



Engendering new aid modalities: why and how?  
The case of the EC

## Workshop for EC Gender Focal Persons

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## General Overview

1. Rationale for engendering new aid modalities
2. Experiences to date
3. Which way forward?
4. Engendering new aid modalities: the case of the EC
5. References and background reading

## 1. Rationale for gender-sensitivity of new aid modalities

- *Indicate below the main reasons for engendering new aid modalities (5 min.)*

# 1. Rationale for engendering new aid modalities: outline

## 1.1. Effectiveness and efficiency

- Relationship gender equality & economic growth, human development, poverty reduction
- Experiences from the past (effects of gender-blindness)

## 1.2. Opportunities for gender equality

# 1.1. Effectiveness and efficiency of programmes

➤ Relationship between gender equality & empowerment and objectives of national and sectoral policies and programmes

- Empirical evidence at micro & macrolevel

see a.o. Klasen (2005, 2006); World Bank(2001a)

↑ gender equality & empowerment → ↑ economic growth  
 ↑ human development  
 ↓ poverty

↑ economic development & growth not necessarily ↑ gender equality & empowerment

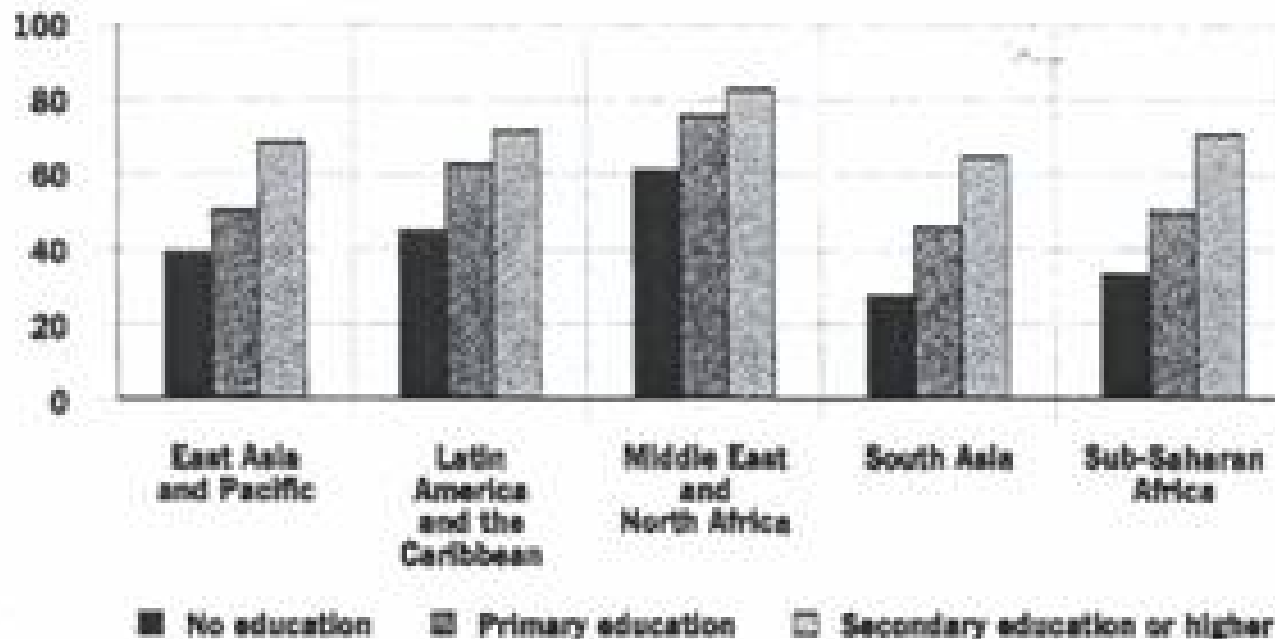
✓ distinction 'capabilities' and 'opportunities'

⇒ importance of institutional (gender!) & legal changes

**Figure 2.2 Child Immunization Rates Rise with Mother's Education**

Share of children 12–23 months who had been immunized, by mother's educational level

Percent



*Note:* See appendix 1 for general notes and included countries.

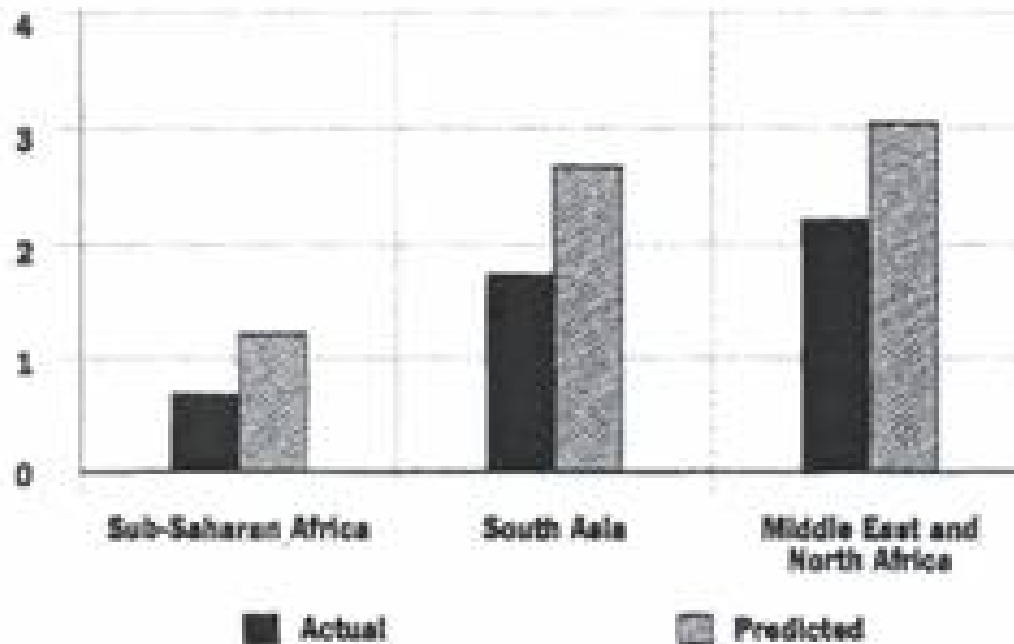
*Source:* Education and immunization data from latest Demographic and Health Surveys for selected countries; population weights from World Bank (1999d).

Source: World Bank (2001a)

**Figure 2.3 Faster Progress in Closing Gender Gaps in Schooling Would Accelerate Economic Growth**

**Average annual growth in per capita GNP, 1960–92**

Percent



*Note:* "Predicted" represents the average predicted GNP growth rate for a region if its gender gap in education had narrowed at East Asia's level in 1960 and had narrowed as fast as East Asia did from 1960 to 1992.

*Source:* Simulations based on regression results from Klasen (1999a).

Source: World Bank (2001a)

