Guidance Document

UNEG
United Nations Evaluation Group

Integrating Human Rights and Gender Equality in Evaluations

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Foreword

In 2014, the United Nations Evaluation Group (UNEG) took a significant step forward towards advancing the principles of human rights and gender equality within the UN system by publishing the guidance document, 'Integrating Human Rights and Gender Equality in Evaluation.'

Over the last decade, the Guidance has become a reference document supporting evaluators around the world to uphold more inclusive and responsive practices, both within and outside of the UN. Recognizing the dynamic nature of evaluation practices, emerging needs, and the wealth of lessons learned, the UNEG Working Group on Gender Equality, Disability Inclusion, and Human Rights (GEDHR) undertook the initiative in 2022 to update and refine this Guidance document. In doing so, the Group grounded its revision work on the results of the extensive gap analysis conducted in 2021 to enhance the more systematic integration of the OECD/DAC criteria and disability in the original guidance document.

The updated Guidance aspires to guide evaluators and evaluation managers to undertake evaluations that are responsive to the diverse needs of all individuals and communities by embracing the principle of "Leaving No One Behind", a core tenet of the transformative 2030 Agenda. In addition to promoting inclusion the Guidance offers a wealth of tools and examples from UN entities, intended to fortify evaluation methods and promote robust practices to include gender equality, disability inclusion and human rights considerations through the different phases of evaluation processes.

Isabelle Mercier
UNEG Chair

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Acronyms and Abbreviations

AIDS	Acquired Immunodeficiency Syndrome
CEDAW	Committee/Convention on the Elimination of Discrimination against Women
CRPD	Committee/Convention on the Rights of Persons with Disabilities
CSOs	Civil Society Organizations
GAD	Gender and Development
GE	Gender Equality
GEEW	Gender Equality and the Empowerment of Women
GM	Gender Mainstreaming
HR	Human Rights
HRBA	Human Rights-Based Approach
LGBTQIA+	Lesbian, Gay, Bisexual, Transgender, Queer, Intersexual, Asexual, +
LNOB	Leave No One Behind
OECD-DAC	Organization for Economic Cooperation and Development's Development Assistance Committee
OHCHR	Office of the United Nations High Commissioner of Human Rights
RBM	Results-Based Management
SDGs	Sustainable Development Goals
TOR	Terms of Reference
UDHR	Universal Declaration of Human Rights
UN	United Nations
UNDIS	United Nations Disability Inclusion Strategy
UNDP	United Nations Development Programme
UNEG	United Nations Evaluation Group
UNFPA	United Nations Population Fund
UNICEF	United Nations International Children's Emergency Fund
UN-SWAP	United Nations System-Wide Action Plan
WFP	World Food Programme

Chapter 1. Introduction

1.1 Background

1 The United Nations (UN) is founded on the principles of peace, security, justice, human rights (HR) and fundamental freedoms without distinction as to race, sex, language or religion.[1] The Universal Declaration of Human Rights (UDHR) recognises HR as a prerequisite for peace and justice, and upholds the principles of the equal enjoyment of rights among all peoples, regardless of group affiliation, without discrimination.

2 The UN's mandate to address human rights and gender equality (HR&GE) approaches in all its interventions has been established through several international agreements, and reinforced through various institutional reforms, making HR&GE mutually reinforcing goals of the UN system. Human rights-based approaches (HRBA) and gender equality mainstreaming (GM) are strategies to achieve these purposes. While distinct in nature, methods and frameworks, their common agenda is one of social justice and equality. Evaluation is paramount in promoting both HR&GE in the work of the UN.

3 In 2014, the United Nations Evaluation Group (UNEG), a professional network bringing together the units responsible for evaluation in the UN system, published a Guidance Document entitled *Integrating Human Rights and Gender Equality in Evaluations* to improve HR&GE responsive evaluation throughout the UN system. Since its publication, there have been several developments in the field of evaluation, as well as new approaches in the incorporation of HR principles, GE, and the inclusion of other groups in vulnerable situations in evaluations including:

- In 2022, the Organisation for Economic Co-operation and Development (OECD) DAC Network on Development Evaluation (EvalNet) updated its evaluation criteria to provide a normative framework for the evaluation of development interventions (see Box 1). It also published guidance on "Applying a human rights and gender equality lens to the OECD evaluation criteria".[2]

Box 1. Evaluation Criteria

[1] United Nations Charter, Chapter 1: Purposes and Principles.
[2] OECD (2023), *Applying a human rights and gender equality lens to the OECD evaluation criteria*, Best Practices in Development Co-operation, OECD Publishing, Paris.

- Following the launch of the United Nations Disability Inclusion Strategy (UNDIS) by the UN Secretary-General in June 2019, UNEG and the UNDIS Secretariat, developed a guidance note on Integrating Disability Inclusion in Evaluations and Reporting on the UNDIS Entity Accountability Framework Evaluation Indicator (UNEG, 2022).

- In 2016, the UNEG Norms and Standards for Evaluation were updated to include a norm (8) on HR&GE, and a standard (4.7) on HRBA and GM strategy (see Box 2). All UN entities should seek to integrate UNEG Norms and Standards into their existing evaluation processes in their entirety.

Box 2. UNEG Norms and Standards for Evaluation

Norm 8: Human rights and gender equality

'The universally recognised 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'.

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'.

- The UNEG Ethical Guidelines for Evaluation were revised in 2020 to address issues relating to access and engagement in the evaluation process and products by all relevant stakeholders. The Guidelines also took into consideration intersectional factors such as sex, gender, race, language, country of origin, LGBTQIA+ status, age, background, religion, ethnicity and ability.

4 Consequently, the UNEG Working Group on Gender Equality, Disability Inclusion and Human Rights (GEDHR) decided to update this Guidance document to reflect evolving practice, needs and lessons. Most notably, this updated Guidance aims to reflect all groups in situations of vulnerability (see Box 3) in line with the principle of "Leaving No One Behind" (LNOB), which is at the heart of the 2030 Agenda.[3]

Box 3. Groups in Situations of Vulnerability

Groups in situations of vulnerability is the phrase used in this guidance document to refer to those often left furthest behind including women and girls, children, youth, LGBTQIA+, persons with disabilities, persons living with HIV and AIDS, older persons, indigenous peoples, refugees, internally displaced persons, and migrants, among others.

[3] UNSCEB (2017), *Leaving No One Behind: Equality and Non-Discrimination at the Heart of Sustainable Development*.

4.1 Definition and Purpose of HR&GE Evaluations

5 This Guidance is intended as a "how-to" for integrating HR&GE in evaluations, including formative, mid-term, and final evaluations, among others. HR&GE responsive evaluations integrate – in their purposes, process and methods – LNOB concepts, standards, values and principles ensuring alignment with and progress towards the achievement of the Sustainable Development Goals (SDGs) within evaluations to:

- Analyse how an intervention advances the rights of the population(s) groups served through the intervention actions of development and emergency actors (*the human rights holders),* with special attention to the poorest, most vulnerable and marginalized, including, but not limited to, women and girls, all children, youth, persons with disabilities, people living with HIV and AIDS, older persons, Indigenous peoples, refugees, internally displaced people, migrants, minorities, stateless people and all people facing discrimination[4], and supports or empowers them to claim for their rights;

- Identify and analyse the inequalities, discriminatory practices and unjust power relations that not only are central to development problems but also aggravate both sudden onset emergencies and protracted crises;

- Put forward tools that not only allow evaluators to recognise and value different ways of approaching the reality, but also identify and test the dominant theories and discourses underpinning policies and interventions;[5]

- Ensure that human rights holders' voices (especially of the groups mentioned above) are heard and their views taken into account in decisions that affect them, including in the evaluation process itself;

- Reinforce the capacity of States, Governments, or other actors *(the duty bearers)* to fulfil their international obligations and responsibilities;

- Strengthen accountability mechanisms and "promote more transparent review and dialogue on competing or alternative values or theories;"[6] and

- Monitor and advocate for compliance with international standards on inclusive mainstreaming.

6 An evaluation that neglects or omits HR&GE considerations deprives the UN system and/or its partners, as well as the intervention's stakeholders of the necessary evidence about who benefits (and does not) from its interventions; risks perpetuating discriminatory structures and practices; and may miss opportunities for demonstrating how effective interventions are carried out.

7 HR&GE responsive evaluations have two dimensions: they are geared towards assessing results and are process-oriented. Practically, this means:

[4] Ibid.
[5] Hay, K., '*Strengthening Equity-Focused Evaluations Through Insights From Feminist Theory and Approaches*', in Marco Segone (ed.), Evaluation For Equitable Development Results, UNICEF Evaluation Office, 2012, p. 45.
[6] Ibid. pg. 47.

(i) Result-wise: it assesses the extent to which the intervention, since its inception, is guided by LNOB organisational and system-wide objectives, and has achieved results related to these objectives;

(ii) Process-wise: the evaluation itself applies LNOB mainstreaming principles to the actual evaluation process, including in the design of the evaluation.

1.3 Scope and Audience

8 As per the UNEG Norms and Standards, all evaluations in the UN system must include an assessment of HR&GE dimensions, both in terms of processes employed during the intervention and regarding the results achieved. For interventions where HR&GE are not the primary focus, evaluations should always assess the extent to which these dimensions were explicit elements of their design and implementation. All evaluations, regardless of whether they have a focus on HR&GE or not are expected to be inclusive and to mainstream HR&GE principles throughout their respective processes. In this vein, evaluation approaches and methodologies presented in the Guidance and illustrated by good practices cases identified in a variety of contexts promise to be particularly useful.

9 This Guidance is primarily for UN system evaluation managers and evaluators conducting evaluations of programmes and projects, within the context of Results Based Management (RBM), in all work done by the UN. With some adaptation by users, the Guidance can be a relevant tool to support evaluations carried out outside the UN system.

10 The Guidance is also aimed at: UN system staff members involved in designing and implementing interventions and commissioning evaluation thereof; evaluation networks and organisations outside the UN, including civil society organisations (CSOs) and non-governmental organisations (NGOs) interested in strengthening their evaluation capacities and approaches; state institutions and national evaluation bodies; and other practitioners, such as LNOB advocates.

1.4 Guidance Structure

11 This updated Guidance is divided into seven chapters. Following this introductory Chapter, Chapter 2 presents the core concepts (definitions, normative frameworks, standards and key principles) related to HR&GE approaches. Chapter 3 examines issues pertaining to the institutional framework and planning of HR&GE responsive evaluations, and the implications of integrating HRBA & gender equality mainstreaming in the programming cycle, in particular in its evaluative process. Chapter 4 identifies recommended evaluation approaches for, and defines the scope of, analysis of HR&GE responsive evaluations. Chapter 5, *Planning for a HR&GE responsive evaluation,* details basic principles and contains practical guidance on how to integrate HR&GE approaches during the evaluation design and preparation; presents the implications of using the evaluation criteria of the Organization for Economic Cooperation and Development (OECD) Development Assistance Committee (DAC) Evaluation Network (EvalNet); sets out steps for evaluating capacity development; outlines the key components of solid terms of reference and reviews the elements of high-quality evaluation team. Chapter 6 looks at the conduct of HR&GE responsive evaluations (including a review of innovative methods aimed to facilitate a meaningful evaluator's engagement with population groups that have been often neglected in past evaluations) and finally, Chapter 7 looks at the dissemination and use of evaluation findings and recommendations.

12 Notwithstanding the contribution of this revised Guidance, many challenges still remain with regards to the integration of HR&GE into evaluation theory and practice. Therefore, while vibrant discussions on this very subject are taking place among practitioners nowadays, the directions, suggestions and advice contained in this Guidance need to be put to the test of practice and field experience. Likewise, a larger body of evidence needs to be generated, with a special emphasis on evaluation tools and methodologies that could help to better capture HR&GE dimensions of any given intervention (be that a project, a programme or a policy). As a result, this Guidance is to be viewed as a living document that will be updated in light of new evidence, practical experiences and continued testing of the methods herein.

Chapter 2. Human Rights and Gender Equality

13 The promotion and protection of HR&GE are central principles to the fulfilment of the mandate of the UN. All UN agencies must a) work to fundamentally enhance and contribute to their realization; b) utilize processes that are in line with and support these principles; and c) address the underlying causes of human rights violations, including discrimination against women and, more broadly, discrimination against individuals and groups in situations of vulnerability.

14 Developments within the UN system and evaluation more broadly since this guidance was first published mean there are new principles to also be considered. Foremost is the concept of LNOB, which represents the unequivocal commitment of all UN Member States to eradicate poverty in all its forms, end discrimination and exclusion, and reduce the inequalities and vulnerabilities that leave people behind and undermine the potential of individuals and humanity as a whole. Further, intersectionality is increasingly used to address factors that, combined, create different modes of discrimination and privilege, such as ethnicity and race, sexual diversity, age, gender identity and expression, diverse abilities, social class, and others.

15 This updated Guidance shifts the debate from including human rights and gender considerations in evaluations as two distinct issues, towards an intersectional understanding of different factors that combine to leave people behind and need to be considered in evaluations.[7]

16 Gender equality, human rights and intersectionality should be an integral part of all evaluators' and evaluation managers' toolbox. UN evaluations that do not consider them, risk reinforcing patterns of discrimination and exclusion, or leaving them unchanged. The following chapter will explore them in more detail, and outline how they can be understood within the context of this Guidance document.

2.1 Concepts and principles

17 **Human rights** are the civil, cultural, economic, political, and social rights inherent to all human beings, regardless of nationality, place of residence, sex, sexual orientation, national or ethnic origin, colour, disability, religion, language, etc. All human beings are entitled to these rights without discrimination. They are universal, inalienable, interdependent, indivisible, equal and non-discriminatory. Human rights are expressed in and guaranteed by normative frameworks and laws that lay down the obligations of States to act to respect, protect and fulfil the human rights and fundamental freedoms of individuals or groups.[8]

18 **Gender equality** is the state in which access to rights or opportunities is unaffected by gender. Gender equality also refers to **sexual orientations and gender identities and expressions**. In many societies, people with diverse sexual orientations; gender identities, expressions and sex characteristics (aka LGBTQIA+ people) are discriminated against, punished, or socially excluded.[9] While the Universal Declaration of Human Rights (UDHR) and UN human rights treaties do not explicitly

[7] UNDP (2022), *Formative Evaluation of the Integration by UNDP of the principle of Leaving No One Behind*.
[8] OHCHR, *What are human rights?*
[9] UN Women (2021), *The Only Way is Up: Monitoring and Encouraging Diverse SOGIESC Inclusion on the Humanitarian and DRR Sectors*.

mention 'sexual orientation' or 'gender identity,' they do establish an obligation on the part of States to protect people from discrimination, including on the basis of "sex … or other status."[10]

19 Equality means that people's rights, responsibilities, and opportunities will not depend on whether they are born male or female. Gender equality implies that the interests, needs and priorities of women, men, and people with gender-diverse identities are taken into consideration, recognizing the diversity of different groups. **Gender equality should concern and fully engage all people, and is seen both as a human rights issue and as a precondition for, and indicator of, sustainable people-centered development**.[11]

20 Many elements need to be in place to ensure the adequate incorporation of HR&GE perspectives into the work of an entity, including its evaluations. These can include engaging stakeholders with specific equality demands such as equality machineries, civil society organizations, specialists, and academics. In addition, organizations should carry out training to promote a HR&GE-sensitive culture throughout their internal structures. An ongoing effort should also be made to pay attention to resistance and opposition to equality mechanisms and avoid fatigue and resistance than can diluted their effects.

21 An HR&GE responsive evaluation addresses the programming principles[12] required by a HRBA and gender equality mainstreaming (GM) strategy and reaches those who are furthest behind, especially by tackling all forms of discrimination. HRBA and GM constitute a framework of action as well as a methodological tool to apply international HR&GE principles, values, standards, and goals in all stages of programming, including evaluation.

22 The **empowerment of women** concerns women and girls gaining power and control over their own lives. It spans from raising awareness, boosting self-confidence, expanding life choices up to accruing access to and control over resources, as well as taking actions to transform the structures and institutions that reinforce and perpetuate gender discrimination and inequality.[13]

23 **Intersectionality** recognises the identities of all human rights holders, as well as the compounding effect that multiple identities can have on a single individual's experience.[14] In turn, these may accumulate or build upon each other depending on the individual's social arena or context. For example, a young girl living in a rural area could also live with disabilities, belong to an ethnic minority, and come from a particularly vulnerable household.

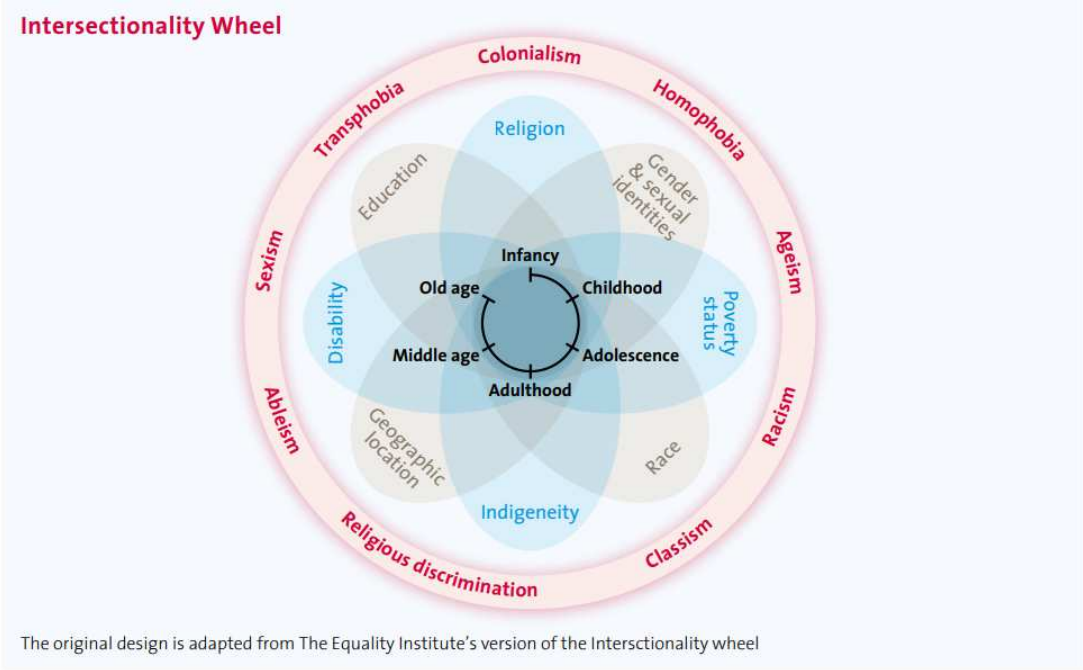
24 While multiple inequalities have prevailed in history and affected some population groups more than others (structural intersectionality), other inequalities are often triggered by those very same policies that are intended to curb discrimination within entire population (this is normally referred to as political intersectionality). For example, a policy promoting greater gender equality may concentrate most of its efforts and investments in one area (e.g., curbing gender in equality in urban areas) and yet

[10] OHCHR, Resolutions on sexual orientation, gender identity and sex characteristics and The United Nations Speaks Out.
[11] UN Women, Gender Mainstreaming – Concepts and definitions.
[12] HRBA is a methodology that applies five working principles to human rights for all; meaningful and inclusive participation and access to decision-making; non-discrimination and equality; accountability and rule of law for all; and transparency and access to information supported by disaggregated data.
[13] UN Women (2017), IASC Gender in Humanitarian Action Handbook.
[14] Intersectionality was first coined by Kimberle Crenshaw in 1989, see Crenshaw, Kimberle "Demarginalizing the Intersection of Race and Sex: A Black Feminist Critique of Antidiscrimination Doctrine, Feminist Theory and Antiracist Politics," University of Chicago Legal Forum: Vol. 1989: Iss. 1, Article 8. Available at: http://chicagounbound.uchicago.edu/uclf/vol1989/iss1/8.

fails to tackle discrimination against women with ethnic diversity, migrants, elderly persons, or members of the LGBTQIA+ community.[15]

25 Intersectionality suggests a new way of thinking about identity and its relationship to power. Applying intersectionality within an evaluation requires careful analysis of how these conditions are located within structures of power, to understand how they may be oppressed and how they overlap within the context of an intervention. It is important to remember that intersectionality applies equally to development and humanitarian evaluations.

26 Many international human rights instruments treat different forms of discrimination as separate and distinct, including the Convention on the Rights of Persons with Disabilities, the Convention on the Elimination of Discrimination Against Women and the Convention on the Rights of the Child. Intersectionality connects these international human rights instruments through one lens. It is a tool for equity that rejects the 'one-size fits' all programmatic approach.[16]



27 The recent United Nations Partnership on the Rights of Persons with Disabilities/UN-Women publication Intersectionality Resource Guide and Toolkit: An intersectional approach to Leave No One Behind sets out eight enablers for intersectionality (see Box 4) that can be applied when designing, managing or evaluating development and humanitarian activities.

[15] Bustelo et al. (2015), *Guide to including a gender+ perspective in VOPEs: innovating to improve institutional capacities*, European Evaluation Society, Rotterdam.
[16] UN Women (2022), *Intersectional Resource Guide and Toolkit: An Intersectional Approach to Leave No One Behind*

Box 4. Enablers for Intersectionality
Recognize limitations, and that your perspective is only one reality.
Create safe and accessible spaces for all to participate equally, including separate spaces if necessary.
Information and feedback mechanisms are provided in a range of accessible formats, including local languages.
Define and design programme objectives and activities collaboratively with people with experience of intersectional discrimination. Local staff are diverse, and the programme takes a proactive approach to inclusive recruitment.
Process, output and outcome indicators use qualitative and quantitative approaches to measure progress towards, equality for the most marginalized.
Activities challenge attitudes, stigma, stereotypes, and discrimination faced by the most marginalized.
Flexible and regular monitoring systems that can analyse the influence of external factors.
Adopt specific measures to address equality and non-discrimination and promote the participation and empowerment of the most marginalized.

2.2 International normative framework for HRBA & GM

28 To apply HRBA and GM, it is important to understand the nature and characteristics of the legal obligations that bind duty bearers.[17] International, regional and national human rights instruments constitute a benchmark for evaluation, and an essential reference for analysis, programming and evaluation processes.

29 The UDHR is the cornerstone document of international human rights law. Although the UDHR did not begin as a legally binding document, it is now endowed with a high degree of legitimacy and "the growing consensus is that most, if not all, of the rights enumerated in the UDHR have acquired a customary status in international law."[18] The International Covenant on Economic, Social and Cultural Rights (ICESCR) and the International Covenant on Civil and Political Rights (ICCPR) (together with their Protocols), further elaborate the content of the rights set forth in the UDHR and contain legally binding obligations for the States that become parties to them. Together, these documents are often called the International Bill of Human Rights.

30 Under the auspices of the UN, more than 20 general and subject-specific human rights treaties have been formulated since the adoption of the UDHR. Nine core international human rights treaties have established committees of experts to monitor the implementation of their provisions by the States (see Box 5).

[17] Duty bearers are entities or individuals having a particular obligation or responsibility to respect, promote and realize human rights and to abstain from human rights violations. It is commonly used to refer to State actors, but non-State actors can also be considered duty bearers.

