as macro-economic reforms in Nigeria, and security and EU accession issues in the Western Balkans. However, the Nigeria office management is now supporting gender mainstreaming and this evaluation was seen as a start towards establishing an approach. In the Western Balkans there was no genuine interest in gender issues. Indeed, the general attitude amongst staff was that Middle Income Countries do not need to focus on GE when other issues need addressing. There was also a belief that the former socialist countries were already ahead of the West in GE. A significant observation from the two very different contexts of Nigeria and Western Balkans is that possible connections and

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[63] For example, Minutes of SDA retreats; Development Committee discussions; and in research, for example by Khan. Z (2003).

synergies between their priority areas of concern and gender issues were not considered.

5.29 In conclusion, the perceived limited value attached to gender is attributed to different factors by different staff. First and foremost, the divergent interpretations of poverty within the organisation – that range from income poverty to a multi-dimensional perspective – are considered to undermine leadership on gender. While gender is regarded by most as *important* for poverty reduction, its *essentiality* is indisputable if poverty is defined broadly as the lack of power, choice and material resources. Thus, as pointed out in section 5.1 above, differing poverty interpretations contribute to an uneven application of gender within DFID's policy and programming work. Furthermore, the political environment in which DFID operates – similar to other Whitehall institutions – is regarded as an obstacle to effective GE leadership on controversial issues due to 'a marked disposition against clear, specific objectives and priorities because doing so involves conflict'[64].

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[64] Whitehall review, (2005) *The Reluctant Managers*, Report on Reforming Whitehall, by U Darwall.

6 RESOURCES FOR GENDER MAINSTREAMING WORK

6.1 This chapter assesses the appropriateness of resources in terms of knowledge, staffing and funding for GE programming.

6.2 The funding analysis is based on GE marked expenditures in DFID's Project Information Marker System (PIMS). It should be emphasised that the results of the analysis must be treated with caution, since inconsistent application of the GE marker has been observed in this and two previous DFID studies[65], calling the validity of the underlying data into question.

6.1 Knowledge

6.3 The characterising of DFID as a 'thinking organisation' is supported by the evidence of this evaluation. Document reviews and interviews with staff and stakeholders external to DFID consistently refer to DFID's lead role in the development of evidenced-based knowledge products (see also section 8.3).

6.4 However, when it comes to a coherent sharing of these knowledge products, DFID appears to be less effective. While 'think pieces' on knowledge management have been launched in the organisation and an electronic record management system, QUEST, is in the process of being rolled out globally, DFID has yet to institutionalise its knowledge sharing practices. As with the 'let 1000 flowers bloom' culture referred to above, no evidence was found of an explicit link between the corporate MDG agenda and knowledge management practices. In addition, the setting of knowledge goals seemed divorced from DDP/RAP/CAP objectives. So, while DFID is successfully applying results-based management (RBM) practices in its HQ/CO programming alignment, RBM practices in knowledge management have not been found.

6.5 For gender-specific knowledge sharing, DFID instigated the widely acclaimed research centre, BRIDGE, on gender and development while it was still known as ODA back in 1992. BRIDGE not only conducts research, it also hosts the Siyanda database containing gender material on a wide range of sectors stemming from approximately 40 donors and organisations. However, as the pro-poor growth sector case in box 3 illustrates, the feeding of these research results and best practice into guidelines and policies appears to be patchy.

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[65] Edbrooke, J and Chris Peters, (February 2005) *Evaluation of DFID Development Assistance: Gender Equality and Women's Empowerment – Gender Violence*, London, DFID; and Moser, C et al. (2004).

Box 3: Knowledge and gender – the case of pro-poor growth[66]

DFID's pro-poor growth (PPG) sector represents a programming area where gender mainstreaming is generally limited, with GE-significant marked expenditures ranging between 6% and 14% over the past decade. Evidence shows that the majority of DFID PPG advisers find that GE is critical to the achievement of the MDG 1 target of halving poverty by 2015. The majority of those consulted, however, say they do not have the necessary capacity and skills to address gender issues.

A study of the PPG tools currently available to DFID staff shows that the BRIDGE hosted Siyanda database holds a wealth of gender publications, guides, and tools relevant to PPG drawing on the combined gender resources of 40 different donor organisations. Yet, although a variety of gender publications do exist, the tools are uneven in their targeting of the different focus areas of PPG. In addition, there is no evidence of gender tools specifically targeting budget support, although all PRBS expenditure is recorded as PPG interventions. This echoes the widely repeated call for gender mainstreaming to be integrated in the newer aid modalities in order to overcome the perceived difficulties of linking gender with mainstream PPG work: available tools were regarded as very project-focused and not responding effectively to the move towards programmes, SWAps and strategic initiatives.

The gender tools available for PPG are also poorly integrated into DFID's guiding instruments. The evaluation preparatory paper (Pinder, 2005, p 39) reviewed eight 'How to …' notes produced during the two preceding years on enabling environment topics by different teams within the Growth and Investment Group. Only two of these[67] make any reference to women, and none make reference to GE or mainstreaming. The Pro-Poor Growth Team has also produced two briefing notes. One of these makes reference to GE or women's economic status. Our consultations with the PPG Team confirm that no specific tools or guidance are currently directly disseminated on gender issues in relation to pro-poor growth[68].

Thus, important opportunities for improved gender mainstreaming are identified for the PPG sector with enhanced knowledge sharing as the entry-point.

6.6   DFID's most convincing knowledge sharing practices relate to the inter-disciplinary work that has been widely rolled out in the organisation both at HQ and country office level, in which SDAs play a central role in the mainstreaming of gender issues. Two different cases of interdisciplinary team structures were assessed for this evaluation. A thematic team structure in Nigeria and a geographical (state) team structure in India. In both cases, the interdisciplinary team structure was judged to be beneficial for gender mainstreaming due to the holistic, context driven approach to poverty reduction countering the sector approach formerly applied. Further, DFID India's mirroring of the Government of India state apparatus in the form of state teams seemed to be a key factor in the design of entry points for policy dialogue and was a model for replication.

6.7   Even so, the inter-disciplinary approach also poses challenges to the sharing of knowledge in professional networks, an issue emphasised by the cessation of training conducted by professional groups (see also annex 3 and section 6.2).

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[66] Volume III. Gender and Pro-Poor Growth.
[67] Note 4: *How to support business development services,* and Note 5: *How to develop the financial sector for poverty reduction.*
[68] Stephan Klasen's (2005) discussion paper *Pro-Poor Growth and Gender: What can we learn from the Literature and the OPPG Case Studies?* is given as background information to interested parties.

6.2   Staffing

6.8   In terms of staffing, the level (quantity) and the development (quality) of human resources available for conducting GE work have both been assessed.

6.9   As outlined in section 4.1, DFID has undergone dramatic changes during the past decade both in terms of the overall spending framework and the number of staff, which have increased 70% and 25% respectively despite the recent downsizing of staff through the 'do more with less' initiative. At country office level, this has had direct consequences in terms of the budget–head count ratio.

6.10   In Nigeria between 2003 and 2007 the spending framework is scheduled to triple, while staff numbers are being reduced by 10–15%. This situation, coupled with the workload of establishing a new country office, has led to a strict prioritisation of work tasks, including work relating to cross-cutting issues. For example, the office has undertaken a phased approach to the mainstreaming of cross-cutting issues (two issues are being launched per year), as the number of staff is not considered sufficient for simultaneous mainstreaming work on all fronts.

6.11   In DFID India, a different approach has been applied to staffing constraints. A high level of outsourcing and rationalisation measures have been introduced to ease the pressure on DFID staff. Funds have also been channelled through multilateral agencies to ease demand on human resources. This has resulted in a highly effective office capable of meeting its core objectives with the limited resources available. However, the high efficiency has also constrained the level of easy access to DFID India staff, to the point of international partner organisations regarding it as hampering regular dialogue. Outsourcing also involves a risk of DFID losing institutional memory on gender.

6.12   The SDA staff as a group have not only suffered setbacks in terms of status through the loss of the Chief Social Development Adviser post due to the restructuring of the Policy Division (see also section 5.3). Findings from interviews and data study suggest that the group has also grown less in comparison with other professional advisory groups such as those for economics and governance and conflict[69]. As a consequence, staff providing lead expertise and drive for GE have diminished.

6.13   DFID's shift in training policy has been significant with regard to human resource development for GE work. Over the ten-year evaluation period, gender training has changed from being compulsory for all staff to being mainstreamed in principle into existing training programmes with the objective of rendering the training more effective by linking gender with technical competencies[70]. However, the gender mainstreaming of the training effort has never been reinforced, and DFID's gender training has effectively come to a halt[71].

6.14   In Nigeria over a period of eight years there is no recollection of any gender training

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[69] Analysis of the current trends in the DFID professional advisory groups. December 2005.

[70] See e.g. Stewart, Sheelagh (1997) *The Contribution of Gender Training to Equality between Women and Men in DFID Development Management*.

[71] Social Development Direct (2003) *Training for Change*, Gender Review of DFID's Training Programme: Conclusions and Implications, London: DFID.

having been conducted. Nor does the recently conducted Training Needs Analysis prioritise gender training. Indeed, only one member of staff has identified a need for gender training, the SDA[72]. Staff members at DFID's Bosnia-Herzegovina and Kosovo offices have also not received any gender training, despite the fact that the 2004 Staff Development Plan for the region (ECAD) specifically identified gender awareness training as a priority for all staff [73].

6.15   In India there was no record of gender training having been conducted, nor was any future gender training planned. Instead, the relatively high level of gender knowledge seems to emanate from the daily efforts by the strong SDA group and be facilitated by the inter-disciplinary programme teams from awareness raising through country office strategies, such as the most recent strategy on social inclusion[74].

6.16   For all three country offices evaluated, the linking of corporate goals and human resource development is still limited. Bosnia and Herzegovina, Kosovo and Nigeria have not identified linkages between corporate strategies and staff learning and development processes. A review of the ECAD Training Strategy is expected in 2006 in order to design an effective link between RAP targets, the needs of team leaders, staff competencies (as well as gaps in competencies), Personal Development Plans (PDPs) and Staff Development Plans. However, this review process will not automatically serve as an opening for gender issues to be included in the Staff Development Plan as long as GE is not recognised as a key corporate priority. For Nigeria, a bottom-up approach to learning has been applied with the DFID Nigeria Training and Staff Development Policy Guideline outlining eligibility and application criteria for training. There is no link made to corporate training needs. For DFID India, a People Strategy is about to be launched with the aim of aligning the human resource development with the overall objectives of the office (see also section 5.2).

6.3   Funding[75]

6.17   The data shows a clear upward trend in GE-marked expenditure. The GE-marked share of overall spending increased consistently over the period; from 5% in 1995/96 to 32% in 2004/05. This is illustrated in Chart 1.

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[72] Nigeria Country Case, section 4.2.3 (see Volume II).
[73] Western Balkan Regional Case, section 4.2 (see Volume II).
[74] India Country Case, section 4.2.3 (see Volume II).
[75] For a complete analysis of expenditure/commitment GE market data, see the Gender Analysis of DFID's Portfolio in Annex 4.

Table 1: Expenditure – significant and principal GE markers

	1995/96	1996/97	1997/98	1998/99	1999/00	2000/01	2001/02	2002/03	2003/04	2004/05
■ %S	5%	8%	9%	13%	15%	15%	16%	21%	23%	28%
■ %P	0%	1%	1%	2%	2%	2%	2%	2%	2%	4%
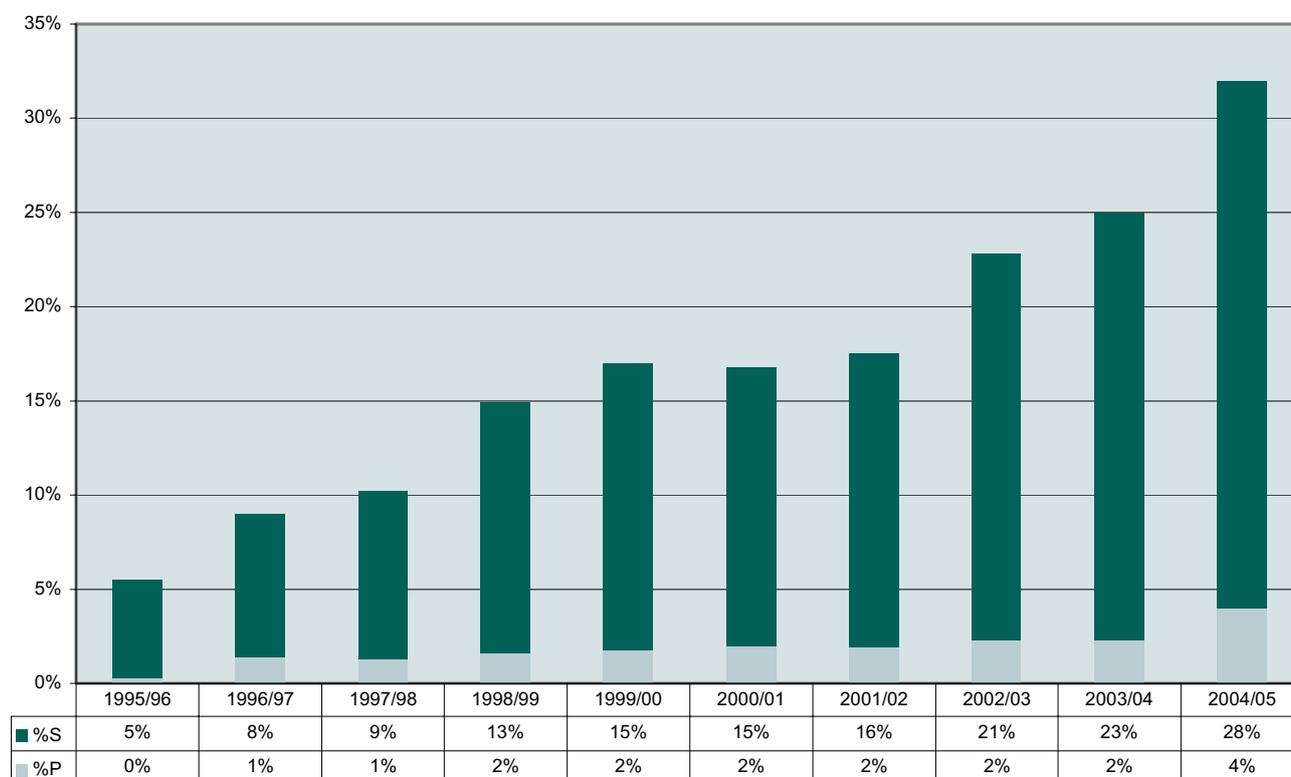
6.18   However, the system, or the way it is applied, has many limitations. The GE score mainly represents intentions at the project design stage and does not reflect the actual implementation of a project nor its achievements. There is also some evidence indicating that there are differences in the interpretation of GE markers (and hence inconsistencies in their application) between countries.

6.19   This was evident in the Nigeria country study and in interviews with country office and HQ staff: 'the markers are applied in a non-coherent manner', was a typical comment[76]. The gender marking of some of the PRBS expenditure also supports the view that the GE marker is applied inconsistently. The PRBS to Uganda is 'principal' gender marked, the PRBS to Ethiopia is 'significant' gender marked, while more than 80% of DFID's total PRBS expenditure is not gender marked at all. Altogether, the relationship between GE marked expenditure, the incorporation of gender objectives into project documents and actual results is uneven.

6.20   Incoherence is also apparent at the regional and sectoral levels. The largest percentage of GE marked expenditure (28%) is found in Asia. In comparison with this, Africa, which receives a similar amount of aid from DFID, stands out with a level of GE marked expenditure at only 18%. Only 3% of the considerable humanitarian assistance allocated to sub-Saharan Africa has been GE marked compared to 17% for the South Asia region. Furthermore, with sub-Saharan Africa being the largest recipient of budget support, the GE marking of some of the PRBS, as referred to above, carries considerable statistical weight.

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[76] PIMS marking used to be a part of the mandatory gender training of DFID staff that was discontinued in the late 1990s. It would appear that this might explain some of the inconsistencies observed in the application of the system.

6.21   Not surprisingly, the education and social sectors have the highest level of cumulative GE marked expenditure between 1995/96 and 2004/05 (46% and 37% respectively). It is noteworthy, though, that the health sector is lagging behind these, with only 23% of expenditure GE marked. Compared with the first half of the period, since 2000 the largest relative increases in the levels of GE marked expenditure have occurred in the economic, governance, humanitarian assistance and environment sectors. Nonetheless, while the level of GE marked expenditure in the education and health sectors expanded at a slower pace in the second half of the period compared with the first, both rose considerably (by 27% and 14% respectively).

7   PRACTICES ON THE GROUND

7.1   This section assesses DFID's practices on the ground and, more specifically, the relative differences in impact attained between gender-explicit and gender-blind interventions. The level of gender focus has been evaluated across the intervention cycle, including design, implementation and monitoring and evaluation.

7.1   Design

7.2   The interventions reviewed show a correlation between explicit gender focus in interventions and increased impact/contributions (see table 1, page 33).

7.3   For the three country/regional studies, of the nineteen interventions evaluated, nine of the ten with gender-specific goals contributed to GE, the one not (yet) showing any impact being the Girls Education Programme in Nigeria: this was only starting up at the time of the evaluation. In contrast, only two out of the nine gender-blind interventions sampled showed any indication of contributing to GE and then only because gender perspectives were consciously brought into focus during implementation and/or monitoring. This suggests that an intervention that is gender-blind due to design flaws is unlikely to contribute to GE unless there is a concerted effort during the implementation phase to introduce gender-related aspects.

7.4   For interventions reviewed by desk study only, a more varied picture is emerging, which is partly attributable to the sampling process. A purposive sampling addressing structural causes of gender inequality was applied to the justice-based and rights-based interventions reviewed, leading to a strong correlation between gender-explicit design and impact: all seven gender-explicit interventions were found to be contributing to gender equality and/or women's empowerment on the ground (see Box 4).

