

UNCT-SWAP PERFORMANCE INDICATOR 2.3

Virtual Toolkit Resource



What?

**UN-SWAP Evaluation Performance Indicator Technical Note
(UNEG, 2018)**



Why?

This technical note for UN-SWAP (the system-wide gender equality accountability framework at the entity level) but this technical note could also be used to fulfill PI 2.3, criterion b i.e., every cooperation framework review/evaluation or assessment should assess progress against GEWE specific results.

The technical note contains an evaluation scorecard which is aimed at assessing evaluation reports of an entity against three criteria:

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

All UNCT evaluations could follow this scorecard, in measuring results for GEWE in accordance with Performance Indicator 2.3 and PI 7.1 respectively.



Performance Indicator 2.3 Cooperation Framework M&E

Approaches Minimum Requirements	Meets one of the following: <ul style="list-style-type: none">a. UNSDCF Results Framework data for gender sensitive indicators gathered as planned.b. UNSDCF monitoring/ reviews/ evaluations assess progress against gender-specific results.c. The MEL Group has received technical training on gender sensitive M&E at least once during the current UNSDCF cycle.
Meets Minimum Requirements	Meets two of the following: <ul style="list-style-type: none">a. UNSDCF Results Framework data for gender sensitive indicators gathered as planned.b. UNSDCF monitoring/ reviews/ evaluations assess progress against gender-specific results.c. The MEL Group has received technical training on gender sensitive M&E at least once during the current UNSDCF cycle.
Exceeds Minimum Requirements	Meets all of the following: <ul style="list-style-type: none">a. UNSDCF Results Framework data for gender sensitive indicators gathered as planned.b. UNSDCF monitoring/ reviews/ evaluations assess progress against gender-specific results.c. The MEL Group has received technical training on gender sensitive M&E at least once during the current UNSDCF cycle.



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Guidance
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UN-SWAP Evaluation Performance Indicator Technical Note

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Contents

PREAMBLE..... 3

1. What is the UN-SWAP Evaluation Performance Indicator (UN-SWAP EPI)?..... 4

2. What are the essential steps of the UN-SWAP EPI reporting cycle? 5

3. What should be included in the UN-SWAP EPI assessment? 6

4. What is the UN-SWAP Evaluation Scorecard? 6

5. How should each evaluation criteria be scored?..... 7

6. How should individual evaluation reports be scored?..... 7

7. How should the aggregated score be calculated? 7

8. What is the criteria to “exceed requirement”? 8

9. How many evaluation reports should be assessed for the UN-SWAP EPI reporting? 9

10. What is the Online Reporting System and qualitative feedback? 9

Annex 1: UN-SWAP - Individual Evaluation Scoring Tool (based on evaluation report) 11

Annex 2: UN-SWAP EPI Aggregated/Meta-evaluation Tool Example 13

Annex 3: What does it mean to meet the UN-SWAP EPI?..... 14

Annex 4: What are the UNEG gender-related Norms, Standards and Guidance?..... 15

Annex 5: What are the key UNEG guidance documents covering integration of gender equality in evaluation? 17

PREAMBLE

The Evaluation Performance Indicator (EPI) is one of the performance indicators developed as part of the accountability framework of the UN System-wide Action Plan (UN-SWAP) to implement the Chief Executive Board for Coordination Policy (CEB/2006/2) on gender equality and the empowerment of women. UN-SWAP 1.0 had 15 performance indicators, but the revised UN-SWAP framework 2.0 has 17 performance indicators to track results, accountability, results-based management, oversight, human and financial resources, capacity, and knowledge exchange and networking.

The oversight function of UN-SWAP is composed of two performance indicators: audit and evaluation. The UN-SWAP Evaluation Performance Indicator (EPI) is linked to meeting the gender-related UNEG Norms and Standards¹. The UNEG Norm in particular calls on evaluators and evaluation managers to ensure that human rights and gender equality values are respected, addressed and promoted, underpinning the commitment to the principle of ‘No-one left behind’. Hence, the UN-SWAP Evaluation Performance Indicator serves both as a reporting tool and a benchmark to help UN entities integrate Gender Equality and the Empowerment of Women (GEEW) into evaluations.