[18] de Shutter, O. (2010), "International Human Rights Law: Cases, Materials, Commentaries", Cambridge University Press, p. 50.

Box 5. The Core International Human Rights Instruments and Their Monitoring Bodies		
Core international human rights treaties	**Year**	**Monitoring body**
International Convention on the Elimination of All Forms of Racial Discrimination (ICERD)	1965	Committee on the Elimination of Racial Discrimination (CERD)
International Covenant on Civil and Political Rights (ICCPR)	1966	Human Rights Committee (HRC)
International Covenant on Economic, Social and Cultural Rights (ICESCR)	1966	Committee on Economic, Social and Cultural Rights (CESCR)
Convention on the Elimination of All Forms of Discrimination against Women (CEDAW)	1979	Committee on the Elimination of Discrimination against Women (CEDAW)
Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (CAT)	1984	Committee Against Torture (CAT)
Convention on the Rights of the Child (CRC)	1989	Committee on the Rights of the Child (CRC)
International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families (ICRMW)	1990	Committee on Migrant Workers (CMW)
International Convention for the Protection of All Persons from Enforced Disappearance (CPED)	2006	Committee on Enforced Disappearances (CED)
Convention on the Rights of Persons with Disabilities (CRPD)	2006	Committee on the Rights of Persons with Disabilities (CRPD)

31 In addition to international human rights treaties, there are also regional human rights treaties (including those specific to women's rights), which may concern the same sets of rights, but are only open for signature by States in the relevant region. These treaties should be considered when applying HRBA and GM strategies as they provide an additional set of tools to assist governments in fulfilling their obligations. Regional human rights systems reinforce and complement international standards and machinery by providing the means by which human rights concerns are addressed within the particular social, historical, and political context of the region concerned. As a result, regional human rights bodies can be important partners for close collaboration with the UN on activities of mutual concern.[19] Inclusive evaluations ensure that both processes and results are contextualized to the specific evaluand.

32 There are many other non-binding universal and regional human rights instruments (declarations, principles, guidelines, standards, rules, and recommendations).[20] These instruments have no binding legal effect but have an undeniable moral force and provide practical guidance to States in their conduct. Intersectionality connects these international human rights instruments through one lens, helping us to recognise how experiences of multiple discrimination are connected (see Box 6).

[19] UNFPA and Harvard School of Public Health (2010), *A Human Rights-Based Approach to Programming: Practical Implementation Manual and Training Materials*, p. 43.
[20] OHCHR, International Human Rights Law.

Box 6. Central International Legislation for Groups in Situations of Vulnerability

The **central international legislation promoting gender equality** is the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW). While many international instruments contain a free-standing provision for non-discrimination on the basis of sex, CEDAW established in detail the obligations of States in a variety of issues.

The **central international legislation promoting the rights of boys and girls** is the Convention on the Rights of the Child (CRC).

The **central international legislation promoting the rights of persons with disabilities** is the Convention on the Rights of Persons with Disabilities (CRPD).

The 1951 Convention relating to the Status of Refugees provides the internationally recognized definition of a refugee and outlines the legal protection, rights and assistance a refugee is entitled to receive.

The Convention relating to the Status of Stateless Persons, adopted in 1954, provides important minimum standards of treatment for those who qualify as stateless persons.

The 1981 Declaration on the Elimination of All Forms of Intolerance and of Discrimination Based on Religion or Belief was the first international soft law instrument focusing on religious intolerance.

United Nations Principles for Older Persons (1991) aim to ensure that priority attention will be given to the situation of older persons.

Adopted in 199, the purpose of the Declaration on the Rights of Persons Belonging to National or Ethnic, Religious and Linguistic Minorities is the promotion and protection of the rights of persons belonging to national or ethnic, religious and linguistic minorities and as such to contribute to the political and social stability of States in which they live.

The ILO Convention 169 on Indigenous and Tribal Peoples Convention, represents a consensus reached by ILO tripartite constituents on the rights of indigenous and tribal peoples within the nation-States where they live and the responsibilities of governments to protect these rights.

The Declaration on the Rights of Indigenous Peoples, adopted in 2007, establishes a universal framework of minimum standards for the survival, dignity and well-being of the indigenous peoples of the world.

Adopted in 2018, the Declaration on the Rights of Peasants and Other People Working in Rural Areas recognises peasants and people in rural areas as fundamental actors in overcoming crises and is a strategical instrument to strengthen the struggles and proposals of rural movements.

33 The 2030 Agenda for Sustainable Development provides a shared blueprint for peace and prosperity for people and the planet, now and in the future. At its heart are the SDGs (see Box 7), which recognise that ending poverty and other deprivations must go hand-in-hand with strategies that improve health and education, reduce inequality, and spur economic growth. The SDGs reconfirm the central role of HR and LNOB, with SDG 4, 8, 10, and 16 focusing on inclusivity and SDG 5 focusing on the promotion of gender equality.

Box 7. Sustainable Development Goals (2015)

2.3 The UN normative framework regarding HRBA & GM

34 The UN has established a clear normative framework to promote the integration of HRBA and GM in all UN entities' actions. The role of evaluation is present within this framework.

The Human Rights-Based Approach

35 HRBA is "a conceptual framework for the process of human development that is normatively based on international human rights standards and operationally directed to promoting and protecting human rights,"[21] and is the strategy for implementing human rights in UN programming.

36 HRBA must inform the way that programmes are designed, implemented, monitored, and evaluated, using human rights standards and principles to increase the enjoyment of rights. This includes confronting patterns of inequality and discrimination, and formulating responses that address the structural causes of exclusion, marginalisation, and the denial of human rights. General Assembly resolution A/RES/60/1 resolves to support the mainstreaming of human rights throughout the UN system, and the Secretary-General's Call to Action for Human Rights includes, among its guiding principles, that within the UN, human rights must be fully considered in all decision-making, operations and institutional commitments.

37 The UN's approach to LNOB was formalized in the Shared Framework on Leaving No One Behind: Equality and Non-Discrimination at the Heart of Sustainable Development. This conceptual framework focuses on concepts of **equality**, **non-discrimination** and **equity**, and guides agencies towards implementing and measuring progress globally for all people at the disaggregated level. While the Shared Framework sets the stage for expectations on LNOB, the Operationalizing Leaving No One Behind Guidance, was developed by an inter-agency team under the auspices of the UN Sustainable

[21] OHCHR (2006), *Frequently Asked Questions on a Human Rights-Based Approach to Development Cooperation*, p. 7.

Development Group (UNSDG) to support those working and contributing to the work of the UN system to practically implement LNOB.

38 In addition to these overarching documents, individual entities have developed guidance which can provide additional resources when considering planning, monitoring and evaluating integration of HRBA and GM.

Examples of how some entities mainstream HR principles

- A checklist integrating GE, HR & LNOB in Common Country Analysis
- United Nations Population Fund (UNFPA) Guidance on LNOB integration in evaluation

Gender Mainstreaming Strategy

39 **Gender mainstreaming** (GM) is a globally accepted strategy, approach, and means to promote and achieve the goal of gender equality. According to several General Assembly resolutions,[22] gender perspectives must be mainstreamed in all UN policies and programmes. GM was first established as a global strategy for the promotion of gender equality in the 1995 Beijing Platform for Action. It was made a UN requirement by the United Nations Economic and Social Council (ECOSOC) (A/52/3 Chapter IV) in 1997. The Millennium Declaration and the subsequent 2030 Agenda for Sustainable Development also commit the UN to promoting gender equality in its development efforts, including through the GM approach.[23] The standard definition of GM can be found in ECOSOC resolution 1997/2 (see Box 8).

Box 8. Gender Mainstreaming

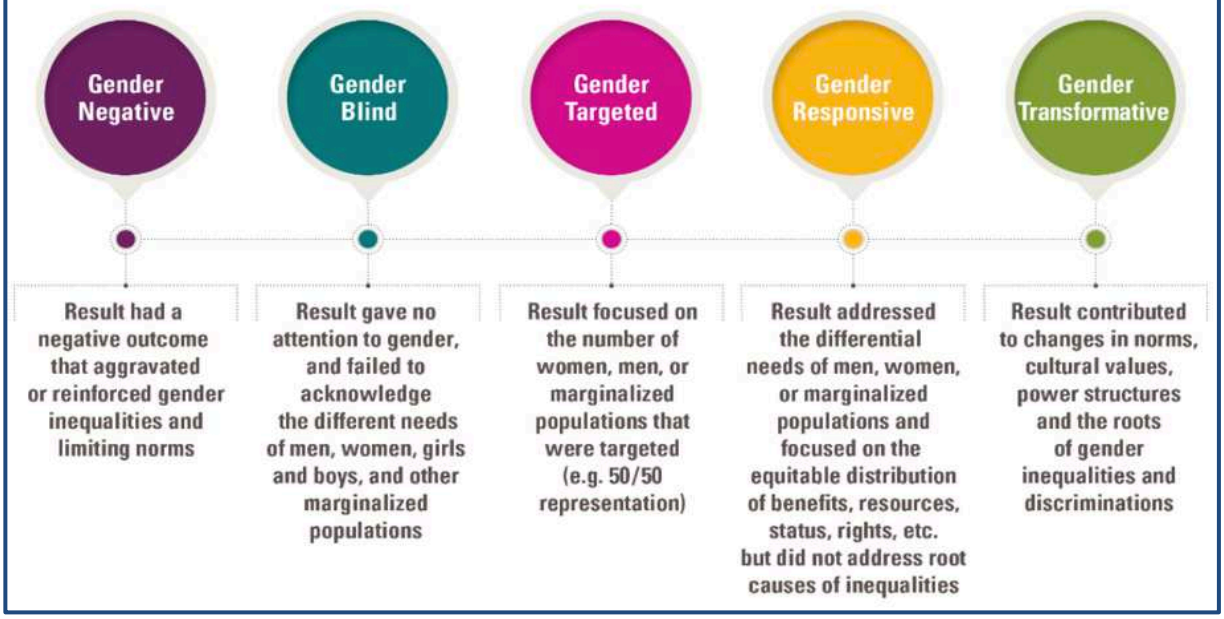
Mainstreaming a gender perspective is the process of assessing the implications for women, men, and people with diverse gender identities in any planned action, including legislation, policies, or programmes, in all areas and at all levels. It is a strategy for making the concerns and experiences of women, men, and people with diverse gender identities an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic, and societal spheres, so that all benefit equally, and inequality is not perpetuated. The ultimate goal is to achieve gender equality.

40 As with human rights, several individual UN agencies have developed gender equality or GM policies to systematically include a gender perspective in all their activities. In 2012, spearheaded by the United Nations Entity for Gender Equality and the Empowerment of Women (UN Women), the UN agreed on the landmark UN System-wide Action Plan (UN-SWAP 1.0) on Gender Equality and the Empowerment of Women (GEEW) which enabled gender issues to be mainstreamed systematically and measurably into all major institutional functions of UN system entities, including evaluation. Following widespread consultation across UN system entities, the updated, expanded and refined UN-SWAP 2.0 was launched in 2018. It includes lessons learned and is aligned with the 2030 Agenda for Sustainable Development, with a focus on results.

[22] Including A/RES/53/120 (para 3), A/RES/60/1 (paras 59 and 166), A/RES/70/1 (para 20), and A/RES/71/243 (para 13).
[23] UN, Transforming our world: the 2030 Agenda for Sustainable Development.

41 Several individual UN agencies have also adapted the **gender continuum model** from the United Nations Development Programme's (UNDP) Gender Results Effectiveness Scale.[24] The Gender Results Effectiveness Scale (see Box 9) was developed by UNDP and ImpactMapper to assess gender results of an intervention. An alternative version of the Gender Results Effectiveness Scale, developed by the United Nations International Children's Emergency Fund (UNICEF) and titled *The Gender Continuum Model*, is provided in Chapter 6.

Box 9. The Gender Results Effectiveness Scale



Disability Inclusion Strategy

42 In addition to HRBA and GM, implementing LNOB requires disability inclusion. **Disability inclusion** requires the meaningful participation of persons with diverse disabilities; the promotion and mainstreaming of their rights into the work of an organization; the development of disability-specific programmes; and the consideration of disability-related perspectives, in compliance with the Convention on the Rights of Persons with Disabilities.[25]

43 UNDIS was launched in 2019 by the UN Secretary-General and, similar to the UN-SWAP, it provides a policy and accountability framework for the implementation of the Convention on the Rights of Persons with Disabilities (CRPD) and the 2030 Agenda, among other international human rights instruments to ensure disability inclusion.

44 UNDIS also requires an annual assessment of the quality of the integration of disability inclusion in evaluation reports. The accountability framework is organized around four core areas of responsibility:

1. Leadership, strategic planning and management;

2. Inclusiveness;

[24] UNDP (2015), *The Gender Results Effectiveness Scale: A Methodology Guidance Note.*
[25] UN (2019), United Nations Disability Inclusion Strategy.

3. Programming; and

4. Organizational culture.

45 Evaluation is one of four indicators under programming in the UNDIS entity accountability framework.[26]

"Intersectional discrimination" occurs when a person with a disability or associated to disability suffers discrimination of any form on the basis of disability, combined with colour, sex, language, religion, ethnic, gender or other status. Intersectional discrimination can appear as direct or indirect discrimination, denial of reasonable accommodation or harassment. For example, while denial of access to general health-related information due to inaccessible format affects all persons on the basis of disability, the denial to a blind woman of access to family planning services restricts her rights based on the intersection of her gender and disability... States parties must address multiple and intersectional discrimination against persons with disabilities."

- General Comment No. 6 (2018) on Equality and Non-Discrimination: Committee on the Rights of Persons with Disabilities

46 In conclusion, the promotion and protection of HR&GE are central principles to the UN's mandate. UN agencies must actively contribute to their realization, employing processes that align with and support these principles, and addressing the root causes of human rights violations, including discrimination against women and other groups in vulnerable situations.

47 In recent years, LNOB has emerged as a prominent commitment of all UN Member States. Additionally, the growing understanding of intersectionality underscores the need to address various factors that contribute to discrimination and privilege in a comprehensive manner. This updated Guidance encourages evaluators and evaluation managers to integrate these principles into their toolbox to uphold the UN's commitment to equality and inclusivity effectively.

[26] UN (2019), United Nations Disability Inclusion Strategy Technical Notes.

Chapter 3. Integrating HR&GE Aspects within an Institutional Framework

48 Ensuring a systematic and coherent application of HR&GE responsive evaluation practice begins with integrating these key principles into the institutional evaluation framework of an organisation. Establishing a comprehensive, HR&GE responsive, evaluation framework is instrumental for strengthening accountability, learning and decision-making on HR&GE throughout an organisation. It also supports the LNOB commitment.

49 For UN entities, this evaluation framework is normally comprised of one or all of the following:

- Evaluation policy
- Evaluation guidance and tools
- Evaluation plans
- Evaluation quality assurance systems

3.1 Integration of HR&GE in the evaluation policy of an organization

50 Integrating HR&GE in the evaluation policy is the critical first step towards establishing the strategic framework which is necessary (yet not sufficient) to ensure HR&GE responsive evaluation is operationalised in practice.

51 An HR&GE responsive evaluation policy is an institutional statement that explains to staff, partners and stakeholders on how to integrate HR&GE principles into their respective evaluation practices. Such a normative document would also contribute to greater institutional transparency and accountability toward the fulfilment of Agencies' HR&GE mandates and compliance with the UNEG evaluation norms and standards.

52 UNEG Evaluation Norm 12 and Standard 1.2, for instance, state that each UN entity should establish and regularly update an explicit policy statement on evaluation that "takes into account" all the UNEG Norms and Standards. This provision requires the mainstreaming of HR&GE within evaluation policies. The Norms and Standards that focus specifically on the integration of HR&GE into evaluation processes are outlined in Chapter 1. These should be integrated and referenced in UN agency evaluation policies.

53 The UN Administrative Instruction ST/AI/2021/3 on Evaluation requires UN Secretariat entities to have an evaluation policy.[27] Its accompanying Guidelines[28] require that the Secretariat policies include "gender, human rights and disability considerations".

54 While there is no set template for designing an evaluation policy within the UN system, the following section provides some guidance on how to reflect HR&GE in the common elements of an evaluation policy, including some examples in Box 10 below. A common approach in most of the policies is to intentionally include the LNOB commitment and to reflect HR&GE requirements within

[27] UN (2021), Administrative Instruction on Evaluation in the United Nations Secretariat, ST/AI/2021/3.
[28] UN (2021), Guidelines for the Administrative Instruction on Evaluation in the United Nations Secretariat.

the guiding principles of the evaluation policy. This ensures that these concerns are central to all evaluations undertaken by an entity and is an effective method of mainstreaming.

Box 10. Examples of Using UNEG Norms on Gender & Human Rights in Evaluation Policies

UNECE Evaluation Policy: The United Nations Economic Commission for Europe evaluation policy includes human rights, gender equality and disability among its evaluation norms, based on the UNEG norms and standards. The policy states that it is the responsibility of evaluators and evaluation managers to ensure that the universally recognized values and principles of human rights and gender equality need to be integrated into all stages of an evaluation. Disability inclusion is also required to be mainstreamed effectively throughout evaluation process and reflected in the terms of reference and evaluation reports.

WFP Evaluation Policy: Evaluation in the World Food Programme (WFP) is guided by the cross-cutting priorities outlined in the organisation's strategic plan. Gender Equality and Women's Empowerment is included as one of these cross-cutting principles, with the Strategic Plan stating that the "WFP will ensure that women, men, girls and boys participate equitably in and benefit from the design, implementation, monitoring and evaluation of relevant programmes and policies."

OHCHR Evaluation Vision and Policy: Gender equality and protection and promotion of women's human rights is a guiding principle and norm of the Evaluation Policy of the Office of the United Nations High Commissioner for Human Rights. It notes that evaluations should be guided by the:

- Principles that human rights are the cornerstone of the UN Charter; and
- Principles, norms, and standards pertaining to equality and non-discrimination on the basis of sex and protection and promotion of women's human rights, including the right to be free from violence.

UNDP Evaluation Policy: The UNDP Evaluation Policy also refers to the UDHR, stating that evaluators must be sensitive to and address issues of discrimination and gender equality in its ethical standards and norms.

UNDRR Evaluation Policy: The United Nations Office for Disaster Risk Reduction's Evaluation Policy includes principles of HR and gender mainstreaming in its guiding evaluation principles. These require that all evaluations undertaken or commissioned by UNDRR include a focus on the protection and promotion of HR and gender issues. The policy states that evaluations should conduct gender-sensitive analysis, assess levels of gender-mainstreaming of the programmes and activities, and make specific gender-relevant recommendations.

Further, the policy requires evaluators to adhere to the human rights-based approach in their design, implementation and delivery, and be mindful of differences in culture; local customs; religious beliefs and practices; personal interaction; sex and gender roles; disability; age; and ethnicity and their potential implications when planning, carrying out and reporting on evaluations, and while using evaluation instruments appropriate to the cultural setting.

UNICEF Evaluation Policy: UNICEF recognizes the needs for the Organization to play a greater oversight role and engage with such themes as gender, disability race and inequality (and climate) both as cross-cutting themes in all evaluations and as dedicated evaluation themes. The Policy also clarifies that the Global Evaluation Plan (the list of corporate evaluations approved by the Executive Board) should include at least a global gender evaluation every four years. Moreover, the Policy calls joints for joint evaluations that assess the level of progress attained by more than one agency against the targets established in the System-wide Action Plan on Gender Equality and the Empowerment of Women.

UNODC Evaluation Policy: The United Nations Office on Drugs and Crime evaluation policy also requires that evaluations mainstream and contribute to gender equality, human rights and the principle of LNOB. The policy states that it is the responsibility of evaluators and evaluation managers to ensure that these values are respected, addressed, and promoted. The policy also requires that disability inclusion is mainstreamed into the evaluation guidelines and processes.

55 ***Concept and role of evaluation:*** *T*he way an evaluation process is undertaken potentially empowers stakeholders, and the policy should explicitly call for evaluations to be responsive to

HR&GE. For example, UN Women's Evaluation Policy stipulates that evaluations should indicate whether interventions have:

- Been guided by the relevant international (national and regional) normative frameworks for HR&GE, UN system-wide mandates and organisational objectives;
- Analysed and addressed the structures that contribute to inequalities experienced by women and individuals/groups who are marginalised and/or discriminated against, especially those experiencing multiple forms of exclusion;
- Maximised participation and inclusiveness (with respect to rights holders and duty bearers) in their planning, design, implementation and decision- making processes;
- Sought out opportunities to build sustainable results through the empowerment and capacity-development of women and groups of rights holders and duty bearers; and
- Contributed to short-, medium- and long-term objectives (or the lack thereof) through the examination of results chains, processes, contextual factors and causality using gender- and rights-based analysis.[29]

56 ***Guiding principles of evaluation:*** The Evaluation Policy articulates the principles that guide evaluation within a UN entity. Explicitly including HR&GE as one of the guiding principles guides the organisation's work in line with HR&GE values, including adherence to universally shared standards of equality, justice, gender equality and respect for diversity. In addition, including the LNOB commitment ensures evaluations will be conducted in the most inclusive manner, as applicable.[30] The Policy should also refer to UN resolutions, including the Quadrennial Comprehensive Policy Review resolutions which requires the systematic integration of HR&GE in evaluation in the UN system's operational activities.

57 ***Evaluation guidance and quality assurance system:*** To support evaluators and evaluation managers to apply sound HR&GE responsive approaches and methods, the foundations for a quality assurance system should be established in the policy (see below). There are also meta-evaluation processes that include criteria on HR&GE integration of evaluation in assessing the overall quality of reports and quality checklists. This includes the use of the scorecard of the UN System-wide Action Plan (UN SWAP) evaluation performance indicator (EPI) regarding gender-responsive evaluation (more information about the EPI can be found in the quality assurance sub-section below).[31]

58 ***Prioritization and planning of evaluations:*** Guidelines for evaluation planning could explicitly require consideration of HR&GE focused evaluations in the entity evaluation plan.

59 ***Roles and responsibilities:*** The roles and responsibilities for senior managers, evaluation officers and staff stipulated in the Evaluation Policy ensure that information, capacities and resources are leveraged to further develop a credible evaluation function that integrates HR&GE. Within this context, accountable parties (including the Executive Board, the Evaluation Office, senior management, decentralised evaluators, independent evaluation consultants, etc.) should be identified to ensure HR&GE principles are integrated throughout the evaluation process, with reference to specific, actionable responsibilities. To enhance accountability, the Evaluation Policy should ensure HR&GE

[29] Adapted from the UN Women Evaluation Policy (2020)
[30] The UNEP Evaluation Policy 2022 (UNEP, 2022) is an example of a policy that includes HR&GE principles.
[31] UN SWAP Performance Indicator 04 on Evaluation.

principles are integral to the performance appraisal indicators for senior managers, evaluation focal points, and other staff with evaluation roles and responsibilities.