Box 4 : Explicit gender focus in design – the Social Justice Programme in Brazil

In Brazil it is said that 'poverty has a colour and a sex' since the most marginalised section of the population are women of colour. Initiated in 2003, the *Programme of Support for Integrated Actions in Gender and Race Equity in Brazil* is an innovative attempt to address this problem. Using a rights-based approach, the programme aims to strengthen public policies, institutions and programmes to enhance equity in gender, race and ethnicity. Furthermore, the programme is designed to establish a framework for allocating and distributing public resources to promote gender and racial equality. This provides the greater visibility needed to draw attention to possible inequalities in public expenditure at the municipal and federal level.

7.5   For the pro-poor growth (PPG) interventions reviewed, despite a similar purposive sampling a different picture is emerging, with no impact registered in the progress reporting including for those interventions with gender-explicit design. However, considering the limited work undertaken to assess the overall impact of the reviewed PPG interventions in general, the lack of gender impact in the reporting might reflect an invisibility of results on the ground. Furthermore, the fact that the gender-explicit PPG interventions reviewed – in contrast to the other gender-explicit interventions – only included gender concerns in the purpose and/or

outcome of the Project documentation is found to have compounded the poor monitoring and possibly led to gender-blind implementation.

7.6   In addition, a correlation was found between the explicitness of GE focus in interventions and the country offices' level of strategic clarity, and related capacity, with regard to gender concerns.

7.7   For instance, among DFID's initiatives evaluated in the Western Balkans there was an almost complete lack of explicit gender focus and a very limited impact or contribution to GE goals. Strategic clarity in relation to gender was practically non-existent in the key guiding instruments, such as the Regional Assistance Plan. In contrast, DFID India had a strong strategic focus on gender as well as an explicit focus in the various interventions. It was found that all the interventions evaluated in India have contributed to the attainment of GE goals, even the single intervention that did not receive a GE marker. Our evidence suggests that a strong strategic focus within the country office can to some extent overcome the lack of explicit focus at intervention level.

Table 2 : Correlations between gender sensitive design and impact

Interventions	Gender explicit	Gender blind	Gender impact	GE PIMS
Country case studies – evaluation on the ground				
India				
Sarva Shiksha Abhiyan (SSA)	√		√	√
District Primary Education Programme (DPEP)	√		√	√
Shiksha Karmi Project (SKP covers only Rajasthan)	(√)[77]		√	√
National Micro-Finance Support Project (NMFSP)	√		√	√
Gender and Law	√		√	√
Kolkata Urban Services for the Poor (KUSP)	(√)[78]		√	
Nigeria				
Nigeria Governance Fund	√		(√)[79]	√
Security, Justice and Growth Programme (SJG	(√)		√	√
Ekiti Rural Access Programme (ERAP)		√	√	
Jigawa Enhancement of Wetlands Livelihood (JEWEL	√		√	√
Extended Life Planning Education (ELPE)		√	√	
Girls Education Programme (GEP)	√		N/A[80]	√
Western Balkan				
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)		√		
Thematic studies – desk review only				
Theme: Pro-Poor Growth[81]				
Private Sector Initiative - Phase 2 -South Africa	√			√
Financial Sector Deepening – Kenya	√			√
Enabling Environment – Kenya	√			
BEST - Business Environment Strengthening – Tanzania	√			
Improving the Enabling Environment for Business				
(planning and implementation phases) – Zambia		√		
Theme: Justice and Rights-Based Programmes[82]				
Programme of Support for Integrated Actions in Gender and Race Equity in Brazil	√		√	√
Reducing Labour Exploitation of Children and Women: Combating trafficking in the greater Mekong Sub-region - ILO/IPEC SE Asia	√		√	√
Family Protection Project – Jordan	√		√	√
Wills and Inherence Laws Project – Zimbabwe	√		√	√
Human Rights for the Poor – Peru	√		√	√
Gender Equality Project – Pakistan	√		√	√
Shire Highland sustainable livelihood programme – Malawi	√		√	√
Access to Justice for Realisation of Human Rights and Advocacy for Empowerment of the Poor – Bangladesh	√		√	√

Notes

Gender explicit – gender focus in project documentation and/or logical framework
Gender blind – gender not found either in project documentation or in logical framework,
Gender impact – gender reflected in activities and outcomes on the ground

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[77] Concept note, Social Appraisal and LFA have not been available; marking is based on the strong GE focus in OPR.
[78] Some gender indicators are included in the logical framework, but no strong focus, albeit an adequate gender analysis in social appraisal.
[79] More limited gender results than what was outlined in the logical framework.
[80] Programme only started in 2004.
[81] All interventions selected were part of a purposive sampling addressing in the extent possible well-documented gender-explicit interventions.
[82] All interventions selected were part of a purposive sampling addressing structural causes of gender inequality.

7.2 Implementation

7.8 In relation to the implementation phase, the gender competence of the implementing partner is a key factor affecting the impact of GE objectives. In particular, the capacity of the implementing partner to understand the multi-dimensional aspects of poverty and the significance of gender in this context is crucial. The extent to which consideration for gender is defined and specified in the contractual arrangement with the partner is also important.

7.9 The Security, Justice and Growth programme of Nigeria (see box 5) illustrates the powerful impact a competent programme manager can have, turning an almost gender-blind intervention into an innovative effort that addresses women's rights and social inequalities. In the Western Balkans, the Kosovo Social Protection Project missed an important opportunity to contribute to GE goals by not stipulating gender considerations in the terms of reference of two UK consultants involved in the drafting of the Law on Social and Family Services and in the training of social workers. Due to the low priority given to gender in the drafting of the new law and the social welfare, services do not contain a GE perspective.

Box 5: Explicit gender focus in implementation – the case of Security, Justice and Growth Programme in Nigeria

The purpose of the *Security, Justice and Growth Programme* (SJG) in Nigeria is to support the development of a Nigeria-led justice sector reform process so that pro-poor policies are implemented. The project was essentially gender-blind in its design and had no gender-specific goals. However, the project was managed by a competent team with relevant gender knowledge and skills. The project manager introduced a rights-based approach that brought focus to the relationship between poverty and social inequality. This resulted in a concerted effort to bring GE into the heart of the programme. Some of the initiatives undertaken in this regard included:

- a Gender Strategy established in 2005 in which gender-specific outcomes were specified.

- the project management team choosing to work with NGOs and individuals that represent an actual constituency or hold a degree of legitimacy within civil society and were able to drive structural changes.

- the programme making use of high level political and public relation strategies to promote the visibility of women's rights challenges in northern Nigeria.

- the programme working with traditional and religious leaders on women's rights issues in the Sharia context of Northern Nigeria.

7.3 Monitoring and evaluation

7.10 The level of gender focus in monitoring and evaluation (M&E) systems can potentially contribute towards better outcomes at two different levels. First, progress reports, ranging from inception to output-to-purpose reports, are important instruments to correct intervention design flaws. For instance, the gender-blind Extended Life Planning Education programme in Nigeria was turned around due to persistent remarks in output-to-purpose reviews to the effect that gender had all but vanished as an issue. Second, effective monitoring and evaluation can enhance impact at a general level. By increasing the visibility of good practice and results

attained as done in for example Gender Audits[83], M&E can contribute to lesson sharing, institutional learning and replication of successful interventions.

7.11   There are marked differences in the quality of the M&E systems among the sectors and countries examined. Of three country programmes evaluated, only DFID India had developed M&E systems to track progress towards GE goals. In Bosnia and Herzegovina and Kosovo none of the selected interventions showed evidence of monitoring and evaluation of gender dimensions. In Nigeria only one out of the six interventions examined had a suitable M&E system for tracking progress towards GE goals, the Girls Education Project.

7.12   The quality of the M&E systems in relation to gender also varied. This was the case even in India: while education interventions possessed sufficient monitoring systems that included elements such as community-based monitoring and qualitative gender-related data (see Box 6), the M&E systems of the other interventions only contained quantitative gender indicators and thus failed to track important aspects such as the quality of women's participation in decision-making (Kolkata Urban Services Programme) and in changes in social status (National Micro Finance Support Project).

Box 6: Explicit gender focus in M&E – the case of the education sector in India

DFID's education interventions in India (SKP, DPEP and SSA)[84] have institutionalised systematic and specific quantitative and qualitative gender-related indicators. These are reported on regularly and fed into future planning processes. At intervention level, community-based monitoring is conducted by entities such as women's task forces, Village Education Committees and trainers. 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 is also compiled, such as gender differences with regard to learning attainment in mathematics and language.

7.13   The shortcomings of DFID's M&E effort at intervention level are not unique. Indeed, evaluations of other aid agencies repeatedly emphasise[85] that monitoring of gender mainstreaming performance and outcomes is weak. Their findings include 'evaporation' of gender policies[86] and 'invisibility' of possible results,[87] partly due to inconsistent use of Logical Frameworks.

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[83] Moser, C et al (2004).

[84] Shiksha Karmi Project (SKP), District Primary Education Programme (DPEP), Sarva Shiksha Abhiyan – Education for All (SSA).

[85] Watkins, F (2004) Evaluation of DFID Development Assistance: Gender Equality and Women's Empowerment – *DFID's Experience of Gender Mainstreaming: 1995 to 2004, Glasgow,* DFID. Braithwaite, M et al (2003) *Thematic Evaluation of the Integration of Gender in EC Development Cooperation with Third Countries.* PARTICIP for EC: Brussels. UNDP (2006) *Evaluation of Gender Mainstreaming in UNDP*, NY: UNDP. World Bank/OED (2005) *Evaluating a Decade of World Bank Gender Policy*: 1990–99, Washington. Norad (2005) *Evaluation of the 'Strategy for Women and Gender Equality in Development Cooperation (1997–2005)'*, Aasen, Berit, Oslo. Mikkelsen, B et al (2002a) *Mainstreaming Gender Equality. Sida's support for the promotion of gender equality in partner countries. A Sida Evaluation Report*, 2002/01–04. Hunt, J and Brouwers, R (May 2003) *Review on Gender and Evaluation,* 2002/01–04, Brussels, OECD/DAC–Gendernet.

[86] Ibid.

[87] Moser, C et al (2004); Sida (2002) *Gender Evaluation*; Norad (2005) *Gender Evaluation*.

7.14   A common recommendation among the different gender mainstreaming evaluations is the need for systematic integration of GE into key indicators and in monitoring and reporting systems at all levels. At the same time it is recognised that the questionable quality of monitoring is closely related to the sometimes gender-blind planning and implementation procedures of mainstreaming. A more systematic and coherent integration of gender into key management procedures and instruments[88] would improve monitoring efforts.

7.15   Monitoring of gender equality and women's empowerment requires going beyond the quantitative aspects, related in MDG targets such as head-counts of women's and men's access to education and health, to include indicators that suggest qualitative change. Some agencies, Sida (Swedish International Development Cooperation Agency) for example, emphasise the need to know if the relationships between women and men have changed and *how this is linked to the goal of poverty reduction* (Evaluation Team's emphasis)[89]. Thus, Sida's appreciation of synergies between GE and poverty reduction is reflected in monitoring and evaluation practices[90].

7.16   Whether quantitative and qualitative indicators are used for M&E of gender and poverty-related interventions and programmes depend on availability of data. For collecting information for qualitative indicators, participatory M&E tools are widely advocated by other aid agencies, while in practice these are little more than focus groups discussions. Common methods include the Strength – Weakness – Opportunity – Threat (SWOT) analysis, Most Significant Change technique, and other Change Assessment and Scoring Tools, while self-evaluations are infrequent, even where civil society partners are involved. To improve M&E systems, a prompting mechanism for capturing GE outcomes would be a starting point. But first of all systematic use of logical framework indicators as outlined in the Gender Manual (2002) is required for optimal monitoring of GE outcomes.

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[88] Braithwaite, M et al (2003) *Gender Evaluation*, p 58.
[89] Sida (2005) *Policy – Promoting Gender Equality in Development Cooperation*, p 11.
[90] Sida (2002).

8   PARTNERSHIPS

8.1   This section assesses the extent to which DFID has addressed GE goals in channelling resources (funds, staff, and board trustees) through multilateral agencies, and assesses DFID's role and opportunities in the international effort to address gender issues.

8.2   Information has been derived from analysis of selected institutional strategies agreed between DFID and partners; from minutes of meetings; and from interviews with a broad range of DFID staff and stakeholders – partner organisations, donor agencies and civil society. DFID's relations with the EC, the World Bank and UNICEF are illustrative cases.

8.1   Channels of influence in multilateral organisations

8.3   DFID's most potentially important channel of influence is the significant level of core funding provided to several multilateral organisations. However, this position is not systematically used as a platform for engaging substantially with organisations on GE goals, nor is it used to promote synergies between GE and other goals such as poverty reduction. This is shown through the Institutional Strategies (ISs) agreed with multilateral organisations. Similarly, influencing through non-core funding or staff secondments appears not to have been strategically used as a way of promoting GE goals in the organisations assessed, with some exceptions mentioned below.

8.1.1 Institutional Strategies

8.4   After an initial period of reduction in the multilateral funding provided by the UK in the late 1990s, funding has steadily increased since 2000. In 2005, more than a third of DFID's budget was channelled through multilateral agencies (£1.504 bn). Most multilateral funding focuses on mutually agreed objectives set within ISs as its policy framework. However, very few of the ISs reviewed for this study include gender perspectives. Indeed, the incorporation of gender into institutional strategies is generally perceived as a 'zero sum game', whereby the incorporation of an additional issue such as gender mainstreaming would occur at the expense of something else. As a result, GE objectives are only included in select ISs where gender concerns are already explicit in the mandate of the organisations, for example UNIFEM and UNHCR.

8.5   The ISs have mainly been developed by DFID HQ and the partner agency HQ. As a result, there is some inconsistency between the policy work at HQs, and the decentralised cooperation and funding of the multilateral organisations at country office level. This has called for a closer working relationship between DFID's international division and the regional divisions to ensure that all units, including country offices, deliver the entire corporate agenda.

8.6   Discussions in the Development Committee in 2003 reinforce the impression of a missed strategic opportunity to influence multilaterals organisations, through institutional strategies, in order to promote GE goals.

8.1.2 Funding

8.7   In comparison with DAC and the EU average, DFID provides a higher share of its development assistance through multilateral organisations (39% in 2005)[91]. While DFID is in principle against earmarking of funding, the Department provides a significant amount of earmarked funds to multilateral agencies. For example, since 1997 DFID has established close to 150 trust funds with the World Bank (none of which directly related to gender mainstreaming or activities targeting women). Due to existing recording practices, it is difficult to trace non-core funding directly related to gender equality and women's empowerment. For example, non-core funding is known to have been granted in connection with the international women's summits, but cannot be directly traced in PRISM data.

8.8   While in theory non-core funds, earmarking or trust funds can serve as a way of strengthening multilateral organisations within a specific area, the Development Committee (DC) recently concluded in April 2005 that DFID makes limited strategic use of non-core funding in multilateral partnerships. The main reason given is the decentralisation of non-core funding arrangements to the country level (see section 8.1.3). The DC recommended that a stronger financial partnership with the multilateral organisations should be considered.

8.1.3 Staff secondments and board memberships

8.9   There is currently no clear policy on secondments. Evidence from interviews with staff suggests that secondments are used ad hoc, in a non-strategic manner. This impression from staff is confirmed by the DC. The Committee recently noted that 'Secondments and trust funds are currently decentralised and not strategically aligned... Secondments can be a useful instrument for engineering change. It is important that DFID captures the knowledge and experiences of returned secondees in their next posts but balances this against a system for managing them while on secondment (and on their subsequent return)'[92].

8.10   This is in contrast to the later part of the 1990s, where DFID staff stress that the former Social Development Department had a strategy of seconding SDAs to the EC and the UN. In the latter case, it was decided in 1997 that it would be strategic to place a senior SDA at the United Kingdom Mission to the United Nations in New York (UKMIS) to support and strengthen social and gender policies and strategies among key UN institutions including UNICEF, UNDP and UNIFEM as well as to working with Whitehall partners, especially the Foreign and Commonwealth Office.

8.11   Higher administrative positions, often managerial, are among the jobs that most seconded staff have occupied: specialists in health, education and HIV/AIDS are also frequent, and it is important to note that social development positions are not often used for secondments. As this is the position where staff with specific gender competencies are likely to be required, gender seems not to have been a priority area for secondments. Exceptions have been SDAs with strong

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[91] OECD (2005): Statistical Annex of the 2005 Development Cooperation Report.
[92] Minutes of DC meeting held on 26 April 2005. It should be noted that secondments are in fact covered by the December 2005 draft of the Institutional Strategy Guidance which also considers secondments as an option in the processes of developing the institutional strategy (sections 27 and 36).

influencing competencies in gender mainstreaming, seconded to the United Kingdom Mission to the United Nations (UKMIS). It is likely that seconded poverty advisers have been SDAs with gender competencies. DFID staff also stress that there were a number of SDAs seconded to EC and UNDP country offices from 1995 onwards.

8.12   As indicated by members of the Development Committee, secondments in the area of social development could be used in a more strategic manner. However, secondments now count towards the total number of staff in a Division, meaning that the more staff that are seconded to other organisations, the fewer are available within DFID. This may alter the nature of the decision making process around secondments and make them a more scarce resource.

8.13   With regard to board memberships, evidence from interviews indicates that DFID is critically aware of the importance of membership of boards of multilateral organisations, but that the strategic use in support of gender varies greatly from organisation to organisation. In UNICEF, gender mainstreaming has been high on the agenda of the executive board, while there was no evidence in minutes scrutinised from World Bank board meetings of gender issues having been discussed.

8.14   DFID staff and other bilateral staff indicate that joint bilateral partnerships with multilateral organisations may become an increasingly important aspect of influencing and dialogue. With the increased focus on donor harmonisation, like-minded donors form alliances to seek influencing through common objectives. In the case of UNICEF, DFID is pursuing this approach strategically together with two bilateral donors in support of gender (see section 8.2).