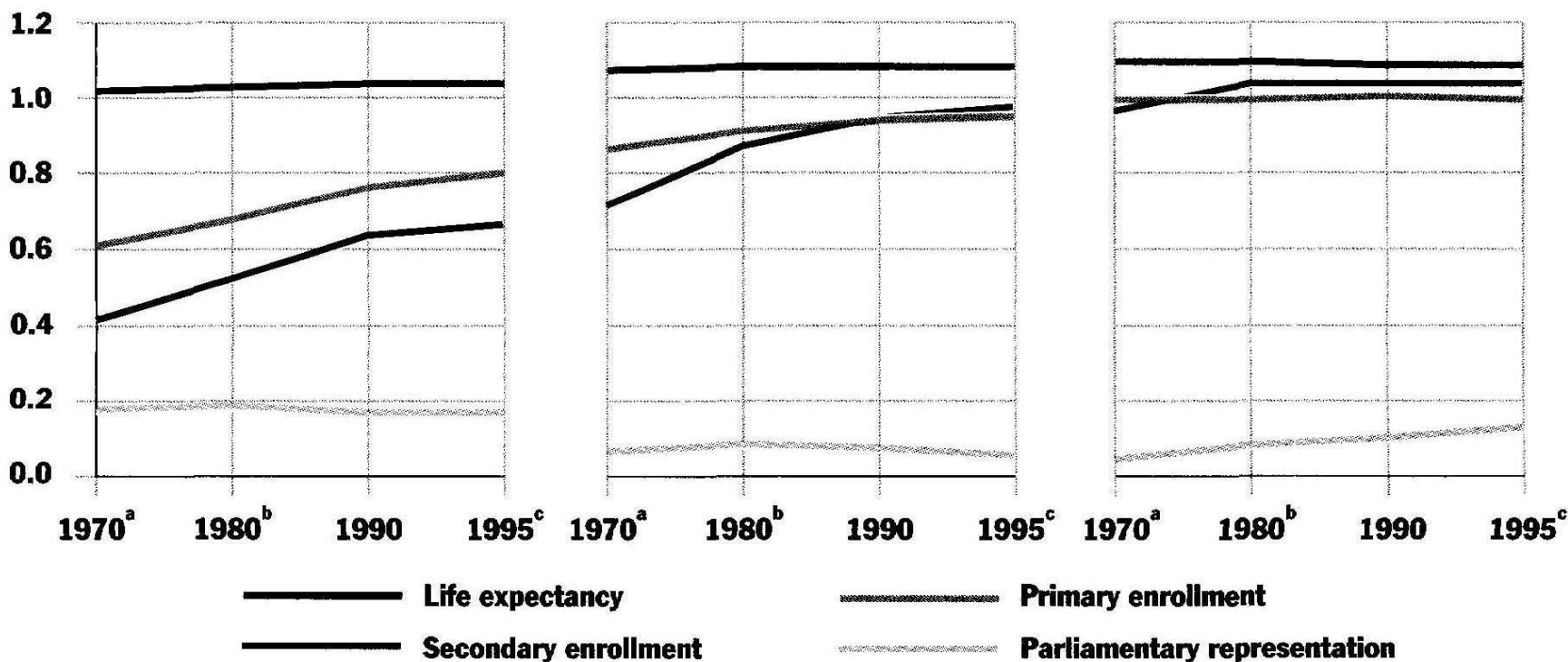
**Figure 3 Gender Equality Has Increased over Time in Low- and Middle-Income Countries—Except in Political Participation**

**Low-income countries**

**Middle-income countries**

**High-income countries**

**Female to male ratio**



Source: World Bank (2001a).



## female/male income ratio

	GNP/capita (PPP, US \$) (2004)	F/M income ratio (2004)
VS	39 676	0.62
Ierland	38 827	0.51
Canada	31 263	0.63
België	31 096	0.63
Finland	29 951	0.71
Japan	29 251	0.44
Filippijnen	4 614	0.60
Vietnam	2 745	0.71
Pakistan	2 225	0.29
Uganda	1 478	0.70
Rwanda	1 263	0.74
Kenya	1 140	0.83
Tanzania	674	0.73

Source: on the basis of UNDP (2006)

## 1.1. Effectiveness and efficiency (cont.)

### ➤ Experiences from the past

- Cost of gender-blind policy: see the case of SAPs



gender-blind assumptions:

(see a.o. [Elson, 1991](#))

- .labour is a homogeneous and exogeneous production factor
- .household is a unit
- .split among paid and care economy

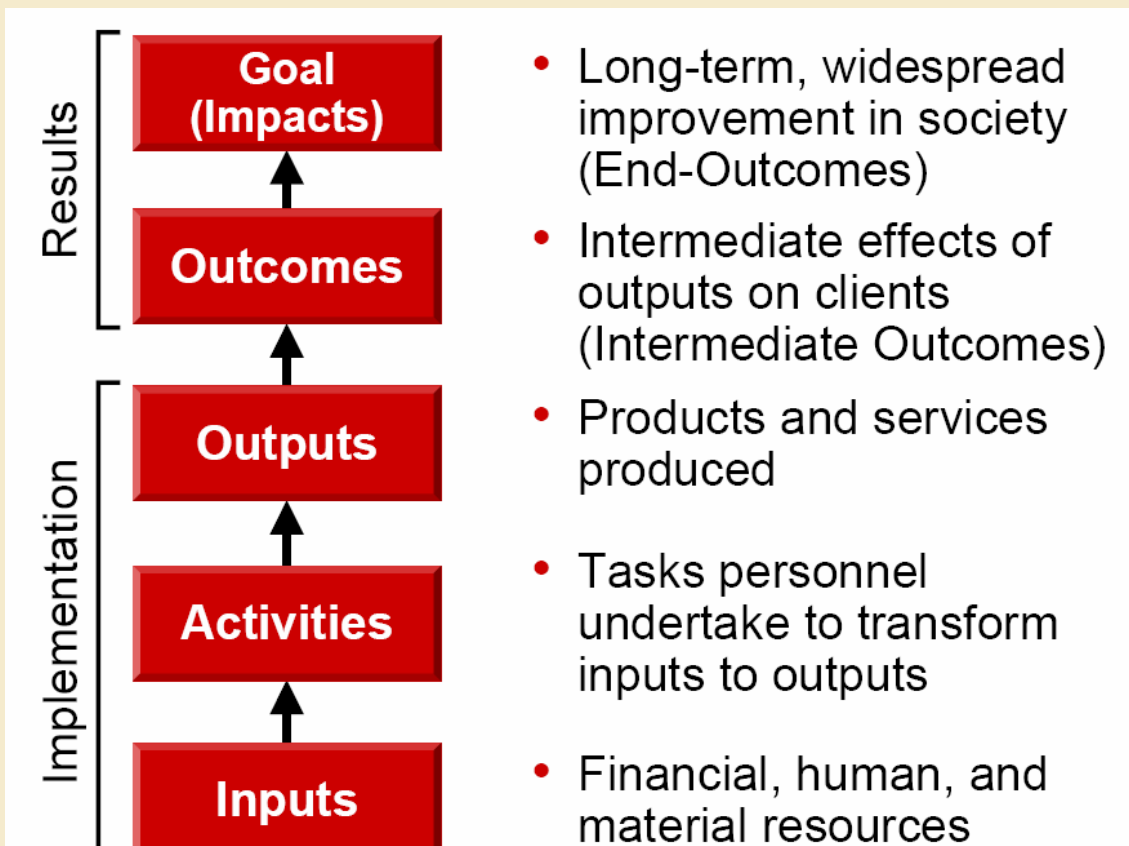
⇒ 'gender' is one of the most important institutions that influences men's and women's take-off positions and COINS

⇒ gender-sensitivity is condition for effectiveness and efficiency ('smart economics')

## 1.2. Opportunities for gender equality

- gender is an important objective (for EC, for most of the partner countries)
  - national gender policy papers
  - ratification of international conventions (CEDAW)
  - MDGs (goal 3)
  - EC: European Consensus on Development (European Parliament, Council and Commission, 2006/C 46/01); EC Regulation of 21 April 2004 (Regulation No. 806/2004);⇒ but often policy evaporation
  
- Programme-based approaches offer opportunities for horizontal and vertical gender mainstreaming
  - Moving upstream
  - Comprehensive approach (cf. MTEF)
  - Participation conditionality
  - Results-orientation conditionality
    - some basics (see slides 12-14)
    - ↑ visibility of cost of gender-blindness (see slide 15)
    - entry point for gender budgeting
  
  - Critical note on results-orientation:  
Managing **for** results ≠ managing **by** results

## Results-orientation: some basics



Source: Binnendijk (2000) cited in World Bank Group. *International Program for Development Evaluation Training*

## Results-orientation (cont.)

- Making results-orientation operational:  
(see [Kusek and Rist, 2004](#))
  - Identification of end-outcomes (impact): on the basis of (poverty) diagnosis
  - Identification of indicators
    - ✓ CREAM
  - Identification of baselines
    - ✓ Need for data-collection
  - Identification of targets
    - ✓ Baseline + desired level of improvement

## Results-orientation (cont.)

Example of indicators, baselines and targets

Outcomes	Indicators	Baselines	Targets
1. Nation's children have better access to preschool programs	1. Percent of eligible urban children enrolled in preschool education 2. Percent of eligible rural children enrolled in preschool education	1. In 1999, 75 percent of children ages 3-5 2. In 2000, 40 percent of children ages 3-5	1. By 2006, 85 percent of children ages 3-5 2. By 2006, 60 percent of children ages 3-5
2. Primary school learning outcomes for children are improved	1. Percent of Grade 6 students scoring 70% or better on standardized math and science tests	1. In 2002, 75 percent scored 70 percent or better in math, and 61 percent scored 70 percent or better in science	1. By 2006, 80 percent scoring 70 percent or better in math and 67 percent scoring 70 percent or better in science

Source: Kusek and Rist (2004). Ten steps to a results-based M&E system, p.

