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**EVALUATION OF DFID'S POLICY AND
PRACTICE IN SUPPORT OF
GENDER EQUALITY AND WOMEN'S
EMPOWERMENT****THEMATIC STUDIES
VOLUME III**

GENDER AND BUDGET SUPPORT
GENDER EQUALITY THROUGH JUSTICE
AND RIGHTS-BASED POLICIES AND PROGRAMMES
DFID'S EFFORTS TO ADDRESS GENDER EQUALITY GOALS
IN INTERNATIONAL PARTNERSHIPS
SUMMARY OF RESEARCH IN GENDER
AND DFID'S SUPPORT TO PRO-POOR GROWTH

COWI Evaluation Team

DEPARTMENT FOR INTERNATIONAL DEVELOPMENT

EVALUATION REPORT EV669

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

Thematic Studies

Volume III

Gender and Budget Support

**Gender Equality through Justice and Rights-based
Policies and Programmes**

**DFID's Efforts to Address Gender Equality Goals
in International Partnerships**

**Summary of Research in Gender and DFID'S Support
to Pro-Poor Growth**

COWI Evaluation Team

August 2006

PREFACE

By Mark Lowcock
Director General, Policy & International

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

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

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

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

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

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

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

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Empowerment

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

Equality of opportunity

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

Equity of outcomes

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

Evaporation (policy evaporation)

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

Gender and Development (GAD)

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

Gender blind

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

Gender Equality (GE)

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

Gender mainstreaming

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

Gender roles

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

Resistance

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

Glossary

Twin-track approach

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

Women in Development (WID)

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

DEPARTMENT FOR INTERNATIONAL DEVELOPMENT

EVALUATION REPORT EV669

**Evaluation of DFID'S Policy and Practice
in support of
Gender Equality and Women's Empowerment:
Gender and Budget Support
Thematic Study**

**Tom Dahl-Østergaard and Wendy Taylor
August 2006**

CAP	Country Assistance Plan
CCI	Cross-cutting Issues
CIDA	Canadian International Development Agency
CO	Country Office
CSO	Civil Society Organisation
DAC	Development Assistance Committee (OECD)
DAG	Development Assistance Group
DBS	Direct Budget Support
DCI	Development Cooperation Ireland
DFID	Department for International Development
DGGE	Donor Group on Gender Equality
EC	European Commission
EU	European Union
EVD	Evaluation Department
GBS	General Budget Support
HIPC	Highly-Indebted Poor Country
IMF	International Monetary Fund
JAS	Joint Assistance Strategy
MDG	Millennium Development Goal
M&E	Monitoring & Evaluation
MOFED	Ministry of Finance and Economic Development
MoU	Memorandum of Understanding
ODA	Overseas Development Assistance
ODI	Overseas Development Institute
OECD	Organisation for Economic Cooperation and Development
PAF	Performance Assessment Framework
PARPA	Action Plan for the Reduction of Absolute Poverty (Mozambique)
PEAP	Poverty Eradication Action Plan
PEM	Public Expenditure Management
PER	Public Expenditure Review
PFM	Public Finance Management
PGBS	Partnership General Budget Support
PRBS	Poverty Reduction Budget Support (sector and general budget support)
PRGF	Poverty Reduction and Growth Facility
PRS	Poverty Reduction Strategy (Paper)
PRSP	Poverty Reduction Strategy Paper
PRSC	Poverty Reduction Strategy Credit
PSCAP	Public Sector Capacity Building Programme
PSNP	Productive Safety Nets Programme
SDA	Social Development Adviser
SDPRP	Sustainable Development and Poverty Reduction Programme
Sida	Swedish International Development Assistance
SWAp	Sector-wide Approach
ToR	Terms of Reference
UNDP	United Nations Development Programme
USAID	United States Agency for International Development

Abbreviations

USD United States Dollars
WID Women in Development

EXECUTIVE SUMMARY

S.1 There has been a significant shift in aid modalities over recent years. An increasing number of donors have concluded that the most effective and efficient way of supporting the implementation of country-owned Poverty Reduction Strategies (PRS) is through the provision of budget support. This poses new challenges.

S.2 The key objective of this thematic study on gender and budget support is to explore how DFID is pursuing its gender equality policy objectives when assistance is provided in the form of Poverty Reduction Budget Support (PRBS), and what results and impacts can be observed. The study feeds into the larger DFID Gender Evaluation which, in addition to the present study, comprises three country case studies and three thematic impact evaluations.

S.3 This thematic study is based on a desk review of key documents on PRBS in Mozambique, Tanzania, Uganda and Ethiopia. This means that the formal and informal processes of gender influencing that DFID staff at the country offices are engaged in are not captured in this study beyond what is reflected on this in the documents reviewed. A limited number of interviews were carried out at DFID in London and with various stakeholders in Addis Ababa, where a few days of supplementary interviewing took place.

S.4 The data provided to the Evaluation Team show that DFID's budget support disbursements to all countries that receive PRBS were planned to nearly double from £339 million in 2003/04 to £628 million in 2005/06. The four countries covered by this thematic study were to be the largest recipients of PRBS from DFID in 2005/06, and budget support would have accounted for 70-85% of DFID's aid to these countries.

S.5 DFID does not give budget support in a vacuum. PRBS is typically provided through a joint and multi donor arrangement, normally referred to as *Partnership General Budget Support*. The multi donor arrangements for Mozambique and Tanzania, for example, comprise respectively 17 and 14 donors. Furthermore, given the nature of budget support (where funds are fungible) and the emphasis given to partner country ownership, it is virtually impossible to attribute and track the particular effect and impact on gender equality and women's empowerment of any particular donor's budget support contributions. Under these circumstances, it is not possible to find out on the basis of a literature review what DFID has done to pursue the gender equality objectives and what the results and impacts have been.

S.6 The Evaluation Team has drawn mainly upon the following types of documents for each of the four countries reviewed: a) Poverty Reduction Strategies (PRS); b) PRS progress reports; c) Country Assistance Plans (CAPs); d) PRBS agreements; and e) Performance Assessment Frameworks (PAFs).

S.7 The thematic study leads to a series of conclusions. These are outlined below:

S.8 PRBS is largely predicated on the partner country's PRS and its implementation. This leads us to conclude two things. First, the gender 'orientation' of DFID's budget support is mainly a function of how gender is dealt with in the PRS. It requires considerable effort (policy

Executive Summary

dialogue, influencing and advocacy) to make the implementation of the PRS more gender focused than the PRS itself. Second, the gender mainstreaming efforts of a PRBS donor, such as DFID, have to focus on the integration of gender concerns within the PRS and its implementation.

S.9 In view of the weaknesses of the PRSs examined in connection with this thematic study and the generally limited attention given to gender issues within these and in the attendant PAFs, DFID's ability to both promote gender equality through PRBS and to assess achievements in this area needs to be strengthened and better documented. As a result, we found no evidence on the impact of DFID's work on gender equality in any of the documents reviewed for this study.

S.10 This does not mean that DFID's budget support has no effect on gender equality. It is possible that DFID's (and other's) efforts to influence stakeholders have had an impact, especially in Uganda and Ethiopia, as the examples cited in this report indicate. The point is, however, that it was impossible to ascertain gender impact because this study was a desk review that cannot capture the effects of such processes unless they are documented, which they were not. Moreover, since PRBS, by definition, is un-earmarked, the likelihood of making causal links between PRBS and gender equality is limited.

S.11 Our findings from Ethiopia indicate that the ability of DFID to extend its influence may also be constrained by weaknesses in the government structures at its lower levels. In the absence of an effective devolved or decentralised system of government, the commitments to gender equality contained within a country's PRS are not likely to be translated into actions which can improve the lives of women and men if local governments do not have ownership to the idea and capacity to implement it. It is not clear from the documents reviewed to what extent this would also apply to Mozambique, Tanzania and Uganda.

S.12 The evidence from Uganda presented in this report showed that stakeholders in the PRBS process were principally concerned with fiduciary risk, budgeting and financial management in the first generation of the PRBS arrangements. The overall findings of the General Budget Support (GBS) Evaluation (Lister, 2006) indicate that this is fairly typical. Provided there are strong domestic champions working towards the incorporation of more strategic concerns such as gender equality and women's empowerment, this may happen in the second and future generations of PRS and the linked PRBS arrangements.

S.13 As PRBS should not be overloaded with particular donor policy priorities, donors need to work with and facilitate networks of committed national advocates of gender equality and women's empowerment, including civil society organisations, to champion the process. The partnership architecture that exists in one form or another in each of the four countries studied and which has been set up to facilitate the implementation of the PRBS aid modality, offers a means to do this, provided the full range of national and international stakeholders are involved.

S.14 The thematic study also gives rise to a few recommendations. These are outlined below:

S.15 In order to achieve an increased gender profile in the PRS, it is recommended that DFID's country offices work more with partner country gender and women's organisations to promote their advocacy work, given the role of the latter in the formulation of the PRS.

S.16 DFID, in partnership with other GBS donors, should continue to promote the inclusion of gender indicators into the PRS and PAF monitoring systems.

S.17 To enhance the PAF as the main monitoring instrument of PRBS performance, it is recommended that it be linked with other processes such as gender budgeting to ensure that there is a more explicit focus on gender. In this respect, using the experience that DFID has gained in Uganda and Tanzania, other country offices could both advocate and provide technical assistance for the institutionalisation of gender budgeting within the partner countries' planning and budgeting systems.

S.18 As a follow up to this thematic study, which was based on desk review of available documentation, it is recommended that a field-based study be launched in order to capture the formal and non-formal processes of gender influencing that DFID staff at the country offices are engaged in. The study should focus on the identification of good practices and lessons learnt that can be employed more broadly in order to strengthen the gender equality and women's empowerment dimensions in the context of budget support.

1 Introduction

1.1 Context

1.1 There has been a significant shift in aid modalities over recent years. A large and increasing number of developing countries have developed comprehensive national development strategies often in the form of Poverty Reduction Strategy Papers (PRSPs). An increasing number of donors have concluded that the most effective and efficient way of supporting these country-owned development strategies is through the provision of budget support. This poses new challenges for gender mainstreaming, which was largely conceptualised in the context of project and sector programme aid modalities.

1.2 The key objective of this thematic study on gender and budget support is to explore how DFID is pursuing its gender equality policy objectives when assistance is provided in the form of Poverty Reduction Budget Support (PRBS, both sector and general budget support), and what results and impacts can be observed.

1.3 The study feeds into the larger DFID Gender Evaluation, which in addition to the present study comprises three country case studies and two thematic impact evaluations.

1.4 Specific terms of reference (ToR) were established for the thematic study and this report is based on and limited to that. The study was based on desk review of key documents provided by the Evaluation Department on general budget support (GBS) in Mozambique, Tanzania, Uganda and Ethiopia. During the course of the study, it became clear that more aspects than were included in the Terms of Reference (ToR) need to be thoroughly analysed in order to get the full picture. Clearly, there are limitations to what can be captured by a desk study. For example, it would have been desirable to explore DFID's role in promoting gender in PRBS through donor gender groups and dialogue with recipient governments in the four countries studied, but this was not possible given that the study was designed as a desk review of key documents that did not contain information on this. Moreover, as the complete range of relevant documents on PRBS in each country was not available to the Evaluation Team, the document review is not comprehensive nor exhaustive. Nevertheless, the evaluation team believes that sufficient documentation has been reviewed to make a number of important observations, some of which might need further - field-based - research before definitive conclusions are drawn.

1.5 The structure of this report is the following. The remainder of this Introduction part outlines the status and trends with regard to DFID budget support disbursements and presents the methodology employed in this study. The Analysis and Main Findings part is divided into the three dimensions that guided the overall gender evaluation of DFID assistance: 'internal effectiveness', 'external effectiveness' and 'DFID's role and comparative influence'. Under all of these headings, PRBS documents are reviewed for each of the four countries studied. The last part of the report presents the conclusions and recommendations.

Introduction

1.2 GBS - status and trends

1.6 GBS is funds channelled directly to recipient governments using their own allocation, procurement and accounting systems, and the funds are not earmarked to specific uses. PRBS is normally a package which, in addition to funds, consists of policy dialogue, conditionality and a monitoring framework to assess progress against agreed policy targets. Hence PRBS is accompanied by various understandings and agreements between the recipient government and donors about the government's development strategy (the PRS or similar). Usually, technical assistance and capacity building are also included in the package.

1.7 Evaluation of gender and budget support needs at least two entry points, due to the above special features of budget support. As the PRBS provides un-earmarked funding for the implementation of the PRS, the quality of the PRS with respect to gender, the extent to which the gender aspects of the PRS are reflected in the government budget and the capacity of the public administration to implement the PRS will be decisive for the impact of gender on the ground.

1.8 In short, PRBS is not a distinct project, programme or even a settled strategy; it is essentially funding for a PRS. As such, the quality of the PRS (and its implementation) in gender terms basically determines the quality of the PRBS in gender terms. Hence, the first entry point is an evaluation of the quality of the existing PRS.

1.9 However, as part of the policy dialogue and conditionality package, donors can influence not only the formulation and revisions of the PRSs but also the emphasis that government places on the implementation of various policy elements of any existing PRS. Hence, the second entry point is an assessment of the various policy processes linked to the PRS/PRBS set-up.

1.10 The recent Joint Evaluation of General Budget Support 1994-2004 (Lister, 2006¹) operates with three main effects of PRBS, namely: 1) the flow of funds effect; 2) institutional and policy effects and 3) effects on growth and poverty. In very simplified terms, the first effect of PRBS relates to our first entry point, namely the effects on public expenditure of the (additional) funds made available for implementation of the PRS. The second effect of PRBS relates to our second entry point, namely the effect of policy dialogue and conditionality on government policy processes and institution building. The third effect of PRBS is related to the effects of the funding and implementation of the PRS itself. For our purpose, this would be gender outcome and gender impact on the ground.

1.11 The GBS Evaluation provides a concise presentation of the conceptual challenge of, on the one hand, providing un-earmarked funding to a government-owned PRS and, on the other hand, trying to influence the very same government's policies and prioritisation through dialogue and conditionality. There is inevitably a tension between a strategy of holding back to allow space for domestic policy-making and the urge to promote particular solutions. But, in all cases, PRBS

¹ The *Joint Evaluation of General Budget Support* (Lister, 2006) was contracted and led by DFID's Evaluation Department on behalf of a consortium of 18 bilateral donors and six international organisations, including OECD DAC and the World Bank. The evaluation comprised seven country studies (Burkina Faso, Malawi, Mozambique, Nicaragua, Rwanda, Uganda and Vietnam) and the final synthesis report was published in May 2006. In the present thematic study, the Joint Evaluation of General Budget Support is referred to as 'the GBS Evaluation.'

is linked to the PRSP philosophy that donors should refrain from imposing their preferred policy solutions on unwilling governments but foster national policy-making and planning processes in which, through appropriate participation, the interests of the poor are effectively represented (Lister, 2006, p.59).

1.12 It needs emphasising that DFID does not give budget support in a vacuum. PRBS is typically provided through a joint and multi-donor arrangement, normally referred to by the participating donors as *Partnership General Budget Support (PGBS)*. The PGBS for Mozambique and Tanzania, for example, comprise respectively 17 and 14 donors. Furthermore, given the nature of budget support (where funds are fungible) and the emphasis given to partner country ownership, it is virtually impossible to attribute and track the particular effect and impact on gender equality and women's empowerment of any particular donor's budget support contributions. Under these circumstances, it is not possible to find out on the basis of a document review what DFID has done to pursue the gender equality objectives and what the results and impacts have been².

1.13 In recent years, DFID's PRBS disbursements have increased considerably, both in terms of absolute amounts and relative shares of total disbursements. Table 1 (overleaf) provides an overview:

² The GBS Evaluation concluded that 'since PGBS is not a distinct project, programme or even a settled strategy, it is not possible to isolate it for evaluation' (Lister, 2006, p.117).

Introduction

Table 1: DFID PRBS disbursements - £ million³

	FY 2003/04		FY 2004/05		FY 2005/06 (provisional)	
	PRBS	PRBS as % of DFID aid to this country	PRBS	PRBS as % of DFID aid to this country	PRBS	PRBS as % of DFID aid to this country
Ethiopia ⁴	20.00	49.5%	45.00 ⁵	75.6%	77.00 ⁶	85.5%
Mozambique	20.32	55.5%	35.84	78.4%	42.00	76.4%
Tanzania	60.25	75.5%	65.54	74.0%	85.00	77.3%
Uganda	30.00	55.1%	35.00	62.6%	50.00 ⁷	69.8%
Totals for all 18 countries that receive PRBS from DFID	339.4	40%	422.8	41%	628.15	52%
All country programmes		21%		24%		30%

Source: Figures provided by DFID Aid Effectiveness Team, London (taken from DFID Statistics on International Development 2005 and Departmental Report 2005).

1.14 Although the figures in the table are provisional for the current financial year, several observations may be drawn. In the context of the present study, it is relevant to highlight the following:

- over the short period from 2003/04 to 2005/06, PRBS disbursements from DFID were originally planned to nearly double (increasing from £339 million to £628 million)
- the share of PRBS to total DFID bilateral aid disbursed to all programme countries was planned to increase by nearly 50% (from 20.9% to 30.01%)

³ The figures provided on PRBS comprise both GBS and earmarked budget support, the so-called sector budget support. The latter accounted for 14%, 32% and 21% of the PRBS in each of the financial years covered.

⁴ In Ethiopia, PRBS refers to direct budget support (DBS) only. For comparative purposes, however, the figures provided in this table comprise both DBS and earmarked budget support, the so-called sector budget support.

⁵ Of this amount, £30 million was provided as DBS and £15 million as earmarked budget support to the Productive Safety Nets Programme (PSNP).

⁶ Of this amount, £50 million was planned as DBS. None of this will now be disbursed as un-earmarked DBS. Alternative means of disbursing some portion of the funds in a way that helps support the provision of basic services are being explored. £17 million was allocated to PSNP and £10 million as earmarked budget support to the Public Sector Capacity Building Programme (PSCAP).

⁷ Following concerns raised in a recent economic and governance assessment, DFID announced that the planned budget support of £50 million would be reduced by £20 million (press release, 20 December 2005).

- the four countries covered by this thematic study on gender and budget support were scheduled to be the largest recipients of PRBS from DFID in 2005/06⁸ - in descending order: Tanzania Ethiopia, Uganda and Mozambique
- PRBS as a percentage of DFID aid received/planned varies between the four countries covered, but the pattern is clear: Tanzania's share of PRBS is relatively large and stable over the period (fluctuating around 75%), Uganda's share was planned to increase by 27%, Mozambique's share will increase by 37% and Ethiopia's share was scheduled to rise even more (by 73%)

1.15 These findings confirm that budget support is a strong and increasingly important feature of DFID aid. They also demonstrate that the four countries selected are relevant for the purpose of the thematic study on gender and budget support.

1.3 Methodology

1.16 This thematic study is based on desk review of selected documents provided by the Evaluation Department. This has at least three important implications:

- apart from information gathered from a few supplementary interviews, the evidence used in this study is limited to that which is available in the documents reviewed
- since the study did not involve field work as such, all the formal and informal processes of gender influencing that DFID staff at the country offices are engaged in are not captured in this study beyond what is reflected on this in the documents reviewed
- given this study's strong focus on budget support and the limited time available, it was not possible, nor the intention, to undertake a systematic assessment of the experience in the four countries covered on other aid modalities like projects and Sector-Wide Approaches (SWAs). The Evaluation Team is mindful of the problems with the traditional project support mechanism⁹) and it is not assumed or believed that projects or sector approaches are inherently more effective than budget support

1.17 The Evaluation Team has drawn mainly upon the following types of documents for each of the four countries reviewed. Their links to the two analytical entry points mentioned above are indicated below:

- PRS and PRS progress reports. (*Assessment relating to entry point 1*)
- Country Assistance Plans (CAPs): analysis of the extent to which DFID's corporate gender policy is reflected in the CAPs to provide a basis for influencing - through dialogue and conditionality - the PRS revisions and government priorities during PRS implementation. (*Assessment relating to entry point 2*)

⁸ This may be observed from the larger data set from which the data in the table are derived.

⁹ Numerous evaluations carried out during the 1990s have documented this. Basically, the problems with the project modality relate to issues of harmonisation, ownership and partnership, internal accountability and coherence (see Riesen, 2005, pp. 31-32).

Introduction

- Memorandums of understanding (MoUs) on PRBS and Performance Assessment Frameworks (PAFs): estimation of the extent of gender dialogue and conditionalities in connection with these documents. (*Assessment relating to entry point 2*)

1.18 Several other documents were identified and consulted. Among the more important were a series of excellent reports emerging from the GBS Evaluation¹⁰.

1.19 However, while a review of the documents listed above can provide a good indicator of the extent to which gender equality is a feature in the processes and dialogue in connection with the preparation, implementation and monitoring of the PGBS arrangements (as far as this is documented), this may not do justice to DFID's endeavours to pursue the gender equality policy objectives. For this reason, the desk review was supplemented with interviews in Ethiopia over the period 31 October - 4 November 2005. The methodology adopted for the work in Ethiopia involved meetings with members of the DFID Ethiopia country office (CO) including the Deputy Head of Office (Programmes), the Social Development Adviser (SDA) and other selected Advisers; selected ministries within the Ethiopian Federal Government; multilateral agencies; and bilateral donors involved in gender work and/or budget support. Regrettably, the Evaluation Team was unable to complete its full scheduled programme of meetings in Ethiopia¹¹. A list of persons met and their organisations are included in Annex 1.

1.20 The fact that on-site interviews were done in only one of the four countries covered by this thematic study means that, in the country-by-country reviews that follow below, the extent of information and level of detail provided on Ethiopia is greater than that of the other three countries.

1.21 Supplementary telephone interviews were done with DFID staff at the CO in Uganda. This report also benefited from written comments to earlier versions received from the COs in Uganda, Ethiopia and Mozambique, as well as from the Evaluation Department and Policy Division.

1.22 Apart from the above, interviews were carried out at DFID in London on 3rd - 4th October 2005 and, in conjunction with that, a member of the Evaluation Team participated as observer in the Steering Group meeting of the GBS Evaluation in Reading on 5th October 2005.

1.23 By way of closing this section on methodology, some of the caveats that accompany this thematic study and its conclusions are emphasised below. As there are limitations to what can be achieved through a desk study with the purpose of evaluating gender and budget support, it is recognised that:

- DFID can do a lot of influencing work that is not captured in the documents that form the basis for this study

¹⁰ The principal documents consulted were: *Evaluation of General Budget Support: Synthesis Report* (version from May 2006; Lister, 2006); *Learning from Experience with Performance Assessment Frameworks for General Budget Support* (Sep 2005); *Mozambique Country Report* (11 Sep 2005), by Richard Batley, Liv Bjørnstad and Amélia Cumbi. See footnote 1 for details on the GBS Evaluation.

¹¹ The timing of the visit to Ethiopia coincided with the outbreak of violence in connection with demonstrations following the May 2005 elections. Subsequently, DFID and other donors decided to review future plans regarding disbursements of PRBS.

- DFID can do a lot on gender through other aid modalities, which is not covered by this study

1.24 Moreover, it is not possible to assess gender impact on the ground on the basis of the documents reviewed.

2 ANALYSIS AND MAIN FINDINGS

2.1 Internal effectiveness

2.1 The ToR for this thematic study did not comprise the internal effectiveness of the COs. However, as this is a main evaluation parameter of the larger DFID Gender Evaluation, a few observations made by the Evaluation Team are included below. They relate to the competencies of staff at the COs, the structure of the COs and the structure of incentives that motivate staff behaviour.

2.2 In recent years, DFID has become highly decentralised, which has increased the autonomy of the COs. Findings from other parts of the DFID Gender Evaluation show that there is a widespread perception that COs are relatively free to choose the emphasis with which they pursue DFID's various general policy objectives. This would also apply to the degree to which they focus on the corporate gender equality policy objectives in their work.

2.3 Against this background, the Evaluation Team has observed that the SDAs currently play an important role and, in particular, it can make a considerable difference if the SDA has gender competence, a personal interest and management support to pro-actively pursue DFID's gender policy objectives¹². The example of Tanzania may illustrate the last point. Until recently, the CO in Tanzania had a Poverty Policy Adviser¹³ who had a personal interest in gender issues, but who was encouraged to focus on other priorities by the Country Director. As part of donor harmonisation and a certain division of labour, it was decided to leave gender issues to the Dutch, which had taken the lead on this among the donors in Tanzania.

2.4 In Ethiopia, on the other hand, the SDA devotes much of her time to gender issues and this is often spent within the 'external environment' - rather than within the country office - as a member and currently chairperson of the Donor Group on Gender Equality.

2.5 The Uganda CAP (2003) pointed out that the increasing focus on budget support requires deeper understanding of technical and political aspects of budgets and a new emphasis on policy dialogue, negotiation and influencing with partner governments. To help this new agenda, the CO was organised in three 'Core Teams' (services; growth; conflict resolution, rights and pro-poor politics). According to the CAP, cross-cutting issues - and gender is mentioned specifically - were to be mainstreamed throughout the three Core Teams, championed by an office focal person. It was learnt through the evaluation that the core teams were helpful in promoting information sharing but not in fostering joint analysis, nor did they lead to successful gender mainstreaming¹⁴.

2.6 The willingness of DFID staff to engage in gender issues is related to their career incentives. If gender is included as a parameter against which staff performance is assessed, there is greater likelihood that attention is paid to this. In Ethiopia, it was found that only one of the seven DFID staff members interviewed had gender explicitly mentioned in her Personal Development Plan.

¹² The information in this paragraph is based on interviews with the former Poverty Policy Adviser in Tanzania, the SDA and other staff at DFID Ethiopia, as well as representatives of other donors in Ethiopia.

¹³ That person is a Social Development Adviser.

¹⁴ Interview with Arthur van Diesen, SDA, DFID Uganda.

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Specific issues emerging from fieldwork in Ethiopia:

2.7 DFID Ethiopia became a fully-fledged CO in 2004. For the implementation of its CAP, the office is currently organised in of two teams: Growth and Livelihoods and Effective State and Sustainable Development. General budget support, matters concerning the government's Sustainable Development and Poverty Reduction Strategy (SDPRP) and gender fall within the purview of the former. However, the Economic Adviser, who deals primarily with budget support, and the SDA, whose responsibilities include gender concerns, are members of both teams. They thus 'split up' for team meetings, which are held simultaneously every two weeks. Other programme meetings, which focus on a few specific issues, are also held regularly.

2.8 As indicated, mainstreaming DFID's gender equality policy objectives is a responsibility of the SDA. It is included in her job description and constitutes one of her performance assessment criteria. One way in which the SDA fulfils this requirement internally is to provide a gender perspective on ToR which other advisers in the office prepare in respect of their respective areas of work.

2.9 The SDA also contributes towards keeping the CO aware and up-to-date on ongoing gender issues and concerns through her membership (currently chairperson) of the Donor Group on Gender Equality (DGGE) (see below) as the DFID representative. The SDA uses both formal and informal channels within the CO to brief her colleagues on the outcomes of the DGGE meetings.

2.10 With regard to other members of staff who were interviewed, it was evident that gender mainstreaming requirements were not included in their job descriptions nor constituted performance assessment criteria. Whether gender mainstreaming was integrated varied according to the different sectors covered by the respective advisers. For instance, the Food Security Adviser stated that, in respect of the PSNP, gender - and HIV/AIDS - were taken into account as was their effect on the programme. In other cases, it was not done automatically: it was sometimes referred to as being an 'extra burden' or it was considered that at present there were other more important policy priorities which had to be taken into account first. Furthermore, no reference was made by anyone in the CO to DFID's gender related Target Strategy Papers, *Realising Human Rights for Poor People* (2000) and *Poverty Elimination and the Empowerment of Women* (2002).

2.11 The predominance of the budget support aid modality has meant that the CO has devoted considerable time to setting up systems, structures and procedures which are needed for the operationalisation of direct budget support (DBS)¹⁵. Under the circumstances, policy objectives such as gender mainstreaming have not been at the forefront of DFID Ethiopia's internal operations.

2.12 While it is clear that DBS does not provide the same automatic opportunities for field visits as do projects and programmes, there are ways to compensate at least partially for this. The CO draws on a network of organisations that have an excellent understanding of gender

¹⁵ This is done primarily on a collaborative basis through DFID's membership of the DBS Donor Group as described below.

issues within the different regions of Ethiopia. DFID Ethiopia argues that the onus is on the donors of DBS to strengthen such networks and information sources to compensate for the lack of regular field work.

2.2 External effectiveness

2.13 The provision of PRBS usually accords with a fairly uniform process or logical sequence of stages and with a standard set of documents. This allows for a systematic assessment to be made of the way in which gender is dealt with in connection with budget support. The logical sequence of stages in the PRBS process is the following (though some variations occur):

- a. Poverty Reduction Strategies
- b. Country Assistance Plans
- c. PRBS agreements (MoUs)
- d. Performance Assessment Frameworks.

2.14 This sub-section on external effectiveness discusses each of these stages in more detail. Specific information on each of the four countries covered by this thematic review is presented under each of the four headings to the extent that documentation was available to the Evaluation Team. For each stage, some introductory points are first made followed by our key overall findings.

2.3 Poverty Reduction Strategies

2.15 The Paris Declaration on Aid Effectiveness (March 2005) reaffirmed the commitment to strengthening partner countries' national development strategies and associated operational frameworks and the donors committed themselves to respect partner country leadership. As a consequence of this, the PRS has become the fundamental point of reference to which all aid interventions should be aligned. PRBS is basically conceived as a financing mechanism for the implementation of the PRS. This being so, it cannot be expected that PRBS agreements and their associated PAFs pay attention to gender issues if a PRS is gender blind. But even a minor reference to gender in the PRS provides the donors with a legitimate reason to engage the government in a policy dialogue in order to influence the implementation of the PRS in a more gender-sensitive direction.

2.16 Our analysis of how gender is dealt with when aid is provided in the form of budget support, therefore, begins with an assessment of the PRSPs for each of the four countries under review. Before they are examined in turn, it is useful to consider some of the major points raised in connection with the PRSP Monitoring and Synthesis Project, which the Overseas Development Institute (ODI) managed for DFID from 2001 to 2004. In the final report of the project, it was reported that, while the PRS approach has led to the adoption of national plans which are much more comprehensive than their predecessors, weaknesses in content remain in key areas such as growth and gender. Others (Reisen, 2005 and Whitehead, 2003) have also found that the PRSPs do not adequately take account of gender equality and the empowerment of women.

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2.17 The ODI report cited above also stated that donors continue to pursue the adoption of their favourite policies, targets and indicators through a combination of explicit conditionality and backstage negotiation and influencing. Yet, this could undermine some of the political success factors (ownership) behind the PRSs in certain contexts. The report pointed out that as donors seek to minimise the level of detailed policy conditionality - and DFID has made a decisive move in this direction - they have to find a way of pursuing their policy objectives which does not undermine country ownership.

2.18 According to DFID Ethiopia, when donors review PRSs in order to assess whether they can form the basis for development support, they highlight to government both the strengths and weaknesses of the strategy, and part of this process constitutes a dialogue around issues needing further work. Hence, as part of this dialogue a strong joint donor statement about gender may not be contradictory to the issue of ownership.

2.19 Overall, our review of the PRS in the four countries suggests that the greater the ownership there is within a country to the importance of gender equality and women's empowerment, the more likely it is that a PRS will address gender inequality. Moreover, the implementation of the gender commitments that are reflected in the PRS depends, to a great extent, on the consultation process behind the PRS and how well it reflects local priorities.

2.20 Taking Uganda as the prime example, a considerable amount of resources have been devoted over a period of time to creating awareness and understanding and carrying out gender sensitisation with stakeholders at all levels of society¹⁶. These efforts have been spearheaded both by domestic and external stakeholders. With this sort of capacity, a country can move towards institutionalising and mainstreaming gender in its development process as reflected in its PRS. Without it, gender is often narrowed down to a few specific indicators usually in the areas of education and health. Taken together, the experience of the four countries indicates that it is possible to sharpen the focus on gender in the second and future generations of PRS, provided domestic stakeholders take charge and drive the process forward. In Uganda, DFID has supported such domestic stakeholders as a complement to the PRBS (see details below).

2.21 The following assessment of the PRS in the four countries examines - to the extent data were available to the Evaluation Team: i) how gender issues are integrated into the analytical part of the strategies, ii) what gender related activities are planned, iii) what efforts had been made in the process of PRS formulation to ensure an adequate focus on gender and iv) what gender related results can be observed from the implementation of PRS (Uganda and Ethiopia only).

Mozambique:

2.22 The *Action Plan for the Reduction of Absolute Poverty* from April 2001, known as PARPA - its acronym in Portuguese - is the current PRSP in Mozambique. The PARPA contains six 'fundamental areas of action'¹⁷, which are dealt with in a gender-blind fashion except in the areas of education and health. Within these, specific sex-disaggregated targets and interventions are

¹⁶ The GBS Evaluation found that gender issues are mainstreamed more systematically in Uganda than in many countries (Lister, 2006).

¹⁷ Education, health, infrastructure, agriculture/rural development, good governance, macro-economic and financial policies.

included for girls' primary school enrolment, increases in the number of female teachers and primary health care for women. This very limited reference to gender is surprising, given the historical role of women in the liberation war and their actual situation: Mozambique is 140th out of 144 countries in the latest United Nations Development Programme (UNDP) Gender-related Development Index¹⁸.

2.23 A second PARPA is currently being finalised. According to DFID Mozambique, there is a significant increase in the profile of gender issues in this, particularly in the human development pillar. However, DFID Mozambique still considers the treatment of gender in the poverty analysis of the second PARPA as insufficient.

Tanzania:

2.24 In the Tanzania PRSP references to gender aspects are almost absent. The only exceptions are: 'Achieved gender equality in primary and secondary education by 2005' and 'reduced maternal mortality.' Moreover, the approach resembles that of the Women in Development (WID) approach with its narrow focus on women rather than gender. In addition, the PRSP does not seem to recognise that other initiatives (e.g. infrastructure services and micro-finance facilities) are not gender neutral and have gendered implications¹⁹.

2.25 On the other hand, there are signs that things may improve in the future. Tanzania is one of the first countries to enter the second phase of the PRSP cycle, consultations having been started to prepare a PRSP for the period 2004/05-2008/09. According to the Joint Staff Assessment of the International Monetary Fund (IMF) and World Bank of the government's third PRSP Progress Report (July 2004), the Progress Report confirms government's awareness of the importance of gender dimensions in development and outlines specific measures, such as business incubators for female entrepreneurs and a plan of action for combating violence against women. The Joint Staff Assessment (July 2004, p. 5) goes on to state that 'it will be important to more explicitly examine the gender aspects of growth and poverty in the full PRSP update.'

Uganda:

2.26 In 1997 the *Poverty Eradication Action Plan* (PEAP), a framework for addressing the key poverty challenges, was developed and launched. Uganda was the first country to have a workable PRSP. It was first revised in 2000, and in May 2005 the government formally launched its Revised PEAP for the next three years. This document, which thus represents the second revision of the 1997 PEAP, serves as Uganda's PRSP²⁰. The PEAP is presented under five 'Pillars' or components: i) economic management; ii) production, competitiveness and incomes; iii) security, conflict-resolution and disaster management; iv) governance; and v) human development.

¹⁸ UNDP's Gender-related Development Index (Human Development Index, 2003) ranks Uganda 117th, Tanzania 130th and Ethiopia 139th out of the 144 countries covered.

¹⁹ Hansen, Mette Bloch. 2005. Subjecting the Post-Washington Consensus to a Gender Critique: The Case of the Poverty Reduction Strategy Paper in Tanzania. M.A. Thesis, Roskilde University.

²⁰ PEAP Joint Staff Advisory Note, June 2005. IMF and IDA.

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2.27 Gender is mentioned first among six cross-cutting issues, and the PEAP states that gender issues arise under all pillars. It then goes on to highlight the following points, which are to be addressed under the PEAP: intra-household relations for agricultural productivity; discriminatory legislation; usage of services by gender; the shortage of fuel wood and its effect on women's time; women's land rights; and domestic violence. The PEAP states (p. 19) that it is too simple to say that women are poorer than men. It recognises that there are specific groups of women who are particularly likely to be poor, and there are some dimensions of poverty in which women are generally at a disadvantage. The PEAP establishes a clear link between women's empowerment and poverty reduction, asserting that lack of control over productive resources by women remains one of the root causes of poverty.

2.28 To complete the picture, it must be added that the first two iterations of the PEAP were largely silent on gender issues²¹. The second PEAP did address gender but only as a social issue²². During the PEAP revision started in 2003/04 key government officials, foremost among these a woman from the Ministry of Finance, decided to take the strategic opportunity offered by the PEAP revision to proactively pursue gender mainstreaming in the new PEAP. They mobilised civil society organisations (CSOs) and development partners to form a PEAP Gender Team, which worked systematically to integrate gender concerns into the new PEAP. Their efforts, which may inspire others, included the following:

- elaboration of guidelines on gender mainstreaming to guide the process of gender mainstreaming and highlight gender issues for each of the PEAP pillars
- engagement with various Sector Working Groups to ensure that the gender issues were addressed in the PEAP submissions of these groups
- commissioning of research and analytical work to support the work of the PEAP Gender Team
- focusing attention on the economic and strategic importance of gender²³
- gender analysis carried out on the first draft of the PEAP

Ethiopia:

2.29 The SDPRP, launched in July 2002, is Ethiopia's first PRS. It has a three-year horizon. Gender aspects are emphasised throughout the SDPRP and general recognition is expressed of the inequality between men and women²⁴. It, therefore, also stresses the need to consider this in government policies and activities. The SDPRP contains more than 20 specific measures that will be strengthened and/or taken to enhance the participation of women in development, and some of these go beyond the traditional areas of education and health.

²¹ *Gender mainstreaming in the context of Poverty Reduction Strategies and Budget Support - the case of Uganda*. January 2005, paper by Arthur van Diesen and Jenny Yates, SDAs for DFID, Uganda.

²² Telephone interview on 28th October 2005 with Arthur van Diesen, SDA at DFID, Uganda.

²³ It is reported that senior people in the Ministry of Finance now speak about the economic importance of achieving better gender equality.