To guide UN entities, the UN-SWAP framework is accompanied by a set of Technical Notes on each Performance Indicator that provides information on the performance indicator, the mandate on which it was based, and guidance on how to complete the rating. The Technical Notes are considered live documents that can be enhanced.

This update on the Technical Note reflects the changes brought by UN-SWAP 2.0 and clarifies the process and application of the UN-SWAP EPI criteria as recommended in the independent review commissioned by UNEG Human Rights and Gender Equality Working Group in 2016². This Technical Note aims to support more systematic and harmonized reporting through the use of a common tool that also allows for improved comparability across UN entities. The assessment is performed against a five-level rating system: ‘not applicable’, ‘misses requirements’, ‘approaches requirements’, ‘meets requirements’, and ‘exceeds requirements’, which is fully aligned with the UN-SWAP framework.

One significant change has to do with how entities qualify for meeting the ‘exceed category,’ which now requires UN entities to conduct at least one evaluation to assess corporate performance on gender mainstreaming or equivalent every 5-8 years. This provides an excellent opportunity for validating institutional progress on gender equality, particularly given that UN-SWAP annual reports are based on self-assessment.

The ultimate goal is for all UN system entities to “meet requirements” related to the Evaluation Performance Indicator in terms of integrating gender equality and empowerment of women (GEWE) in their respective evaluations. Nonetheless, integrating gender dimensions in evaluation varied across entities due to differences in mandates, resources and capacities. Institutional and methodological challenges also exist due to the nature, scope and type of evaluations commissioned. Against this background and the governing structures of reporting entities, it is reasonable to expect progressive realization of the requirements set out for this Performance Indicator, at both the level of the individual entity and the UN system.

¹ The updated UNEG Norms and Standards (2016) recognized Human Rights and Gender Equality as a standalone Norm.

² [Review of UN-SWAP Evaluation Performance Indicator Reporting](#)

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

The EPI assesses the extent to which the evaluation reports of an entity meet the gender-related UNEG Norms and Standards and demonstrate effective use of the UNEG Guidance on integrating human rights and gender equality during all phases of the evaluation. It also calls on all reporting UN system entities to conduct at least one evaluation to assess corporate performance on gender mainstreaming every 5-8 years. This might constitute, but not be limited to, corporate evaluation of gender policy, mainstreaming, and strategy or equivalent”.

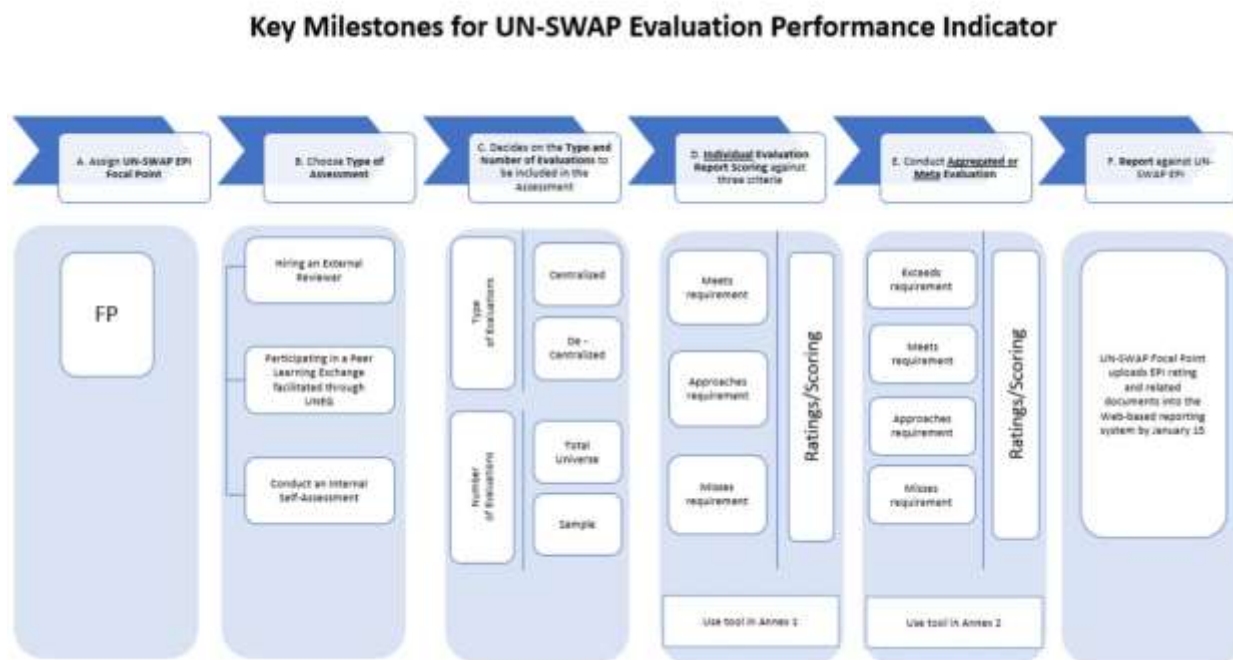
Box 1. Mandate to integrate human rights and gender equality in evaluation