8.2   Influencing specific organisations

8.15   Evidence from case studies shows that DFID's emphasis on gender equality and women's empowerment goals correlates with the extent to which the GE goal is reflected in the partner organisations' core mandates. In other words, there is much focus on gender in DFID's work with UNICEF**,** while this is limited with regard to the World Bank and the European Commission. However, all three organisations regard DFID not only as a highly respected partner, but also as a bilateral donor that is in a position to move an agenda. Therefore all three organisations have stressed the potential for DFID to increase efforts to engage in gender mainstreaming in its partnerships, and there is an understanding that this could have an important impact.

8.16   In UNICEF, DFID is perceived as a strong partner in emergencies and human rights. The development of firm guidelines for gender mainstreaming in emergencies are directly attributed to two DFID evaluations[93]. In addition, DFID's continued work on gender issues with UNICEF is underlined by the latest annual bilateral meeting in January 2006. Together with Sida and CIDA, DFID held a joint annual meeting with UNICEF and discussed future assistance to the organisation and to gender in particular. A planned output is the development of joint indicators including gender related indicators.

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[93] Danida, DFID et al (1995): Joint Evaluation of Emergency Assistance to Rwanda. Also DFID/UNICEF (2000): UNICEF preparedness and response in the 1999 Kosovo Refugee Emergency.

Partnerships

8.17   According to World Bank representatives, in the past DFID has not worked with the Bank on promoting gender but has lately emerged as a potential interesting partner in this area. DFID is working with the Bank and a few other committed donors on MDG 3 focusing on education and is said to have brought innovation and commitment. With regard to a broader gender agenda, the current Institutional Strategy between DFID and the Bank with its focus on the Bank's internal effectiveness offers limited potential for addressing gender equality and women's empowerment goals. DFID's support of Poverty and Social Impact Assessments (PSIA) as a measure to hold the World Bank accountable to its commitment to undertake social impact assessments of its reform programmes provides a significant means of addressing gender issues. However, according to DFID's World Bank desk, neither the Bank nor DFID's social development advisors picked up on this opportunity for the eight PSIAs conducted so far.

8.18   Meanwhile, the EC representatives saw DFID to be at the forefront on gender issues under Clare Short's period as Secretary of State, during which DFID made an important contribution to closing the 'decency gap' of insufficient funds for reproductive health following the US policy shift that limited support to family planning and abortion. However, there is the impression that DFID's alignment with the EC on gender issues has weakened. Indeed, DFID is seen as preferring to work on its own rather than providing inputs to EC gender work. Nevertheless, DFID does at times use its position within the EC to promote gender issues. A recent example is DFID's strengthening of language to include gender perspectives, in the 2005 Development Policy Statement and in the new EC Africa Strategy 2005, during the UK Presidency.

Box 7: Channels and mechanisms for influencing multilateral partnerships

- Funds – core and non-core

- Staff secondments

- Board memberships

- Policy dialogue – negotiation

- Institutional Strategies

- Multilateral Effectiveness Funding Framework

8.3   DFID's role in the international effort

8.19   DFID's particular strengths are recognised to be its professionalism, its analytical orientation and the high calibre of its staff and technical assistance, aside from the advantage of having a larger budget from which to allocate funds to gender work. These strengths have been instrumental in the international effort to address gender issues, in which DFID's contributions at policy and at knowledge level are particularly appreciated. The strengths of DFID are recognised by external stakeholders at both the international and national level.

8.20   Regarding policy leadership, DFID is recognised as having played an important role in the 1990s through its leadership in the DAC Working Party on GE. The UN Conferences on Women have also benefited from high-profile input from DFID. DFID played an active role in the

Facilitation Initiative in preparation for the UN Beijing 95 Women's Conference and in the Beijing +5 Conference in 2000. This included providing competent negotiators in general and for the Sexual and Reproductive Health and Rights aspects in particular. Furthermore, DFID financed participation from the South and by INGOs.

8.21   In terms of knowledge, DFID's initiative to establish the knowledge and resources base BRIDGE is widely recognised[94]. DFID-funded gender research and studies by universities and civil society organisations have had worldwide influence on the GE discourse. DFID has also contributed to the development of innovative knowledge models for replication, such as the interdisciplinary teams' formula as well as DFID's unique NGO relationship. Both models have been promulgated by other donors, though with varying success[95].

8.22   DFID has a dynamic relationship with UK-based civil society organisations, in that these NGOs simultaneously serve as implementers of programmes, as co-advocates in international efforts and as external reviewers and critics of DFID. UK civil society's role as DFID's external evaluators and lobbyists is well known and has proved to be a powerful source of influence. This was most recently reflected in the 2003 GAD Network evaluation, which had a significant role in the creation of the Gender and Rights Adviser position in DFID. In terms of civil society's role as co-advocates, the experience is that DFID used civil society more proactively prior to Beijing 1995. However, joint advocacy work is still taking place, as illustrated by the high profile conference that DFID funded in 2004 on the Convention on the Elimination of all forms of Discrimination Against Women at the 25th anniversary of CEDAW.

8.23   With regard to sector-specific contributions, partners commend DFID's work in relation to the MDG-related gender goals of education and health, which includes global conceptual work and in-country based interventions. Seen from the view of civil society organisations, DFID's priority is biased towards GE work over women's empowerment activities, a bias reinforced by the advent of the MDGs, which in turn are generally regarded as depoliticising the Platform for Action.

8.24   DFID's support for R&D on gender issues in SWAps is recognised by other donors as having had an important impact on their efforts. Innovative initiatives taken by DFID on gender budgeting had some impact in central and southern Africa in the 1990s and early 2000s but has since lost momentum, according to internal and external sources. Both gender budgeting and gender sensitised budget support are areas in which joint donor initiatives are required. Given DFID's large portfolio in budget support, DFID is well placed to support research on approaches for integrating GE goals into PRBS. The renewed Nordic Gendernet has decided to address how dialogue can be improved as a tool between partners on budget support and gender budgeting. This effort will benefit from being expanded to include DFID and other lead budget support donors, ideally in a DAC context.

8.25   The new aid modalities call for more joint initiatives and partnerships between bilateral and multilateral agencies and civil society, with lead and silent partners selected based on the

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[94] BRIDGE is a multi-donor funded resource centre working with gender. It was established in 1992 by DFID and is currently receiving funding from DFID, SIDA, SDC and DCI.
[95] World Bank, the Netherlands Ministry of Foreign Affairs, Norad and Sida.

specific country-context. DFID's role as a major donor increases its obligation to mobilise its capacity in international relations and with country partners to impact on and contribute to gender sensitive poverty reduction. However, decisions on comparative strengths and opportunities to pursue effective gender mainstreaming between DFID and other organisations including civil society are best taken at country level and not a priority.

9   CONCLUSIONS

9.1   Significant changes in the aid environment set the backdrop for the period covered by this evaluation. The evaluation period starts with the Fourth World Conference on Women in Beijing in 1995. The following years saw important international follow-up activities including work by the DAC, which published the DAC Guidelines on Gender Equality and Women's Empowerment in Development Cooperation in 1999 following a period of DFID chairmanship of the DAC Gendernet. In 1999 the IMF and the World Bank launched the enhanced HIPC debt initiative designed to assist eligible countries committed to eradicating poverty. This brought the poverty reduction strategies (PRS) to the centre of development, and with these strategies national ownership of the development process came to the fore. In 2000 all UN Member States adopted the Millennium Declaration, through which came the MDGs. The High Level Forum on Harmonisation in Rome in 2003 brought commitment to the international agenda of national ownership, alignment and harmonisation. The Paris High Level Forum in 2005 reconfirmed these commitments and added a strong result focus, all summarised in the present aid effectiveness agenda.

9.2   The Target Strategy Paper *Poverty elimination and the empowerment of women* (the Gender Strategy) was published in September 2000, in the middle of the evaluation period and coinciding with the launch of the PRS approach and the adoption of the MDGs. This continuously changing context has been a great challenge to the implementation and monitoring of DFID's Gender Strategy. DFID has led the implementation of the aid effectiveness agenda over the second half of the evaluation period. This includes decentralisation to the country offices in 2000; a shift towards sector wide approaches (SWAPs) and budget support (PRBS); and harmonisation and division of labour with other donors. A 70% increase in budget coupled with a 25% growth in staff was a response to the 'more with less' initiative. Not surprisingly, these changes have complicated the process of evaluating DFID's policy and practice in support of GE.

9.3   Against this background, this section outlines the main conclusions of the evaluation in the form of macro-findings emerging from the evaluation and specific conclusions seeking to answer the specific evaluation questions of the TOR (see annex 1).

9.1   Main conclusions

9.4   The overall conclusion of the evaluation of DFID's Policy and Practice in Support of Gender Equality and Women's Empowerment is that there is a continuing need and justification to pursue the goal of gender equality and women's empowerment in its own right, and also as a key factor in poverty alleviation and pro-poor growth. There has been growing appreciation over the last decades among DFID staff and partners of the links between equal rights and opportunities for women and men on the one hand, and economic and social development on the other. But this understanding needs to be continuously nurtured and demonstrated if it is to progress beyond the still widespread notion that GE is in competition with other development objectives.

9.5   The evaluation demonstrates that DFID has made important contributions to gender achievements at policy level and at practice level. However, the contribution and impact is

uneven, with great variances found across sectors, countries and partnerships. The key factors contributing to the uneven gender mainstreaming in programming can be attributed to inconsistency at policy, conceptual and institutional level, as well as an insufficiently enabling environment, factors that are explored below.

9.6   The Gender Strategy of 2000 and other key DFID policies establish an understanding of links between GE, women's rights and poverty reduction. Yet gender activities are still often pursued in isolation, or as an add-on, if programming is not totally gender blind.

9.7   The Gender Strategy was developed in the wake of the White Papers of 1997 and 2000. The new aid modalities increasingly came to dominate after 1999. A greater emphasis on SWAps and PRBS and a reduced emphasis on projects had a series of consequences for DFID's ability to pursue and monitor the implementation of its gender policies. More specifically, the increased importance given to country ownership and a greater reliance on partner country institutions for the implementation of DFID-funded activities, together with non-earmarked funding and DFID's participation in multi-donor and joint-donor activities, all contributed to diminishing DFID's ability to control the process and the outcome. For obvious reasons, this was insufficiently anticipated in the Gender Strategy and in the subsequent Gender Manual (2002), and DFID has not yet adapted its gender policies to the new circumstances.

9.8   The policy and plan document, *Realising human rights for poor people – strategies for achieving the international development targets* (2000) made the rights perspective explicit. But neither this nor the Gender Strategy have been followed by guidelines on how to pursue the gender and rights policies in programming for the PRBS modality. As a result, DFID's gender policy framework has become separated from the environment in which its development assistance has been implemented.

9.9   A subsequent profusion of policies and strategies created what has been termed a 'let 1000 flowers bloom' approach to policy and strategy development in DFID. Whereas this testifies to the creativity and innovation on the part of DFID staff, it also poses a number of challenges. These relate mainly to the mutual coherence of the policies and strategies and their respective priorities.

9.10   With regard to conceptual inconsistency, DFID subscribes to DAC's multi-dimensional definition of poverty. Poverty is characterised by deprivation which affects the economic, human, political, socio-cultural and protective capabilities of people. However, evidence from the evaluation shows that gender perspectives have nevertheless often been addressed as isolated women's issues and add-ons, although the Gender Strategy in essence addresses the poverty–gender linkage. Although some thematic policies do touch upon GE, in these the concept is either only partially present or is restricted to regarding women as a vulnerable group. At times opportunities have been missed to make the obvious connections between rights, justice, structural inequalities, pro-poor growth and the concepts of gender equality and women's empowerment. This can be explained to a certain extent by a compartmentalised approach to policy and strategy development in DFID.

9.11   When challenged, DFID staff and partners share an appreciation of conceptual and policy

links, but evidence from the various parts of the gender evaluation suggests that there is limited appreciation in practice of the importance of gender equality and women's empowerment in poverty reduction efforts, from initial analysis through implementation, monitoring and evaluation. Methodological work and awareness raising is needed to ensure that the gender rights perspective is fully integrated throughout the intervention cycle.

9.12   Institutional incoherence is mainly derived from the narrow focusing of DFID's performance management framework, the PSA. As DFID aligns its policies to the MDGs there is a risk of reinforcing the compartmentalisation of gender issues and policies, since the linkage between poverty and gender in the MDGs is confined almost exclusively to selected education and health issues. Limitations of this narrow focus have been pointed out by a number of DFID's NGO partners and the unintended consequence of linking the PSA to the MDGs has made room for a narrow interpretation of gender throughout the organisation, as shown by this evaluation.

9.13   Finally, with regard to an enabling environment for gender mainstreaming, evidence shows that DFID's senior management has provided inconsistent leadership on gender over the past decade. Given the many goals of DFID's development assistance and the lack of strong incentives or management expectation for staff and partners to proactively pursue GE goals, the evaluation shows that gender equality and women's empowerment goals tend to fall by the wayside. Mainstreaming results and experiencing changes in GE on the ground require staff and other resources, especially at country level, as well as incentives to promote the pursuit of synergies between different goals.

9.2   Conclusions in response to the evaluation questions

9.14   The changes in the way DFID works (EQ1)– that is, a shift to country-led approaches and newer aid modalities – have accentuated the lack of a common appreciation of the status of DFID's gender policies and guidelines. Generally, they are regarded as optional rather than prescriptive. This has contributed to a fragmentation in the application of approaches and strategies in gender equality and women's empowerment, and a subsequent uneven impact.

9.15   In terms of what has worked in integrating gender concerns, our sample suggests that the integration of gender targets in the performance management framework has helped institutionalise gender mainstreaming within the targeted sectors of primary and secondary education and maternal health. Evidence of gender mainstreaming was found for all education interventions evaluated. In contrast, the evaluation found no evidence of impact within the non-gender targeted sector of pro-poor growth, even for those pro-poor growth interventions that received a GE PIMS marker.

9.16   Moreover, it is evident that the application of multi-dimensional poverty analysis is critical when developing gender sensitive country strategies. In Nigeria, the DoC analysis informing the country assistance plan did not include gender concerns, and as a consequence not only the DFID CAP but also the World Bank CAS was gender-blind, both strategies having been informed by the same analytical framework. Further, the existence of strong country office gender focus in the form of genderised country strategies, country-specific GE strategies and leadership is also found to be a contributing factor in integrating gender concerns in different country contexts.

Conclusions

9.17   With regard to best practice from India, DFID's interdisciplinary programme team approach has proved to be an efficient model for dialogue with (and influence on) state governments. The team structure not only mirrors India's state apparatus of geographical teams, but also, due to its interdisciplinary set-up, responds more holistically to the poverty challenges that the states are facing, a holistic approach that is conducive for gender mainstreaming.

9.18   For newer aid modalities and more specifically for PRBS, it was found that the lobbying of a Poverty Reduction Strategy (PRS) gender team of civil society organisations and donors was an effective measure for integrating gender concerns into the PRS. In contrast, the combination of a gender-blind PRS and the application of a non-conditional aid policy on gender in the PRBS does not promote gender concerns.

9.19   The current organisational structures (EQ2), with the disbanding of the project approval committee vetting all project proposals for coherence with DFID policies, has weakened compliance with gender policies. Thus, while the decentralisation of decision making is in line with DFID's country-led approach and its push for national ownership, the lack of oversight mechanisms reinforces the notion of DFID policies being optional (see also EQ1).

9.20   The performance management system and the organisational culture reward compliance with gender polices in so far as the gender mainstreaming activities are captured within the PSA gender targets. Indeed, the PSAs are regarded as a key driver to gender mainstreaming. However, given that the current gender targets are very narrow in scope, the system does not discourage gender-blind programming outside of these targets, as shown by the lack of criticism raised of the gender-blind EMAD DDP (see also EQ1).

9.21   The narrow gender targeting in result setting has not been balanced by consistent and broad-based senior management leadership on gender. Indeed, gender achievements outside of the PSA targeted areas are not considered to be as highly rated by senior management as other achievements. This perception is in line with the notion found at country level, where GE work is seen as being in competition with other priorities, for example debt relief in Nigeria. Instead, leadership has been left with committed individuals or professional groups, in many cases the SDAs. The limited gender leadership is also reflected in the lack of gender specific performance indicators in staff personal development plans. Only the SDA group was found to hold such indicators and then not in a consistent manner, indicators being noted only for a few SDAs.

9.22   As a consequence, DFID's emphasis on GE strategies and women's empowerment goals tends to reflect the degree to which GE strategies and priorities are already reflected in the local context and in partner organisations' core mandates. In India, where the international environment has for decades been influenced by national expertise and networks on gender and marginalised groups, DFID has had a strong basis in national gender machineries and civil society organisations for developing and sustaining GE and, of late, social inclusion strategies. In contrast, programming in the Western Balkans has been gender blind, reflecting societal forces which mistakenly see the post-conflict development as gender neutral, believing that GE was addressed in the previous socialist era.

9.23   With regard to partner organisations, evidence shows that DFID only applies gender-

explicit partner strategies (IS) for those multilateral organisations where gender concerns are already explicit in the mandate of the organisation.

9.24   DFID's role in the international effort to address gender issues (EQ3) has been significant in terms of policy leadership and knowledge development. It has taken many forms, including significant financial and staff support to multilateral, specialised agencies like UNIFEM and UNICEF on strategic planning and specific gender related programmes; a lead in international forums and conferences like the UN Women's conferences and support for participation of partners from the South; a lead at times in the DAC Gendernet and the development of gender tools and guidelines in the DAC context; a lead on gender mainstreaming within the context of the MDGs; support for UK-based gender research and information networks like BRIDGE; and listening to and being influenced by civil society organisations and NGOs such as the GAD Network.

9.25   Over the years DFID has developed a comparative advantage in gender analysis and concepts, in networking and in negotiating gender agendas, and these strengths have been widely acknowledged by multilateral and bilateral donors. However, the same strengths are not coherently reflected at country level, where the evaluation shows no evidence of a pattern in the division of labour. Instead, an ad-hoc country-specific approach to the sharing of tasks among donors has been noted, reflecting staff expertise and resources in DFID and other donors alike. DFID's varied role in gender forums across countries is illustrative of this – in some countries DIFD has taken a strong lead on gender (Ethiopia), whereas in others it has chosen to not participate in donor gender forums due to competing priorities (Western Balkans).