²⁴ Ethiopia has one of the world's lowest ratings (139th out of 144 countries covered) in the 2003 UNDP Gender-related Development Index.

2.30 While some progress has been made in girls' school enrolment and the general perception of women²⁵, it is understood that both government and donor stakeholders had expected better results in the area of gender equality. One of the main factors behind this limited achievement may be the lack of ownership of the SDPRP at the lower levels of government - the regional governments and districts. The lack of gender progress has been recognised by government, with the Minister of Finance and Economic Development having recently emphasised that the forthcoming SDPRP II will have an increased focus on policies and actions to enhance gender equality²⁶.

2.31 Although there is a devolved system of government in place, Ethiopia remains highly centralised. The lower levels of government lack capacity and resources, and the lines of responsibility and working relationship between the different tiers are unclear. This is the case with regard to the institutional arrangements which are responsible for 'women's affairs', that is, the Ministry of Women's Affairs (until recently, the Women's Affairs Office in the Prime Minister's Office); the federal Women's Affairs Departments; and the regional/district Women's Affairs Bureaus. It is clear that not only do these different agencies 'need to be resourced and capacitated' but the working relationships between them needs 'to be clarified and strengthened²⁷' if they are to help fulfil the commitments towards gender equality included in the SDPRP. The African Development Bank has agreed to support a capacity building project for the women's affairs structure. However, it is doubtful whether such institutional arrangements are appropriate for addressing gender without some fairly fundamental re-orientation not least in the understanding of gender so that it does not continue to be seen solely as 'a women's issue'.

2.4 Country Assistance Plan

2.32 The CAP is an important basis on which to estimate how the country offices intended to pursue DFID's gender policy objectives at the time they were written. The CAPs of the four countries concerned are unsystematic in the way they address gender. There is no evidence that the DFID policy on gender, as contained in its Target Strategy Papers, *Realising Human Rights for Poor People* and *Poverty elimination and the empowerment of women*, has been applied to guide the discussion on gender within these plans.

2.33 The following assessment of the CAPs in the four countries examines: i) to what extent the analytical part of the CAPs deals with gender issues, ii) whether specific actions are planned to promote gender equality; and iii) how the CAP is aligned with the PRS and thus, by implication, the degree to which gender performance in connection with budget support will depend on the gender sensitivity of the PRS.

Mozambique:

2.34 DFID has prepared a consultation draft of its Country Assistance Plan 2004-2007. In this it is proposed that DFID aligns closely behind the PARPA. DFID's aim in Mozambique is to make

²⁵ SDPRP Annual Progress Report (2002/03), MOFED, p. 96.

²⁶ In connection with the preparation of a *Perspective Analysis on Ethiopia (October 2005)* for the Ministry of Foreign Affairs, Denmark, COWI staff interviewed the Minister of Finance and Economic Development on 13 September 2005. In this connection, they asked about gender performance in light of the SDPRP.

²⁷ See Donor Group on Gender Equality (DGGE) Comments on draft annual progress report 2004, 7 February 2005.

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a significant contribution to the sustained poverty reduction by supporting the formulation, implementation and monitoring of the PARPA. DFID will seek to maximise aid effectiveness by channelling aid increasingly through the central system in the form of untied DBS in support of the PARPA. It is stated directly that DFID will use budget support to facilitate a focus in its policy dialogue on the cross-cutting issues identified in the PAF. In continuation of this, it is stated that the PAF should facilitate robust and honest dialogue on key issues, particularly macroeconomic stability, addressing HIV/AIDS, economic and political governance, allocation and management of public expenditure, structural reform and the business environment. Gender is not mentioned.

2.35 The consultation draft CAP states that DFID does not propose to earmark its budgetary aid in any strict sense but, in the context of the PAF, DFID will seek to ensure that Government meets its expenditure commitments in the priority areas identified in the PARPA. Seen from an overall perspective, DFID's position is perfectly in line with the principles of the Paris Declaration. The problem is that with this position, DFID will be constrained in ensuring that gender equality issues are adequately addressed. The reason is that the PARPA is largely gender blind.

2.36 Apart from a minor reference to women in connection with education, the consultation draft CAP is effectively insensitive to gender issues. More focused gender efforts are called for particularly since the draft CAP states that 'we will seek to mainstream HIV/AIDS concerns into all of our work'²⁸. The question is why it is possible to mainstream HIV/AIDS and not gender?

Tanzania:

2.37 DFID's CAP for Tanzania covers the period June 2003 - December 2004. As Tanzania and its development partners are developing a Joint Assistance Strategy (JAS), which would replace individual country plans, it was decided to make an Addendum to the CAP to extend its duration to December 2005. This would also dovetail with the second phase PRSP now under preparation in Tanzania.

2.38 Both of the above documents emphasise how DFID wishes to align with government and provide a larger proportion of assistance by way of PRBS. It is stated that DFID will work to ensure that critical areas insufficiently detailed in the first PRSP are developed effectively in the second. In this connection, the following areas are mentioned: growth, HIV/AIDS and core government reforms. Interestingly, in spite of the flaws noted in the first PRSP with regard to gender, there is no reference to gender in either of the two CAP documents. The CAP only states that young people in general, and women in particular, account for the majority of new HIV/AIDS infections, and one of the provisional indicators listed is the girl/boy ratio in primary education. Otherwise, there is not even an allusion to gender issues in the CAP.

2.39 While there is no mention of the *Gender Macro Policy Group* in the CAP, an interview with a former SDA in Tanzania²⁹ drew attention to the fact that this had been established with funding from DFID and the Netherlands. This group comprises representatives from government, donors and civil society. The group is affiliated with the Tanzania Gender Networking Programme, which has spearheaded a lot of activities. One of these was the production of a detailed study on

²⁸ DFID Mozambique - Country Assistance Plan 2004-2007, Consultation Draft, p. 21.

²⁹ Interview with Gerard Howe on 4 October 2005 at DFID, London.

female-headed households in Tanzania (October, 2003), which was published under the auspices of the Gender Macro Policy Group. As part of this exercise, several workshops were held for government officials, e.g. on gender mainstreaming in District plans and budgets.

Uganda:

2.40 The Interim-Country Assistance Plan (August 2003) covered the period until the new PEAP was launched (May 2005). After this time, it was envisaged that DFID's CAP would be subsumed under a Joint Assistance Strategy.

2.41 Compared with the CAPs for Mozambique and Tanzania, the Uganda CAP treats gender relations in a much more integrated fashion. For example, the 'challenge' section of the CAP that outlines the context in which DFID assistance is to be provided explicitly mentions gender in several cases:

- *agriculture*: there is a need to address unequal gender relations
- *education*: gender biases have already largely been addressed
- *infant and child mortality*: discouraging progress in maternal mortality, teenage pregnancies and unsupervised deliveries
- *malaria*: need to presumptively treat pregnant women
- *HIV/AIDS*: addressing gender issues and land reform will itself empower women and reduce their poverty thus also reducing their vulnerability to HIV

2.42 The risk analysis also specifically mentions that it is a risk that gender issues are marginalised within the PEAP process, and several actions are indicated to mitigate this risk, including support to the PEAP Gender Team (referred to above) and support to gender advocacy work.

2.43 Overall, the CAP is closely aligned with the PEAP, and the principal aid modality to be employed is general budget support. The CAP lists ten primary areas for continued significant financial engagement, which does not include gender. As mentioned under 'internal effectiveness' certain provisions were made to ensure that gender was mainstreamed in the core areas of support.

2.44 The new JAS for Uganda was discussed by the World Bank Board of Directors on 17 January 2006, and it is expected to come into force later this year. Gender is not a strong feature of the JAS, but this does not give rise to concern among some of the gender proponents in Uganda³⁰. Along with other donors, DFID Uganda has focused on the gender orientation of the PEAP, and not on having gender mentioned explicitly in the JAS. The Evaluation Team shares the underlying viewpoint, namely that more sustainable gender impact may be achieved by focusing on the PEAP to which every aid instrument responds.

³⁰ Telephone interview with the SDA at DFID Uganda.

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Ethiopia:

2.45 The current CAP for Ethiopia was launched early 2003. The 'challenge' section of the CAP is a reflection on the SDPRP and closely linked to it. It is declared that the SDPRP represents a sound basis for partnership and dialogue with the Government, and it is noted that the SDPRP recognises that there is a gender dimension to poverty, which must be addressed to achieve poverty reduction. The CAP highlights some specific gender issues: 'income poverty differences in male- and female-headed households (among rural households no significant differences; higher poverty incidence among female-headed urban households), an already achieved narrowing of the gender gap in primary education gross enrolment, and the SDPRP's aim to increase access to preventive health services that particularly target women³¹'.

2.46 The CAP welcomes the SDPRP's recognition of gender inequality but it asserts that further work is needed on the causes of poverty. In this connection, the CAP argues that cross-cutting issues, such as gender, although noted in the SDPRP are not strongly or consistently mainstreamed throughout the strategy. An example is given to stress this point: women's literacy and maternal health are prioritised in the SDPRP but the rural development section of the programme does not recognise the importance of women's empowerment.

2.47 On balance the CAP gives adequate attention to gender inequality in the context description. The section on UK assistance plans describes how DFID intends to help reduce poverty in Ethiopia based on the SDPRP proposals. The plan states DFID's intention to provide the bulk of its assistance through direct budget support. In order to maximise DFID's effectiveness in supporting poverty reduction in Ethiopia, the CAP states that 'we need to be able to make well-informed contributions to dialogue with the Government alongside other partners, even if our financial support to the Government is provided using a direct budget support instrument.'

2.48 While the main aid modality in the implementation of the plan was intended to be DBS, the CAP also states that 'local interventions will be designed not only to improve service delivery to poor people directly, but also to inform our work at federal level by piloting new approaches, developing our understanding of how decentralisation is working and exposing us to poverty reduction constraints and opportunities at woreda level³²'.

2.49 An overall MoU has been agreed between DFID and the Government. This aims to build trust and improve predictability. In this connection, the CAP states that DFID wishes to link disbursements of budget support to progress in specific areas of the SDPRP. Progress on key governance and public finance issues, as well as achievement of targets in key poverty-focused sectors, are mentioned but there is no specific reference to gender as a triggering mechanism. Overall the CAP attaches great importance to dialogue between the two Governments.

2.50 The implementation period of the 2003 CAP was designed to coincide with that of the SDPRP. DFID Ethiopia intends to base its new CAP on the new SDPRP. As indicated above, it was expected that the Government would present this by mid-November 2005.

³¹ It should be noted that, although the gender gap in primary school enrolment is closing, albeit very slowly, the gender gap in Ethiopia is wide and is wider than in most Sub-Saharan African countries.

³² The Ethiopian 'woreda' is largely synonymous with 'districts' in the local government structure of other countries. For simplicity, 'district' is used throughout the report instead of 'woreda.'

2.5 PRBS Agreements

2.51 The following assessment of PRBS in the four countries (and the agreements concerning the provision of this type of support) examines: i) the relative importance of budget support vis-à-vis other aid modalities, ii) DFID's budget support contributions in relation to that provided by other donors and iii) the extent to which gender issues are included in the agreements on PRBS.

2.52 Overall, the evidence available to the Evaluation Team shows that DFID is among the largest donors of budget support in each of the four countries³³. Moreover, it confirms that gender does not feature as an important aspect of the multi donor-government agreements on budget support and thus, when a donor's support is primarily through the PRBS modality, its influence over moving towards greater gender equality will depend on how visible and embedded gender is within the host country's PRS (and actual practices).

*Mozambique*³⁴:

2.53 Total general budget support to Mozambique increased from about 2.7% of net overseas development assistance (ODA) in 2000 to about 14% in 2003 and 18% in 2004. The Government of Mozambique has made it clear that it favours more budget support but - interestingly - only up to the level of two-thirds of all aid.

2.54 For most donors, budget support is a complement to other forms of aid. For DFID, however, it has been the focus of expansion, and DFID is regarded as having the clearest commitment to rapid progress towards general budget support as its leading strategy.

2.55 Over the period 2000-04, DFID was the fourth largest bilateral donor to Mozambique providing around 9% of all bilateral ODA receipts. In 2004/05, nearly 80% of DFID assistance to Mozambique was given in the form of PRBS, and 85% of this was general budget support. DFID provided earmarked budget support in the areas of agriculture and health in both cases in close collaboration with around ten other donors. Apart from this, DFID provided basket funds in the areas of education, public sector reform, school building and drugs and medical supplies - also in collaboration with several other donors.

2.56 According to figures cited in the GBS Evaluation, in 2004 DFID was the largest bilateral contributor to the budget support programme in Mozambique.

2.57 In 2000, the Government of Mozambique signed its first common framework agreement on budget support with four bilateral donors (Denmark, Norway, Sweden and Switzerland). The number of budget support partners grew over the years. A new MoU was signed in March 2004, now with 15 partners³⁵. This MoU is fairly explicit about the objectives and the mechanisms of the partnership. The agreed and shared overall objective is 'to contribute to poverty reduction in all its dimensions by supporting the evolution, implementation and monitoring of the PARPA'. This is

³³ Source: see references cited in paragraphs 2.54 - 2.71.

³⁴ Most of the information in this section is based upon the *Evaluation of General Budget Support - Mozambique Country Report* (May, 2006).

³⁵ Meanwhile this has expanded to 17 partners.

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basically the only policy conditionality of the MoU, but signatories retained the right to add their own policy conditions³⁶.

2.58 Certain cross-cutting issues (CCIs) (referred to as 'governance CCIs') were intrinsic to PRBS from its inception. They dealt with issues of aid burdens, governance and financial management³⁷. However, the policy-related cross-cutting issues - gender, environment, HIV/AIDS and human rights - were not initially addressed by PRBS, except inasmuch as they were concerns of the government's PRS which the PRBS intended to support. These policy cross-cutting issues remained almost exclusively matters for project aid and sector level programmes until 2004, when certain agreements were made to extend the concerns of PRBS.

2.59 The creation of a gender working group (with the participation of the national Women's Forum) and its active participation in the Joint Review process of 2005 is seen as a breakthrough by some gender observers in Mozambique. It was decided in 2005 to pursue a dual strategy - that of mainstreaming through the various sector working groups (as had been done up till then) as well as the creation of the gender working group, which produced a macro-level report on gender issues. According to DFID Mozambique, although there is still some way to go on the integration and mainstreaming of gender into the Joint Review process, the recent approach holds more promise than the previous.

Tanzania:

2.60 The Tanzania PRBS arrangement involves 14 Development Partners. Over the 2004/05 fiscal year, the PRBS will have disbursed some USD 400 million in budget support. Together with Highly-Indebted Poor Country (HIPC) funds (approximately USD 120 million), this amounts to over 20% of total public expenditure and comprises slightly over half of all development assistance flows to the Government of Tanzania³⁸.

2.61 In 2004/05, almost 74% of DFID assistance to Tanzania were given in the form of general budget support.

2.62 Gender was not an explicit feature in the MoU, signed by nine Development Partners in 2001, which established the PRBS monitoring framework. Moreover, there are indications that the DFID CO has done little to address gender within the context of GBS. However, the latter is not stated as criticism; it may simply reflect the division of labour among the PRBS donors in Tanzania.

2.63 DFID has provided funding for gender budgeting initiatives in Tanzania³⁹. So far, however, this has not become an embedded practice in the country.

³⁶ GBS Evaluation: Mozambique Final Country Report (18 January 2006), Annex 3C - The Design of PGBS in Mozambique, p. 42.

³⁷ Transaction costs, fiduciary risk and corruption, ownership and conditionality, accountability, government capacity-building, public-private balance and decentralisation.

³⁸ *Learning from Experience with Performance Assessment Frameworks for General Budget Support* (see full reference below), p. 70.

³⁹ Gender-responsive budget analysis simply refers to the analysis of actual government expenditure and revenue on women and girls as compared to men and boys. Gender budgets are not separate budgets for women and they do not aim to solely increase spending on women-specific programmes (*What Are Gender Budgets?*, www.UNIFEM.org).

*Uganda*⁴⁰:

2.64 In 2003, DFID was the second largest bilateral donor to Uganda, providing around 10% of total ODA. In 2003/04 total GBS disbursements to Uganda reached nearly USD 400 million. The same year, DFID provided £30 million in GBS to Uganda, corresponding to 55% of DFID assistance to that country.

2.65 Uganda was a pioneer in new (partnership) GBS, which currently accounts for half of its aid flows and involves a wide range of donors and a large number of instruments. By 2003/04, there were 13 different donors providing PRBS, and these donors were operating 34 different budget support programmes, of which 25 were sector budget support programmes. There are three main variants of general budget support:

- a) *Sector Budget Support* - budget support earmarked to one sector
- b) *PAF General Budget Support* - budget support that is notionally earmarked to the Poverty Action Fund as a whole, but not to individual sectors
- c) *Full General Budget Support* - this is completely un-earmarked. This variant represents the bulk of funds disbursed since 2000

2.66 Unlike most donors in Uganda, DFID only uses full GBS. The majority of donors are also, or solely, involved in sector budget support.

2.67 Although the Government of Uganda has previously expressed its strong preference for budget support (for un-earmarked GBS in particular), there is now a more nuanced view within the Ministry of Finance, which still sees a role for projects especially in the areas of institutional capacity building and policy reform.

2.68 Gender is mainstreamed more effectively in Uganda than in many countries, including in the budget support dialogue. Women have been particular beneficiaries from a number of the initiatives most clearly supported by PRBS (universal primary education and expansion of free health care). The GBS Evaluation concludes with regard to gender in Uganda that PRBS has fostered a holistic approach to gender issues that has practical implications beyond the inclusion of a number of gender-related conditions in the Poverty Reduction Support Credit (PRSC) policy matrices.

Ethiopia:

2.69 According to Organisation for Economic Development and Cooperation (OECD) figures⁴¹, in 2003 Ethiopia received USD 1.5 billion in total net ODA. The USA was by far the largest bilateral donor providing USD 374 million. Japan and DFID were the second and third largest bilateral donors disbursing USD 54 and USD 53 million respectively.

⁴⁰ Most of the information in this section is based upon the *Evaluation of General Budget Support - Uganda Country Report* (May, 2006), by Stephen Lister, Tim Williamson, Jesper Steffensen and Wilson Baryabanoha.

⁴¹ OECD home page. *Ethiopia: Recipient Aid Chart*, 12th January 2005.

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2.70 In 2004/2005 slightly more than 75% of DFID assistance to Ethiopia was given in the form of PRBS, and two-thirds of this was general budget support. There is no question, therefore, that DFID is a significant member of the group of budget support donors to Ethiopia. Moreover, the use of the budget support aid modality by DFID clearly accords with the preference of government, as expressed at the Consultative Group meeting of December 2002⁴² and as re-iterated during the course of the current thematic study at an interview with Ministry of Finance and Economic Development (MOFED).

2.71 In addition to DFID, the World Bank, the European Union (EU) and IMF also provide general budget support to Ethiopia. Ireland and Sweden give budget support to specific decentralised authorities (regions and districts) with the Netherlands also currently considering regional budget support. Another donor, the USA, is also considering a shift towards budget support in some form or another. Jointly financed sector programmes are few, and project aid is still the most common aid modality in Ethiopia.

2.72 DFID also provides sector budget support to Ethiopia. The two programmes that DFID supports as earmarked budget support offer some opportunity for broadening the scope and extending the level of its influence with regard to pursuing its gender equality policy objectives. They are the PSCAP, which is being funded over a three-year period, and the PSNP, which is being supported over a five-year period.

2.73 The PSCAP comprises a number of components, which are being funded by a range of donors according to their comparative advantage and interest. DFID's support focuses on financial management, decentralisation and some areas of tax reform. Capacity building of the country's decentralised government systems clearly offers much scope for pursuing gender equality objectives once DFID's support becomes fully operational. CIDA is, however, the donor which potentially has the main influence in this area since it is providing technical assistance on justice and gender with a gender consultant attached to the programme. The DFID SDA was involved in the design stage of the programme, but she has not been able to remain as engaged during implementation⁴³.

2.74 DFID Ethiopia has also been taking a proactive stance vis-à-vis gender on the PSNP. Its Food Security Adviser on this programme has been involved at the outset in the programme formulation and, together with the other donor representatives, has been instrumental in ensuring that a SDA position be created in the programme. The programme, which aims to provide timely, adequate and guaranteed resources to 5.1 million beneficiaries - food insecure people - comprises two components: public works and direct transfer. The objective of the former is to create community assets through a participatory planning process. The DFID SDA together with other gender experts prepared a training module for this aspect of the programme giving particular attention to the extra burden on women that the public works component may bring.

⁴² SDPRP Annual Progress Report (2002/03), MOFED, p. 100-101.

⁴³ According to the SDA in Ethiopia, PSCAP does not systematically address gender issues. In her view, the PSCAP Donor Group ought to support the efforts of the CIDA-funded gender consultant who is attached to the programme.

2.6 Performance Assessment Frameworks

2.75 Just as DFID normally provides PRBS in the context of partnership general budget support schemes (where several donors work jointly with the government to achieve common objectives), so is the monitoring of the PRBS often a joint donor or joint donor-government undertaking. Three broad types of performance assessment frameworks for general budget support have emerged⁴⁴:

- a) *common Performance Assessment Frameworks* (often just called 'PAFs') which provide the basis for joint monitoring by all GBS donors and for management according to a set of predefined common principles, albeit with disbursement still subject to individual donor decisions
- b) the use of the World Bank *Poverty Reduction Support Credit (PRSC)* as the common assessment framework
- c) the use of the IMF *Poverty Reduction and Growth Facility (PRGF)* as the primary basis for monitoring progress and deciding on disbursements, often supplemented by specific conditions of certain donors

2.76 To DFID and many other bilateral donors PRBS disbursements are subject to macro performance and assessment of general progress with the PRS. DFID uses (large) fixed tranches, the value of which is unchangeable and which are therefore disbursed in full or not at all. The European Commission (EC) and some bilateral donors use variable tranches, the value of which is determined by performance against a pre-defined set of performance targets.

2.77 One of the major lessons emerging from the synthesis report on PAFs (refer to citations in footnotes above) is that there is no clear, universally acceptable statement of the objectives of budget support. There is a logical inconsistency between the way individual agencies define the objectives of their individual budget support and the way in which budget support actually operates. Because PRBS resources are fungible, it is impossible to distinguish the particular effects of one source of PRBS from another. Yet, the illusion that different agencies can successfully pursue different objectives with GBS in the same country continues to persist⁴⁵. Indeed, this is one factor driving the seemingly inevitable expansion in the scope and complexity of the PAFs. At the same time, it is emphasised in the synthesis report that the PAF should be only one element within a range of processes of performance review, policy dialogue and knowledge sharing.

2.78 To an important degree, DFID's approach to general budget support has been developed at country level. In the future, it is envisaged that the practice of setting the performance framework for general budget support will adhere to five underlying principles (ownership, participatory and evidence-based policy making, predictability, harmonisation, transparency and accountability⁴⁶).

⁴⁴ *Learning from Experience with Performance Assessment Frameworks for General Budget Support - Synthesis Report*. September 2005. Andrew Lawson, Richard Gerster and David Hoole, p. 4. This study was based on the experience of three countries which have adopted harmonised PAFs (Ghana, Mozambique and Tanzania), and two countries that are moving in this direction (Benin and Nicaragua). The report was a thematic study under the GBS Evaluation (Lister, 2006).

⁴⁵ *Learning from Experience with Performance Assessment Frameworks for General Budget Support*), pp. 42-43.

⁴⁶ *Learning from Experience with Performance Assessment Frameworks for General Budget Support*), p. 17.

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2.79 In an interview for this thematic study, one of the three authors of the synthesis report stated that generally, gender features very weakly in the PAFs⁴⁷.

2.80 Overall, from our review of the PRS in the four countries, it is evident that the PAF in its present format does not provide an adequate nor appropriate tool for assessing progress on gender equality policy objectives in the context of PRBS. As the Ugandan case shows, it may need to be supplemented by other performance assessment measures.

2.81 The following assessment of PAFs for each of the four countries examines: i) what type of PAF exists in each country and DFID's role in the establishment of this, ii) whether gender is a specific element of the PAF in each country, iii) the monitoring processes associated with the PAFs and iv) how gender budgeting can contribute to gender mainstreaming.

Mozambique:

2.82 In Mozambique there is one shared PAF for the 17 budget support donors, but there are different approaches to its interpretation: a) assessment of overall progress by DFID and other bilateral donors; b) the use by the World Bank of a sub-set of prior actions as triggers for PRSC disbursement and c) the use of variable tranches by the EC, Sweden and Switzerland.

2.83 The MoU-based PAF is a set of key policies, actions and output and outcome indicators with a three-year horizon. The PAF consists of 49 indicators proposed by the government and agreed with the Programme Aid Partners. 49 is perceived as a large number of indicators, which may lead to lack of focus and become a source of arbitrariness when making an overall assessment. The 49 indicators are divided into two clusters: 19 sector-specific, Millennium Development Goal (MDG)-related and result-focused monitoring indicators, and 30 process-related indicators, measuring progress in key areas of reform⁴⁸. There is no specific indicator on gender equality among these.

2.84 The PAF is mainly regarded as an instrument of accountability to the donors, but it is shared with the Mozambican Parliament. The biannual reviews of PRBS have great influence, but their impact is mainly at the level of financial management and the budgetary process. At the sector level their influence is more uncertain.

2.85 In an interview for this thematic study, the Country Team Leader of the Mozambique Country Report under the Joint Evaluation of GBS stated that gender was dealt with only to a very limited extent in the context of the GBS processes in Mozambique⁴⁹.

Tanzania:

2.86 Tanzania was one of the first countries to have concluded a joint MoU and PAF for its PRSC / PRBS arrangement. The MoU and corresponding PAF matrix have been in operation since 2002, and both have been substantially revised in 2005⁵⁰.

⁴⁷ Informal interview with Richard Gerster, Reading, UK, 5 October 2005.

⁴⁸ *Learning from Experience with Performance Assessment Frameworks for General Budget Support*, pp. 63-64.

⁴⁹ Informal interview with Richard Batley, Reading, UK, 5 October 2005.

⁵⁰ The details on the scope of this revision were not available to the Evaluation Team.

2.87 With regard to Tanzania, the synthesis report concludes that the Tanzania PAF presents a very interesting case of a mature PAF, which has addressed many of the core issues of predictability, harmonisation and alignment and yet still betrays some significant underlying weaknesses⁵¹.

2.88 The PAF has 76 indicators, none of which directly relates to gender equality or women's empowerment. All discussions about GBS and the PAF are heavily focused on the Ministry of Finance, with a rather limited involvement of other agencies. One respondent consulted for this thematic study, who was part of the process in Tanzania over the last three years, reported that the GBS donor group in Tanzania never discussed gender during its annual reviews and mid-term reviews. This observer believed that the PAF almost exclusively reflects financial management concerns.

2.89 DFID is party to the MoU on PRBS and has played an active part in the development of the PAF. Aside from this, DFID has invested considerable effort to support the development of a Poverty Monitoring System in Tanzania⁵². This system reflects gender concerns and contains a substantial amount of sex-disaggregated data. Progress against the indicators under this system is discussed at the annual and mid-term PRBS reviews and is included in the reports of both exercises. In other words, while gender indicators are not directly reflected in the PAF, certain gender issues are assessed in connection with Tanzania's overall performance on poverty reduction.

Uganda:

2.90 The practice surrounding the PRSC in Uganda is a clear illustration of how accountability on PEAP implementation has been skewed towards donors. The PRSC is a World Bank lending instrument created in support of the implementation of poverty reduction strategies. In the context of the PRSC in Uganda, a policy matrix was developed based on dialogue between Government and donors in a rather closed process, setting prior actions and benchmarks for PEAP implementation. The PRSC policy matrix came to be seen by most stakeholders as an operational plan for the PEAP, and it became de facto an important determinant of its implementation course.

2.91 Fortunately, the latest PEAP revision saw the start of the development of a PEAP results and policy matrix, and it is hoped by many stakeholders in Uganda that this will over time become strong enough to do away with the need for the PRSC matrix (or a PAF) as a centre of attention for policy dialogue. This would place the choice of benchmarks and the assessment of progress against these much more firmly under the responsibility of Government and national stakeholders, thus strengthening domestic accountability around the PEAP.

2.92 The new PEAP matrix contains indicators for PEAP performance and targets. It sets out policy actions to be taken within each of the main sectors identified in the PEAP. The annual

⁵¹ The synthesis report suggests that the PAF pays excessive attention to policy actions and insufficient concern for more important underlying principles. It also points out that the PAF is relatively closely linked to the PRS process, but that in connection with the PAF there is an absence of proper attention to the question of how far the PRS represents a government-owned policy and process.

⁵² The country case study on India (another input to the larger DFID gender evaluation) found that a similar Poverty Monitoring System is in place there. The same is reported to be the case in Uganda.

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review of the PEAP is based on the matrix, and Government is reported to demonstrate clear ownership of the PEAP matrix (it is managed by the Prime Minister's Office). The PEAP matrix, however, is not yet very clear on gender. Interestingly, the preceding PRSC matrix put more emphasis on gender (as a 'benchmark' not a 'prior action'). Some of this was lost in the transition to the PEAP matrix, but DFID Uganda considers this an acceptable price to pay to get in place a nationally-owned performance framework. Moreover, the PEAP Gender Team will try, over time, to ensure that gender mainstreaming is brought on board as an important issue⁵³.

2.93 As already pointed out, a PAF (or in the case of Uganda the PEAP matrix) should be regarded as only one element within a range of processes of PRBS performance review. Gender budgeting might be viewed as another dimension in this connection. Gender budget initiatives break down the government's budget in order to see how it responds to the differentiated needs of and impacts on women, men, girls and boys. Their main purpose is to examine whether public expenditures are allocated in an equitable way and hence promote gender equality⁵⁴.

2.94 In Uganda, when the revision of the PEAP was completed, the PEAP Gender Team decided to continue to work on gender mainstreaming, but henceforth with a focus on budget formulation⁵⁵. Among other things, a consultant was brought in to help the Ministry of Finance and the Ministry of Gender to draw up guidelines on gender and equity for the budget process. These guidelines subsequently became a formal part of the terms of reference of all sectors in their preparations of budget submissions for the 2005/06 budget year. This was seen as an important innovation in gender budgeting.

2.95 Gender budgeting initiatives traditionally analyse budgets ex-post and then use that analysis to advocate for change in the subsequent budget. By making the gender and equity guidelines an explicit part of the terms of reference for the sector working groups, gender budgeting was taken to the heart of the budget formulation process in Uganda. Unfortunately, however, the Budget Framework Papers submitted by the sectors proved that the incorporation of gender concerns into the budget submissions were unsatisfactory. The guidelines were found abstract and too difficult to work with. This lesson has been used to refine the guidelines and the gender mainstreaming process for next year. In August 2005 the Government published a User Manual on 'How to Prepare a Budget Framework Paper that Addresses Gender and Equity Issues'⁵⁶, which is reported to be more user friendly and contain more details.

2.96 DFID Uganda and others have realised that gender budgeting will have greater influence if awareness is created on the gender issues and their policy implications. To achieve this in Uganda, hands-on assistance is required in the different sectors and ministries. DFID Uganda is

⁵³ The above two paragraphs are based on a telephone interview on 28th October 2005 with the SDA at DFID Uganda, as well as written comments to the draft version of this report received from same.

⁵⁴ BRIDGE has produced an excellent 'Cutting Edge Pack' on gender and budgets (Balmori, 2003). Other studies on the experience of gender budgeting in Africa include: Budlender (1997), Diop-Tine (2002) and Mukama (2001).

⁵⁵ Most of the information in this paragraph is based on *Gender mainstreaming in the context of Poverty Reduction Strategies and Budget Support - the case of Uganda*. January 2005, paper by Arthur van Diesen and Jenny Yates, SDAs for DFID, Uganda.

⁵⁶ The *User Manual* was published jointly by the Ministry of Finance and the Ministry of Gender. The manual helps Sector Working Groups take into account gender and equity concerns in the development of their Budget Framework Papers. The manual aims at ensuring that sectors achieve the policy actions stated in the PEAP Policy Matrix with a gender and equity focus. It is not a stand-alone document but an integral part of the Budget Call Circular issued every financial year in October as part of the budget process. Positive feedback has been received from initial piloting of the Manual.

reported to be lobbying the PEAP Gender Team to do this. In the view of this Evaluation Team the gender budgeting experience from Uganda is a promising development that should be followed closely and possibly emulated elsewhere.

Ethiopia:

2.97 The Annual Progress Report on the SDPRP is the principal monitoring instrument. The various donor groups are usually invited to submit comments on the draft annual progress report before it is finalised. In its comments on the draft annual progress report 2004, the DGGE states that the report 'does not fully or adequately report on progress towards gender equality in Ethiopia⁵⁷'. The DGGE puts this down to a number of shortcomings within the annual progress report including the following: insufficient reporting on performance, even where the SDPRP matrix indicator is disaggregated; no mention of the very high rates of maternal deaths in Ethiopia; and failure to recognise the direct correlation between gender inequality and poverty through not making sufficient reference to information from the World Bank Poverty Assessment. In sum, the annual progress report did not sufficiently underscore that addressing gender inequality was a significant challenge facing the country.

2.98 Not only does the DGGE's note identify the shortcomings in this monitoring instrument insofar as reporting on gender equality is concerned but it also draws attention to the deficiencies in the process used to prepare the draft report. There had been little involvement of government counterparts and apparently no consultation with Parliament and civil society. The group urged MOFED to ensure that the draft receive much wider circulation.

2.99 A closely-related instrument is the DBS Matrix which the DBS Donor Group has developed for its own monitoring and reporting needs. The DBS Matrix indicators were 'cherry-picked' from over 200 indicators contained in the SDPRP, this number being considered unmanageable. The DBS Matrix thus comprises around 50 indicators divided among the following areas: i) economic growth, ii) human development, iii) democratisation and governance and iv) public institutional performance.

2.100 The DBS Matrix also contains a few gender-related indicators:

- % of women farmers reached by extension agents
- primary school enrolment of boys and girls and grade 5 completion rates of boys and girls
- HIV prevalence among 15-24 year old pregnant women
- National Action Plan on Gender drawn up.

2.101 Of these gender indicators, DFID is listed as having a key area of interest in primary school enrolment (together with the European Commission) and HIV prevalence among 15-24 year old pregnant women (together with the EC and the Development Cooperation Ireland (DCI)).

⁵⁷ Donor Group on Gender Equality (DGGE) Comments on draft annual progress report 2004, 7th February 2005.

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2.102 The DBS Donor Group plans to develop a more traditional PAF when the second SDPRP is in place. It is anticipated that this will contain between 60-70 indicators. The question is whether more indicators can or should be expected in the area of gender equality.

2.7 DFID's Role and Comparative Influence

2.103 The Paris Declaration and the broad commitment to the principles of harmonisation, alignment and ownership have dramatically changed the context in which aid is provided. A donor, particularly one that is providing budget support, does not act alone nor need it be fully engaged in all areas of its policy objectives.

2.104 It is not possible, on the basis of the documents provided for this thematic study, to develop a clear picture of DFID's role and comparative influence on the issue of gender and budget support. To do this would involve the assessment of how other stakeholders view the role of DFID, and it would also require field work to assess how DFID influences processes. However, the rich documentation provided on Uganda coupled with telephone interviews with the SDA at DFID Uganda allows us to make a few points on the basis of that experience. During the short visit to Ethiopia, the Evaluation Team was also able to make some observations. This is presented at the end of this section.

2.105 By way of introduction, the following table provides an overview that demonstrates DFID's active involvement in PRS-related activities in all of the four countries reviewed:

Table 2: Geographical overview of DFID support to PRS-related activities

Focus of support	Mozambique	Tanzania	Uganda	Ethiopia
National Planning				
Commenting and TA for drafting process		X	X	X
Planning for implementation	X			
Civil society				
Consultation process				X
Civil society M&E			X	
Civil society capacity building				X
Sectoral and local planning				
SWAps and sector support	X	X		
Social protection and <i>cross cutting issues</i>		X	X	
Sector working groups	X		X	
Donor co-ordination (including joint donor groups and assessments)	X	X		X
Information, analysis, M&E				
M&E	X	X		X
Poverty information and analysis	X		X	
Links to budgets and MTEFS				
Expenditure tracking (PFM, PEM, PER)		X		

Source: Excerpted from table on geographical overview of DFID support in "The PRSP Process and DFID Engagement: Survey of Progress 2003, pp. 7-8. ODI, March 2004. PRSP Monitoring & Synthesis Project.

Uganda

2.106 Recent experiences in Uganda suggest that gender mainstreaming can be successfully pursued in the context of PRSs and budget support⁵⁸. But this does require devising new ways of working and establishing new strategic partnerships. The paper cited above summarises DFID's role as seen by its authors, two SDAs in Uganda⁵⁹. In the view of this Evaluation Team, DFID's role appears to have been both substantial and constructive:

- DFID SDAs participated actively in the work of the PEAP Gender Team
- DFID engaged with key sector reform processes to promote gender mainstreaming at sector level
- DFID worked with key government officials and other development partners to include a number of strategic benchmarks on gender in the policy matrix of the PRSC, which guides policy dialogue between the World Bank, budget support donors and government
- DFID funded analytical work to inform the work of the PEAP Gender Team
- DFID hired technical assistance to help with the drafting of Gender and Equity Budget Guidelines.

Ethiopia

2.107 The Development Assistance Group (DAG) is at the heart of the partnership architecture in Ethiopia. It comprises over 40 member organisations. DFID Ethiopia is an active participant and key member by virtue of it being a large PRBS donor. DFID works in particularly close collaboration with a sub-group of donors which, in addition to itself, consists of Norway, Canada, Netherlands, Sweden, and Ireland.

2.108 One of DAG's recent areas of focus has been support to the preparation of the SDPRP II. In May 2005, the group presented a note to government with the purpose of raising a discussion on a prioritised set of interrelated policy issues for the strategy. The note clearly indicates the considerable importance which DAG attaches to gender equality issues in the development process and PRS context, as the following shows:

- *economic growth*: We urge government to elaborate a policy guideline and an action plan to support women entrepreneurs and the informal sector as a whole (p. 2)
- *agriculture and rural growth*: We particularly urge government to take into consideration the need to review laws, policies and practices that do not explicitly address equal benefits of women in relation to access and control over land holdings when developing land tenure policy (p. 4)

⁵⁸ *Gender mainstreaming in the context of Poverty Reduction Strategies and Budget Support - the case of Uganda*. January 2005, paper by Arthur van Diesen and Jenny Yates, SDAs for DFID, Uganda.