## Results-orientation: ↑ visibility of cost of gender-blindness

PHASE OF THE BUDGET CYCLE	LEVEL	EXAMPLE	GENDER PERSPECTIVE
PLANNED (identification, planning)           REALISED (audit, evaluation)	Impact (realisation of objectives)	poverty Healthy population Level of alphabetisation	-is there a gender-differentiated impact? (quantitative & qualitative)  -Contribution to gender equality?
	Outcome (use of service delivery)	Number of patients treated Number of students that have finished schooling	-to what extent do men & women benefit from the service delivery?  -Contribution to gender equality?
	Outputs (supply of services)	Treatment of patients (health care) Schooling	-is there enough supply of services that is appropriate for men and women?
	Inputs	Financial inputs Human resources	Are the means enough to stimulate gender equality?

Source: Elson's Budget Cycle Framework/Functional Framework, see Elson (2002)

## 2. Experiences to date

➤ *How do you rate the gender-sensitivity of new aid modalities? (10 min.)*

- PRSPs, sector programmes?
- Paris Declaration?
- Budget support?

...



## 2. Experiences to date: outline

2.1. Broadly speaking: weak and underresearched

2.2. Gender-sensitivity of PRSPs and SWAPs

- Gender-sensitivity of content
- Gender-sensitivity of processes

2.3. And donors' gender-sensitivity?

## 2.1. Broadly speaking: weak and underresearched

- 2005 Paris Declaration
  - 'gender equality' together with other crosscutting issues in paragraph 42 (on importance of harmonisation efforts for cross-cutting issues)
- Surveys on Harmonisation and Alignment (OECD/DAC or SPA) to monitor the Paris Declaration
  - Gender is not a topic → gender-blindness will go unnoticed
- Joint Evaluation of Budget Support
  - Gender is not a topic in this major (and only) evaluation of BS

+ : emerging on the agenda (see Dublin workshop)

but need for elaboration of policy, implementation and M&E

instrumentarium

→ danger of gender retro-fitting

## 2.2. Gender-sensitivity of PRSPs & SWAPs

Different phases of the PRSP	Treatment of gender issues		
	No reference to gender issues	Minimal reference to gender issues	Detailed discussion of gender issues
<ul style="list-style-type: none"> <li>• <b>Poverty Assessment (diagnosis)</b></li> </ul>	<b>4</b> <b>(21%)</b>	<b>7</b> <b>(36.8%)</b>	<b>8</b> <b>(42.2%)</b>
<ul style="list-style-type: none"> <li>▪ Poverty Incidence</li> </ul>	4	7	8
<ul style="list-style-type: none"> <li>▪ Labor market, income and labor market participation, ('opportunities')</li> </ul>	7	7	5
<ul style="list-style-type: none"> <li>▪ Health ('capabilities and human capital')</li> </ul>	5	9	5
<ul style="list-style-type: none"> <li>▪ Education ('human capacities and human capital')</li> </ul>	4	9	6
<ul style="list-style-type: none"> <li>• <b>Selection of priorities and strategies</b></li> </ul>	<b>3</b> <b>(15.8%)</b>	<b>10</b> <b>(52.6%)</b>	<b>6</b> <b>(31.6%)</b>
<ul style="list-style-type: none"> <li>▪ Social protection measures</li> </ul>	11	6	2
<ul style="list-style-type: none"> <li>▪ Labor market, income and labor market participation</li> </ul>	9	8	2
<ul style="list-style-type: none"> <li>▪ Health</li> </ul>	3	11	5
<ul style="list-style-type: none"> <li>▪ Education</li> </ul>	5	8	6
<b>Indicators, objectives, monitoring and evaluation</b>	<b>6</b> <b>(31.6%)</b>	<b>11</b> <b>(57.9%)</b>	<b>2</b> <b>(10.5%)</b>
<b>Participation and consultation process</b>	<b>10</b> <b>(52.6%)</b>	<b>5</b> <b>(26.3%)</b>	<b>4</b> <b>(21.05%)</b>

On the basis of the first 15 PRSP and I-PRSP. Source: World Bank (gender and development group)(2001). Gender in the PRSPs: A stocktaking.

## ➤ **gender-sensitivity of content (cont.)**

(see a.o. Bell, 2003; Whitehead, 2002; World Bank, 2001b; Zuckerman, 2002; Zuckerman and Garrett, 2003)

- declining tendency from the phase of poverty diagnosis to selection, budgeting, implementation, M&E
- existing disaggregated data not used in policy-making
- existing gender policy notes (both at national and line ministry level): not taken into account
- more pronounced for capabilities than for opportunities
- more pronounced for some sectors of public service delivery: education and health > transport and energy
- mostly focus on 'practical' gender needs (less on 'strategic' gender needs)

⇒ Mostly WOMEN-IN-DEVELOPMENT approach (particularly ANTI-POVERTY approach) instead of GENDER AND DEVELOPMENT approach

see slides 21-25 for basics on different policy approaches

## Different policy approaches: some basics

see a.o. Moser (1993), Razavi and Miller (1995)

	Women in Development (WID)	Gender and Development (GAD)
Subject	Women	Relationships among men and women
Problem	Exclusion of women	Unequal relations
Objective	Effective and efficient development	Sustainable and equitable development
Solution	Integration of women in the development process (=mostly focus on practical gender needs)	Empowerment of disadvantaged groups Restoration of unequal relationships (= mostly focus on strategic gender needs)

## Different policy approaches (continued)

- Welfare approach (pre-WID)
  - Equity approach (WID)
  - Anti-poverty approach (WID)
  - Efficiency approach (WID)
  - Gender and development (GAD)
    - Empowerment approach
    - Gender-efficiency approach
- More detailed overview of characteristics (see slides 23-24)

Table 4.1 Different policy approaches to Third World women

Issues	Welfare	Equity
Origins	Earliest approach: – residual model of social welfare under colonial administration – modernization/accelerated growth economic development model	Original WID approach: – failure of modernization development policy – influence of Boserup and First World Feminists on Percy Amendment of UN Decade for Women
Period most popular	1950–70; but still widely used	1975–85: attempts to adopt it during the Women's Decade
Purpose	To bring women into development as better mothers: this is seen as their most important role in development	To gain equity for women in the development process: women seen as active participants in development
Needs of women met and roles recognized	To meet PGN in reproductive role, relating particularly to food aid, malnutrition and family planning	To meet SGN in terms of triple role – directly through state top-down intervention, giving political and economic autonomy by reducing inequality with men
Comment	Women seen as passive beneficiaries of development with focus on their reproductive role; non-challenging, therefore widely popular especially with government and traditional NGOs	In identifying subordinate position of women in terms of relationship to men, challenging, criticized as Western feminism, considered threatening and not popular with government

PGN = Practical gender need  
SGN = Strategic gender need

Source: Moser (1993)

Tabel 4.1 (Continued)