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

Quadrennial Comprehensive Policy Review Resolution A/RES/67/226 notes the development of the **norms and standards** for evaluation by the **United Nations Evaluation Group** as a professional network, and encourages the use of these norms and standards in the evaluation functions of United Nations funds, programmes and specialized agencies, as well as in system-wide evaluations of operational activities for development; *encourages* the United Nations development system to institute greater accountability for gender equality in evaluations conducted by country teams by including gender perspectives in such evaluations; and *welcomes* the development of the United Nations System-wide Action Plan on Gender Equality and the Empowerment of Women, under the leadership of UN-Women, as an accountability framework to be fully implemented by the United Nations development system.

2. What are the essential steps of the UN-SWAP EPI reporting cycle?

The UN-SWAP EPI provides a basis for harmonization across entities. The workflow for the UN-SWAP EPI is provided in the figure below.



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

Ideally, the UN-SWAP EPI criteria are integrated into the overall quality review processes of the evaluation office and meta-evaluation. An external assessor conducts the meta-evaluation to ensure an objective review of how the evaluations perform against the criteria.

However, if the evaluation office does not have the funds to hire an external assessor, an internal review should be completed. In this case, internal personnel should be assigned this task and a plan for how to conduct the internal review should be developed – for example, perhaps two staff members could review the same reports and come to an agreed upon final score; then all relevant staff members could come together as a team and discuss and draft a remedial plan of action to which to commit. Time should be allocated for the review process to be completed by 15 January.

- C. The Evaluation office decides on the 1) type of evaluations (centralized or decentralized); and 2) number of evaluations (the total universe or sample) to be included in the assessment. See explanation provided under Section 9.
- D. Individual Evaluation Report Scoring against three criteria. Use the “Individual Evaluation Report Scoring Tool”. See explanation provided under Section 5.

- E. Conduct Aggregated or Meta Evaluation of evaluation reports using “UN-SWAP Meta Evaluation Scoring Tool”.
- F. Report against UN-SWAP EPI. Report through the entity’s UN-SWAP Focal Point via the UN-SWAP online reporting system.

3. What should be included in the UN-SWAP EPI assessment?

For the purpose of reporting against the UN-SWAP EPI, UN entities should include in their UN-SWAP EPI assessment only those reports that meet the UNEG definition of evaluation.

Box 2. UNEG Definition of Evaluation

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

There are forms of assessments other than evaluations – for instance, self-assessments, appraisals, monitoring exercises, reviews, inspections, investigations, audits, and research. While useful in their own right, these assessments should not be included in the UN-SWAP EPI assessment.

Although there are some exceptions, the evaluations included should have been finalized in the period being reported: annual reporting cycle January – December³.

4. What is the UN-SWAP Evaluation Scorecard?

The UNEG endorsed scorecard is a tool aimed at assessing evaluation reports of an entity against three criteria. Through its fourth criterion, the scorecard also calls on all reporting UN system entities to conduct at least one evaluation to assess corporate performance on gender mainstreaming every 5-8 years⁴.

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

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

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

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

³ Owing to the non-alignment of internal and UN-SWAP reporting cycles, some entities may report on evaluations completed in the previous year. For example, evaluations completed in 2016 may be reported in the 2017 reporting cycle. However, efforts to align meta-evaluation processes with the UN-SWAP reporting cycle is highly encouraged.