⁵⁹ One of COWI's gender experts, who was based in Kampala over the period August 2002 - August 2005, believes that the paper provides a true and fair view of DFID's role.

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- *population growth rate and public investment strategy*: The DAG would encourage that the articulation of a clear national 'implementation action plan for reproductive health' be included in the development of SDPRPII (p. 6)
- *governance and empowerment*: In order for donor partners to better support government decentralisation policy in practice, the DAG would encourage government to include [in the policy dialogue] the relevant Women's Affairs Departments to ensure gender mainstreaming⁶⁰(p. 7)

2.109 The DAG structure includes 16 thematic working groups. Amongst those that are of particular relevance in the current context and of which DFID is a member are the DBS Donor Group and the DGGE.

2.110 The country office has been using various channels through which to engage with the Government of Ethiopia on the formulation of the country's second SDPRP and its gender content.

2.111 The DBS Donor Group is one of the most significant of the working groups. It is currently chaired by the EC Delegation. DFID is one of the DBS member organisations. The group meets frequently, at least once a month. Since it was set up three years ago, much of its time has been spent on establishing itself - putting in place structures, procedures and so forth and on preparing ToR for the various elements of the partnership architecture. Another focus has been on improving the quality of data, which has been an area of particular concern to DFID.

2.112 There has been limited discussion of gender by the DBS Donor Group, however, as it not seen as a policy priority⁶¹. On the other hand, there are opportunities for some input to be made in this respect. Thus, when biannual and/or joint budget support missions and/or reviews are to be held, the DBS Donor Group requests the input of the DGGE, as it does from the other donor sector groups. This has involved the current chairperson, the DFID SDA, participating in the DBS missions as well as in their prior preparation⁶².

2.113 As mentioned above, DFID is a member of the DGGE and currently its chair. Membership of the DGGE is open to any bilateral or multilateral donor working on gender, and the group meets on a regular monthly basis. The goal of the DGGE is to contribute to poverty reduction in Ethiopia; its purpose is to contribute to the achievement of gender equality and women's empowerment in the country. It has two expected outcomes: 'improved mainstreaming of gender in government policies, programmes and projects in particular the SDPRP' and, 'improved coordination and harmonisation on gender policies/approaches, programmes and projects'⁶³.

2.114 The following illustrates the types of activity which the DGGE undertakes and/or issues on which it focuses in respect of these two outcomes. Thus, it has undertaken assessments of, and

⁶⁰ SDPRPII: DAG Note on Policy Content, May 2005, Final Draft.

⁶¹ Interviews with the following in Ethiopia: Chairman of Direct Budget Support Donors (EC Delegation), Economic Adviser (DFID) and Economic Adviser (Development Cooperation Ireland).

⁶² It is likely that, even after the end of her tenure as Chair of the DGGE, the DFID SDA will continue to be involved in DBS missions providing gender inputs since DFID is one of the few members of the DGGE that is involved in the provision of budget support.

⁶³ See Donor Group on Gender Equality (DGGE) Terms of Reference 28 May 2004.

provided comments on, two important reports: Gender Issues in MDGs Needs Assessment for Ethiopia, 2004⁶⁴; and the National Plan of Action for Gender Equality, 2005, having previously secured funding for the latter's preparation⁶⁵. It has been involved in the Gender Budget Analysis Initiative, the main objective of which is to promote a gradual integration of gender concerns into the budget formulation process and resource allocation. Furthermore, it has pushed for SDPRP indicators and associated data to be disaggregated by gender and has sought to work with government to improve the quality and relevance of indicators for the second SDPRP.

2.115 The DGGE has also supported the government structure for women's affairs at its federal level through, for instance, assisting the Women's Affairs Department of MOFED on the first Annual Progress Report, and the Women's Affairs Office on the establishment of a Joint Government and Donor Group on Gender Equality, which the Women's Affairs Office chairs⁶⁶. It has also been successful in securing funds from the DAG Pooled Fund for various initiatives (see below).

2.116 There was general consensus amongst those interviewed during the thematic study that the DGGE was playing a useful role. Some considered, moreover, that since gender continued to be viewed by many as a women's issue the DGGE was the real 'driver of gender' within the development process. A contrary view expressed was that both its scope and level of influence were limited. It primarily addressed gender policy issues and mainstreaming but not women's empowerment; it focused on the aggregated, federal level. In other words, it was not reaching down to the regions or the districts where it could have a more immediate impact on women's lives. It is in this respect, however, that the bilateral donor members felt that they had a key role to play. By feeding back and sharing information about the projects they were funding at these levels of society, often via civil society organisations, they thus provided a 'reality check' for the other DBS donors. From this it was concluded that DGGE's effectiveness was enhanced by having both DBS and non-budget support donors as members: they 'need' one another.

2.117 Another way in which donors such as DFID collaborate through the partnership architecture is the DAG Pooled Fund. This fund comprises largely un-earmarked funds contributed by DAG members but also earmarked funds provided by, for instance, Swedish International Development Assistance (Sida) for initiatives related to gender. The DAG Pooled Fund is managed by UNDP, while DAG is responsible for assessing proposals and funding requests submitted to it. Amongst the interventions it has funded are: the preparation of the National Plan of Action for Gender Equality and support to the Women's Affairs Office to manage the consultancy which drafted the plan; the Poverty Action Network for Ethiopia; and the Gender Budget Analysis project of MOFED.

⁶⁴ Women's Affairs Office/UNFPA Working Group on Gender, 2004. *Gender Issues in MDGs Needs Assessment for Ethiopia*, Draft Report, Addis Ababa, October 2004.

⁶⁵ Hareg Consult PLC, 2005. *National Plan of Action for Gender Equality*, Women's Affairs OfWomen's Affairs Office has recently achieved ministerial status.

⁶⁶ The Women's Affairs Office has recently achieved ministerial status.

3 CONCLUSIONS AND RECOMMENDATIONS

3.1 DFID has made a significant step towards disbursing a large proportion of its assistance in the form of PRBS. This is particularly noticeable in the countries covered by this thematic study: Mozambique, Tanzania, Uganda and Ethiopia. The move towards PRBS has affected DFID's ability to promote gender equality. Some of the implications of this have been explored in the present study.

3.1 Conclusions

3.2 PRBS is largely predicated on the partner country's PRS and its implementation. This leads us to conclude two things. First, the gender 'orientation' of DFID's budget support is mainly a function of how gender is dealt with in the PRS. It requires considerable effort (policy dialogue, influencing and advocacy) to make the implementation of the PRS more gender focused than the PRS itself. Second, the gender mainstreaming efforts of a PRBS donor, such as DFID, have to focus on the integration of gender concerns within the PRS and its implementation.

3.3 In view of the weaknesses of the PRSs examined in connection with this thematic study and the generally limited attention given to gender issues within these and in the attendant PAFs, DFID's ability to both promote gender equality through PRBS and to assess achievements in this area needs to be strengthened and better documented. As a result, we found no evidence on the impact of DFID's work on gender equality in any of the documents reviewed for this study.

3.4 The above reflects the limitations of attribution in connection with budget support. The recent GBS evaluation encountered the same problem. It concluded that it was not possible to track distinct (separately identifiable) PRBS effects to the poverty impact level in most countries⁶⁷.

3.5 This does not mean that DFID's budget support has no effect on gender equality. It is possible that DFID's (and other's) efforts to influence stakeholders have had an impact, especially in Uganda and Ethiopia, as the examples cited in this report indicate. The point is, however, that it was impossible to ascertain gender impact because this study was a desk review that cannot capture the effects of such processes unless they are documented, which they were not. Moreover, since PRBS, by definition, is un-earmarked, the likelihood of making causal links between PRBS and gender equality is limited.

3.6 Our findings from Ethiopia indicate that the ability of DFID to extend its influence may also be constrained by weaknesses in the government structures at central and lower levels. In the absence of an effective devolved or decentralised system of government, the commitments to gender equality contained within a country's PRS are not likely to be translated into actions which can improve the lives of women and men if local governments do not support the idea. It is not clear from the documents reviewed to what extent this would also apply to Mozambique, Tanzania and Uganda.

⁶⁷ Lister (2006), p.71.

Conclusions and Recommendations

3.7 The evidence from Uganda presented in this report showed that stakeholders in the PRBS process were principally concerned with fiduciary risk, budgeting and financial management in the first generation of the PRBS arrangements. The overall findings of the GBS evaluation (Lister, 2006) indicate that this is fairly typical. Provided there are strong domestic champions working towards the incorporation of more strategic concerns such as gender equality and women's empowerment, this may happen in the second and future generations of PRS and the linked PRBS arrangements.

3.8 Donors need to work with and facilitate networks of committed national advocates of gender equality and women's empowerment, including civil society organisations, to champion the process. The partnership architecture that exists in one form or another in each of the four countries studied and which has been set up to facilitate the implementation of the PRBS aid modality, offers a means to do this, provided the full range of national and international stakeholders are involved.

3.2 Recommendations

3.9 The following recommendations arise from this thematic study:

1. In order to achieve an increased gender profile in the PRS, it is recommended that DFID's country offices work more with partner country gender and women's organisations to promote their advocacy work, given the role of the latter in the formulation of the PRS.
2. DFID, in partnership with other general budget support donors, should continue to promote the inclusion of gender indicators into the PRS and PAF monitoring systems. One such indicator might be the UNDP Gender-related Development Index or the Gender Equality Index developed by Social Watch. Going beyond girls' school enrolment and maternity health issues by adding gender disaggregated indicators in the governance area is also recommended. For example, the number and proportion of women representatives/councillors in key council committees such as finance and planning, and similarly, of women in higher management positions in key departments and within local authorities represent relevant indicators that can be verified relatively easily.
3. To enhance the PAF as the main monitoring instrument of PRBS performance, it is recommended that it be linked with other processes such as gender budgeting to ensure that there is a more explicit focus on gender. In this respect, using the experience that DFID has gained in Uganda and Tanzania, other country offices could both advocate and provide technical assistance for the institutionalisation of gender budgeting within the partner countries' planning and budgeting systems.
4. As a follow up to this thematic study, which was based on desk review of available documentation, it is recommended that a field-based study be launched in order to capture the formal and non-formal processes of gender influencing that DFID staff at the country offices are engaged in. The study should focus on the identification of good practices and lessons learnt that can be employed more broadly in order to strengthen the gender equality and women's empowerment dimensions in the context of budget support.

Annex 1: List of Persons Met

Interviews undertaken by Tom Dahl-Østergaard and Wendy Taylor

DFID HQ		
Peter Colenso	Policy Analyst (Education Adviser), Aid Effectiveness Team	4 Oct
Cathy Mawer	Deputy Policy Analyst, Aid Effectiveness Team	4 Oct
Sue Bassett	Policy Analyst, Aid Effectiveness Team	4 Oct
Simone Banister	Aid Effectiveness Team	4 Oct
Gerard Howe	<i>Gender Evaluation Steering Committee</i> , Senior SDA (recently returned from CO in Tanzania)	4 Oct
Andrea Cook	<i>Gender Evaluation Steering Committee</i> , Senior Gender and Rights Adviser (by telephone)	12 Oct
DFID CO Ethiopia		
Anthony Way	Deputy Head of Office (Programme)	31 Oct
Claudia Fumo	Social Development Adviser	31 Oct
Malcolm Smart	Economic Adviser	31 Oct
Marion Kelly	HIV/AIDS/Health Adviser	1 Nov
Melkamnesh Alemu	Food Security Adviser (PSNP)	2 Nov
Kalayo G. Selassie	Capacity Building Adviser (PSCAP)	2 Nov
Other DFID CO staff (interviewed by telephone)		
Arthur van Diesen	DFID CO Uganda	28 Oct
Ethiopia, others		
Tiruwork Tizazu	Ministry of Finance and Economic Development, Head, Women's Affairs Department	31 Oct
Fantahun Belew	Ministry of Finance and Economic Development, Head, Macro Economic Policy & Management Department	1 Nov
René van Nes	EC Delegation, Chair of Direct Budget Support Donors	31 Oct
Almaz Mengesha	EC Delegation, Gender Focal Point	31 Oct
Fisseha Alazar	Development Cooperation Ireland, Economic and Aid Modalities Adviser	1 Nov
Joachim Öppinger	Austrian Embassy, Development Cooperation, Head of Office	1 Nov
Doris Gebru-Zeilermayr	Austrian Embassy Development Cooperation, Programme Officer	1 Nov
Mieke Vogels	Netherlands Embassy, First Secretary, Chair of Donor Group on Education	1 Nov
Yelfigne Abegaz	Netherlands Embassy, Programme Officer, Gender and Poverty Reduction	1 Nov
Alemtsehai Alemu	World Food Programme, Gender Programme Officer	1 Nov
Others		
Richard Gerster	Gerster Consulting (Switzerland), co-author of "Learning from Experience with PAFs for General Budget Support" Sept. 2005.	5 Oct

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DEPARTMENT FOR INTERNATIONAL DEVELOPMENT

EVALUATION REPORT EV669

**Evaluation of DFID's Policy and Practice
in Support of Gender Equality and
Women's Empowerment:
Gender Equality through Justice and
Rights-based Policies and Programmes
Thematic Study**

Sarah Forti, Cecilia M. Ljungman

August 2006

CBO	Community-based organisation
CEDAW	Convention on the Elimination of all Forms of Discrimination
CIDA	Canadian International Development Agency
CSO	Civil society organisation
DAC	Development Assistance Committee (OECD)
DoC	Drivers of Change
EVD	Evaluation Department in DFID
GAD	Gender And Development
GE	Gender Equality
GEP	Gender Equality Project
GM	Gender Mainstreaming
HQ	Headquarters
IDT	International Development Targets
MDG	Millennium Development Goal
NGO	Non-Governmental Organisation
OECD	Organisation for Economic Cooperation and Development
OPR	Output to Purpose Review
PAF	Performance Assessment Framework
PRAMS	Participatory rights assessment methodologies
PRS	Poverty Reduction Strategy
RBA	Rights-based Approach
SGBV	Sexual and Gender-based Violence
SSAJ	Safety, Security and Access to Justice for All
SWAp	Sector Wide Approach
ToR	Terms of Reference
TSP	Target Strategy Paper
UNIFEM	United Nations Development Fund for Women
WB	World Bank
WE	Women's Empowerment
WID	Women in Development
WP	White Paper

EXECUTIVE SUMMARY

Background

S1 This report is one of three thematic studies forming part of the Evaluation of DFID's policy and practice in support of Gender Equality (GE) and Women's Empowerment (WE). The objective of the study is to assess DFID's contributions to GE and poverty reduction objectives through DFID's justice and rights-based *policies* and *programmes* and to draw lessons. The study is intended thereby to contribute to the formulation of general recommendations in the evaluation's synthesis report for the formulation of future DFID strategies and approaches towards gender equality and poverty reduction. It consists of a desk review and analysis of five policy documents relevant to the subject area, and eight selected interventions that explicitly target gender equality in justice and rights-based interventions towards poverty reduction.

S2 The study mainly attempts to contribute to:

- the main purpose of the evaluation: 'The **purpose** of the evaluation is to inform future DFID strategy, by assessing the results of DFID's past policies and programming on gender equality¹ and women's empowerment and any consequent effects on poverty reduction².' This study focuses in particular on the different angles of the relation between GE and poverty reduction.
- TOR Evaluation Question 7: 'What has been the impact and contribution of DFID's policy and practice on UK, partner country and international targets for gender equality and women's empowerment goals? What impacts can be identified where gender equality has not been an explicit goal of DFID interventions? Has gender-blind programming resulted in negative impacts on gender equality or other objectives?' As much evidence was gathered through the country studies and other thematic studies in relation to gender-blind programming, this study seeks to bring focus on results achieved when GE is an explicit goal in DFID interventions

S3 This paper attempts to distinguish, within the categories below, between the various concepts and approaches utilised in DFID *policies and practice*, in order to better understand their implications and expected results for gender equality and poverty reduction:

- **transforming gender structural inequalities** contributes to changes in the social structure and changes in power relations towards social justice. Changes in gender structural inequalities can be distinguished from changes achieved through the application of the non-discrimination principle and the rule of law that are essentially concerned with matters of fairness and equality in the application of legal procedures as opposed to substantive justice

¹ Gender equality objectives and women's empowerment objectives are linked but different in their focus. The TSP discusses the meaning of these terms as understood in DFID. In the ToR, 'gender equality' will be taken to include gender equality and women's empowerment unless a clear distinction is required.

² DFID EVD, TOR for Evaluation of DFID's Policy and Practice in Support of GE Final Terms of Reference March 2005.

Executive Summary

- **legal empowerment** contributes to knowledge and dialogue with regard to women's human rights and gender awareness
- **gender equality in rights and opportunities** contributes to non-discrimination in the rule of law and employment
- **access to in/formal justice systems** contributes to non-discrimination with regard to access to the judicial system, legal services and/or the non-state justice system

Justice and Rights-based Policies and Strategies - Conclusions and Lesson Learnt

S4 Although working groups and consultative processes were used in drafting the policy documents, this did not prevent some of the documents from being developed in a compartmentalised manner, and therefore do not consistently include obvious cross-cutting gender equality issues that have the potential to challenge structural inequalities and impact on poverty reduction. The perceived major factor that contributed to this is that whether a particular staff member or author to a DFID policy or strategic document includes gender or not does not make any difference in terms of sanctions or rewards and recognition within the organisation. DFID staff have acknowledged the fact that there is too little or no incentive to address GE in policy and strategy work. Whereas in the eyes of authors that do perceive gender as essential, the question of incentive is not posed as their individual knowledge and values are sufficient to ensure that GE is addressed in their respective work.

S5 Both Target Strategy Papers (TSPs)³ did not include clear and much needed operational plans and monitoring mechanisms to ensure an effective, systematic and coherent gender mainstreaming process in their application. Further, the TSPs missed an opportunity to establish adequate mechanisms that would address not only the symptoms but also the structural causes of gender inequalities, towards the transformation of gender power relations and realisation of specific women's human rights. This is a recognised omission amongst the authors who at the time of drafting were understandably more preoccupied by 'making a case' and putting forward sufficient evidence in order to build as much consensus as possible around GE, rather than foreseeing the challenges of the implementation phase and the relevant technical support needed.

S6 The explicit contributions of justice and rights-based policies to gender equality are limited to two areas: i) the inclusion of women amongst other marginalised and vulnerable groups and ii) a specific focus on violence against women - which echoed the main elements of the Women in Development (WID) approach as opposed to Gender And Development (GAD). This is a reflection of the political perspectives at the time of the drafting of the TSPs and also the fruit of compromises to build consensus around gender-equality related concepts. Hence, the concept of 'Women' as a vulnerable/marginalised group was considered a much more 'acceptable' concept, than questioning power relations and advocating for transformative changes that hinges on reallocation of wealth and privileges. This was indeed a strategic compromise to deal with gender issues in difficult political and socio-cultural contexts without building more resistance to

³ DFID (2000): Poverty Eradication and the Empowerment of Women, and DFID (2000): Realising Human Rights for Poor People.

the concept. In the same way and for the same purpose, it was also used as an internal strategy to play down political resistance to gender issues and build more alliances across different development and political spectra.

S7 While such a strategy has had possible positive effects in building consensus among DFID staff in considering GE as a serious and relevant issue, it has also taken the risks of narrowing down what is effectively a much broader concept, which includes at least the following three elements: women's gender role, male gender roles and the relations between the two in a given sector of society. Reducing these three elements to women as a category of vulnerable groups potentially narrows down the scope of GE at policy level to a Women In Development approach as opposed to the Gender And Development approach as advanced in the 4th World Conference on Women in Beijing in 1995 through its Declaration and Platform for Action.

S8 The respective statuses of the White Papers (WPs) and TSP are unclear in the eyes of DFID's staff. Whilst some staff still refer to the White Papers and the TSPs as laying the guiding principles and vision of DFID, some are not familiar with either and others assume that these documents are no longer current or have been overridden by new principles, themes and approaches. This lack of clarity as to the status of DFID's general core internal policies and strategies has implications in relation to whether or not gender equality is considered as one of the core DFID principles. These findings fully support and further verify the findings in the recent DFID Policy Coherence review. In particular when it mentions the '1000 flowers bloom approach' to policy development and the consequent lack of prioritisation amongst the different DFID strategies and new approaches.

S9 The perceived 'optional' nature of policies and strategies at internal level in DFID is thus a much wider and recognised problem and does not solely hinder the systematic and coherent implementation of gender equality. Thus and in line with the recommendations of the DFID Policy Coherence review, this calls for a commonly agreed and jointly developed statement of principles that can be used to prioritise main areas of policy work as well as selecting which strategies and approaches are to be used systematically to reach the Millennium Development Goals (MDGs) - and ultimately clarify whether or not GE is one of them and, if so, to what extent and how it is to be applied across other DFID policies and strategies.

Justice and Rights-based interventions - Conclusions and Lessons Learnt

S10 Interventions that focused on structural causes of gender inequality opened up for wider opportunities to make more sustainable impact on poverty reduction over the longer term compared to interventions focusing merely on the manifestations of gender inequality. These efforts are better placed to go beyond quantitative participation of women towards the transformation of structures that maintain gender inequalities. The intervention in Brazil is a good example of such an intervention. Similarly, the programme in the Mekong region – which contributes to women's emancipation and empowerment by addressing specific women's human rights related to violation, as well as women's socio-economic rights – promotes structural changes in society. At the same time, both efforts target root causes of poverty in an effective way indicating that interventions that promote structural change with regard to gender equality are in a good position to address structural changes to reduce poverty. However, such

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interventions are unlikely to be successful unless there are enabling conditions on the ground and an open dialogue with the national partners.

S11 Significant contributions to gender equality and poverty reduction can be achieved beyond numbers, including in difficult contexts, when appropriate and locally grounded strategies are devised to challenge patriarchal systems, power relations and customary practices through the empowerment of (poor) women to claim and invoke their rights (Jordan, Bangladesh and Zimbabwe).

S12 Efforts that target anti-discrimination in the form of equality of rights and opportunities are likely to contribute to an increase in women's quantitative participation (Pakistan, Peru and Malawi). The extent to which this may be considered as a significant contribution to gender equality and poverty reduction depends on the difficulties and barriers presented by the socio-cultural context. For Pakistan, given the political/traditional context, breaking a silence is seen as a major breakthrough.

S13 Until rights based approaches are further developed and systematically applied, it cannot be assumed that they will automatically and explicitly include gender equality and women's human rights (Peru).

S14 From the persons interviewed and documents reviewed the perceived factors that have contributed to these results can be summarised as follows:

- enabling political contexts in support of GE (Brazil)
- appropriate GE strategies and approaches used by Programme Managers in working with GE in difficult, albeit resistant, socio-cultural and political country contexts (Jordan, Pakistan, Bangladesh and Zimbabwe)
- technical support and cooperation on gender issues between DFID country offices and programme offices (Brazil, Jordan)
- visible commitment of top management in DFID country offices (Brazil)
- external programme managers particularly committed to champion GE issues (Brazil, Mekong Region, Jordan)
- DFID country programme staff that appear to be sufficiently sensitised to GE to make efforts to include it in their programme and monitoring systems (Bangladesh, Pakistan)

S15 Most external programme managers and DFID country programme staff interviewed expressed the need for and the interest in a forum of knowledge sharing specifically on GE. Not only in order to share experiences and best practices, but to learn from results achieved in other programmes in order to develop new ideas and possibly test new strategies in this field.

1 INTRODUCTION

1.1 This report on *Gender Equality through Justice and Rights-based Policies and Programmes* is one of three thematic studies forming part of the Evaluation of DFID's policy and practice in support of Gender Equality (GE) and Women's Empowerment (WE). The study was undertaken by Sarah Forti as Team Leader and Cecilia Magnusson Ljungman from December 2005 to February 2006.

1.1 Objectives and main evaluation questions

1.2 The objectives of this thematic study are:

- to assess DFID's contributions to gender equality and poverty reduction through DFID's justice and rights-based *policies* and *programmes*
- to draw lessons and thereby contribute to the general recommendations of the synthesis report of this evaluation for the formulation of future DFID strategies and approaches towards gender equality and poverty reduction

1.3 The study mainly attempts to contribute to:

- the main purpose of the evaluation: 'The **purpose** of the evaluation is to inform future DFID strategy, by assessing the results of DFID's past policies and programming on gender equality⁴ and women's empowerment and any consequent effects on poverty reduction⁵.' This study focuses in particular on the different angles of the relation between GE and poverty reduction.
- Evaluation Question 7: 'What has been the impact and contribution of DFID's policy and practice on UK, partner country and international targets for gender equality and women's empowerment goals? What impacts can be identified where gender equality has not been an explicit goal of DFID interventions? Has gender-blind programming resulted in negative impacts on gender equality or other objectives?' As much evidence was gathered through the country studies and other thematic studies in relation to gender-blind programming, this study seeks to bring focus on results achieved when GE is an explicit goal in DFID interventions

1.4 This study should thus be considered as an assessment of good practices of gender equality and poverty reduction in the field of justice and human rights. In line with the study's terms of reference (ToR) (see Annex 1) and methodology, the study has not applied

⁴ Gender equality objectives and women's empowerment objectives are linked but different in their focus. The TSP discusses the meaning of these terms as understood in DFID. In the ToR, 'gender equality' will be taken to include gender equality and women's empowerment unless a clear distinction is required.

⁵ DFID EVD, TOR for Evaluation of DFID's Policy and Practice in Support of GE Final Terms of Reference March 2005.

Introduction

conventional evaluation criteria as outlined by, for instance, Organisation for Economic Development and Cooperation/Development Assistance Committee (OECD/DAC). Nor have the interventions assessed by the study been selected to be representative of DFID's effort in this area. Instead the selection of intervention is a purposive sample on the basis that gender equality and/or women's human rights are *explicitly* targeted.

1.2 Structure of the Report

1.5 This report consists of four sections. This is the introductory section and is followed by Section 2 which provides a conceptual framework for the relations between the concepts of Justice, Human Rights, Gender Equality and Poverty Reduction. Section 3 discusses DFID's policy framework related to justice and human rights in the overall effort to reduce poverty. Section 4, analyses eight different DFID interventions in the human rights and justice sphere.

1.3 Approach and Method

1.6 The first part of the study process focused on drawing up a clear **methodological framework**. It included identifying gender equality issues and indicators to help assess DFID's contributions to gender equality in justice and rights-based policies and programmes. Furthermore, a set of criteria were devised to select the interventions to be studied. This was followed by a **desk review** of five policy documents and eight selected interventions relevant to the subject area. Concept notes, project memorandums, implementation and monitoring reports and project completion reports (if available) pertaining to the interventions were studied. Furthermore, additional data was gathered on the policy documents and programme implementation processes through **semi-structured interviews** with key informants within and outside DFID Headquarters (HQ) via telephone.

1.7 The data collected were consolidated and analysed using two different analytical frameworks. Firstly, the policy documents and interventions were assessed using indicators related to gender equality, poverty reduction and the Millennium Development Goals (MDGs) (see table 1 in Annex 2). Secondly, DFID's contributions to gender equality and poverty reduction in this area of work were assessed (see table 2 in Annex 2).

1.3.1 Selection and sampling

1.8 The choice of policy documents and programmes analysed in the study was based on consultations between the consultant and the Evaluation Department (EVD). The study focuses both on a selection of key DFID justice and rights related policies/strategies and eight interventions. The latter were selected according to the following criteria:

- interventions addressing one or more women's human rights
- a minimum of two interventions focusing on specific women's rights such as sexual and gender-based violence - including domestic violence and/or women's trafficking and prostitution

- interventions from different regions
- interventions that integrate a 'Drivers of Change' (DoC) perspective challenging structural social inequalities and in particular gender inequalities
- interventions older than 1.5 or 2 years
- interventions in which programme documentation is available

1.9 The criteria are further specified in Annex 2. It is important to note that the selection of interventions **should be considered a purposive sample** of DFID's justice and human rights programmes – many of which may either weakly include gender equality as one of the cross-cutting issues, or may not explicitly target gender equality and women's human rights at all. Such cases would not have allowed for an in-depth analysis and further qualification of DFID's potential contribution to gender equality and poverty reduction. Thus, the study has been more of a 'cherry-picking' exercise to illustrate good practices with regard to the ability of justice and human rights programmes to contribute to gender equality and poverty reduction.

1.3.2. Limitations of the study

1.10 The most important limitation of the study has been the fact that it is carried out as a desk study. The lack of opportunity to conduct field missions and to undertake focus group discussions and interviews with beneficiaries and other stakeholders has inhibited the opportunity of verifying results and further exploring potential contributions of the interventions.

1.11 Furthermore, some key DFID staff were unavailable for interview, which resulted in other relevant policy documents not being included in this study, such as the (WP) Paper 'Eliminating World Poverty: Making Globalisation Work for the Poor, (2000) and Making Government work for poor people - Building State Capabilities Target Strategy Paper (TSP) (2000) relating to justice and rights.

1.12 Since gender equality and poverty reduction are processes affected by a multiplicity of societal, political and cultural factors, determining the extent to which DFID's specific efforts have contributed to these processes is problematic – particularly from a desk perspective. Nevertheless, the study has focused on providing indications of DFID's efforts contributing to these processes.

2 CONCEPTS, DEBATES AND CRITIQUES

2.1 Despite decades of development assistance, the reality that 1.2 billion people live on less than a dollar a day and 2.8 billion live on two dollars a day⁶ has led a majority of the development community, at least nominally, to focus efforts on 'poverty reduction'. Thus, in the last decade, the development discourse has moved from an understanding of 'development' as essentially a process of economic growth - a rapid sustained expansion of production, productivity and income per head - to a process that enhances the freedoms [and rights] of the people involved to pursue whatever they have reason to value⁷. The broader concept of development assistance has also been mirrored by a more holistic definition of 'poverty' including dimensions - beyond the lack of financial and material well-being - such as the lack of power, choice, participation and contribution to development processes. This holistic definition of poverty is also known as the 'multidimensional' definition of poverty encompassing other - possibly less tangible and measurable factors than those pertaining to material well-being and income per capita.

2.2 The proponents of the Rights-based Approach (RBA) to development assistance share the view that social exclusion and powerlessness are fundamental aspects of poverty. Although Human Rights are generally understood to be universal and thus for all - whether rich or poor - nevertheless, poor men and poor women in particular are the category of persons suffering most from the lack of access to fundamental human rights and specific human rights violations.

2.3 In this perspective, the realisation of human rights and development processes towards poverty reduction become closely inter-related. As explained in DFID's TSP on *Realising Human Rights for Poor People*, 'Human rights provide a means of empowering all people to make decisions about their own lives rather than being the passive objects of choices made on their behalf⁸.' The stark conceptual change the proponents of the RBA brought to the forefront is a shift from visualising beneficiaries of development assistance as the objects of charitable deeds to human beings that have fundamental *rights* to participate and make decision in development processes that affect them.

2.4 Although DFID Safety, Security and Accessible Justice guidelines⁹ do not provide a definition of the concept of 'justice' in their glossary, the explanation of its interlinkages and relations with the concepts of human rights, the rule of law and poverty reduction is developed as follows:

'Because the provision of law and order is a core government responsibility and is part of the necessary framework for economic and social development:

- *the rule of law is correlated with economic growth and investment. An effective justice sector promotes better livelihoods for poor people*
- *the rule of law is necessary for the protection and promotion of economic and social as well as civil and political rights [...]*

⁶ Narayan et al (2000).

⁷ Amartya Sen, (1999).

⁸ DFID, October 2000 Realising Human Rights for Poor People.

⁹ DFID, 2002 Safety, Security and Accessible Justice, Putting policy into Practice, Guidelines.

Concepts, Debates and Critiques

2.5 Many other development agencies, like the World Bank, have also used close similar interlinkages between the concept of justice, human rights and economic growth in their support to the reforms of the Judiciary in developing countries.

2.6 This has prompted several critiques to highlight, amongst others, the following issues which are further developed in the sub-sections below:

- given the assumption that economic stability and growth will eventually trickle down to benefit the poorest, whether and to what extent can the Rule of Law, reduce poverty?¹⁰
- by limiting the interpretation of the concept of 'justice' to stand for the implementation of the 'rule of law'¹¹ and not explicitly targeting 'social justice', the potential to impact on social inequalities is questionable. The 'fair and equal rules for all' or non-discrimination model may be inadequate to deal with entrenched structural inequalities¹²

2.7 The reasons why women and men living in poverty are often precluded to participate and benefit from their country's wealth may indeed be varied and differ depending on the contexts. These may be political, cultural, social (including gender, ethnicity, religion and age etc.) and economic. While essential to the reduction of poverty, economic efforts alone may thus not entirely address the multidisciplinary and multidimensional aspects of poverty.

2.8 Addressing poverty - that is including social 'inequalities' aspects of it - is therefore not the realm of a single discipline. Rather, the challenge is that such concepts lie at the interface between political, economic, social, anthropological and legal fields. Thus an effective approach to poverty reduction requires a broad range of efforts that target the root causes of poverty - also called the structural causes of poverty because of their entrenchment within the socio-cultural fabric or 'structure' of a given society.

2.9 Thus, understanding and attempting to resolve social inequalities - and gender inequalities in particular - through only one particular field such as the rule of law and the legal principle of non-discrimination may well be limiting in the results achieved. The belief that the establishment of an equal-rules-for-all system will ultimately get rid of structural inequalities and social injustices may be a common but rather questionable assumption. The 'fair game' approach, as it has been analysed from several of its critiques - does not deal with entrenched structural inequalities and unequal power relations¹³. Instead, it accepts a given legal order - or any other given framework - as it is and without further questioning its adequacy in terms of justice and applies its rules 'equally' to all. At best, such a system may deal with a few cases of discrimination which may result in quantitative changes - for instance a change in numbers of women accessing a service or an institution - and will contribute *quantitatively* to GE. Ultimately though, it may not necessarily have a 'qualitative' impact in terms of significant effect on structural inequalities and thus, on the root causes of poverty - unless specific transformative activities are targeted.

¹⁰ Golub (2003): Beyond the rule of law orthodoxy : the legal empowerment alternative.

¹¹ i.e. access to fair rules for all.

¹² W. Mansell, B. Meteyard and A. Thomson (2004): A Critical Introduction to Law, Cavendish Third Edition

¹³ W. Mansell et al, op cit.

2.10 The concept of 'gender equality' in development assistance lies at the heart of the dynamics and counter-dynamics briefly described above on human rights and justice-related concepts. The World Bank research report, 'Engendering Development'¹⁴, through incentives to produce *quantitative* and *measurable* evidence, provided development economists with abundant examples of how gender equality – in terms of equality under the law, opportunity and voice – not only concretely and significantly reduces poverty among women, but also among men and children. The evidence that gender inequality hinders development¹⁵ is a key reason why there is a millennium development goal specifically addressing this issue.

2.11 However, just as addressing poverty through the non-discrimination principle within justice and rights-related programmes does not necessarily tackle the deeper layer of structural inequalities, a sole focus on non-discrimination on the grounds of sex with regard to opportunities and the law is insufficient to tackle gender-related structural inequalities. These also include unequal power relations that are embedded in a given society at a given time and specific violations of women's human rights that have little to do with the non-discrimination paradigm, such as sexual and gender-based violence, women's trafficking and forced prostitution etc.

2.12 Thus, critiques of the liberal interpretation of the concept of *gender equality* as merely non-discrimination between women and men have denounced the risks and limitations of such interpretation in the following manner. 'Assuming symmetry of position between women and men without addressing the complex way in which gender inequalities are created and sustained by social and power relations will not necessarily lead to the crucial transformation of structural inequalities over the longer term'¹⁶. Addressing gender-related structural and systemic inequalities thus entails an understanding, visibility and analysis of how wealth, resources and power are distributed and whom they benefit in a given country-context.

2.13 In light of the necessity of challenging gender *structural* inequalities and producing *transformative* changes as explained above, this study further draws on the analysis and conclusions of the Report on Gender Equality and Mainstreaming by the Gender And Development (GAD) network¹⁷; the following main points of which have triggered particular attention in this report

- 'due to different interpretation of poverty and gender equality there appears to be a dichotomy between the efficiency-based and rights-based approaches - further reflected in two contrasting and coexisting ideas of how gender mainstreaming is to be achieved:
 - i) by the integration of women and gender concerns into *existing* development frameworks and interventions

¹⁴ World Bank. *Engendering Development - Through Gender Equality in Rights, Resources and Voice*. World Bank and Oxford University Press, 2001.

¹⁵ Ibid, pp73-106.

¹⁶ *Not Waving but Drowning: Gender Mainstreaming and Human Rights in the United Nations*, Hilary Charlesworth, Harvard Human Rights Journal 2005.

¹⁷ Mandy Macdonald (2003): Report on Gender Equality and Mainstreaming in the policy and practice of the UK Department for International development - A briefing from the UK Gender and Development Network.

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ii) by the *transformation* of development policy and frameworks from the perspective of gender equality as a *right* and a development objective in itself

- there is a vacillation between rights-based and efficiency-based approaches to development and to understanding poverty reduction'

2.14 These conclusions relate to the above analysis on several levels. Firstly, just as the non-discrimination principle in the legal field does not question the existing legal order to tackle structural inequalities, mainstreaming gender within existing development frameworks without questioning whom they essentially benefit may also be limiting¹⁸. Secondly, the need for *transformative* changes to tackle structural inequalities. Thirdly, the opposition between efficiency-based and rights-based approaches to development assistance also relates to variations in the interpretations of the concept poverty - whether from a strict economic-growth perspective or from a broader multidimensional one.

2.15 This paper attempts to distinguish, within the categories below, between the various concepts utilised in DFID *policies and practice* in order to better understand their implications and expected results for gender equality and poverty reduction:

- **transforming gender structural inequalities** contributes to changes in the social structure and changes in power relations towards social justice. Changes in gender structural inequalities can be distinguished from changes achieved through the application of the non-discrimination principle and the rule of law that are essentially concerned with matters of fairness and equality in the application of legal procedures as opposed to substantive justice
- **legal empowerment** contributes to knowledge and dialogue with regard to women's human rights and gender awareness
- **gender equality in rights and opportunities** contributes to non-discrimination in the rule of law and employment
- **access to in/formal justice systems** contributes to non-discrimination with regard to access to the judicial system, legal services and/or the non-state justice system.