<i>Anti-poverty</i>	<i>Efficiency</i>	<i>Empowerment</i>
Second WID approach: – toned down equity because of criticism – linked to redistribution with growth and basic needs	Third and now predominant WID approach: – deterioration in the world economy – policies of economic stabilization and adjustment rely on women's economic contribution to development	Most recent approach: – arose out of failure of equity approach – Third World women's feminist writing and grassroots organization
1970s onward: still limited popularity	Post-1980s: now most popular approach	1975 onward: accelerated during 1980s, still limited popularity
To ensure poor women increase their productivity: women's poverty seen as a problem of underdevelopment, not of subordination	To ensure development is more efficient and more effective: women's economic participation seen as associated with equity	To empower women through greater self-reliance: women's subordination seen not only as problem of men but also of colonial and neo-colonial oppression
To meet PGN in productive role, to earn an income, particularly in small-scale income-generating projects	To meet PGN in context of declining social services by relying on all three roles of women and elasticity of women's time	To reach SGN in terms of triple role – indirectly through bottom-up mobilization around PGN as a means to confront oppression
Poor women isolated as separate category with tendency only to recognize productive role; reluctance of government to give limited aid to women means popularity still at small-scale NGO level	Women seen entirely in terms of delivery capacity and ability to extend working day; most popular approach both with governments and multilateral agencies	Potentially challenging with emphasis on Third World and women's self-reliance; largely unsupported by governments and agencies; avoidance of Western feminism criticism means slow, significant growth of under-financed voluntary organizations

Source: Moser (1993)



## Different policy approaches (continued)

- Anti-poverty approach (WID)
- Efficiency approach (WID)

versus

- Gender and development (GAD)

⇒ Different conceptualisation of relationship among gender equality & poverty

- Different assumptions about direction of causality
- Presence/absence of 'gender'

## ➤ gender-sensitivity of processes

(see a.o. Bell, 2003; Whitehead, 2002; World Bank, 2001b; Zuckermann, 2002; Zuckermann and Garrett, 2003)

- in general very low
- low participation of typical gender actors & gender expertise at processes inside and outside government
- when typical gender actors participate often limited capacities (and track record) in general policy and macro-economic analyses, PFM, etc.)
- women underrepresented within mainstream actors both within and outside government
- limited gender expertise within mainstream actors

## 2.3. And donors' gender-sensitivity?

- do not seem to bother too much about gender (see also 2.1)
- gender is not much discussed in JSAN (JSA)
  - some exceptions: e.g. Pakistan
- gender often not really taken on board in donor's new entry points → danger of gender-retrofitting
- not much coordination among donors (budget & non-budget support donors)

## 3. Which way forward? outline

### 3.1. Introduction:

- basic principles
- donor's perspective: general overview of suggestions to engender entry points
- recipient's perspective: general overview of suggestions to engender national and sectoral programmes

### 3.2. Usefulness of gender (responsive) budgeting

### 3.3. Selected overview of GRB approaches and tools

### 3.4. Application to the case of national/sectoral policy and programmes

# 3.1. Introduction

## ➤ Basic principles

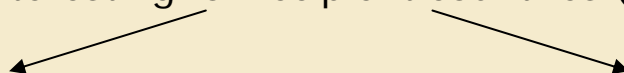
- Suggestions for improvement → conform basic principles new aid modalities



leadership, harmonisation and alignment

→ implications for the division of responsibilities

- Suggestions for engendering:
  - Primarily interesting for recipient countries (inside & outside government)



**specific gender actors**

**mainstream actors**

'gender' ministry, gender focal points,  
specific parliamentary committees,  
'gender' researchers

ministry of finance & planning, policy & budget & M/E officials  
in line ministries, CSO, parliament, research institutes

- And donors? ...

*Q: what could be (new) entry point for donors? (5 min.)*

## ➤ Donor's perspective: general overview of suggestions to engender donor's new entry points

- Overview new entry points:
  - Ex-ante assessment of national and sectoral policies and programmes (content + underlying processes)
  - Policy dialogue
  - Monitoring and evaluation exercises
    - .joint review of budget support
    - .joint sector review
    - .see also slide 31 for detailed selective overview of M&E exercises
  - Innovative pilot projects
    - .targeted towards specific actors
    - .innovative
    - .conform Paris Declaration principles (portfolio approach)

## (selected) overview of M&E exercises

Impact	<ul style="list-style-type: none"> <li>-survey (single &amp; multiple topic)</li> <li>-PPA (Participatory Poverty Assessment)</li> <li>-CWIQ (Core Welfare Indicator Questionnaire)</li> </ul>
Outcome	<ul style="list-style-type: none"> <li>-(participatory) service delivery survey</li> <li>-citizen report cards</li> <li>-community score cards</li> <li>-CWIQ</li> </ul>
Output	<ul style="list-style-type: none"> <li>-MIS (routine data collection at line ministry level) (Management Information System)</li> <li>-PETS (Public Expenditure Tracking Survey)</li> </ul>
Input	<ul style="list-style-type: none"> <li>-PER (Public Expenditure Review)</li> <li>-PETS</li> </ul>

For more detailed information, see also Verbeke en Holvoet (2006). *Glossary of selected M&E methods and mechanisms*. Antwerp: IOB.

• General overview of suggestions to engender entry points

Donor entry points	↑ Gender-sensitivity
Ex-ante assessment (national and sector policies and programmes)	gender scan, gender checklist (see slides 77-84 in annex) gender-aware policy appraisal
Ex-ante assessment of institutional apparatus	Gender scan, gender checklist (see slides 77-84 in annex) check policy & instrumentarium for gender mainstreaming (incl. gender budgeting)
Capacity building of actors (government + CS) throughout the cycle (diagnosis, identification of priorities & strategies, budgeting & planning and implementation, M&E)	Actors: typical genderactors & mainstream actors Knowledge: o.a. instrumentarium gender budgeting
Policy dialogue	Inclusion of gender-sensitive issues
M&E	-inclusion of specific indicators for gender equality & empowerment -desaggregation of indicators & targets -integration of gender dimension in 'mainstream' M&E methods -inclusion of gender expertise in 'mainstream' M&E



⇒ Organisational changes within donor agencies

↑ involvement of gender expertise within activities at (new) entry points

- reinforcing 'mainstream' capacities of gender experts  
(macro-economic/political analysis, general policy analysis, expertise related to budgeting, implementation, M&E)
- strategic positioning of gender expertise  
headquarters (policy level) + on the field (devolution of power to the field-offices)
- building gender expertise of mainstream actors

## ➤ recipient's perspective: general overview of suggestions to engender national and sectoral policies and programmes

- Distinction between processes and content
- Distinction between different phases
  - Diagnosis and analysis
  - Selection of priorities and strategies
  - Budgeting, planning and implementation
  - Monitoring and evaluation
- Input from:
  - Gender-responsive budgeting (see 3.3)
  - Gender-analyses frameworks (see a.o. March et al., )
  - 'gender' chapter in PRSP sourcebook (see Bamberger et al., 2000)

## 3.2. Usefulness of gender budgeting (in context of engendering new aid modalities)

### ➤ Definition

“gender budgeting is an application of gender mainstreaming in the budgetary process. It means a gender-based assessment of budgets, incorporating a gender perspective at all levels of the budgetary process and restructuring revenues and expenditures in order to promote gender equality” (Group of specialists on gender budgeting, Council of Europe, 2005)

## 3.2. Usefulness of gender budgeting (cont.)

### ➤ Key elements

- gender mainstreaming
- different phases of the budget (and policy) cycle (financial and real)
- content and processes
- analysis and action
- political location
- wide variety of initiatives (no blueprint)
- entry point for engendering macro-economic policy and macro-economics
- limitations ('realistic expectations')

## 3.2. Usefulness of gender budgeting (cont.)

### ➤ Usefulness in context of new aid modalities

- *a number of similar underlying principles as current reform processes:*
  - confrontation of inputs and results
  - accountability and transparency (good governance)
  - underlying budgetary processes: 'inclusiveness' (see principles of 'participation', broad-based country ownership)

## 3.3. Selected overview of approaches and tools

### ➤ General approaches

- Budlender and Sharp 3 categories approach (see a.o. [Budlender and Sharp, 1998](#))
- Elson's Functional Framework (see [Elson, 2002](#))

### ➤ Tools

(see a.o. [Commonwealth Secretariat, 1999](#); [Hewitt, 2002](#))