⁴ The scope and title of evaluations to assess corporate performance on gender mainstreaming or an evaluation of GE policy/strategy differs from entity to entity. This might constitute but not limited to corporate evaluation of gender policy, gender mainstreaming strategy, plan or equivalent.

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

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

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

5. How to score each evaluation criteria?

UN entities will use the UNEG endorsed UN-SWAP EPI Scorecard to assess each evaluation report using a four-point scale (0-3) rating system for each criterion (see Annexes 1 and 2). Each of the scoring levels below corresponds to a numbered score:

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

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

6. How to score individual evaluation reports?

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

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

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

7. How to calculate the meta-score?

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

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

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

Table 1: The UN-SWAP EPI Scorecard Criteria

Rating	Individual evaluation
Meets	Meets UNEG GE-related norms and standards and applies the UNEG Guidance on Integrating Human Rights and Gender Equality in Evaluation during all phases of the evaluation
Approaches	Meets some of the UNEG GE-related norms and standards in the UNEG Guidance on Integrating Human Rights and Gender Equality in Evaluation
Misses	None of the UNEG gender-related norms and standards are met
Not applicable	An entity should only report “not-applicable” if there is no evaluation unit and no evaluations were conducted by the entity. However, if no evaluations were conducted in the previous year, the last rating completed should be used with a clear note indicating the year upon which the rating is based. This approach is being used to avoid confusion with those entities that do not have an evaluation unit and did not conduct an evaluation in which case the correct indicator is ‘not applicable’.

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

8. What is the criteria to “exceed requirement”?

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

- 9,01-12 = Exceeds Requirement

Important considerations for the exceed requirement

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

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

Cognizant of the resource constraints by smaller entities to commission external evaluation of their respective gender policy/strategy, evaluations by external parties could be considered as adequate to get the additional three points. This is to give those entities that are committed to improve their gender equality policy/strategy the opportunity to reach “exceed requirement”.

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

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

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

9. How many evaluation reports should be assessed for the UN-SWAP EPI reporting?

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

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

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

10. What is the Online Reporting System and qualitative feedback?

During annual UN-SWAP reporting, Evaluation Offices are responsible for conducting and sharing their aggregated/meta-evaluations and/or completed Scorecards with their organizational UN-SWAP Focal Point⁵, who is responsible for uploading these to the [web-based reporting system](#). Evaluation Offices are also encouraged to include examples of evaluations that demonstrate how entities are approaching, meeting

⁵ All UN entities have designated UN-SWAP Focal Points who consolidate reporting against all UN-SWAP performance indicators and that enter the data in the online reporting system on behalf of their respective organizations. These colleagues are generally staff of the Gender Units/Gender Divisions of the entities.

or exceeding requirements for this indicator overall or for specific dimensions for upload to the web-based system.

Evaluation Office staff are encouraged to liaise with their UN-SWAP Focal Point and ensure that they are familiar with the web-based reporting system section for the evaluation indicator and familiarize themselves with the different areas for input which include the following⁶:

Entity name

- **Rating of the Performance Indicator:** The entity will need to input the final aggregate score obtained including the type of assessment (external, internal, peer learning exchange), the number and type of evaluations considered (centralized/corporate and decentralized), and sampling used.
- **Scoring:** The entity will input the scoring obtained which relates to the rating (Misses requirement; Approaches requirement; Meets requirement; Exceeds requirement).
- **Timeline:** The entity will indicate the timeline to meet requirements of this particular indicator.
- **Responsibility to follow up:** The entity will indicate the responsible unit/department to follow-up on this particular indicator.
- **Resources needed:** The entity will indicate whether or not resources are needed to “meet requirement” on this particular indicator.
- **Comments by reporting entity:** This area provides space for qualitative inputs beyond the actual scoring of the indicator.

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

⁶ These are common areas of input that apply to all UN-SWAP indicators and are not restricted to the Evaluation Performance Indicator.

