

UN-SWAP 2.0

ACCOUNTABILITY FRAMEWORK FOR
MAINSTREAMING GENDER EQUALITY
AND THE EMPOWERMENT OF WOMEN
IN UNITED NATIONS ENTITIES

UN-SWAP 2.0 FRAMEWORK & TECHNICAL GUIDANCE

11 NOVEMBER 2021

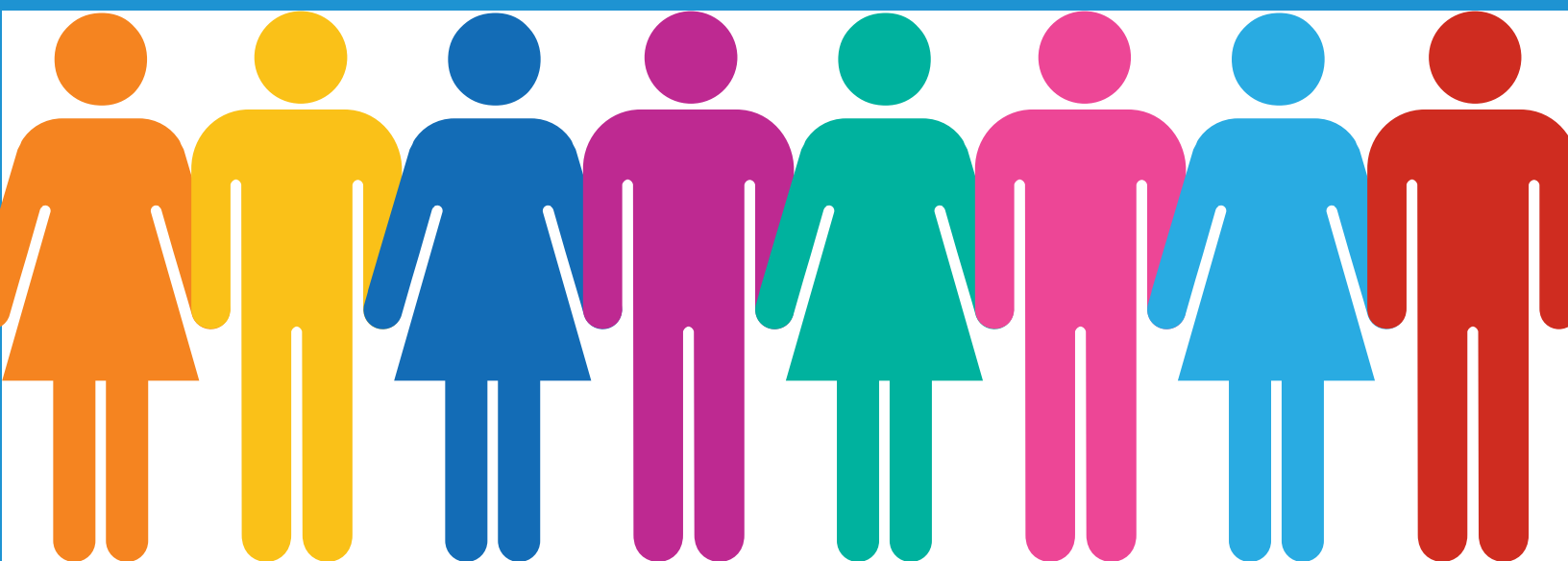


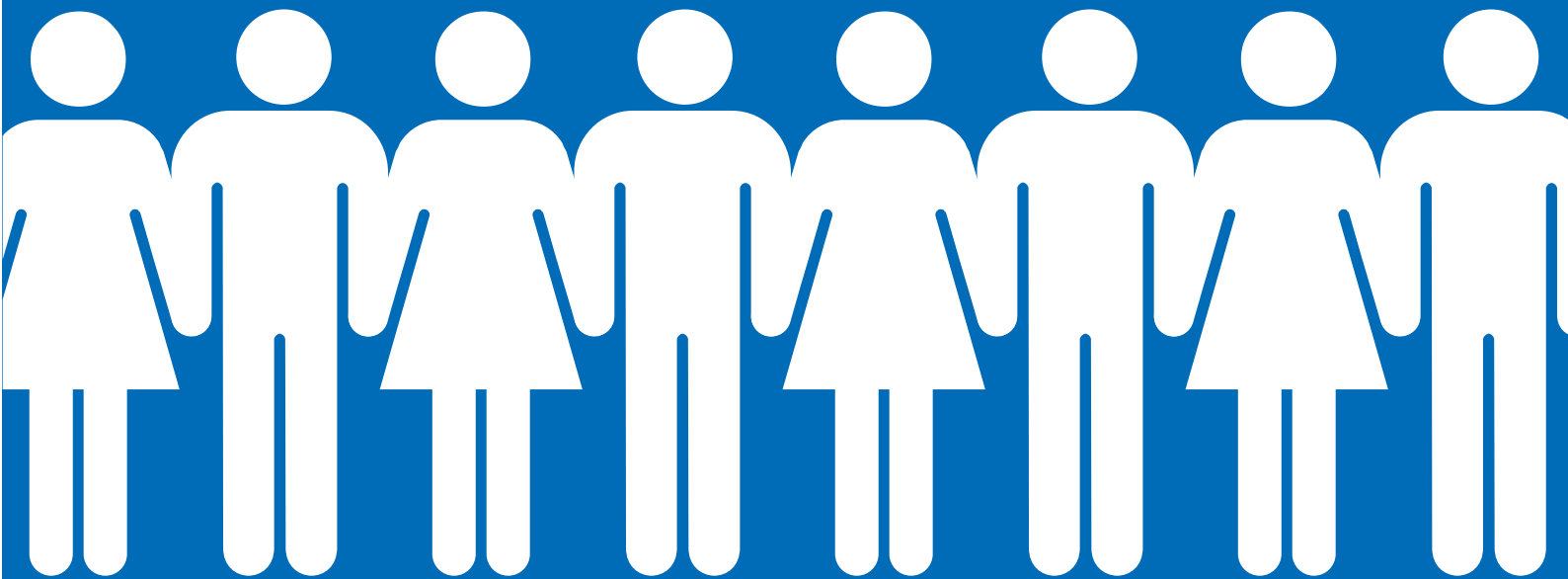
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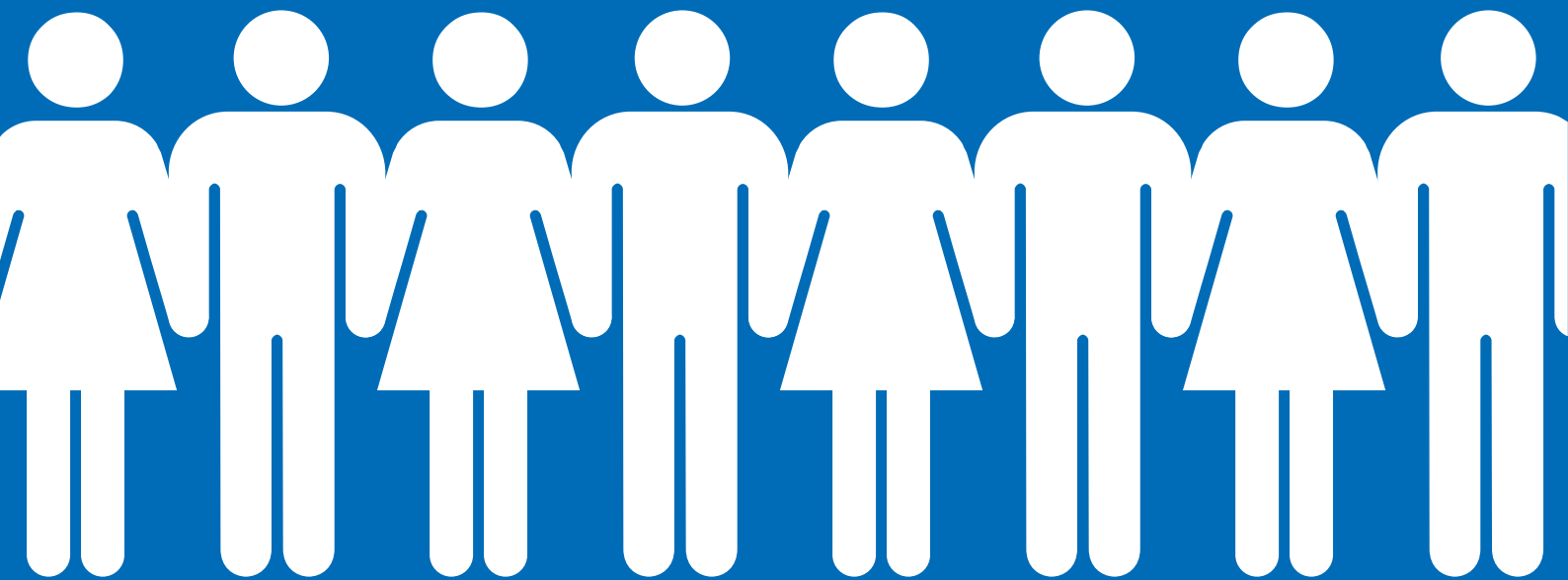
ACRONYMS