¹⁸ Charlesworth, H. and Chinkin (2000): The boundaries of international law, A feminist analysis.

3 JUSTICE AND RIGHTS-BASED POLICIES AND STRATEGIES

3.1 This section describes and analyses five DFID policies and strategies that relate to justice and rights-based strategies in the effort to reduce poverty from a gender equality and poverty perspective.

3.2 In addition to the 2000 TSP of Poverty *Elimination and the Empowerment of Women* the documents examined are:

- 1997 Eliminating World Poverty: A Challenge for the 21st Century (White Paper)
- 2000 Realising Human Rights for Poor People (TSP)
- 2000 Justice and Poverty Reduction - Safety, Security and Access to Justice for All (Policy)
- 2002 Safety, Security and Accessible Justice - Putting Policy into Practice, (Guidelines for governance advisers and programme managers)
- 2004 Non-state Justice and Security Systems

3.3 This sub-section examines the gender equality policy context in DFID, how the above policy documents have addressed gender equality, the contributions they have made to gender equality at the policy level and to what extent this has strengthened DFID's poverty reduction efforts. A brief description of each document is provided in Table 1 below.

Justice and Rights-Based Policies and Strategies

Table 1: Description of Policy Documents

Policy Document	Date published	Type of document	Key content
Eliminating World Poverty: A Challenge for the 21st Century	Nov. 1997	White Paper	Reflects DFID's core principles and sets out the UK poverty reduction policy. The central focus is a commitment to the internationally agreed target to halve the proportion of people living in extreme poverty by 2015 together with the associated targets including basic health care provision and universal access to primary education by the same date.
Realising Human Rights for Poor People	Oct. 2000	Target Strategy Paper (TSP)	Presents a strategy for the achievement of human rights and fundamental freedoms of poor people. The central message is that the International Development Targets can only be achieved through the engagement of poor people in the development processes which affect their lives. The TSP sets out DFID's rights-based approach to development which means empowering people to take their own decisions – rather than being the passive objects of choices made on their behalf. The objective is to enable all people to become active citizens with rights, expectations and responsibilities and enabled to hold governments to account for their human rights obligations. Poverty is tackled by empowering poor people and ensuring that their voices are heard when decisions which affect their lives are made through an emphasis on <i>participation</i> and <i>inclusion</i> . It recognises the importance of equality and social justice in the development effort.
Justice and Poverty Reduction - Safety, Security and Access to Justice for All (SSAJ)	Dec. 2000	Policy paper	Objectives include making all people safe from violence and intimidation in their communities, homes, work and schools; to make people's property secure from theft and damage; and ensuring that everybody has access to systems which dispense justice fairly, speedily and without discrimination. These have been identified by developing countries as priorities within the PRSP process. DFID's approach is inclusive of all people but gives priority to the problems of poor and disadvantaged people.
Safety, Security and Accessible Justice - Putting Policy into Practice	July 2002	Guidelines	Provides guidelines to governance advisers and programme managers for the implementation of the above policy.
Non-state Justice and Security Systems	May 2004	Extra chapter above guidelines	Provides practical guidance on how to work with non-state systems based on experience from past interventions and research. Non-state justice and security systems refer to all systems that exercise some form of non-state authority in providing safety, security and access to justice. They include a range of traditional, customary, religious and informal mechanisms that deal with disputes and /or security matters.

3.1 DFID's GE Policy Context

3.4 Before analysing how the above policy documents address and contribute to gender equality and women's empowerment, it is important to understand the gender equality policy context within DFID and how it has developed.

3.5 The TSP *Poverty Elimination and the Empowerment of Women* (September 2000) presents DFID's strategy for promoting equality for women, 'those who make up the majority of the billion or more people living in abject poverty'. It provides an overview of how gender inequalities bear on international development and how women's empowerment is an essential precondition for the elimination of these inequalities and poverty. The focus of the strategy is to develop linkages between women's empowerment and the elimination of world poverty and it places gender equality as an essential goal in this effort. The paper also regards gender equality as a central element in the wider struggle of human rights for all.

3.6 *Poverty Elimination and the Empowerment of Women* sought to remedy the lack of inclusion of the concept of gender equality in the White Paper *Eliminating World Poverty: A Challenge for the 21st Century*. The TSP seems to reflect different currents and trends with regard to gender equality. For instance, its title mentions women's empowerment and not gender equality. Meanwhile, most of the objectives target gender equality, while a twin-track approach outlined in the paper targets both and place WE and Gender Mainstreaming (GM) as strategies to reach the goal of GE. While the paper makes a strong case for women's empowerment as a prerequisite for gender equality and, most importantly for poverty eradication¹⁹, it provides non-experts with neither practical tools nor with an understanding of which concepts to prioritise and when.

3.7 Although the TSP provides a sound analysis of the structural causes of gender inequality as constituting a major challenge for poverty reduction – thereby bringing the linkages between gender equality and poverty reduction to the heart of the development effort – most of the paper's ten objectives centre on the non-discrimination principle as opposed to promoting empowerment. None seem to explicitly address changes in the allocation of and control²⁰ over resources and changes in power relations to address structural causes of gender inequalities. As a consequence, this limits the likelihood that other policies will effectively pursue gender equality beyond the non-discrimination paradigm towards transformation.

3.8 While TSP's purpose was to 'signal an important shift in DFID priorities and ensure commitment that gender equality remained in the mainstream of all of DFID work', the strategy does not adequately address the necessary programmatic changes and organisational restructuring that gender mainstreaming requires in order to be systematically applied. To some extent, the DFID gender manual of April 2002²¹ attempted to clarify gender concepts further and provided practical tools and guidelines for gender mainstreaming. However, because this manual was published after the gender momentum of the 1990s, in a period when gender

¹⁹ DFID, 2000 *Poverty Elimination and the Empowerment of Women*, S.5.

²⁰ the term 'control' is used inline with the Beijing Platform for Action and implies changes in bargaining power and power relations.

²¹ DFID, April 2002, *Gender Manual: a practical guide for development policy makers and practitioners*.

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equality was beginning to lose its political clout, it could not make up for the lack of an in-built implementation and follow-up mechanism as part of the TSP. Thus the prioritisation of the paper's ten gender objectives and indeed their inclusion into other policy papers were made optional and left to the judgement of the respective country offices. This, to some extent, explains the lack of effective and systematic mainstreaming and follow-up of gender equality throughout DFID's other policies and strategies.

3.9 All TSPs were drafted after the change in UK government and were originally conceived as (i) providing guidance and (ii) letting the public know how DFID was intending to deliver each International Development Target (IDT) set out in the White Paper 'Eliminating World Poverty'. The drafting processes were all subject to wide external and internal consultations and negotiations. Thus, to a certain extent, the TSPs represent a compromise between divergent currents, lobbying groups and opinions, and in some instances have resulted in the dilution of initial concepts and ideas of earlier drafts. Although the TSPs were developed separately and were meant to be distinct from each other, they were nevertheless supposed to form a coherent and interrelated set of strategies towards the overall goal of poverty reduction.

3.10 What remains unclear to DFID's staff are the following issues: i) the current status of TSPs – whether or not the TSPs are (still) mandatory and ii) whose responsibility is it to implement or ensure implementation of TSPs. DFID's Policy Coherence Review of January 2005 highlighted that: 'The status of White Papers and Target Strategy Papers is now unclear. Whilst some staff still refers to the WPs and the TSPs, some are not familiar with either and others assume that these documents are no longer current. Non-Governmental Organisations (NGOs) still refer to them in the absence of a more recent statement of principles against which DFID can be held accountable.'

3.11 While aspects of DFID's policies and strategies place the organisation at the forefront of original, innovative and bold development approaches, the Policy Coherence Review further stresses the difficulties that are apparent in engaging with the '1000 flowers bloom'²² approach to policy and strategies. It thus calls for a 'commonly agreed and jointly developed statement of principles that can be used to help prioritise main areas of policy work' as well as selecting strategies and approaches to achieve the MDGs.

3.12 The lack of consensus about the importance of gender equality, and resistance experienced at the time of the preparatory phase leading to the TSP is widely recognised and has been further documented by other gender evaluations' findings and lessons learnt²³. Nevertheless, the TSP has been successful in advocating and building a consensus regarding the importance of gender equality in DFID's general poverty reduction efforts. What remains unclear is not *whether* gender equality is considered relevant to poverty reduction and the achievements of MDGs amongst the majority of DFID's staff (a battle won by its advocates), but

²² Ladbury, 2005, p11.

²³ Caroline Moser, Olivia M'chaju-Liwewe, Annelise Moser & Naomi Ngwira: 'DFID Malawi Gender Audit: Evaporated, Invisibilised or Resisted?': DFID Malawi: 2004; DFID (2002) Gender Manual: A Practical Guide for Development Policy Makers and Practitioners Emerging lessons on mainstreaming gender in national policy framework p.10; DFID (2000) Poverty elimination and the empowerment of women, Lessons learnt from donor experience in reference to Sara Longwe in her 1997 paper on 'The evaporation of gender policies in the patriarchal cooking pot' in Development In Practice, Vol.7 No2, London 1997.

to what extent it is considered *essential* and fundamental to the achievement of poverty reduction and the MDGs – despite the fact that this has been expertly proven by, for instance, the World Bank’s ground-breaking research²⁴.

3.13 It appears that part of the answer to this question relates to the definition of poverty reduction. Is poverty reduction concerned with addressing poverty’s socio-economic manifestations or does it also encompass tackling *inequalities* of power, choice, security and resources that together constitute the root causes of poverty? Which interpretation of poverty reduction takes precedence within DFID? As highlighted by the Policy Coherence Review, in light of divergent understandings and interpretations among staff, there is a need to clarify priorities and core principles in the organisation.

Analysis of Poverty, Justice and Rights-based Policy Papers

3.14 This sub-section analyses the extent to which the five policy papers mentioned above have addressed gender equality and women’s empowerment.

3.15 *Eliminating World Poverty: A Challenge for the 21st Century*’ is not a specific justice and human rights policy paper. However, as DFID’s key poverty reduction policy, the paper addresses some of the gender equality concepts in the justice and rights field by recognising that poor people – particularly women – are the most vulnerable to all forms of crime and civil conflict, including domestic violence; and that in very many cases formal justice systems fail to protect them.

3.16 The White Paper’s inclusion of a women’s focus in relation to justice is the result of internal and external negotiations and lobbying. There was not necessarily a clear consensus at the time as to which gender-related concepts to include. Some groups lobbied for gender equality following the momentum achieved as a result of the Beijing conference in 1995, while others were more in favour of retaining a strong women’s empowerment focus. A weakness of the paper is that it failed to integrate the progress made in Beijing in terms of making a clear transition from or alternatively explaining the co-existence between WID and GAD approaches to development.

3.17 The fact that the paper equates women with other marginalised or vulnerable groups brings attention to women’s empowerment as an issue per se, but in effect limits the concept of GE to women as victims. Critics of the integration of a women’s focus in the White Paper saw it as subsuming gender equality and women’s empowerment within the poverty reduction umbrella, while others saw it as a necessary step to reach the goal of gender equality and to avoid invisibility of impact. During the drafting process, concepts were discussed and negotiated in the different versions of the White Paper. As a result, the concept of GE and gender mainstreaming was excluded in this key policy paper that defines DFID’s core development principles, while ‘women’ are pigeon-holed as a ‘vulnerable’ group of society. This concept was successfully negotiated as it does not challenge structural inequalities and power relations and is thus more acceptable across the wide political spectrum.

²⁴ World Bank. *Engendering Development - Through Gender Equality in Rights, Resources and Voice*. World Bank and Oxford University Press, 2001.

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3.18 By analytically defining women as ‘vulnerable’, DFID back-tracked on the achievements of Beijing and subsumed the goal of GE to that of poverty reduction. This in turn, limited the wider policy context pertaining to equality, namely the human rights principle that regards women and the poor as holders of rights, as opposed to a definition of the poor that *exclusively* labels the poor and poor women in particular as victims and vulnerable people. Protecting the vulnerable and the excluded does not necessarily tackle the root causes of their situation. Rather, it is more akin to the concept of charity than that of questioning social structures including political structures that are perpetuating these inequalities. The concept of women as ‘a vulnerable group’ is a politically unchallenging concept that has been used as a political compromise both in the UK to build alliances across the wide political spectrum and in conservative and patriarchal country contexts as mentioned in Section 4 below.

3.19 The TSP *Realising Human Rights for Poor People* was developed in parallel with the *Poverty Elimination and the Empowerment of Women*. The paper presented a strategy for ‘the achievement of human rights and fundamental freedoms of poor people’. It emphasises that the international development targets can only be achieved ‘through the engagement of poor people in the development processes that affected their lives²⁵’. Echoing Amartya Sen’s work, it underlines the importance of the *qualitative* elements of development – such as the protection of human rights – in the effort to attain *quantitative* targets.

3.20 The paper is innovative and has been at the cutting edge of the rights-based policy development among donor agencies. It marked an intention of shifting the development paradigm from a needs-based approach to a rights-based approach. Developed by sociologists with a non-legal background, the major contribution of the TSP was to place human rights at the centre of development strategies. Using the international legal framework as a starting point, the paper emphasises the concepts of participation and inclusion of the poor and marginalised and the importance of accountability. This bottom-up approach preceded all other pro-poor and later social exclusion approaches in DFID’s work with the advantage of using a recognised international legal framework as its main political and governance platform. Strategically, the paper was also used as a tool to persuade partners such as the World Bank to take on board more socially inclined perspectives of development.

3.21 This TSP makes little reference to gender equality. It assumes that human rights are ‘gender neutral’ since they are universal, inalienable and indivisible and by definition apply to women and men alike. While Convention on the Elimination of All Forms of discrimination against Women (CEDAW) is mentioned in the analytical part of the paper, the paper fails to explicitly mention women’s human rights in relation to the different ‘key actions’ specified:

- among the ‘key actions’ related to ‘fulfilling obligations’, human rights law, humanitarian law and refugee law are all explicitly addressed but women’s rights are not mentioned²⁶
- under the ‘key actions’ on participation²⁷, women’s participation is assumed but not explicitly mentioned

²⁵ DFID, 2000, *Realising human rights for poor people*, p.7.

²⁶ DFID, 2000, *Realising human rights for poor people* S.5.14 - 5.19.

²⁷ DFID, 2000, *Realising human rights for poor people*, S.5.6 -5.10.

- although sex-disaggregated statistics are explicitly mentioned under the 'key actions' on inclusion²⁸, ethnicity and cultural rights are identified as means for overcoming exclusion while women's rights are not

3.22 Further, instead of mentioning the full categories and variety of women's rights, only violence against women is explicitly referred to – echoing the 1997 White Paper. Violence against women is also only mentioned in the context of armed conflict, leaving the private sphere of domestic violence unaddressed.

3.23 The TSP makes a case for the need to understand 'structural causes of inequality', but it is assumed that these can be adequately challenged with the rule of law to ensure equality in rights for all. Whether the non-discrimination principle is sufficient to address structural causes of inequalities and gender inequalities in particular is, if anything, questionable. For the TSP to go as far as addressing women's human rights beyond the non-discrimination principle would have entailed dealing with the structural causes of gender inequalities and power relations – according to the drafters a topic beyond the space available for this TSP and left to the women's empowerment TSP to deal with. As seen above, the women's empowerment TSP missed an opportunity to address this issue.

3.24 The main contribution of *Justice and Poverty Reduction - Safety, Security and Access to Justice for All* and the guidelines *Safety, Security and Accessible Justice - Putting Policy into Practice* is their innovative pro-poor approach that focuses on greater access to justice by the poorest populations. This contrasts with the conventional judicial reform programmes that usually focus on the construction of court buildings and installation of computerised case-management systems. Based on the assessment of the World Bank's ground-breaking study *Voice of the Poor*²⁹ – which placed access to justice at the centre of the needs of the poor – these two papers are coherent with DFID's TSP on the human rights based approach.

3.25 In spite of the lack of definition of the term 'justice' within the SSAJ policy and guidelines, it was the intention of the authors to primarily focus on an interpretation of justice from the 'law enforcement side' as the implementation of 'the rule of law', while relegating issues of 'social justice' for a later stage, if appropriate to the political context of the recipient country.

3.26 These policy papers could have provided a unique opportunity to mainstream gender equality systematically as laid out by the gender TSP. Furthermore, they could have addressed all categories of women's rights as described in CEDAW and thereby develop the concept of women's human rights as a relevant field of justice. Instead, the focus of gender equality in this policy and guidelines reflected the 1997 poverty reduction White Paper which limited the focus to women as marginalised groups and victims of domestic violence – a fundamental breach of women's rights, albeit missing from the CEDAW.

3.27 The *Non-state Justice and Security Systems* paper recognises the importance of traditional justice systems and rules in the daily lives of the poor. Informal systems are 'often

²⁸ DFID, 2000, Realising human rights for poor people, S.5.11-5-13.

²⁹ World Bank, May 2001, Poverty Trends and Voices of the Poor, : <http://www.worldbank.org/poverty/voices/overview.htm>.

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preferred by the poor population because of low costs, speed, accessibility, cultural relevance and responsiveness to people'. It acknowledges the obvious fact that more than 75% of the poor population access and use traditional justice systems – as opposed to the more costly and often inaccessible formal justice system.

3.28 The paper is virtually gender-blind, although it does imply that it concerns both poor women and men. In the section concerned with monitoring and evaluation under improved rights protection, the paper explicitly mentions gender related changes with regard to 'the proportion of women who express confidence in non-state institutions and changes in perception of equal and dignified treatment'.

3.29 The paper regards traditional and informal systems as 'complements' to formal state systems and does not discuss the contradiction that may often exist between opposing perceptions of the legitimacy of 'formal' and 'informal' justice systems. The paper equates ensuring human rights compliance with the principle of non-discrimination and fair rules for all. It does not analyse customary norms and practices from a human rights perspective – let alone from a women's rights point of view. This would have had to be based on comprehensive analyses of the unwritten rules and practices of different ethnic groups and societies. Such grounded analyses would reveal which traditional rules and customs uphold or violate women's rights and could make a substantial contribution to removing socio-cultural, traditional, political and religious barriers towards the fulfilment of gender equality and poverty reduction.

3.2 Conclusions and lessons learnt

3.30 The following summarises the conclusions and lessons learnt at policy level.

1. Although working groups and consultative processes were used in drafting the policy documents, this did not prevent some of the documents from being developed in a compartmentalised manner, and therefore they do not consistently include obvious cross-cutting gender equality issues that have the potential to challenge structural inequalities and impact on poverty reduction. The perceived major factor that contributed to this is that whether a particular staff member or author to a DFID policy or strategic document includes gender or not does not make any difference in terms of sanctions or rewards and recognition within the organisation. DFID staff have acknowledged the fact that there is too little or no incentive to address GE in policy and strategy work. Whereas in the eyes of authors that do perceive gender as essential, the question of incentive is not posed as their individual knowledge and values are sufficient to ensure that GE is addressed in their respective work.
2. Both TSPs³⁰ did not include clear and much needed operational plans and monitoring mechanisms to ensure an effective, systematic and coherent gender mainstreaming process in their application. Further, the TSPs missed an opportunity to establish adequate mechanisms that would address not only the symptoms but also the structural causes of gender inequalities, towards the transformation of gender power relations and realisation

³⁰ DFID (2000): Poverty Eradication and the Empowerment of Women, and DFID (2000): Realising Human Rights for Poor People.

of specific women's human rights. This is a recognised omission amongst the authors who at the time of drafting were understandably more preoccupied by 'making a case' and putting forward sufficient evidence in order to build as much consensus as possible around GE, rather than foreseeing the challenges of the implementation phase and the relevant technical support needed.

3. The explicit contributions of justice and rights-based policies to gender equality are limited to two areas: i) the inclusion of women amongst other marginalised and vulnerable groups and ii) a specific focus on violence against women - which echoed the main elements of the WID approach as opposed to GAD. This is a reflection of the political perspectives at the time of the drafting of the TSPs and also the fruit of compromises to build consensus around gender equality related concepts. Hence, the concept of 'Women' as vulnerable/marginalised group was considered a much more 'acceptable' concept than questioning power relations and advocating for transformative changes that hinges on reallocation of wealth and privileges. This was indeed a strategic compromise to deal with gender issues in difficult political and socio-cultural contexts without building more resistance to the concept. In the same way and for the same purpose, it was also used as an internal strategy to play down political resistance to gender issues and build more alliances across different development and political spectra.
4. While this strategy has had possible positive effects in building consensus among DFID staff in considering GE as a serious and relevant issue, it has also taken the risks of narrowing down what is effectively a much broader concept which includes at least the following three elements: women's gender role, male gender roles and the relations between the two in a given sector of society. Reducing these three elements to women as a category of vulnerable groups potentially narrows down the scope of GE at policy level to a Women In Development approach as opposed to the Gender And Development approach as advanced in the 4th World Conference on Women in Beijing in 1995 through its Declaration and Platform for Action.
5. The respective statuses of the White Papers and Target Strategy Papers are unclear in the eyes of DFID's staff. Whilst some staff still refer to the White Papers and the TSPs as laying the guiding principles and vision of DFID, some are not familiar with either and others assume that these documents are no longer current or have been overridden by new principles, themes and approaches. This lack of clarity as to the status of DFID's general core internal policies and strategies has implications in relation to whether or not gender equality is considered as one of the core DFID principles. These findings fully support and further verify the findings in the recent DFID Policy Coherence review, in particular when it mentions the '1000 flowers bloom approach' to policy development and the consequent lack of prioritisation amongst the different DFID strategies and new approaches.
6. The perceived 'optional' nature of policies and strategies at internal level in DFID is thus a much wider and recognised problematic and does not solely hinder the systematic and coherent implementation of gender equality. Thus and in line with the recommendations of the DFID Policy Coherence review, this calls for a commonly agreed and jointly developed

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statement of principles that can be used to prioritise main areas of policy work as well as selecting which strategies and approaches are to be used systematically to reach the MDGs - and ultimately clarify whether or not GE is one of them and, if so, to what extent and how it is to be applied across other DFID policies and strategies.

4 JUSTICE AND RIGHTS-BASED INTERVENTIONS

4.1 This section is an analysis of Gender Equality in eight of DFID's justice/ rights-based interventions and of potential contribution to poverty reduction. The final section presents conclusions and lessons learnt from the analysis.

4.1 Analysis of Interventions

4.2 This sub-section assesses how gender equality has been addressed in eight different justice and rights-based programmes. This purposive sample of interventions was selected on the basis that each intervention explicitly targets gender equality and/or women's human rights. (Please see Annex 2 for the selection criteria.) The analysis also examines specific women's human rights within each intervention and potential indications of effects on poverty reduction.

4.3 The eight interventions are described in Table 2. In line with the methodological framework presented in Annex 2, these interventions have been categorised in the way they contribute to gender equality.

- **transforming gender structural inequalities** contributes to changes in the social structure and changes in power relations towards social justice. Changes in gender structural inequalities can be distinguished from changes achieved through the application of the non-discrimination principle and the rule of law that are essentially concerned with matters of fairness and equality in the application of legal procedures as opposed to substantive justice
- **legal empowerment** - interventions that aim to contribute to knowledge and dialogue with regard to women's human rights and gender awareness
- **gender equality in rights and opportunities** - interventions that aim to contribute to non-discrimination in the rule of law and employment
- **access to in/formal justice systems** - interventions that aim to contribute to non-discrimination with regard to access to the judicial system, legal services and/or the non-state justice system

4.4 The first two categories represent contributions that go beyond dealing with the symptoms of inequality to address some of the root causes. The last two categories deal more with the symptoms of inequality by promoting anti-discrimination. Some of the interventions contribute to gender equality in ways that could belong to more than one group. In these cases, the intervention is categorised according to its greatest significance to gender equality.

Justice and Rights-Based Interventions

Table 2: Description of Eight Access to Justice/Rights-based Interventions Selected

Programme	Time span	Area	Partners	Development Goal	Purpose, aims, strategies and outputs
Programme of Support for Integrated Actions in Gender and Race Equity in Brazil	2003-2008	Brazil	UNIFEM, CIDA and IADB	Reduce poverty by addressing the high levels of social and economic inequality that are directly related to bias by gender, race and ethnicity	Aims to increase social equity through establishing and implementing a multi-institutional and integrated strategy addressing gender and race equity. The programme has the following main outputs: (i) public expenditure of municipal and federal programme area budgets are monitored and modified to support equity in gender, race and ethnicity; (ii) institutions are strengthened to demand and support equity in gender, race and ethnicity; (iii) public policies and programmes are endowed with principles of equity in gender, race and ethnicity.
Reducing Labour Exploitation of Children and Women: Combating trafficking in the greater Mekong sub-region - ILO/IPEC SE Asia	Phase 1 1999-2002 / Phase 2 2003-2008.	Greater Mekong Sub region	ILO-IPEC	To contribute to the eradication of labour exploitation of children and women in the GMS	Aims to contribute to reducing trafficking in children and women for labour exploitation through the development, implementation and monitoring of effective and integrated sub-regional and national programmes and strategies. The overall strategy of the project is to 'build up a process-based approach through three groups of interlinked interventions' and working at all levels: community, district, provincial and central government, in the target areas. Phase II's goal is to contribute to the elimination of labour exploitation of children and women, and in particular the trafficking of children and women in the Greater Mekong Sub-region, through the development, implementation and monitoring of effective and integrated sub-regional and national strategies and actions. The outputs have been grouped into three categories: (i) capacity building; (ii) information, mobilisation and advocacy; and (iii) direct assistance.
Family Protection project	1994-2004	Jordan		To contribute towards the protection of the family by preventing domestic violence, child and sexual abuse	The purpose of the project is to build the capacity of the public and voluntary institutions to develop and implement an integrated strategy to prevent domestic violence, child and sexual abuse. This is achieved by assisting in the protection of such victims, the prosecution of offenders, providing timely and appropriate support to survivors and working with abusers. It provides specialist equipment to support the implementation of the project to include the model Family Protection Unit, the courts and inter-agency working practices.
Wills and Inheritance Laws Project	2000-2002	Zimbabwe	Ministry of Justice, a number of Zimbabwean NGOs	Reduce the incidence of disinheritance of women and children, particularly in rural areas	Aims to ensure that, on the death of a person in Zimbabwe, surviving spouse, dependants and orphans can access and utilise the inheritance laws of the country. If men and women use the provisions of the law, the chances of disinheritance and maladministration are reduced. The project contributes to the goal of ensuring equity in the distribution of assets to surviving spouses, dependants and orphans. The project delivers four outputs: (i) enhanced public knowledge of the law relating to inheritance; (ii) knowledge of the new provisions of the law for the judiciary, court officials, police, traditional leadership and other implementers of the law; (iii) facilitation of discussion and dialogue on the law at community level and identification of issues for review on the implementation and (iv) impact of the law.

Programme	Time span	Area	Partners	Development Goal	Purpose, aims, strategies and outputs
Human Rights for the Poor	2002-2005	Peru		i) The increased responsiveness of government and civil society in Peru to the human rights realisation strategies of the poor; and ii) the mainstreaming of a rights-based approach to development within the international community	Aims to facilitate strategies that enable the poor to realise their human rights, supported by civil society, government and the international community, particularly the realisation of economic, social and cultural rights, but also of political and civil rights. Outputs include: (i) raising rights awareness among the poor, (ii) enhancing their capacity to participate in the shaping and monitoring of public policies and programmes, at local, regional and national levels, (iii) the systemic involvement of the international community in the programme, particularly the multilateral development banks and (iv) focusing on the systematic use of participatory methodologies: both to determine the poor's understanding of their rights and their strategies to claim them; and to assess programme impact. This component will provide funds to Peru as one of the pilot countries in the innovative DFID effort of PRAMs (Participatory Rights Assessment Methodologies).
Gender Equality Project	2002-2006	Pakistan	British Council, Govt of Pakistan, NGOs, CBOs, private sector, multilateral agencies & academic institutions	Sustainable reduction of the gender gap, and to enable women to access their civil rights as guaranteed under the Constitution of Pakistan	Provides an umbrella framework to facilitate DFID support for government and civil society activities which promote gender equality in Pakistan. Purpose is to strengthen the capacity of government and civil society organisations to achieve greater access for women to political and economic decision making, equal treatment with men under the law and protection from violence. Project inputs include grants to project partners to implement agreed activities, grants for policy-orientated research and publications and support for attendance at key overseas meetings, training and study tours.
Shire Highland Sustainable Livelihood Programme	2002-2004	Malawi	Oxfam	To improve livelihoods of the poor men and women in three districts of the southern region of Malawi	To support and facilitate participation, inclusion and obligation of citizens, state and other development agents to protect, respect and fulfil human rights to enable poor citizens in three districts of the southern region of Malawi to improve livelihoods. There are five main outputs: (i) people, especially women and marginalized groups, actively participate in their development and governance by demanding applicable and accountable services, based on a clear understanding of their rights and responsibilities; (ii) service providers (CSOs, Government, private business, donors) provide services & resources in a transparent and accountable manner, based on a recognition of people's rights and responsibilities; (iii) development partners mainstream HIV/AIDS to enable themselves and communities to reduce the impact of HIV/AIDS; (iv) development partners mainstream gender to enable themselves and communities to improve recognition of equal rights for men and women, leading to improved participation of women in decision making; (v) Oxfam's ability to understand and implement a rights-based approach to livelihoods, working through and supporting partners, is enhanced.
Access to Justice for Realisation of Human Rights and Advocacy for Empowerment of the Poor	2003-2008	Bangladesh	BLAST (Bangladesh legal aid and service trust)	To make the legal system accessible to the poor and the disadvantaged which is seen as "central to the rule of law, participatory good governance and for redress for violations of human rights".	BLAST was established in 1993 for the broad purpose of promoting access to justice for the poor and for the specific purpose of providing legal aid services to poor clients. BLAST is the largest legal aid organisation in Bangladesh, with the widest geographical coverage among legal aid and human rights NGOs. It has 25 offices and covers 19 districts. BLAST focuses on developing legal awareness, bringing about necessary changes in legal systems and helping the poor, underprivileged and marginalised groups to access legal aid.

Justice and Rights-Based Interventions

4.1.1 Gender Structural Inequalities

4.5 This sub-section assesses the interventions that aim to address gender structural inequalities as systemic causes of poverty. This entails transformative changes in power relations and gender roles, control, creation and equitable allocation of resources –which are fundamental to addressing the root causes of poverty. In this context, addressing women’s rights beyond the anti-discrimination paradigm to promote empowerment, inclusion and participation is relevant. This includes addressing exploitation and forms of injustices specific to women and girls such as trafficking and sexual and gender-based violence. Two of the programmes examined can be categorised as focusing on changing structural gender inequalities and power relations. These are the Programme of Support for Integrated Actions in Gender and Race Equity in Brazil and Reducing Labour Exploitation of Children and Women: Combating trafficking in the greater Mekong Sub-region.

Box 1 Proposed examples of indicators of changes in gender structural inequalities:

- transformative gender changes:
 - *changes in gender power relations*
 - *changes in influence and control of resources*
 - *changes in creation of resources and opportunities*
 - *changes in level of participation of women*
- attitudinal changes in gender roles towards equality in power relations
- change in gender and power relations
- reduction of patriarchal rules and oppression
- reduction in sexual and gender exploitation
- reduction of girl child abuse
- reduction of sexual and gender-based violence (SGBV)
- increase in sexual and reproductive rights and freedoms
- increase in women's self-confidence and basic right to dignity
- decrease in level of women’s victimisation and exclusion

4.6 The *Programme of Support for Integrated Actions in Gender and Race Equity in Brazil* was initiated in 2003. In Brazil, it is inconceivable to discuss poverty reduction without considering the need to address social, ethnic and gender inequalities. The concept of ‘social equity’ is not only enshrined in its constitution, but is historically owned by the Brazilian social and feminist movements that have been led by intellectuals, artists and trade unions alike. In Brazil ‘poverty has a colour and a sex’³¹. The panorama in Brazil is complex. It is the country with the highest rate of inequalities in the region together with Bolivia and shows a reality of extremes with high social and territorial heterogeneity and different social and economic profiles within the same country. In Brazil, as in other countries of the region, the most extreme poverty coexists with sectors of high development. These social inequalities are more evident when analysed under a multidimensional approach to poverty in particular with a focus on racial and ethnic aspects. The

³¹ The programme of support for integrated actions in gender and race Equity in Brazil - Project memorandum 2003.

current socio-political environment in Brazil is conducive to bringing explicit linkages between poverty reduction and inequality to the forefront. This has provided an opportune context for DFID in co-operation with United Nations Development Fund for Women (UNIFEM) to launch the innovative idea of combining gender and race in the aim of targeting the poorest and most marginalised sections of the population.

4.7 The programme contributes to gender equality and poverty reduction efforts by its attempt to create a framework for allocating and distributing resources to promote gender and racial equality. If it proves successful, it is expected to be replicated across the region. In addition, through the development of sex and race disaggregated indicators, the programme contributes towards the understanding of discriminative patterns of socially excluded groups. Providing insight into the construction of discrimination and exclusion, the programme can potentially assist the government in adopting appropriate measures to address them and thereby reduce poverty.

4.8 A key contribution of this programme is that it links gender inequality at the macro and micro level. By targeting the need for greater visibility in allocation of resources in public finances, the programme draws attention to possible inequalities in public resource allocation. It can thereby potentially change wealth distribution and promote greater influence over public resources by the most marginalised and poorest group in Brazil: women of colour. The programme thus ultimately targets structural inequalities and regards the visibility of gender and race inequality as a pre-condition for equitable access and influence over resources in the effort to reduce poverty.

4.9 The project is one-and-a-half years old and therefore only shows partial results. In fact, the programme's five-year timeframe seems disproportionate with its ambition to impact on reducing discrimination, exclusion and poverty reduction. Nevertheless, there is evidence of the programme already contributing to gender equality and poverty reduction through its capacity-building and advocacy effort that have resulted in a greater sense of awareness and recognition of the need for a greater and more equitable allocation of resources to address discrimination. The programme also seems to have influenced political debates and budgetary discussions at the political level. For instance, the Brazilian Senate's website offers information on the topic.

4.10 The programme *Reducing Labour Exploitation of Children and Women: Combating trafficking in the greater Mekong sub-region* was conceived following consultations on combating trafficking of women and children with the governments of the region. It covers Thailand, Cambodia, Vietnam, Lao PDR and China's Yunnan province. The differing political contexts have presented varying forms of opportunities and resistance to work with the issues at stake – namely human rights, women's human rights, children's rights and labour rights. An open dialogue with each of the different national counterparts was crucial to gain acceptance and support for the programme.

4.11 The programme is designed to target structural gender inequalities that are the root causes of human exploitation and trafficking. These are clearly highlighted as unequal power relations and exploitation that leads to a lack of opportunity to participate in society and to make decisions that affect these women's lives. Although the root causes are deeply entrenched and the programme cannot tackle them alone, its efforts to address them throughout the programme

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cycle, contribute to changes in structural inequalities and power relations.

4.12 The rights-based and strongly participatory approach used by the programme is central to its contribution to addressing these issues and the level of results achieved. Rights-awareness is treated as a precondition to empowerment, and to the tackling of discrimination. The programme addresses specific women's human rights related to trafficking and exploitation as well as women's economic and social rights. Thus, the target group is provided with an opportunity to free themselves from exploitation, degrading and abusive treatment and a concrete opportunity to increase their livelihoods. By promoting education the project also contributes to the implementation of children's rights (boys and girls) and increases their chances for better employment and participation in society.

4.13 As communities gradually gain confidence in the programme, efforts to address discrimination have begun to yield results³². Projects at the community level have expanded – including those initiated by the communities themselves. The support to micro-credit projects for these particular women has contributed to enhancing gender equality, women's empowerment and poverty reduction. Women's access to social and economic rights has resulted in their increased confidence, participation and contribution to society at different levels. Furthermore, there is evidence that some women have changed their relations with their families and communities as a result of economic empowerment and thereby transformed their gender role.

4.1.2 Legal Empowerment

4.14 The interventions that contribute to legal empowerment address women's human rights knowledge in both formal and informal laws, create gender awareness and/or promote a dialogue on gender equality, justice and rights. Two of the interventions fit this category - the Family Protection Project in Jordan and the Wills and Inheritance Laws Project in Zimbabwe.

Box 2 Proposed examples of indicators of legal empowerment

- changes in understanding of women's rights
- creating general gender awareness
- changes in women's capacity to engage in demanding their rights
- breaking a silence

4.15 The *Family Protection Project* is set in a difficult socio-cultural context in terms of deeply entrenched patriarchal values; the definition of gender roles and relations; and the outright resistance to working with concepts of women's rights and gender equality. Although the project addresses specific women's rights through the reduction of sexual and gender-based violence, it could not directly use such terminology and had to opt for a more family-oriented language to ensure ownership for the programme. The concept of 'family protection' constituted a workable entry point in which further dialogue on issues of violence against women could be addressed.

³² ILO, 2005 First Hand Knowledge, Voices across the Mekong, Community Action against trafficking of women and children. A 'good practice' publication.

4.16 The project has aimed to facilitate women's access to assistance and services by building institutional capacity using a multi-disciplinary approach that encompasses the police, shelters, counselling services and legal advice. This has resulted in the conceptualisation and drafting of a five-year national plan to address family protection. Strategically, the project began with the symptoms of domestic violence and is now in a position to develop further and eventually to address root causes of gender inequalities and women's empowerment.

4.17 The main contribution of this programme is breaking the silence and taboo surrounding sexual and gender-based violence and inequitable power relations. This is a pre-condition to legal empowerment.

4.18 *Wills and Inheritance Laws Project* was implemented against a background of legal and political change. In November 1997, legislation affecting radical amendments in the laws of inheritance in Zimbabwe came into force. The laws contained in the Administration of Estates Amendment Act 6/97 sought to secure the rights of women and children to inherit from the intestate estates of deceased males. However, the media and women's organisations in Zimbabwe continued to report incidences of property grabbing or maladministration of estates on the death of a male person. It became apparent that there was a glaring need to make the campaign a national and consistent effort that spanned all regions of Zimbabwe.