Annex 1: UN-SWAP - Individual Evaluation Scoring Tool (based on evaluation report)

Scoring Criteria	Guiding questions for assessing integration [Note: These are guiding questions that intend to support harmonized reporting across entities].	Scoring per Criteria (0-3); only whole numbers no decimals	Comment on Scoring (Explanation of why rating has been given)
<p>1. GEEW is integrated in the evaluation scope of analysis and evaluation criteria and questions are designed in a way that ensures GEEW related data will be collected</p>	<p>a. Does the evaluation assess whether sufficient information was collected during the implementation period on specific result indicators to measure progress on human rights and gender equality results?</p> <p>b. Does the evaluation include an objective specific to assessment of human rights and gender equality considerations or was it mainstreamed in other objectives?</p> <p>c. Was a standalone criterion on gender and/or human rights included in the evaluation framework or mainstreamed into other evaluation criteria?</p> <p>d. Is there a dedicated evaluation question or sub-question regarding how GEEW was integrated into the subject of the evaluation?</p> <p><i>Further guidance on integrating GEEW consideration into OECD-DAC criteria and evaluation questions is provided on p. 76-88 in the UNEG Guidance Integrating Human Rights and Gender Equality in Evaluation; p. 25-32 in the UNEG Handbook on Integrating Human Rights and Gender Equality in Evaluation.</i></p>	<p>0=Not at all integrated. 1=Partially integrated. 2=Satisfactorily integrated. 3=Fully integrated.</p>	
<p>2. A gender-responsive methodology, methods and tools, and data analysis techniques are selected.</p>	<p>a. Does the evaluation specify how gender issues are addressed in the methodology, including: how data collection and analysis methods integrate gender considerations and ensure data collected is disaggregated by sex?</p> <p>b. Does the evaluation methodology employ a mixed-methods approach, appropriate to evaluating GEWE considerations?</p> <p>c. Are a diverse range of data sources and processes employed (i.e. triangulation, validation) to guarantee inclusion, accuracy and credibility?</p> <p>d. Does the evaluation methods and sampling frame address the diversity of stakeholders affected by the intervention, particularly the most vulnerable, where appropriate?</p>	<p>0=Not at all integrated. 1=Partially integrated. 2=Satisfactorily integrated. 3=Fully integrated.</p>	

	<p>e. Were ethical standards considered throughout the evaluation and were all stakeholder groups treated with integrity and respect for confidentiality?</p> <p>Further guidance on key elements of an appropriate GEEW responsive evaluation methodology, methods, tools and data analysis techniques is provided on p. 91-110 in the UNEG Guidance Integrating Human Rights and Gender Equality in Evaluations, and on p. 37-41 in the UNEG Handbook on Integrating Human Rights and Gender Equality in Evaluation.</p>		
<p>3. The evaluation findings, conclusions and recommendation reflect a gender analysis</p>	<p>a. Does the evaluation have a background section that includes an intersectional analysis of the specific social groups affected by the issue or spell out the relevant normative instruments or policies related to human rights and gender equality?</p> <p>b. Do the findings include data analysis that explicitly and transparently triangulates the voices of different social role groups, and/or disaggregates quantitative data, where applicable?</p> <p>c. Are unanticipated effects of the intervention on human rights and gender equality described?</p> <p>d. Does the evaluation report provide specific recommendations addressing GEWE issues, and priorities for action to improve GEWE or the intervention or future initiatives in this area?</p> <p>Further guidance on gender-responsive data analysis is provided on p. 110-114 in the UNEG Guidance Integrating Human Rights and Gender Equality in Evaluations p. 42 in the UNEG Handbook on Integrating Human Rights and Gender Equality in Evaluation.</p>	<p>0=Not at all integrated. 1=Partially integrated. 2=Satisfactorily integrated. 3=Fully integrated.</p>	
<p>Individual evaluation score</p>		<p>0-3 points = Missing requirement 4-6 points = Approaches requirement 7-9 = Meets requirement</p>	
<p>4. Conducted at least one evaluation to assess corporate performance on gender mainstreaming every 5-8 years.</p> <p>In order to “exceed requirement” an entity’s evaluation reports must “meet requirement” and that entity must also conduct an evaluation of its corporate gender policies. Otherwise, even though an entity conducted a corporate evaluation, its reports do not meet requirements, so its overall score cannot be in the “exceed requirement” category. The aggregate score of evaluations should therefore be at least be 6,5 points or above (meets requirement) AND there must be an evaluation of its corporate performance on gender mainstreaming every 5-8 years to obtain the “exceed requirement.”</p>		<p>9,01-12 = Exceeds requirement</p>	<p>This is the only criteria not based on assessment of an evaluation report/s. This criterion should be applied in the aggregate score.</p>