9.26   The evaluation is inconclusive as to the appropriateness of DFID's mix of channels (EQ4) for addressing GE goals, since a comprehensive and comparative analysis of gender related impact attained through different channels was not possible. Instead the evaluation has assessed DFID's approach to gender mainstreaming in regard to its multilateral and bilateral funding.

9.27   DFID's growing contributions through the multilateral channel have not been matched by a coherent strategy for engaging substantially with organisations on GE goals, or for promoting synergies between GE and other goals such as poverty reduction. This was apparent in the institutional strategies agreed with multilateral organisations, where the integration of gender concerns is not proactively pursed. Influence through non-core funding or staff secondments appears (with a few exceptions such as the UKMIS) not to have been systematically used as a way of promoting GE goals in the organisations assessed.

9.28   Within the bilateral channel, gender mainstreaming of programming has also varied, for example with the PRBS constituting 20% of the bilateral frame, showing limited evidence of integrating gender concerns (see EQ7). For projects and SWAps (education only), the evaluation shows more evidence of gender mainstreaming although with great variation in between countries and sectors (see EQ1 and EQ2).

9.29   The variable results of gender mainstreaming and results in women's empowerment are also rooted in the level of resources (EQ5) available for GE programming. In terms of staffing, the evidence suggests that the current level of staffing is not appropriate for broad-based gender

Conclusions

mainstreaming. The overall reduction of staff in relation to the programming frame has led to a heavy prioritisation of tasks to the detriment of, among other things, gender focused work. In addition, the SDA staff has grown as a group relatively less than other professional groups, leading to diminished expertise and a reduced lead on gender.

9.30   In terms of funding, the evidence derived from the PIMS data is inconclusive due to the inconsistent manner in which the system is applied. Hence no conclusion can be drawn about the appropriateness of the funding for GE programming.

9.31   As to the level of resources in terms of knowledge, DFID's systems for knowledge sharing (EQ6) have also contributed to limitations in gender mainstreaming results. This is surprising in view of the high calibre of the knowledge produced in UK-based gender networks and information centres, some of which are supported by DFID funds. From these and international forums in which DFID participates, there is access to relevant gender analysis, planning tools and guidelines. However, not only is the route into DFID's internal channels of knowledge sharing, formal or informal, something of a bottleneck, some critical tools are also awaiting development. Thus, while DFID is at the forefront in terms of funding for gender specific research, the dissemination of the tools and resources developed remains a challenge. The gender tools made available by DFID do not meet the knowledge needs expressed by staff. This means that variations in supply are apparent in sectors and aid modalities: tools are targeting the different focus areas of PPG unevenly, and tools for gender mainstreaming of PRBS schemes are not available.

9.32   DFID's current monitoring system is not adequately used for tracking the processes of gender mainstreaming (EQ6). At corporate level, the MDG-driven performance management system has led to a focus on gender mainstreaming in education and health (see EQ1). Furthermore, the PSAs do not reflect the twin-track approach, since there are no established targets for women's empowerment activities. As a result, only GE results within primary and secondary education and maternal health are being reported.

9.33   At intervention level, the logical framework approach (LFA) has not been consistently applied in monitoring. Gender indicators were not always integrated and if they were it was mainly in the form of quantitative indicators. In addition, output-to-purpose reviews were not found to lead to logical framework revisions. Moreover, formats of the documents required at each level of the project cycle do not prompt the responsible parties to address gender issues at all stages. Progress reports, for example, are often silent on gender issues, even in cases of gender PIMS marked interventions.

9.34   This has limited reporting on good practices, for example on the potential effects of GE on poverty reduction. It has also contributed to the invisibility of gender concerns, with variations among sectors and countries in line with what has been noted previously (see EQ1 and EQ2). In some cases this evaluation encountered positive contributions that were not picked up by the current M&E system, which focuses more on outputs than on impacts and outcomes relating to poverty reduction.

9.35   Finally, regarding the tracking of gender mainstreaming in programme spending, the

analysis of the gender PIMS data raises questions regarding the adequacy of this system as an instrument for monitoring for resources for gender equality and women's empowerment work.

9.36   The impact and contribution of DFID's policy and practice (EQ7) on gender are clearly more pronounced in gender explicit interventions, with nine out of ten interventions evaluated found to be contributing to GE goals. For gender blind interventions, contributions to GE was only found for those where gender concerns were consciously brought into focus during implementation and/or monitoring, for example through output-to-purpose reviews. Negative impacts of gender blind programming have mainly been in the form of missed opportunities, for example in the development of gender sensitive social welfare services.

9.37   For PRBS, our findings support the conclusions of the recent evaluation of General Budget Support. Gender as a cross-cutting issue does not feature prominently either in the PRS or in the PRBS agreements. PRBS arrangements are agreed irrespective of the extent to which gender concerns are integrated into the PRS. In addition, for gender blind PRS, gender concerns are not given sufficient systematic emphasis in the PRBS arrangement as a remedial measure. This is clearly a missed opportunity, and a concern, bearing in mind the planned increase in the relative weight of PRBS.

10   RECOMMENDATIONS

10.1   In recognition of DFID's strengths in policy making and knowledge development alongside the observed weaknesses of uneven gender mainstreaming in programming, we offer below four main recommendations. Detailed recommendations are to be found in the background country case studies and thematic papers.

1.   **Pursuit of DFID's gender policy objectives in a new context for international development assistance.** Following the increasing emphasis on harmonisation and alignment after the Rome Declaration in 2003, all donors are faced with the dilemma of having to navigate between their own policy objectives and country-led approaches to development. DFID needs to enable staff to manage these complexities in their interactions with development partners, governments and other donors alike. In this context, it has to be recognised that gender policy objectives as well as other cross-cutting and sector policy objectives are affected.

- *Influencing at country level.* The new global aid environment implies that the effectiveness of development assistance is strongly affected by influencing and negotiation processes: influencing of partner governments and other stakeholders in the preparation of PRS and sector policies; influencing of other donors in the negotiation of joint donor responses in the form of Joint Assistance Strategies, PRBS, Sector Wide Approaches (SWAps), and so on. With regard to the influencing of partner governments, the evaluation team recommends that DFID identifies ways to support local advocacy efforts for the promotion of gender issues in PRS. As for the influencing of the donor response, DFID should equip country office staff with influence and dialogue mandates, instructions, and tools; these should include guidance on DFID's role in donor gender coordination forums and PRBS working groups.

- *Influencing the aid effectiveness agenda at international level.* DFID should revitalise its international lead on gender policy development with the addressing of gender concerns in the context of the Development Cooperation Directorate's (DAC's) aid effectiveness working groups. Joint donor work should be instigated to address the issue of appropriate donor response to lack of national ownership of gender equality and women's empowerment. An entry point could be the exploration of optimal aid modality mixes to meet different country contexts.

2.   **Recognition that DFID's commitment to the multi-dimensional definition of poverty needs concerted application with regard to gender equality and women's empowerment.** Insufficient ownership of the idea that gender equality and women's empowerment are integral to poverty reduction is largely due to inconsistency in the application of poverty concepts across DFID's various policies and guiding instruments. The application of multi-dimensional (and hence gender-sensitive) poverty analyses to inform programming will help build the evidence base on gender in DFID's operating environment.

- *Enhancing conceptual coherence.* Rather than redrafting the gender Target Strategy Paper (TSP), a strengthening of coherence in poverty concepts should first be addressed in the guidelines and tools that drive DFID's analytical framework for

programming. It is therefore recommended that DFID's guidelines for tools such as Drivers of Change (DoC), Poverty and Social Impact Assessments (PSIA), and social inclusion analyses be reviewed by Policy Division for consistency in linkages between GE and poverty reduction. Further, the guidelines at programming level[96] should be adjusted by Finance and Corporate Performance Department (FCPD) to ensure that all programming is based on gender-sensitive poverty analysis. Minimum standards in the application of multi-dimensional poverty analysis tools should be stipulated, building on the review work of Policy Division referred to above.

- *Establishing conceptual clarity.* In light of the different interpretations of the goal of gender equality and women's empowerment, it is recommended that Policy Division clarifies the different approaches to reaching the objective. In particular, the implications in the form of different outcomes of applying the rights-based approach and social inclusion perspective need clarification.

3. **Recognition of the need for the approach to gender mainstreaming to be anchored institutionally.** Even if the importance of gender equality and women's empowerment to poverty reduction were widely recognised, the strategy of gender mainstreaming is still not adequate in institutional terms. Accountability measures need to be broadened in order to better anchor the strategy.

- *Enhancing institutional coherence.* Institutional coherence is needed in order to encourage staff to effectively pursue GE objectives in their work. A broadening of the established PSA GE targets is needed – at the moment these are too narrow, covering only education and health. An entry point could be a review of PSA 1 targets (eradication of extreme poverty and hunger) to ensure that gender equality and women's empowerment targets are made explicit in the approach to poverty reduction. Furthermore, in line with DFID's support of the United Nations as the norm-setting system, the millennium development goal (MDG) review of September 2005 that expanded MDG 3 targets to address wider gender issues, including sexual and reproductive health rights and actions against violence against women, should be institutionalised into DFID's performance management framework[97]. The broadened priorities need to be institutionalised into key programming documents (IS, PPA, DDP, RAP, and CAP – see above and footnote 1). In addition, the same broadened priorities should be reflected in the Personal Development Plans (PDPs), with regard to both performance objectives and competency development. A starting point would be integration of gender-specific indicators into the PDPs of the gender champions to be nominated (see recommendation 4).

- *Monitoring for coherence.* The broadened gender targets need to be reflected in formal and informal monitoring and evaluation (M&E), at both institutional and intervention level. This would include the integration of gender concerns into DFID's

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[96] Director's Delivery Plan (DDP), Regional Assistance Plans (RAP), Country Assistance Plans (CAP), Institutional Strategies (IS) and Partnership Programme Agreements (PPA).

[97] Revised draft outcome document of the High-level Plenary Meeting of the General Assembly of September 2005 submitted by the President of the General Assembly.

frameworks for monitoring and assessment of the performance of multilateral and civil society partnerships, including the Multilateral Effectiveness Funding Framework (MEFF). An audit mechanism also needs to be put in place to ensure that the updated M&E guidelines are adhered to. The mandate of existing UK gender advocacy forums could be expanded to encompass this role.

4.   Enhancement of the enabling environment for gender equality and women's empowerment. Management at DFID headquarters and country offices need to demonstrate continued commitment to the importance of gender equality and women's empowerment: this will serve as a powerful incentive for staff.

- *Champions for gender*. The 2003 Development Committee's commitment to nominate a top management champion should be acted upon. Moreover, all management groups of country offices should nominate a champion, preferably from outside of the SDA advisory group in order to broaden the existing lead on gender.

- *Knowledge*. Guidance should be improved on locating and accessing existing gender knowledge products (including information, tools, guidelines and training modules), complemented by an update of the existing resources and the development of new tools as required, in order to enable staff to pursue the suggested, broadened PSA GE targets. Policy Division should take the lead on this.

- *Training*. Following the review of the poverty analysis instruments (see recommendation 2), training in these should be reviewed, as should training in programming guidelines. Moreover, trainings in the Project Information Marker System (PIMS) need to be conducted at country office level to ensure coherent application. Such training is already foreseen with the forthcoming training on DFID's new reporting and e-information system, ARIES.

- *Learning environments*. Cross-country and cross-departmental learning should be strengthened in order to facilitate sharing of best practice and to address the shortcomings of the interdisciplinary approach. A starting point would be to hold regular retreats for all gender champions. Gender concerns should also be mainstreamed into the retreats of all professional advisory groups, and not only those of the SDAs. This will contribute towards revitalising the learning environment for gender mainstreaming within DFID.

Annex 1: Terms of Reference

EVALUATION OF DFID'S POLICY AND PRACTICE IN SUPPORT OF GENDER EQUALITY AND WOMEN'S EMPOWERMENT

1.0   Terms of Reference

1.1   The Evaluation Department (EVD) of the UK Department for International Development (DFID) seeks to engage the services of a team of consultants to conduct a systematic evaluation of its policies and practice in support of gender equality and women's empowerment to inform the development of future strategy in this area.

2.0   Background and Rationale

2.1   DFID is publicly committed to pursuit of gender equality and women's empowerment[98]. This commitment was built from the 1980s and culminated in the formal adoption of a 'twin track' strategy combining specific activities aimed at empowering women with a commitment to pursue gender equality in the mainstream of all development programmes (gender mainstreaming).

2.2   An examination of DFID's Public Service Agreement (PSA) targets from the Quarterly Monitoring Report (QMR) December 2004 shows that almost all the targets where progress is slipping have strong gender related components[99].   In 2003 and again in 2005, DFID's Development Committee (DC)[100] considered concerns about emerging divergence between DFID's stated policy and its practical commitment to gender equality. A number of reviews have already provided some evidence of difficulties and shortcomings: external reviews have found policy commitments inadequately backed up by implementation plans and resources and little evidence of implementing the commitments set out in the Target Strategy Paper (TSP)[101]. A recent gender audit of the Malawi country programme showed that policy commitments in project documents are often not implemented, that where gender is addressed this is often invisible through DFID's monitoring systems, and that there is some staff resistance to the issue[102].   Preliminary findings from the first phase scoping study[103] for the gender evaluation indicate that despite many and varied examples of good work on gender, the focus of DFID's gender work has narrowed to social sectors; expenditure on gender has declined as a proportion

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[98] DFID's Target Strategy Paper, 'Poverty Elimination and the Empowerment of Women' (2000) recognises the empowerment of women as an essential precondition for the elimination of world poverty and respect for human rights.

[99] The targets where there has been slippage include: In Africa, an increase in the ratio of girls to boys enrolled in primary school from 89% to 96%; In Africa, a reduction in under 5 mortality rates from 158 per 1000 live births to 139 per 1000 live births; in Africa, an increase in the proportion of births assisted by skilled birth attendants from 49% to 67%; and in Asia, an increase in the proportion of births assisted by skilled birth attendants from 39% to 57%: Source: DFID Management Reports: Q4, 2004.

[100] A senior management level committee whose purpose is to ensure that DFID's policies and programmes will deliver strategic priorities set by the Management Board, including PSA outcomes.

[101] For example, the Gender and Development Network (GADN) briefing for the Development Committee in 2003, GADN research for the UK shadow report for CEDAW and One World Action research on DFID and the EU in Bangladesh, Nicaragua and South Africa.

[102] Caroline Moser, Olivia M'chaju-Liwewe, Annelise Moser & Naomi Ngwira: 'DFID Malawi Gender Audit: Evaporated, Invisibilised or Resisted?': DFID Malawi: 2004.

[103] Francis Watkins, 'Evaluation of DFID Development Assistance: Gender Equality and Women's Empowerment: DFID's Experience of Gender Mainstreaming:1995 to 2004': 2004.

of DFID's overall expenditure; and that limited lesson-learning has taken place across the organisation.

2.3   In response to these concerns, the DC accepted that DFID will not achieve its objectives unless gender equality is central to its work and that there is a need to improve DFID's work on gender equality. It also noted the need to improve measurement of work on gender equality given changes in the way aid is delivered, in particular the challenge to DFID's direct ability to measure activity on gender equality posed by mainstreaming gender, operating through new aid instruments[104] and through an increasingly decentralised internal structure. The Committee has recommended key actions to act as levers for change on gender equality (see Annex).

2.4   Between November and February, a series of short thematic evaluations have been conducted, examining DFID's gender equality policies and programming in eight areas of DFID's work: HIV & AIDS, education, maternal health, voice & accountability, enabling environment, conflict, migration and gender violence. These studies provide preliminary overviews of how gender is addressed in different areas of DFID work, and suggest frameworks, hypotheses and indicators for further study.

2.5   Building on this work, EVD now seeks consultants to undertake a systematic evaluation of DFID's policies, practice and organisational systems and incentives in support of gender equality and women's empowerment.

3.0   Purpose and Objectives

The *purpose* of the evaluation is to inform future DFID strategy, by assessing the results of DFID's past policies and programming on gender equality[105] and women's empowerment and any consequent effects on poverty reduction.

3.1   The objectives of the evaluation are:

- to assess DFID's contribution to gender equality and women's empowerment, its internal systems and incentives in support of gender equality

- to facilitate institutional learning and action in respect of gender equality policy and practice through the evaluation *process;* and

- to make specific recommendations both to DFID as a whole, and to specific departments and country programmes, for improving policy, systems and practice in support of gender equality and women's empowerment.

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[104] New aid instruments include Povery Reduction Strategies (PRS), Sector Wide Approaches (SWAps), General or Poverty Reduction Budget Support (GBS / PRBS), and Poverty and Social Impact Assessments (PSIAs).

[105] Gender equality objectives and women's empowerment objectives are linked but different in their focus. The TSP discusses the meaning of these terms as understood in DFID. In the ToR, 'gender equality' will be taken to include gender equality and women's empowerment unless a clear distinction is required.

4.0   Evaluation Questions

The following is a draft list of questions for the evaluation. This list should be refined during the inception phase and a final list agreed prior to commencement of the field study phase.

4.1   How have *changes in the way DFID works*, towards harmonised and aligned aid flows, increasing use of multilateral and regional channels, and emphasis on country-led approaches in different country contexts, affected the approach to gender issues in DFID's work?   What evidence is there of what has worked and what hasn't worked in integrating gender concerns in newer aid modalities and in differing country contexts?

4.2   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? Do DFID's current internal incentive systems reward compliance with gender policies or discourage gender-blind programming?

4.3   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?

4.4   Has DFID used an appropriate *mix of channels* for addressing gender equality goals, and is there adequate coherence and co-ordination between approaches?

4.5   Has the *level of resources* (funding, staff, knowledge) for gender equality programming been appropriate to requirements to meet DFID's policy objectives?

4.6   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?