60 ***Organizing, management and budgeting of evaluation:*** Evaluation management protocols outlined in a policy could explicitly incorporate HR&GE principles, and the use of an intersectional lens, in the conduct of evaluability assessments; analysis of stakeholders; development of the terms of reference (TOR); evaluation team selection; and ensuring overall stakeholder participation throughout the process. One such mechanism for doing so is the requirement for internal evaluation staff and external evaluation consultants to sign the UNEG Code of Conduct for Evaluators in the UN System. In addition, budget allocations should seek to ensure adequate resources to support HR&GE responsive methodologies and dissemination plans that target a wide range of stakeholders.

61 ***Evaluation follow-up:*** As a tool to enhance institutional accountability on HR&GE, an evaluation policy should incorporate mechanisms to track and follow-up on the application and use of HR&GE findings, recommendations and lessons. Bi/annual evaluation reporting (as stipulated in the policy) could also explicitly require reporting on HR&GE mainstreaming in the evaluation function.

62 ***Disclosure and dissemination:*** Targeted publishing of evaluation findings and recommendations through for example bi/annual reporting, HR&GE forums, funding cycles, etc., could provide opportunities to strengthen the voice of beneficiaries and stakeholders, and enhance collaboration across the UN system and with implementing partners.

3.2 Evaluation policy implementation

3.2.1 Evaluation Guidelines and Manuals

63 In addition to the Evaluation Policy, central evaluation offices also develop guidelines and manuals to strengthen the evaluation function within their organisation based on its specific context. Such documents should also consider the need for integrating HR&GE in the evaluations of the organisation (see Box 11).

Box 11. Examples of Guidance to Mainstream Gender, Human Rights, Disability Inclusion and Environment in Evaluations

The Inspection and Evaluation Division (IED) of the UN Office of Internal Oversight Services (OIOS) developed the Mainstreaming Guidelines and Checklist for Evaluators to guide evaluators on how to mainstream gender equality, human rights, disability inclusion and the environment. The Guidelines were informed by the review of IED's evaluation inception papers, staff workshops and a detailed review of UNEG guidance documents.

The Guidelines are driven by the UN's commitment to LNOB and consist of:

- Mainstreaming mandate references, to facilitate its inclusion in evaluation inception papers and reports;
- A six-point mainstreaming checklist with guidelines and practical suggestions for each stage of the evaluation process including planning, design, data collection, analysis and drafting findings and recommendations; and
- A toolkit with evaluation questions, indicators and links to resources.

OIOS-IED evaluators are encouraged to ensure that mainstreaming issues are considered in the scope, design, implementation and reporting of evaluations by consulting the evaluation checklist during the planning and inception phase of each evaluation.

The Guidelines were subsequently adapted to meet the needs of other UN Secretariat entities, and issued and disseminated to all evaluation focal points in the Secretariat as part of OIOS-IED's Evaluation Support work.

In another example, the Evaluation Office of the United Nations Children's Emergency Fund (UNICEF) published the Guidance on Gender Integration in Evaluation. In addition to being a technical guidance for evaluation managers and evaluators, this resource also increased the awareness of Country Office Senior Management to the relevance of gender integration, not only on the evaluation, but also on the planning and implementation of interventions in development and conflict settings.

3.2.2 Institutional Evaluation Plans

64 Evaluation plans (including centralized and decentralized plans) strengthen the practice of evaluation. They are defined by criteria outlined in the agency's evaluation policy that determine the mandatory and optional triggers for evaluations. UN entities mandate a mix of global, regional, country, and thematic evaluations and, sometimes, decentralized evaluations in their evaluation policies. All should adopt a HR&GE responsive approach and uphold the LNOB commitment. HR&GE issues regarding information, accountability and learning needs, risk mitigation, etc., need to be considered when selecting the evaluations to be included in an evaluation plan to ensure coverage of HR&GE in the evaluative evidence generated. Agencies may opt to develop a comprehensive and strategic HR&GE responsive evaluation plan that includes a mix of outcome-level, project and thematic evaluations, including joint evaluations.

65 As a key results-based management tool, the evaluation plan is an opportunity to integrate HR&GE considerations when determining evaluation timing; resource allocation; roles and responsibilities for managing the overall process; and how the subsequent evaluations will inform agency reporting. Box 12 highlights important considerations when developing an HR&GE responsive evaluation plan.

66 The UN-SWAP 2.0 encourages entities to develop a corporate evaluation of gender practices by assigning a higher score in its evaluation indicator, which is an incentive to include this type of evaluation in the entity's evaluation plan. In a similar manner, the UNDIS encourages entities to develop a meta-analysis of evaluation findings relating to disability inclusion.

Box 12. Considerations when Developing a HR&GE Responsive Evaluation Plan	
Aspects of developing an evaluation plan	**Integrating HR&GE**
Use, purpose and timing: Evaluations should only be proposed when commissioning programme units and stakeholders are clear why they are being conducted (the purpose); what the information needs are (demand for information); who will use the information; and how the information will be used.	Identifying the purpose, demand and intended use of evaluations involves understanding the different stakeholders of each intervention and their interests in the evaluation. Special attention should be paid to gaps, needs and interests demonstrated by the concerned individuals – regardless of their sexual orientation – by people of different genders at all levels, including those belonging to groups in situations of vulnerability, such as persons living with a disability. HR&GE findings will be generated and fed into processes at the country, regional, institutional or global level to enhance the realisation of HR&GE.
Resources invested: Areas in which the agency has invested significant resources may be subject to an evaluation as there may be greater accountability requirements.	Interventions in sectors addressed by the UN that require significant resources are likely to have an impact on HR&GE. Part of planning is also allocating budget for evaluations at that time including identifying any additional costs or timing implications, capacity for implementing HR&GE methodologies, dissemination strategies, etc. The integration of HR&GE in evaluations may at time entail additional costs which should then be adequately anticipated.
Risk management: Evaluation plans can help with risk identification and management and provide an independent perspective on existing problems.	Evaluations can help identify real and potential conflict areas and undesired effects and this should be considered when preparing an institutional plan. Evaluations provide an opportunity to review the interventions' approach regarding HR&GE; identify possible solutions; and mitigate measures where necessary.
Need for lessons learned: The evaluation plan should consider what kinds of lessons are needed to help guide interventions in a given country, region or thematic area.	There is a great need for lessons on HR&GE, given that these dimensions represent a system-wide mandate for the UN. There is also a need for further learning on how to integrate them, particularly in interventions where HR&GE are not the main focus.

3.3.3 Quality Assurance Mechanisms

67 Ensuring policy statements are followed through in practice is a critical challenge to implementing an evaluation policy. Agencies need to commit to guaranteeing that evaluations are conducted on a regular basis, as well as reviewing the quality of the evaluations undertaken. Tools used by UN entities to do so include reviews of the evaluation policy and evaluation function; and reviews of evaluation reports, meta-evaluations, or peer-reviews of evaluation practice (see examples and Box 13 below). All these tools can be used to identify whether existing evaluations adequately address HR&GE, for example, through the systematic use of disaggregated data; analysing changes in gender

relations and enjoyment of rights; by including stakeholders in the overall evaluation process; and, most importantly, assessing contributions to the realisation of HR&GE.

- The UN-SWAP EPI Technical Note is an accountability framework for gender mainstreaming in evaluations. 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.

- The TOR template in United Nations Population Fund's (UNFPA) Evaluation Quality Assurance and Assessment: Tools and Guidance addresses the identification of any contextual issues relating to HR&GE that should be examined. The report template provides an opportunity to explain how the methodology is gender and human rights responsive.

- The United Nations Office on Drugs and Crime (UNODC) uses an external quality assessment process for its evaluations which includes the criteria on Integration of Gender Equality and Empowerment of Women (GEEW) for UN-SWAP EPIs. The templates and the full reports are published on the UNODC website.

- The United Nations Children's Fund (UNICEF) relies on two main tools to ensure the integration of HR&GE in all of its evaluations. First, the abovementioned Guidance on Gender Integration in Evaluation. Second, the Global Evaluation Reports Oversight System (GEROS), a tool used by UNICEF independent reviewers to rate the quality of the Agency's evaluation reports and evaluate the extent to which both the evaluation design and report's writing style consider incorporation of HR&GE (e.g., language is empowering and inclusive, avoiding gender, heterosexual, age, cultural and religious bias, among others; terminology of rights holders and duty bearers is used; data is disaggregated by marginalized group; differential results are assessed across different groups).

- The Office of the United Nations High Commissioner of Human Rights' (OHCHR) guidance for the preparation of evaluation reports highlights how to integrate human rights, gender equality and disability throughout the evaluation reports. Its model TOR also include gender, disability and human rights integration as key criteria. These are also considered during the assessment and constitution of the evaluation team.

- The International Labor Organization's (ILO) guidance on integration of HR&GE addresses the objectives of institutional gender mainstreaming and gender-responsive analysis efforts, as well as the responsibilities for ILO evaluations in alignment with the UN-SWAP. Their checklists for quality assurance of TORs and reports also have guiding points for specific reference to gender equality and disability inclusion issues. ILO has a rolling quality appraisal of its evaluation reports (both corporate/governance level, as well as decentralized project level). The external quality appraisal includes the UN-SWAP indicators against which every report is checked. The results of the quality appraisals are then communicated back to the evaluation focal point, regional evaluation officer, and the evaluation managers in an

effort to pinpoint the areas of gender mainstreaming needing further work. ILO has been able to increase gender scores in the Africa and Americas region by analysing the weaknesses from these rolling quality appraisals.

Box 13. Assessing HR&GE Integration in Evaluation Reports from UN Secretariat Entities

OIOS IED has conducted a biennial assessment of evaluation in Secretariat entities since 1994. The assessment reviews the structure, capacity, and practice of evaluation functions; identifies key trends in performance as assessed in evaluations; and provides recommendations to further strengthen evaluation in the UN Secretariat. One of the assessed areas is the integration of HR&GE considerations in evaluation reports produced by Secretariat entities. The quality assessment tool OIOS-IED uses for these considerations follows the UN-SWAP EPI 3-point scale.

The 2021-2022 biennial assessment showed that, of all areas assessed, HR&GE integration saw the largest quality improvement compared to the preceding biennium (2020-2021). On average, the Secretariat evaluation reports analysed were found to be "approaching requirements": 39% of reports met requirements, 34% approached requirements and 28% missed requirements. While there is still room for improvement, the reports that received a higher quality rating included sex-disaggregated data and human-rights based language throughout the report. These reports also mainstreamed gender and human rights into data collection tools. Finally, some reports included specific evaluation criteria on gender and human rights.

68 In summary, when an agency's evaluation policy, plan, guidance and quality assurance mechanisms incorporate HR&GE principles, it sets up a clear framework for conducting evaluations and accountability for integrating HR&GE. This sets the stage for better ensuring that evaluation in the organization (and the UN system) is carried out in accordance with established HR&GE values, with LNOB and intersectionality lenses, and ultimately results in high-quality and credible evaluation findings, recommendations and lessons learned.

Chapter 4. Integrating HR&GE Aspects in Evaluation Scoping

69 When conducting an evaluation, the scoping and design phases are of particular importance to the substantial integration of HR&GE aspects, throughout the evaluation process.

4.1. Considerations for HR&GE-responsive evaluation approaches

70 Ensuring a human rights-based and gender-responsive approach to evaluation requires two elements. Firstly, a HR&GE responsive approach should be applied to what the evaluation examines. Secondly, a HR&GE responsive approach should inform how the evaluation is undertaken.[32]

71 Evaluations should first assess the quality of the HR&GE analysis undertaken ahead of the intervention – does it provide an adequate basis for subsequent mainstreaming of human rights and gender equality in programming?

72 With regard to results, the evaluation needs to determine the extent to which and how interventions have challenged and changed inequalities and structural causes of the denial of rights and persistence of gender inequality; and whether these changes are likely to lead to the desired results of improved enjoyment of HR&GE.

73 In terms of implementation, the evaluation process needs to be inclusive and ensure the participation of different stakeholders, particularly women and groups in vulnerable situations who are most likely to have their rights violated. It also needs to demonstrate cultural sensitivity for those populations participating. The evaluation design and conduct must be transparent and accountable, with the evaluation results being made available to all affected parties.[33] Efforts should be made to ensure that the evaluation findings are written, visualized, or otherwise presented in a manner that ensures that people who were involved in or touched by the intervention or evaluation, have access to that knowledge.[34]

4.1.1. Fostering inclusive participation

74 Evaluations addressing HR&GE foster inclusion and participation, and seek to address power relations. Fostering inclusion and participation requires including women and groups in vulnerable situations in the evaluation process to gather significant information on how the intervention is seen from the perspective of those it is trying to support. Additionally, attention should be paid to which groups benefit and which contribute to the intervention under review, to ensure balanced and complete evaluation evidence is generated.

75 In HR&GE responsive evaluations, the full range of stakeholder groups (including duty bearers and rights holders) should be carefully analysed with an intersectionality lens, to avoid biases such as gender, distance (including the less accessible), class, power (supporting less powerful interviewees to be able to speak freely by addressing privacy and confidentiality concerns), etc. A method to begin

[32] UN Women (2022), *UN Women Evaluation Handbook: How to manage gender-response evaluation*.
[33] Lund Madsen, H. (2007), 'Exploring a Human Rights-Based Approach to the Evaluation of Democracy Support' in Peter Burnell (ed) *Evaluating Democracy Support Methods and Experiences*, International Institute for Democracy and Electoral Assistance and Swedish International Development Cooperation Agency, Stockholm, pp. 118-152.
[34] Podems, D., (2018), 'Making Feminist Evaluation Practical' in *eVALUation Matters Fourth Quarter*, African Development Bank, p.51.

fostering inclusion at an early stage is to establish user groups to discuss the evaluation purpose, focus and methodology during the design phase.

76 Attention must also be paid to the inclusion of women and groups in vulnerable situations. The appropriate methodology should allow those most likely to have their rights violated to be identified and included in the data-gathering and analysis process. Exploring the barriers to participation these groups may face is a critical step to understanding constraints and challenges that may arise in the process and seeking alternative forms to ensure inclusion. It is important to consider practical issues that may enhance or undermine participation, including time, place, accessibility of the areas, or availability of communications means. For example, it may be necessary to examine how to reach persons living in areas with no electricity, postal services or telephone access, while safeguarding the evaluation team and communities. This is especially important with the increased use of remote online interviews and surveys during data collection; or security issues that could affect the participation of these populations. In contexts characterized by ethnic conflict, engagement with members of the affected populations during an evaluation needs to be planned thoroughly and the greatest possible effort ought to be made to ensure that individuals from all the concerned ethnic groups are adequately identified and engaged (to avoid unnecessarily aggravating ethnic tensions and the risk for the evaluation to be viewed as biased and, therefore, not credible).

4.1.2. Ensuring respect for cultural sensitivities

77 Evaluators should also incorporate a cultural lens in the evaluation process. Culture has implications for all evaluations and cultural sensitivity is an important dimension in undertaking HR&GE responsive evaluation. Cultures may be viewed as contextual environments in the implementation of human rights policies and gender policies. As stated in the International Covenant on Economic, Social and Cultural Rights "the ideal of free human beings enjoying freedom from fear and want can only be achieved if conditions are created whereby everyone may enjoy his economic, social and cultural rights, as well as civil and political rights."[35] A clear understanding of beliefs and values facilitates the process of implementing HRBA. Box 14 highlights good practice guidelines for ensuring cultural competence in evaluation.

Box 14. Cultural Competence in Evaluation

Evaluations cannot be culture-free. Those who engage in evaluation do so from perspectives that reflect their values, ways of viewing the world, and their culture. Culture shapes the ways in which evaluation questions are conceptualised which, in turn, influence what data are collected, how the data will be collected and analysed, and how data are interpreted. Inaccurate or incomplete understandings of culture introduce systematic error that threatens validity. Culturally competent evaluators work to minimise error grounded in cultural biases, stereotypes, and lack of shared worldviews among stakeholders.

Culture has implications for all evaluations and all phases of evaluation — including staffing, development, and implementation of evaluation efforts as well as communicating and using evaluation results. Practices that can be employed to undertake a culturally sensitive evaluation include:

- Acknowledging the complexity of cultural identities: Cultural groupings are not static. People belong to multiple cultural groups. Navigating these groups typically requires reconciling multiple and sometimes clashing norms. Attempts to categorise people often collapse identity into cultural groupings that may not accurately represent the true diversity that exists.

[35] Preamble to the Covenant on Economic, Social and Cultural Rights, third paragraph.

- Recognizing the dynamics of power: Cultural groupings are ascribed differential status and power, with some holding privilege unaware they possess it, and some being relegated to the status of 'other'. Culturally competent evaluators work to avoid reinforcing cultural stereotypes and prejudice in their work and are aware of marginalisation.
- Recognising and eliminating bias in language: Thoughtful and deliberate use of language can reduce bias when conducting culturally competent evaluations.
- Employing culturally appropriate methods: Culturally competent evaluators also are aware of the many ways data can be analysed and interpreted, and the contexts in which findings can be disseminated. They seek to consult and engage with groups who are the focus of the data to determine alternative approaches to analyse and present findings, and to consider multiple audience perspectives in the process of interpretation[36].

4.2 Scope of analysis of HR&GE responsive evaluations

78 Designing an intervention implies anticipating what the situation will look like once the intervention has been implemented successfully, and planning for an evaluation to understand what worked and what didn't in the promotion of HR&GE. If HR&GE responsive, the evaluation will analyse how HR&GE objectives and HRBA & GE mainstreaming principles were included in the intervention design, and how and if HR&GE results have been achieved.

79 HR&GE responsive evaluations assess the extent to which an intervention being evaluated has been guided by organizational and system-wide objectives on gender equality and human rights. Accordingly, evaluations should analyse whether all stakeholders, particularly women and groups in vulnerable situations, have equal rights, responsibilities and opportunities, and whether this has led to results such as greater equality. Moreover, evaluations need to be inclusive of and consider different points of view of the various stakeholder groups involved in the intervention, in particular groups in vulnerable situations.

80 Evaluations should also distinguish between the genuine adoption of GE and HRBA, and the rhetorical use of human rights and gender terminology, or the adoption of approaches (e.g. poverty reduction, social welfare and/or social protection) that overlap with but are different from GE and HRBA.

81 It is imperative that HR&GE responsive evaluations are designed to understand the depth of HR&GE mainstreaming. Further, while successes in mainstreaming HR&GE can be identified through evaluations, it is equally important to learn from failings in HR&GE mainstreaming. For example, if staff perceive HR&GE mainstreaming as a bureaucratic or technical requirement without implications for their work, and if internal incentive structures are weak and lines of accountability unclear, the approach may have no impact.

82 HRBA and gender-responsive approaches give the same importance to process as they do to results i.e. the commitment to achieving those rights, and the processes through which a society moves towards realizing them, are crucial. A human rights and gender analysis will determine the quality of the mechanisms available for participatory processes and the level of participation that has occurred as a result. Non-discrimination, local ownership, capacity development and accountability are essential characteristics of a high-quality participatory process.

[36] Adapted from the American Evaluation Association Statement on Cultural Competence in Evaluation (2011).

83 The challenge for evaluations is to determine whether interventions and development processes are participatory and include all relevant rights holders. This can be accomplished by including evaluation questions and data collection instruments that allow evaluators to assess if the intervention has been participatory and inclusive. The implementation of the evaluation also needs to be an active, free and meaningful participatory process. The evaluation should seek to ensure the participation, representation and inclusion of a wide range of stakeholders, including local and grassroots organizations, women's rights/feminist activists, youth-led and -based organizations, and stakeholders who are underrepresented or excluded from development processes. Their participation, representation and inclusion should be ensured throughout the evaluation process, from its preparation to the dissemination and facilitation of use of its results.[37]

Example: OHCHR Evaluation of the UN Free and Equal Campaign

In the section addressing the integration of gender and human rights, the evaluation specifically considered whether a HR&GE perspective was considered within the planning and implementation of the campaign, and the participation of women, peoples with disabilities, LGBTI and other vulnerable groups. This included assessing whether there was adequate representation of these groups within the campaign messaging.

Overall, the evaluation found that the campaigns should focus more on effectively addressing the intersectional nature of discrimination experienced by many LGBTI people, highlighting the interaction between homophobia and transphobia and other forms of discrimination, including racism, sexism, and discrimination based on disabilities and migration status.

4.2.1 HR&GE analysis

84 Context and situation analyses are the basis of any intervention. Firstly, HR&GE responsive evaluations should determine whether quality human rights and gender analyses were undertaken that determined the claims of rights holders and obligations of duty bearers. Secondly, they should establish whether the results of this analysis were properly integrated in the programme design. If HR&GE responsive, these analyses should be informed by HR&GE perspectives, by focusing on identifying rights holders and duty bearers and on distinguishing factors related to gender, and other relevant human rights issues. This information tells the evaluator/evaluation team where the intervention is starting from and a point of comparison.

[37] UNFPA (2022), *Guidance on integrating the principles of leaving no one behind and reaching the furthest behind in UNFPA evaluations*.

OHCHR methodology for a human rights analysis[1]

1. Overview of the problem: causes, effects, norms and gaps
   - 1.1. Identify and articulate the human rights problem or pattern of abuse
   - 1.2. Identify relevant actors, institutions and policies with respect to the problem being addressed
   - 1.3. Identify and analyse the consequences or impact of the human rights problem, including on specific individuals or groups of individuals
   - 1.4. Identify the legal/normative implications of the problem
2. The human rights risk equation
   - 2.1. Analyse the threats
   - 2.2. Analyse the vulnerabilities of rights holders
   - 2.3. Analyse the commitment of duty bearers to addressing the human rights problem
   - 2.4. Analyse the capacities of rights holders and duty bearers
   - 2.5. Devise a strategy to reduce the risk
3. Actor mapping
   - 3.1. Identity actors and forces at work
   - 3.2. Create an actor map for the specific human rights problem

[1]. OHCHR, Manual on Human Rights Monitoring: Chapter 8, OHCHR, Geneva, 2011, p. 13

85 Regardless of the methodology chosen, the evaluator should take a rigorous and conscious approach to analysis, which looks at the whole range of civil, cultural, economic, political and social human rights. This ensures that all key aspects of a problem are considered.

86 If an intervention is gender mainstreamed and aims to promote GE, it should be based on a gender analysis. Gender analysis describes a systematic approach to examining factors related to gender. It should be applied at all levels, including planning, programming, budgeting, monitoring and evaluation. It should also be included within and directly linked to the HR analysis.

87 A good gender analysis should:

- Identify contextual constraints and opportunities in relation to gender equality, e.g. laws, attitudes.
- Review the capacities of duty bearers to reach out equally to girls, boys, women and men, and to promote gender equality.
- Collect and analyse sex-disaggregated data.
- Understand that women and men are not homogenous groups, and that men and women experience problems differently.
- Include an intersectional approach to the analysis by understanding the ways in which gender, ethnicity, race, age, and disability intersect along social dividing lines.