Annex 2: UN-SWAP EPI Aggregated/Meta-evaluation Tool Example

Number of Individual Evaluations in Meta-evaluation (3 is only given as an example: please adjust columns accordingly, with the relevant number of evaluation reports to be assessed)			
Scoring Criteria	Evaluation n 1: Scoring (0-3)	Evaluation n 2: Scoring (0-3)	Evaluation n 3: Scoring (0-3)
1. GEEW was integrated in the evaluation scope of analysis and evaluation criteria and questions were designed in a way that ensured GEEW-related data was collected.	3	2	2
2. A gender-responsive methodology, methods and tools, and data analysis techniques were selected.	3	3	2
3. The evaluation findings, conclusions and recommendation reflected a gender analysis.	3	3	2
Individual evaluation score	9	8	6
Meta evaluation Score (mean of individual evaluation scores)	7,6= meets requirement		
4. Conducted at least one evaluation to assess corporate performance on gender mainstreaming or equivalent every 5-8 years.	In order to “exceed requirement” an entity's evaluation reports must “meet requirement” and that entity must also conduct an evaluation of its corporate gender policies. Otherwise, even though an entity conducted a corporate evaluation, its reports do not meet requirements, so its overall score cannot be in the “exceed requirement” category. The aggregate score of evaluations should therefore be at least be 6,5 points or above (meets requirement) AND there must be an evaluation of its corporate gender policies to obtain the “exceed requirement.”		
Total aggregate score (mean of individual evaluation scores, plus at least one corporate-level institutional gender mainstreaming evaluation or evaluation of GE policy/strategy every 5-8 years)	7,6 + 3 points = 10,6 – which fulfills the “exceed requirement”		

Annex 3: What does it mean to meet the UN-SWAP EPI?

The following checklist of requirements for meeting UN-SWAP EPI can be used in conjunction with ANNEX 1: UN-SWAP - Individual Evaluation Scoring Tool.

Misses	Approches	Meets	Exceeds
<input type="checkbox"/> May refer to UNEG Standards for gender	<input type="checkbox"/> "Misses" plus: <input type="checkbox"/> May state that the objective did not take account gender <input type="checkbox"/> May state that the M&E system did or did not collect gender disaggregated data <input type="checkbox"/> May be participatory in methods <input type="checkbox"/> May have a separate paragraph or subsection discussing gender in isolation	<input type="checkbox"/> "Approches" plus: <input type="checkbox"/> Included at least one gender-specific question <input type="checkbox"/> Included gender-disaggregated indicators <input type="checkbox"/> Consulted with right holders <input type="checkbox"/> Included gender analysis in the background context section <input type="checkbox"/> Included discussion of gender implications throughout the discussion of effectiveness <input type="checkbox"/> May include standalone conclusions and recommendations of gender	<input type="checkbox"/> "Meets" plus: <input type="checkbox"/> Conducted at least one evaluation to assess corporate performance on gender mainstreaming or evaluation every 5-8 years

Annex 4: What are the UNEG gender-related Norms, Standards and Guidance?

The UNEG Norms and Standards for Evaluation⁷ were developed in response to General Assembly Resolution A/RES/59/250⁸. In 2016, they were updated to include a standalone norm on Human Rights and Gender Equality⁹.

Box 2: UNEG Human Rights and Gender Equality Related Norms and Standards

Norm 8: Human rights and gender equality

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

Ethics Norm 6 and Standard 3.2:

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

Standard 3: Evaluation Competencies

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

Standard 4: Conduct of Evaluations

Standard 4.7 Human rights-based approach and gender mainstreaming strategy

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

- Indicate both duty bearers and rights holders (particularly women and other groups subject to discrimination) as primary users of the evaluation and specify how they will be involved in the evaluation process;

⁷ To view a full list of UNEG Norms and Standards, please download at: <http://www.uneval.org/document/detail/1914>

⁸ Document A/C.2/59/L.63 of 17 December, paragraph 69.