4.7   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? What impacts can be identified where gender equality has not been an explicit goal of DFID interventions? Has gender-blind programming resulted in negative impacts on gender equality or other objectives?

5.0   Scope and Focus of the Evaluation

The evaluation will consider three principal aspects relevant to DFID's gender policy and programming, in a sample of policy areas, instruments and country contexts:

Annexes

5.1   Internal effectiveness (internal policies, systems, procedures, and incentives for gender equality programming)

To include consideration of key documents and operational texts (PSA, DDPs etc.); internal visibility and leadership on gender; internal resourcing of gender equality work; staff responsibilities, capacities and incentives; internal research, evaluation and knowledge sharing on gender equality; internal monitoring systems; and links to internal diversity goals.

5.2   External effectiveness (resources, channels and instruments)

To include consideration of DFID's work, with and without a specific gender equality focus, in the following areas: key policy documents and operational texts (DDPs, CAPs[106], CSPs[107], Country Engagement Plans, ISPs[108] and partnership agreements); influencing work; work with multilateral partners and in relevant global initiatives; across Whitehall; regional coalitions and networks; bilateral partnerships; multistakeholder groups; programmes implemented by third parties (eg: NGOs; private sector); and in country programmes.

The evaluation will consider DFID's strategic contribution to processes of addressing gender inequality and women's empowerment, and, in respect of four thematic areas of DFID development assistance, the evaluation will assess the impact and contribution of DFID policies and practice to outcomes in specific country recipients of DFID assistance. In making this assessment, the evaluation team will define and consider the counterfactual for DFID's interventions (alternative approaches, alternative interventions, no intervention), and what inferences can be drawn about potential impacts with and without gender mainstreaming.

The evaluation will refer to external and national data sources for this aspect of the study.

5.3   DFID's role in the International effort on gender equality and women's empowerment

To include consideration of DFID's comparative influence and capacity on gender equality and women's empowerment in the context of country-led approaches, greater harmonisation of international aid and increased joint and multilateral working; and consideration of assumptions made in specific contexts on the influence and capacity of others, including country partners, to take forward gender equality.

6.0   Structure of Work

The evaluation will be in four parts: (i) an inception phase for design of the evaluation framework, methods of data collection, and agreement on evaluation questions; (ii) a data collection and reporting phase for collection of evaluation information and drafting of conclusions; (iii) a consultation and finalisation phase for consulting on draft findings and finalising the evaluation report (iv) a dissemination and follow up phase.

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[106] Country Assistance Plans.
[107] Country Strategy Papers.
[108] Institutional Strategy Papers.

6.1   Inception Phase

During this phase the evaluation team will carry out initial mapping of DFID's work, refine the evaluation questions, and design the methodology for the evaluation. The following tasks will be required:

- a *gender analysis* of DFID's portfolio over the period 1995 – 2005 based on DFID's internal financial and monitoring systems, to identify indicative trends in expenditure and resourcing by sector, region, country; and taking account of multilateral work, policy influencing and changes in aid modalities

- A mapping of internal organisational systems, procedures, measurement and incentive frameworks and ways in which gender equality issues relate to these systems[109]

- construction of an evaluation framework for addressing the evaluation questions and principal elements outlined in 4 & 5 above

- construction of logic models of links between DFID inputs (funds, knowledge etc.) outputs, outcomes and impacts on gender equality in four thematic areas[110] of DFID's work

- construction of sampling criteria and a sample frame for country case studies

- design of a process for institutional learning and data collection methods for the main evaluation.

In undertaking the inception phase, the evaluation team will draw on the findings and frameworks for impact assessment developed by the eight thematic evaluations already completed.

Evaluation Department in consultation with a Reference Group will make decisions on thematic areas and country case studies.

6.2   Data collection and drafting Phase

During this phase the evaluation team will conduct field study of DFID's gender equality programming in at least four countries, field assessment of selected international partnerships, and impact assessments of DFID's gender equality programming in four thematic areas, and will draft the evaluation report.   During this phase the evaluation team will produce regular feedback reports and hold regular briefings with the Evaluation steering committee.

6.3   Consultation and Finalisation Phase

During this phase EVD will circulate the evaluation team's draft report and will compile feedback

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[109] The consultants may be able to build on a similar exercise being conducted as part of the preparation for an evaluation of the UK's HIV and AIDS strategy.
[110] Thematic areas could include work related to a particular sector or a particular type of aid instrument.

for the evaluation team from key audiences within DFID and externally as appropriate. The evaluation team will address gaps, inconsistencies and errors of fact in finalising their report.

6.4   Dissemination and Follow-Up Phase

During this phase EVD will disseminate the report findings internally and externally, and will follow up recommendations with responsible divisions within DFID. Specifically, EVD will ensure the report's findings are fed into the DAC Peer Review of UK Development assistance around the end of the year, and that recommendations are brought to the attention of DFID divisions to inform the development of DDPs for 2006-7. Throughout the evaluation process, EVD will liase with Senior Management and with Policy Division to feed evaluation findings into the development of DFID strategy on gender equality.

7.0   Deliverables

7.1   Inception Phase

An inception phase report (50 pages maximum) containing:

- a summary (6 pages maximum) of main points and key questions for the evaluation

- gender Analysis of DFID's portfolio

- a framework for the evaluation covering points in sections 4 & 5 above

- logic models for assessing impact of DFID interventions in four thematic areas

- a sampling frame and sampling criteria for country case studies

- outline process for institutional learning during the evaluation

- suggested data collection methods and draft instruments

Additional information may be provided in annexes.

7.2   Field Work and Drafting Phase

- detailed field schedules, in advance, to facilitate liaison with country programmes

- final study instruments

- regular feedback reports (frequency and scope to be determined in consultation with the evaluation management team)

- draft report, in two volumes:

a)   a synthesis study (maximum 40 pages), including a short summary (maximum 6 pages) listing key findings, lessons and recommendations

b)   supporting annexes, including an overview , four country case studies; and four thematic impact evaluations

8.0   Competencies

An evaluation team comprising the following key skills: Advanced knowledge and experience of gender equality policy and programming in the context of development co-operation. Advanced knowledge and experience of institutional change management, in the context of development. Knowledge and training in evaluation methodology including process evaluation; impact assessment, and participatory evaluation. Team members should reflect a gender balance.

9.0   Timing and Conduct of Work

The evaluation is expected to begin in May 2005 and be completed by December 2005. The Evaluation will be managed by the Sustainable Development and Governance Team in DFID's Evaluation Department, guided by a Reference Group composed of other internal and external parties.

* consultants appointed – by 18th May

* consultants to meet with Evaluation Steering Group: 26th May

* inception Phase Report submitted to DFID – by 11th July

* draft report submitted to DFID – by 31st October

* final report submitted to DFID – by 22nd December

MEASURES RECOMMENDED BY DFID'S DEVELOPMENT COMMITTEE 17/01/2005

- rebuilding or strengthening links with key international and regional organisations to create and use opportunities for influence on gender equality and building on comparative advantages of other organisations

- concentrating on positive incentives to work on gender equality rather than the regulatory framework of how this is achieved

- addressing gender issues through PRS processes as a lever to link to policy dialogue, to influence the way that gender issues are owned in countries in which we work

- making stronger and more explicit alignment between DFID's internal diversity and gender agenda and our external policy dialogue

- reconfiguring resources within DFID divisions and investment in advisory cadres to ensure proper support and technical capacity for gender work; while promoting much wider ownership of gender equality within DFID

- reinforcing the role of gender in achieving the Millennium Development Goals (MDGs) through the Directors Delivery Plans (DDPs)

- providing better evidence of performance on gender equality and upgrading monitoring systems to take account of new aid instruments and influencing work. In evaluating work on gender, to track measurables that are consistent with changes in the way we do business

- investigating ways of working more closely with other Whitehall departments

Annex 2: 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 operates where others wouldhave 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

Evaluation Question	Analyses	Notes
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 3: Timeline of Key Changes

	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005
Changes in the international and wider UK aid environment	Fourth World Conference on Women in Beijing; DAC high level meeting endorses gender equality as a vital goal for development and development assistance efforts	International Development Targets agreed by OECD	HIPC Initiative		The PRS approach IMF/WB; DAC guidelines for gender equality and women's empowerment in development cooperation	Millienium Declaration; Beijing +5 Review	DAC Reference Guide on Poverty Reduction; Monterrey Consensus	DAC Reference Guide on Gender Equality in SWAps	Rome Declaration	Marrakech 'Managing for results'	Paris Declaration; Africa Commission Report; UN Millenium +5 summit; G8 meeting in Edinburgh
Changes in the Way DFID[1] works			White Paper I: established the UK Government[1] policies for achieving sustainable development for eliminating poverty. International Development Targets were to guide UK development assistance[2]; DFID budget increased	Shift from project to programme approach	Change in DFID training department led to a shift from training conducted by progressional groups to training requirements around systems and procedures; Launching of Country Strategy Papers[2]	White Paper II: DFID adopts MDGs and country-led approach to development through PRSs[2]; Establishment pf country offices with the objective of strengthening the country-led approach[3]	Launching of MDG-driven PSA/SDA; GBS/PRBS launched as new aid modality; Decision on shift in development assistance towards low income countries (90/10); Restructuring of Policy Division:[2] shift from professional groups to multi-disciplinary teams:[3] abolishment of Senior Social Development Advisor post[4] and disbandment of project approval committee com-posed of Chief Advisers vetting all major funding proposals in relation to DFID's policies	Decision that CAPs replace CSPs with the objective of further strengthening the country-led approach by aligning with the PRS[2]	Downsizing of staff with the launching of the initiative 'doing more with less'		
Evolution of DFID's gender policies and practices	DFID chair of DAC Working Groups[4]	DFID publishes One Year on from Beijing; Launching of Gender Equality Strategy Project (GESP) which reviewed among others the gender training approach[5]	WID PIMS marker change to GAD marker[3]	DFID publishes issues paper Breaking the Barriers; Launching of the Gender Equality Mainstreaming (GEM) information resource	Termination of mandatory gender training[6]; DFID terminates Chairmanship of DAC-Gendermend	DFID publishes the Target Strategy Papers (TSPs): the Poverty Elimination and the Empowerment of Women and the Realising Human Rights for Poor People		DFID publishes its Gender Manual; Case studies on education SWAps to feed into DACs Reference Guide; GEM web ceased to be an in-house mechanism	GADN report prompts Development Committee meeting to discuss progress on gender equality within DFID and appointment of Senior Gender and Rights Adviser[6]		Senior Gender and Human Rights Adviser's letter to Development Committee prompted the need for a gender action plan; Launching of DFID policy paper: Reducing Poverty by Tackling Social Exclusion; Launching of new research consortium on Pathways to Gender Empowerment

1 Until 1997 DFID was the Overseas Development Administration (ODA). For the sake of clarity DFID has been used throughout the table.

2 Performance Assessment Resource Centre (PARC). New Tools for Evaluation Exercises: Timelines, critical incident reviews and documentary audit trails. Annex 3: Timeline for important changes in DFID from 1997-2003.

3 Timeline for important changes in DFID from 1997-2003. Flint et al (2004). Evaluation of DFID Country Programmes - Synthesis Report, London, DFID.

4 DFID Gender Mainstreaming Timeline – 1994 to 2004. BRIDGE.

5 Development of International and DFID Policy. Watkins (2004). Evaluation of DFID Development Assistance Gender Equality and Women's Empowerment, Glasgow: DFID Evaluation Department.

6 Gender Evaluation: Overview of DFID's Programme 1985-2000: Sequence of Events.

Annex 4: Gender Analysis of DFID's Aid Portfolio (1995-2005)

Knud Olander, Elsa Dawson and Tom Dahl-Østergaard

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ABBREVIATIONS

CODA	Name of accounting software package used
DFID	Department for International Development
GE	Gender Equality
IMF	International Monetary Fund
MDG	Millennium Development Goal
MIS	Management Information System
ODA	Overseas Development Assistance
P	Principal
PHS	Project Header Sheet
PIMS	Project Information Marker System
PRBS	Poverty Reduction Budget Support
PRISM	Performance Reporting Information System for Management
S	Significant
SRSG	Statistical Reporting and Support Group
TC	Technical Cooperation

EXECUTIVE SUMMARY

S1   The purpose of this analysis is to identify trends in DFID's funding towards its Gender Equality and Women's Empowerment objective over the period 1995–2005. The analysis is based on information provided by DFID's Statistical Reporting and Support Group. The analysis comprises all projects[111] that have been scored in the Project Information Marker System (PIMS).

S2   PIMS is used within DFID to track the targeting of bilateral commitments and expenditure against specific policy objectives. PIMS contains 14 markers. The marker applied for the tracking of projects that promote Gender Equality and Women's Empowerment is referred to as the GE marker. This study analyses the trends in GE marked spending commitments and expenditure by aid type, sector, region and country.

S3   Although any analysis based on PIMS data should be treated with caution, there is sufficient evidence to derive the following conclusions from the analysis:

- *Commitments*: There is no clear trend over the period 1995/96–2004/05 for the aid commitments with a significant GE marker, but a fairly certain decline in the commitments with a principal GE marker (from an annual mean of 4% in the first half of the period to 1.5% in the second half of the period).

- *Expenditure*: Unlike the commitments, the data on expenditure demonstrates clear upward trends for both the significant and principal GE marked expenditure. The discrepancy between the commitments and expenditure cannot be explained on the basis of the statistical data.

- *Aid types*: Smaller projects and civil society interventions have the highest proportion of GE-marked projects (32%), and the more upstream aid types (like programme aid, which includes general budget support) have lesser degrees of this (16% GE marked). These GE markings refer to principal and significant marks combined.

- *Sector*: Not surprisingly, the education and social sectors have the highest level of GE marked expenditure (46% and 37% respectively). It is noteworthy, however, that the level of GE marked expenditure in the health sector (23%) is lagging behind these. Furthermore, compared with the first half of the period, since 2000, the largest increases in the levels of GE marked expenditure have occurred in four sectors: economic, governance, humanitarian assistance and environment (see chart 5).

- *Regional*: The cumulative level of GE marked expenditure over the period was much lower for Africa (18%) than for Asia (28%). However, in contrast with the finding by the evaluation preparatory study (Watkins, 2005), our regional analysis shows that both GE marked commitments and expenditure to Africa have increased from 2000/01.

- *Country*: Our analysis of the five top recipients of DFID bilateral aid especially corroborates the differences observed between Africa south of the Sahara and South Asia. It also reveals

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[111] In this report the term 'project' refers to all interventions, including programmes, PRBS and sector aid.

that GE marking of general budget support can have a significant impact on the statistical trends observed.

S4   It is concluded, overall, that any analysis based on GE marked PIMS data should be treated with caution. At least two reasons exist for this:

• the GE score mainly represents intentions at the project design stage and does not reflect the actual implementation of a project or its achievements

• there is some evidence indicating that there are differences in the interpretation of the GE marker (and hence inconsistencies in its application) between countries. It cannot be determined on the basis of the statistical data to what extent this would explain for example the differences observed between the GE marking of expenditure in Africa and Asia

S5   This gives rise to a number of recommendations that may lead to improvements in the application of the GE marker.

• PIMS is an indicator of initial intent but scope exists within the system to change markers during the course of project implementation[112]. We recommend that procedures be established to ensure that the GE marking is updated, at least while preparing the project completion reports

• all DFID staff responsible for PIMS marking should have adequate knowledge of, or receive training on, the use of the different markers, normally as part of general training on project cycle management

• the Pink Book (p 16) states that for PRBS Good Governance should always be scored as Principal (P) and PIMS marking should be consistent with the notional sector coding specified. It is recommended that The Pink Book makes a distinction between general budget support and sector budget support and provides clear criteria for the respective GE marking of this.

• it should be considered whether the project 'lead adviser' should sign off on PIMS markings

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[112] DFID (2005a) 'The Pink Book' – Project Header Sheet Guidance incorporating Input Sector Codes and Policy Information Marker System.

1 INTRODUCTION

1.1 This paper provides an analysis of gender equality and women's empowerment marking of DFID's aid portfolio over the period 1995–2005. The purpose is to identify possible trends in commitments (initial funding allocated for each project at approval stage) and recorded expenditure by aid type, sector, region and country.

1.2 When looking at the commitment figures, it should be noted that the total funding for a project[113] is referred to only once, namely in the year of commitment. This is also the case with projects that are to be implemented over several years. By contrast, the expenditure figures reflect the actual spending in each of the financial years of the project implementation period. Hence, it is not possible to make year-by-year comparisons of the commitment and expenditure figures.

1.1 DFID's financial and monitoring systems

1.3 DFID's Statistical Reporting and Support Group (SRSG) has provided the statistical information on all project commitments and expenditures that are mapped in the Policy Information Marker System (PIMS) over the period 1995–2005.

1.4 The data required for this review was drawn from three inter-linked electronic databases:

- **DFID's Management Information System (MIS).** This stores information from the Project Header Sheets[114].

- **DFID's Performance Reporting Information System for Management (PRISM)**. This is a reporting tool for spenders as well as an instrument for storing of project documents and other spending related information such as project scoring and marking (PIMS) – see below. This system holds information on all project and programme spending from 1992 onwards.

- **DFID's accounting system, CODA**[115]. This contains information on commitment levels and project and payment codes transferred from MIS.

1.2 The Policy Information Marker System (PIMS)

1.5 PIMS was introduced in 1993 to track the targeting of bilateral commitments and expenditure against priority policy objectives of the aid programme in order to improve accountability and inform policy debate, monitoring and aid management.

1.6 According to DFID's Project Header Sheet Guidance (May 2005), the so-called Pink Book,

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[113] In this report the term 'project' refers to all interventions, including programmes, PRBS and sector aid.
[114] Programme staff have to complete a Project Header Sheet (PHS) for every project before approval. The PHS contains data on planned funding ('commitment') and a number of project codes and markers such as the PIMS markers (see Section 1.2). DFID's Statistics Department enters this information into the Management Information System.
[115] CODA is the name of the software package used.

projects should be marked at the project design stage by spending departments. Marking should be carried out by trained project officers (or the official authorising the commitment) in consultation with appropriate advisers involved in project preparation. This should ensure the required level of accuracy in marking[116].