- Identify gender roles and gender relations and differentials at work and in life, through gender dimensions such as such as: division of labour and different gender roles; participation of women and men in private and public spheres; the control of the use of women's bodies; practical and strategic gender needs; and the different use of time by women and men.
- Examine how power relations at the household level relate to those at the international, state, community and market levels.[38]

Box 15. Example of Use of a Gender Analysis

The mid-term evaluation of the Maternal and Newborn Health Thematic Fund (MHTF) Phase III 2018-2022 is a good example of a best practice gender analysis. Serving as the UNFPA flagship programme on maternal and newborn health, the MHTF recently widened its scope to contribute to the broader sexual and reproductive health and rights agenda impelled by the International Conference on Population and Development's (ICPD) Programme of Action.

The evaluation presented a concise yet solid intersectional analysis of the global context of maternal and newborn health and its links with the MHTF. The analysis actively considered the social and economic determinants underpinning the health of women and girls as a key element of the design of the MHTF.

The evaluation noted that the most vulnerable groups and populations are women and girls exposed to risks (early and/or repeated pregnancies, SGBV) and/or those who are either unaware of, or unable to access, quality services. These tend to be the poorest women and girls in high-density urban areas or conversely in very remote geographies, indigenous, nomadic and marginalized groups, disabled women and girls, and those affected by conflict or humanitarian situations. The evaluation found that the MHTF's approach to access and equity was rooted in this understanding, with investments that aimed to tackle the specific health systems dimensions of equity and empowerment from a number of angles.

The evaluation's discussion on the role of midwives within the integration of services is a further example of its intersectional approach to gender analysis. It was noted that, while midwives play a pivotal role, there was still evidence of gender attitudinal barriers among midwives, with some restricting their promotion of contraception and sexuality education services to adolescent or unmarried girls and women. In line with the above guidance on what to include when reviewing a gender analysis, the evaluation clearly identified the contextual constraints and opportunities in relation to gender equality, e.g., attitudes, as well as an understanding that women are not homogenous groups.

4.3 Progressive realisation of all HR&GE

88 HRBA recognizes that the capacities and resources to fulfil rights are often limited and that some rights may take more time to be realized than others. The idea of 'progressive realization' takes this into account and allows countries to make progress towards realizing certain rights based on their resources. However, the distinctiveness of a HRBA is that "it imposes certain conditions on the behaviour of the State so that it cannot use progressive realisation as an excuse for deferring or relaxing its efforts. First, the State must take immediate action to fulfil any rights that are not seriously dependent on resource availability. Second, it must prioritise its fiscal operations so that resources can be diverted from relatively non-essential uses to those that are essential for the fulfilment of rights that are important for poverty reduction. Third, to the extent that fulfilment of certain rights will have to be deferred, the State must develop, in a participatory manner, a time-bound plan of action for their progressive

[38] Op. cit 32.

realisation. (…) Finally, the State will be called to account if the monitoring process reveals less than full commitment on its part to realise the targets."[39]

89 As such all evaluations need to examine: how far HR&GE are explicitly discussed in planning documents and policies; the extent to which duty bearers have the capacity and commitments to meet their obligations; and whether the realization of rights has been improved through the implementation of the intervention (on a spectrum from not at all to full realization).

4.4 Rights-based and gender-sensitive indicators

90 Rights-based and gender-sensitive indicators are critical to HR&GE responsive evaluation work, as they set the stage for what is to be measured.[40]

91 **Indicators** developed as part of the project, programme etc., describe how intended results are measured and illustrate the changes to which an intervention contributes. These should be a combination of SMART (Specific, Measurable, Achievable, Relevant, Time Bound) and SPICED (Subjective, Participatory, Interpreted and communicable, Cross-checked and compared, Empowering, Diverse and disaggregated). In terms of measuring HR&GE dimensions, they help evaluators assess, for example, whether the intervention has been successful in promoting empowerment at legal, political, economic and social levels. They also help address stakeholder diversity since, through measuring disaggregated indicators, an intervention can obtain information on whether it is affecting different groups of people in the most effective way and if some groups are left behind. By comparing progress on the indicators with baseline information (the situation at the beginning of the project), it is possible to establish quantitative and qualitative changes over a period of time.

92 Ideally, an intervention should have a set of quantitative and qualitative indicators from the beginning of its implementation, with information regularly collected through monitoring processes. Mixed indicators are important because they provide more complete and diverse information, enhance credibility by offering different perspectives with an intersectionality lens, and improve design by making objectives and results more specific and measurable.

93 An **evaluability assessment** helps the evaluation manager identify whether the intervention has an adequate set of indicators (and information on their progress) to support the assessment of HR&GE dimensions, including intersectionality, during the evaluation process. If the existing indicators are not sufficient to allow for an accurate appraisal, specific indicators could be created during the evaluation planning stage (preparing and revising the TOR or inception report depending on the entity and its processes) and assessed during the evaluation process.

94 **Formulating HR&GE indicators** requires attention to general issues, such as whether the indicators are SMART (specific, measurable, accurate, relevant and time-bound). However, it also requires special attention to specific issues, such as being able to measure whether rights and equality are being promoted in a disaggregated manner. Prioritizing which indicators to use depends on factors such as: the type of information needed; the comprehensiveness of the picture provided; costs; and efforts to produce the information required and the problem to be addressed. Whilst a seemingly difficult task, the tips in Box 16 help the process.

[39] Hunt, P., Siddiq Osmani and Manfred Nowak (2004), *Human Rights and Poverty Reduction: Conceptual Framework*, OHCHR.
[40] Op. cit. 32.

Box 16. Tips for Formulating HR&GE Indicators

1. **Think SMART**: Indicators need to be SMART.
2. **Think SPICED**: Also consider indicators that are Subjective, Participatory, Interpreted and communicable, Cross-checked and compared, Empowering, Diverse and disaggregated.
3. **Clarify concepts**: Do not confuse gender (a cultural construct of what it means to be male and female) and sex (a biological difference between men and women), gender issues and women's issues, etc.
4. **Do not treat stakeholders as a uniform group**, especially beneficiaries: Beneficiaries of an intervention have the right to be treated fairly, depending on their specific situation, and addressed accordingly.
5. **Use a mix of qualitative and quantitative indicators** to measure the results of an intervention: A balanced mix is essential to: generate more and diverse information; add credibility to the data; and probe more profound aspects of the changes demonstrated.
6. **Consult stakeholders when formulating and choosing indicators**: They may have additional ideas and the contextual knowledge to identify what information will be most relevant to understand the changes to which the intervention contributes.

95 It is important to remember that the primary objective of a human rights assessment is to **assess how duty bearers are meeting their obligations** irrespective of whether they are promoting a right or protecting and fulfilling it. Finally, it is necessary to recognize and reflect cross-cutting human rights norms and principles (such as non-discrimination and equality, indivisibility, accountability, participation and empowerment) in the choice of indicators, as well as in the process of undertaking an assessment.[41]

96 Boxes 17 and 18 provide examples of qualitative and quantitative empowerment indicators to address HR&GE dimensions. These indicators are only effective if they are context-specific, designed with the evaluation questions in mind, and closely related to the issues addressed by the intervention they are intended to serve so these should not be copied as a blueprint.

Box 17. Examples of Quantitative Empowerment Indicators Related to HR&GE

1. Number of cases related to HR&GE heard in local/national/subnational courts, and their results.
2. Proportion of gender representation in different stakeholder groups in decision-making positions in local/national/subnational government.
3. Employment/unemployment rates of women and men in different stakeholder groups.

Box 18. Examples of Qualitative Empowerment Indicators Related to HR&GE

1. Extent to which legal services are available to women and men of different stakeholder groups.
2. Changes in access to information about claims and decisions related to human rights violations.
3. Extent to which persons of different genders in different stakeholder groups have greater economic autonomy, both in private and public.

[41] UN (2008), Report on Indicators for Promoting and Monitoring the Implementation of Human Rights and OHCHR (2012), Human Rights Indicators – A Guide to Measurement and Implementation.

97 The ILO recently developed guidance on the effective integration of gender equality in monitoring and evaluation systems, which includes the formulation of targeted indicators. It has been using a variety of sources for relevant indicators that are built into the TORs for specific questions on gender mainstreaming. The guidance is complimented by the UNEG and UN Women guidance.

98 No one organization can cover the entirety of the types of work and gender and HR indicators. Therefore, looking across several sources to find the most appropriate indicators has been a useful approach.

Chapter 5. Planning a HR&GE Responsive Evaluation

5.1 Preparing a HR&GE responsive evaluation

99 This section describes how to address HR&GE in evaluation planning and preparation to support the role of the evaluation manager. It focuses on integrating HR&GE dimensions into five key aspects of evaluation planning and preparation, namely:

- Evaluability assessment;
- Stakeholder analysis;
- Evaluation management structure;
- Evaluation design and terms of reference; and
- Evaluation team selection.

5.1.1 Evaluability assessment

100 An evaluability assessment[42] is a diagnosis that helps the evaluation manager review the extent to which an intervention is ready to be evaluated, and determine if it is "justified, feasible and likely to provide useful information."[43] Its purpose is not only to conclude if the evaluation can be undertaken or not, but also to prepare the intervention to generate all the necessary conditions to be evaluated and help determine its scope and basis for developing the terms of reference.

101 Before beginning an evaluation, it is important to assess whether HR&GE dimensions have been adequately considered during the design, implementation and monitoring of the intervention to be evaluated. Despite the UN mandates, the reality is that interventions do not always mainstream HR&GE (or mainstream one without considering the other). As such, the consideration of HR&GE should be integrated into the three main areas of any evaluability assessment, namely:

- Quality of design;
- Data availability; and
- Context.

102 When considering the evaluability of an intervention from a HR&GE perspective, the evaluation manager and/or evaluation team will encounter a range of different situations each requiring a different response. Box 19 outlines the three levels of evaluability – low, medium and high – of HR&GE to be considered, the characteristics of interventions and possible approaches to challenges. In all cases, the evaluation manager and/or evaluation team will have options on how to address evaluability challenges during the evaluation process.

[42] OECD (2010), *Quality Standards for Development Evaluation*, DAC Guidelines and Reference Series, OECD Publishing, Paris.

[43] Kaufman-Levy, D., and Mary Poulin (2003), 'Evaluability Assessment: Examining the Readiness of a Programme for Evaluation', Office of Juvenile Justice and Delinquency Prevention, May 2003, p. 5.

103 An evaluability assessment can be conducted as part of an overall evaluation process or as a separate exercise prior to the conduct of an evaluation. Undertaking it as a separate exercise allows areas where evaluability is weak to be identified and can provide recommendations on how it can be improved. When the evaluability of HR&GE dimensions of an intervention are unknown, or known to be weak, conducting a separate evaluability assessment exercise can enhance both the evaluability and scope the evaluation in terms of these dimensions.

Box 19. Determining the Evaluability of an Intervention's HR&GE Dimensions

Evaluability	Characteristics of Intervention	Approaches to Address Challenges
High	• HR&GE clearly reflected in the intervention design • Intervention included inclusive stakeholder analysis and specific HR and gender analyses • Reports contain information on how HR&GE issues were addressed • All stakeholders participated in an active, meaningful, and free manner • Monitoring systems have captured HR&GE information • Data has been collected in a disaggregated manner reflecting all stakeholders • Intervention context is conducive to the advancement of HR&GE.	• Address any possible weakness and recommend steps to improve the intervention, if necessary. Consult stakeholders on their improvement ideas. • If necessary, include methods and tools in the evaluation that can capture new data or strengthen the existing ones on HR&GE. • Use the context of the intervention in favour of the evaluation: when conducive build on this support to ensure a highly participatory evaluation.
Medium	• The intervention theory has considered HR&GE issues to a certain extent • HR&GE have been reflected in the intervention design to some extent • The intervention design included a stakeholder analysis with certain groups excluded • The intervention included limited HR and gender analyses, or from only one of them • Reports include limited data on how HR&GE have been addressed • Stakeholders have participated to a certain extent	• Understand the reasons for the limitations: are they political, practical, budgetary, time-related, due to limited know-how, etc.? • Include, in the evaluation design, tools and methods that make use of the existing data, but that may also help generate new information on HR&GE. Include tools and methods that strengthen stakeholder participation. • Pay attention to the stakeholder analysis in the evaluation process, and who should be involved. • Include in the evaluation process an exercise to strengthen the existing HR&GE analyses. • Seek partners and documents that may have useful information on HR&GE that has not been captured

	• Monitoring systems have captured some HR&GE data • Some limited disaggregated data have been collected • Intervention context is somewhat conducive to advancement of HR&GE	by the intervention. • Identify key advocates and supporters of the cause and involve them in the evaluation design stage. • Include data on HR&GE in the evaluation report, address limitations and provide recommendations for improvement. • Ensure that accommodations are put in place to ensure equal participation of all affected parties and persons in situations of vulnerability.
Low	• The intervention theory failed to consider HR&GE dimensions in its design, implementation and monitoring • Stakeholder, HR&GE analyses were not conducted adequately or at all • Data on HR&GE and/or disaggregated data are not available • Stakeholder participation has been minimal or left out important groups • Reports for the intervention do not address HR&GE issues • Intervention context is not conducive to the advancement of HR&GE	• Understand the reasons for failure: are they political, practical, budgetary, time-related, due to limited know-how, etc. • Include, in the evaluation design, tools and methods that may help generate information on HR&GE, even if limited. Include tools and methods to enhance stakeholder participation. • Pay attention to the stakeholder analysis in the evaluation process, and who should be involved. • Include preparation of HR&GE analyses in the evaluation process. • During the evaluation process, seek partners and documents that may have useful information on HR&GE that has not been captured by the intervention. • In spite of the context, try to identify advocates and supporters of HR&GE and involve them from the evaluation design stage. This should include members of the affected communities. • During the data analysis process, pay special attention to the question whether the intervention had a negative effect on particular stakeholders. Consider and consult stakeholders on how this situation could be improved. • Highlight the challenges of addressing HR&GE in the evaluation report, including evaluability challenges.

104 ILO's guidance for conducting evaluability assessments also addresses the evaluability of HR&GE dimensions. It includes examples of key questions and quality assessment criteria that evaluators can use as part of their evaluability assessment to consider the quality of indicators, data collection methods, and the overall mechanisms established for monitoring and evaluation in an intervention. These questions include:

- Do the indicators support performance reporting on gender equality, disability inclusion, poverty, SDGs, ILS, support for tripartism and social dialogue?
- Do data collection methods support gender disaggregated monitoring and reporting?

105 During an evaluability assessment exercise, a recommended good practice is to include specific questions from a HR&GE perspective in the TOR (see suggestions in Box 20).

Box 20. Evaluability Assessment TOR Questions	
Quality of the Intervention Design	• Was a HR and gender analysis conducted to clearly define the underlying structural issues in realizing HR&GE? • Does the design respond to this analysis? • Were HR standards and the individuals/groups in situations of vulnerability who are marginalised and/or discriminated against as the focus of the intervention clearly identified? • Have gender roles and relations been examined and areas of discrimination against women been identified? • Is there a targeted strategy to contribute to changes in rights holders and duty bearers? • Are the strategy objectives clear and realistic? • Do proposed programme activities lead to goals and objectives regarding HR&GE?
Availability of Information	• Can the programme provide data for a HR&GE responsive evaluation? • Is there baseline data on the situation of rights holders, and in particular women and other individuals/groups in situations of vulnerability at the beginning of the intervention? • Are human rights and gender-sensitive indicators built into the intervention? • Is there a consistent monitoring system in place to track progress in HR&GE mainstreaming? • Is disaggregated data available? • What kind of information on HR&GE is accessible and how can it be collected? • What are the likely costs of HR&GE data collection and analysis?
Context	• Is the context in which the evaluation will take place conducive to HR&GE responsive evaluations? • Do stakeholders' views on HR&GE generally align with international norms?

	• If there are issues that may provoke resistance or political opposition, what strategies will be put in place to include HR&GE analyses into the evaluation? • Is national/regional expertise available to evaluate the integration of these core areas?

5.1.2 Stakeholder analysis

106 Evaluation stakeholders are individuals who have an interest in the intervention to be evaluated and/or in the evaluation findings. To the extent possible, stakeholders should be involved from the early stages of the evaluation process. A stakeholder analysis is the most effective tool to help identify the different groups in an intervention, and why, how, and when they should be included in the evaluation process. It defines a subset of targeted users and helps identify the stakes each one has in the evaluation. It also helps prioritize and balance the information received from stakeholders.

107 It is a fundamental principle of any evaluation process to involve stakeholders directly affected or concerned by an intervention in the design, planning and implementation of its evaluation. Stakeholder participation, including individuals and groups in vulnerable situations, is a mandated obligation of the UN. It is the right of every participant to have a say on processes and interventions that affects their lives. Evaluation is no exception. The five groups of stakeholders to be considered when integrating HR&GE in an evaluation stakeholder analysis are:[44]

- Duty bearers who have decision-making authority over the intervention such as governing bodies;
- Duty bearers who have direct responsibility for the intervention, such as programme managers;
- Secondary duty bearers, such as the private sector or parents;
- Rights holders (individually or through the CSOs acting on their behalf) who are the intended and unintended beneficiaries of the intervention; and
- Rights holders (individually or through the CSOs acting on their behalf) who should be represented in the intervention but are not, or who are negatively affected by the intervention.

108 In addition to state and government entities, CSOs and social movements, including women´s rights and women-led organisations, disability rights networks, and others, are important partners as they "have a deep knowledge of the intervention context and they represent civil society interests and needs, thus enhancing accountability throughout the evaluation."[45]

109 Evaluation stakeholder mapping includes persons identified from LNOB groups/or persons affected by specific factors that drive discrimination and inequality in the context of the intervention. Inclusion of such stakeholders can provide valuable insight and first-hand information on their situation and experience, enhancing the overall relevance and credibility of the report.[46]

[44] Adapted from Patton, 2008, p. 61, and from UN Women (2010), '*A Manager's Guide to Gender Equality and Human Rights Responsive Evaluation, Identifying Stakeholders and Reference Groups*'.
[45] Op. cit. 32.
[46] Op. cit. 38.

110 To make a stakeholder analysis HR&GE responsive, it is important to assess who is being left behind and why. The framework in Box 21 shows five central driving forces behind exclusionary processes. It will be important to examine evidence from all five areas in the framework by gathering information on the absolute deprivation(s) and relative disadvantage(s) faced by different groups, populations and segments of society across different stages in people´s life cycle. The people left furthest behind will be groups or individuals who: 1) are located at the centre of these five circles, as they are most affected by multiple, often compounding forms of deprivation, disadvantage and discrimination; and/or, 2) suffer the most extreme deprivation, disadvantage or discrimination in one or more areas. In addition to the above, the assessment should also consider the impact of cultural norms and beliefs, or stigma associated with the characteristics that are associated with vulnerable groups.

Box 21. Assessing Who is Left Behind

Source: United Nations Sustainable Development Group (2022), *Operationalizing Leaving No One Behind*.

111 When conducting a stakeholder analysis, identifying the evaluation's likely users among the various stakeholders first will help evaluation managers and evaluators to decide the extent to which different groups will be involved in the process. The stakeholders should then be disaggregated into the five main types above, so managers are sure they include as many key stakeholder groups as possible. Not treating people as a uniform group (e.g. beneficiaries) and understanding and acknowledging that different groups exist and are affected by an intervention in different ways, is a critical to ensuring inclusiveness.

112 The degree and level of stakeholder participation in an evaluation process varies and the different challenges posed – institutional, budgetary and time – need to be considered. The evaluation manager will need to weigh the level of stakeholder participation against the benefits and constraints through the application of the principles to foster inclusive participation, outlined in Chapter 4.1. Participatory methods can help to include a diversity of stakeholders, especially those from LNOB

groups. The inclusion of their perspectives and voices can help to ensure a more complete, fair and unbiased assessment.[47]

113 A stakeholder analysis also helps address possible bias in evaluations. Evaluations subject to budget and time constraints often interview the most accessible (geographically, linguistically, etc.) stakeholders or those who constitute the intervention's direct beneficiaries or are affiliated with implementing agencies. Often, information is not collected from groups who have been excluded or whose situation may have deteriorated due to the intervention. These unintended outcomes need to be examined, and either accounted for or acknowledged, otherwise there is a real risk of not having a full assessment of the interventions' relevance, effectiveness, sustainability or impact.

114 Consulting with persons with disabilities and organisations of persons with disabilities (OPDs)[48] is paramount. The Guidance on the Integration of Disability Inclusion in Evaluations on the UNDIS Indicator provides key considerations on different aspects of stakeholder mapping and data collection. It recommends resources for further guidance and refer to seven principles of Universal Design (see Box 22) "to consider the breadth of human diversity across the lifespan to create design solutions that work for all users."[49] These principles can be used throughout the evaluation process.

115 Many persons with disabilities will not be identifiable and may elect to not disclose their disability, so it is important to ensure consultations and events are inclusive as possible. Evaluators should follow both the social model and the HRBA to disability which recognizes that disability is a social construct, and impairments must not be taken as a legitimate ground for the denial or restriction of human rights.[50] Diversity is to be valued and embraced.

Box 22. The Seven Principles of Universal Design

1. Equitable Use: The design is useful and marketable to persons with diverse abilities.
2. Flexibility in Use: The design accommodates a wide range of individual preferences and abilities.
3. Simple and Intuitive: Use of the design is easy to understand, regardless of the user's experience, knowledge, language skills, or current concentration level. Eliminate unnecessary complexity.
4. Perceptible Information: The design communicates necessary information effectively to the user, regardless of ambient conditions or the user's sensory abilities.
5. Tolerance for Error: The design minimizes hazards and the adverse consequences of accidental or unintended actions.
6. Low Physical Effort: The design can be used efficiently and comfortably, and with a minimum of fatigue.
7. Size and Space for Approach and Use: Appropriate size and space is provided for approach, reach, manipulation, and use regardless of user's body size, posture, or mobility.

[47] Ibid.
[48] UN (2021), *United Nations Disability Inclusion Strategy Guidelines: Consulting Persons with Disabilities*.
[49] UNEG (2022), Guidance on Integrating Disability Inclusion in Evaluations and Reporting on the UNDIS Entity Accountability Framework Evaluation Indicator, p.14.
[50] Committee on the Rights of Persons with Disabilities, General Comment No. 6, 2018, para. 9.

5.1.3 Evaluation management structure and roles

116 To guarantee the principles of participation, inclusiveness, transparency and accountability, a clear management structure should be defined for the evaluation, and roles and responsibilities established (or other structures if the overall roles are included). The constitution of the management structure should be informed by the HR&GE responsive stakeholder analysis. The management structure should provide adequate HR&GE experience/expertise to ensure that sound decisions are made to the design, conduct and dissemination of the evaluation. Evaluation management structures commonly include one or more of the following individuals/groups.