- gender-aware policy appraisal (see slide 39)
- gender-disaggregated beneficiary assessment (see slide 40)
- gender-aware macro-economic models and medium term economic policy & expenditure framework (see [Cagatay, Elson and Grown, 1995](#)) (see slide 41)
- gender-disaggregated benefit incidence analysis (see slide 42)
- gender-disaggregated revenue incidence analysis (see [Himmelweit, 2002a; 2002b](#)) (see slide 43)
- gender-disaggregated analysis of impact of the budget on time use (see slide 44)
- gender impact assessment (see slide 45)
- gender-aware budget statement (see slide 46)

# Gender-aware policy appraisal

## ➤ *Gender-analysis of the planned poverty reduction & sector policy & programme*

- *basic question*: 'in what ways will the policies and the associated resource allocations affect men and women; ↓ or ↑ gender (in)equalities and empowerment'
- *specific questions (data requirements)*:
  - ✓ What are the current gender inequalities in the country, sector (e.g. results of previous gender analysis (benefit incidence analysis, beneficiary assessment, Harvard/Moser frameworks,...))?
  - ✓ What is the likely impact of current policy on these inequalities?
  - ✓ Does the policy address these inequalities?
  - ✓ Is it possible to reformulate policy? Is it possible to add specific policy measures as to make the policy 'gender-responsive' ('gender-neutral', 'gender-progressive')?
  - ✓ Are resources adequate to implement 'gender-responsive' policies?
- *Examples (see handouts)*
  - South Africa & Rwanda: land reform

# Gender-disaggregated beneficiary assessment

- *studies the extent to which government policies, programmes and associated resource allocation match women's and men's needs and priorities*
  - Data collection through quantitative surveys and qualitative techniques
  - *Examples (see handouts):*
    - Australia: national survey about preferences regarding the allocation of government budget
    - Sri Lanka: health service delivery
    - Mexico: anti-poverty expenditures



## Gender-aware macro-economic model/policy framework

- *Incorporates a gender perspective into macro-economic models and frameworks*
  - no blueprints, some experiments:
    - estimation of unpaid 'care' economy ('statellite accounts') and introduction in SNA
      - ✓ See UNDP world estimates 1995 (see handouts)
    - introduction of new variables ('unpaid work') in economic models
      - ✓ see Cagatay, Elson and Grown (eds), 1995 for different possibilities)
    - relaxing assumption of exogeneity of labour supply
      - ✓ see e.g. Walters, 1995
    - gender disaggregation of national aggregates as national income, savings, consumption, employment in economic models
      - ✓ see e.g. Collier, 1994
- *Incorporates a gender-perspective into medium-term frameworks of policy development, planning and budgetary allocations*
  - Integration of gender-dimension in MTEFs (see slides 57-61)

# Gender-disaggregated benefit incidence analysis

- *Examines the distribution of public services (and related expenditures) over men and women*
  - *Three step methodology*
    - Identification of unit cost of social services (+ disaggregation over different sub-categories)
    - Identification of usage that is made of social services (+ disaggregation along other criteria: geographical location, age, class, ...)
    - Linking of the two previous steps
  - *Limits*
    - No thorough analysis regarding underlying causes (need for complementary intra-household resource allocation)
    - No economic cost-benefit analysis
    - No differences in needs are taken into account
  - *Examples (see handouts):*
    - Ivory Coast: education

# Gender-disaggregated revenue incidence analysis

➤ *examines the distribution of the burden of government revenue raising*

- so far, more focus on industrialized countries (tax administration)
- *data requirements:*
  - information about primary and secondary income distribution at individual level
- differentiation between *direct* and *indirect effects:*
  - analysis of direct effects at the level of the 'individual' income
  - analysis of indirect effects at the level of:
    - ✓ bargaining power
    - ✓ allocation of resources at the level of the household (investment in human capital)
    - ✓ allocation of productive resources (who participates at market labour?)
    - ✓ long-term welfare of men and women (pensions, ...)
- *Examples (see handouts):*
  - Zambia, Kenya, Malawi: user fees
  - Nepal: district, municipal and village taxes
  - Belgium: tax reform

## Gender-disaggregated analysis of the impact of the budget on time use

### ➤ *Studies effect of changes in fiscal policy on household time budgets*

- Unveils the interdependence of market and care economy
- Emphasizes need for taking into account in policy analysis time spent in care economy (interdependence market and care economy)
- Data collection through gender-disaggregated time use studies

### • *Examples: (see handouts)*

- Ecuador: impact of social spending cutbacks (structural adjustment programmes) on time use of women in Ecuador
- Impact of investments in child care on women's and girls' time use
- Impact of investments in water & sanitation on women's & girls' time use

# Gender impact assessment

- *Assesses the contribution of policy interventions to the achievement of gender priorities and goals.*
  - It mostly consists of two levels:
    - **Separate assessment of each policy and program intervention**
      - ✓ How well were the gender priorities achieved?
      - ✓ Is the intervention sustainable?
      - ✓ Is it possible to replicate the intervention?
      - ✓ To what extent were men and women involved in selecting, designing and implementing each policy & program
    - **Overall assessment of the extent to which the combined PRS interventions contributed to the gender objectives**
      - ✓ Listing all the gender objectives and rating the level and effectiveness of the PRS to each of the objectives
      - ✓ Analysis (strong –weak)
      - ✓ Recommendation for future stages to improve the contribution to the gender objectives

## Gender-aware budget statement

- *reporting by different ministries of the expected/realised gender impact of its budget (possibly as an annex to the budget)*
  - *Accountability exercise* that may use GRB approaches and tools:
    - e.g. the Budlender and Sharp classification as an overarching framework
      - ✓ showing how much is spent for each of the ministries on categories 1 and 2;
      - ✓ showing the gendered effect of category 3 expenditures (displaying results of analysis using one/several of the above tools; e.g. gender-disaggregated benefit incidence analysis)
  - *Examples (see handouts):*
    - France: 'le jaune budgétaire' (extract: Ministry of Employment and Solidarity; Economic Affairs, Finance and Industry)
    - Pakistan: federal level & Punjab province

### **3.4. Application to the case of national and sectoral policies and programmes**

- General overview: see slide 48

**Possible actions and instruments to engender national PRSP & sector policies & programmes**

PROCESS of elaboration, implementation, monitoring and evaluation (see also PRSP Sourcebook, Technical Notes, I.1)	CONTENT			
	(Poverty) diagnosis and analysis (see also PRSP Sourcebook, Technical Notes I.2., I.6 en Technical Notes I.4 for checklists for all priority sectors)	Identification of priorities and strategies (see also PRSP Sourcebook, Technical Notes I.3)	Budgeting and implementation (see also PRSP Sourcebook, Technical Notes I.2, I.5)	Monitoring and evaluation (see also PRSP Sourcebook, Technical Notes I.2. and I.5)
<ul style="list-style-type: none"> <li>Increasing participation of gender actors within government</li> <li>Increasing participation of gender actors outside government</li> <li>In case of participation and stakeholder consultation at local level, inclusion of analysis of existing participation of women and gender expertise at participatory processes, if needed change of format of processes (place, time, etc.)</li> <li>affirmative action to promote equal opportunities in public sector employment (especially within central ministries and at higher levels of hierarchy)</li> <li>Investing in the macro-economic &amp; general policy analysis capacity of the 'gender' actors involved</li> <li>Investing in the 'gender' capacity of the mainstream actors involved</li> </ul>	<p>Take into account take-off position of men and women</p> <ul style="list-style-type: none"> <li><u>Use of relevant secondary information:</u> <ul style="list-style-type: none"> <li>-existing gender-disaggregated indicators</li> <li>-existing country gender assessments</li> <li>-results of previous application of gender-analysis frameworks</li> <li>-information at the Ministry of Equal Opportunities</li> </ul> </li> <li><u>Primary data collection and analysis:</u> <ul style="list-style-type: none"> <li>-separate, stand-alone exercises</li> <li>-engendering conventional data collection methods</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>take into account results of previous phase of diagnosis and analysis (in case it has been done in a gender-sensitive way)</li> <li>use of gender-disaggregated beneficiary and needs assessment</li> <li>integration of priorities and strategies included in gender policy notes (documents from ministry of equal opportunities e.g., Beijing policy action plans; Gender Country Assessment)</li> <li>use of gender-aware policy appraisal if it does not exist, building institutional capacity for genderresponsive diagnosis, planning, budgeting, implementation, monitoring and evaluation</li> </ul>	<ul style="list-style-type: none"> <li>use of gender-aware macro economic framework</li> <li>Integration of gender in MTEF</li> <li>integration of gender dimension in results-based management frameworks (see Budget Cycle Framework)</li> <li>check whether gender-sensitive priorities identified in the previous phase are also budgeted for</li> <li>check whether implementation procedures have been foreseen for gender-sensitive priorities</li> </ul>	<ul style="list-style-type: none"> <li>engendering conventional monitoring and evaluation instruments (incidence analysis, impact assessment, ...): <ul style="list-style-type: none"> <li>-assessment of gender sensitiveness of service delivery</li> <li>-use of gender-disaggregated benefit incidence analysis</li> <li>-use of gender-disaggregated tax incidence analysis</li> <li>-use of gender-disaggregated analysis of the impact of the budget on time use</li> <li>-use of gender impact assessment (see PRSP Sourcebook, p. 364)</li> </ul> </li> <li>disaggregation of input, output, outcome indicators (if not yet done during previous stages)</li> <li>identification of indicators for follow-up of gender equality and empowerment</li> </ul>