1.7   A scoring system has been designed to enable marking to be carried out as objectively as possible. The categories used for scoring should be related directly to specific elements of the project framework or other project documentation. Only objectives which are mentioned in the project documentation as part of the 'goal', 'purpose' or 'objectively verifiable indicators' can be scored as principal or significant objectives according to the following criteria[117]:

- Principal**,** where the subject of the marker is the fundamental objective of the project, which would not be undertaken without this objective

- Significant**,** where the subject of the marker, although important, is not one of the principal reasons for undertaking the project

1.8   The marker applied for the tracking of GE projects and programmes is the Gender Equality (GE) marker. The GE marker has changed its name several times since PIMS was launched, but its coverage has remained the same. Today, GE markers are used for tracking commitment and expenditures for the promotion of gender equality and women's empowerment into all the MDGs by applying:

- Principal markers, mainly for gender-specific activities, often small projects

- Significant markers, mainly for gender mainstreaming activities, generally larger projects[118]

1.9   For each of the 14 PIMS indicators, a coordinator at DFID headquarters has been assigned to ensure consistency in the application of the indicators. The coordinators are responsible for monitoring policy in their areas, developing PIMS definitions and, in association with the SRSG, ensuring that projects are marked according to these definitions[119].

1.10   Quality assurance of the PIMS marking takes place quarterly, when the coordinator receives a list of newly committed projects for review. These lists may contain more than one hundred projects each quarter. Currently, one coordinator is resonsible for reviewing both the GE marker and the Human Rights and Empowerment marker. The coordinator is expected to review the list and raise questions to the marking if inconsistencies are observed.

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[116] Project Header Sheet Guidance (May 2005), Page 14,
[117] DFID (2005a) 'The Pink Book' - Project Header Sheet Guidance incorporating Input Sector Codes and Policy Information Marker System, Page 15.
[118] Anne Coles interview 2005.
[119] DFID (2005a), Page 14.

1.3 Limitations of the study

1.11 A number of limitations apply to the analysis that is presented in chapter 2.

- based on the available data it is not possible to say how much of a project budget is actually being devoted to gender equality, as this is not separated out but assumed to be mainstreamed in the general activities of the project

- partly due to the above, a high GE score does not necessarily indicate anything about the extent of GE in project interventions or the achievement of GE objectives on the ground

- the commitment/expenditure data probably slightly underestimates the level of GE activities actually undertaken because the PIMS markers are generally only applied to projects of over £100,000, thus ignoring smaller projects (which only represent 3% of projects by value)[120]

- some of the statistical data we have received from DFID apparently differs from that which is used by Francis Watkins in his evaluation preparatory study[121]; see the regional analysis in section 2.4

1.12 Finally, the validity of the PIMS marking is subject to discussion. Inconsistent application of the PIMS gender marker has been observed in at least three studies commissioned by DFID[122]. Furthermore, in her paper *Raising our Game on Gender in the Africa Division* to DFID's Africa Director, Bridget Dillon (2005) observed that no consistency is assured as GE marking is allocated on a subjective basis by the programme leader or Head of Office, and she found that some staff did not recognise the PIMS marking of their project portfolio. The Evaluation Team has heard similar views. Disparities in the application of the GE marking guidelines were found in the Nigeria Country Study and echoed in interviews with different country office and central department staff[123].

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[120] DFID (2004) Statistics on International Development, 2004 Edition.
[121] F. Watkins: DFID's Experience of Gender Mainstreaming: 1995 to 2004.
[122] Jill Edbrooke and Chris Peters (2005), C. Moser et al (2004), and Francis Watkins (2005).
[123] PIMS marking used to be a part of the mandatory gender training of DFID staff and was discontinued. It would appear that this might explain some of the inconsistencies observed in the application of the system.

2   REVIEW OF PORTFOLIO DATA

2.1   This analysis explores possible trends in DFID's aid commitments and expenditure over the period from 1995/96 to 2004/05. The analysis is approached from various angles – overall figures, and by aid type, sector, region and country.

2.1   Overall gender equality commitments and expenditure

2.2   A rather mixed picture emerges from the analysis of data on GE marked commitments and expenditure.

2.1.1 Commitments

2.3   Chart 1 below illustrates how the total bilateral commitments were GE marked (significant and principal respectively) over the period from 1995 to 2005. There is no clear trend but considerable fluctuation in the annual commitments with a significant GE marker (bars on top). This would be expected, as a few large investments in a particular year can greatly influence the average figure. However, when comparing the average annual percentages of significant and principal GE markers of the first five years with the last five years of the period, then there is no change.

2.4   Looking at the data on principal GE markers alone (bars on bottom) there is no clear trend either. However, scrutiny of the data from 2004 reveals that 69% of the principal GE marked commitments in 2004 is due to the principal marking of a £145 million general budget support commitment to Uganda[124]. If we adjust for this[125], then there is a noticeable downward trend between the first five years (mean 4%) and the last five years (mean 1.5%) of the period.

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[124] Given the criteria for the scoring of GE markers (Section 1.2 above), the Evaluation Team is of the opinion that the principal GE marking of any general budget support commitment is inappropriate.
[125] That is subtracting this commitment to Uganda and looking at the residual figure for 2004. If we do not adjust for the general budget support commitment, then the downward trend is less pronounced (from 4% to 3% instead of from 4% to 1.5%. The dotted line in the graph (Chart 1) illustrates the difference.

Chart 1: Commitments 1995–2005: significant and principal GE markers

	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005
■ %S	13%	17%	18%	35%	34%	25%	18%	16%	24%	37%	30%
■ %P	0%	9%	2%	2%	6%	1%	1%	0%	3%	11%	0%
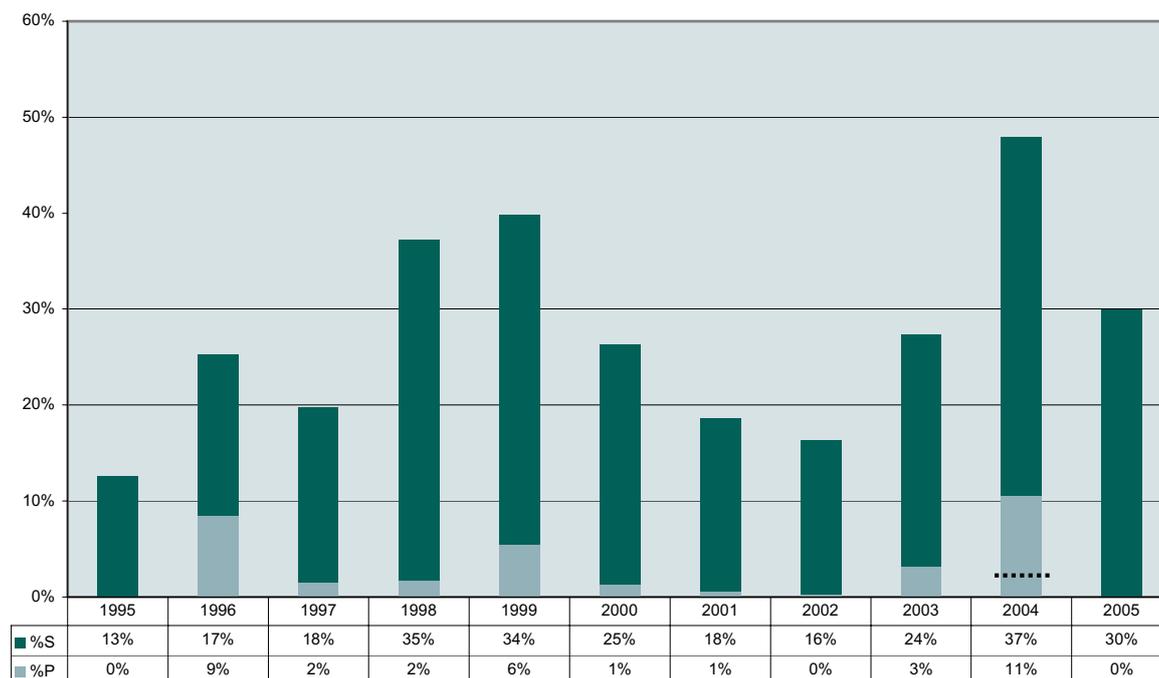
2.1.2 Expenditure

2.5   Chart 2 illustrates how the total bilateral expenditure was GE marked over the period from 1995/96 to 2004/05. Unlike the commitments, the data on expenditure demonstrates clear upward trends for both the significant and principal GE marked expenditure. The combined GE marked share of overall spending increased consistently over the period; from 5% in 1995/96 to 32% in 2004/05.

Chart 2: Expenditure - significant and principal GE markers

	1995/96	1996/97	1997/98	1998/99	1999/00	2000/01	2001/02	2002/03	2003/04	2004/05
■ %S	5%	8%	9%	13%	15%	15%	16%	21%	23%	28%
■ %P	0%	1%	1%	2%	2%	2%	2%	2%	2%	4%
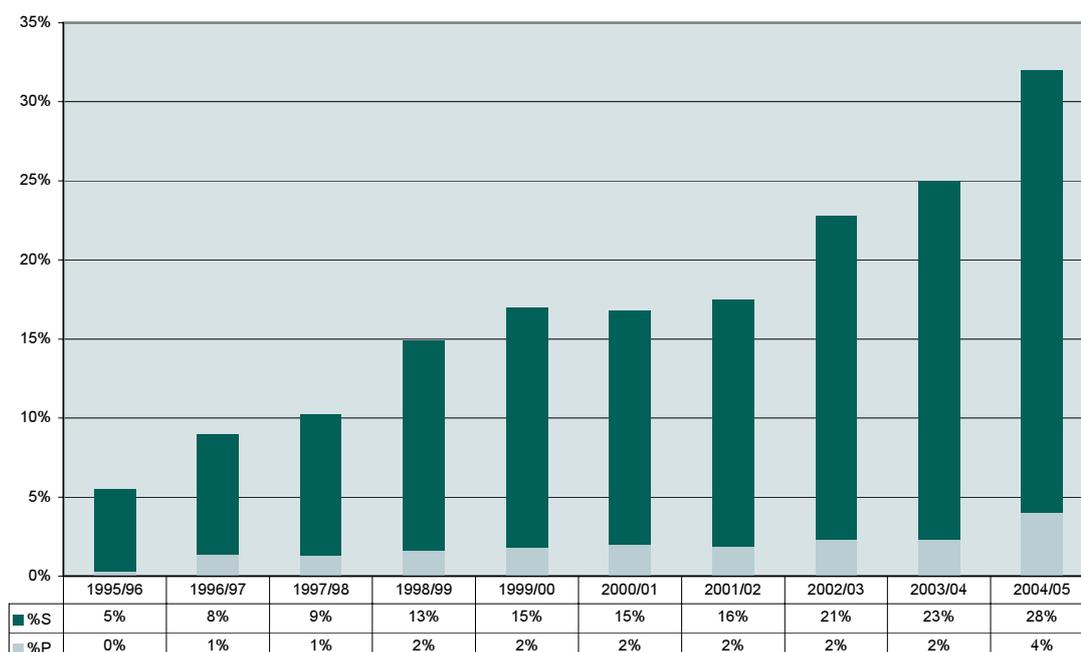
2.2 Aid types

2.6 Over the ten-year period analysed, DFID's bilateral aid has been classified into six aid types[126]:

- project or sector aid (financial aid) - This covers investment schemes primarily designed to increase the physical capital of the recipient country, including contributions for local and recurrent cost, and sector wide programmes. The latter covers a combination of forms of assistance including budgetary aid (sector Poverty Reduction Support, and financial assistance in the form of projects and technical cooperation (TC). However, if TC is identified as a substantial separate component it is classified as stand-alone TC

- programme aid (financial aid) - This covers financial assistance to fund imports, general Poverty Reduction Budget Support (PRBS) programmes or budgetary expenditure, usually as part of a World Bank/IMF coordinated structural adjustment programme

- technical cooperation - This includes activities primarily to enhance the knowledge, intellectual skills, technical expertise or the productive capability of people in the recipient countries[127]

- grants and other aid in kind - This includes support to the development work of UK and international voluntary organisations, grants to the British Council, non-emergency appeals through multilateral agencies, equipment and supplies, and the Small Grants Scheme[128]

- humanitarian assistance - This includes disaster relief, food aid, short-term refugee relief and disaster preparedness. Generally it involves the provision of material aid, finance and advice in emergency situations

- aid trade provision - This was an allocation of bilateral aid funds to finance development projects which were also of commercial and industrial importance. It was either in form of mixed credits or soft loans. The scheme was closed in November 1997 because of its lack of poverty elimination focus. Expenditure figures shown for Aid Trade Provision thus represent residual commitments made prior to 1997.

2.7 Chart 3 shows the total cumulative bilateral aid expenditure by aid types for the period 1995/96–2004/05 (columns read with the y-axis on the left) and the combined percentages of significant and principal GE marked expenditure of this (dots read with the y-axis on the right):

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[126] DFID (2005h) 'The Pink Book' - Project Header Sheet Guidance incorporating Input Sector Codes and Policy Information Marker System, London: DFID, Annex 2.
[127] It is possible that a detailed examination of this category would reveal that it comprises several 'projects' that are not really Technical Cooperation
[128] The Small Grants Scheme allows Heads of Diplomatic Missions to finance projects in line with DFID objectives costing up to £100,000 per year, with an annual ceiling which is normally £200,000.

Chart 3: Aid types and GE percentages, 1995/96–2004/05

	Grants and Other Aid in Kind	Project and Sector Aid	Technical Cooperation	Programme Aid	Humanitarian Assistance	Aid Trade Provision	Total
■ total £ million	2,031	1,495	2,726	2,315	1,410	247	10,255
◆ %GEWE	32%	27%	20%	16%	5%	0%	20%
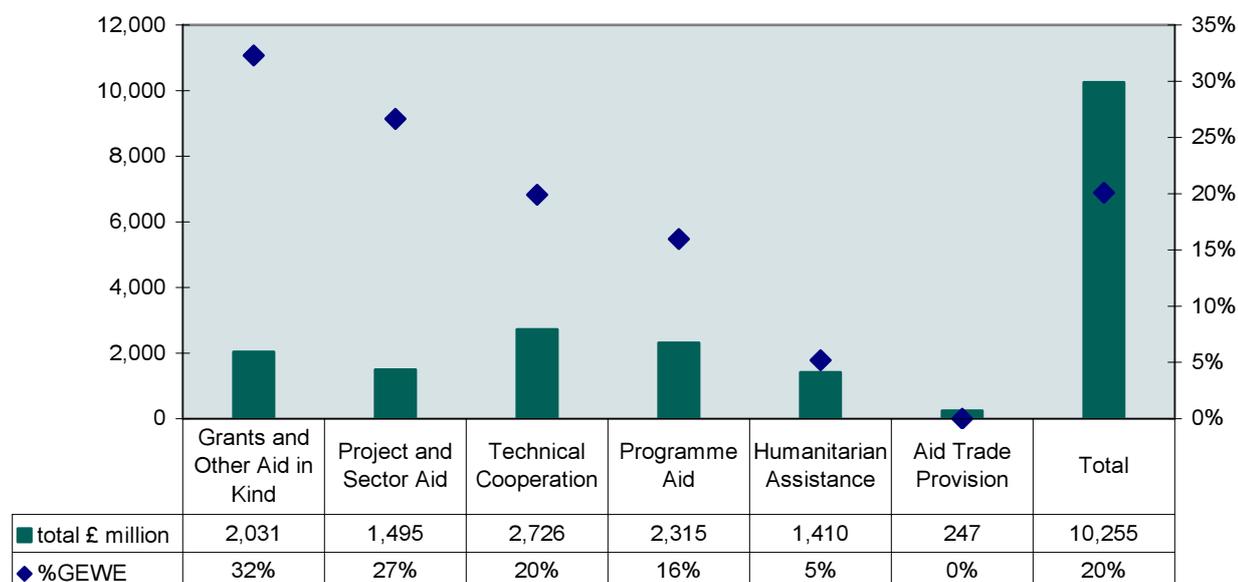
2.8   The GE percentages of the different aid types that are illustrated in chart 3 are not surprising. They reveal that smaller projects and civil society interventions have the strongest gender orientation and that the more upstream aid types have lesser degrees of this. Thus, the highest GE percentage (32%) is found in the area of Grants & Other Aid, which includes support to development work of UK and international civil society organisations and grants to the British Council[129]. Furthermore, Project and Sector aid has a higher GE percentage (27%) than Programme Aid (16%), which includes general budget support.

2.3   Sector analysis

2.9   DFID categorises aid interventions in accordance with sector codes. Multiple coding was introduced in October 2002, making it possible for DFID staff to assign up to six codes for each project, with indication of the proportion of the total commitment to be spent in or on behalf of that sector. Prior to this, all projects were assigned only a single code. However, in accordance with DAC's rules for international statistical reporting, DFID is still allocating a single code and a broad sector to each project based on the largest percentage assigned to one of eight sectors: economic, education, health, governance, social, humanitarian assistance, rural livelihoods and environment.

2.10   Chart 4 shows the total cumulative bilateral aid expenditure by the broad sector allocations for the period 1995/96–2004/05 (columns read with the y-axis on the left) and the combined percentages of significant and principal GE marked expenditure of this (dots read with the y-axis on the right):

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[129] Funds channelled through the Partnership Programme Agreements and other civil society organisations have consistently accounted for around 60% of the expenditure registered under this aid type since 2000/01.