- **Evaluation manager:** as the person responsible for managing the day-to-day aspects of the evaluation, they play a key role: in ensuring that HR&GE principles are integrated; for making sure it is implemented according to the agreed plan; and for the quality assurance of the process and deliverables. The evaluation manager should have knowledge and experience in integrating HR&GE in evaluation. If not, it is essential that this expertise be strongly represented elsewhere in the evaluation management structure or that the evaluation manager works closely with a HR&GE technical adviser.
- **Reference group/advisory group:** The use of a reference group or advisory group is a key step in guaranteeing the transparency, accountability and credibility of an evaluation process and plays a key role in validating the findings. Reference groups should be inclusive and provide a key forum for participation in the evaluation for the different stakeholder groups identified and prioritised in the stakeholder analysis. Reference should be made to the seven principles of universal design when setting up the refence groups, to ensure inclusivity. The group's composition should be inclusive, and gender balanced. It is essential that it also involve persons representing the relevant groups marginalized and/or discriminated against. Advisory groups can also be constituted to provide methodological or thematic advice, including on HR&GE issues. The presence of human rights and gender experts addresses the limited HR&GE experience of the evaluation manager and/or evaluation team. Advisory group members can include academics, UN gender and/or HR advisers, representatives of HR and/or women's organisations, members of affected communities, etc.

5.1.4 Estimating resource needs and timeframes

117 A key element of planning an evaluation is thinking about the cost, time and human resources that need to be invested. All three components should be seen as interlinked.

118 General budgets for evaluation are usually allocated in institutional evaluation plans or the planning and budgeting documents of an intervention. However, it is during the preparation stage that the details of how the general evaluation budget will be applied are decided, and if it will be adequate to address the evaluability challenges identified or to allow for participation and inclusion of stakeholders based on the stakeholder analysis. To conduct an HR&GE responsive evaluation, managers need to be aware that **measuring HR&GE results can involve different dimensions to traditional evaluation practice**. **It can require re-examining what approaches and methods will be used, which then may require adjustments to the allocation of time and resources (human and financial).** While additional time and resources may be needed to conduct a HR&GE responsive evaluation (i.e. accessibility for persons with disability, translation for indigenous people etc), the improvement in quality and credibility of the evaluation is beneficial.

119 Box 23 provides some very general tips to help with this estimation, given different levels of expertise, resources and time. Resource availability (column two) refers to resources specifically devoted to HR&GE issues, as part of the overall resources devoted to the evaluation.

Box 23. Indicative Resource Levels for Integrating HR&GE Dimensions into Evaluations

Level of resources and RBM link	Resource availability for assessing HR&GE	Examples of HR&GE issues to be covered
Low (focus on output level)	5-10 person days One evaluation team member with expertise/responsibility for HR&GE	*Did international, national and agency HR&GE standards, principles and recommendations guide the intervention?* • Support to capacity of duty bearers and rights holders • Focus on women and individuals/groups who are marginalized and/or discriminated against • Use of sex-disaggregated data • Extent of gender and human rights mainstreaming • Specific products related to HR&GE
Medium (focus on outputs and relations to outcomes)	10-20 person days One evaluation team member with expertise in HR&GE	*Did international, national and agency HR&GE standards, principles and recommendations guide the intervention?* • Sustainable changes in capacity of duty bearers and rights holders • Mainly qualitative changes in the human rights situation of women and men most likely to have their rights violated • Mainly qualitative changes in gender relations and women's empowerment
High (focus on the results chain and particularly outcomes and impact)	30+ person days One to two evaluation team members with HR&GE expertise	*Did international, national and agency HR&GE standards, principles and recommendations guide the intervention?* • Changes in duty bearers meeting their obligations and rights holders making claims • Quantitative and qualitative changes in human rights situation of women and men most likely to have their rights violated • Quantitative and qualitative changes in gender relations and women's empowerment • Structural changes in power relations • Likely sustainability of intervention in HR&GE areas of results

120 Along with budget, the time required to adequately carry out a HR&GE responsive evaluation needs to be considered. The evaluation timeframe depends on the questions the assessment needs to answer; on how deep the analyses are requested to be; on financial and human resources available; as well as contextual and other external factors. Selection of evaluation methodology will be discussed below. Participatory/inclusive processes may not require more financial resources, but often require more time.

5.1.5 Evaluation terms of reference/inception report

121 The terms of reference (TOR) and the subsequent inception report are two key evaluation design documents to clarify the context of the intervention to be evaluated, the evaluation's purpose objectives, its scope and overall approach and methodology, the management structure, and its intended use. Drafting and negotiating the TOR is an opportunity for the UN entity to clarify with all stakeholders the main approach and focus of the evaluation.

122 The UNEG Quality Checklist for Evaluation Terms of Reference and Inception Reports has nine criteria to be considered when developing TOR/inception reports for evaluations, including one specifically on HR&GE. This subsection will provide tools and advice on how to integrate HR&GE in each of the nine criteria.[51] Box 24 presents the provisions on gender and human rights as detailed in the checklist.

123 Deciding on an evaluation approach is an important step in designing an evaluation, as it sets the framework from which the methodology and tools will stem. This is the moment to make sure that the approach chosen allows for HR&GE dimensions to be systematically included, understood and taken into account. Before beginning the process of developing an evaluation's TOR, it is important to underline that the way HR&GE dimensions are included may vary according to the two types of interventions addressed in this Guidance: those specifically designed to promote HR&GE, and those interventions where HR&GE are not the primary focus but are mainstreamed.

Also see:

- ILO's Evaluation Office checklist for drafting evaluation TOR to better include gender equality and disability inclusion issues. As well as including a specific checkbox for reference to gender equality and disability inclusion issues, the annex of this document also includes sample questions for examining a project's responsiveness to issues relating to gender equality and disability inclusion.

International Labour Organization Evaluation Office, Checklist 4.6: Writing the Evaluation Terms of Reference (TOR) (2021). https://www.ilo.org/wcmsp5/groups/public/---ed_mas/---eval/documents/publication/wcms_746814.pdf

- UN Women evaluation handbook, which includes a chapter on the development of TOR.2 Although focusing primarily on developing gender-responsive TOR, the principles contained within the guidance can easily be adapted to a broader HR&GE approach.

UN Women Independent Evaluation Office, How to Manage Gender Responsive Evaluation: Evaluation Handbook (2015).

[51] UNEG (2010), *UNEG Quality Checklist for Evaluation Terms of Reference and Inception Reports*.

Box 24. Checklist for TOR Provisions on Gender and Human Rights

Features to guide whether and to what extent HR&GE dimensions have been incorporated into the evaluation design. The TOR:

- Indicates both duty bearers and rights holders (particularly women and other groups in situations of vulnerability) as primary users of the evaluation and how they will be involved in the evaluation process;
- Spells out the relevant instruments or policies on HR&GE that will guide the evaluation process;
- Includes an assessment of relevant HR&GE aspects through the selection of the evaluation criteria and questions;
- Specifies an evaluation approach and data collection and analysis methods that are human rights-based and gender sensitive and for evaluation data to be disaggregated by sex, ethnicity, age, disability, etc.; and
- Defines the level of expertise needed among the evaluation team on HR&GE and their responsibilities in this regard and calls for a gender balanced and culturally diverse team that makes use of national/regional evaluation expertise.

124 Addressing persons with disabilities in an evaluation TORs is fundamentally about LNOB and reaching those furthest behind first. Evaluation TORs, especially for programmes and entities that do not specifically address persons with disabilities, should always take an intersectional approach to assessing disability inclusion.

125 The UNEG *Guidance on Integrating Disability Inclusion in Evaluations and Reporting on the UNDIS Entity Accountability Framework Evaluation Indicator* outlines key considerations to ensure that evaluation TORs take an intersectional approach to assessing disability inclusion.

- Background information should include a brief description of how the policy, strategy, project/initiative took cross-cutting issues into account in its design and implementation, including disability inclusion.
- An assessment of disability inclusion in the evaluation should be included in the purpose and objectives.
- Under the scope, specify that the evaluation will integrate cross-cutting issues, including disability inclusion, throughout the methodology and all deliverables, including the final report.
- Include disability inclusion as relevant under the existing Organisation for Economic Cooperation and Development's Development Assistance Committee (OECD-DAC) Criteria 10, so that it is looked alongside critical cross-cutting issues to meet the central imperative of leaving no one behind.
- Disability inclusion should be included in the evaluation questions, either as a stand-alone question or incorporated into broader evaluation questions.
- The methodology should specify that the data collection, analysis and presentation be responsive to diversity and non-discrimination, including disability inclusion issues. The evaluation therefore should be designed so that it factors in for reasonable

accommodations: e.g., longer time for focus group discussions/ key informant interviews, additional support to sign participation, accessibility considerations.

- The methodology should also include sufficient flexibility to adapt or completely change if it is not appropriate for people with disabilities or a subset of those people. For example, cultural norms and practices and stigma might preclude people with disabilities from coming out of their homes, or participants may not feel safe or comfortable with a stranger.

126 In addition, the Guidance provides examples of current good practices and resources to address persons with disability in evaluation TORs. This includes the UNFPA Guidance on Disability Inclusive Evaluation, which includes a TOR template and a quick and easy reference for mainstreaming disability inclusion in evaluations.[52]

5.2 Evaluation design

127 HR&GE dimensions should explicitly guide the whole evaluation design, from the definition of the evaluation's purpose and scope to the determination of appropriate inquiry methods and techniques. An adequate design serves to:

- Better ensure that the evaluation process is transparent and accountable;
- Increase the participation of stakeholders in a way that fits their needs and specificities (in particular, taking into account cultural dimensions);
- Better ensure that the evaluation does not reinforce discrimination (in particular against women);
- Ensure that relevant HR&GE questions are addressed; and
- Determine the human and financial resources required to achieve the evaluation's objectives.

128 Some relevant evaluation designs include:

- **Culturally Competent Evaluation**: Leading with self-reflection and cultural competence.
- **Culturally Responsive Evaluation:** Centring culture in evaluations by including community members and evaluators with direct lived experience.
- **Culturally Responsive and Equitable Evaluation:** Aiming for equity through culturally responsive approaches.
- **Culturally Responsive Indigenous Evaluation:** Striving for sovereignty and self-determination.

[52] UNFPA (2020), *Guidance on disability inclusion in UNFPA evaluations*.

- **Empowerment Evaluation:** Empowering communities with tools used for self-determination.
- **Equity-focused Evaluations:** Conceptualizing, conducting, and using evaluation in service of equity.
- **Transformative Evaluation:** Fighting for human rights and social justice using mixed methods.[53]

129 The UNODC evaluation of the project *Civil society in Africa contributes to UNCAC and its review mechanism to effectively fight corruption and support the SDGs* is a good example of how HR&GE dimensions should explicitly guide evaluation design. The evaluation team clearly outline how a HR&GE approach was used throughout the research planning, fieldwork, and analysis. The team explains that interviewees were selected to provide a gender balance, taking into account whether their organisation worked on gender, LNOB and human rights issues. In addition, all research tools were developed to allow for the collection of key demographic questions and information regarding gender, LNOB and human rights. Disaggregated findings were also analysed and presented in the report where relevant, and the evaluators used a gender-lens during analysis, to investigate structural, cultural, economic barriers which may have contributed to varied outcomes of the project.

5.2.1 Evaluation purpose, objectives, context and scope

130 The purpose and objectives of the evaluation:

- Describe why the evaluation is being done; and
- Explain what is expected from the intervention's assessment, based on its anticipated use and users (especially stakeholders).

131 This guides the evaluators in their choice of methodology to apply to conduct the evaluation and write the report. Making explicit statements about HR&GE findings in the purpose and objectives of the evaluation will bring these issues to the fore throughout the process.

132 **Evaluation purpose and use** can be explicitly drafted to ensure that the evaluation enables a better understanding of the extent to which HR&GE was integrated in an intervention. This can also be utilised to enable a focus on lessons learned and improvements for a possible second phase or future interventions. The evaluation purpose can also be drafted to include revisions of organisational policies on HRBA or GE and evaluation policies or guidelines, or the advancement of justice and equity for groups in vulnerable situations.

133 **Integrating HR&GE into evaluation objectives** is equally important, as is providing a description of the evaluation context and of the context of the intervention being evaluated. The HR&GE context can be addressed through questions such as: Has the country ratified international human rights conventions, including CEDAW? Are there any national policies on HR&GE? How are they relevant for the context of the intervention? What cultural, structural, and economic barriers (or enablers) to the effective integration of HR & GE exist?

[53] Strategic Learning Partners for Innovation (2022), *Culturally Responsive and Equity-Focused Evaluation Philosophies and Approaches*.

134 Evaluation scope relates to the thematic coverage and key issues to be addressed during the evaluation process. To explicitly include HR&GE dimensions at this stage helps orientate the evaluator or the evaluation team towards a focus on HR&GE as a key element of the evaluation process. Scope is further developed in the evaluation design, especially through the definition of evaluation criteria and key questions. An HR&GE evaluability assessment helps define the possible scope in terms of assessing HR&GE within the evaluation and identify limitations, e.g. data scarcity.

135 The inclusion of HR&GE dimensions calls for the use of specific approaches throughout the evaluation process, which is to be underlined in the TOR. The expression 'approach' designates the perspective(s) that will guide the evaluation efforts and ensure that they are fit to achieve its overall purpose. The evaluation manager should define the "general approach to be taken in the conduct of the evaluation."[54] Many different approaches to evaluation exist (see examples in Box 25) and elements of them are usually articulated in the evaluation design, according to the purposes and intended use of the evaluation and its users. In addition to this, evaluators need to ensure a participation-focused mindset in their work – this can be achieved by ongoing reflection of the team's power in relation to participants, and how they involved or did not involve the communities, and in which stages of evaluation.

Box 25. Evaluation Approaches for Fostering Participation and Inclusiveness

Evaluation Approach	Description	Implications for Integrating HR&GE
Utilization-Focused	Promotes intended use by intended users	Strong focus on the participation of users throughout the evaluation process
Appreciative Inquiry	Highlights good practice in association with evaluation	Promotes a high level of stakeholder participation
Feminist	Addresses gender inequities that lead to social injustice and examines opportunities for reversing gender inequities	Prioritizes the experience and voices of women, including women from groups discriminated and/or marginalized against.
Empowerment	Programme participants conduct their own evaluations. An outside evaluator often serves as a coach or additional facilitator.	Most appropriate where the goals of the intervention include helping participants become more self-sufficient and personally effective; therefore supporting capacity-building of rights holders and duty bearers.
Participatory democratic evaluation	Where the aim of the evaluation is to serve the whole community.	Inclusive whole community approach.
Outcome harvesting	Collects ("harvests") evidence of what has changed ("outcomes") and, then, working backwards, determines whether and how	The process focuses on how change happens in the intervention.

[54] Op. cit. 32.

	an intervention has contributed to these changes.	
Most Significant Change	Sharing stories of lived experiences and selecting those most representative of the type of change being sought	Project stakeholders are involved both in deciding the sorts of change to be recorded and in analysing the data
Alternatives Futures or Histories	ParEvo is a method of exploring alternative futures or histories, using a participatory evolutionary process (hence ParEvo)	Designed to be used by multiple people, to produce a branching structure of storylines about what did, or could, happen.

136 Box 26 provides examples of how some of these participatory approaches have been used in evaluations.

Box 26. Examples of Evaluations Using Participatory Approaches

The Corporate Evaluation of UN Women's contribution to UN system coordination on GEWE (2016) used feminist approaches to evaluate how UN Women, through its coordination mandate, had attempted to 'open' the UN system in ways that enable transformative change in gender power relations within a hierarchical context. These approaches are particularly relevant for examining issues of power, specifically in identifying where and with whom power resides and how it is exercised.

The Independent Global Programme Evaluation of UN Women's Fund for Gender Equality (2009–2017) adopted a participatory democratic evaluation and outcomes harvesting approach to assess, inter alia, the achievements and overall performance of the Fund, and to extract lessons for women's political and economic empowerment through working with civil society. Participatory democratic evaluation approaches engaged grantee communities (e.g. rights holders) in processes of dialogue and action and empowered them to monitor and evaluate their own performance. Instructions and video tutorials on completing self-reviews in writing, through audio, video, or recorded Skype interviews were made available in English, French and Spanish. Evaluators also convened online global discussions with women-led global civil society organizations to explore emerging themes in more depth and further leverage learning from what has and has not worked (particularly around reaching rights holders in vulnerable situations and ways to ensure that these voices are heard in national and inter-governmental spaces). Outcome harvesting and realist meta synthesis were used to analyze grantee submissions.

UN Women's evaluation on Economic Empowerment of Women Home-Based Workers and Excluded Groups in Pakistan (2021) integrated disability parameters, since the project targeted women with disabilities as one type of beneficiaries and implemented the initiative as a pilot project, including one evaluation case study as a line of evidence. The methodological approach was based on six principles, including "Voice and Inclusion" which meant including perspectives of women, transgender persons and women with disabilities who participated in the project work. According to the evaluation report, their views about intended and unintended positive/negative "changes" due to project interventions was considered pivotal for the evaluation analysis and findings; and in drafting conclusions and recommendations.

The independent strategic evaluation of the UNOV/UNODC Strategy for Gender Equality and the Empowerment of Women (2018-2021) focused on the internal institutional work on gender equality and the empowerment of women. The evaluation was conducted in such a way that inclusion and participation were key principles in the approach and process, with the aim that everyone who wanted to contribute to the evaluation could do so as far as possible within the time constraints of the evaluation. To achieve this, the evaluation used the ParEvo tool which is an asynchronous collaborative methodology developed by Dr. Rick Davies that allowed UNOV/UNODC personnel to contribute together, generating scenario-stories that reflected aspects of gender and gendered experience that

might have been missed by the other methods employed by the evaluation team. Thirteen people (15 per cent male and 85 per cent female) from headquarters (2) and field offices (11) were selected from among those who volunteered to collectively elaborate a set of storylines on how they (or others) had experienced GEEW in UNOV/UNODC. The information generated through ParEvo informed many of the findings in the final report.

5.3 Evaluation criteria

137 Evaluation criteria provide a framework for assessment and define the evaluation questions. The UN commonly uses and adapts the evaluation criteria of the OECD-DAC Network on Development Evaluation (EvalNet) to evaluate its interventions. These are relevance, effectiveness, efficiency, impact, coherence and sustainability. Additional criteria, such as the Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP) humanitarian criteria, are also commonly used. In its guidance *Applying a human rights and gender equality lens to the OECD evaluation criteria,*[55] EvalNet defined each of the six criteria, and interpreted each definition through a HR&GE lens. It further explains how key elements of each definition can be used as tools to assess the HR&GE dimensions of an intervention and its effects, even when evaluating interventions that do not have specific human rights objectives. Box 27 provides guidance on integrating HR&GE dimensions into the OECD-DAC evaluation criteria.

138 Evaluation managers and evaluators are responsible for defining and integrating HR&GE dimensions into all evaluation criteria identified for an evaluation. There are also criteria that can be applied to evaluations that are derived directly from the HR&GE principles of equality, participation, social transformation, inclusiveness, empowerment, etc. and their use is strongly encouraged (see Box 28 for more details).

Box 27. Integrating HR&GE into Evaluation Criteria

Criteria	Integrating HR&GE
Relevance	Assessing the relevance of an intervention entails assessing the extent to which the intervention objectives and design respond to rights holders' needs. Results of the intervention should also be relevant to the realisation of HR&GE. Examples of areas to assess include: • If and how the intervention was designed to contribute to the results in critical human rights and gender areas, as identified through human rights and gender analysis; • The extent to which the intervention is informed by substantive and tailored human rights and gender analyses that identify underlying causes of human rights violations and barriers to HR&GE; • The extent to which the intervention is informed by needs and interests of diverse groups of stakeholders through in-depth consultation; and • The extent to which integrating a HR&GE perspective was relevant to achieve the goals and results stated by the intervention.
Impact	Analysis of an intervention's impact involves assessing the extent to which the intervention has generated or is expected to generate significant positive or negative, intended or unintended, higher-level effects. HR&GE results can be

[55] OECD (2023), *Applying a human rights and gender equality lens to the OECD evaluation criteria*, Best Practices in Development Co-operation, OECD Publishing, Paris.

	defined as the actual realisation and enjoyment of HR&GE by rightsholders. It is the real change (positive or negative, intended or unintended, primary or secondary) in HR&GE that is attributable to an intervention. While often difficult to assess for a number of reasons, it is essential to do so for learning what works and what does not in terms of advancing HR&GE. For interventions that are not primarily focused on HR&GE, it may also lead to identifying if interventions are reinforcing existing discrimination and power structures that are contrary to HR&GE. Aspects that should be considered in such an assessment include: • Whether rightsholders have been able to enjoy their rights and whether there was any change in either group; • Real change in gender relations, e.g. access to and use of resources, decision-making power, division of labour, etc.; • Permanent and real attitudinal and behavioural change conducive to HR&GE; • Empowerment of targeted groups and influence outside of the intervention's targeted group; • Unintended effects on particular groups that were not adequately considered in the intervention design (e.g. women part of a broader group that were not considered as a specific group); • Redistribution of resources, power and workload between women and men; and • Effective accountability mechanisms operating on HR&GE.
Coherence	Assessing the coherence of an intervention entails assessing the compatibility of the intervention with HR&GE interventions in a country, sector or institution. Issues to consider include the presence of: • Key policies on HR&GE; and • Key actors on HR&GE.
Effectiveness	Analysis of an intervention's effectiveness involves assessing the extent to which the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups. In cases where HR&GE results were not explicitly stated in the planning documents or results framework, assessing effectiveness in terms of HR&GE should still be possible and is necessary as most UN interventions will have some effect on HR&GE and should contribute to their realisation. Some issues to consider include: • Presence of key results on HR&GE; • The extent to which the theory of change and results framework of the intervention integrated HR&GE; • The extent to which a HRBA and a gender mainstreaming strategy were incorporated in the design and implementation of the intervention.
Efficiency	Analysis of an intervention's efficiency involves assessing the extent to which the intervention delivers, or is likely to deliver, results in an economic and timely way. Aspects to consider include: • Provision of adequate resources for integrating HR&GE in the intervention as an investment in short-, medium- and long-term benefits; • Costs of not providing resources for integrating HR&GE; and

	• The extent to which the allocation and use of resources to targeted groups considers the need to prioritize women and groups in vulnerable situations.
Sustainability	Analysis of an intervention's sustainability involves assessing the extent to which the net benefits of the intervention continue are or are likely to continue. Examples include: • Developing an enabling or adaptable environment for real change on HR&GE; • Institutional change conducive to systematically addressing HR&GE concerns; • Establishment of accountability and oversight systems, including increased social accountability; • Formation of coalitions of affected parties that can continue the work of the intervention; and • Capacity development of targeted rightsholders and duty bearers to respectively demand and fulfil rights.