#### 4. Engendering new aid modalities: the case of the EC

- *What could be entry points for the EC to engender new aid modalities?*

## 4. Engendering new aid modalities: the case of the EC: outline

4.1. Introduction: possible entry points

4.2. Entry point: assessment of sector programmes (in context of SPSP)

4.3. Entry point: ec approach to conditionality

## 4.1. The case of the EC: introduction

### ➤ Possible entry-points:

- Assessment of key areas of sector programmes (in context of SPSP)  
see EC (July 2007). Guidelines No. 2. Support to Sector Programmes. Covering the three financing modalities: Sector Budget Support, Pool Funding and Ec project procedures.
- Ec approach to conditionality (fixed + variable tranches)  
see EC Budget Support: an innovative approach to conditionality (February 2005)

## 4.2. Entry point: assessment of sector programmes

- Assessment throughout various phases of SPSP cycle
  - programming and identification phase
  - formulation
  - implementation (updates)
- Jointly, using input from other sources, no absolute criteria (identification of risks & opportunities)
- The 7 key areas of assessment
  1. Sector policy and overall strategic framework
  2. The budget and its medium-term perspectives
  3. Sector and donor coordination systems
  4. The institutional setting and existing capacities
  5. Performance monitoring systems
  
  6. The macroeconomic framework
  7. Public financial management systems

## 4.2. Entry point: assessment of sector programmes(cont.)

➤ *How could the assessment of sector programmes be made more gender-sensitive? (using GRB principles, tools and approaches?)*

- Brainstorming exercise in groups (20 min.)
- Selection of 3 out of the 7 areas
  - The sector policy and overall strategic framework
  - The budget and its medium-term perspectives
  - Performance monitoring systems

## 4.2. Entry point: assessment of sector programmes(cont.)

- Engendering the assessment of the sector policy and overall strategic framework (some suggestions)
  - processes:
    - Has gender expertise been used, inside & outside government? (participation)
    - Have specific instruments of gender mainstreaming/gender budgeting been used? (including functional framework Diane Elson; gender-disaggregated beneficiary assessment; gender-aware policy appraisal; time-use incidence analysis; results of previous gender-disaggregated benefit incidence analysis)

## 4.2. Entry point: assessment of sector programmes(cont.)

### ➤ Engendering the assessment of the sector policy and overall strategic framework (some suggestions)

- content:
  - is the mutually influencing relationship between gender & development taken into account when elaborating policy?
  - is it taken into account that underlying gender relations influence overall policy objectives (impact), outcomes, outputs, activities, ... = are the policy and related strategies based on gender-disaggregated diagnosis of needs, constraints, opportunities, incentives, threats (COINS) ?
  - is it taken into account that (sector) policy might impact differently on men and women? Does the policy take into account these differential effects? (gender-aware policy appraisal)
  - Can the policy still be reformulated? Can remedial interventions be taken? (e.g. inclusion of activities specifically targeted at women) Is there a possibility to still include such gender-responsive additional measures?

## 4.2. Entry point: assessment of sector programmes(cont.)

### ➤ Engendering the assessment of the budget and its medium-term perspectives

- Processes
  - Have gender actors been involved in the budget process and the MTEF? (gender focal points at line ministry level, ministry of equal opportunities)
  - Do mainstream actors involved in the budget process and the MTEF have a minimal gender expertise? (e.g. in gender budgeting tools)
- Content
  - Is the MTEF gender-sensitive? (see slides 57-61)
  - Have gender-specific policy measures (category 1 & 2 of Budlender/Sharp) adequately been budgeted for?



# Engendering the MTEF: some basics

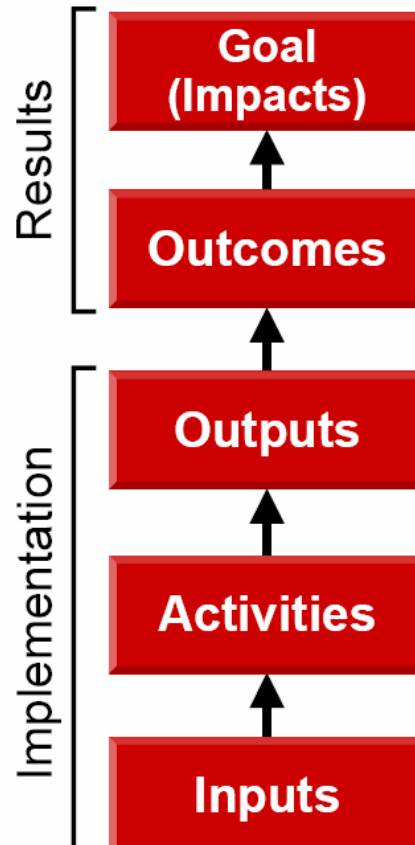
## ➤ Introduction: MTEF

- COMBINATION OF
    - **Macro-economic top-down processes**
      - identification of INPUTS
      - on basis of macroeconomic frameworks & forecasts
- AND
- **Sectoral bottom-up processes**
    - identification of sectoral goals, priorities, strategies, intervention
    - translated into (impact), outcome, output and activities

All (coordination through central ministry)

Sectoral/line ministry

Central ministry (finance)



- Long-term, widespread improvement in society (End-Outcomes)
- Intermediate effects of outputs on clients (Intermediate Outcomes)
- Products and services produced
- Tasks personnel undertake to transform inputs to outputs
- Financial, human, and material resources

## Engendering the MTEF (cont.)

- MTEF mostly includes the following phases (PEM Handbook, 1998)
  - Development of macroeconomic/fiscal framework
  - Development of sectoral expenditure frameworks
  - Development of sectoral programmes
  - Definition of sector resource allocations
  - Preparation of sectoral budgets
  - Final political approval

### ⇒ Engendering MTEF

- inclusion of gender dimension in all these phases (content + processes)
- capacity building of different actors involved (= investment in institutional capacity for engendering policy-making, planning, budgeting, implementation, M&E)
- Example: Morocco (see handouts)

## Engendering the MTEF (cont.)

- inclusion of gender dimension in
  - engendering macro-economic/fiscal framework (see slide 41)
  - inclusion of gender dimension in budget guidelines (budget call circular) (see slide 61)
  - engendering sectoral programmes and sectoral MTEFs
    - Gender-aware policy appraisal (see slide 39)
    - Budget cycle framework (see slide 15)
  - inclusion of gender dimension when coordinating between the different sectoral MTEFs to finalise the overall MTEF
  - inclusion of gender dimension at moment of political approval (parliament & broader society)

## Engendering the MTEF (cont.)

- **inclusion of gender dimension in budget guidelines (budget call circular): some suggestions**
  - stimulate (initiate) more gender-sensitive processes & content at sectoral/line ministry level
  - stimulate the application of methods for engendering sector programmes
  - stimulate the involvement of gender actors in preparation of sectoral programmes and MTEFs
  - ask for inclusion of gender-sensitive indicators at different levels of the sectoral programmes (disaggregation of indicators + indicators of gender-equality & empowerment)
  - ensure that those indicators are retained when tracking, monitoring and evaluation takes place
  - stimulate inclusion of gender dimension in mainstream M&E processes (overall sectoral reviews, more specifically: expenditure tracking surveys, service delivery surveys, beneficiary assessment, benefit and tax incidence analysis, poverty and social impact analysis)
  - ask for gender-aware budget statement (see slide)
- Example: Pakistan (see handout)

## 4.2. Entry point: assessment of sector programmes(cont.)

### ➤ Engendering the assessment of performance monitoring systems

- Processes
  - Is gender expertise used in the monitoring system?
- Content
  - Are instruments of GRB used in M&E ?
  - Are targets and indicators (at various levels) in the PAF disaggregated by sex?
  - Are specific indicators related to gender equality included in the PAF?
  - Is the individual dimension included in (household) surveys?
  - Are results of M&E used in the following phase (feedback)?