Chart 4: Sector distribution and GE percentages, 1995/96–2004/05

	Education	Social	Rural Livelihoods	Health	Environment	Governance	Economic	Humanitarian Assistance	Grand Total
■ Total £ million	1.255	508	832	1.690	287	1.313	2.906	1.397	10.188
◆ %GEWE	46%	37%	31%	23%	19%	14%	11%	5%	20%
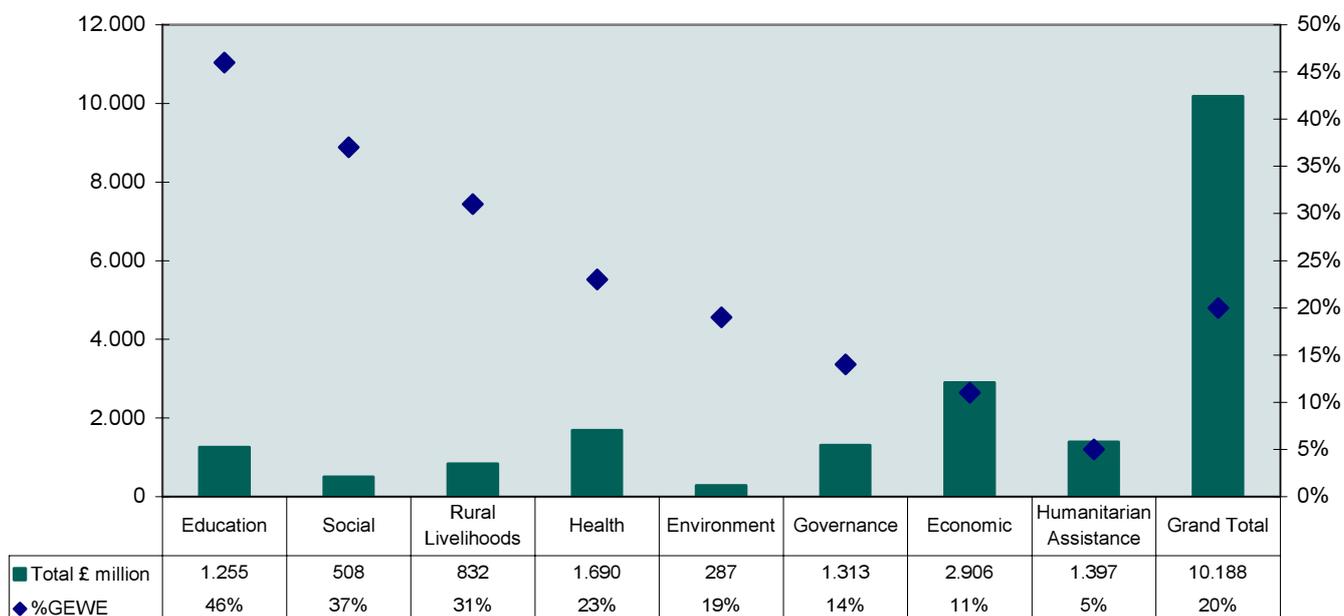
2.11   The GE percentages of the different sectors are illustrated in chart 4. Not surprisingly, the education and social sectors have the strongest gender orientation. The education sector has the highest percentage of GE markers (46%), which is in line with the MDG focus on girls' education, and the social sector has the second highest score (37%). However, it is noteworthy that the health sector (23%) lags behind the GE scores of the education and social sectors, and even behind the GE score of rural livelihoods (31%).

2.12   Looking at the trends in the GE marked percentages of the different sectors, a couple of interesting findings emerge. When comparing the second half of the ten-year period with the first half (see chart 5):

•   the strongest growth rates of GE marked expenditure occurred in the education sector. In the first half of the period the percentage of GE marked expenditure in this sector rose by 39% and a 27% increase is recorded for the second half of the period

•   the environment, economic, governance and humanitarian assistance sectors saw marked increases in the levels of GE marked expenditure in the second half of the period compared with the first. While this increased level of gender marking is positive, a lot more needs to be done for these sectors to catch up with the high levels of gender marking observed in the education and social sectors (chart 4)

Chart 5: Sector trends – changes in percent of expenditure with a gender marker during the first five years and the last five years of the period 1995/96 – 2004/2005

	Education	Social	Environment	Health	Economic	Rural Livelihoods	Governance	Humanitarian Assistance
1995/99	39%	28%	12%	17%	4%	14%	1%	-1%
2000/05	27%	24%	28%	14%	21%	10%	11%	12%
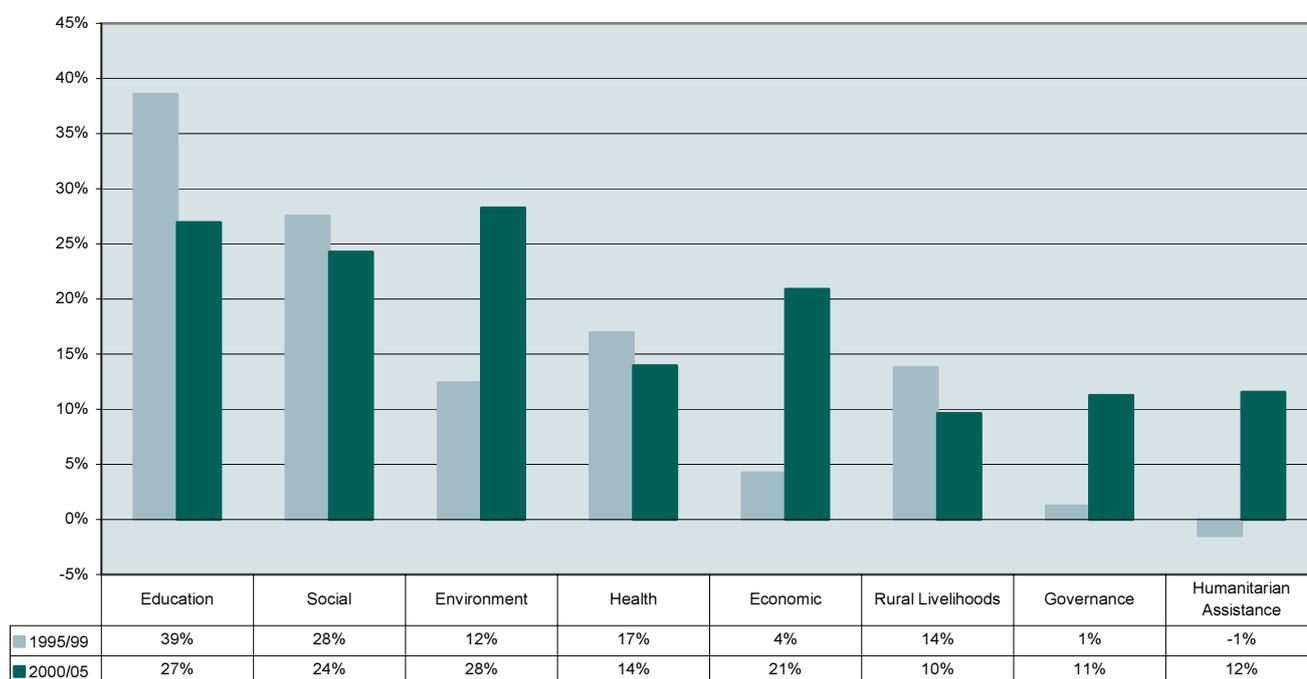
2.4 Regional analysis

2.13 Chart 6 shows the total cumulative bilateral aid expenditure by region for the period 1995/96–2004/05 (columns read with the y-axis on the left) and the combined percentages of significant and principal GE marked expenditure of this (dots read with the y-axis on the right).

Chart 6: Regional distribution and GE percentages, 1995/96–2004/05

	Africa	America	Asia	Europe	Pacific	Total
Total £ million	4.782	579	4.064	804	27	10.255
%GE	18%	7%	28%	0%	25%	20%
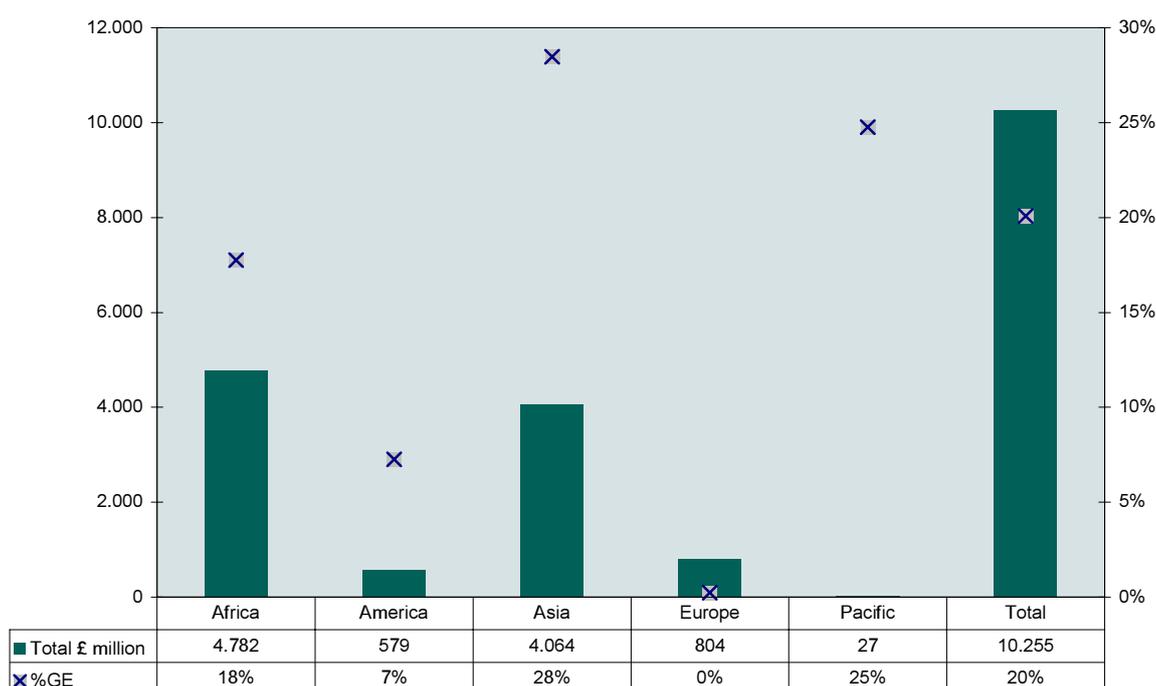
2.14   The GE marked expenditure by region in chart 6 presents a mixed picture. The largest percentage of GE marked expenditure (28%) is found in Asia. Africa, which receives a similar amount of aid from DFID, stands out with a level of GE marked expenditure at only 18%.

2.15   The differences observed in the level of GE marked expenditure in Asia and Africa invite closer analysis. It might be hypothesised that the difference is due to the increased amount of sector and general budget support in Africa. This turns out not to be true, as shown in chart 7. When breaking down the bilateral aid to Africa south of the Sahara and South Asia[130] into aid types (see chart 7)[131], it is seen that the level of GE marked expenditure in the areas of project/sector aid and technical cooperation are relatively similar. However, there are substantial differences in the GE marking of expenditure given as grants and other aid, humanitarian assistance and programme aid. Looking at the lines in chart 7 and the percentages on the y-axis on the right, it is seen that the levels of GE marking through these aid types differ by 10–17 percentage points between the two regions. The fact that the Africa region is falling behind the other regions in this regard has been noted by DFID's Development Committee and Management Board, and the Africa Director has taken initiatives to improve the situation[132].

Chart 7: Comparing South Asia and Sub-Saharan Africa, GE marked expenditure percentages by aid types, 1995/96–2004/05

	Project and Sector Aid	Aid Trade Provision	Grants and Other Aid	Humanitarian Assistance	Programme Aid	Technical Cooperation	Total Expenditures
S.Africa Bilat Exp.	533.911	25.609	815.142	637.660	1.614.290	972.082	4.598.694
S. Asia Bilat. Exp	755.923	7.530	628.544	244.285	490.358	643.805	2.770.445
S. Africa %GE	25%	0%	30%	3%	11%	27%	18%
S. Asia %GE	32%	0%	47%	17%	21%	29%	31%

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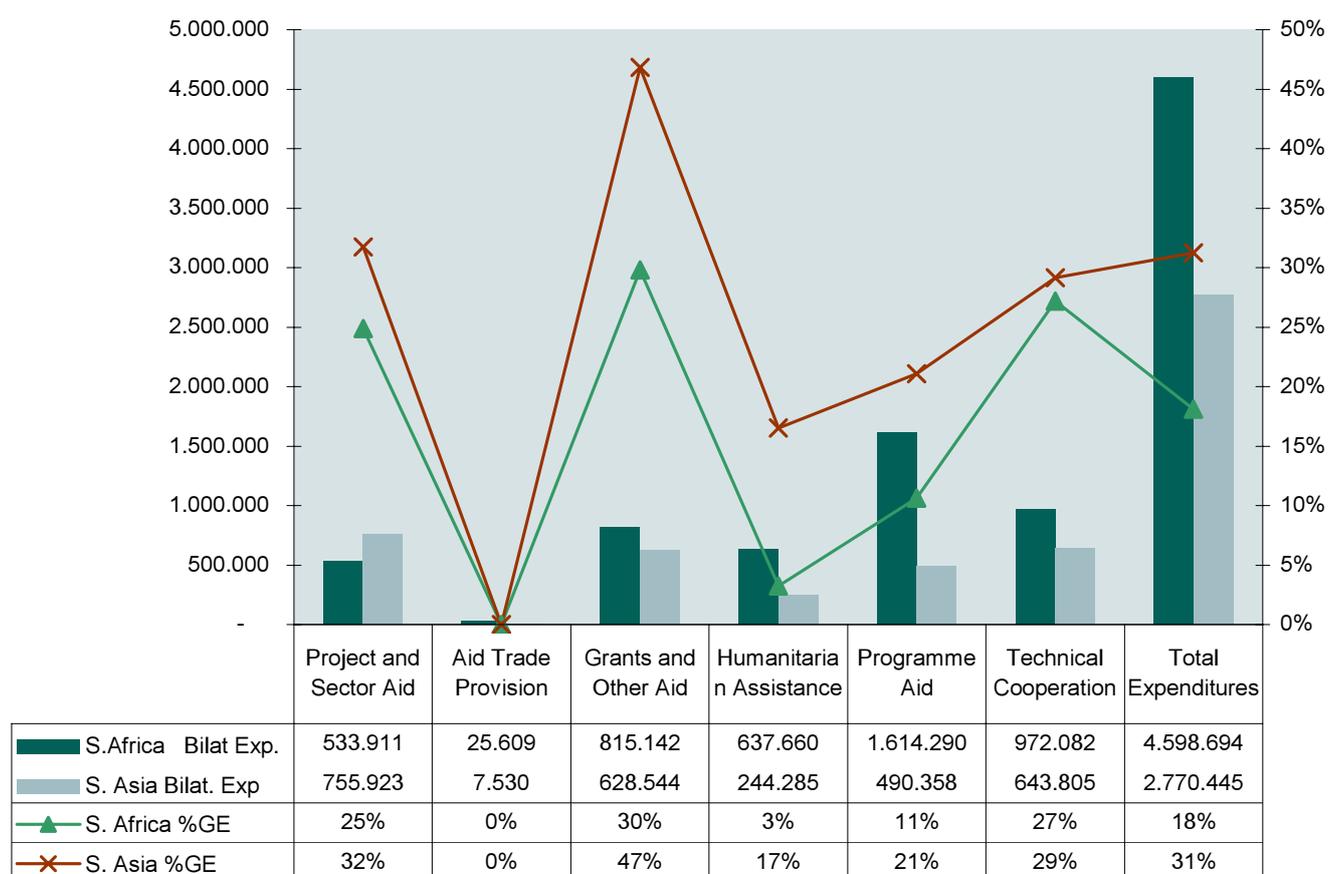
[130] That is the largest sub-regional recipients in each region.
[131] The different aid types are explained in Section 2.2, Page 6.
[132] Raising Our Game on Gender, Dillon, B (2005).

2.16   Our regional analysis of the data provided by DFID yields a finding that differs from that found by Francis Watkins in his evaluation preparatory study[133]. Watkins found that both commitments and expenditure for Africa and commitments for Asia had declined considerably since a peak in 2000/01, although expenditure for Asia had increased. We find the contrary for Africa, namely that both commitments and expenditure have increased from 2000/01. As Watkins, we also find a decline in commitments for Asia and increased expenditure for this region, although our figures differ from his. This is illustrated in table 1, which is constructed exactly as the table we are comparing with in Watkins' report[134].

Table 1: New commitments and current expenditure against the GE marker, as a percentage of total expenditure for Africa and Asia regions

		Africa		Asia	
		Commitment	Expenditure	Commitment	Expenditure
1995-1996	P	0%	0%	0%	1%
	S	10%	5%	21%	8%
	P+S	**10%**	**5%**	**21%**	**8%**
2000-2001	P	1%	0%	3%	6%
	S	24%	14%	41%	23%
	P+S	**24%**	**14%**	**45%**	**29%**
2003-2004	P	1%	1%	5%	4%
	S	24%	21%	25%	28%
	P+S	**25%**	**22%**	**30%**	**32%**

2.5   Country analysis

2.17   The country analysis presented here is confined to the top five recipients of DFID bilateral aid: India, Bangladesh, Tanzania, Uganda and Ghana. However, statistical information by country and sector for each year in the surveyed period has been produced and can be obtained from DFID's Evaluation Department.

2.18   Table 2 below shows the total cumulative bilateral aid expenditure for the five countries by sector and its GE marking for the period 1995/96–2004/05.

Table 2: Top five recipients of DFID aid; expenditure by sector and GE marking, 1995/96-2004/05

*£ 1.000	India		Bangladesh		Tanzania		Uganda		Ghana	
Sector	Total	%GE	Total	%GE	Total	%GE	Total	%GE	Total	%GE
Economic	421.573	2	157.051	11	108.192	6	119.390	34	151.748	3
Education	219.627	79	78.782	93	255.608	1	96.966	75	127.146	40
Environment	43.389	50	4.352	22	9.014	0	2.994	0	21.671	0
Governance	149.309	44	38.653	7	118.901	0	38.231	1	24.288	7
Health	311.773	18	109.173	63	66.836	1	182.006	0	83.700	3
Human. Ass.	40.939	0	52.474	58	10.287	0	24.749	0	67	0
Rural Live.	95.057	69	130.627	56	7.645	1	16.589	10	19.894	37
Social	17.504	53	15.920	81	6.655	72	11.008	40	1.999	9
Grand Total	**1.302.422**	**31**	**593.160**	**48**	**583.661**	**3**	**492.196**	**24**	**430.513**	**16**

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[133] Watkins (2005), Table 3, Page 18.
[134] However, in order to facilitate reading we have rounded off the two decimals used by Watkins.