Box 28. Integrating HR&GE into Additional Evaluation Criteria

Criteria	Integrating HR&GE
Participation	Given the importance of evaluating processes and results in LNOB, "participation" can determine: • The extent to which rightsholders have participated in the various stages of the intervention in an active, free and meaningful manner; • The extent to which the intervention has supported the development of conditions and capacities for active, free and meaningful participation by rightsholders in the development process of the communities they are in; • Which groups of stakeholders have participated in the intervention and whether any important groups have been excluded; • Whether the intervention has purposefully integrated measures to support participation of women and individuals/groups who are marginalised and/or discriminated against; • Differences in participation among more powerful groups and groups marginalised and/or discriminated against among the stakeholders of the intervention; and • The outcome of participation – whether people's opinions have actually been taken into account.
Disability Inclusion	• Evaluation questions, mainstreamed across the different evaluation criteria or under a specific criterion, can explain both the extent and quality of disability inclusion, and its effect on persons living with disabilities. For further guidance see here.
Equality & Non-Discrimination using an intersectionality lens	Evaluations should ask whether the intervention being evaluated has fostered equality and non-discrimination in its processes and results by looking at, for example:

	• Whether all stakeholders (from the most powerful to the most marginalised and/or discriminated against) have had access to the processes promoted by the intervention; • Whether stakeholders have been respected and treated fairly in the various activities promoted by intervention, regardless of their sex, origin, age, disabilities, etc.; • The extent to which all stakeholders, regardless of their sex, origin, age, disabilities, etc., have benefited from the results of the intervention and who has been left out; • The extent to which the processes and results of the intervention have broken or reinforced traditional discriminatory patterns among its stakeholders; and • The extent to which change occurs that increases rights and equity for affected parties.
Social Transformation	An HR&GE-responsive evaluation should consider transformational aspects such as: • The power dynamics among stakeholders of an intervention, and whether the intervention has successfully contributed to changes in power relations; • The extent to which the intervention has fostered a better condition and environment for all stakeholder groups, particularly women and individuals/groups most marginalised and/or discriminated against, to enjoy their rights; • Whether the results of the intervention point to more a more balanced power division among stakeholder groups; and • Whether there have been changes in attitudes and behaviours leading to fairer social relations among stakeholders.

5.2.3 Tailored evaluation questions

139 The process for framing questions to be answered by the evaluation can be derived from either the evaluation criteria or the other way around – it can be an inductive or deductive process. Either way, it is essential that evaluation criteria and questions are interlinked and ask how HR&GE have been integrated into the design and planning, implementation and results achieved by the intervention.

140 Box 29 presents examples of questions that could be used to assess HR&GE in an evaluation. However, they should be context specific and adapted to the reality of the intervention being evaluated. As such, the questions must derive from the intervention's theory of change. The questions in Box 29 provide the starting point for a more profound investigation. In depth probing on details, underlying reasons, alternative scenarios etc., is critical to answering the questions and will help evaluators reach the more complex answers. Some questions may overlap among the different evaluation criteria. When new criteria are established, specific questions should be included to address them.

Box 29. Evaluation Questions to Assess Design, Planning, Implementation and Results			
Criteria	**Assessing Design & Planning**	**Assessing Implementation**	**Assessing Results**
Relevance	• To what extent was the intervention formulated according to international norms and agreements and to national and local strategies to advance HR&GE? • To what extent was the intervention formulated according to the needs and interests of all targeted stakeholder groups? How were these needs and interests assessed? • Were HR&GE analyses conducted at the design stage? Did they offer good quality information on the underlying causes of human rights violations, inequality and discrimination to inform the intervention?	• Did the activities undertaken operationalize a HR&GE approach? • Did the activities undertaken meet the needs of the various groups of stakeholders, including those who are most likely to have their rights violated?	• Are the intervention results contributing to the realisation of international HR&GE norms and agreements as well as national and local strategies to advance HR&GE? • Do the intervention results respond to the needs of all stakeholders, as identified at the design stage?
Coherence	• To what extent is the intervention supported or undermined by other HR&GE interventions, particularly policy, and vice versa?	• How do the HR&GE aspects of the intervention work with other interventions carried out by the same institution or government? How effectively does the intervention comply with any applicable international norms and standards to which that institution or government is a party?	• How well do the HR&GE aspects of the intervention complement, harmonize, and coordinate with other HR&GE efforts? How much value does it add while minimizing effort duplication?

		• Are the HR&GE interventions of other actors in the same environment considered?	
Effectiveness	• Did the intervention's theory of change incorporate HR&GE dimensions? • Are HR&GE objectives clearly stated in the results framework, including short-, medium- and long-term objectives? • Is the responsibility for ensuring adherence to HR&GE objectives well-articulated in the performance monitoring framework and implementation plans? • Does the intervention have specific quantitative and qualitative indicators and baselines to measure progress on HR&GE?	• During implementation, were there systematic and appropriate efforts to include various groups of stakeholders, including those who are most likely to have their rights violated? • Did the intervention implementation maximise efforts to build the capacity of rightsholders and duty bearers? • Was monitoring data collected and disaggregated according to relevant criteria? • Was sufficient information collected on specific indicators to measure progress on HR&GE? • Was monitoring information adequately shared with stakeholders? • How was monitoring data on HR&GE used to improve the intervention during its implementation?	• What were the main results achieved by the intervention towards the realisation of HR&GE? • Do the results validate the HR&GE dimensions of the intervention's theory of change? • To what degree were the results achieved equitably distributed among the targeted stakeholder groups? • Do the intervention results contribute to changing attitudes and behaviours towards HR&GE? • Do the intervention results contribute to reducing the underlying causes of inequality and discrimination? • Did the intervention con- tribute to the empowerment of rightsholders to demand and

			duty bearers to fulfil HR&GE norms?
Efficiency	• Are there sufficient resources allocated to integrate HR&GE in the design, implementation, monitoring and evaluation of the intervention? • To what extent are HR&GE a priority in the overall intervention budget? • What are the costs of not addressing HR&GE adequately from the design stage?	• Were the intervention resources used in an efficient way to address HR&GE in the implementation? • Were there any constraints to addressing HR&GE efficiently during implementation? What level of effort was made to over-come these challenges?	• Was the use of intervention resources to address HR&GE in line with the corresponding results achieved? • Would a modest increase in resources to address HR&GE in the intervention have made possible a substantive increase in corresponding results?
Sustainability	• Did the intervention design include an appropriate sustainability and exit strategy to support positive changes in HR&GE after the end of the intervention? To what extent were stakeholders involved in the preparation of the strategy? • Did the planning framework build on an existing institutional and organisational context that is conducive to the advancement of HR&GE? • If not, did the intervention design address the institutional and organisational challenges to	• Were elements of the intervention exit strategy addressed during implementation? • To what extent were national and local organisations involved in different aspects of the intervention implementation? • Did the intervention activities aim at promoting sustainable changes in attitudes, behaviours and power relations between the different stakeholder groups? • How was monitoring data on HR&GE used to enhance sustainable change on these issues?	• To what extent are stakeholders confident that they will be able to build on the HR&GE changes promoted by the intervention? • To what degree did participating organisations change their policies or practices to improve HR&GE fulfilment?

	advancing the HR&GE agenda?		
Impact	• Did the intervention envisage any specific impact on HR&GE? Is it clearly articulated in the results framework? • Did the intervention design consider how impact on HR&GE could be assessed at a later stage? • To what extent were the potential unintended impacts on the various stakeholder groups identified during the design stage?	• How did the intervention activities relate to the intended long-term results on HR&GE? • Did the intervention monitoring systems capture progress towards long-term results on HR&GE? • Were there any positive or negative unintended effects on HR&GE identified during implementation? How were they addressed?	• Did the intervention clearly lead to the realisation of targeted HR&GE norms for the stakeholders identified? • Were there any unintended results on HR&GE in the intervention? Were they positive or negative and in which ways did they affect the different stakeholders? • Did the intervention activities and results in HR&GE influence the work of other organisations and programmes?
Participation & Inclusion	• Was the intervention de-signed in a participatory manner, including all relevant stakeholders? • Were there measures to guarantee that women and the most marginalised and/or discriminated against stakeholders had conditions to participate in the intervention design?	• Did the intervention use participatory processes during its implementation? • What has been done to guarantee that vulnerable stakeholders had conditions to participate in the activities developed by the intervention? • What was the overall level and quality of participation by different stakeholders during the intervention? • Were there mechanisms in place for stakeholders to	• To what extent did the intervention contribute to a culture of participation and inclusion? • Did the intervention create the conditions for participation and inclusion among stakeholders in other spheres of social life? • To what extent did the intervention in-fluence participating

		present opinions or complaints and were these taken into account?	organizations to become more participatory and to create conditions for the most vulnerable to be included in their processes?
Equality & Non-Discrimination	• Was the intervention designed in a way that respected all stakeholders, and did not discriminate?	• Were the processes and activities implemented during the intervention free from discrimination to all stakeholders? • Did the intervention promote processes to tackle discriminatory practices among its stakeholders? • Did the activities address the underlying causes of inequality and discrimination?	• Did the intervention contribute to a change in discriminatory practices among its stakeholders? • Did all stakeholders benefit from the results of the intervention, regardless of their sex, origin, age, disabilities, etc.? • Do the results of the intervention point to better conditions for all to enjoy their rights, without discrimination? • Are there any groups excluded from the results of the intervention?
Social Transformation	• Was the implementation designed with a view to promoting social transformation within its beneficiary community?	• To what extent did the processes and activities implemented during the intervention focus on promoting changes in social relations and power structures?	• Do the results of the intervention point to changes in social relations and power structures among its stakeholders? • Are there clear changes in attitudes and behaviours that demonstrate a fairer distribution of

			power among the stakeholders of the intervention? Which ones?
Empowerment	• Did the intervention design contemplate measures to empower its stakeholders, particularly those most vulnerable? • Were different groups of stakeholders part of the decision-making process during the design stage of the intervention?	• Did the processes and activities implemented by the intervention promote the empowerment of different stakeholder groups? • Were structures created during the intervention to allow all stakeholders to participate in decision-making? • Were there any particular capacity development activities focusing on stakeholders' capacity to make decisions?	• Are there groups that have become more empowered as a result of the intervention? How can this be demonstrated?

Box 30. Examples of Good Practices on use of Evaluation Questions

Good practices in the use of evaluation questions to examine HR&GE can be observed in work undertaken by OHCHR. The OHCHR Model of Terms of Reference provides useful guidance for evaluations and examples of evaluation questions on GE, disability & HR including:

- Did the programme plan for and achieve results that contributed to gender equality and disability inclusion?
- To what extent were women and persons with disabilities consulted, and other programmes and frameworks in these areas considered during the planning and implementation of the programme?
- Has the programme been monitoring data disaggregated by sex and disability?
- To what extent do the benefits of the programme accrue equally to women and persons with disabilities?

The evaluation of the OHCHR project "Strengthening the Capacity of the Independent National Commission on Human Rights in Liberia" (2022) included five evaluation HR&GE questions. It received the highest score after applying the UNEG scorecard for the assessment of the UN SWAP Evaluation Performance Indicator. The questions used were:

- To what extent have gender and human rights considerations been integrated into the project design, budget, and implementation, with emphasis on women's rights and disability inclusion?
- Were there any political, practical, or bureaucratic constraints to addressing HR&GE issues during implementation? If so, what level of effort was made to overcome these challenges, or what can be done in future interventions?

- To what extent were the processes and activities implemented during the intervention free from discrimination to all stakeholders?
- To what extent did the project address the specific needs of women, men, girls, and boys? For instance, taking into consideration age and sex? Are there disaggregated data of the project's achieved results based on gender?
- How have the internal organizational structures/norms of OHCHR and other stakeholders, both those directly and indirectly impacted by the project, improved to better address the human rights of women, girls, persons with disabilities, and other marginalized groups in society?

Another good example is the Evaluation of the OHCHR Sexual and Gender Based Violence Programme. Although the evaluation found that the programme did not include activities, outputs or outcomes that were explicitly geared towards disability inclusion, it nevertheless expanded on this and included specific questions on disability inclusion to indicate how future sexual and gender-based violence strategy/programme needs could more systematically incorporate specific and targeted activities aimed at disability inclusion in all areas of operation.

Finally, the OHCHR Evaluation of the Cambodia Country Programme 2017–2020 is highlighted in the OIOS Biennial Report on "Strengthening the role of evaluation and the application of evaluation findings on programme design, delivery and policy directives" for 2020-2021 as representing good practice in the inclusion of crosscutting dimensions. According to OIOS, "an excellent description of the human rights context was provided, and gender, human rights and disability inclusion were added as specific evaluation criteria and explored as specific questions under all core lines of enquiry with stakeholders."

5.4 Selecting the evaluation team

141 The quality of the evaluation team is perhaps the most important single factor determining evaluation quality, and hence the adequacy of integration of HR&GE perspectives. Also, the selection of a qualified gender-balanced team will help ensure the soundness of the team's approach to the evaluation questions related to HR&GE. This subsection covers some of the main issues involved in selecting a suitable evaluation team.

142 UNEG and some UN agencies have produced strict guidelines on ethics (see 2020 UNEG Ethical Guidelines for Evaluation) and behaviours for evaluators. These codes of conduct must be an integral part of the contract with any consultant undertaking evaluations. It is good practice to ask all evaluators recruited to abide by the code by signing it along with their contract.

Box 31. Examples of Good Practices for Selecting an Evaluation Team

In UNHCR's 2022 Framework Agreement on evaluations, they introduced new mandatory criteria for selection including a requirement for gender-balanced teams in each company that participated. It also ensures that companies present at least one female team leader and team members with specific expertise in gender equality.

ILO EVAL in the Americas also considers specific expertise in gender equality when selecting appropriate persons to carry out the evaluation. HR&GE is embedded as a requirement in the job descriptions for evaluation consultants and the evaluator must send samples/examples of three gender assessments already conducted to confirm their level of expertise in conducting gender sensitive data collection and analysis.

5.3.1 Building on regional and national capacity

143 Support to and use of national capacity is central to the UN's mandate, including in and for evaluation. Evaluations should use regional and national evaluation capacities to ensure that local

knowledge and context is considered. This is important because gender roles can vary based on different cultures, contexts and/or localities and rights issues are also emphasized/ prioritised in different ways.

144 Many UN agencies have been working on both enhancing and learning from national evaluation capacities. UNEG has a National Evaluation Capacity Development Working Group, and there are several bilateral partnerships between individual agencies and national, regional and NGOs. These initiatives should be sure to incorporate HR&GE responsive evaluation principles. This could be achieved through collaborative and targeted capacity building work, which would allow a more consistent integration of the principles outside of and across the UN system and its Member States.

Chapter 6. Methods for Conducting a HR&GE Responsive Evaluation

145 This chapter highlights the key elements to be considered when deciding which methods to use to address the questions of a HR&GE responsive evaluation. Familiarity with such elements will allow an adequate understanding of whether the intervention under evaluation has been guided by, and has fully operationalized, all the HR&GE responsive evaluation requirements, and also ensure that the HR&GE principles are more systematically integrated in the evaluation process itself.

146 The first step to ensure the appropriateness of your HR&GE evaluation methods is to ensure their relevance to respond to specific HR&GE questions. When deciding which exact methods and tools to use it is imperative to prioritize those that, while answering HR&GE-specific question, will also:

- Measure any meaningful changes that occur in the life of the concerned rightsholders (enjoyment of fundamental rights and empowerment); including the extent to which the intervention being evaluated has contributed to them; and whether the capacity of the related duty bearers is commensurate to the magnitude of the needs to be addressed on the ground;
- Capture adequately the voices of the populations and individuals with whom the evaluation team will engage as part of an evaluation (in particular, if cultural and security issues are taken into account);
- Involve and elicit a meaningful evaluator's engagement with all the key stakeholders of a given intervention or programme, without discriminating against any specific groups or individuals; and
- Facilitate the adoption of an intersectional lens.

147 The methodology used in an HR&GE evaluation needs to be flexible and adaptable depending on the specific nature of the intervention being evaluated and the distinct characteristics of the country contexts where the intervention is implemented. This is particularly true of HR&GE responsive evaluations which may tackle sensitive issues and be carried out in highly politicized or insecure contexts. As a result, evaluators need to privilege methods that are likely to reduce as much as possible the risks for the persons involved – directly or indirectly – in the intervention and/or in the evaluation itself.

6.1 Data collection

148 Whenever possible, data collected to answer the questions of a HR&GE responsive evaluation should come from more than one category of respondents and more than one source. The findings presented to answer evaluation questions should derive from at least three methods (triangulation). For example, if duty bearers (Ministry of Health staff or medical doctors) report successfully responding to patients' claims (rightsholders) and protecting rights, the finding should be corroborated by at least two other methods (e.g., the review of monitoring reports on access to health services and health indicators as well as the organization of focus group discussions with the rights holders directly to gauge any change the latter may have experienced).

149 Likewise, if an official statistics report attests to an increase in women's income, the evaluation should ask women and their families whether they have observed such an increase in their daily lives and how they have used the income. To this end, structured direct observation should be conducted. To triangulate, local business owners can also be interviewed to share any perception of whether such an increase in purchases by women is real or not. In addition, local banks can be asked whether they have noticed an increase in savings made by women.

150 Besides enriching the findings and nuancing the responses to the evaluation question, triangulation helps make the responses to the evaluation questions more credible. However, even more importantly, the diversification of methods enables the participation of different stakeholder groups and, therefore, a richer understanding of the intervention being evaluated. Combining quantitative and qualitative methods (mixed methods) is particularly beneficial as it allows merging the breadth and statistical representativity of quantitative methods (household surveys) with the depth and exploratory nature of qualitative methods (individual interviews and focus group discussions). This approach also enables a more genuine integration of HR&GE perspectives and principles in evaluation processes, including transparency, non-discrimination, participation and inclusion. Furthermore, mixed methods provide the opportunity to capture more effectively the voices of women and persons with disabilities i.e. the individuals most marginalized and discriminated against who are likely to see their rights violated.

151 Lastly, mixed methods validate the findings obtained from diverse methods through iterative testing and parallel, sequential or multilevel analysis. This is an effective mechanism to build defendable conclusions (and derive from those solid and appropriate recommendations), which is of particular interest in evaluations concerning sensitive and sometimes questioned issues.

Box 32. Examples of Good Practice in Design: Using a Mixed-Method Approach

For the Evaluation of the OHCHR Indigenous and Minorities Fellowships Programmes (2022), a total of 100 individuals were interviewed, including a balanced number of men and women (fellows) from 38 countries. A survey was developed based on issues that came to the fore during the first phase of interviews which was circulated to all former fellows via email and Facebook. The survey was translated into French, Spanish, Russian and Arabic. There was a total of 160 respondents, about half of whom were women. For both interviews and surveys, specific questions required the collection and analysis of data on gender and disability inclusion within the programmes. The survey allowed for very small minority opinions, which were analyzed as 'flags' for potential issues regarding gender and disability which the programmes should be alert to.

The OIOS Evaluation of Women and Peace and Security (WPS) in Elections and Political Transitions (A/77/83), used an evidence-based theory of change and a variety of data sources, methods and expertise. For example:

- Curated data sets from the Armed Conflict Location & Event Data Project (ACLED) for granular analysis of trends in political violence targeting women (PVTW) were commissioned.
- Country specific sex-disaggregated election data on turnout, candidates, voting patterns etc. was requested to UN field missions and/or national electoral authorities.
- World Bank indices for development and governance were analyzed to determine long-term effects of women's representation.
- Peer-reviewed academic research, such as reports on women's political participation containing data, trends and ethnographic studies, as well as research on electoral systems, were used to understand the benefits and disadvantages of each electoral system, and examine which ones lent themselves best to positive outcomes for participation of marginalized groups.

- The evaluation team interviewed 120 stakeholders (78 women and 42 men) and reviewed over 200 documents in English, French and Arabic.

Quantitative and qualitative data were analyzed and triangulated using the qualitative comparative analysis (QCA) method which identified the conditions or factors necessary and/or sufficient to enhance the political participation of women in the countries of the six UN field missions assessed (Central African Republic, Mali, Democratic Republic of Congo, Afghanistan, Iraq and Somalia). Data collection was completed virtually with high stakeholder engagement and uptake of recommendations. Although conducted in a volatile context where data may be lacking, the evaluation succeeded in testing statistical correlations between relevant variables and made more definite conclusions about the achievements on the ground.

152 The extent to which an evaluation can combine methods to evaluate HR&GE processes and results partly depends on financial resources, time and expertise. However, it should be possible to include at least some elements of a mixed-methods approach in any evaluation. Within a mixed-method approach, each data collection method or tool can then be adapted to integrate HR&GE dimensions, such as in the case of a humanitarian crisis or health emergency.

153 During the COVID-19 pandemic in 2020 and 2021, for instance, evaluation teams unable to conduct fieldwork because of travel restrictions, combined remote **qualitative and quantitative data collection and analysis methods**. In the case of the UNICEF COVID-19 response evaluation, the evaluation team combined focus group discussions and key informant interviews with key implementing partners and government officials in online meetings (e.g., Zoom, Microsoft Teams, Skype) with direct observation conducted either in person (through the support of community mobilizers) or remotely (e.g., through WhatsApp video calls with members of the affected communities). Collective data analysis sessions and sense making exercises were subsequently organized over online collaboration platforms such as TeamUp, Google Docs, Dedoose, and Mural.

154 When using **samples** (such as purposeful sampling, theoretical sampling or snowball sampling), the selection of the sample is crucial since it can affect the credibility and technical adequacy of the information gathered. For HR&GE responsive evaluations, it is important to ensure the representativeness of stakeholders transparently and without discrimination (for example, through the application of a 'snowball' technique to reach women and groups living in vulnerable situations, which are often not captured by national administrative data). Evaluators should also consider that comparisons between large groups (be they ethnic, sexual, socio-economic or geographical groups) could hide considerable diversities within the group which requires going beyond averages (e.g., the official disability rate at country level) to assessing the prevalence of disability across the different socio-economic groups (quintile analysis).

155 Findings may be questioned if the amount of information reviewed or data collected is too limited. Therefore, if budget concerns or time constraints limit the number of respondents, or if the number of responses for certain categories is smaller than expected (for example, only a few representatives of one affected ethnic minority can speak with evaluators), the findings need to be validated by a larger group or through triangulation. The sampling strategy also needs to address the inclusion of women and men in diverse stakeholder groups. In dealing with such diverse samples, the data collection strategy may need to use several collection methods and alternatives to reach women and individuals/groups most marginalised and/or discriminated against. Sometimes, even representative samples are too small to capture diversity within the total population; it will then be prudent not to generalize findings or report in terms of percentages.

156 HR&GE **data disaggregation** should be favoured. While sex disaggregation is the most common form of disaggregation across the UN, a HR&GE responsive evaluation should go beyond that. Understanding the nuances within groups using the intersectionality lens, as well as any form of exclusion (such as age, disability status, ethnic origin, place of residence, sexual orientation, social class or income group, etc.), gives evaluators a much broader view of how the intervention affects all the stakeholders involved. Data disaggregation can be a powerful ally to triangulation, as the diversity in responses obtained can prepare the ground for cross-examination, using other methods and by asking different sources. Extensive disaggregation of the data, especially if broken into multiple smaller subgroups, means generalisability could be questionable. Anonymity and protection of individual sources are important, especially with very small groups and/or extensively disaggregated data.

6.1.1 Data sources

157 Evaluators can make good use of **existing national or international data sets** (on employment, income, vulnerability, disease, mortality, human rights violations, etc.) to compare and confirm or refute findings. The use of these data, nevertheless, should be undertaken with an understanding of their possible limitations and constraints in representing local reality. It may be useful and efficient to test findings with a diverse panel of experts, who can corroborate or suggest other interpretations. This may be particularly useful for impact evaluations but also for small evaluations where fieldwork is limited. Before delving into the analysis of such datasets, it is important to do a comprehensive assessment of the ones existing for the specific country or region or issue which any given evaluations pertain to. It should be undertaken at the very beginning of the evaluation to help avoid the risk of biased analysis (e.g. as a result of cherry-picking datasets that seem to corroborate a certain set of preliminary findings and conclusions generated through other methods).