## 4.2. Entry point: assessment of sector programmes(cont.)

- *Application on Sector Policy Support Programme (SPSP) to achieve education for all (EFA) Fundamental School Quality Levels (FSQL)*

*Assess the gender-sensitivity of the assessment of the FSQL sector programme*

*Focus on the areas of:*

- *The sector policy and overall strategic framework*
- *The budget and its medium-term perspectives*
- *Performance monitoring systems*

*Indicate strong, weak points and suggestions for improvement*

See EC Briefing Note for the results.

### Documents:

- European Commission (EuropeAid Co-operation Office). Financing Proposal N° AIDCO/VNM/2005/17545
- World Bank (2005). Report No: 31735-VN (extracts)
- EC Briefing Note on Gender Budgeting (author: N. Holvoet)

## 4.3. Entry point: ec approach to conditionality

➤ *general issues*: EC approach: reaction to aid effectiveness analysis (enforcement problem)

+ : country-ownership: PRSP-based (some problems but improving)

??? donor-imposed gender conditionality: (counter)productive? (↔ incentive)

→ importance of gender-sensitive PRSP + underlying processes (!)

→ importance of gender during donor-recipient political dialogue

+ : results-based (versus input)

BUT

- 'beyond' government responsibility (choice of indicators)?
- quality of monitoring and evaluation?



### 4.3. Entry point: ec approach to conditionality (cont.)

#### ➤ fixed tranches and conditionality (3 + 1)

- General conditions: e.g. macro-economic stability (IMF programme), PFM
  - *Specific conditions*: e.g. basis for preparing the report on indicators used in the variable tranche (« PRSP APR to be presented by a specific date »)
- possible to engender indicators + engender analysis of (non)achievement

#### ➤ *Results (output/outcome) -based variable tranches and conditionality (15)*

- **budget indicators, PFM indicators (see different assessment instruments; see PEFA), health indicators, education indicators**

→ possible to engender indicators + engender analysis of (non)achievement

- **other indicators**: including cross-cutting issues such as '**gender equality**' → how to make 'gender equality' operational? Capabilities? Opportunities?

## 4.3. Entry point: Ec approach to conditionality (cont.)

➤ *Exercise (60 min.)*

- *How could the results-based variable tranches be made more gender-sensitive (using gender budgeting)?*

*Selection of:*

- budget indicators (group 1)
- PFM indicators (group 2)
- education indicators (group 3)
  
- 'gender equality' indicators

*Background Document:*

**EC Budget Support: An Innovative Approach to Conditionality (February 2005)**  
(extracts)

## 4.3. Entry point: Ec approach to conditionality

➤ Engendering results-based variable tranche (some suggestions):

- **budget indicators:**

- allocation to health & education → allocation to those sub-programmes where women actually participate most (primary education, primary health)
- allocation to specific sub-programmes in different sectors that stimulate gender equality (e.g. activities focusing on practical and strategic gender needs: e.g. household water supply, sanitation, public transport, economic and 'political' literacy, local feeder roads, ...)
- allocation to institutional apparatus to increase gender-sensitivity of overall policy cycle (gender-sensitiveness of underlying processes) (e.g. % of budget to ministry of gender; % of budget in different ministries allocated to 'engendering the programme and the working of the ministry')
- allocation to stimulate equal opportunities in public sector employment and service delivery (e.g. in rural extension services, police stations, ...)

## 4.3. Entry point: Ec approach to conditionality

➤ Engendering results-based variable tranche (some suggestions)

- **PFM indicators** (process indicators, based on different assessment instruments: PERs, CFAAS, CPARs, Fiscal ROSCs, HIPC AAPs, EC audits)
  - expenditure analysis includes gender-disaggregated benefit incidence-analysis
  - expenditure classification follows program approach, disaggregation of different levels (input, output, outcome, impact) according to gender (see Elson's Functional Framework)
  - participation of gender actors inside government in budget preparation
  - participation of gender actors outside government in budget preparation

## 4.3. Entry point: Ec approach to conditionality

➤ Engendering results-based variable tranche (some suggestions)

- **PEFA-indicators**

- classification of budget (if program approach is followed, disaggregation according to gender)
- comprehensiveness of information included in the budget documentation (gender-aware budget statement included)
- public access to key fiscal information (special efforts to make information available to specific groups, e.g. women?)
- orderliness and participation in the annual budget process ('inclusiveness' of budgetary process, participation of gender actors inside and outside government?)
- availability of information on resources received by service delivery units (gender disaggregation in expenditure tracking surveys)

## 4.3. Entry point: Ec approach to conditionality (cont.)

### ➤ Engendering results-based variable tranche (cont.)

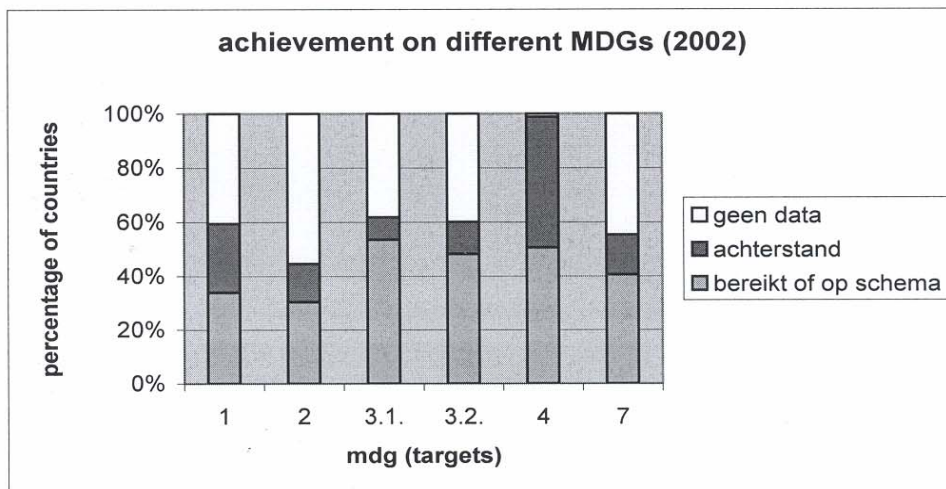
#### • Education

- gross enrolment rate primary education for girls
- net enrolment rate primary education for girls
- girl/boy ratios of primary & secondary net enrolment rate
- girl/boy ratios of primary & secondary gross enrolment rate
- girls completion rate in primary
- girls completion rate in secondary
- girl/boy ratios of completion rates in primary and secondary
- girl/boy ratio of transition rates from primary to secondary
- girl/boy ratio of repetition rates
- girl/boy ratio of drop out rates
- number of female qualified teachers
- number of primary schools with appropriate girls' sanitation facilities

## 4.3. Entry point: Ec approach to conditionality (cont.)

- Engendering results-based variable tranche (some suggestions)
  - **Gender equality**
  - **Gender empowerment**
  
- How to make those concepts/constructs operational?
  - Capabilities: education, health
  - Opportunities: participation in economic and political life, return from participation
  
- Strongly diverging conclusions about the actual state depending on the specific indicators chosen (see slide 72)

## Making Gender Equality and Gender Empowerment Operational: Different Indicators lead to strongly diverging conclusions



→ Gender Equality is among the most successful MDGs (see 3.1 and 3.2) ....