4.19 The project aimed to reduce the numbers of incidents where immediate families – particularly women and children – were disinherited following the death of a man. On many occasions, this has resulted in serious impoverishment for those disinherited particularly in the rural areas of Zimbabwe. The project implementation promoted activities aiming to spread information about amendments to the Wills and Inheritance Laws to the 'users' of the law (i.e. the people of Zimbabwe) to improve their knowledge and access. At the same time the 'facilitators' of the law (i.e. the legal and judicial practitioners) were trained in the provisions of the Wills and Inheritance Laws to provide best legal practice, advice and advocacy. It was anticipated that this would contribute to a reduction in the maladministration of estates and instances of disinheritance.

4.20 Prior to the launch of the project, legal NGOs reported that most people were not aware of their inheritance rights nor the implications of the law. As a consequence, traditional and customary practices in these matters were accepted unequivocally. There is now evidence that general knowledge across the population of Zimbabwe about the changes to the law has improved somewhat as a result of the project efforts. More individuals and families know how to access help and advice about wills and inheritance matters³³.

4.21 However, the period of project funding from DFID was too short. The cultural sensitivity of the subject matter coupled with the need to sustain the debate about the changes, particularly in the rural areas, required an educational and media campaign process to be repeated and reinforced within six months. Feedback during the review indicated that many people and communities reverted to custom and practice on matters of wills and inheritance a short time after the awareness raising. This has reduced the potential for long-term behaviour change³⁴ and the extent of its contribution to poverty reduction.

³³ DFID, 2004 OPR.

³⁴ DFID, 2004 OPR.

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4.1.3 Gender equality in rights and opportunities

4.22 Interventions in this category aim to promote non-discrimination and equality in civil, economic and social rights. Human Rights for the Poor in Peru, the Gender Equality Project in Pakistan and the Shire Highland Sustainable Livelihood Programme in Malawi in different ways aim at enhancing equality in rights and opportunities.

Box 3 Proposed examples of indicators of equality in rights and opportunities

- reduction of gender gaps in access to employment and resources
- reduction of gender gaps in level of economic independence
- reduction of gender gaps in access to health, education and basic social services
- reduction of gender gaps in political participation
- reduction of gender gaps in opportunity to access justice systems
- changes in level of gender-based discrimination before the law
- reduction of gender gaps between girls' and boys' rights

4.23 The *Human Rights for the Poor* project was initiated when Peru took a turn towards a more democratic political environment in 2001.

4.24 The programme adopted a broad interpretation of human rights. A central aspect of the programme was reinforcing the concept of non-discrimination through an emphasis on *participation* – one of the three pillars of DFID's TSP on realising human rights for poor people. At the overall level, the programme did not explicitly address gender equality or women's rights. Furthermore, the programme did not undertake disaggregated analyses from a rights perspective, which would automatically include sex and ethnic disaggregated data. Thus an opportunity to make longer-term structural impact on inequalities and poverty reduction was lost.

4.25 Nevertheless, there was a component of the programme that specifically targeted women. It dealt with supplying identity cards to poor people to allow them to vote and participate as citizens. In effect, the component contributed to the principle of non-discrimination of women and provided an opportunity for them to access their civil and political rights.

4.26 The programme suffered from the closing down of the DFID office. Updated information on the programme's contributions has therefore been difficult to come by. A more consistent and systematic integration of gender equality could have enhanced the programmes' impact on participation, inclusion and poverty reduction by promoting the involvement of women, who constitute more than half of the poor population. This issue was recently addressed through a fundamental question raised by the Review of DFID-Oxfam Human Rights Programme in Peru³⁵ for the programme's partner to debate: 'To what extent can an objective of transforming gender relations be a driver of a broader social and political change?' It will be interesting to read the next programme review to see if any concrete answers to this question have been provided.

³⁵ Review of the DFID-Oxfam human rights programme in Peru, January 2004 - Derechos, Inclusión y Desarrollo, by Becky Buell, Oxfam, Oxford and Rosalyn Eyben, Institute of Development Studies, Brighton.

4.27 Since the *Gender Equality Project (GEP)* was designed at the time when gender equality was a highly sensitive issue in Pakistan – a country with the worst social and human development indicator for women in South East Asia – the stakes were consequently considered high. However, the scale of gender inequality in the country and the negative impact that this has on all aspects of Pakistan’s economic, social and human development justified the intervention. Furthermore, the project presented strategic opportunities to work with government and civil society to address gender equality.

4.28 GEP’s main focus and contribution to gender equality is evident at district level where CEDAW and non-discrimination principles have been promoted through a series of different interventions. However, in the absence of impact assessments, it remains difficult to determine the actual extent the project has contributed to gender equality and poverty reduction at grass-root level.

4.29 GEP works with NGOs and the private sector to enhance their respective institutional ability to promote gender equality in economic, legal and political participation as well as to reduce violence against women³⁶. Data that convey the extent to which these efforts have contributed to greater access for women to political and economic decision making, equal treatment under the law, access to justice and protection from violence are currently not available. However, an upcoming television series in Pakistan is expected to highlight best practices as well as promote debate and raise awareness among activists, academics and beneficiaries of the interventions funded under GEP. GEP can nevertheless be considered a catalyst of bold ideas in a conservative environment in which breaking the silence constitutes progress towards gender equality.

4.30 The *Shire Highland Sustainable Livelihood Programme* is also implemented in a changing political context in which there is an increasingly conducive environment to the acceptance of women’s participation on the political scene. However, the increased government focus on a macroeconomic growth agenda has prompted several organisations to address issues of social protection to ensure that the political agenda ultimately benefits pro-poor growth policies.

4.31 Among the programme’s goals are specific aims that explicitly contribute to women’s rights. These are: i) an increase in women’s participation in demanding applicable and accountable services based on their increased understanding of their rights and responsibilities; and ii) an improved recognition of equal rights for men and women leading to the improved participation of women in decision-making. The project ensures that such rights are accessed by the most marginalised by deliberately targeting the poorest section of the population. For example, amongst women, the project deliberately targets female-headed households, illiterate women and women with HIV/AIDS, thus narrowing-down to the most excluded among the marginalised groups.

4.32 According to the *Output-to-Purpose-Review 2003*, decision making at district and village level is increasingly influenced by women. Furthermore, the representation of women in district assemblies has increased to 50% and there are more diversified sources of income generation. The DFID gender audit conducted in 2004 further confirmed the programme’s positive contribution to gender equality in relation to poverty reduction.

³⁶ DFID, 2005, Annual Review.

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4.33 The mainstreaming of a rights-based approach has been a key means for the programme to contribute to both gender equality and poverty reduction. Activities have included improving labour rights and conditions of workers in the rural areas, providing better access to protective wear and medical services and building capacity to negotiate fair salaries. Moreover, the programme has also worked towards and resulted in closing wage gaps between male and female workers. These efforts jointly contribute to promoting anti-discrimination, gender equality and economic growth.

4.1.4 Access to Justice Systems

4.34 Only one intervention falls under the category of access to justice systems.

Box 4 Examples of indicators of access to justice systems

- changes in level of discrimination of service delivery by judicial institutions to poor women
- changes in receptiveness of judicial institutions regarding women's needs and interests, concerns and rights
- changes in equal access to judicial institutions by poor women
- changes in equal access to non-state justice system by poor women

4.35 The purpose of *Access to Justice for Realisation of Human Rights and Advocacy for Empowerment of the Poor* is to expand access to justice for poor women, men and children. Around 80% of BLAST's clients are women.

4.36 According to the recent OPR, BLAST is effective and has a significant impact on protecting rights, advancing justice for the poor and holding the government accountable for implementing the rights and duties as set out in the Bangladesh Constitution. The organisation's challenge – according to the OPR – is its ability to demonstrate the extent of the impact of its interventions.

Box 5 Qualitative impact of BLAST on Gender Equality

Since 2003 BLAST has undertaken to mediate in 5,108 family disputes. It has been successful in all of these in reaching an agreement which is acceptable to both sides. An example of one of the beneficiaries and how it has affected her life was a young woman in her twenties who was married to a man who repeatedly beat her. She heard through a friend that this was not something which she had to endure, and that BLAST could help her. This young woman went to BLAST with her complaint and she and her husband entered into a mediation facilitated by BLAST. The result of this was that the husband paid 10,000 taka (approximately £100) as the settlement for their divorce. Now this young woman is able to work, albeit long hours in a garment factory, her two young children are taken care of by her mother and they are able to attend school. Although her life is by no means easy, she is happy that justice has been done, and she is free from violence and able to make her own decisions³⁷.

³⁷ DFID, 2005 OPR.

4.37 The forthcoming impact assessment of DFID's rights and advocacy work is expected to examine the extent to which BLAST has contributed to the increased legal empowerment of women, particularly in terms of increased protection against gender-based and domestic violence and in the reduction of exclusion. In this context, it would be interesting to assess to what extent women who have submitted their cases to BLAST are better off as a result of their successful claim.

4.2 Conclusions and lessons learnt

4.38 The following presents the conclusions and lessons learnt from the interventions analysed above:

1. Interventions that focused on structural causes of gender inequality opened up for wider opportunities to make more sustainable impact on poverty reduction over the longer term compared to interventions focusing merely on the manifestations of gender inequality. These efforts are better placed to go beyond quantitative participation of women towards the transformation of structures that maintain gender inequalities. The intervention in Brazil is a good example of such an intervention. Similarly, the programme in the Mekong region, which contributes to women's emancipation and empowerment by addressing specific women's human rights related to violation and women's socio-economic rights, promotes structural changes in society. At the same time, both efforts target root causes of poverty in an effective way, indicating that interventions that promote structural change with regard to gender equality are in a good position to address structural changes to reduce poverty. However, such interventions are unlikely to be successful unless there are enabling conditions on the ground and an open dialogue with the national partners.
2. Significant contributions to gender equality and poverty reduction can be achieved beyond numbers and in difficult contexts when appropriate and locally grounded strategies are devised to challenge patriarchal systems, power relations and customary practices through the empowerment of (poor) women to claim and invoke their rights (Jordan, Bangladesh and Zimbabwe).
3. Efforts that target anti-discrimination in the form of equality of rights and opportunities are likely to contribute to an increase in women's quantitative participation (Pakistan, Peru and Malawi). The extent to which this may be considered as a significant contribution to gender equality and poverty reduction depends on the difficulties and barriers presented by the socio-cultural context. For Pakistan given the political/traditional context, breaking a silence is seen as a major breakthrough.
4. Until rights-based approaches are further developed and systematically applied, it cannot be assumed that they will automatically and explicitly include gender equality and women's human rights (Peru).
5. From the persons interviewed and documents reviewed the perceived factors, that have contributed to these results can be summarised as follows:

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- enabling political contexts in support of GE (Brazil)
 - appropriate GE strategies and approaches used by Programme Managers in working with GE in difficult and resistant, socio-cultural and political country contexts (Jordan, Pakistan, Bangladesh and Zimbabwe)
 - technical support and cooperation on gender issues between DFID country offices and programme offices (Brazil, Jordan)
 - visible commitment of top management in DFID country offices (Brazil)
 - external programme managers particularly committed to champion GE issues (Brazil, Mekong Region, Jordan)
 - DFID country programme staff that appear to be sufficiently sensitised to GE to make efforts to include it in their programme and monitoring systems (Bangladesh, Pakistan)
6. Most external programme managers and DFID country programme staff interviewed expressed the need and the interest in a forum of knowledge sharing specifically on GE, not only in order to share experiences and best practices, but to learn from results achieved in other programmes in order to develop new ideas and possibly test new strategies in this field.

Annex 1: Terms of Reference

1 STUDY OBJECTIVE

The study seeks to answer the second part of Scope 5.2 of the general Terms of Reference³⁸ by considering DFID's strategic *contribution* to Gender Equality and Women's Empowerment (GEWE) in the thematic area of Justice and Human Rights. The present TOR focus on the Evaluation Question no 7, with a special emphasis on DFID's *contribution* to GEWE through DFID's justice and rights-based policies and selected programmes.

The country case studies of the General Evaluation of DFID's policy and practice in support of GEWE assessed *the impact* and *contribution* of DFID policies and practice to outcomes in Nigeria, India and the Western Balkans. Within these country case studies, the evaluation team considered several DFID's interventions and the inferences that could be drawn as to potential impacts with and without gender mainstreaming³⁹. In particular, the Nigeria case study indicated that a focus on women's human rights in the SJG programme combined with an understanding of social inequalities and the need for structural changes contributed to GEWE and poverty reduction.

The purpose of this study is thus to inform future DFID strategies and approaches to GEWE and poverty reduction, by assessing DFID's contributions to GEWE through justice and rights-based policies and programmes.

The objectives of the thematic study are:

- to assess DFID's contributions to GEWE objectives - as specified in the 2 key TSPs: 'Poverty Elimination and the Empowerment of Women and 'Realising human rights for poor people' - through DFID's justice and rights-based policies and programmes
- to draw lessons learned and make specific recommendations for the formulation of future DFID strategies and approaches towards GEWE and poverty reduction

The following is a list of evaluation questions for the thematic study:

1. What has been the contribution to GEWE through DFID's justice and rights-based policies, strategies and guidelines?
 - How has GEWE been addressed in justice and rights-based policies, strategies and guidelines? Which areas of these strategies address GEWE and which areas have remained gender-blind?

³⁸ Evaluation of DFID's policy and Practice in Support of Gender Equality and Women's Empowerment Final Terms of Reference - 21 March 2005.

³⁹ Evaluation of DFID's policy and Practice in Support of Gender Equality and Women's Empowerment Final Terms of Reference - 21 March 2005, Section 5.2, paragraph 2.

Annexes

- What processes have led to the inclusion and non-inclusion of GEWE in these policies, strategies and guidelines? What have been the constraints?
 - Which women's human rights have been addressed and prioritised in the policies, strategies and guidelines and why?
2. What has been the contribution to GEWE through DFID's 8 selected justice and rights-based programmes?
- Has GEWE been addressed in justice and rights-based programme documents? How? What have been the constraints?
 - Which women's human rights have been prioritised in the justice and rights-based programmes and why?
 - To what extent has GEWE been addressed in the implementation of justice and rights-based programmes?
 - Which women's human rights have been prioritised in the implementation of justice and rights-based programmes and why? What have been the constraints?
 - What have been the outcomes and contributions of justice and rights-based programmes to GEWE?
3. To what extent are there indications that the inclusion of GEWE in justice and rights-based policies and programmes has strengthened DFID's poverty reduction efforts?
4. What lessons can be learnt regarding GEWE in DFID's justice and rights-based policies and programmes?

2 METHODOLOGY

The approach of the thematic study will include:

- development of a clear framework of GEWE issues and indicators for assessment of DFID's contributions to GEWE in justice and rights-based policies and programmes
- a desk review of DFID's GEWE objectives in the 2 Key TSPs: 'Poverty Elimination and the Empowerment of Women' and 'Realising human rights for poor people', in relation to the thematic area of Justice and Human Rights
- a desk review of DFID Justice and rights-based policies, strategies and guidelines: How have GEWE objectives specified in the 2 key TSPs been addressed? What have been the constraints and opportunities?

- a desk review of programme documents (including concept notes, project memorandums, implementation and monitoring reports, project completion reports if available) of a sample of 8 justice and rights-based programmes. How has GEWE been addressed in these documents? What have been the constraints and opportunities?
- an analysis of policy/strategy and programme formulation and implementation through semi-structured interviews with key informants within and outside DFID HQ in person and/or via telephone. What have been the contributions and outcomes to GEWE in the formulation and implementation of justice and rights-based policies and programmes? What have been the effects on poverty reduction focus? What are the best practices and what lessons can be learned?

3 WORK PLAN

The thematic study is expected to begin on 14th December 2005 and be completed by 10th February 2006. Team Leader: Sarah Forti.

4 OUTPUTS

The output will be a thematic study report, the outline of which will be structured as follows:

1. Executive Summary
2. Introduction
3. Methodology
4. Conceptual framework / background
5. Contributions to GEWE through DFID's justice and rights-based Policies, Strategies and Guidelines
6. Contributions to GEWE through DFID's justice and rights-based programmes
7. Effect of the inclusion of GEWE in justice and rights-based policies and programmes on poverty reduction
8. Lessons Learned
9. Recommendations

Annexes

The study report annexes will have the following headlines:

- Annex 1 TOR
- Annex 2 Methodological Framework
- Annex 3 List of documents reviewed
- Annex 4 List of persons interviewed
- Annex 5 Other relevant documentation

Annex 2 Methodological Framework

2 METHODOLOGY

2.1 Background: Why an assessment of ‘contributions’ and not ‘impact’?

The DFID thematic Evaluation on Gender Violence⁴⁰ concluded that in developing a framework for more detailed evaluation interventions 3 points were particularly relevant to this theme - one of which was - ‘given the difficulties in assessing impact, the invisibility of much work on gender violence (...) there is a need to focus on how gender violence has been conceptualised within the other themes in practice.’

Recent gender evaluations and notably that of Francis Watkins⁴¹ have suggested that ‘evidence of impact is hard to come by’. As also pointed out by Watkins, ‘Other more general evaluations and impact assessments have, however, been more successful in ‘finding evidence’ and ‘establishing linkages.’ Watkins mentions two major global evaluations as follows:

- a) A recent DAC-commissioned review of gender and evaluation⁴² concluded that, in general, gender evaluations have been based on the assumption that mainstreaming leads to gender equality outcomes. As a result they have tended to focus exclusively on institutional mainstreaming practices rather than on ‘results’.
- b) Two recent gender evaluations by the European Commission (EC)⁴³ and Sida⁴⁴ have attempted to look for evidence of impact. Watkins affirms that ‘the Sida evaluation in particular, looked at the changes in gender equality that could reasonably be expected to result from interventions, using the distinction between practical gender needs, such as improvements in living conditions; and strategic gender needs, such as improvements of women’s position in relation to men.

Both evaluations found that documentary evidence and project monitoring data was neither reliable nor sufficient to demonstrate impact and had to be supplemented by direct work with project participants and primary stakeholders. The main findings of the evaluations were that the impacts and benefits of gender mainstreaming are at best ‘embryonic’ and at worst still to become visible: with some evidence that interventions had had impacts on practical gender needs but with little evidence of changes in gender roles or control of resources.’

Indeed, having led the Sida Evaluation⁴⁵, having jointly presented the findings of the latter with EC evaluation at the EC workshop, and further to the first round of DFID’s GEWE country

⁴⁰ February 2005, Jill Edbrooke and Chris Peters, Working Paper 9.

⁴¹ 2004, Francis Watkins, Evaluation of DFID’s development assistance Gender Equality and Women’s Empowerment: DFID’s experience of gender mainstreaming 1995-2005.

⁴² Juliet Hunt and Ria Brouwers (May 2003) Review on Gender and Evaluation.

⁴³ Mary Braithwaite et al (March 2003) Thematic Evaluation of the Integration of Gender in EC Development Co-operation with Third Countries, evaluation carried out for EuropeAid Evaluation Department.

⁴⁴ Ted Freeman, Britha Mikkelsen et al (January 2003) Reflections on Experience of Evaluating Gender Equality, Swedish Studies in Evaluation

⁴⁵ Britha Mikkelsen, COWI A/S was the overall team leader on the Sida evaluation.

evaluation missions, we can only re-confirm that an assessment of impact for these reasons, is over-ambitious. In addition, in relation to impact it is notoriously difficult to establish causality - is it DFID's programme that has resulted in long-term effects on society or is this caused by other processes or combinations of factors? The term 'contribution' on the other hand, suggested by Mark Lowcock in his forward to the Evaluation of DFID Development Assistance: Gender Equality and Women's empowerment, and re-employed in the TOR scope 5.2/ EVD N. 7, may appear more realistic to assess in that it encompasses any kind of results from developments in aid programme and policy processes to 'embryonic' effects on the ground, and to substantive GEWE outcomes.

This methodological paper therefore attempts to define and qualify how the consultants propose to assess DFID's contribution to GEWE in this particular thematic area.

2.2 Thematic study objectives

The purpose of this thematic study is to inform future DFID strategies and approaches to GEWE and poverty reduction, by assessing DFID's contributions to GEWE through justice and rights-based policies and programmes.

The objectives of the thematic study are:

- a) To assess DFID's contributions to GEWE objectives - as specified in the 2 key TSPs: 'Poverty Elimination and the Empowerment of Women and 'Realising human rights for poor people' - through DFID's justice and rights-based policies and programmes.
- b) To draw lessons and make specific recommendations for the formulation of future DFID strategies and approaches towards GEWE and poverty reduction.

DFID's strategy for GEWE aims at supporting the achievement of 10 specific objectives consistent with CEDAW, the Global Platform for Action and the International Development Targets. The proposed methodological framework below thus utilises most of these objectives as relevant to the thematic area of justice and rights-based policies and programmes and beyond.

2.3 Methodological framework

The table below represents the proposed methodological framework of key GEWE issues and indicators that will be used as an indicative checklist in the assessment of DFID's contributions to GEWE in justice and rights-based policies and programmes. The purpose of the table below is thus to provide an indicative methodological framework of key issues that complements the analytical table and evaluation questions further developed in section 4 below.

The consultants will thus assess how justice and rights-based policies and selected interventions address the key issues specified in the first column entitled 'what' below. The second column is an indicative level of contribution with likely indicators and the third column is also an indicative map of where evidence of such contributions can be outsourced from.

It is important to note that the consultants do not expect DFID to be the sole contributor - as GEWE by definition is a process caused by multiplicity of societal, political and cultural factors. The consultants will nevertheless identify whether DFID has contributed, how it has done so - at policy or intervention level and what sort of evidence can be provided in this respect.

Table 1 below presents the types of key GEWE issues that may have been addressed in DFID Justice and rights-based policies and interventions, potential GEWE and poverty reduction indicators and MDGs. The study will attempt to identify potential linkages from key GEWE issues addressed in DFID's policies and interventions and potential contributions to GEWE itself (as a development goal), to poverty reduction in general and more specifically to the MDGs. Identifying the potential linkages across the different columns of the table below will depend on the evidence provided in the documentation available and interviews carried out with key informants. The main limitation of this thematic study however, lies in the fact that it is carried out as a 'desk study', without field mission and thus focus group discussions with beneficiaries of the selected interventions.

Table 1 GEWE key issues in Justice and rights-based frameworks, potential GEWE and poverty reduction indicators and MDGs

GEWE key issues that may have been explicitly addressed in DFID Justice and Rights-based policies and programmes	Potential indicators and contributions to GEWE	Potential indicators and contributions to Poverty Reduction (broad poverty reduction focus)	MDGs and PSAs (narrow poverty reduction focus on selected targets)	Primary and Secondary Data Sources
Whether the following GEWE key issues have been explicitly targeted?	Which GEWE changes?	Which Poverty Reduction changes?	Which poverty reduction goals and targets?	
POTENTIAL CHANGES IN SOCIAL AND GENDER STRUCTURAL INEQUALITIES, POWER RELATIONS AND SOCIAL JUSTICE				
<ul style="list-style-type: none"> Address gender structural inequalities - as systemic causes of poverty - within social justice. 	<ul style="list-style-type: none"> Gender transformative changes within social justice: <ul style="list-style-type: none"> Changes in gender power relations Changes in control of resources Changes in creation of resources and opportunities Changes in level of participation of women 	<ul style="list-style-type: none"> Changes on socio-economic structural inequalities Changes on power relations between rich and poor Changes on distribution of wealth and resources Changes in creation of resources and opportunities Changes in level of participation of the poor 	<ul style="list-style-type: none"> Eradication of extreme poverty and hunger Promotion of gender equality and empowerment of women 	<ul style="list-style-type: none"> DFID document review Interviews with key informants Expert analysis (if available)
<ul style="list-style-type: none"> Reduce female and male gender stereotyping and bring about change in social attitude - including male roles and masculinities. DFID objective: 8 - (for beneficiaries and stakeholders in formal judicial and informal rule generating institutions). 	<ul style="list-style-type: none"> Attitudinal changes in gender roles towards equality in power relations Reduction of patriarchal rules and oppression Changes in level of participation of women. 	<ul style="list-style-type: none"> Changes to structural causes of poverty Changes in power relations as structural causes of poverty Changes in level of participation of the poor 	<ul style="list-style-type: none"> Promotion of gender equality and empowerment of women Eradication of extreme poverty and hunger 	<ul style="list-style-type: none"> DFID document review Interviews with key informants Expert analysis (if available)
<p><i>Specific women's rights:</i></p> <ul style="list-style-type: none"> Suppress all form of trafficking and exploitation of prostitution Reduce Sexual and gender-based violence in public and private spheres. (including domestic violence and marital rape) Improve women's sexual and reproductive rights (including legalisation of abortion in adequate sanitary conditions, control over reproductive activities and right to negotiate for safe sex) 	<ul style="list-style-type: none"> Reduction in sexual and gender exploitation Reduction of girl child abuse Change in gender and power relations Increase in sexual and reproductive rights and freedoms Increase in women's self-confidence and basic right to dignity. Decrease in level of women's victimisation and exclusion 	<ul style="list-style-type: none"> Reduction of exploitation and abuse of the poor Reduction of child abuse Increase in basic human dignity of the poor Reduction in level of violence and therefore decrease in marginalisation and exclusion. 	<ul style="list-style-type: none"> Combating HIV/AIDS, and other diseases Achievement of universal primary education Promotion of gender equality and empowerment of women Improved maternal health Eradication of extreme poverty and hunger 	<ul style="list-style-type: none"> DFID document review Interviews with key informants ILO reports UNIFEM Reports WHO reports on SGBV Women's rights watch org reports

**POTENTIAL CHANGES IN GENDER EQUALITY IN RIGHTS AND OPPORTUNITIES:
NON- DISCRIMINATION, IMPLEMENTATION OF THE RULE OF LAW AND ECONOMIC GROWTH**

<ul style="list-style-type: none"> ▪ Promote non-discrimination and equality in rights for women and men through international and national policy reform (DFID Gender objectives: 1, 2, 3, 4, 7) and as specified in CEDAW as follows: 	<ul style="list-style-type: none"> ▪ Closing gender gaps ▪ Changes in equal opportunities ▪ Changes in level of discrimination 	<ul style="list-style-type: none"> ▪ Changes in discriminatory Policy, Legislation and practice, Customs and traditions (formal and informal /paper-oral and practices) ▪ Changes in level of exclusion of the poor 	<ul style="list-style-type: none"> ▪ Promotion of gender equality and women's empowerment ▪ Eradication of extreme poverty and hunger 	<ul style="list-style-type: none"> ▪ DFID document review ▪ Interviews with key informants ▪ CEDAW Committee reports ▪ Women's rights watch org reports ▪ WHO reports ▪ World Bank Reports
<p><i>Civil Rights</i></p> <ul style="list-style-type: none"> ▪ Equal legal capacity with men, equality before the law, non-discrimination in access to justice (E.g: conclude contracts, and administer property, equal rights in marriage and family relations) 	<ul style="list-style-type: none"> ▪ Changes equal opportunity to access justice systems ▪ Changes in level of gender-based discrimination before the law 	<ul style="list-style-type: none"> ▪ Changes in access to justice system by the poor ▪ Changes in level of exclusion of the poor 	<ul style="list-style-type: none"> ▪ Promotion of gender equality and empowerment of women ▪ Eradication of extreme poverty and hunger 	
<p><i>Political Rights</i></p> <ul style="list-style-type: none"> ▪ Equal right to vote, participation in formulation of policy, hold public office and part. in NGO etc. ▪ Equal participation of women in decision-making and leadership at all level of formal and informal institutions /organisations (DFID objective: 4) and influence in decision-making 	<ul style="list-style-type: none"> ▪ Quantitative changes in number of women participating at different levels ▪ Qualitative influence on women's needs, interests and rights at policy level 	<ul style="list-style-type: none"> ▪ Changes in political participation of the poor ▪ Changes in political representation of the poor's interests and concerns ▪ Changes in pro-poor policies ▪ Changes in level of exclusion of the poor 	<ul style="list-style-type: none"> ▪ Promotion of gender equality and empowerment of women ▪ Eradication of extreme poverty and hunger 	
<p><i>Economic Rights</i></p> <ul style="list-style-type: none"> ▪ Equal right to employment, to have access to credits and loans ▪ Equal treatment in land reforms 	<ul style="list-style-type: none"> ▪ Changes in equal opportunities ▪ Changes in equal access to resources ▪ Changes in level of economic independence ▪ Changes in level of participation 	<ul style="list-style-type: none"> ▪ Changes in level of income at household level ▪ Changes in level of exclusion of the poor ▪ Reduction of poverty at micro-level 	<ul style="list-style-type: none"> ▪ Eradication of extreme poverty and hunger ▪ Promotion of gender equality and empowerment of women. 	

POTENTIAL CHANGES IN GENDER EQUALITY IN RIGHTS AND OPPORTUNITIES: NON-DISCRIMINATION, IMPLEMENTATION OF THE RULE OF LAW AND ECONOMIC GROWTH			
<p>Social Rights</p> <ul style="list-style-type: none"> Equal right to education and health services equal right to enjoy adequate living conditions and equal right to participate in social and cultural life 	<ul style="list-style-type: none"> Closing gender gaps in access to health, education and basic social services Changes in household living conditions Changes in women's participation in social and cultural life 	<ul style="list-style-type: none"> Changes in access to basic social services by the poor Changes in poor households living conditions Changes in level of exclusion from social and cultural life 	<ul style="list-style-type: none"> Improved maternal health Achievement of universal primary education Combating HIV/AIDS, malaria and other diseases Promotion of gender equality and empowerment of women Eradication of extreme poverty and hunger
<ul style="list-style-type: none"> Promote equality in girls' and boys' right as per CRC - (DFID objective: 10) 	<ul style="list-style-type: none"> Closing gender gaps between girls' and boys' rights. 	<ul style="list-style-type: none"> Changes in equal access to rights by children living in poverty 	<ul style="list-style-type: none"> Achievement of universal primary education Promotion of gender equality and empowerment of women Eradication of extreme poverty and hunger
POTENTIAL CHANGES IN NON-DISCRIMINATION IN ACCESS TO FORMAL JUDICIAL SYSTEMS, LEGAL SERVICES AND NON-STATE JUSTICE SYSTEMS			
<ul style="list-style-type: none"> Non-discriminatory service delivery of formal judicial institutions (courts and police stations) and enhanced receptiveness to the poor and especially women's needs, rights and concerns 	<ul style="list-style-type: none"> Changes in level of discrimination of service delivery by judicial institutions to poor women Changes in receptiveness of judicial institutions on women's needs and interests, concerns and rights 	<ul style="list-style-type: none"> Changes in level of discrimination of service delivery by judicial institutions to the poor Changes in level of user friendly and pro-poor policies of judicial institutions 	<ul style="list-style-type: none"> Promotion of gender equality and empowerment of women Eradication of extreme poverty and hunger
<ul style="list-style-type: none"> Creating (free) legal aid centres specialised in women's rights / pro-bono work by lawyers 	<ul style="list-style-type: none"> Changes in equal access to judicial institutions by poor women 	<ul style="list-style-type: none"> Changes in equal access to judicial institutions by the poor 	<ul style="list-style-type: none"> Promotion of gender equality and empowerment of women Eradication of extreme poverty and hunger
<ul style="list-style-type: none"> Non-discriminatory delivery of non-state justice systems 	<ul style="list-style-type: none"> Changes in equal access to non-state justice system by poor women 	<ul style="list-style-type: none"> Changes in equal access to non-state justice system by the excluded 	<ul style="list-style-type: none"> Promotion of gender equality and empowerment of women Eradication of extreme poverty and hunger
			<ul style="list-style-type: none"> DFID document review Interviews with key informants World bank reports National judicial sector disaggregated stats (if available) NGOs reports Experts surveys and diagnosis on informal justice sectors (if available)
			<ul style="list-style-type: none"> World Bank reports NGOs reports and disaggregated stats Expert surveys and analysis (if available)

POTENTIAL CHANGES IN LEGAL EMPOWERMENT			
<ul style="list-style-type: none"> ▪ Women's human rights knowledge - both in formal and informal laws. ▪ Gender awareness 	<ul style="list-style-type: none"> ▪ Changes in understanding of women's rights ▪ Creating general gender awareness ▪ Changes in women's capacity to engage in demanding their rights ▪ Breaking a silence 	<ul style="list-style-type: none"> ▪ Changes in knowledge and rights-awareness ▪ Changes in the poor's level of knowledge and capacity to participate as citizens 	<ul style="list-style-type: none"> ▪ Promotion of gender equality and empowerment of women
<ul style="list-style-type: none"> ▪ Dialogue on GEWE, Justice and Rights 		<ul style="list-style-type: none"> ▪ First break-through changes in difficult socio-political and cultural contexts 	<ul style="list-style-type: none"> ▪ First step towards the Promotion of gender equality and empowerment of women
INCONCLUSIVE CONTRIBUTIONS			
<ul style="list-style-type: none"> ▪ Add-on standard gender paragraphs to Justice and Rights-based policies and programmes ▪ Justice and rights-based gender-blind, gender evaporated or gender neutral policies and programmes 	<ul style="list-style-type: none"> ▪ Paying lip-service ▪ No GEWE changes 	<ul style="list-style-type: none"> ▪ No changes in poverty reduction 	<ul style="list-style-type: none"> ▪ No contributions to the fulfilment of MDGs and PSAs
			<ul style="list-style-type: none"> ▪ DFID document review ▪ Interviews with key informants
			<ul style="list-style-type: none"> ▪ DFID document review ▪ Interviews with key informants

2.4 Thematic study evaluation questions within the analytical framework

The following table places the list of evaluation questions (see TOR) for this thematic study within the study analytical framework. The analytical framework below identifies DFID's contributions (what?), assesses how such contributions have taken place (how?), explains why and what lessons can be learnt for a) GEWE and b) poverty reduction.

Table 2 Analytical framework

WHAT explicit contributions have been made to GEWE?	HOW contributions have been made to GEWE?	WHY did it contribute/not contribute? Explanations, constraint/opportunities?	LESSONS LEARNT for GEWE and Poverty Reduction
1. What has been the contribution to GEWE through DFID's justice and rights-based policies , strategies and guidelines?	<ul style="list-style-type: none"> ▪ How has GEWE been addressed in justice and rights-based policies, strategies and guidelines? Which areas of these strategies address GEWE and which areas have remained gender-blind? 		
	<ul style="list-style-type: none"> ▪ What processes have led to the inclusion and non-inclusion of GEWE in these policies, strategies and guidelines? 		
	<ul style="list-style-type: none"> ▪ Which women's human rights have been addressed and prioritised in the policies, strategies and guidelines? 		
2. What has been the contribution to GEWE through DFID's 8 selected justice and rights-based programmes ?	<ul style="list-style-type: none"> ▪ Has GEWE been addressed in justice and rights-based programme documents? How? 		
	<ul style="list-style-type: none"> ▪ Which women's human rights have been prioritised in the justice and rights-based programmes? 		
	<ul style="list-style-type: none"> ▪ To what extent has GEWE been addressed in the implementation of justice and rights-based programmes? 		
	<ul style="list-style-type: none"> ▪ Which women's human rights have been prioritised in the implementation of justice and rights-based programmes? 		
	<ul style="list-style-type: none"> ▪ What have been the outcomes and contributions of justice and rights-based programmes to GEWE? 		
3. What has been the effect of the inclusion of GEWE in DFID's justice and rights-based policies and programme on DFID's poverty reduction efforts ?	<ul style="list-style-type: none"> ▪ To what extent are there indications that the inclusion of GEWE in justice and rights-based policies and programmes has strengthened DFID's poverty reduction efforts? 		

2.5 Sampling criteria for the selection of 2 in-depth and 6 'light-touch' DFID justice and rights-based interventions

There will be a total of 8 selected interventions; 2 of which will be analysed in depth and constitute the core focus of the intervention and the remaining 6 interventions will be approached less in-depth, but triangulating evidence of findings at policy level and with the other two in-depth interventions.

Criteria 1 - all selected interventions whether SJG / Justice programmes or rights-based programmes need to **address one or more women's human rights** - as specified in the first column related to the GEWE objectives and key issues in the methodological framework above.

Criteria 2 - at least 2 interventions need to focus on specific women's rights such as **sexual and gender-based violence** - including domestic violence and/or women's trafficking and prostitution.

Criteria 3 - it would be interesting and useful to have a small sample from Latin America as the interpretation of gender inequalities - and therefore women's rights - differs from that of Africa and Asia already covered in the Country Studies - if possible, the DFID successful programme in Brazil focusing on Gender Inequalities would be interesting to assess - (provided documents are available in English and possibly Spanish). Other **interesting geographical regions** to cover in this GEWE study **from a justice and rights perspective** are the Middle-East countries, Northern and Western Africa.

Criteria 4 - if possible, one justice/rights-based intervention that integrates a Drivers of Change perspective challenging **structural social inequalities** and in particular gender-inequalities. This would be an interesting best practice to assess in terms of social justice.

Criteria 5 - since we are not assessing impact but contribution the scope is wider and **the intervention can therefore be on-going** - but should be as a minimum **1,5 or 2 years old**.

Criteria 6 - **Funding is not a criteria** as some of the specific women's rights projects (especially related to violence against women) may be very small financially and we would like to capture those as positive contributions to GEWE.

Criteria 7 - **Comprehensive and timely availability of documentation and contact details for the two in-depth interventions** - from concept notes to progress reports - is necessary and critical for such thematic study to be effectively pursued. Prompt and complete provision of both documentation and contact details is a criteria and condition for this study to meet the proposed deadlines. However, we do realise that documentation is also part of a wider organisational problem.

Once the selection of intervention has been completed, the following presents a table of documentation available for each intervention that will need to be filled in as the documentation is sent via email to the consultant.

Annexes

Table 3: Key interventions documentation

<i>Table 3: Ke interventions docu</i>	Title of Programme/Project /Country /Years	Concept notes	Social Appraisal	Project memorandums and LFA	Progress reports and OPRs	Project completion reports
1*.						
2*.						
3.						
4.						
5.						
6.						
7.						
8.						

* The two in-depth studies.

Table 4: Interventions key informants

	Name	Title /position	Programme /Project	Town / Country	Land Telephone lines + direct extension	Mobile Telephone line	E-mail address
1.							
2.							
3.							
4.							
5.							
6.							
7.							
8.							