2.19   Several observations can be made from Table 2:

- the average GE marked percentages in the two Asian countries (31% and 48%) are significantly higher than for the African countries (3%, 24% and 16%)

- the education sector in four of the five countries has the highest GE marked share of expenditure

- the humanitarian sector has the lowest share with no GE marked projects in four out of the five countries

- Tanzania is a remarkable exception, with only 1% of education expenditure GE marked. This is also surprising in light of DFID's alignment with the third Millennium Development Goal, which aims at eradicating gender disparity in education. Overall, the level of GE marking of expenditure in Tanzania is very low

- considerable differences are seen in the health sector. The shares of GE marked expenditure in Tanzania, Uganda and Ghana range between 0% and 3%, compared to Bangladesh's 63% and India's 18 percent

- the GE marking of Uganda's economic sector expenditure stands out. At 34% this is many times higher than in the other countries. However, this record is caused by the principal GE marking of DFID's general budget support to Uganda in 2004/05

2.20   Following on from the last point, it is clear that the GE marking of general budget support can have significant impact on the statistical trends observed. This is also illustrated by the case of Ethiopia, where the GE marking (significant) of DFID's general budget support in 2004/05 increased the level of GE marked expenditure by 67 percentage points compared with the previous year (see Annex ii, page 91).

3   CONCLUSIONS

3.1   The following conclusions can be derived from the above analysis of DFID's gender-marked aid commitments and expenditure:

- *Commitments*: There is no clear trend over the period 1995/96–2004/05 for the aid commitments with a significant GE marker, but a fairly certain decline in the commitments with a principal GE marker (from an annual mean of 4% in the first half of the period to 1.5% in the second half of the period)

- *Expenditure*: Unlike the commitments, the data on expenditure demonstrates clear upward trends for both the significant and principal GE marked expenditure. The discrepancy between the commitments and expenditure cannot be explained on the basis of the statistical data

- *Aid types*: Smaller projects and civil society interventions have the highest proportion of GE-marked projects (32%), and the more upstream aid types (like programme aid, which includes general budget support) have lesser degrees of this (16% GE marked). These GE markings refer to principal and significant marks combined

- *Sector*: Not surprisingly, the education and social sectors have the highest level of GE marked expenditure (46% and 37% respectively). It is noteworthy, however, that the level of GE marked expenditure in the health sector (23%) is lagging so far behind these. Furthermore, compared with the first half of the period the largest increases in the levels of GE marked expenditure have occurred in four sectors since 2000: economic, governance, humanitarian assistance and environment (see chart 5). Finally, expenditure in the area of humanitarian assistance has the lowest share with no GE marked projects in four out of the five largest recipients of DFID aid in 2004/05 (see Table 2)

- *Regional:* The cumulative level of GE marked expenditure over the period was much lower for Africa (18%) than for Asia (28%). However, in contrast with the finding by the evaluation preparatory study (Watkins, 2005), our regional analysis shows that both GE marked commitments and expenditure to Africa have increased from 2000/01

- *Country*: Our analysis of the five top recipients of DFID bilateral aid corroborates especially the differences observed between Africa south of the Sahara and South Asia. It also reveals that GE marking of general budget support can have a significant impact on the statistical trends observed. For example, the principal GE-marking of the general budget support commitment to Uganda accounted for 69% of the total principal marked commitment in 2004. Similarly, the GE marking (significant) of general budget support to Ethiopia in 2004/05 increased the level of GE marked expenditure in that country by 67 percentage points compared with the previous year. (see annex II page 91)

3.2	Overall, any analysis based on GE marked PIMS data should be treated with caution. There are at least two reasons for this:

- the GE score mainly represents intentions at the project design stage and it does not reflect actual implementation of a project or its achievements

- there is some evidence indicating that there are differences in the interpretation of the GE marker (and hence inconsistencies its application) between countries

3.3	It cannot be determined on the basis of the statistical data to what extent this would explain e.g. the differences observed between the GE marking of expenditure in Africa and Asia.

3.4	This gives rise to a few recommendations that may lead to improvements in the application of the GE marker:

- PIMS is an indicator of initial intent but scope exists within the system to change markers during the course of project implementation. This is exactly how it is phrased in the Pink Book (p 12). We recommend that procedures be established to ensure that the GE marking is updated at least while preparing the project completion reports

- all DFID staff responsible for PIMS marking should have adequate knowledge of, or receive training on, the use of the different markers, normally as part of general training on project cycle management

- the Pink Book (p 16) states that for PRBS Good Governance should always be scored as Principal (P) and PIMS marking should be consistent with the notional sector coding specified. It is recommended that the Pink Book should make a distinction between general budget support and sector budget support and provides clear criteria for the respective GE marking of this

- it should be considered whether the project 'lead adviser' should sign off on PIMS markings

Annex i: Five Top Bilateral Receivers of DFID funding   (£000)

India

Destination Name	Years	Economic Grand Total	Economic % GE	Education Grand Total	Education % GE	Environment Grand Total	Environment % GE	Governance Grand Total	Governance % GE	Health Grand Total	Health % GE	Humanitarian Ass Grand Total	Humanitarian Ass % GE	Rural Livelihood Grand Total	Rural Livelihood % Gender	Social Grand Total	Social % GE	Grand Total	Grand Total % GE
India	1995-1996	52.764	0%	1.562	6%	3.818	0%	5.179	0%	11.476	8%	0	0%	7.101	62%	1.142	0%	83.076	7%
	1996-1997	34.585	0%	1.149	16%	4.830	0%	7.056	0%	21.679	5%	0	0%	7.337	67%	1.138	12%	77.813	8%
	1997-1998	25.921	0%	3.962	76%	4.390	0%	3.915	0%	20.185	12%	500	0%	8.480	63%	1.479	15%	68.900	16%
	1998-1999	37.384	0%	6.722	65%	3.340	22%	2.466	16%	19.035	11%	550	0%	8.738	70%	1.107	18%	79.487	18%
	1999-2000	25.335	2%	9.835	49%	3.676	72%	7.541	9%	35.035	25%	3.933	0%	7.553	72%	894	31%	94.016	24%
	2000-2001	21.968	3%	17.666	59%	4.499	60%	7.369	13%	30.407	14%	20.535	0%	6.790	57%	966	15%	110.274	21%
	2001-2002	88.826	1%	16.573	76%	5.942	85%	22.088	23%	29.490	21%	6.872	0%	6.197	74%	923	34%	176.916	20%
	2002-2003	22.726	7%	25.568	68%	3.792	83%	44.975	79%	33.727	25%	5.217	0%	11.358	55%	1.058	82%	149.095	49%
	2003-2004	80.643	3%	41.726	91%	775	64%	29.762	47%	35.845	20%	2.399	0%	12.116	77%	3.013	86%	207.121	36%
	2004-2005	31.422	12%	94.864	87%	8.328	84%	18.957	51%	74.893	21%	934	0%	19.386	80%	5.785	78%	255.725	54%
India Total		421.573	2%	219.627	79%	43.389	50%	149.309	44%	311.773	18%	40.939	0%	95.057	69%	17.504	53%	1.302.422	31%

Bangladesh

Destination Name	Years	Economic Grand Total	Economic % Gender	Education Grand Total	Education % GE	Environment Grand Total	Environment % GE	Governance Grand Total	Governance % GE	Health Grand Total	Health % GE	Humanitarian Ass Grand Total	Humanitarian Ass % GE	Rural Livelihoods Grand Total	Rural Livelihoods % GE	Social Grand Total	Social % GE	Grand Total	Grand Total % GE
Bangladesh	1995-1996	7.973	0%	6.754	30%	133	0%	1.833	0%	3.607	28%	302	0%	15.350	36%	296	31%	36.822	25%
	1996-1997	4.737	0%	6.783	98%	143	0%	1.442	0%	6.207	27%	449	1%	14.081	64%	253	75%	34.621	52%
	1997-1998	9.404	0%	3.352	99%	260	0%	2.095	0%	7.144	32%	312	0%	9.217	79%	364	57%	32.355	41%
	1998-1999	14.527	0%	4.655	100%	318	29%	5.607	1%	10.379	62%	15.206	0%	9.700	75%	585	60%	61.329	31%
	1999-2000	21.133	1%	7.355	100%	598	20%	4.060	14%	12.020	66%	601	21%	12.491	51%	532	67%	59.186	39%
	2000-2001	10.535	15%	9.567	98%	1.022	42%	4.815	16%	18.077	78%	3.494	5%	17.105	46%	746	34%	66.059	53%
	2001-2002	9.906	23%	6.599	100%	641	35%	4.589	16%	16.732	74%	2.134	17%	12.844	55%	1.596	80%	56.063	56%
	2002-2003	19.295	20%	9.055	97%	357	27%	4.445	7%	16.330	64%	214	27%	16.960	57%	2.442	86%	70.929	52%
	2003-2004	11.908	27%	7.006	99%	480	0%	5.316	1%	11.556	74%	13	5%	11.105	64%	3.806	84%	51.330	57%
	2004-2005	47.633	11%	17.656	100%	399	0%	4.450	2%	7.120	62%	29.748	100%	11.775	55%	5.300	92%	124.466	55%
Bangladesh Total		157.051	6%	78.782	93%	4.352	22%	38.653	7%	109.173	63%	52.474	58%	130.627	56%	15.920	81%	593.160	48%

Tanzania

Destination Name	Years	Economic Grand Total	Economic % Gender	Education Grand Total	Education % Gender	Environment Grand Total	Environment % Gender	Governance Grand Total	Governance % Gender	Health Grand Total	Health % Gender	Humanitarian Ass Grand Total	Humanitarian Ass % Gender	Rural Livelihoods Grand Total	Rural Livelihoods % Gender	Social Grand Total	Social % Gender	Grand Total	Grand Total % Gender
Tanzania	1995-1996	7.214	3%	1.114	0%	427	0%	2.978	0%	3.460	0%	0	0%	1.460	0%	22	0%	16.676	1%
	1996-1997	32.081	1%	968	6%	582	0%	3.564	0%	3.734	0%	0	0%	828	0%	87	0%	41.845	1%
	1997-1998	26.492	1%	853	76%	903	0%	3.430	0%	5.622	0%	259	0%	587	0%	170	0%	38.315	2%
	1998-1999	1.672	24%	1.199	64%	1.043	0%	31.377	0%	5.210	0%	4.066	0%	852	0%	201	0%	45.654	3%
	1999-2000	3.887	20%	4.154	17%	1.593	0%	41.310	0%	6.082	0%	1.086	0%	1.338	1%	596	52%	60.099	3%
	2000-2001	4.308	15%	41.297	1%	1.496	0%	5.796	0%	9.109	0%	1.784	0%	1.022	3%	471	69%	65.426	2%
	2001-2002	4.429	18%	35.540	1%	1.060	0%	6.094	0%	12.481	0%	46	0%	798	3%	879	81%	61.502	3%
	2002-2003	22.340	6%	45.332	0%	1.032	0%	6.507	0%	12.883	0%	225	0%	507	6%	1.709	67%	90.645	3%
	2003-2004	2.496	39%	60.102	0%	687	0%	7.291	0%	6.419	0%	0	0%	190	3%	1.652	92%	78.848	3%
	2004-2005	3.272	43%	65.049	0%	192	0%	10.553	0%	1.835	2%	2.821	0%	63	0%	867	86%	84.652	3%
Tanzania Total		108.192	6%	255.608	1%	9.014	0%	118.901	0%	66.836	1%	10.287	0%	7.645	1%	6.655	72%	583.661	3%

Uganda

Destination Name	Years	Economic		Education		Environment		Governance		Health		Humanitarian Ass		Rural Livelihoods		Social		Grand Total	
		Grand Total	% Gender	Grand Total	% Gender	Grand Total	% Gender	Grand Total	% Gender	Grand Total	% Gender	Grand Total	% Gender	Grand Total	% Gender	Grand Total	% Gender	Grand Total	% Gender
Uganda	1995-1996	19.557	0%	915	79%	184	0%	2.311	0%	3.251	4%	0	0%	136	0%	259	1%	26.614	3%
	1996-1997	10.384	0%	1.415	90%	296	0%	2.307	0%	6.794	1%	0	0%	227	45%	552	26%	21.975	7%
	1997-1998	10.609	1%	16.496	8%	511	0%	1.383	8%	8.075	0%	321	0%	499	10%	439	56%	38.333	5%
	1998-1999	6.015	4%	18.400	71%	559	0%	13.648	0%	8.230	0%	114	0%	702	20%	570	26%	48.238	28%
	1999-2000	19.623	1%	13.372	93%	520	0%	3.890	0%	8.625	0%	129	0%	2.218	27%	863	24%	49.240	27%
	2000-2001	4.438	2%	16.379	95%	390	0%	1.482	4%	53.670	0%	408	0%	1.963	16%	1.635	54%	80.404	21%
	2001-2002	4.687	5%	13.172	97%	223	0%	2.582	0%	38.463	0%	686	0%	2.590	7%	1.507	39%	63.986	22%
	2002-2003	3.011	35%	14.565	97%	206	0%	3.837	0%	20.026	0%	3.472	0%	2.620	8%	1.756	52%	49.636	33%
	2003-2004	2.980	52%	1.776	90%	90	0%	3.537	0%	31.747	0%	7.768	0%	4.348	0%	1.879	39%	54.132	7%
	2004-2005	38.085	97%	474	76%	16	0%	3.254	0%	3.125	0%	11.851	0%	1.286	0%	1.548	37%	59.638	63%
Uganda Total		119.390	34%	96.966	75%	2.994	0%	38.231	1%	182.006	0%	24.749	0%	16.589	10%	11.008	40%	492.196	24%

Ghana

Destination Name	Years	Economic		Education		Environment		Governance		Health		Humanitarian Ass		Rural Livelihoods		Social		Grand Total	
		Grand Total	%GE	Grand Total	%GE	Grand Total	%GE	Grand Total	%GE	Grand Total	%GE	Grand Total	%GE	Grand Total	%GE	Grand Total	%GE	Grand Total	%GE
Ghana	1995-1996	900	0%	910	0%	102	0%	1.381	0%	5.533	0%	0	0%	1.790	0%	226	0%	10.840	0%
	1996-1997	640	0%	3.313	0%	3.290	0%	1.285	0%	6.697	0%	0	0%	1.349	0%	255	0%	16.829	0%
	1997-1998	1.448	0%	1.559	3%	6.077	0%	1.388	0%	3.199	2%	0	0%	1.220	0%	318	0%	15.208	1%
	1998-1999	24.092	1%	4.931	98%	4.207	0%	2.293	0%	9.704	2%	0	0%	1.229	9%	315	0%	46.772	11%
	1999-2000	2.289	27%	23.074	39%	3.287	0%	2.575	0%	5.912	4%	50	0%	3.165	1%	260	0%	40.612	24%
	2000-2001	2.855	36%	46.084	13%	1.588	0%	6.683	0%	8.309	2%	17	0%	1.644	79%	227	0%	67.407	13%
	2001-2002	15.016	6%	18.237	17%	1.691	0%	1.784	0%	10.895	3%	0	0%	1.872	79%	118	0%	49.612	12%
	2002-2003	25.421	3%	11.546	98%	569	0%	2.148	0%	7.148	4%	0	0%	2.505	69%	71	35%	49.407	29%
	2003-2004	39.298	1%	9.593	99%	302	0%	1.719	0%	11.703	5%	0	0%	1.998	79%	24	100%	64.637	19%
	2004-2005	39.789	1%	7.900	96%	557	0%	3.030	53%	14.600	6%	0	0%	3.124	39%	187	72%	69.187	17%
Ghana Total		151.748	3%	127.146	40%	21.671	0%	24.288	7%	83.700	3%	67	0%	19.894	37%	1.999	9%	430.513	16%

Annex ii: The Ethiopian Case (£000)

Destination Name	Years	Economic		Education		Environment		Governance		Health		Humanitarian Ass		Rural Livelihoods		Social		Grand Total	
		Grand Total	% Gender	Grand Total	% Gender	Grand Total	% Gender	Grand Total	% Gender	Grand Total	% Gender	Grand Total	% Gender	Grand Total	% Gender	Grand Total	% Gender	Grand Total	% Gender
Ethiopia	1995-1996	14.065	0%	1.005	0%	80	0%	1.411	0%	335	0%	105	0%	1.219	15%	218	0%	18.438	1%
	1996-1997	185	39%	1.178	0%	176	0%	1.599	0%	536	0%	141	0%	1.300	14%	94	0%	5.209	5%
	1997-1998	535	15%	341	0%	206	0%	419	0%	342	0%	193	0%	723	0%	0	0%	2.759	3%
	1998-1999	980	9%	466	0%	144	0%	867	0%	246	0%	405	0%	788	0%	0	0%	3.897	2%
	1999-2000	774	0%	280	0%	94	0%	733	8%	223	0%	3.022	0%	262	0%	259	6%	5.646	1%
	2000-2001	173	0%	19	0%	82	0%	451	22%	212	0%	12.922	0%	155	0%	271	10%	14.287	1%
	2001-2002	898	0%	14	0%	62	0%	247	36%	9	0%	8.741	0%	197	0%	457	0%	10.625	1%
	2002-2003	11.614	0%	80	0%	484	0%	1.394	6%	63	0%	27.005	0%	771	0%	433	0%	41.845	0%
	2003-2004	1.417	5%	210	0%	368	0%	538	12%	3.905	0%	13.635	0%	354	0%	2.375	2%	22.802	1%
	2004-2005	54.184	96%	861	0%	90	0%	388	5%	3.902	0%	15.909	0%	727	0%	828	24%	76.890	68%
Ethiopia Total		84.825	62%	4.456	0%	1.786	0%	8.047	5%	9.774	0%	82.077	0%	6.495	6%	4.937	6%	202.396	26%

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