Existing national and international data sets

158 Evaluators can tap into a wide range of secondary data sources to better understand the HR&GE situation in the country, region or community they are researching, and to support their conclusions through triangulation. Data generated by governments, international organisations, academia and civil society can be found in a myriad of analyses and documents, including:

- **Data produced by national and international statistics institutes** on populations; implementation of international human rights obligations; violence; socioeconomic indicators; or the situation of women and individuals/groups who are marginalised and/or discriminated against. National surveys mayprovide useful quantitative data on demography (mortality and morbidity rates), employment, income, violence, health, sexual and reproductive rights, etc. Evaluators may also benefit from qualitative research on cultural mentalities and behavioural attitudes related to women, gender relations and individuals/groups who are marginalised and/or discriminated against.

- **Data produced by governments to respond to international treaty-based or charter-based human rights bodies.** Periodic reports submitted by States Parties to international treaties-based human rights bodies and the concluding observations/recommendations of these committees contain summaries of shortfalls vis-à-vis the implementation of international human rights obligations, as well as capacity gaps in implementing HR. For example, national CEDAW reports contain important analyses on the situation and progress of women's rights. Charter-based bodies, such as the Human Rights Council and its Special Procedures, also offer a wealth of information. In addition, the Universal Periodic Review of the Human

Rights Council may provide useful contextual information to the incidence of human rights abuses. Special HR Rapporteurs, representatives and working groups also issue reports that can be extremely useful for evaluations.

- **Data produced by international organizations.** Situation and HR&GE analyses carried out as background studies to design new interventions are an important source of information that should be integrated into the background document analysis for an evaluation. HR monitoring reports (for example, as carried out by UN organizations such as OHCHR) and specific UN agency reports, such as UNDP's Human Development Report, or the UNICEF State of World's Children, may also offer important data. Bilateral cooperation agencies may also commission research on the HR&GE situation, which should be considered as well. National reports on the SDGs will also provide specific information on the situation of women and children, and on other groups likely to have their rights violated.

- **Independent reports and research studies produced by academia and national and inter-national CSOs.** Evaluators should look at the existing body of quantitative and qualitative research on HR&GE, such as studies commissioned by academia and civil society. They may provide alternative points of view and inquiry areas that can complement the information obtained in the evaluation. Apart from research, CSOs or consortia of CSOs often collect, systematize and make available information on human rights violations, for example, through databases.

- **Nationally and locally produced reports in the context of the intervention.** Programme reports and other documents produced by partners and stakeholder organisations addressing HR&GE issues and indicators can offer invaluable insights about the communities and groups affected by the intervention. Programme monitoring reports are an essential input to evaluations.

6.1.2 Data collection methods and tools

159 While many of the existing national and international datasets represent an important source for secondary data analysis, there is a very wide range of methods that enable the collection of HR&GE sensitive data.

Qualitative Methods

Document Review and Analysis

160 In order to integrate HR&GE issues into a background document analysis, evaluators should first look for any specific information on HR&GE available in relation to the intervention being evaluated, such as: evidence of a HR&GE analysis at the design stage; evidence of a detailed and inclusive stakeholder analysis, including women and individuals/groups who are marginalized and/or discriminated against; evidence of quality engagement and participation of stakeholders in the various steps of implementation; information on various stakeholder groups collected during monitoring activities; evidence of how HR&GE were addressed by the intervention; and the results achieved in the area. Additional useful documents include: organisational policies; system-wide policies, mandates and agreements, etc. on HR&GE; and literature produced by programme partners and other organizations that may inform the assessment of HR&GE in the intervention. The identification of such resources generally helps evaluators get a preliminary understanding of the level of HR&GE integration in the

design, implementation and monitoring of the intervention, and may orientate any subsequent follow-up exploration.

Focus Groups

161 Focus groups encourage women and individuals/groups who are marginalised and/or discriminated against to express their views more openly than through conventional survey methods. They are therefore highly relevant for HR&GE responsive evaluation. However, they need to be carefully designed and facilitated to guarantee that participants will benefit from the opportunity (e.g., by making sure that participants are homogenous and that no power differences among them affect the spontaneity of the group interaction).

162 Tailoring focus groups to effectively address HR&GE issues involves:

- **Paying special attention to the constitution of groups.** The constitution of a focus group should rely on the evaluation questions and stakeholder analysis defined at the beginning of the evaluation process, as well as on factors such as the context of the intervention, the practical feasibility to disaggregate participants and the evaluator's choice on what would be a better mix in each particular intervention. The constitution of the groups will significantly influence the extent to which participants feel safe to participate and communicate their ideas, which is a highly relevant factor to consider when dealing with HR&GE issues. Evaluators should be extremely conscious of risks, particularly in certain countries and situations.

- **Disaggregating purposefully and mixing when feasible.** The evaluator can seek disaggregation by sex, age, social position, income, sexual orientation, category (rights holders/duty bearers), disability, etc., to investigate in-depth, the meanings attached to a given phenomenon by a subgroup of population. Alternatively, creating mixed groups with careful facilitation can provide important insights into group dynamics, and how different groups relate to each other. A mixed focus group can also garner different perspectives and generate discussions that may not arise in a very uniform group. It can also help examine whether consensus exists among different parties. Nevertheless, the possible dangers of bringing together individuals in unjust relations of power should always be considered.

- **Facilitating responsively.** Before starting the focus group, it is important to gather information on context, relationships between individuals and groups, power dynamics, and how HR&GE issues affect the different individuals and groups represented in the focus group. This should help guarantee adequate group interaction and inform the analysis of the focus group discussion.

- **Carefully considering language and culture issues**. Stakeholders may not be fluent in the primary language of the evaluation or may have different understandings of concepts. In this case, field testing of the interview questionnaire/guide or advance cognitive interviews with individuals from various language/cultural groups could be helpful. Support from a national consultant might also, in certain circumstances and conditions, be recommended. Language, ethnic group or culture and sex of the interviewers must be carefully matched to the characteristics of the participants in the focus group, to avoid conflicts and barriers to communication.

- **Promoting progress on HR&GE.** While the primary purpose of focus group discussions is to collect data for evaluating a specific intervention, it also provides a space for stakeholders to participate in a dialogue, exchange views and gain a better understanding of different perspectives and ways in which an intervention can have diverse effects on different stakeholders, which is linked to the larger social, economic and cultural context and gender relations. In this way, focus group discussions can contribute to attitude changes that are key to addressing inequality and discrimination.

Individual Interviews

163 Often, women and individuals/groups who are marginalized and/or discriminated against are not involved in the evaluation process most commonly because they may:

- Not be able to express themselves freely when consulted because of social pressure;
- Be persons with disabilities whose accessibility to the evaluation activities and sites may be difficult;
- Be illiterate or less fluent than others in the language used in interviews;
- Not be allowed to speak, use their own language or be represented in public meetings or community consultations; and
- Have less time at their disposal or may defer participation to males in observance of existing gender norms.

164 To address HR&GE issues through interviews, the evaluator should:

- **Make sure the sample selected for individual interviews adequately reflects the diversity of stakeholders of the intervention.** Special attention should be paid to the inclusion of women and individuals/groups who are marginalized and/or discriminated against (e.g., persons with disabilities), who may have been forgotten or left out of discussions and decision-making in the intervention.
- **Consider language and translation needs.** This could represent a difficult issue while tackling HR&GE issues. The questionnaire should be adjusted to allow respondents who are illiterate or have low education levels and persons with cognitive disabilities respond, and make sure that all are able to understand the questions. Avoid using technical terms that may not be clearly understood by the respondents and might have different meanings and understanding. Human rights and gender questions must be adapted to the political, social and idiomatic contexts. In cases where the evaluation is being carried out in a local language, resources should be provided for translation or interpretation, although this is a challenge not only because of language gaps, but also because translators might distort the content of what is being said (for political or other reasons) or intimidate the interviewee (if they belong to specific ethnic or national groups for example). Interpreters, including sign language interpreters should, therefore, be carefully selected although it may often be difficult to find sign language interpreters in hard-to-reach areas.

- **Consider practical measures** such as timing the interviews to fit home obligations, choose physically accessible venues, provide financial support to cover the travel costs of the interviewee and the person accompanying to participate in the interview, etc.

- **Ensure adequate safeguards are in place so that interviewees will not be negatively affected** by providing their honest views on HR&GE issues. If this is not possible, then the interviews should not include certain questions; the interviewee should be made aware of the possible danger their participation may pose; or should not take place at all.

- **Respect confidentiality.** Ask interviewees their permission to quote their words. In some cases, words or sentences may identify the person, even if their name is not in the report. Even so, evaluators should use their wording with caution since the interviewee might not be fully aware of the consequences their words might bring to them. Evaluators should use common sense to assess the context and determine what the risks could be for the interviewee. Attention must also be paid to the list of persons interviewed provided in the report. In some contexts, such a list should not be included or be limited to broader information.

- **Consider how each interviewee is affected by HR&GE issues,** for example by asking specific questions as to how they see gender relations in their community (or ethnic, religious group and other identity markers); how they are affected by the practice or behaviour of duty-bearers and rights violations; what changes, if any, they have seen in the HR&GE situation in their community; and what these changes have meant to their lives in practice.

- **Make sure to ask specific follow-up questions on HR&GE during the individual interviews.** For instance, if respondents discuss issues such as the creation of local organisations, make sure to ask about the effect of these initiatives on gender relations and their implications for the enjoyment of rights.

165 Regardless of the specific methods to be used (e.g., individual interview or focus group), the corresponding data collection instruments should include items that are derived from solid HR&GE theoretical frameworks. The framework developed by Oxfam in 2002 (hereby adapted) which outlines five key dimensions of change in gender equality, is a tool to consider when developing questionnaire or focus group discussion guidelines (Box 33).[56]

[56] Oxfam GB (2002), *Gender Mainstreaming Tools: Questions and Checklists to Use Across the Programme Management Cycle*.

Box 33. Possible Questions to Ask in Relation to Gender Equality Results

Oxfam (2002) sets out five dimensions in which change can potentially occur as gender equality is strengthened. Such dimensions could be used as proxy measures of results during a HR&GE responsive evaluation. For each of dimension, questions that will support gender analysis and orientate the interview are suggested.

Dimension and Results Level	Suggested Questions
To what extent have women and men achieved more equal participation in decision-making in public and private spheres?	• To what extent has women's negotiating power in economic decisions and other family decisions been strengthened? • To what extent do women enjoy greater participation in the political processes of their communities? • To what extent has the influence of women on decision-making increased in relation to that of their male counterparts?
To what extent have gender stereotypes and discriminatory attitudes towards women and girls been challenged and changed?	• To what extent do men and women better understand how unequal power relations between them discriminate against women and keep them in poverty? • To what extent is women's unpaid and caring work better valued? • To what extent have changes in the traditional gender division of labour occurred with men taking on more household and caring work? • To what extent is greater value attached to girls' education? • To what extent is violence against women increasingly rejected by the public, especially by men? • To what extent are more men taking action to challenge discrimination against women?
To what extent have there been changes in women's empowerment to think and act freely, exercise choice, and fulfil their potential as full and equal members of society?	• To what extent have women's self-esteem and self-confidence to influence social processes increased? • To what extent are women more able to exercise their capacity for leadership? • To what extent are women increasingly organizing to strengthen their voice and influence?
To what extent do women and men have more equal access to and control over economic and natural resources and basic social services?	• To what extent have women's control over natural and economic resources increased? • To what extent do women have greater access to paid work? • To what extent do women achieve equal pay for equal work with men? • To what extent do women share the workload more equally with men and have more time for themselves?

	• To what extent do women and girls have access to health services on an equal basis with men and boys, and according to their gender-specific needs? • To what extent do girls enjoy equal access to schools with boys? • To what extent has the school environment become safer for girls and the curriculum less gender stereotyped?
To what extent do fewer women suffer gender-related violence?	• To what extent has the intervention led to a decrease in violence against women? • To what extent has the intervention caused or exacerbated violence against women, or the fear of violence? • To what extent has the number of women suffering personal incidents or threats of violence in the community or household changed?

166 A gender power analysis can help better understand the gender transformative nature of an intervention. This focuses on the four main change areas of: **Consciousness and Capabilities; Resources; Norms and Exclusionary Practices; and Rules and Policies**.[57] Some example questions that might be included in this analysis and posed to stakeholders are listed below.

Box 34. Gender Power Context Analysis

Change Area	Suggested Questions
Consciousness and Capabilities	• What is the division of roles and responsibilities between women and men in the community or communities where the programme will be implemented or where we seek to have policy impact? • What are the main beliefs and attitudes that determine the confidence and capacities of individual women, men and gender non-conforming people (of different social, age, ethnic, religious and other groups) to actively participate and lead decisions and actions through which they mitigate and adapt to the impact of shocks and crises, and create systemic changes (transformation) for their survival, wellbeing and security?
Resources	• Do women, men and gender non-conforming people (of different social, age, ethnic, religious and other groups) have the same access to and control over resources such as land, water, food, assets, education, information, health services, markets or money? What are the differences?

[57] Skakun, Z., Ines Smyth, and Valerie Minne (2021), *Transforming Gender Inequalities: Practical Guidance for Achieving Gender Transformation in Resilient Development*, Oxfam, Nairobi, pp.28-29.

	• What are the barriers they experience in accessing and controlling the resources that are essential to absorb and adapt to the impact of shocks and stresses, and to bring about systemic changes (transformation) for their survival, wellbeing and security?
Norms and Exclusionary Practices	• What are the dominant social norms and power structures that determine the vulnerabilities and capacities of women, men and gender non-conforming people (of different social, age, ethnic, religious and other groups, etc.) to absorb and adapt to shocks and crises, and to bring about systemic changes (transformation) for their survival, wellbeing, safety and security?
Rules and Policies	• What are the gender contents and consequences of policies and laws that affect people's ability to absorb and adapt to the impact of shocks and stresses, and to bring about systemic changes (transformation) for their survival, wellbeing, safety and security?

Field Observation

167 Field observation is a very effective, and sometimes crucial, tool for gathering information on HR&GE. Observing the intervention activities and ongoing dynamics, and direct interaction with people or groups involved, allows an understanding of aspects that might not be evident when applying other methods. Field observation is a productive tool to:

- Formulate questions that can be posed in subsequent interviews;
- Examine the project's physical and social setting, staff and clientele characteristics, group dynamics, and formal and informal activities;
- Highlight aspects of the project that may not be consciously recognized by participants or staff;
- Learn about topics that programme staff or participants are unwilling to discuss; and
- Observe how project activities change or evolve over time.[58]

168 To achieve their purpose and avoid violating cultural or social norms, especially when considering HR&GE issues, field observation should be carefully prepared. While it is recommended to organize structured field observations (i.e. based on a checklist that will allow comparability of observations across sites), unstructured observations are also acceptable, especially when looking into a new phenomenon that is yet to be fully explored and understood.

[58] US Department of Health and Human Services Centers for Disease control and Prevention (2018), 'Data Collection Methods for Program Evaluation: Observation', Washington, DC.

Quantitative Methods

Surveys

169 Surveys are the most common tool for collecting standardized information from many people in an evaluation, including program participants or the general population of the communities being served by a program.[59] The inclusion of HR&GE issues implies adapting some aspects of survey procedures. For example, it calls for the design of specific questions; for particular techniques to interview the selected persons; and for careful analysis of potential biases. It also involves:

- Making sure that the survey includes specific HR&GE questions and enables disaggregation of the data collected.
- **Paying particular attention to the format, accessibility, and language of the survey.** It is important to consider alternatives to address HR&GE questions and interpretation issues. Accessibility should also take into account disability inclusion (e.g., ensuring that online surveys be read out by the computer to visually-impaired respondents).
- **Creating different questionnaires for different stakeholder groups.** While some of the questions should be comparable in content (to inform the subsequent data analysis), in certain circumstances, they should address the specific issues and interests of the various stakeholder groups through tailored questions. This option should be well analyzed, since developing several questionnaires might come at high costs and generate statistical problems.

Additional Methods

Case Studies

170 Although a case study is more of a design that lends itself to support the integration of HR&GE dimensions in evaluation, in this Guidance it is treated as a method. Case studies are particularly helpful for highlighting the experiences and concerns of women and other groups likely to have their rights violated, or to study the effect of a particular policy on rights holders, or to analyse the behaviour of duty bearers. Case studies are context-specific and can help enrich the evaluation by providing an in-depth analysis of specific instances (such as events, institutions, policies); particular dynamics within a given community; or by telling a story on a particular situation. They are also useful to describe good practice or provide vivid explanations of barriers to service access experienced by some individuals or groups of individuals within the scope of a programme or policy implementation.

Box 35. Examples of Case Studies

The Evaluation of the OHCHR country programmes in Guatemala and Honduras, and the subregional programme in El Salvador, included case studies for each country covered in the evaluation and focused on thematic areas developed and/or being carried out by the programmes. The case study, "The Reitoca case: supporting indigenous communities to claim their Economic Social and Cultural rights and their right to access to justice", provided an in-depth analysis of the OHCHR's work to support indigenous communities claim their economic, social, and cultural rights and their right to access to justice. The case

[59] Uwimama, J. and Jennifer Kuzara, *A Commissioner's Guide to Probability Sampling for Surveys at USAID*, 2020, USAID, Washington, DC, p.2.

study showed that analysis from a human rights perspective within the framework of the protection cluster of the UN Country Team was an effective way to identify the humanitarian needs of the different sectors of the community in terms of water, sanitation, hygiene health, education, food security and protection. The case also highlighted the importance of integrating a human rights approach into humanitarian actions, emergencies and human mobility in the region.

The team conducting the Evaluation of the UNICEF emergency response to the Lake Chad Basin humanitarian crisis identified a number of Internally Displaced People's (IPD) camps, refugee camps and host communities in the four countries visited during the fieldwork and undertook extensive data collection with a large number of respondents in each site (including members of the affected population, children and persons with disabilities, implementing partners, heads of women's community-bases organizations and representative from local emergency response agencies). By using the community as a case study, the evaluation was able to better determine the quality of interactions among the different emergency actors; the different levels of needs satisfaction among the various ethnic groups affected by the crisis; and the relationship between the host communities on one hand and the IDP and refugees on the other.

Training and Use of Local Stakeholders to Act as Evaluators

171 Another option to collect HR&GE responsive data in the field is to train and employ local stakeholders as evaluators, especially where there is a large sample size or geographical area to take into account. While this may seem counter-intuitive and, depends on the resources available for the evaluation, as well as the level of competence and expertise of the 'local evaluators,' it has been demonstrated to produce rather positive advantages (Box 36), and proved invaluable for evaluation processes and generating results.

Box 36. Use of Local Stakeholders (Including Persons with Disabilities) as Evaluators

The UNICEF rapid evaluation of the humanitarian response to the devastations caused by the floods in Chad in late 2022 (unpublished) engaged female members of the affected population (including persons with disabilities) and a select number of implementing partners as data collectors under the guidance of a regional evaluation expert in participatory methodologies. Women with the same cultural and linguistic dynamics conducted interviews with women who had participated in the project. Their mutual familiarity led to a more in-depth elaboration on results than it may have been possible to obtain otherwise. One inherent risk to this approach is the bias of 'local consultants' when interviewing their peers. In this case, this was somewhat mitigated by ensuring that each of them went to a different geographical area than that of their own cooperative.

Such a direct engagement of the response actors and the affected population in the evaluation allowed critical HR&GE issues to not only surface but also be addressed during the data collection and analysis phases, without having to wait for the final debriefing and recommendation workshop. This methodology also empowers the 'local consultants' to gain confidence in their abilities and have a direct input into the evaluation process.

UNICEF has also developed innovative approaches to engage more meaningfully with children and youth (including boys and girls with disabilities) throughout the different steps of the evaluation process (from the TOR development to the actual field work and dissemination of the findings, conclusions and recommendations).These methods, highly participatory in nature, lend themselves to being used with children and youth but are also suitable to be used with adults (e.g. persons with disabilities, illiterate women, etc.). While the greater advantage in using such methods (e.g., Photovoice and Body Mapping[60])

[60] Photovoice allows eliciting children's views of their community life through ludic activities and adult-facilitated interpretation of the pictures taken by the children themselves through disposable camera (the program which is normally undertaken with 6 children at a time could last for a period comprised between two and a half days and several months, depending on the add-on educational activities associated with the program, and usually

is to allow a genuinely bottom-up exploration of issues and community dynamics affecting the life of children), the highly engaging and entertaining nature of such methods as well as their transformative power vis-à-vis those who are exposed to them, risks undermining the evaluator's agenda (e.g. including the ability to answer all those evaluation questions not directly pertaining to HR and GE within an often limited timeframe). Three resources are particularly useful for those interested in learning more about child-focused methods, namely the UNICEF Critical Review of Transformative Methodological Approaches, UNICEF Presentation on Photovoice and other innovative Child-Focused Methods to be used in humanitarian settings and, lastly, UNICEF Guidance on Disability-Inclusive Evaluation.

6.2 Data analysis / interpretation

172 Throughout the implementation of the evaluation, some degree of data analysis will be performed. 'Iterative' testing and analysis is advisable, particularly human rights and gender analysis, as early analyses will show where data is missing, what the most interesting questions are, etc., paving the way for further and more targeted data collection. At the end of the data collection stage evaluators should have enough material to conduct a complete data analysis. That said, data analysis should start in parallel to data collection, especially in the case of humanitarian evaluations or evaluations that are set to inform decisions under a quicker-than-usual turnaround.

173 Ideally, the data analysis and interpretation processes should involve key stakeholders, including duty bearers, rights holders, and within these two groups women and groups in vulnerable situations.

174 Generally, in HR&GE responsive evaluations, analysing data entails several or all the processes below (some of the steps are not HR&GE specific but apply and are relevant to HR&GE analysis):

- **Comparing data obtained with existing information about HR&GE.** This allows evaluators to establish whether most of the data collected during the evaluation confirms or refutes trends and patterns already identified. It also allows the gaps that have been filled and the new information that has emerged to be evaluated.

- **Processing data from surveys.** When processing survey data, evaluators of HR&GE responsive evaluations should identify trends, common responses and differences between groups of stakeholders, disaggregated in different ways, such as sex, age, place of residence, belonging to minorities, disabilities, gender identity, etc. When correctly administered, survey data can be analyzed in terms of cause and effect in the context of a specific theory of change, e.g. sex can be an explanatory variable for levels of poverty or ethnicity for levels of participation.

ends with a presentation of the children's work to the rest of the community). Body mapping, a method that has been used widely to learn about children's feelings and trauma in humanitarian contexts, could be adapted to development settings and, without going as far as investigating into children's intimate feelings or traumas, is conducive to understanding how children feel about the changes occurred in their lives or those of their communities following a specific occurrence (be that a pandemic, a natural hazard or the introduction of a new policy/programme). The method relies on the depiction of a human silhouette drawn by the children themselves and builds the questioning on the different part of the body in a game-like format (e.g. by point to the leg of the silhouette, the adult facilitator would asking whether children are now allowed to go to places which were forbidden before the earthquake/war started or whether they are no longer going to places today where they were used to go in the past. The questions would continue by covering actions/reactions/feelings connected with the other parts of the body: the ear (what children hear these days as opposed to the past), the head (what are new things that children are aware of today), the heart (what children really like or dislike about their new life following the trigger event), the stomach (what children eat or no longer eat these days),and the hands (what children do during the day – manual work, play games, etc.).