2.6 Sample selection of Justice and rights-based policies and strategies and guidelines

The following presents the proposed list of key DFID justice and rights-based policies and strategies that will be utilised for this study. The table below also indicates further contact information required in order to carry out the study.

Table 5: Policies key informants

Name of author(s)/ contributor(s)/ key informants	Title/ position/ role	Title of Policies, Strategies and Guidelines	Type, month and year	Org/ Town/ Country	Land Tel. + direct ext.	Mobile Tel.	E-mail address
		White Paper Eliminating World Poverty: A Challenge for the 21st Century	Policy, Nov.1997				
		Making Government Work for Poor People - building state capabilities	Strategy Paper, June 2000				
		Poverty Elimination and the Empowerment of Women	Target Strategy Paper, Sept. 2000				
		Realising human rights for poor people	Target Strategy Paper, Oct. 2000				
		Justice and Poverty Reduction - Safety, Security and Access to Justice for all	Policy, Dec. 2000				
		Safety, Security and Accessible Justice - putting policy into practice	Guidelines for governance advisers and programme managers, July 2002				
		Non-state justice and security systems	Extra Chapter in SSAJ Guidelines, May, 2004				

Annexes

Annex 3 - List of Persons Interviewed

• Title of the policy / strategy	• Name of Interviewee	• Position
• White Paper Eliminating World Poverty 1997	• Rosalind Eyben	• Former DFID Senior SDA
• Poverty Elimination and the Empowerment of Women TSP 2000	• Phil Evans	• DFID, Head, Africa Conflict & Humanitarian
• Realising human rights for poor people TSP 2000	• Rosalind Eyben	• Former DFID Senior SDA
• Justice and Poverty Reduction - Safety, Security and Access to Justice for all	• Chris Gale	• Former DFID governance and justice advisor
• Safety, Security and Accessible Justice - putting policy into practice		
• Non-state justice and security systems, Extra Chapter in SSAJ Guidelines May, 2004	• Jane Alexander	• DFID Governance Adviser
• Title of Interventions	•	•
• Trafficking in the greater Mekong, ILO, 1999-2002 -2003-2008	• Thetis Mangahas	• Programme Director, ILO, BanThailand
• Gender and Race Equity in Brazil, UNIFEM 2003-2008	• Miranda Munro	• Head of DFID Brazil
• Gender and Race Equity in Brazil, UNIFEM 2003-2008	• Vera Soares	• Programme Coordinator, UNIFEM, Brazil
• Family Protection project, 1999-2004	• Rana Saifi	• SDA, DFID Jordan
• Gender Equality Project, British Council, 2002-2006	• Aalya Gloekler	• SDA, DFID Pakistan
• Access to Justice for Realisation of HR, BLAST, 2003-2008.	• Indranil Chakrabarti	• SDA, Bangladesh
• Human Rights for the Poor in Peru 2002-2005	• Mark Lewis	• Senior Programme Manager DFID India
• Shire Highland SL programme, OXFAM, 2002-2004	• Mulle Chikoko	• Project Manager, Oxfam Malawi

General documents and literature

Charlesworth, Hilary (2005): *Not Waving but Drowning: Gender Mainstreaming and Human Rights in the United Nations*, Harvard Human Rights Journal

Charlesworth, H and Chinkin (2000): The boundaries of international law. A feminist analysis

DFID (2002): Gender Manual: A Practical Guide for Development Policy Makers and Practitioners

DFID (2005): Gender Equality Project, Annual Review, Pakistan

DFID (2005): Output to Purpose Review. BLAST, Bangladesh

DFID (2004): Output to Purpose Review. Will and Inheritance Laws Project. Zimbabwe

DFID (2004): Output to Purpose Review. Reducing Labour Exploitation of Children and Women. Thailand

Eyben, Rosalind and B Buell (2004): Review of the DFID-Oxfam human rights programme in Peru, IDS and Oxfam

Golub, S (2003): Beyond the rule of law orthodoxy : the legal empowerment alternative

ILO (2005): First hand knowledge. Voices across the Mekong, Community Action against trafficking of women and children. A 'good practice' publication

Ladbury, Sarah, DFID (2005): Policy Coherence Review

Longwe, Sara (1997): The Evaporation of Gender Policies in the Patriarchal Cooking Pot. Development In Practice Vol 7, No. 2. London

Macdonald, Mandy (2003): Report on Gender Equality and Mainstreaming in the policy and practice of the UK Department for International Development - A briefing from the UK Gender and Development Network

Mansell, W, B. Meteyard and A. Thomson (2004), Cavendish Third Edition

Moser, Caroline, Olivia M'chaju-Liwewe, A. Moser & N Ngwira (DFID Malawi 2004): DFID Malawi Gender Audit: Evaporated, Invisibilised or Resisted

Narayan et al (2000 and 2002): Voices of the Poor, OUP

Sen, Amartya (1999): Development as Freedom, Alfred A Knopf, NY

World Bank (2001): Engendering Development through Rights, Resources and Voices

World Bank (2001): Poverty Trends and Voices of the Poor <http://www.worldbank.org/poverty/voices/overview.htm>

References

DFID Policies and strategies

Title of DFID Policies and Strategies	Type and year
White Paper Eliminating World Poverty: A Challenge for the 21st Century	Policy, 1997
Poverty Elimination and the Empowerment of Women	Target Strategy Paper, 2000
Realising human rights for poor people	Target Strategy Paper, 2000
Justice and Poverty Reduction - Safety, Security and Access to Justice for all	Policy, 2000
Safety, Security and Accessible Justice - putting policy into practice	Guidelines for governance advisers and programme managers, 2002
Non-state justice and security systems	Extra Chapter in SSAJ Guidelines, 2004

DFID intervention documentation

Intervention Country	Title of intervention / implementing partner /Year	Concept notes, Project header sheets (PHS)	Social Appraisal	Project memorandums and LFA	Progress reports, OPRs, annual review and evaluation	Project completion reports
1. South East Asia	Reducing Labour Exploitation of Children and Women: Combating trafficking in the greater Mekong Sub-region - ILO/IPEC SE Asia Phase I 1999-2002 / Phase 2 2003-2008	(1) PHS 1999-2002 (1)Header concept notes 2004,	Social issues and institutional assessment 2003	ILO project memo 2003-2008 (2), LFA (undated)	(2) Mid-term evaluation report for phase one - 2001, (1) ILO techn. progress report 2003, (2) OPR 2004, (1) project scoring summary report 2003, (3) Annual reviews 2003- 04-05	N/A for phase 2
2. Brazil	Programme of Support for Integrated Actions in Gender and Race Equity in Brazil - UNIFEM 2003-2008	Project Concept note header sheet 2002 (4)	Social, economic and institutional appraisals 2003	(1)LFA (undated), (1)Project Memo 2003	Annual Review 2005	N/A
3. Jordan	Family Protection project , Family protection Unit, 1999-2004	PHS 1999-2002,	Social and institutional annexes 1999	Project memo 1999	Project progress reports 2002, 2003, Annual Review 2002 (2), 2003, 2005 (2), Project scoring assessment (undated).	PCR 2005
4. Pakistan	Gender Equality Project, British Council Islamabad, 2002-2006	PHS 2000-2004	Social development and economic assessment 1999	Project memo 1999, LFA 2001, Revised LFA 2002 (2), undated LFA	PPR 2002 (3), 2003, 2004 (3), Output to purpose review 2004 (2), Annual reviews 2003, 2004 (2), 2005	N/A
5. Bangladesh	Access to Justice for Realisation of Human Rights and Advocacy for Empowerment of the Poor, BLAST (Bangladesh legal aid and service trust) 2003-2008.	PHS2002 (3), Project concept note 2002 (2),	Social, economic and institutional appraisals 2003	LFA 2003-2008, Project proposal 2003, project memo 2003 (2),	OPR 2004 (2), Annual review 2005,	N/A

References

Intervention Country	Title of intervention / implementing partner /Year	Concept notes, Project header sheets (PHS)	Social Appraisal	Project memorandums and LFA	Progress reports, OPRs, annual review and evaluation	Project completion reports
6. Zimbabwe	Zimbabwe Wills and Inheritance Laws Project 2000-2002 -	PHS 2001-2002	Social, institutional and economic appraisal (undated)	LFA 1998, Project memo (undated)	Annual review 2002, PPR 2002	PCR, 2002
7. Peru	Human Rights for the Poor 2002-2005	PHS 2001-2006 (2), Concept note 2000		LFA (undated), Project memo 2001	OPR 2004, Annual review 2004, 2005,	PCR 2005
8. Malawi Shire Highlands	Shire Highland sustainable livelihood programme, OXFAM, 2002-2004	PHS 2000, 2002 (3), 2005	Social, economic, institutional and environmental appraisals 2001	LFA (undated), Project memo 2001	Annual review 2003, PPR 2003, OPR 2003	

DEPARTMENT FOR INTERNATIONAL DEVELOPMENT

EVALUATION REPORT EV669

**Evaluation of DFID's Policy and Practice
in Support of
Gender Equality and Women's Empowerment:
DFID's Efforts to Address Gender Equality Goals
in International Partnerships
Thematic Study**

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AsDB	Asian Development Bank
BRIDGE	Briefings in Development and Gender at Institute of Development Studies
CBO	Community Based Organisation
CCA	Common Country Assessment
CEDAW	Convention on the Elimination of All Forms of Discrimination against Women
CIDA	Canadian International Development Agency
CO	Country Office
CPD	Conference on Population and Development
CSO	Civil Society Organisations
DAC	Development Assistance Committee
DC	Development Committee
DFID	Department for International Development
DG	Directorate General
DTI	Department of Technology and Industry
EBRD	European Bank for Reconstruction and Development
EC	European Commission
ECOSOC	Economic and Social Council
EDF	European Development Fund
EU	European Union
EVD	Evaluation Department
FAO	Food and Agriculture Organisation
FCO	Foreign and Commonwealth Office
FO	Foreign Office
GAD	Gender and Development
GADN	GAD-Network
GE	Gender Equality
GEM	Gender Equality Mainstreaming
HIV/AIDS	Human Immuno-Deficiency Virus/Acquired Immune Deficiency Syndrome
HMT	Her Majesty's Treasury
HQ	Headquarters
IBRD	International Bank for Reconstruction and Development
ICPD	International Conference on Population and Development
ICRC	International Convention on Rights of the Child
IDAT	International Division Advisory Team
IDC	International Development Committee
IDS	Institute of Development Studies
IFI	International Finance Institution
INGO	International Non-Governmental Organisation
IS	Institutional Strategies
ISP	Institutional Strategy Paper
JIA	Joint Institutional Approach
MDG	Millennium Development Goal
MEFF	Multilateral Effectiveness Funding Framework
MFA	Ministry of Foreign Affairs
MTSP	Medium Term Strategic Plan
NGO	Non-Government Organisation

Abbreviations

Norad	Norwegian Agency for Development Cooperation
ODA	Overseas Development Administration
ODI	Overseas Development Institute
OECD/DAC	Organisation for Economic Cooperation and Development/Development Assistance Committee
PfA	Platform for Action
PIMS	Policy Information Marker System
PPA	Participatory Poverty Assessment
PR	Poverty Reduction
PRBS	Poverty Reduction Budget Support
PRISM	Performance Reporting Information System for Management
PRS	Poverty Reduction Strategy
PRSP	Poverty Reduction Strategy Paper
PSIA	Poverty and Social Impact Analysis
SDA	Social Development Adviser
SDAN	Social Development Adviser Network
Sida	Swedish International Development Assistance
SWAp	Sector Wide Approach
TIPS	Tools for Institutional, Political & Social Analysis
TOR	Terms of Reference
TSP	Target Strategy Paper
UK	United Kingdom
UKMIS	UK Mission to the United Nations
UN	United Nations
UNCD	United Nations & Commonwealth Department
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organisation
UNFPA	United Nations Population Fund
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations International Children's Emergency Fund
UNIFEM	United Nations Development Fund for Women
WB	World Bank
WHO	World Health Organisation

EXECUTIVE SUMMARY

S1 This paper serves as an input for the 'Evaluation of DFID's policy and practice in support of gender equality and women's empowerment'. The objective of this paper is to analyse DFID's past and present international role in working with gender equality and to address the question whether there are areas in which DFID or others have greater opportunity to address gender related concerns. Secondly, to assess how effective DFID has been in utilising its position to pursue gender equality through multilateral partnerships.

S2 DFID has provided important contributions and leadership to the gender equality and women's empowerment efforts at the international level over the last decade. This view is widely shared by partners of bilateral and multilateral agencies as well as NGOs interviewed for the study. DFID has shown strengths at different moments and forums in negotiating gender agendas, girls' education and reproductive health and rights, development of poverty and gender analysis tools and gender training, expertise in gender issues in emergencies, conflict and post conflict situations and fragile states to mention some.

S3 However, it is repeatedly emphasised that DFID has lost momentum in gender leadership. After the Beijing Conference (1995) and the publication of the Department's gender strategy (2000), the impression of dilution stands out, though senior social development advisors placed at UKMIS continued to work closely with UN norm setting agencies in gender policy (UNIFEM and UNICEF). The scene was increasingly left to more proactive gender equality advocates such as the Netherlands, the Nordic donors and Canadian CIDA with whom DFID sometimes cooperated and continues to establish joint institutional agreements.

S4 The impression of decreasing attention to gender equality and women's empowerment is supported by the assessment of DFID's current effort in promoting gender equality through the different mechanisms of influencing the multilateral organisations: core and non-core funding, secondments and board memberships.

S5 DFID is among the top donors in many multilateral agencies. Yet influencing gender equality goals through core or non-core funding and staff secondments with gender mandates, with exception for previous SDA secondments at UKMIS, does not appear to be systematically used in the organisations assessed. DFID's Board memberships in multilateral agencies provide an opportunity to influence the agenda but are not seen to be proactively used to bring up gender equality and women's empowerment issues where these would be relevant, to go by minutes of board meetings.

S6 While the gender equality goal is indeed present in DFID's institutional strategies with multilateral organisations with a narrower mandate where gender is a key focus area (UNIFEM, UNICEF, UNHCR), it is absent in the major development agencies assessed which have broad poverty alleviation mandates (the European Commission, the World Bank, Asian Development Bank and UNDP). In January 2005 DFID's Development Committee recommended 'Rebuilding or strengthening links with key international and regional organisations to create and use opportunities for influence on gender equality and building on comparative advantages of other organisations'. In April 2005 the Committee also recognised the importance of delivering the

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entire corporate agenda through institutional strategies with multilateral agencies (including gender).

S7 UNICEF is a key organisation in the promotion of women's rights and rights based approach, and DFID has been active in supporting UNICEF's own efforts in this respect. The latest steps towards a multi-donor institutional strategy give further emphasis to these efforts. The limited use of secondments and non-core funding seems justified in a situation where UNICEF through its own efforts focuses on gender equality, however, continuous monitoring is required.

S8 The analysis of the DFID-European Commission relationship reveals that the Commission has a clear, formal commitment to gender mainstreaming (The Amsterdam Treaty, 1997), but as other evaluations confirm the limited action in practice and weak institutionalisation, it leaves room for DFID to influence the EC for more support to gender equality¹.

S9 The World Bank also offers potential for gender equality promotion through its wide-ranging organisational structure and its key role in the international aid architecture. Bank officials indicate an interest and commitment to work with DFID on gender equality. And with the high esteem that DFID staff has in the Bank there is an opportunity to move the gender equality agenda forward through HQs and country level activities in gender related MDGs and in the PRS processes.

S10 In conclusion, DFID's role as a major donor increases its obligation to mobilise its capacity in international relations and with country partners to impact on and contribute to gender sensitive poverty reduction. With an increased aid budget and push towards fulfilment of the MDGs by 2015, a move towards country led programmes and harmonisation of MDG-led partnerships for poverty reduction across Whitehall, the time is right for DFID to reinforce its gender equality commitments.

Lessons

S11 The ability to set a '**footprint**' on the gender agenda in a partner organisation is closely linked to the **centrality of gender in the organisation's mandate** as well as to the capacity and determination of the organisation to pursue gender equality effectively. DFID's support to UNIFEM is an example.

S12 When a partner organisation (e.g. UNICEF) has capacity to promote gender equality, there may be less need for continuous gender support as DFID has provided earlier. **Short-term support**, e.g. non-core funding or staff secondments for targeted tasks such as programming for girls' education, as recently practiced, **is an alternative**. It requires continued monitoring, however, to ensure that effective progress in gender equality is sustained.

S13 **Dedicated staff resources** to work in partnership with multilaterals on gender equality goals has been a determinant factor for success. When senior SDAs with a clear gender

¹ Approdev and One World Action (2002): Assessing Gender Mainstreaming in EC Development Cooperation, p. 4, and EC (2003): Thematic Evaluation of the Integration of Gender in EC Development Co-operation with Third Countries; and EC (2003): Thematic Gender Evaluation.

mandate were seconded to the UKMIS in New York (1997-2004), the influence on gender strategies peaked (in UNICEF and UNIFEM).

S14 A **promising initiative** has been taken to develop a **Joint Institutional Approach** (CIDA, Sida, DFID with UNICEF) where joint discussions have strengthened the approach to gender equality. On the other hand the **joint gender work** through the DAC-Gendernet has become a **lost opportunity for influencing the gender agenda** since **DFID left the chair** and discontinued active participation in the Gendernet.

S15 Developing **partnership agreements** (ISs) with organisations that have a broad development mandate, joint analytical tools (e.g. PSIA), guidelines, etc. provides an opportunity and entry point to incorporate gender perspectives.

S16 Many donors share an interest in themes where DFID has shown strength, e.g. in gender issues in the education and health sectors, gender and emergencies, conflicts and post conflicts and rights based approach to promoting gender equality and women's empowerment. With donor harmonisation there is ample **scope for cooperation** between DFID, multilateral and bilateral agencies and Civil Society Organisations (CSOs) in operationalising policies and strategies. Concrete areas of possible **division of work on gender policy development** are best determined at HQ level with feed-back from country programmes. Concrete **thematic areas** for cooperation or division of work can best be determined in specific country contexts.

S17 Under the current aid harmonisation and alignment agenda there is scope for more mutual learning also for large donors. DFID should see itself not only as obliged to influence partners but as much as a dialogue partner on ways ahead in gender work. The **scope for mutual learning should be explored in concrete partnerships**, e.g. the EC has undertaken initiatives from which DFID could learn (EC Gender Manuals and the Gender Help Desk system).

Recommendations

S18 Being a large contributor to multilateral development organisations and a major actor at the international scene, DFID has the potential of regaining a more active role in agenda-setting and promotion of gender equality and women's empowerment in general and in the multilateral organisations. This is reflected in the following recommendations:

1. **DFID should play a more pro-active role and use its influencing channels to give more clout to gender issues in the norm-setting work of UN agencies.** Decisions on when to scale down support and leave the proactive work on gender equality and women's empowerment to the organisations themselves should be determined by continued monitoring of the organisations' effectiveness in gender equality.
2. Core funding to multilateral agencies backed by active participation in executive boards provides good opportunities for influencing the gender agenda while non-core funding can be an important complementary resource for initiating and testing new initiatives. **DFID should consider how it can utilise its core and non-core funds and staff secondments more strategically to promote the cross cutting gender equality and**

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women's empowerment agenda. Operationalising gender equality in context of poverty reduction is particularly critical in the multilaterals with broad development and poverty reduction mandates (EC, IFIs).

3. The concept of **institutional strategies** and MEFF should be further developed to focus more on results and how these **include gender diversity and gender issues contributing to poverty reduction.**
4. DFID should continue its current critical work on the 'influencing' approach and find a way of **operationalising 'influencing' which includes a gender perspective.**
5. In the era of harmonisation and alignment with partner policies, DFID has a major role to play in **strengthening relevant gender networks** including gender research and information sharing, thus sustaining its long-term strengths on the international scene.

1 INTRODUCTION

1.1 This study assesses DFID's role in the international effort to address gender issues. It serves as an input for the 'Evaluation of DFID's policy and practice in support of gender equality and women's empowerment'.

1.2 Gender equality and women's empowerment objectives for British development cooperation are laid down in key policy papers, the White Papers of 1997 and 2000 and in DFID's Gender Strategy (TSP 2000)². The TSP spells out DFID's approach which is a so-called twin-track gender mainstreaming strategy³. The one track represents targeted activities to promote 'the empowerment of women, which is an essential precondition for the elimination of world poverty and the upholding of human rights'⁴. The other track focuses on integrating gender perspectives in all DFID's activities, policies, strategies, interventions, etc.

1.3 An objective of the evaluation is to assess to what extent DFID has used its position, its strengths and advantages, to pursue its objectives and deliver on the commitments to Gender Equality and Women's Empowerment (Evaluation Question no. 3). The objective of this paper is to analyse DFID's past and present international role in working with gender equality and to address the question whether there are areas in which DFID or others have greater opportunity to address gender related concerns. Secondly, to assess how effective DFID has been in utilising its position to pursue gender equality through multilateral partnerships.

1.1 Approach and methodology

1.4 The study analyses external and internal mechanisms which DFID uses in its international effort to address gender issues.

1.5 The first part of the study, DFID's international role - past and present - in addressing gender issues, is based on personal, questionnaire or telephone interviews with a broad range of donor representatives, academics, and NGO representatives (see Annex 2) who have been involved in international efforts to address gender issues. Secondary studies and DFID documents have been used throughout.

1.6 The second part of the study assesses the gender perspectives of a sample of partnership agreements, the so-called institutional strategies (ISP/IS) developed by DFID and the mechanisms of influencing used. A sample of seven multilateral organisations (UNDP, UNIFEM, UNHCR, AsDB, and UNICEF, World Bank and European Commission) has been selected for the assessment in consultation with DFID/EvD to represent partner agencies with different gender focus and DFID contribution. The information gathered for this chapter is based on desk reviews

² DFID (2000): *Poverty Elimination and the empowerment of women. Target Strategy Paper.*

³ The twin-track gender mainstreaming approach was agreed by all members in the Platform for Action at the 1995 UN Fourth World Conference on Women in Beijing.

⁴ TSP (2000): page 8.

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of DFID's institutional strategies with the seven organisations, review of the institutional partnership methodology and interviews with relevant DFID staff.

1.7 Lastly, in-depth assessments were undertaken of a sample of three partnerships, namely the European Commission, the World Bank and UNICEF. These assessments were based on desk study of relevant internal documents, personal and telephone interviews with relevant DFID desk officers and multilateral agency staff.

1.8 In terms of the evaluation criteria, the study has primarily looked into the *effectiveness* of DFID's effort to address gender issues through reviewing the mechanisms of influencing and DFID's scale of engagement in the international effort to address gender issues.

1.1.2 Limitations

1.9 The part of the study that covers institutional strategies focuses mainly on the recent past (1999-2006) rather than on the full evaluation period (1995-2005). The reason is that the systematic and institutionalised partnership method was only introduced in 1999. Also, input for the historical trends is obviously limited by the interviewees' capability to recollect what happened in the past.

1.10 The study has experienced difficulties in obtaining reliable statistical data. In particular, it has not been possible to generate data that separated core, non-core and trust fund contributions to the seven agencies and over a 10-year period⁵.

1.11 Further, the information presented is based on inputs from HQ and may not fully justify the decentralised cooperation with and influencing on multilaterals at country level, though information from the three country case studies for the overall evaluation is incorporated.

1.12 A full comparative study of DFID's and others' strength and comparative influence and opportunity in the area of gender equality would require more interaction with partner countries and other agencies from the multilateral, bilateral, and civil society than this study availed.

⁵ This problem is also mentioned in the recent report of the National Audit Office (2005) *Engaging with Multilaterals*.

2 DFID'S PAST AND PRESENT ROLE IN ADDRESSING GENDER EQUALITY GOALS

2.1 The chapter summarises viewpoints on the perceived role of DFID in the international effort to address gender issues. It is based on personal and telephone interviews with staff and gender focal points in bilateral, multilateral and civil society organisations, and consultants who have worked closely with DFID during the evaluation period. A supplementary brief questionnaire was also sent to the respondents and to selected DFID staff.

2.1 Characteristics and contributions as perceived by others

2.2 DFID is recognised by external stakeholders including representatives of Nordic aid agencies for having played a lead role - some say **the** lead role during the last decade as DFID was instrumental in introducing innovative ideas, approaches and activities.

2.3 The DAC-WP-Gen (later DAC-GENDERNET) has been a principal channel where others appreciate DFID's superior knowledge on gender issues 'far ahead of all others in the group'. DFID representatives in the 1990s are characterised as 'theoretically very strong, which meant that they often did tasks on behalf of the gender group', e.g. influencing the World Bank through informal and formal dialogue on gender policies. The superior competence of the DFID representatives provided them the necessary self-confidence to take up discussions with the World Bank and UNDP. In contrast 'staff from the Nordic countries usually had more down-to-earth experience from working on gender issues at grass-root level. They had more practical knowledge but often lacked the comparable theoretical knowledge' was one comment.

2.4 It is widely recognised that DFID prompted attention to key issues such as gender in SWAps and initiated development work on gender analysis tools and guidelines that have been widely used by OECD/DAC member countries⁶. Also early gender budgeting initiatives where public spending is analysed according to how benefits will be shared by women and men were taken up by DFID in cooperation with the Commonwealth Secretariat, but have not been systematically pursued⁷. The DAC-WP-Gen initiative on gender markers provided donors with a common tool to monitor allocation of resources for gender equality and women's empowerment, the use of which, however, has not always been consistent and systematic neither by DFID (Gender PIMS markers) nor by other agencies (e.g. Norad)⁸.

2.5 Dialogue and informal consultations between DFID's Social Development Advisors (few on secondment) and the World Bank emphasised DFID's gender mainstreaming and integration of gender issues with social analysis⁹. Some resulted in joint initiatives in development of methods

⁶ OECD-DAC (1998): *DAC Guidelines for gender equality and women's empowerment in development cooperation, Paris*; and OECD-DAC (1998): *Sourcebook on concepts and approaches linked to gender equality, Paris*. OECD-DAC (2002): *Gender Equality in Sector Wide Approaches*.

⁷ See Thematic Paper by Tom Dahl-Østergaard et al on Aid Modalities (*Gender and Budget Support*) of this evaluation.

⁸ See Norad (2005); Watkins (2004); and the paper for this evaluation by Knud Olander et al: (2006) *Gender Analysis of DFID's Aid portfolio (1995-2005)*.

⁹ Eyben, Rosalind (1996): *The ODA Experience: Routinising Social Analysis*, paper given at the World Bank Social Scientists' Retreat 1996.

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and tools for analysis of social issues^{10 11}.

2.6 Many initiatives have been supported by research and development activities sponsored by DFID to the global benefit of development agencies and others, e.g. the background documents for the Development Assistance Committee's (DAC) path-breaking paper on GE in SWAp (2002) for which DFID has been the major contributor.

2.7 DFID (then ODA) is mentioned by both internal and external stakeholders as having initiated the Social Development Advisers Network (SDAN) with the purpose of influencing gender and social discourses at the EC and the World Bank and of sharing information on key issues such as poverty and gender issues. Internally, the social development network has moved to a multi-disciplinary approach, using economists, governance and social development expertise to address problems. The multi-disciplinary, thematic model is recognised by other agencies and, recently, it has been taken up by the World Bank. The risk of making gender issues invisible in this 'model' is not equally recognised. But invisibility does not necessarily happen as evidenced in the India and Nigeria case studies for this evaluation, while gender invisibility prevailed in the Western Balkans case.

2.8 DFID's initiative to establish the knowledge and resources base BRIDGE is also widely recognised by Nordic donors who have been co-financers at different stages. During the late 1990s early 2000s, Sida used BRIDGE as its gender Helpdesk. BRIDGE is managing DFID's former GEM database, which was reorganised under the name Siyanda. This database is known as a major source for gender researchers internationally. DFID's support to knowledge creation, dissemination and research started prior to the development of BRIDGE and several people still refer to 'the gender work at IDS in Sussex'. In parallel, DFID has supported and benefited from high calibre gender training materials, analytical studies and critical reviews, undertaken by a number of other strong gender research centres including civil society organisations in the UK¹².

2.9 At country level, DFID's advanced analytical skills and high quality staff with gender expertise during the past 10 years are recognised, but the picture varies considerably from DFID being totally out of the picture in country based gender work and networks (e.g. Western Balkans) to situations where DFID leads and exerts an aura of superiority (e.g. India).

2.10 There is ambivalence amongst the Nordic donor representatives whether to characterise DFID as belonging in the like-minded donor group in the area of gender work during the 10-year period. 'Self-sufficiency', 'superiority' and 'unapproachable' are characteristics frequently used to describe DFID, while at the same time DFID's intellectual contributions to the global gender discourse are appreciated. Most recently the split over support to the Iraq war has created a division where aid agencies perceive more clearly different social policy agendas. Voices from

¹⁰ Norton, A et al (2001): *A Rough Guide to PPAs - Participatory Poverty Assessment. An Introduction to Theory and Practice*. WB and ODI.

¹¹ The Poverty and Social Impact Analysis (PSIA) is largely dedicated to DFID's initiatives, prompting the WB to apply PSIA in a number of programmes. (See references).

¹² E.g. One World Action, Woman Kind, Oxfam and Action Aid. DFID's funding of the gender research and advocacy GAD Network has been minimal project support on an ad-hoc basis in contrast with core funding of BRIDGE. A research consortium directed by Andrea Cornwall will be financed by DFID for the next 5 years addressing *Pathways of Women's Empowerment*, IDS Sussex.

inside DFID express the viewpoint that conflict stricken countries more than any other need strong gender advisory support, and mention Iraq as a case where this has not materialised. Others stress that much work has been invested into gender in Iraq but DFID was junior to the FCO who were junior to the Ministry of Defence who in turn were junior to the US administration in Iraq. Hence, it was hard for DFID to get its points across.

2.11 In sum, the overall picture of DFID's role in the international effort to address gender issues painted by external stakeholders is that DFID used to contribute with superior theoretical insights, analytical and negotiations skills and staff in international forums and events and in some national contexts. However, it is repeatedly mentioned that DFID has lost momentum over the latter part of the decade.

2.12 In the aftermath of Beijing 95, the big players in gender and aid were seen to be the Netherlands, the Nordic countries and Canadian CIDA. In the Commonwealth lobby-work on gender, stakeholders expressed the view that CIDA has been found to be a stronger partner than DFID in several instances.

Key events and forums

2.13 The UN Conferences on Women have benefited from high-profile input from DFID. DFID played a very active role in preparation for and in negotiations during the UN Beijing Women's Conference (1995) and in the Beijing + 5 Conference (2000). Their provision of competent negotiators for the Sexual and Reproductive Health and Rights aspects of the Platform for Action is particularly appreciated by externals.

2.14 DFID's central role up until the Beijing Conference is also recognised internally as DFID did its most high profile GE work at that time. With a small number of other donors, DFID set up a fund (the Facilitation Initiative) for women's organisations in the South to do preparatory work on and participate in the Conference. DFID was a high profile part of the UK delegation and supported the coalition of British NGOs.

2.15 A common judgement is that after Beijing, DFID engagement in gender issues faded. They did not follow up with resources to governments and civil society to implement the Platform for Action. An opinion is that this process was deepened since top management's focus was on Poverty Reduction (PR) with no connection seen between PR and women's rights. Somewhat in contrast to this lingers, the external view that the former Secretary of State was indeed concerned to integrate gender aspects in the PRSs illustrated, for example, in her signing of the Gender Strategy in 2000.

2.16 DFID is recognised for having contributed to the transformation of the DAC Working Party on Gender 'from a club of diplomats to a highly competent working group of gender experts' in the 1990s. The recent transformation of the DAC WP-Gen into the DAC-GENDERNET is regretted. Since this transformation (downgrading) more or less coincided with DFID leaving the Chair of the GENDERNET, this is taken by some to signal a declining interest by DFID. These events reinforced the loss of momentum and of innovative activities shared through the DAC

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gender-network. The GENDERNET is today given low priority by some member representatives. By staying away from the network meetings and activities and not helping to fill the gap after DFID's more active role, they further reinforce the loss of momentum of the DAC-GENDERNET.

2.17 Key informants in DFID point to DFID's internal ways of working when explaining the relationship with the DAC Gender group. Thus, the fall off in OECD/DAC work was related to the setting up of the Policy Division and the resultant shortage of people who could attend such meetings, when other issues were given higher priority. It was also related to DFID's overall approach to prioritisation of DAC work in general, although the fact that gender was not prioritised was in itself significant. Thus, DFID has chosen at times not to work with certain organisations as the conditions were not likely to make for a productive outcome.

2.18 The sidetracking of the DAC-GENDERNET can be seen as a lost opportunity for DFID to sustain its influence on the GE agenda in the only 'global' gender forum for aid agencies, even when it is recognised that a variety of internal and external causes exist to the decline beyond the role of DFID.

2.19 In this series of events the Nordic gender advisers are in the process of revitalising a Nordic gender network. They do recognise that the Nordic+ entails an option to enlarge the group at an optimal time. At the moment, only limited contact exists between them and DFID on common gender work interests.

2.2 DFID's ways of working

Approach

2.20 DFID like other donors has chosen to work with a twin track gender mainstreaming strategy for promoting gender equality and women's empowerment following the Beijing 1995 Platform for Action (PfA) recommendations. It is the sentiment by many external partners that DFID has taken a technical approach to gender mainstreaming. Over the decade DFID has paid considerable attention to GE in the programming of sector programmes (education, health, water) as well as in international leadership, but little attention to the second part of the twin-track approach, women's empowerment. The more political dimensions of GE and women's rights have been marginalised. The almost exclusive association of gender and women's empowerment with social development has meant that other specialists (economists, urban, natural resources, etc.) have remained largely unchallenged. This dichotomy emerges strongly in the 'Closing the Gap' research¹³.

2.21 There is also a difference in working culture at country/programme level between DFID's more analytical based work and staff, and, for example, the Nordic 'trial-and-error doers'. This, according to some, has tended to reinforce a division of work, with 'the doers' engaging more in 'women's projects' and DFID moving faster towards gender mainstreaming in SWAs. Still common learning may happen in specific fields such as reproductive health and rights or girls' education, e.g. through engagement with multilateral partners and with the same national gender machineries and expertise, for example in SWAs. Thus influential women's NGOs in

¹³ One World Action (2003): *Closing the Gap*.

India, and in other countries, have been the same favoured partners by many donors and International Non-Governmental Organisations (INGOs) and have come to function as a meeting ground for sharing experience.

2.22 DFID has benefited from the interest taken by British universities and civil society / NGOs in developing its gender approach¹⁴. The role of the widely competent GAD Network in lobbying on GE issues has been an important and necessary - but not sufficient - condition to keep DFID's gender work on the agenda and updated in relation to new aid discourses and global challenges. This DFID-NGO relationship which encompasses highly professional development activities in the area of GE, e.g. preparation of gender analysis tools, training materials and implementation, country based development cooperation, critical monitoring and evaluation of DFID's GE work¹⁵, etc. is unique, and has been promulgated but with varying success by other agencies¹⁶.

Organisational structures

2.23 Considering the UK position and the size of DFID's development assistance, both internal and external voices express surprise about what is seen to be a continuous dilution of dedicated resources, gender specialised staff and competency within DFID HQ and COs¹⁷. Outside agency representatives, e.g. Nordic bilaterals indicate that it has become increasingly difficult to identify the relevant entry points on gender issues to the detriment of building partnerships at national and international level. In comparison with much smaller programmes, it is pointed out that Sida and Swedish MFA, Norad and Norwegian MFA have retained gender advisors to support twin-track gender mainstreaming in their development cooperation.

2.24 In addition, a main reason why GE easily falls off the radar in DFID is linked to the context - to the structure of the UK government, according to internal views. For example, it is the Foreign Office (FCO) that leads on international conventions, e.g. CEDAW, and on human rights and agreements on sexual and reproductive health and rights. And it is the FCO that is represented in many international forums; e.g. the UK Government has just got one seat on the Commission on the Status of Women and has appointed a representative from the FCO. Secondly, the UK National Machinery for Women is currently located within the Department of Technology and Industry (DTI) which has a woman minister of cabinet rank. The DTI takes the lead on international advocacy on gender, for example at Conferences of the UN Commission on the Status of Women¹⁸. The DTI has a seat and a lead, and it is up to the DTI whether to pull in expertise from DFID¹⁹. DFID has provided significant technical expertise in gender

¹⁴ The grants provided by DFID through Partnership Programme Agreements with NGOs have grown from £54 million in 2001 to £65 million in 2004/05, and grants to other CSOs from £115 million in 2000 to £264 million. The proportion to Gender NGOs/CBOs is not calculated. DFID National Statistics, 2005.

¹⁵ E.g. GAD Network (2003): *Gender equality and mainstreaming in the policy and practice of the UK Department for International Development*. A briefing from the UK Gender & Development Network. And One World Action (2003): *Closing the Gap*.

¹⁶ E.g. the Netherlands, Norad and Sida.

¹⁷ The 1997 White Paper policy commitment to put concerns about gender equality into the mainstream of development has translated into action as shown by the doubling of the proportion of spending aimed at promoting gender equality in the second half of the 1990s, reaching 46 pct of total bilateral commitments in 1998/99 according to the DAC Peer Review. The interpretation on this trend and the policy commitment is contested by different studies. See the study *Gender Analysis of DFID's Portfolio 1995-2005* by Knud Olander et al and in the *Justice and Rights Paper* by Sarah Forti et al of the current evaluation; See also GADN (2003).

¹⁸ Conference of the UN Commission on the Status of Women, February 2006.

¹⁹ In this concrete event DFID's gender advisor in Policy Division has a central coordinating role.

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mainstreaming and women's empowerment at international forums in support of other Whitehall departments over the evaluation decade, and still does so, for example with regard to the MDG related issues of girls' education. With the tendency to draw on external gender specialists and given the shortage of internal gender expertise, DFID cannot sustain across Whitehall influence.

2.25 In contrast to the UK model, other governments (e.g. the Nordic countries) make less of a distinction between aid and foreign affairs and speak with one voice on international gender affairs, according to internal views. If DFID wants influence on the global arena, they need a strategy taking into consideration the UK set-up - and they do not have any. The recently published joint FCO, Treasury and DFID conditionality policy does not contain any reference to gender policy²⁰. Gender lobbyists in the UK are pushing for DFID to play a more proactive role in linking with other government departments to share lessons of gender mainstreaming and women's empowerment work.