⁹ The adoption of the standalone Norm 8 on Human Rights and Gender Equality is paramount for ensuring it is institutionalized across the UN system, including through the United Nations System-wide Action Plan on Gender Equality and the Empowerment of Women (UN-SWAP). Norm 8 on Human Rights and Gender Equality in particular calls on evaluators and evaluation managers to ensure that human rights and gender equality values are respected, addressed and promoted, underpinning the commitment to the principle of 'No-one left behind,' including through the United Nations System-wide Action Plan on Gender Equality and the Empowerment of Women (UN-SWAP).

- Spell out the relevant human rights and gender equality instruments or policies that will guide evaluation processes;
- Incorporate an assessment of relevant human rights and gender equality aspects through the selection of the evaluation criteria and questions;
- Specify an evaluation approach and methods of data collection and analysis that are human rights-based and gender-responsive;
- Specify that evaluation data should be disaggregated by social criteria (e.g. sex, ethnicity, age, disability, geographic location, income or education);
- Define the level of expertise needed among the evaluation team on human rights and gender equality, define responsibilities in this regard and call for a gender-balanced and culturally diverse team that makes use of national/regional evaluation expertise.

Standard 4.8 Selection and composition of evaluation teams

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

Standard 5: Quality

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

In addition to establishing evaluation norms and standards for the UN system, UNEG has developed a number of guidance documents that further elaborate on the specific gender-related norms and standards outlined above.¹⁰ It is important to note that existing UNEG guidance covers the integration of both human rights and gender equality (HR & GE) dimensions in evaluation. This is due to the fact that both dimensions are closely interlinked, with women's rights and gender equality being an integral part of the human rights framework and the Human Rights Based Approach (HRBA). Therefore, gender equality responsive evaluation also calls for attention to the women's rights dimension of the HRBA. Other UNEG guidance documents on this issue are provided in Annex 5.

¹⁰ These documents define gender equality responsive evaluation as one that incorporates the gender equality mainstreaming principles into evaluation such as equality, inclusion and non-discrimination. By doing so, such evaluations contribute to the social and economic change process that is central to most development programming by identifying and analysing gender inequalities, discriminatory practices and unjust power relations that are central to more effective interventions and better and more sustainable results.

Annex 5: What are the key UNEG guidance documents covering integration of gender equality in evaluation?

- **[UNEG Guidance Integrating Human Rights and Gender Equality in Evaluations](#)**
Approved by the UNEG AGM in 2013, this work was developed in parallel to, and elaborates on, the UNEG Handbook and provides the United Nations system with an even more detailed resource on evaluation approaches and methods for a technical audience to ensure human rights and gender responsive evaluations.
- **[Integrating Human Rights and Gender Equality in Evaluation – Towards UNEG Guidance](#)**
Approved by the UNEG AGM in 2011, this handbook is a practical, user-friendly guidebook on how to include human rights and gender equality in evaluations. It offers tools and resources to include gender equality in evaluations by providing guidance throughout all phases of an evaluation.
- **[UNEG Checklist for Evaluation Terms of Reference \(TOR\) and Inception Report](#)**
Approved at the UNEG AGM 2010, this quality checklist serves as a guideline in the design and conduct of evaluations. The use and application of section 9 of this document provides criteria for assessing the integration of gender equality into TOR and inception reports.
- **[UNEG Quality Checklist for Evaluation Reports](#)**
Approved at the UNEG AGM 2010, this quality checklist for evaluation reports serves as a guideline in the preparation and assessment of an evaluation report. The use and application of section 8 of this document provides criteria for assessing the integration of gender equality into evaluation reports.
- **[UNEG Ethical Guidelines for Evaluation](#)** and the **[UNEG Code of Conduct for Evaluation](#)** Approved in 2008, these guidelines are based on commonly-held and internationally-recognized professional ideals for the conduct of evaluation. The Guidelines and Code include requirements for considering gender roles in cultural context, experience and competency with gender issues, and gender balance among evaluators.
- **[Frequently Asked Questions: UN-SWAP Evaluation Performance Indicator Reporting](#)**
This resource provides a quick reference guide for UN-SWAP EPI focal points responsible for reporting against the UN-SWAP EPI on an annual basis.
- **[Good Practices for Integrating Gender Equality and Human Rights in Evaluation](#)**
This resource provides a snapshot of the good practice and point readers to the evaluation report for more information. The guide identifies 17 good practices from 12 UNEG members representing a variety of UN organizations (i.e. Secretariat, Funds and Programmes, etc.).