- **Ensure that an adequate understanding of the context, relationships, power, etc. informs the analysis of data collected in interviews.**

- **Comparing data obtained from different sources.** At this stage, it will be possible for the evaluators to triangulate information, and determine if there are similarities and/or discrepancies in data obtained in different ways and from different stakeholders. This comparison can also help explain how different stakeholders are positively or negatively affected by the intervention.

- **Comparing individual stories and case studies with general information.** This is when the evaluator identifies the context behind the numbers, and the exceptions to the rule – which might be particularly meaningful in terms of HR&GE. Individual stories and case studies may confirm trends obtained from quantitative analysis, and provide examples of how these trends are reflected in people's lives. Or they may demonstrate that, even if a particular trend emerges, it is not reflected in the same way to everyone.

- **Comparing the results obtained to the original plan.** This is part of any UN intervention that follows the principles of RBM. The findings of an evaluation need to be compared with the original plan for the intervention, including its intended results and indicators. Evaluators should also ask whether the results framework has been sufficiently updated over time to reflect changes in the context of the programme. For HR&GE responsive evaluations, working with disaggregated data at this level is key, as it allows the evaluator to determine whether the results are the same for everyone or whether they benefited some more than others. HR&GE responsive evaluations also need to gauge the unintended outcomes (both positive and negative) of any given intervention.

175 The Gender Continuum model presented in the UNICEF Guidance on Gender Integration in Evaluation is a useful resource when tasked with the analysis of strategies and policies, including HR&GE policies. The tool (Box 37) helps estimate the level of gender integration in programme and policies. It is strongly aspirational and generally encouraged policymakers to situate their work as further right as possible of the spectrum (gender responsive and gender transformative). Evaluators have also found this tool relevant and, as suggested by the questions in the table below, have used it to increase the gender responsiveness of their evaluations.

Box 39. Gender Continuum Model: Applying a Gender Lens in Data Collection

Favors either boys/ men or women/ girls, deepening gender inequalities	Ignores gender in evaluation design, perpetuating the status quo or worsening inequalities	Acknowledges gender inequalities but does not robustly address them	Identifies and addresses the different needs of girls, boys, women and men to promote equal outcomes	Explicitly seeks to redress gender inequalities and empower the disadvantaged population
Example: Focus groups that exclude females, assuming that only males can exercise decisions related to households or community.	Example: Focus groups that bring all community members together in one space—this could put diverse groups of women/girls and/or men/ boys at risk when gender-related social norms, roles and behaviours are discussed.	Example: Gender-separated focus groups that happen simultaneously and ask the same questions, but do not further probe gender-differentiated experiences.	Example: Gender (and age)-separated focus groups that happen at the time best suited for each group. Questions are tailored to surface any gender-differentiated experiences; childcare and transportation are offered to everyone.	Example: Same as gender-responsive, plus: intersectionality of gender and other identities is taken into account; composition of the focus group and guiding questions are designed after consultation with an Evaluation Reference Group with an understanding of the gender context in the community. Analysis and validation of focus group data and findings is participatory.

176 Another tool developed to evaluate gender mainstreaming in programming is the six-point assessment tool, implemented by the United Nations Food and Agricultural Organization (FAO) in its evaluation of Gender and Development (GAD). It uses the following descriptors to assess public goods developed by the agency:

- **Relevance for GAD:** The extent t to which the GAD approach (mainstreaming GAD) is a relevant issue in the understanding and management of the topic treated;
- **Technical quality of GAD contents:** The extent to which GAD issues are mainstreamed through the whole document, with contributions that reflect state-of-the-art discussions;
- **Innovations on GAD:** The extent to which the document makes an innovative contribution to understanding of GAD issues;
- **Potential impact as a tool for advocacy:** The extent to which the document is written with well-chosen case studies, and awareness of target audience and potential controversial aspects;
- **Potential impact as capacity development tool:** The extent to which a clear argument and well-chosen case studies are coupled with either capacity-building materials or directions towards such materials; and

- **Links between GAD and social inclusion:** The extent to which GAD issues are mainstreamed into discussions of social inclusion with concrete suggestions for successful integration.[61]

177 Once the data is analyzed, the evaluator should interpret the findings, moving to more detailed questions on finding causal links and making inferences. Employing a HR&GE approach, data should be interpreted through multiple lenses, including sex, socioeconomic status, ethnicity and disability. Groups most likely to have their rights violated are often subject to multiple forms of discrimination, and it is important to understand how these different forms intersect to deny rights holders their rights.

178 The degree of interpretation depends on the evaluation focus and the level of resources available.

- For **interventions where a high level of resources** are available for evaluation, data interpretation involves assessing how power relations, including gender relations, have changed as a result of the intervention, and how the intervention brought about structural changes in these relations and in other human rights issues. This implies understanding the underlying causes of the development challenges tackled by the intervention, and to what extent these causes have been addressed. A detailed human rights and gender analysis can be carried out. Evaluations of interventions that have failed to address HR&GE issues in their design can consider if the interventions should have paid closer attention to these areas and how this could have been done.

- For evaluations with a ***medium and low level*** of resources, data interpretation is more likely to focus on whether capacity development of rights holders and duty bearers has led to a sustainable increase in capacity or whether there have been changes in attitudes, behaviours, institutions and legal frameworks, and whether this is likely to lead to an improvement in the rights situation of women and individuals/groups who are marginalised and/or discriminated against. These evaluations may also look at whether an enabling environment for improving HR&GE has been created with the support of the intervention. Finally, as in the analysis above, understanding the factors facilitating or hindering changes is critical to a more profound analysis.

6.2.1 Validation

179 Having gathered the information and prepared tentative findings, it is good practice for evaluators to validate these findings through workshops with different groups, to increase their accuracy and reliability, and enhance the sense of ownership of the data and process with all stakeholders.

180 The selection of participants should refer to the stakeholder analysis, including special attention to women and individuals/groups who are marginalized and/or discriminated against, who can normally be left out of discussions due to multiple kinds of constraints. To adequately respond to HR&GE, the workshop needs to follow the lines already adopted in the evaluation process i.e. being as inclusive as possible; creating an adequate and safe space for reflection; and generating active, free and meaningful participation.

6.3 Evaluation report

[61] FAO (2011), *Evaluation of FAO's Role and Work Related to Gender and Development*, Rome, pp.64-64.

181 The evaluation report should indicate the extent to which **gender issues and relevant HR considerations** were incorporated. The report should specify:

- How gender issues were implemented as a cross-cutting theme in programming, and if the subject being evaluated gave sufficient attention to promote GE and gender sensitivity;
- Whether the subject being evaluated paid attention to effects on women and individuals/ groups who are marginalized and/or discriminated against;
- Whether the subject being evaluated was informed by HR treaties and instruments;
- To what extent the subject being evaluated identified the relevant HR claims and obligations;
- How gaps were identified in the capacity of rights holders to claim their rights, and of duty bearers to fulfil their obligations, including an analysis of gender and individuals/groups in vulnerable situations, and how the design and implementation of the subject being evaluated addressed these gaps; and
- How the subject being evaluated monitored and viewed results within this rights framework.
- How the evaluation report should also inform gaps, results and outcomes achieved in terms of gender and HR, under a LNOB umbrella.

182 The extent to which these issues are covered in the report will depend on the attention they have received during the evaluation process and in the intervention evaluated. Where there is a low level of resources invested in analysing the promotion of HR&GE, the evaluation report should clearly indicate the rationale for this choice.

183 According to the UNEG Norms and Standards[62], a specific section on HR&GE should be included at the end of the report. Alternatively, HR&GE responsive evaluations can highlight the implications for HR&GE under each section of the evaluation report, as per the UNICEF-adapted UNEG Evaluation Report Standards in Box 38.[63]

[62] UNEG (2016), *UNEG Norms and Standards for Evaluation*.
[63] UNICEF (2017), UNICEF-Adapted UNEG Evaluation Report Standards.

Box 38. Adapted UNEG Standards

1. Report structure

1.0 The report is well structured, logical, clear and complete.

2. Object of evaluation

2.0 The report presents a clear and full description of the 'object' of the evaluation (what is being evaluated).

- Clear and relevant description of numbers of stakeholders intended to be benefitted or influenced for each result disaggregated by:
  - Type (i.e., institutions/organizations; communities; social groups…)
  - Human rights roles (duty bearers, rights holders)
  - Gender groups (as appropriate to the purpose of the evaluation)
  - Geographic location
- An equity analysis of structural marginalisation, and social and cultural patterns, affecting groups targeted by the evaluation object; and a discussion of gender, power and human rights considerations in the design of the object.

3. Evaluation purpose, objectives and scope

3.0 The evaluation's purpose, objectives and scope are fully explained (why is it being evaluated).

- The evaluation requires an assessment of the extent to which an intervention being evaluated has been guided by UNICEF and system-wide objectives on gender equality and human rights, including child rights and equity
- Main evaluation questions including both standalone and mainstreamed issues of gender and human rights including child rights
- The evaluation analyzes how equity and gender equality mainstreaming principles were included in the intervention design and how results for children have been achieved

4. Evaluation methodology

4.0 The report presents a transparent description of the design and methods used in the evaluation that clearly explains how the evaluation addresses the evaluation criteria, yields answers to the evaluation questions, and achieves evaluation purposes (how is it being evaluated).

- Definition of the evaluation criteria, including mainstreaming of gender equality and human rights norms and standards. Gender equality and human rights dimensions are integrated into all evaluation criteria as appropriate and/or criteria derived directly from human rights principles are used (e.g. equality, participation, social transformation, inclusiveness, empowerment, etc.)
- Gender responsive and human-rights based indicators (disaggregated, gender-specific, gender-distributive, gender-transformative)
- Description of how the methods employed are appropriate for analyzing gender and human rights issues including child rights issues identified in the evaluation scope
- During data screening and data analysis, special attention is paid to data and information that specifically refer to gender equality and human rights issues in the intervention, and make the best possible use of these in the overall assessment of the intervention

5.Findings

5.0 Findings respond directly to the evaluation criteria and questions detailed in the scope and objectives section of the report; and are based on evidence derived from data collection and analysis methods described in the methodology section of the report.

- The evaluation findings reflect a gender analysis of the disaggregated effects of the intervention on different social and cultural groups and on the relations between groups

6.Conclusions

6.0 Conclusions present reasonable judgements based on findings and substantiated by evidence and provide insights pertinent to the object and purpose of the evaluation.

- The gender equality and human rights implications of the conclusions are clearly presented

7.Recommendations

7.0 Recommendations are relevant to the object and purpose of the evaluation, are supported by evidence and conclusions, and were developed with involvement of relevant stakeholders.

- Recommendations explicitly address the implications of the conclusions and findings regarding gender equality and human rights

8.Gender and human rights

8.0 The report illustrates the extent to which the design and implementation of the object, the assessment of results and the evaluation process incorporates a gender equality perspective and HRBA, including child rights.

The evaluation design and style consider incorporation of the UN and UNICEF commitment to a human rights-based approach to programming, gender equality, and equity.

- Stylistic evidence of the inclusion of these considerations can include: using human-rights language; gender-sensitive and child-sensitive writing; disaggregating data by gender, age and disability groups; disaggregating data by socially excluded groups
- Clear description of the level of participation of key stakeholders in the conduct of the evaluation, and description of the rationale for the chosen level of participation (for example, a reference group is established, stakeholders are involved as informants or in data gathering)
- Clear proportionality between the level of participation in the intervention and in the evaluation, or clear explanation of deviation from this principle (this may be related to specifications of the TORs, inaccessibility of stakeholders at the time of the evaluation, budgetary constraints, etc.)

The evaluation approach and data collection and analysis methods are gender equality, and human rights —including child rights—responsive. They are also appropriate for analyzing the gender equality, human rights issues including child rights identified in the scope.

- The report assesses if the design, implementation, monitoring and results of the object of the evaluation, were based on a sound gender analysis, and human rights analysis including child rights.
- The evaluation assesses the extent to which the implementation of the intervention addressed gender, equity, and child rights.
- Identification and assessment of the presence or absence of equity considerations in the design and implementation of the intervention.
- Explicit analysis of the involvement in the object of right holders, duty bearers, and socially marginalized groups, and the differential benefits received by different groups of children.

The evaluation meets or exceeds UN-System Wide Action Plan (UN-SWAP) evaluation performance indicator criteria.

- GEEW is integrated in the Evaluation Scope of analysis and Indicators are designed in a way that ensures GEEW-related data will be collected.
- Evaluation criteria and evaluation questions specifically address how GEEW has been integrated into the design, planning, implementation of the intervention and the results achieved.
- A gender-responsive evaluation methodology, methods and tools, and data analysis techniques are selected.
- The evaluation findings, conclusions and recommendation reflect a gender analysis.

184 A good evaluation report needs to make sure that the information provided by participants during the evaluation process is duly captured with balanced perspectives and fair representation of different points of view. Findings and recommendations need to be formulated in detail, identifying to whom the recommendations are addressed and proposing concrete action points. The evaluation report is the most important resource for the evaluator to reassert the importance of adequately addressing HR&GE.

Chapter 7. Applying HR&GE Principles to Evaluation Use and Dissemination

7.1 Promoting evaluation use

185 The impact of an evaluation exercise is determined by the degree to which the knowledge gained is accessed and used in practice by key decision-makers and a wider audience of affected stakeholders. One of the primary concerns of any evaluator is to produce a useful product, worth the investment, that can influence decision-making through empirical evidence. When done to quality standards and used strategically, evaluations are effective tools to support managing for results and public accountability. They have the capacity to generate vital knowledge and foster institutional learning. Each evaluation has a diverse set of end users, whom evaluators must carefully consider – from the design through to the final reporting – when developing a report that is widely accessible and where the findings and experiences can be applied in practice. In this chapter, two principal means to increase levels of access and use - dissemination and management response - are highlighted.

186 It is the ultimate responsibility of the intervention management to ensure the management response and resulting actions apply HR&GE standards and principles. Evaluators and evaluation managers should also strive to ensure a strong management response and action plans are developed by presenting recommendations that are clear, actionable, and prioritised, specifically on HR&GE issues. Evaluation managers should use their role to quality assure the final report to ensure that the evaluator has presented recommendations in this way. They may be asked to advise management in developing the response. Evaluation managers can also guide the intervention management and encourage them to respond on HR&GE-related issues raised in the report, even if there are no specific recommendations. In so doing, evaluators and evaluation managers can play an important role in guaranteeing that the process of defining the response (from document distribution to the discussion of the conclusions, and the determination of implementation strategies) meets the principles of inclusiveness and participation, accountability, transparency, non-discrimination and empowerment.

187 Three preconditions to ensure an effective evaluation management response and follow-up process is incorporated in HR&GE principles are:[64]

1. **Involve internal and external stakeholders.** To ensure the effective use of the evaluations it is fundamental that its primary audience feels ownership of the evaluation and commits to implementing its recommendations. Through adopting a utilization-focused approach, a sense of ownership can be nurtured by ensuring the intended users are actively involved in significant decision-making processes throughout the evaluation. Actively involving primary intended users leads to greater understanding and ownership of the evaluation process, which in turn leads to an increased probability of use.[65]

2. **Quality evaluation recommendations.** While recommendations should be firmly based on sound evidence and analysis, it is also critical that they are clearly formulated and accessible to a variety of target audiences in order to ensure effective dissemination and implementation. This requires careful consideration of the evaluation's HR&GE

[64] UNEG (2010), *Good Practice Guidelines for Follow up to Evaluations*, UNEG/G(2010)3, p. 4.
[65] Quinn Patton, Michael, 'Utilization-Focused Evaluation', in D.L. Stufflebeam, George F. Madaus, T. Kellaghan (Eds), *Evaluation Models*, 2nd ed., 2011, pp. 426 and 437.

dimensions and may require an adaptation of the language and style used to accommodate the needs of various intended audiences.

3. **Evaluation credibility.** Credibility depends on "independence, impartiality, transparency, quality and the appropriateness of the methods used."[66] Credibility is essential when tackling sensitive political and social issues, as are typically involved in HR&GE work. Strengthening and widening the sense of ownership and buy-in of the evaluation and its findings through validation and participatory dissemination with key stakeholder groups also raises the credibility of the evaluation.

7.2 Including HR&GE standards principles in management responses

188 The management response mechanism identifies practical implementation actions, establishes clear responsibilities and outlines a timeframe for completing the agreed actions. These elements should be concrete, actionable and owned by the evaluation users.

189 Preparation of the management response should consider the HR&GE dimensions from different perspectives:

- **Participation in the discussions:** In line with its commitment to all stakeholders, the management response discussion should be an inclusive process. The stakeholder analysis should inform who will be part of the discussion, and how women's voices and individuals/groups who are marginalized and/or discriminated against will be represented.

- **Implementation of HR&GE related recommendations:** The management response should consider how to address specific HR&GE recommendations, and what results would need to be generated in these areas. Responses to HR&GE recommendations should be prioritized and resources and responsibilities need to be clearly articulated to ensure that they are addressed.

- **Observation of the HR&GE dimensions in other recommendations:** A HR&GE responsive management response should ensure that the implementation of recommendations contributes to the application of HR&GE standards and principles and/or does not impede them.

190 Accountability mechanisms must be in place and adequate resources allocated, to guarantee an appropriate follow-up to the recommendations.

191 Follow-up to management responses include formal and informal processes to promote and verify that evaluation-based learning occurs within the organization and among partners. This often includes the publication of management responses in public databases and management reports on the status of implementation of recommendations. The obligation of the implementing office to track and update their status serves as an important monitoring tool that should be complemented with a reporting mechanism, such as annual reports to Executive Boards, etc.

192 The use of public databases to house evaluation reports and management responses are common among an increasing number of UN entities. The databases are often searchable by gender equality

[66] Op. cit. 65.

categories but not necessarily by human rights topics. For example, UNDP and UN Women have developed web-based models for tracking recommendations - Evaluation Resource Centre (ERC) and Global Accountability and Tracking of Evaluation Use (GATE) respectively - which are searchable by categories such as 'fostering democratic governance' and 'gender mainstreaming.' Additionally, the UNFPA evaluation database is searchable by keyword including gender (women and children's rights), and the database includes corresponding management responses.

7.3 Dissemination taking into account HR&GE principles

193 Key findings and recommendations of an evaluation should be made available to a wide audience that extends beyond the intervention partners and key stakeholders. Broad dissemination of knowledge generated by evaluation exercises can serve to increase the impact of evaluation in important ways.[67] Further, access to evaluation findings can be empowering, as it can provide stakeholders with previously inaccessible knowledge. To this end, organizations, such as the World Bank have implemented Web Content Accessibility Guidelines (WCAG) to ensure the accessibility of their digital communications (including research and evaluation products).

Box 38. Dissemination of Evaluations: Clarity and Accessibility

The UNEG Norms for Evaluation in the UN System, require that:

- Evaluations should be conducted, and evaluation findings and recommendations presented, in a manner that is easily understood by target audiences.
- Evaluation findings and lessons drawn from evaluations should be accessible to target audiences in a user-friendly way.

The Technical Note on Integrating Gender in WFP Evaluations highlights that:

Evaluation dissemination should consider gender dimensions. A gender responsive dissemination strategy should:

- Disseminate findings on gender to diverse groups of stakeholders who have interest in, and are affected by, the intervention under evaluation.
- Promote, as far as possible, the way in which the evaluation addressed gender issues within the UN system, NGOs, donor agencies, civil society and government stakeholders.

194 Evaluation managers are responsible for designing a comprehensive dissemination strategy that will efficiently distribute evaluation findings and recommendations in the most accessible, transparent and inclusive way possible. It must be noted, however, that often it is not feasible given resource and cost constraints to implement all of the dissemination channels highlighted in this section. Therefore, careful consideration should be given to who will actually be interested in and able to use the findings. In particular, the Evaluation Office should **identify and involve the direct users of the evaluation.** It is important to refer to the stakeholder analysis to assess to whom the evaluation should be disseminated, how best to provide access to information for the various stakeholder groups identified, how direct users should be engaged and how they can contribute to dissemination, and how they can take advantage of their own channels to disseminate the evaluation. Community members should be targeted in addition to heads of communities affected by the evaluation and community-based organizations.

[67] UNDP (2009), *Handbook on Planning, Monitoring and Evaluating for Results*, p. 184.

195 In addition to the direct users already defined in the stakeholder analysis, the dissemination phase is a key time to identify other potential users who may benefit from the evaluation findings, or who may have an interest to know the conclusions of the process including, for example:

- **International and national human rights, women's rights and gender equality groups and other CSOs, including those representing persons with disabilities.** These groups may be at the forefront of promoting HR&GE. If appropriate, it may be useful to brief them separately.
- **Duty bearers.** State and government counterparts not directly involved in the programme being evaluated should be targeted as appropriate, especially if they are tasked with fulfilling the relevant State's human rights and gender equality mandates that the findings speak to.
- **Evaluation networks.** Global, regional and national evaluation networks make important contributions to the evaluation field and act as important forums for sharing lessons, challenges and experiences on HR&GE responsive evaluation.
- **Provide barrier-free access to evaluation products** by ensuring sure that the language and format of the report are accessible to all potential users and accommodates any accessibility issues they may have.

7.1.1 Targeted dissemination

196 Often, evaluation reports are not equally accessible to all targeted groups. To overcome this, dissemination planning should identify a diversity of channels and formats that appeal to and reach different audiences. Seeking alternative ways to present evaluation findings to women and individuals/groups who are marginalised and/or discriminated against is essential, and fulfils their right to know the conclusions of the processes to which they have contributed and by which they are affected. For example, UNICEF in its standards for dissemination requires that stakeholders are consulted about which evaluation products are the most accessible and which dissemination channels are the most useful (e.g. social media, blogs, infographics, videos, briefings).

197 The dissemination of evaluation findings should also be done in such a way that allows equitable access for all affected parties, including accommodation for persons with disabilities.

Box 39 Targeted Dissemination

The UNICEF Guidance on Gender Integration in Evaluation requires that:

- Evaluation messages and recommendations reach all gender identity groups and key implementing partners;
- Methods and formats for dissemination of key evaluation findings are gender-sensitive, using various media tools (video, photos, social media) to reach women and girls and their organizations; and
- Evaluation recommendations and messages disseminated in a gender-responsive, and culturally-appropriate way.

7.2.2 Feedback and lessons learned

198 Finally, it is important to establish feedback and learning mechanisms on the effectiveness of the dissemination strategy, the quality of knowledge products, and their impact (where feasible). This will help to gauge the extent to which evaluation information has been useful and applied in programming and policy decision-making. Information should also be gathered on rights holders' (in particular, women and groups in vulnerable situations) participation in the follow-up process.

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