	Girl/boy combined enrolment rate in primary and secondary education		Female/male literacy rate (15-24 years)		Female/male non-agriculture employment rate	
	1990/91	2001/02	1990	2001	1990	2000-02
Europe and Central Asia	...	97	100	100	47	45
East Asia and Pacific	83	...	96	99	38	39
Latin America and Cariben	...	102	100	101	38	42
Middle East and Northern Africa	79	91	77	84	21	...
South Asia	68	81	73	80	13	17
SSA	79	...	69	88	32	...
World	84	...	87	92	35	37

Source: World Bank (2004). *World Development Indicators Database*.

.... or not really?



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## **Annexes: gender scan and gender checklist for assessment of gender-sensitivity of national and sectoral policies & programmes**

- Gender scan (see slide 77)
- Checklist for in-depth diagnosis (see slides 78-84)

Different phases								
	Poverty diagnosis		Selection of priorities		Budgeting & implementation	SC	Monitoring and evaluation	
CONTENT	Poverty incidence	SC	Capabilities: with further distinction among different sectors	SC	overall macro-economic framework & medium term expenditure framework	SC	Monitoring and evaluation systems	SC
	Capabilities: with further distinction between different sectors of public service delivery: education, health, water and sanitation, energy, transport	SC						
	Opportunities: with further distinction among employment and wages, labour market participation, SME, access and control over productive assets (credit, property rights regarding e.g. land)	SC	Opportunities: with further distinction among different sectors: employment and wages, labour market participation, SME, access and control over productive assets	SC	budgeting and resource allocation: if possible distinguish also between: <ul style="list-style-type: none"> <li>•capabilities</li> <li>•opportunities</li> <li>•security</li> <li>•voice/agency (or between sectors)</li> </ul>	SC sc sc sc sc	Monitoring and evaluation instruments (tools for data collection and analysis)	SC
	Security: with further distinction: vulnerability to economic risk, food shortages, civil and domestic violence, environmental risk	SC	Security: with further distinction	SC	Implementation issues (specific programmes, delivery channels, ...): if possible differentiate between <ul style="list-style-type: none"> <li>•capabilities</li> <li>•opportunities</li> <li>•security</li> <li>•voice/agency (or between sectors)</li> </ul>	SC sc sc sc sc	Targets and indicators, if possible differentiate between: <ul style="list-style-type: none"> <li>•capabilities</li> <li>•opportunities</li> <li>•security</li> <li>•voice/agency (or between sectors)</li> </ul>	SC  SC SC SC
	Individual and collective agency ('empowerment'): with further distinction between household, community, national level	SC	Individual and collective agency ('empowerment'): with further distinction	SC				
PROCESS	PC		PC		PC		PC	

SC (score on content): 0=not possible to determine on the basis of the information available; 1=no reference to gender issues; 2= some reference to gender issues; 3=detailed discussion of gender issues

PC (score on participation): 0: not possible to determine on the basis of the information available; 1= absence of women's voice (=no participation of women's or gender experts, groups, organisations, movements, ministry); 2= presence of women's voice (participation of women's or gender experts, groups, organisations, movements, ministry)

## Annex 2: checklist for in-depth diagnosis/analysis of gender-sensitivity

### A. PROCESS

- *To what extent did women and/or gender experts effectively participate at the PRSP/SWAP process?*
  - differentiate between different phases (analysis, selection, implementation, monitoring and evaluation)
  - differentiate between different levels of intensity of participation: information sharing, consultation, collaboration
  - differentiate between processes at different levels: household (through surveys), community, national
  - differentiate between processes within and outside government
  - differentiate between participation of specific gender actors and input of gender expertise from within mainstream actors
  - differentiate between participation of individual women and women's groups
  - differentiate further along axes of income, caste, class, age, ethnics

## ANNEX 2: checklist for gender-sensitivity (cont.)

- *Analysis of the organisation/format, set up of participatory processes and stakeholder consultations at different levels (micro, meso, macro)*
  - Did the set up of participatory processes take into account results of earlier analysis of the access of the different stakeholders to participatory processes (→were participatory processes organised in such a way as to take into account possible differential voice? (location, time, processes in different stages)?
  - Are measures taken to increase women's individual and collective agency (voice) at different levels (long-term perspective)?
- *What are the capacities of the women & gender experts/actors involved? (women's groups, national women's movements, national women's affairs ministries)*
  - differentiate between actors inside and outside government
  - differentiate between specific gender actors and gender expertise within mainstream actors
  - differentiate between gender expertise and more general (macroeconomic) expertise

## Annex 2: checklist for gender-sensitivity (cont.)

- *What is the gender expertise of the mainstream actors who are involved in the PRSP/SWAP*

- differentiate between actors inside and outside government

### **B. CONTENT**

- *general*

- which approach is used towards gender issues in the PRSP document? (pre-WID, WID, GAD approach)
- is there a mainstreaming of gender issues or only mentioning of gender issues at some points?
- how gender-sensitive was the input from different stakeholders? To what extent were gender issues integrated in the input of different stakeholders?

.Differentiate (if possible) between different groups of stakeholders: a.o. civil society, ministry of finance, line ministries, multilateral donor, bilateral donor



## Annex 2: checklist for gender-sensitivity (cont.)

### • *diagnosis and analysis*

- does the poverty/sectoral diagnosis integrate a gender dimension? Is it taken into account that 'gender' differentiates between men and women (time and task allocation, access and control over assets, needs, constraints, opportunities, rights, etc.)
- are indicators disaggregated by gender?
- are specific indicators for diagnosis of gender (in)equality used?
- are relevant secondary gender data used in the PRSP? (national studies; results from participatory poverty assessment; international databases with indicators such the GDI and the GEM; Gender Country Assessment; ...)
- are there differences in the integration of gender issues between different sectors (broad distinction between capabilities, opportunities, security and empowerment; if possible also differentiate further to sectors)? How come?

## Annex 2: checklist for gender-sensitivity (cont.)

### • *identification of priorities and strategies*

- to what extent are the results from the previous phase used?
- to what extent is the mutually influencing relationship between 'gender' and 'development' taken into account?
  - .Does one take into account that (all) strategies might affect men and women differently?
  - .Does one take into account that existing gender relations might affect the effectiveness and efficiency of all priorities and strategies?
  - .Does one take into account the interlinkages between productive and reproductive activity spheres?
- to what extent are existing gender equality plans taken into account? (national gender action plan; Beijing follow-up action plans; ...)
- are there differences in the integration of gender issues between different sectors? How come?
- have actions been identified to strengthen the existing institutional apparatus for integration of the gender dimension in different phases of a PRSP/SWAP?

## Annex 2: checklist for gender-sensitivity (cont.)

### • *budgeting and implementation*

- are the gender-sensitive strategies and actions that have been selected in the previous phase adequately budgeted for?
- are there adequate implementation mechanisms foreseen for gender-sensitive strategies and actions?
- do results-based frameworks integrate the gender dimension?
- does the MTEF integrate the gender dimension?

### • *indicators, monitoring and evaluation*

- to what extent are the conventional indicators disaggregated by sex? Are there differences between different sectors (e.g. more disaggregation for education and health than for labour?)
- are specific indicators regarding gender equality objectives included?

## Annex 2: checklist for gender-sensitivity (cont.)

- are conventional methods of analysis used in a gender-sensitive way? To what extent is a gender dimension integrated in:
  - .benefit incidence analysis of public services (see gender-disaggregated benefit incidence analysis);
  - .beneficiary assessment of public services (gender-disaggregated beneficiary assessment);
  - .time use incidence analysis (gender-disaggregated analysis of the impact of the budget on time use);
  - .tax incidence analysis (gender-disaggregated tax-incidence analysis);
  - .gender impact assessment
  - .household surveys
- to what extent are findings of monitoring and evaluation (if any) integrated in the next PRSP/SWAP-round ?



**Thank you!**

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