2.26 With the current DFID policy of 'more with less'²¹ there is a risk of the organisation becoming self-sufficient and inward looking. This should be contradicted by the harmonisation of donor support in which DFID is a driver in some areas (e.g. joint assistance strategies, PRBS). However, gender mainstreaming in these efforts and harmonisation efforts on GE are still to be seen²².

2.3 Perceptions of DFID strengths and weaknesses

Influencing through multilateral organisations

2.27 The magnitude of British aid itself to multilateral development cooperation gives DFID the big-brother/sister role. DFID's particular influence is mentioned in relation to many multilateral organisations where gender issues are or should be paramount - e.g. UNIFEM, UNICEF, UNFPA, ILO and lately the African Union²³. However, influence in terms of the significant amount of funds that DFID provides for multilateral development assistance does not automatically provide influence in terms of GE contents and results.

²⁰ See DFID, FCO, HMT (2005): *Partnership for poverty reduction: rethinking conditionality*, which emphasises the use of PSIA but is quiet on gender.

²¹ UK government initiative.

²² See Thematic Paper on *Gender and Budget Support* for this evaluation, by Dahl-Oestergaard et al.

²³ Including influence on Security Council Resolution 1325 (2000) on *Women and peace and security*.

Box 1 DFID's work with UNIFEM

In order to make more of its funds for gender focused UN agencies, DFID changed its way of working from a 'hands off' strategy to an active dialogue in the 1990s. The placement of senior staff with a strong gender competence at the British UN mission, UKMIS, became an important vehicle for strengthening UN gender work from 1997 onwards. A first endeavour was to assist UNIFEM to develop a business plan. This was done in cooperation with the Dutch who till then had been in the lead. The Strategy and Business Plan (1998) put UNIFEM as an organisation way ahead and helped them radically to change the way of working. It provided them with credibility, and many donors changed attitude and were attracted. Though still a small organisation, it helped UNIFEM to double in size and to run 15 Regional Offices (no Country Offices (COs)). Since 1995, UNIFEM has also attracted many Trust Funds. DFID is UNIFEM's main donor, contributing 5.3 million US\$ core funding and 1.7 million US\$ cost sharing to UNIFEM's total budget of 49 million US\$ in 2004.

Continued advice by the UKMIS based SDAs, including support to formulation of gender indicators, was provided throughout the period of formulating the first Partnership Agreement between UNIFEM and DFID (ISP 1999). In 2001, an innovative programme on gender, peace and security was funded by DFID, in support of Security Council resolution 1325, with many country based activities in conflict and post conflict areas. In the period leading up to the recent partnership agreement (IS 2005), DFID has supported UNIFEM to strengthen its results-based management framework and its strategic work - in a move away from predominantly project support, - in the areas of violence against women, women in post conflict reconstruction, gender budgeting and promotion of gender perspectives on poverty in the PRSPs. DFID has been consistent with their policies on GE and women's rights, while gender and poverty is an area where DFID has potential to play a greater role according to UNIFEM sources.

Putting GE on the UN reform agenda in its support to UNIFEM, DFID made a clear statement. DFID's significant contributions to the relevance and efficiency of UNIFEM's work took place during the period 1997-2004 when the job of the SDA at the UKMIS had an important role regarding gender in the UN system. Since then the Terms of Reference (TOR) for the UKMIS SDA have changed substantially and the relationship between UNIFEM and DFID has not been systematic over the last couple of years. Voices within and outside DFID express concern about the continued support in general and in critical areas in particular: Will DFID continue to provide a progressive influence on the gender discourse in UNIFEM where conservative member organisations try to keep critical issues such as abortion, sex work and trafficking away from the agenda?

Source: Excerpts from interviews, and UNIFEM Annual Reports

2.28 DFID support from the senior SDA in UKMIS has involved other UN agencies with social and gender mandates, not least UNDP and UNICEF (see section 4.2). However, there is uneasiness amongst some gender advocates that DFID has spent an increasing amount of energy with the IFIs to the detriment of influencing the norm-setting work of UN agencies. In contrast, internal views are expressed that influencing the IFIs, first of all the World Bank, is paramount to ensure that development assistance is to the benefit of women for which the PRS process and promotion of the MDGs is seen as the stepping-stone (see section 4.3).

Issue and sector based influencing

2.29 There is considerable hesitation among internal as well as external respondents to identify sector or issue-based areas of advantage for one agency over the other. Yet, it is recognised that DFID has shown strengths in a number of GE areas over the last 10 years, e.g. in the early period in gender training, unique methodological contributions in gender auditing, at some stage intellectual leadership in gender budgeting discourse, expertise in gender issues in conflict and post conflict situations and fragile states to mention some. Insistence on gender disaggregating data and gender sensitive programme indicators are other areas pointed to as DFID strengths, yet with questions raised about the persistence.

2.30 DFID's current interest in the MDG related gender goals (MDG 3), education and health, is given credit both for global conceptual work and in country based integration efforts into PRSPs; yet the narrow focus on education and health as proxies for GE and rights are questioned by several respondents.

2.31 In parallel with harmonisation of initiatives, several agencies undertake targeted interventions on a trial basis, e.g. Sida has prioritised to focus on women's rights (e.g. land rights) in its cooperation and dialogue with partners in Kenya and on Female Genital Mutilation in Ethiopia, also on a pilot basis. These initiatives intend to help operationalisation of the dialogue tool²⁴, something that the renewed Nordic Gendernet has decided to address in relation to budget support/gender budgeting. With the growing recognition of the risk that gender is 'invisibilised' in budget support it may be anticipated that other agencies with large shares of budget support (e.g. DFID) will support research and development in this area²⁵. 'Dialogue' is gaining renewed attention as a negotiation tool in policy setting in connection with budget support and may be an area for further operationalisation, also for DFID.

2.32 DFID's strengths are emphasised in particular countries, e.g. in India where long-term cooperation has provided substantive lessons. DFID has moved beyond women's micro-finance to wider implications of legal frameworks and social structures on women's participation.

2.33 While DFID's strengths in many GE areas are widely recognised, concerns are also raised that the expertise in particular areas is not sustained - 'DFID does not practice what it preaches'. Research work confirms observations of this evaluation that work on gender equality and women's empowerment in DFID's COs in the South is uneven and varies according to personal commitment of key staff. Gender work is neither institutionalised nor mainstreamed (GAD Network 2003, and One World Action, 2003).

2.34 The scope for division of work between DFID and others on gender issues cannot be determined a priority. In many cases this can best be determined at country level. Within country programmes, sector specialisation can be useful between donors, e.g. on health, education, governance, pro-poor growth, etc. The new aid modalities call for more *joint* initiatives and partnerships between bilateral and multilateral agencies and civil society, with lead and silent partners decided in specific contexts.

²⁴ See Olsson, Jan and L Wohlgemuth (2003): Dialogue in Pursuit of Development. Expert Group on Development Issues, EGDl.

²⁵ See Thematic Paper on Gender and Budget Support for this evaluation, by Dahl-Oestergaard et al.

3 CHANNELS OF INFLUENCE IN MULTILATERAL ORGANISATIONS

3.1 This chapter focuses on DFID's effort to influence GE goals through its collaboration with seven multilateral organisations. The focus is on the recent past given that the process of entering into institutionalised partnerships only started in 1999. The different channels of influence which are analysed are DFID's institutional strategies with the seven organisations, core and non-core funding, secondments and board memberships.

3.1 Institutional strategies

The purpose and process of institutional strategies

3.2 DFID has set out a framework for its corporate engagement with multilateral organisations. For this purpose, a concept of institutional strategies has been developed. So far, 12 agencies - covered by the Service Delivery Agreement (SDA) have entered into Partnership Agreements with DFID, formalised in what was formerly called Institutional Strategy Papers (ISP), now Institutional Strategies (IS)²⁶.

3.3 According to the latest guidance note on IS, the purpose is 'to set out a framework for DFID's corporate engagement with an individual multilateral agency'²⁷. Moreover, the IS should identify the agency's role in the international system, specify a number of key objectives of the collaboration, indicate the envisaged financial support and provide a monitoring and review framework for assessing the IS.

3.4 In the process of developing the strategy, joint (i.e. with the respective organisation) objective-setting and mutual benefit is emphasised. The IS should focus on mutually agreed objectives of strategic importance and, importantly, form part of DFID's 'strategic influencing' framework. They reflect where the organisation fits into the international system, including its niche role²⁸.

3.5 A recent discussion in DFID's Development Committee highlighted the needs for change in DFID's approach to ISs²⁹. The discussion confirmed that more should be done to forge closer working relationships between the International Division and the regional divisions in order to ensure that all units, including COs, deliver the entire corporate agenda when collaborating with the various multilateral agencies. In particular, 'the IS should go further on how CO engagement with a particular agency can be used to monitor performance and influence changed behaviour (both 'if' and 'how')'³⁰. Further, guidance on the integration of the multilateral effectiveness funding framework (MEFF) into IS is being developed. In particular, these will address how the three MEFF focus areas (i.e. internal performance, country level results and partnerships) are to be integrated with the IS strategic focus.

²⁶ UNDP, UNICEF, UNFPA, WHO, EBRD, World Bank, Asian Development Bank, African Development Bank, ICRC, FAO, UNHCR and UNESCO. In total, more than 20 institutional strategies exist.

²⁷ Institutional Strategy Guidance, Draft December 2005, DFID.

²⁸ Ibid. p.8.

²⁹ Minutes of Development Committee meeting held on 26 April 2005.

³⁰ Ibid., sec. 4.

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3.6 The decision whether a multilateral institution requires an IS is taken by the head of the department which is responsible for collaborating and monitoring the performance of the agency and corporate senior management. Where organisations have 'a strong board with a clear role in strategy and monitoring' it may not be required to develop an institutional strategy. The process of developing the IS is envisaged as a widely, consultative process within DFID and with the partner agency, relevant Whitehall Departments and other relevant stakeholders. ISs may also be developed as joint institutional strategies with other donors. As a general rule, it is recommended that the IS have a maximum of 5-10 objectives. The internal DFID division of responsibility, including preparation and approval process of the IS, is clearly stated in the Institutional Strategy Guidance³¹.

3.7 In the discussion of the possibility of including a GE objective of the ISs, DFID staff expressed a general fear that a GE focus in the IS can only be realised at the expense of something else, i.e. a zero sum game. Hence, GE is considered an additional dimension that necessarily will squeeze out other important objectives. Hence, it was not seen as an issue that could be easily mainstreamed into existing objectives reflected in the ISs.

3.2 GE goals in seven institutional strategies³²

3.8 The seven multilateral organisations have been selected for this thematic paper based on the variation in size, mandate, DFID contributions and gender focus of the organisation³³.

3.9 Based on a brief analysis of the seven institutional strategies, the three organisations that stand out vis-à-vis focusing on gender are UNIFEM, UNHCR and UNICEF. These three organisations also share a rather narrow mandate compared to the other four (AsDB, EC, World Bank and UNDP), which have broader sustainable development and poverty eradication mandates.

3.10 Briefly, UNIFEM plays an innovative and catalytic role concerning the involvement of women and focus on gender within and through the UN system, and the organisation claims to have engendered forty UN Common Country Assessments (CCAs), and United Nations Development Assistance Framework (UNDAF) in the period 1999-2003³⁴. One of the 'strategies' mentioned for cooperation with UNHCR is that UNHCR should ensure a 'Continued effort towards mainstreaming of gender equality'. Likewise, UNHCR should also consider 'the particular role and needs of refugee women' in building on the potential contribution of the different types of refugees'. The UNICEF IS stresses gender at several places in relation to education, and emphasises the importance of UNICEF in relation to MDG 3.

3.11 In contrast, in the IS with the World Bank (2004), the EC (2001 and 2005), UNDP (2004) and AsDB (2000) there is no discussion or objective related to GE goals.

³¹ See Annex D of the Guidance document. See footnote no. 26.

³² UNDP 2004, UNIFEM 1999 and 2005, UNICEF 2000, UNHCR 2002, AsDB 2000, World Bank 2000 and 2004 and EC 2001 and 2005.

³³ The TSP (2000): Poverty elimination and the empowerment of women, emphasise the European Union, UN system, and the World Bank and other IFIs specifically in connection with 'Commitment to stronger collaboration and co-ordination for the achievement of gender equality goals among donors' (p. 31).

³⁴ UNIFEM IS 2005.

3.12 An example illustrates the absence of a reference to gender. In DFID's IS with the World Bank, one of the key objectives (5c) is 'to support and monitor the Bank's participation in the development of good-practice Poverty and Social Impact Analysis (PSIA), and ensure that these are used to inform the choice and formulation of any reforms recommended, or conditionality imposed, by the Bank, where significant distributional impacts are likely'. The IS also highlights the important contribution that the Bank makes to fighting HIV/AIDS. However, there is no mention or reference to the linkage between gender and poverty in the coverage of DFID's support to PSIA or in the mention of DFID's support to the fight against HIV/AIDS, irrespective of that the Bank's PSIA tool covers gender in the social analysis chapter.

3.13 In March 2003, DFID's Development Committee discussed gender as the main point on the agenda. The minutes of the meeting reflects a mainly bilateral focus with no discussion on the use of multilateral organisations in the effort to promote GE goals. However, in January 2005 the Committee recommended 'Rebuilding or strengthening links with key international and regional organisations to create and use opportunities for influence on GE and building on comparative advantages of other organisations'.

3.3 Funding

3.14 Core funding to multilateral organisations is often defined as being provided with no strings attached. While for some donors this may be true, DFID sees it differently. The justification of spending time on developing and following up on ISs is exactly that it provides direction or 'strings' in overall collaboration with the organisation. Core funding also gives access to participating at the boards of the organisations. A high level of core funding may also serve as leverage in the overall dialogue with the organisations.

3.15 In contrast, non-core funding is defined as earmarked for a more or less well-defined purpose (i.e. projects, programme, trust fund, etc.). For example, non-core could be aimed at specifically supporting gender-related activities directly or indirectly through support to e.g. primary education activities.

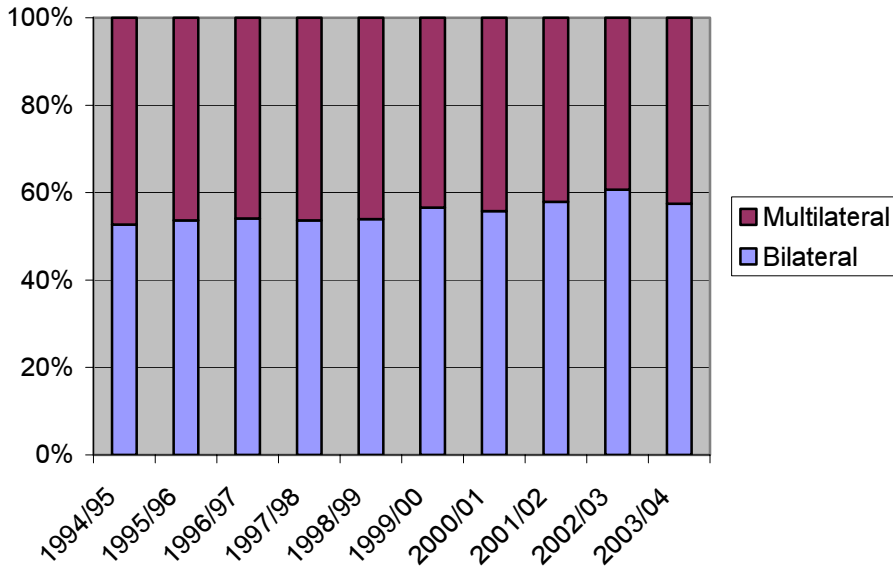
3.16 DFID provides a higher share of its development assistance through multilateral organisations in comparison with the DAC and the EU average³⁵.

3.17 DFID's multilateral assistance has fallen slightly over the last ten years as a percentage of total development assistance (see Chart 3-1). However, with the increase in DFID's development aid over the past five years, the total amount of funds channelled to multilateral organisations have increased. In 2004-05, it reached a peak of £1,504 million, equivalent of 39% of DFID's development assistance.

³⁵ OCED(2005): Statistical Annex of the 2005 Development Cooperation Report.

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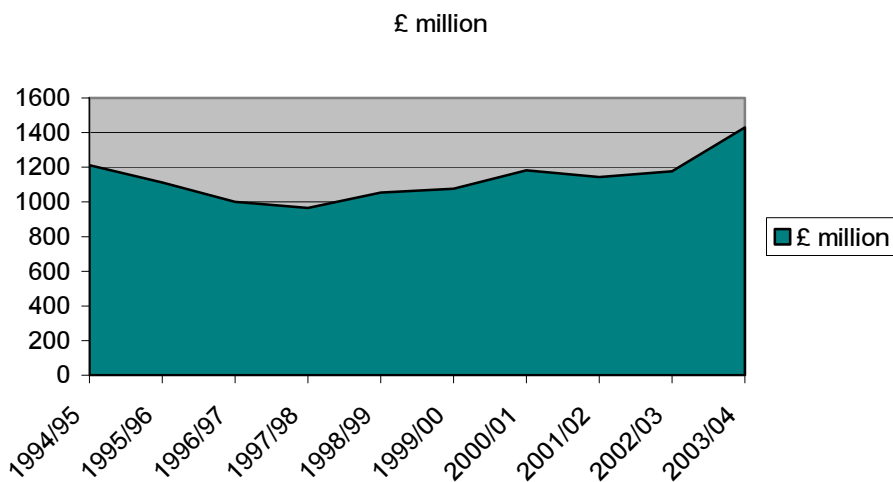
Chart 3-1 DFID bilateral and multilateral assistance as a percentage of DFID total development assistance 1994/95- 2003/04 (constant 2003/04 prices)



Source: Statistics on International Development 2005.

3.18 Hence, even if multilateral assistance has not maintained its relative share of total DFID development assistance, it has increased significantly (in constant prices). When analysing the last decade, the period from 1994-95 until 1997-98 is characterised by a fall in multilateral funding. This fall was stopped in the late 1990s and since then a steady increase has followed (see Chart 3-2).

Chart 3-2 DFID multilateral assistance 1994/95 - 2003/04 (constant prices, £ million)



Source: Statistics on International Development 2005.

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3.19 In 2004-05 the European Community's Development Programme received the largest amount (£898m.), followed by the World Bank (£206m.) and the United Nations system (£194m.).

3.20 In 2004, DFID was among the top-3 donors to the UN funds and programmes while among top-10 in the other four organisations (see Table 3-1).

Table 3-1 *DFID rank among donors (based on total contributions to the organisations/ stakeholder share) in 2004*

Organisation	UNDP	UNIFEM	UNICEF	ADB	World Bank	UNHCR	EC
Rank	1	1	2	7	4	7	3

Sources: UNDP Annual Report 2004; UNIFEM Annual Report 2004; UNICEF Annual Report 2004; Asian Development Bank Annual Report 2004; DFID World Bank ISP 2004; UNHCR Donor Relations and Resource Mobilisation Services 2005; OECD/DAC Statistical Annex of the 2005 Development Cooperation Report

3.21 The rank itself does not tell whether and how DFID has utilised its position to influence the partner organisation in general and on gender policy in particular, but does beg the question whether DFID seeks to use its influence commensurately with its overall profile.

3.22 The figures in Table 3-2 reflect DFID's core and non-core contribution to the seven multilateral organisations. However, these figures do not include bilateral funding to the multilaterals. For example, as indicated in the table, DFID gave £43 million to UNDP in multilateral aid in 2003/04 (Table 3-2). But in addition, DFID also provided £57 million bilateral aid to UNDP³⁶.

Table 3-2 *DFID's Multilateral Contributions (£ thousand)*³⁷

	UNDP	UNIFEM	UNICEF	ADB*	World Bank**	UNHCR	EC ***
2000/01	41,918	N/A	2,619	26,221	242,965	9,467	708,215
2001/02	39,826	N/A	17,500	27,731	219,616	14,273	729,755
2002/03	44,934	N/A	17,366	27,194	221,939	14,432	870,729
2003/04	42,791	3,925****	17,303	24,871	382,594	14,484	1,031,394
2004/05	43,039	N/A	19,771	22,553	206,455	19,916	898,239

Source: DFID (2005): Statistics on International Development 2000/01-2004/05. *Asian Development Bank and Asian Development Fund. **Total World Bank Group. ***DFID programme funds only. ****UNIFEM Annual Report 2004 (amount converted to £ from US\$6918).

³⁶ National Audit Office (2005): *Engaging with Multilaterals*, p. 13.

³⁷ The Evaluation Team has found inconsistencies between the DFID (2005) Statistics on International Development, the OECD/DAC Statistical Annex of 2005 DCR, and the Annual Reports of the organisations.

Channels of Influence in Multilateral Organisations

3.23 As mentioned previously, the study has experienced difficulties in obtaining complete statistical data. For example, it has not been possible to generate data that separate core, non-core and trust fund contributions by the seven agencies and over a 10-year period. The managerial and accounting consequence of this statistical shortcoming is addressed in a recent report by the National Audit Office concerning DFID's engagement with the multilaterals. The report emphasises that 'it [...] means that DFID may not exploit the full power of its total contribution to each multilateral. And funding decisions may not be in the context of DFID's overall portfolio, and as a result are often considered in a piecemeal way'.

3.24 While DFID staff indicated that the Department is principally against earmarking of funds, DFID has been a significant donor to, for example, World Bank trust funds and UNDP non-core funds. In the World Bank, DFID has funded approximately 150 trust funds, but none directly focusing on gender and in UNDP DFID is also one of the largest providers of non-core funding to selected projects, programmes, trust funds, etc. The study team has found no evidence that specific gender-related activities were supported under World Bank or UNDP non-core funding.

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

3.4 Secondments

3.26 According to DFID staff, currently no clear policy exists on secondments. In fact, evidence from interviews with staff suggests that secondments are used in an ad hoc, non-strategic manner based on personal interests or individual needs of staff members. This impression from staff is confirmed by DFID's Development Committee which in a discussion on how to get the best out of multilateral partners noted that 'Secondments and trust funds are currently decentralised and not strategically aligned [...] Secondments can be a useful instrument for engineering change. It is important that DFID captures the knowledge and experience of returned secondees in their next posts but balance this against too rigid a system for managing secondees (and their return to DFID)³⁸'.

3.27 This is contrasted to the latter part of the 1990s where DFID staff stress that the former Social Development Department had a strategy of seconding SDAs to the EC and the UN. In the latter case, in 1997 it was decided that it would be more strategic to place a senior SDA in UK Mission in New York to support and strengthen social and GE policies and strategies among key UN institutions including UNICEF, UNDP and UNIFEM (See Section 2.3) as well as working with Whitehall partners, especially the FCO.

³⁸ Minutes of DC meeting held on 26 April 2005. It should be noted that secondments are in fact covered by the December 2005 draft of the Institutional Strategy Guidance which also considers secondments as an option in the processes of developing the institutional strategy (sec. 27 and 36).

Channels of Influence in Multilateral Organisations

3.28 Table 3-3 illustrates to which types of position DFID staff have been seconded to the EC, the World Bank and UNDP³⁹. The table illustrates all types of secondments to the organisations from 1999 onwards. There were no secondments directly to UNICEF, UNIFEM, UNHCR and ADB in the same period, but SDAs placed at the UKMIS cooperated with the UN organisations on social and gender issues (see Section 2.3).

3.29 Clearly, higher administrative positions (often managerial positions) are among the jobs that most seconded staff have occupied. Also, specialists in health, education and HIV/AIDS are frequent among the seconded staff. It is important to note that social development positions are not used very often for secondments. In fact, there are only two social development secondments (in the A2 and A3 category). As this is indeed the category where staff with specific GE competencies is likely to be required, gender seems not to have been a priority area for secondments. It is likely that the two 'poverty advisers' were SDAs with GE competencies. DFID staff stress that there were a number of senior SDAs seconded to EC and UNDP COs from 1995 onwards.

Table 3-3 Overview of outward secondments to EU/EC, the World Bank and UNDP (1999-2005)

Staff category and Grade/Area of employment	G5 (managers)	A1 (grade 6 and senior advisers)	A2 (grade 7 advisers)	A3 (senior executive officers)	B1 (higher executive officers - fast track grad.)	Total
Admin	1	7	4		4	16
Health, HIV/AIDS, education		1	7	1		9
Energy, infrastructure, nat. res., rural livelihoods		3	3	1		7
Economist / stats		1	6		2	9
Poverty		1	1			2
Governance			2			2
Social development			1	1		2

Source: Outward Secondments, DFID, 2006.

3.30 As indicated by members of the Development Committee, secondments in the area of social development could be used in a more strategic manner. However, secondments now count towards 'head count' for Division Directors⁴⁰. This may alter the nature of the decision making process around them and making them a more scarce resource.

³⁹ Covers DFID staff who has received their salary, pension and benefits from DFID.

⁴⁰ Secondments are counted as a part of a division's total number of staff. As a result of the UK government initiative 'do more with less' the number of secondments may decrease.

Channels of Influence in Multilateral Organisations

3.5 Board membership

3.31 A channel of formal influencing of the multilateral organisations is through the Board of the respective organisation. The final endorsement of agency strategies and policies take place at board level, and strategy, focus and future priorities are set at board level. Membership of the boards of multilateral organisations is therefore an important dimension in order to ensure that GE is in the strategy/focus/priorities of the organisation.

3.32 In some organisations like the World Bank, DFID holds a permanent membership, while in the boards of the UN funds and programmes, membership is assigned on a rotating basis. However, in periods with no representation, non-representatives are still given a chance to present their viewpoints, and there is a tradition among the members to consult with non-representatives prior to the casting of votes.

3.33 Evidence from interviews indicates that DFID is critically aware of the importance of these formal influencing mechanisms, but that the strategic use in support of GE varies greatly from organisation to organisation. In UNICEF, gender mainstreaming has been high on the agenda of the Executive Board in 2005, while there was no evidence in minutes from World Bank board meetings in 2005 of gender issues having been discussed. Minutes from earlier years have not been scrutinized.

3.34 Evidence from DFID and organisation staff indicates that joint bilateral partnerships with multilateral organisations may become an increasingly important aspect of influencing and dialogue. With the increased focus on donor harmonisation, like-minded donors form alliances to seek influencing through common objectives. In fact, in the case of UNICEF, DFID is pursuing this approach strategically together with two bilateral donors in support of GE (see section 4.2).

3.35 Several respondents from DFID and the multilateral organisations underscored the importance of influencing at the decentralised/country level as well as informal influencing through networks and connections in the organisation. While the exact impact of these activities is difficult to quantify, they are not unimportant and are addressed in the country case study reports for this evaluation.

3.36 In conclusion, DFID has not generally used the institutional strategies to address GE. In fact, gender is only addressed in those cases when the organisations already focus on gender issues. The gender discussion in the Development Committee in 2003 reinforces the impression of an apparent lack of focus on the missed strategic opportunity to influence multilateral organisations - through institutional strategies - in order to promote GE goals.

3.37 In DFID's 'profile' of influencing, the potentially most important channel is the significant level of core funding to several multilateral organisations. This financially privileged position is not used as a platform for engaging substantially with organisations on GE goals. However, it has coincided with UKMIS' influencing gender strategies in UN partner organisations through senior SDAs between 1997 and 2004. While the statistical basis for drawing conclusions on the different types of funding is lacking, influencing through non-core funding does not appear to have been used as a way of promoting GE goals in the organisations assessed. Similarly, while several staff has been seconded to the World Bank and the EC, few have had gender mandates.

4 ASSESSMENT OF THREE MULTILATERAL PARTNERSHIPS

4.1 A sample of three partnerships has been selected in order to assess the GE aspects and content of these partnerships. The organisations selected are the European Commission, UNICEF and the World Bank. These organisations were selected based on their varied emphasis on gender, e.g. in UNICEF GE related issues are core priorities in the focus of the organisation, while in the EC and the World Bank GE is part of the general linkage between gender and poverty.

4.2 This section is primarily based on analysis of the institutional strategies of the organisations and interviews with key staff in the organisations, DFID staff and other relevant development practitioners. As the first ISs were developed in 1999, the analysis is concerned with the period 2000-2006.

4.1 European Commission

Background and trends

4.3 The European Commission (EC) was the second largest distributor of ODA in 2004. The EC works in most sectors but with an emphasis on social infrastructure and services (37% of the ODA budget). DFID contributes 17.5% to the EC budget and 12.7% to the EDF⁴¹. DFID is thus the largest contributor to EC Aid next after Germany.

4.4 The Council of the European Union has committed the European Community 'to support the mainstreaming of gender analysis in all areas of development cooperation...⁴².' DG Development is responsible for developing the strategy, policy formulation and programming of gender related activities. However, in practice EC has only a limited focus on gender within development assistance. There is at present no full time gender adviser in DG Development. The latest four advisers were all seconded and funded from Sida, and following Sida's decision to terminate this support, no funds for replacements have yet been allocated. The current portfolio holder has gender as one of several topics in the portfolio, and has only limited gender experience. A thematic evaluation of the integration of gender in EC development from 2003 found that the '...1998 and 2001 policy commitments on gender in EC development cooperation...constitute a sound basis for the integration of gender', but the policies have not yet been made operational and the funds made available to support the integration of gender in EC development cooperation have been halved since 1998⁴³. This is also highlighted by an EC review in 2001, which found that the concept of gender mainstreaming is hardly present in 40 analysed EC Country Strategy Papers⁴⁴.

⁴¹ The lower share for the EDF was a result of previous negotiations. The contribution to the EC comprised a total of 22% of DFID's budget in 2004. DFID (n.d.): *EC Aid - Key Facts*.

⁴² Council Regulation (EC) No. 2836/98.

⁴³ EC (2003): *Thematic Evaluation of the Integration of Gender in EC Development Co-operation with Third Countries*, p III and IV.

⁴⁴ Approdev and One World Action (2002): *Everywhere and Nowhere: Assessing Gender Mainstreaming in European Community Development Cooperation*.

Assessment of Three Multilateral Partnerships

GE focus of the Institutional Strategy

4.5 DFID published the first IS for cooperation with the EC in 2001. The focus was particularly on trade, environment and humanitarian assistance. In the latest IS (2005) the emphasis has changed more towards policy and internal performance. Key focus areas of the 2005 IS are: i) ensuring a policy framework which promotes poverty reduction; ii) effective structures and systems for managing aid; iii) encouraging that more finances go to the poorest countries and those in need.

4.6 Poverty reduction is emphasised in both the 2001 and 2005 IS with the MDGs more at the forefront in the latest version of the strategy. In the 2001 IS, DFID stresses the need for the establishment of poverty focused allocation criteria, while the 2005 IS stresses that the EC must apply development practices, 'Making sure its aid..... responds to the needs of recipients, and improves the lives of the poor⁴⁵.'

4.7 Issues related to GE are, however, not mainstreamed and hardly mentioned in neither the 2001 or the 2005 IS. Other cross-cutting issues like environment have been mainstreamed and is emphasised as a priority area in the 2001 IS, but gender is only mentioned once⁴⁶. Both documents have several references to 'poor people', but no differentiation between men and women.

4.8 In DFID's Efficiency Technical Notes, there is concern that there is '...no clear consensus among member states over poverty focus or development objectives.' DFID insists that the EC focuses on 'poverty-efficient' allocations, i.e. more people are lifted out of poverty for the same amount of money, if resource transfers are directed towards the poorest countries. This recognition is important but noticeable is the absence of GE objectives in the document and directions on the inter-linkage between gender and poverty⁴⁷.

EC perception of DFID and GE

4.9 Among the EC staff interviewed, DFID is seen as an active and efficient partner. DFID is seen as engaged in gender related issues such as population, reproductive health and education. It was acknowledged that DFID invested time and resources in following through on the International Conference on Population and Development (ICPD) in particular in relation to reproductive health and girls' education.

4.10 DFID is particularly recognised for having been at the forefront of gender issues under former Secretary of State for International Development. Likewise, DFID contributed to closing the 'decency gap' after the shortfall of funds to reproductive health following the new US Government's reduction of donor support to family planning. DFID was seen as very vocal against this change of US policy and closely aligned with the EC position.

⁴⁵ 2005 IS, p. 8.

⁴⁶ Ibid., p. 7.

⁴⁷ DFID (n.d.): Efficiency Technical Notes.

DFID's GE influencing of the EC

4.11 The cooperation with the EC is not strong on either gender or gender related issues such as reproductive health and education. However, one positive example highlighted was DFID's indication to the EC that the Commission needed to enhance the focus on reproductive health. The EC has subsequently enhanced its focus but as one of the interviewees stresses '...is likely to have done so anyhow'.

4.12 There is an impression among EC staff that DFID is not always fully cooperative on GE preferring to work in its own way rather than give work with inputs to EC GE work. An example is the EC established small informal gender secretariat, where the committed and like-minded EU donors discuss gender proposals in the making. DFID has declined to participate in the group. At the same time, DFID highlights the influence the organisation has had on different occasions, e.g. securing the position of a gender adviser in DG Development, even though this position was funded by Sida. Also, during the recent UK Presidency, DFID was able to strengthen the language on GE within the new Development Policy Statement and in the new EU Africa Strategy (though less so). However, this was a result of NGO lobbying.

4.13 DFID has not made strategic use of secondments to the EC within GE. Since 2001, DFID has seconded 22 staff to the EC. Of these only two were in the field of social development. One of these is, among others, working on population issues in DG Development.

4.14 The current vacuum of gender advisers in the EC provides DFID with an opportunity to step in and influence this area more actively. Any support must, however, be carefully considered to take into account the need for the EC to show commitment to GE and thus allocating funds for a permanent gender adviser or unit. On the other hand, DFID has exerted limited influence on the EC in the past, and secondments may be an effective vehicle for changing this pattern, and a step in establishing '.... a properly resourced and mandated network of key contacts...' as expressed in the Development Committee⁴⁸.

4.15 The EC has a clear formal commitment to gender mainstreaming but the gap between policy and practice leaves room for DFID to intervene in support of GE. The 1997 Amsterdam Treaty identified gender mainstreaming as a general competence of the European Union. But 'this commitment has gone further on paper than in practice⁴⁹.' The EC mandate on gender is clear but the limited commitment in both programme and organisational structure indicates a need to influence the organisation to move more towards GE. The current 2005 IS leaves DFID with no mandate to pursue such an agenda, and a revision should be considered to keep the EC bound to its commitments to gender mainstreaming. There is scope for mutual learning since the EC after all has undertaken innovative initiatives from which DFID (and other members) may learn (e.g. the EC Gender Manual and the Gender Help Desk system).

⁴⁸ See also DC Minutes 26 September 2002 on influencing.

⁴⁹ Approdev and One World Action (2002): *Assessing Gender Mainstreaming in EC Development Cooperation*, p. 4, and EC (2003): *Thematic Evaluation of the Integration of Gender in EC Development Co-operation with Third Countries*.

4.2 UNICEF

Background and trends

4.16 UNICEF is the prime protector of the 1989 Convention on the Rights of the Child, and has chosen to narrow its focus in particular on girls' education; immunization; child protection; HIV/AIDS; and early childhood assistance. Total donor contributions to UNICEF in 2004 amounted to US\$ 1,978 million⁵⁰. In 2004 DFID was the second largest bilateral contributor of core and non-core resources (\$188 million⁵¹) slightly after USA.

4.17 UNICEF closed down their gender unit in 1997, but has now established a gender and human rights section. With the renewed emphasis on MDGs UNICEF has a key mandate in supporting gender related issues, in particular girls' education and maternal health.

4.18 The UNICEF Executive Board is the governing body of the organisation. It is responsible for providing intergovernmental support to and supervision of the activities of UNICEF. The Board reports to the Economic and Social Council (ECOSOC). During the last ten years DFID has been Executive Board member for six of the ten years from 1998-2000 and from 2003-2005, in keeping with the internationally agreed rotation system. When not represented at the Board, DFID works with other like-minded donors to develop consensus in support of changes. The Board meets three times a year and the UK input is taken very seriously, regardless of whether UK is on the board at the time or not.

4.19 Another important channel of influencing is the bilateral annual consultations or renewal process, where DFID emphasises priorities and discusses the future funding of UNICEF. Finally, there is an ongoing decentralised dialogue between DFID COs and the local UNICEF offices.

GE focus of the institutional strategy

4.20 The only available institutional strategy with UNICEF was developed in 2000 and covers the period 2000-2004. In the strategy, DFID's cooperation with UNICEF is said to be aligned with the UNICEF Medium-Term Programme, which focuses on GE as a specific objective as well as a range of other objectives supporting GE such as HIV/AIDS and girls' education.

4.21 Gender is mentioned at several relevant places in the IS, but primarily related to education. Gender in UNICEF priority areas such as HIV/AIDS and water are not mentioned specifically in the IS. The strategy stresses that UNICEF is an important MDG partner in relation to GE and girls' education, thus bringing GE to the forefront of the cooperation.

4.22 The 2000 IS is about to be replaced by a new Joint Institutional Approach (with Sida and CIDA) to cover the period 2006-09. The renewal of the IS was delayed in order to dovetail with the timing of UNICEF's own medium-term strategic plan (06-09). Parts of the outdated IS 2000 remain operational, e.g. humanitarian capacity building. A number of donors, including DFID and

⁵⁰ Regular as well as other contributions, UNICEF (2005): *Annual Report*, p. 43.

⁵¹ Figure from UNICEF Annual Report 2005, p.35.

CIDA have been very critical of how GE and gender mainstreaming has been presented for the next UNICEF medium-term strategy plan. They emphasise the need to show results and outcomes.

UNICEF's perception of DFID and GE

4.23 DFID is a major contributor donor to the UN and is well-known for being rigorous in terms of the use of aid and the necessity of tangible results. The Department's focus on capacity building is seen as a constructive means of securing long-term sustainability of the interventions. However, DFID is seen by respondents from UNICEF as having too short planning cycles, focusing more on immediate results rather than on UNICEF's long-term engagement with counterparts.

4.24 DFID is perceived by UNICEF as a strong partner within the area of rule-of-law, emergencies and human rights, but is not perceived to be a leader within gender as it used to be. DFID is strong in support to capacity building for disaster preparedness, humanitarian response and rights based approach to development. But the way human rights is understood and translated in DFID's country programmes is criticised for ignoring GE. Voices from within UNICEF are also critical of their own work in GE and emergencies, where protection from sexual abuse has not been sufficiently reflected in capacity building in emergencies. DFID's work with UNIFEM is seen as important in terms of interagency advocacy, though the view on the role and effectiveness of UNIFEM differs among the interviewees in UNICEF. It is felt that DFID in principle has the capacity to drive the debate on GE overall, especially in UNICEF, and in the UN Girls' Education Initiative, in particular. Girls' education is a flagship, and it is felt that the tools and checklists developed by DFID to look at gender in education programming could be used elsewhere. DFID is well placed to demand results in GE in the capacity building area. In management and monitoring, - the accountability mechanisms - DFID should now make the production of GE results a priority but with consideration to UNICEF's longer term perspective.

DFID's GE influencing of UNICEF

4.25 DFID sees itself as a key player that pushes UNICEF forward. Support to UNICEF in the past has focused on human rights, disaster and education, and a rights-based approach has been the entry-point. Given that a rights based approach is a key aspect of UNICEF's focus, this also includes gender rights.

4.26 A critical episode in the work with UNICEF was DFID's inputs to the preparation of the new UNICEF Medium-Term Strategic Plan 2006-2009 (MTSP). DFID was one of a few key donors to informally comment on the MTSP prior to the presentation at the Executive Board. The UK position included many aspects of UNICEF's work, and as in relation to gender it argued for more effective mainstreaming of GE and the rights base approach across UNICEF's programme (including child health and development, maternal health, girls' education, child protection, HIV/AIDS and emergency response). The new joint IS (see further below) is based on the MTSP.

4.27 DFID's work with UNICEF has in particular focused on the inclusion of cross-cutting issues in its capacity-building efforts, with an emphasis on gender, e.g. in the rights based approach to

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programming, emergencies, and in girls' education. Following a growing concern over the lack of gender mainstreaming in emergency situations, DFID has supported two gender related evaluations of UNICEF. One of the evaluations found that UNICEF in their human rights based approach to planning has ignored the importance of gender inequality. This has resulted in the development of strict guidelines for gender mainstreaming in emergencies⁵².

4.28 A 2005 partnership assessment stresses that the relationship with UNICEF is complicated and multifaceted, taking place at many levels⁵³. The assessment showed that DFID is in practice not fully aligned with the IS, and most staff from both UNICEF and DFID '...had not used it to define their engagement'. This may in part be due to the fact that 'The UNICEF ISP was put together by DFID in a piecemeal way, with probably insufficient involvement and consultation with UNICEF...As an instrument though, it has been seen positively and as a good platform, enabling a more coherent relationship...⁵⁴'.

4.29 A first step to improve the cooperation can be seen from the ongoing renewal process with UNICEF together with Sida and CIDA. The Joint Institutional Approach (JIA) means DFID will have dialogue with UNICEF alongside Canada and Sweden. At the same time, DFID is part of the joint Donor Dialogue group for UNICEF which includes 10 donors. The purpose of the JIA at the draft stage is 1) to assist UNICEF to fulfil its core role to protect and promote the rights of the child (this will possibly be reworded to include women given UNICEF's CEDAW obligations) within different settings, including emergencies; 2) to work with UNICEF to improve the quality of its results-base reporting systems and support efforts to use information to strengthen policy, programming and advocacy at all levels; and 3) to assist UNICEF to fulfil its commitments to increase aid effectiveness. It is under the first objective that the JIA will seek to support UNICEF on strengthening its commitment and structures for a rights-based approach to GE. The strategy will be followed by joint annual consultations between all four parties, which will replace the former bilateral negotiations of each partner with UNICEF.

4.30 According to UNCD, one of the purposes of the joint IS partnership is to ensure gender mainstreaming in UNICEF's programme. Together, the three donors wish to hold UNICEF to account on fulfilling its mandate for children and women (under the Convention on the Rights of the Child and CEDAW). They represent the largest contributor to UNICEF, and the funding level is critical for influencing the organisation which other stakeholders are trying to draw towards nutrition and health, rather than focus on the girl child, which is a priority for the trio. The trio, together with UNICEF as the lead, is planning an institutional evaluation of UNICEF from a GE perspective, which should be finalized early 2007. The JIA, with CIDA in the lead, will support this.

4.31 An important influencing mechanism for DFID is the Executive Board. At the UNICEF Executive Board annual session 2004 the Board members stressed the need for more focus on gender mainstreaming in UNICEF in general and in particular in relation to conflict situations, girls' education and HIV/AIDS.

⁵² See UNICEF (2005): Emergency Field Handbook: A guide for UNICEF staff, UNICEF.

⁵³ the PARC (2005): DFID's Development Partnership with UNICEF: Assessing Progress, Defining Challenges and Establishing Future Priorities.

⁵⁴ Ibid, p 17.

4.32 Except for a short gender specific secondment in 2005 for helping UNICEF HQ to prepare and roll out guidance for programming for girls' education, DFID has not since 2001 used secondments to influence UNICEF. And except for the evaluations mentioned above, none of the interviewed could point to DFID funds to UNICEF allocated in support of GE.

4.33 UNICEF is a key organisation in the promotion of GE, and DFID has been active in supporting UNICEF's efforts in this respect. The latest steps towards a multi-donor approach give further emphasis to these efforts. The limited use of secondments and earmarked funds seems justified in a situation where UNICEF is by its own means enhancing the attention to GE, which needs continued monitoring. The JIA will seek to strengthen the relationship between levels of core funding by the three governments to UNICEF and performance on JIA objectives, including GE. This is likely to enhance DFID's leverage.

4.3 World Bank

4.34 The World Bank (the Bank) is one of the largest actors on the development scene providing loans for just over US\$ 20 billion to developing countries in 2004.

4.35 According to the Bank's Operational Policies (2004): 'The Bank's mission is sustainable poverty reduction. Poverty encompasses lack of opportunities (including capabilities), lack of voice and representation, and vulnerability to shocks. The Bank's support for poverty reduction is focused on actions, consistent with its mandate, to increase opportunity, enhance empowerment, and strengthen security. Within this broad framework, a critical priority is promoting broad based growth, given its proven importance in reducing poverty⁵⁵.' The Operational Policy does not include any reference to GE goals.

4.36 The Bank prepared a strategy in 2001 for mainstreaming gender responsive actions into its development assistance work. The strategy was endorsed by the Board of Executive Directors on September 18, 2001, in which the UK holds a seat. The strategy was developed in recognition of the desirability of finding more effective ways to integrate gender-responsive actions into the World Bank's development assistance⁵⁶. The strategy has generally been well accepted but criticized by some for neglecting human rights in favour of economic incentives for promoting GE⁵⁷.

4.37 Britain is the fourth largest shareholder in the Bank together with France (each hold 4.31% of the shares). The largest shareholder is the United States (16.41% of the shares). The five largest shareholders appoint an executive director each while the rest of the remaining 179 member countries (IBRD) are represented by a total of 19 executive directors. The 24 executive directors make up the Board of Directors. DFID's Executive Board membership is the main vehicle for influencing the World Bank's policies.

⁵⁵ World Bank (2004): *The World Bank Operational Manual*. Operational Policies, OP 1.00, p 1.

⁵⁶ World Bank (2002): *Integrating Gender into the World Bank's Work: a Strategy for Action*.

⁵⁷ See Zuckerman, E. and W. Qing (2003): *Reforming the World Bank: Will the New Gender Strategy Make a Difference? A Study With China Case Examples*, the Heinrich Böll Foundation, Washington Office.

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The GE focus of the Institutional Strategy

4.38 DFID published its second IS for the Bank in September 2004. The first IS from March 2000 emphasised the need for reinforcing the Bank's focus on poverty reduction and increasing the emphasis on partnerships with key stakeholders. According to the IS (2000) the UK has been instrumental in persuading the Bank to shift from purely economic issues to take into account social aspects of poverty. The 2000 IS however, also recognised the need for further mainstreaming of poverty into the design and implementation of all projects and programmes.

4.39 An internal DFID review found that the IS 2000 objectives were largely met, in particular the work towards embedding the poverty mission in the Bank's policies and objectives, but less so on the operational side⁵⁸.

4.40 In the 2004 IS, DFID still stresses the need for a poverty focus of the Bank's operations as a means of achieving the MDGs. While poverty is also mentioned, the focus of the IS 2004 has shifted more towards internal effectiveness away from programmatic substance. Poverty reduction is addressed more indirectly through ensuring greater alignment of the Bank's operation with the PRS and scaling up progress towards the MDGs '...putting poor people at the centre of service provision...'⁵⁹ The Poverty and Social Impact Analysis (PSIA), which the Bank has agreed to implement for all Bank adjustment lending operations is mentioned as one of the means to ensure social sustainable operations, but not elaborated in the document. The document makes references to 'poor people', but there is little recognition of the multifaceted aspects of poverty, nor a differentiation between men and women in the document.

4.41 In the first (2004) annual report of the UK's involvement with the World Bank, the need for PSIA is emphasised more strongly⁶⁰. DFID is '... continuing to press the Bank to improve the effectiveness of PSIA methods and our understanding of the lessons being learnt⁶¹.' The emphasis is highlighted in the foreword by the Secretary of State for International Development and followed by a description of three case studies where the PSIA has been used with good result. The Uganda PSIA case study highlights how PSIA in at least one case has helped to identify unequal benefit between men and women from one of the Bank's programmes. The support to improvements and use of PSIA can thus partly be seen as a means to promote GE in the Bank's programmes provided that PSIAs are implemented with a GE perspective. As mentioned previously, this is not reflected in the IS with the Bank.

Perception of DFID and GE

4.42 DFID has a good reputation in the Bank and is quoted to be the most respected partner among the bilateral donors. DFID is believed to provide cutting edge development assistance and is a leader on many fronts. The Department is instrumental in its work, in particular in relation to SWAps, donor harmonisation, and its focus on Africa.

⁵⁸ IS 2004, p 2.

⁵⁹ IS 2004, p 9.

⁶⁰ DFID (2005): *The UK and the World Bank 2004*.

⁶¹ *Ibid.* p 10.

4.43 Currently, DFID is not seen as the strongest advocate on gender. An example given is DFID's work with the OCED/DAC Working Party on Gender which in the past was noted as very positive, but now DFID is viewed as less active in pushing this work forward. The Scandinavians and the Dutch are mentioned as being more supportive and consistent on GE, but 'DFID is also up there, but not to the same extent'. DFID's policies are said to carry a lot of weight also in the area of GE. A leading gender advocate in the Bank expressed a keen interest in having DFID more involved in the GE agenda: 'If DFID takes the lead it will be able to drag other donors along'. Overall, staff interviewed at the World Bank encouraged DFID to get more engaged in GE as this would bring innovation to the field and carry a lot of weight.

4.44 While DFID's work within GE is less outspoken with the Bank, one of the respondents credited DFID with being instrumental in its work of ensuring engendering of the PRSPs.

DFID cooperation with the World Bank

4.45 DFID influences the Bank at many levels from the Board to the CO level. According to the DFID World Bank desk one of DFID's objectives is to make the UK the Bank's 'donor choice' or key partner. As the fourth largest shareholder and permanent Executive Board member, DFID is in a position to influence substantively on Bank policies and operations.

4.46 According to Bank staff, DFID has not been working with the World Bank Headquarters on gender policies over the last decade but this may be changing, as DFID is currently working with the Bank and a few other committed donors on MDG3. To this exercise 'DFID has brought innovation and commitment'. Another recent example of cooperation is for the UN Conference on the Status of Women in February 2006 where DFID and the Bank are actively involved in the preparatory process and have ensured a high-level representation. This is the first time such cooperation has materialized and it is characterized by Bank staff as 'very important'.

4.47 In the past, DFID has supported the implementation of eight pilot PSIA assessments. The intention was to hold the Bank accountable to its commitments to undertake social impact assessments of its reform programmes⁶². DFID has pressurized the Bank to implement these in all World Bank programmes, and according to DFID the Bank has come some way in this process. But according to the World Bank desk at DFID, there is still not enough evidence of World Bank non-income related poverty impact analyses. As mentioned above, the PSIA work could potentially promote the importance of gender sensitivity and awareness. But neither the Bank nor DFID has picked up on this opportunity.

4.48 Other means of influencing seem less strategic. DFID has since 1997 established approximately 150 trust funds with the Bank. Based on the titles of the funds, none of them seem to directly relate to women's empowerment or gender. When it comes to secondments, the World Bank desk at DFID stated that no strategic secondments were made with the Bank. None the less, since 2001 a total of 23 DFID staff has been seconded to various sectors of the Bank. Two persons have worked directly with poverty analysis. In the last 10 years, there have not been any secondments to the World Bank gender anchor.

⁶² World Bank (2005): *Tools for Institutional, Political & Social Analysis (TIPS) : sourcebook for PSIA*.

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4.49 The World Bank has not been DFID's first choice for supporting GE. The mandate of the Bank is very broad and the activities supported vary greatly. While the Bank has dedicated gender advisers and is active within gender, issues pertaining to GE do not seem to be a high priority at senior management level. In none of the World Bank Board minutes during 2005 was the issue of gender equality or women's empowerment reflected. The DFID World Bank desk could not recall DFID having brought up GE at any point with senior management in the Bank. Furthermore, strategic issues identified in the IS relate more to organisational alignment and reform than to programmatic substance. In stressing the IS 2004 issues, inclusion of GE priorities in relation to MDG and PRS alignment could, however, serve as entry points.

5 CONCLUSIONS, LESSONS AND RECOMMENDATION

5.1 Conclusions

5.1 The analysis of selected institutional strategies and partnerships between DFID and three multilaterals (EC, UNICEF and World Bank), shows that DFID has provided important contributions and leadership to the gender equality and women's empowerment efforts at international level over the past 10 years. This view is widely shared by partners of bilateral and multilateral agencies as well as NGOs. While there is considerable hesitation to identify sector or issue-based areas of advantage for one agency over the other, it is recognised that DFID at different moments and forums has shown strengths in negotiating gender agendas, in methodological contributions to participatory poverty assessments, girls' education and reproductive health and rights, development of poverty and gender analysis tools and gender training, intellectual leadership in gender budgeting discourse, expertise in gender issues in emergencies, conflict and post conflict situations and fragile states to mention some.

5.2 However, it is repeatedly emphasised that DFID has lost momentum in gender leadership. After the Beijing Conference (1995) and the publication of the Department's gender strategy (2000), the impression of dilution stands out among partners, though senior social development advisors placed at UKMIS continued to work closely with UN norm setting agencies in gender policy (UNIFEM and UNICEF). The scene was increasingly taken by more proactive GE advocates such as the Netherlands, the Nordic donors and Canadian CIDA with whom DFID sometimes cooperated and continues to establish joint institutional agreements.

5.3 The impression of decreasing attention to gender equality and women's empowerment is supported by the assessment of DFID's current effort in promoting GE through the different mechanisms of influencing the multilateral organisations: core and non-core funding, secondments and board memberships.

5.4 With 39-46% (over the period 1995-2005) of DFID's annual development assistance going through the multilateral channel, the Department is well above OECD / DAC and EU average. As a result, DFID is among the top donors in many multilateral agencies. Yet influencing GE goals through core or non-core funding does not appear to be systematically used in the organisations assessed. DFID staff is continuously being seconded to multilateral organisations, but with the exception of senior SDAs with a gender mandate at the UKMIS, 1997-2004 secondments tend to be ad hoc and have gender mandates. DFID's Board memberships in multilateral agencies provide an opportunity to influence the agenda but are not seen to be proactively used to bring up gender equality and women's empowerment issues where these would be relevant, to go by minutes of board meetings.

5.5 DFID is generally a leader in influencing the overall policies of the agenda setting UN organisations and the IFIs. In the area of GE policies and strategies, DFID's contributions have been significant in certain periods but opportunities have not been fully exploited, e.g. for influencing awareness of causal links between poverty reduction, gender equality and women's empowerment and operationalisation of these in programming, implementation and monitoring of results.

Conclusions, Lessons and Recommendations

5.6 While GE is indeed present in DFID's Institutional Strategies for partnership with multilateral organisations in which gender perspectives are key (UNIFEM, UNICEF, UNHCR), it is absent in the partnership agreements with the major development agencies assessed which have broad poverty alleviation mandates (the European Commission, the World Bank, Asian Development Bank and UNDP).

5.7 UNICEF is a key organisation in the promotion of women's rights and rights based approach, and DFID has been active in supporting UNICEF's own efforts in this respect. The latest steps towards a multi-donor institutional strategy give further emphasis to these efforts. The limited use of secondments and non-core funding seem justified in a situation where UNICEF through its own efforts focus on GE, but continuous monitoring is required.

5.8 The analysis of the DFID-EC relationship reveals that the EC has a clear, formal commitment to gender mainstreaming, but as other evaluations confirm the limited action in practice and weak institutionalisation leaves room for DFID to influence the EC for more support to GE⁶³.

5.9 The World Bank also offers potential for GE promotion through its wide-ranging organisational structure and its key role in the international aid architecture. Bank officials indicate an interest and commitment to work with DFID on GE. And with the high esteem that DFID staff has in the Bank there is an opportunity to move the GE agenda forward through HQs and country level activities in gender related MDGs and in the PRS processes.

5.10 In conclusion, DFID's role as a major donor increases its obligation to mobilise its capacity in international relations and with country partners to impact on and contribute to gender sensitive poverty reduction. With an increased aid budget and push towards fulfilment of the MDGs by 2015, a move towards country led programmes and harmonisation of MDG-led partnerships for poverty reduction across Whitehall, the time is right for DFID to reinforce its GE commitments.

5.2 Lessons

5.11 The ability to set a '**footprint**' on the gender agenda in a partner organisation is closely linked to the **centrality of gender in the organisation's mandate** as well as to the capacity and determination of the organisation to pursue GE effectively. DFID's support to UNIFEM is an example.

5.12 When a partner organisation (e.g. UNICEF) has capacity to promote GE there may be less need for continuous gender support as DFID has provided earlier. **Short-term support**, e.g. non-core funding or staff secondments for targeted tasks such as programming for girls' education, as recently practiced, **is an alternative**. It requires continued monitoring, however, to ensure that effective progress in GE is sustained.

⁶³ Approdev and One World Action (2002): Assessing Gender Mainstreaming in EC Development Co-operation, p. 4, and EC (2003): Thematic Evaluation of the Integration of Gender in EC Development Co-operation with Third Countries; and EC (2003): Thematic Gender Evaluation.

5.13 **Dedicated staff resources** to work in partnership with multilaterals on GE goals have been a determinant factor for success. When senior SDAs with a clear gender mandate were seconded to the UKMIS in New York (1997-2004), the influence on gender strategies peaked (in UNICEF and UNIFEM).

5.14 A **promising initiative** has been taken to develop a **Joint Institutional Approach** (CIDA, Sida, DFID with UNICEF) where joint discussions have strengthened the approach to GE. On the other hand the **joint gender work** through the DAC-Gendernet has become a **lost opportunity for influencing the gender agenda** since **DFID left the chair** and discontinued active participation in the Gendernet.

5.15 Developing **partnership agreements** (ISs) with organisations that have a broad development mandate, joint analytical tools (e.g. PSIA), guidelines, etc. provides an opportunity and entry point to incorporate gender perspectives.

5.16 Many donors share an interest in themes where DFID has shown strength, e.g. in gender issues in the education and health sectors, gender and emergencies, conflicts and post conflicts and rights based approach to promoting gender equality and women's empowerment. With donor harmonisation there is ample **scope for cooperation** between DFID, multilateral and bilateral agencies and Civil society organisations in operationalising policies and strategies. Concrete areas of possible **division of work on gender policy development** are best determined at HQ level with feed-back from country programmes. Concrete **thematic areas** for cooperation or division of work can best be determined in specific country contexts.

5.17 Under the current aid harmonisation and alignment agenda there is scope for more mutual learning also for large donors. DFID should see itself not only as obliged to influence partners but as much as a dialogue partner on ways ahead in gender work. The **scope for mutual learning should be explored in concrete partnerships**, e.g. the EC has undertaken initiatives from which DFID could learn (EC Gender Manuals and the Gender Help Desk system).

5.18 The overall shift in aid modalities to ownership, alignment and harmonisation makes the role of national partners and civil society organisations, critical for **adjusting DFID's policies and policies of its multilateral partners** to national policies, norms and values, and for **translating macro policies into practice** on the ground, not least in cross-cutting and overarching issues like **gender mainstreaming and poverty reduction**.

5.3 Recommendations

5.19 Being a large contributor to multilateral development organisations and a major actor at the international scene, DFID has the potential of regaining a more active role in agenda-setting and promotion of gender equality and women's empowerment in general and in the multilateral organisations. This is reflected in the following recommendations:

Conclusions, Lessons and Recommendations

1. DFID should play a more pro-active role and use its influencing channels to give more clout to gender issues in the norm-setting work of UN agencies. Decisions on when to scale down support and leave the proactive work on gender equality and women's empowerment to the organisations themselves should be determined by continued monitoring of the organisations' effectiveness in GE.
2. Core funding to multilateral agencies backed by active participation in executive boards provide good opportunities for influencing the gender agenda while non-core funding can be an important complementary resource for initiating and testing new initiatives. DFID should consider how it can utilise its core and non-core funds and staff secondments more strategically to promote the cross cutting gender equality and women's empowerment agenda. Operationalising GE in context of poverty reduction is particularly critical in the multilaterals with broad development and poverty reduction mandates (EC, IFIs).
3. The concept of institutional strategies and MEFF should be further developed to focus more on results and how these include gender diversity and gender issues contributing to poverty reduction.
4. DFID should continue its current critical work on the 'influencing' approach and find a way of operationalising 'influencing' which includes a gender perspective.
5. In the era of harmonisation and alignment with partner policies, DFID has a major role to play in strengthening relevant gender networks including gender research and information sharing, thus sustaining its long-term strengths on the international scene.

Annex 1: Terms of Reference

1 Study objective

The study will address the question: What is DFID's role in the international effort to address gender issues? The study will provide input for the analysis of DFID's internal and external effectiveness, by assessing DFID's internal decision-making processes concerning partnership choice, resourcing (including financial and influencing resources, core funding and Trust Funds) and partnership content, and DFID's contribution to outcomes regarding gender equality through a sample of multilateral partnerships.

More specifically the study will seek to answer the following:

1. To what extent has DFID used its position, strengths and advantages to pursue its GEWE objectives and deliver on its GEWE commitments through multilateral partnerships?
2. How effective has DFID been in pursuing GEWE through selected multilateral partnerships, what has DFID contributed and what have been the outcomes of DFID's contribution? What have been the constraints to stronger contribution from DFID on GEWE? Which opportunities can be identified?

2 Methodology

The study will focus at 2 levels: Overview and trends in DFID's international contributions and influencing mechanisms, and DFID's role and effectiveness in pursuit of its GEWE objectives in international forums (comparative influence):

- a) DFID's overall contribution to GEWE objectives in multilateral organisations in terms of resourcing (funds, staff and other influencing mechanisms), in relation to its position in the international community, and trends in the pursuit of GEWE through these routes 1995-2005.
- b) DFID's role and effectiveness in pursuit of its GEWE objectives in a sample of 3 multilateral partnerships, UNICEF, World Bank and European Community.

Re. a) A brief analysis of DFID's international strategies and resourcing, primarily through assessment of ISPs, over the period 1995-2005, from a GEWE perspective, including both GEWE-specific and non GEWE specific partnerships: UNDP, UNIFEM, UNHCR, AsDB, and UNICEF, World Bank and European Community.

Re. b) Assessment of DFID's role and effectiveness in a sample of three multilateral partnerships, UNICEF, World Bank and EC, chosen to reflect:

Annexes

- importance in the international GEWE effort
- scale of DFID engagement
- availability of data and sources

The study will draw on published and unpublished sources, personal interviews with DFID and other organisation staff, reviews of files and minutes, funding frameworks, DFID statistics. The perspective will be on trends and changes, if possible with an examination of critical episodes in DFID's engagement with the selected partners, to identify critical success factors and constraints to enhanced effectiveness on GEWE.

Specific sources for assessment of individual partnerships will include:

- minutes of Board meetings (evidence of DFID interventions)
- DFID's internal assessment procedures and criteria and records of these in specific cases
- institutional strategies, ISPs, MYFFs, documentation of funding; annual or other monitoring reports, MEFF, and other organisations' evaluations where appropriate
- telephone or personal interviews

As much of this information is internal documents not available through the internet, DFID will assist in making these documents available - and in identifying relevant key persons within DFID.

3 Work plan

The study is scheduled to start on 5 January 2006 and be completed by 10 of February 2006.

Team: Niels Eilchow Olesen (Team Leader), Britha Mikkelsen and Alanagh Raikes.

4 Output

The output will be a thematic report with the following headings:

1. Introduction (what, why, how)
2. Background/Policy/Context

3. Findings

- DFID's pursuit of and contribution to GEWE objectives through international partnerships DFID's - trends and influencing efforts
- effectiveness in pursuit of GEWE in three selected partnerships, UNICEF, World Bank and EC

4. Conclusion

5. Recommendations

Annexes:

- Literature
- People met

Annexes

Annex 2 - List of persons interviewed

Bilateral and Multilateral Agency Staff		
Name	Designation	Organisation
Belembaogo, Akila	Gender and Human Rights Adviser	UNICEF
Carlsson, Helene	Senior Gender Advisor	World Bank
de Wet, Hazel	Project Officer, Humanitarian Policy	UNICEF
Eriksen, Agnete	Deputy Head, Evaluation Department, Former Development Councillor India and Zambia	Norad
Goetz, Anne Marie	Thematic Advisor, Governance, Peace and Security,	UNIFEM
Joelsdotter-Berg, Eva	Gender Advisor, Former EC Gender Advisor	Sida
Khan, Noreen	Programme Officer, Gender Mainstreaming, Division of Policy and Planning,	UNICEF
Leiro, Jostein	Director of International Department	MFA, Norway
Libby-Hawk, Joan	Public Affairs Specialist, Strategic Partnership and Communication	UNIFEM
Lindbæck, Espen	East and Central Africa, Regional Department. Former Gender Advisor, Norad, 2002 - 2004	MFA, Norway
Maal, Bodil	Governance advisor, Regional Dept. Former Gender Advisor, Norad 1995-2000	MFA, Norway
Madsen, Birgit	Social Development Advisor. Former Gender Advisor Danida HQ	Danish Embassy, Kenya
McCreery, Rosemary	Chief of Staff, OED	UNICEF
Poulsen, Unni	West Balkan section. Former gender advisor, Norad	MFA, Norway
Sandler, Joanne	Dep. Executive Director for Programmes	UNIFEM
Schanke, Liss	Gender Advisor	Department of Local Government (Kommunernes Landsforbund), Norway
Skard, Torild	Regional Head UNICEF, West and Central Africa. Former Assistant Development Councillor (Utenriksråd).	MFA, Norway, UNICEF
Squire, Neil	National Expert (population), seconded from DFID	EC
Steen, Sidsel Hotne	Social Development Advisor, Regional Department	MFA, Norway
Sund, Lene	Deputy Head of Department, DG Development B/3	EC
Vikør, Guro K	Ambassador, Gender, International Department	Ministry of Foreign Affairs, MFA, Norway
Wadstein, Susanne	Gender Advisor. Former Gender Advisor Kenya	<u>Sida</u>
Zaoude, Aster	Senior Gender and Development Advisor	UNDP

Current and former DFID Staff and Advisors		
Name	Designation	Organisation
Barton, Tamsyn	Team Leader, Trade and Development and various field posts	DFID
Cassidy, Susan	Focal Point for secondments	DFID
Coles, Anne	Former Senior SDA (retired)	DFID
Cook, Andrea	Senior Advisor on gender and human rights	DFID
Davis, Daniel	MEFF Focal Point	DFID
Evans, Phil	Senior SDA, former UK mission to the UN in New York and Chair of DAC Working Group in Gender	DFID
Francke, Marfil	Liaison Officer in Peru. Former Social Development Adviser, in Peru, 2001- 2005	DFID
Gascoigne, Liz	Development Consultant and SDA on various geographical desks	DFID
Holden, Pat	DFID Barbados, former Senior SDA	DFID
Howe, Gerard	Desk Officer, World Bank	DFID
Keeling, Ann	Social Development Advisor, HQ and field posts	DFID
Kennedy, Alison	Gender specialist, administration	DFID
Moye, John	Desk Officer, World Bank	DFID
Norton, Andy	Senior SDA	DFID
Otto, Camilla	Desk Officer, EC	DFID
Schultz, Michael	Social and Economic Adviser, UK mission to the UN in New York	DFID/FCO
Pain, Dennis		DFID
Thomas, Leo	Desk Officer, UNCD (UNICEF, UNDP and UNIFEM)	DFID
Walker, Judy	SDA HQ and various country postings	DFID

Annexes

NGO representatives, Researchers, Consultants		
Name	Designation	Organisation
Ahmet, Talat	Human Resources Officer	Action AID
Barnechea, Mima	Gender specialist and consultant	
Bell, Emma	Researcher	BRIDGE, IDS
Dawson, Elsa	Development and Gender Consultant	
Derbyshire, Helen	Gender and development consultant	
Fikade, Netsy	Coordinator	GADNetwork
Heath, Carolyn	Development and Gender Consultant	
Jolly, Susan	Researcher and Trainer	BRIDGE, IDS
Khan, Zohra	Gender Policy Officer	One World Action
Lexow, Janne	International Gender Research and Consultancy Advisor	NCG, Norway
Mandana, Hendessi	Commissioner	Women's National Commission
O'Connell, Helen	Programme Officer	One World Action
Phillips, Sue		Social Development Direct
Reeves, Hazel	Director	BRIDGE, IDS
Roseveare, Caroline	Gender, Human Rights and Development Consultant	
Schmidt, Brita Fernandez	Head of Programmes & Policy, GAD Network Chair	Womankind Worldwide, GAD Network
Wallace, Tina	Gender and Development Consultant and Researcher	
Watkins, Francis	Independent Development Consultant	
Weeks, Rachel	Coordinator Assistant	GADNetwork
Zuckerman, Elaine	President	Gender Action

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DEPARTMENT FOR INTERNATIONAL DEVELOPMENT

EVALUATION REPORT EV669

**Evaluation of DFID'S Policy and Practice
in support of
Gender Equality and Women's Empowerment:
Summary of Research in Gender
and DFID'S Support to Pro-Poor Growth**

**Tom Dahl-Østergaard
August 2006**

GENDER AND DFID'S SUPPORT TO PRO-POOR GROWTH

1 Introduction

As an input to the larger DFID Gender Evaluation, a separate research effort was conducted to explore how DFID's gender policy objectives have been addressed in pro-poor growth (PPG) programmes. While the outcome of this is not published, part of it has fed into the Gender Evaluation. This summary presents the main findings and conclusions of that research.

Growth is considered to be pro-poor if and only if poor people benefit in absolute terms, as reflected in some agreed measure of poverty¹.

The research aimed to address two hypotheses developed by Caroline Pinder in the evaluation preparatory paper (Pinder, 2005):

- gender has not been integrated into PPG programmes, and that when it is integrated it is usually confined to poverty alleviation and treats poor women and men as homogeneous groups
- DFID PPG programmes have not had an impact on gender equality and women's empowerment, and are unlikely to contribute to the achievement of the MDG target to halve poverty by 2015

2 Literature review

A number of background reports and studies were reviewed in order to inform the research. Of these, two merit special mention.

In June 2005 the World Bank published the book *Pro-Poor Growth in the 1990s: Lessons and Insights from 14 Countries*. The book, which is a synthesis report, was prepared under the auspices of the Operationalising Pro-Poor Growth (OPPG) research programme, which is co-funded by six international development agencies, including DFID. While the synthesis report makes several important statements about the role of gender issues in the context of PPG, it is our assessment overall that it does not strongly link gender equality and women's empowerment as a necessary and integral part of the process to achieve PPG.

In April 2005 Stephan Klasen produced a discussion paper entitled *Pro Poor Growth and Gender: What can we learn from the Literature and the OPPG Case Studies?* This examined the question to what extent gender inequality affects the ability of countries to achieve high rates of pro-poor growth. The study's overall conclusion was that: 'the findings from the case studies clearly indicate that successfully addressing gender gaps and removing gender-specific [discrimination] can make a significant contribution to pro-poor growth' (p19).

¹ The *Operationalising Pro-Poor Growth* (OPPG) work programme, which comprises DFID and several other donors, also uses the absolute definition of PPG.

Gender and DFID's Support to Pro-Poor Growth

We conclude on the basis of this that the World Bank study espouses the 'economic paradigm' while the Klasen study supports Pinder's view that mainstreaming of gender policies has to build on all of the three paradigms discussed in her report, namely economic growth, poverty alleviation and women's economic empowerment.

3 Statistical trends

Contrary to the findings of the evaluation preparatory paper (Pinder, 2005), we did not find that total expenditure on PPG programmes with GE markers (P or S) has declined significantly over the recent ten-year period. The table below, which shows the results of our analysis of data provided by DFID's Statistical Department, demonstrates a clear and steadily increasing trend:

Table 1: Expenditure on PPG programmes with P and S marks, 1995/6–2004/5 (£ million)

	P marked	S marked
1995/6	0.3	6.3
1996/7	0.9	11.1
1997/8	1.1	11.8
1998/9	1.2	15.0
1999/0	1.9	18.5
2000/1	3.4	17.9
2001/2	4.5	22.1
2002/3	5.0	34.7
2003/4	7.9	100.6
2004/5	42.1	116.2

However, as DFID's expenditure on PGBS is recorded under the same input codes as those for PPG projects, this accounts for much of the observed increase, if not all of it. PRBS disbursements, six of which have been S-marked and one, the GBS disbursement to Uganda of £35 million in 2004/05, was P-marked, rose from £264 million in 2000/01 to £422 million in 2004/05².

4 Gender screening of PPG project documents

The research comprised a desk review of project documents from a sample of seven PPG interventions. It is important to stress that it was not a random sample. Instead, we agreed with EVD on a purposive sample in the sense that we deliberately looked for interventions that were gender marked as well as interventions on which PRISM contained a range of documentation and interventions that held particular promise in terms of gender orientation.

² *Statistics on International Development 2000/01 – 2004/05*, London : DFID.

Table 2: Sample of interventions for document review

Country	Title of intervention
South Africa	Private Sector Initiative, phase 2
Kenya	Financial Sector Deepening
Kenya	Enabling Environment
Tanzania	BEST (Business Environment Strengthening)
India	National Micro-Finance Support Project (NMFSP)
Bosnia and Herzegovina	Post Privatisation Enterprise Restructuring
Zambia	Improving the Enabling Environment for Business (planning and implementation phases)

The study team reviewed all the project documents that PRISM contained on the seven selected PPG-interventions, (forty-five documents in total) of which two interventions had already been subject to country case evaluations as well. A data screening matrix was used to record the information and key points were captured on each intervention using the format of the evaluation preparatory study.

The general picture was that the 45 project documents reviewed said little about gender or women. In fact, 20 of them were gender blind. The other documents, with some variations, dealt with the gender issue in a superficial manner. This suggests that gender has been treated as a marginal issue in the sample interventions³.

Only one of the interventions in our sample was P marked (India) and two were S marked (Kenya I and South Africa). The study team saw a positive correlation between the projects that are gender marked and their focus areas. That is to say, the gender marked projects were also the ones that tend to focus on the areas which contribute most directly to women's empowerment – commercial justice, SME development and micro finance (financial sector reform). Moreover, the gender marked projects were also the ones that most consistently refer to gender and women and, at times, clearly mention this in the objectives.

To the extent that the project documents are explicit about gender issues, this tends to be the case in the planning phase and less so, if at all, in the implementation phase. This suggests that 'gender policy evaporation' has taken place during the implementation phase of most of the interventions in our sample where there was some reference to gender issues in the planning phase.

The following reasons for gender policy evaporation were observed:

- programmes fail to define gender specific outputs/activities
- programmes fail to define indicators / OVs
- progress reporting formats do not ensure that gender is considered.

³ The study team appreciates that the absence of explicit mention of women and gender in the project documents may not be an accurate or fair reflection of what may be actually happening in the country offices in terms of gender issues relating to the PPG-interventions. However it is not possible to capture this in a document review, unless such efforts are reflected in the documents available.

Gender and DFID's Support to Pro-Poor Growth

Of the twelve progress reports and completion reports included in the sample, only one made reference to women or gender issues (apart from repeating the purpose of the intervention). The exception was India, where a three-day gender workshop to increase gender awareness is mentioned. This suggests a need for DFID to revise its standard formats for progress reporting.

Finally, the review of the project documents available in PRISM on the seven sample PPG interventions in six countries showed that none of them said anything directly on the impact of the PPG programmes on gender equality or women's empowerment.

5 Knowledge management

The study team administered a questionnaire with the six country offices where the interventions included in the sample had been implemented. Altogether, ten completed questionnaires were received from DFID staff who had been involved in PPG interventions and all of the six country offices were covered. Although this was insufficient to undertake a statistical analysis, it was possible to extract some indications that corroborate the findings from the other methodological approaches used in this research.

For example, 80% of the respondents indicated that they do not have the necessary capacity, skills or tools to address gender issues, and 90% of the respondents stated that gender equality and women's empowerment had only been integrated into the PPG programmes they had been involved in to a limited or some extent. None of the respondents felt that gender had been integrated effectively.

BRIDGE hosts a database on gender and development material, called *Siyanda*. This contains extensive gender material on a wide range of sectors stemming from approximately forty donors and organisations. At the same time the country office staff interviewed in connection with this research stated that a lot of material is offered from DFID headquarters, but none recalled that PPG relevant gender material had been disseminated.

This suggests that the knowledge problem may have more to do with ready access than the existence of relevant information.

6 Conclusion

The evaluation preparatory study observed that: 'evidence of DFID policies directly and explicitly targeting gender inequality as part of the business enabling environment is hard to come by' (Pinder, 2005, p 21). Our research leads us to the same conclusion. If the forty-five project documents reviewed and the statements made by DFID staff who have worked on PPG interventions in six countries are indicative of the general situation – which the background studies that we have reviewed would also suggest – then DFID has not worked systematically with gender mainstreaming and women's empowerment in the pro-poor growth interventions.