AGD	Age Gender and Diversity
CCPCJ	UN Commission on Crime Prevention and Criminal Justice
CEB	Chief Executives Board for Coordination
CEDAW	Convention on the Elimination of All Forms of Discrimination against Women
CoP	Community of Practice
CRC	Convention on the Rights of the Child
CRPD	Convention on the Rights of Persons with Disabilities
DFID	Department for International Development
DGACM	Department for General Assembly and Conference Management
DMSPC	United Nations Department of Management Strategy, Policy and Compliance
ECOSOC	United Nations Economic and Social Council
ERP	Enterprise Resource Planning
ESCWA	United Nations Economic and Social Commission for Western Asia
FAO	Food and Agricultural Organization
FWA	Flexible Working Arrangements
GBV	Gender Based Violence
GED	Gender, Equality and Diversity
GEEW	Gender equality and empowerment of women
GEM	Gender equality mainstreaming
GenCap	The Gender Standby Capacity Project
GEWE	Gender equality and women's empowerment
GFP	Gender Focal Point
HLCM	High-Level Committee on Management
HLCP	High-level Committee on Programmes
IANWGE	Inter-Agency Network on Women and Gender Equality
IASC	Inter-Agency Standing Committee
ICCS	International Classification of Crime for Statistical Purposes
IFAD	International Fund for Agricultural Development
ILO	International Labour Organization
IOM	International Organisation for Migration
IRIN	IRIN News Agency
ITC	International Trade Centre
ITC-ILO	International Training Centre of the ILO
ITU	International Telecommunication Union
JIU	Joint Inspection Unit
OAJ	Office of Administration of Justice
OECD-DAC	Development Assistance Committee of the Organisation for Economic Co-operation and Development
OHCHR	Office of the High Commissioner for Human Rights
OHRM	Office of Human Resources Management

OIG	Office of the Inspector General
OIOS	Office of Internal Oversight Services
OLA	Office of Legal Affairs
RBM	Results based management
SDG	Sustainable Development Goals
SGBV	Sexual and gender-based violence
TOF	Training of Facilitators
UN Women	United Nations Entity for Gender Equality and the Empowerment of Women
UNAIDS	The Joint United Nations Programme on HIV/AIDS
UNCDF	United Nations Capital Development Fund
UN-CTS	UN-Crime Trends Survey
UNDP	United Nations Development Programme
UNEG	United Nations Evaluation Group
UNFPA	United Nations Population Fund
UN-HABITAT	United Nations Human Settlements Programme
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNIDO	The United Nations Industrial Development Organization
UNODC	United Nations Office on Drugs and Crime
UNOG	United Nations Office at Geneva
UNON	United Nations Office at Nairobi
UNOV	United Nations Office at Vienna
UNRIAS	United Nations Representatives of Internal Audit Services
UNSSC	UN System Staff College
UN-SWAP	United Nations System Wide Action Plan
UNRWA	United Nations Relief and Works Agency
WFP	World Food Programme
WHO	World Health Organisation
WPS	Women, Peace and Security

ACKNOWLEDGEMENTS



The development and coordination of UN-SWAP 2.0 was led by Aparna Mehrotra, Director of UN System Coordination Division in UN Women, and Tony Beck as the lead consultant.

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Original technical guidance for reporting on UN-SWAP 2.0 was developed by UN Women over an 18-month period with input from across the UN system. System-wide consultations included the administration of a system-wide survey, six inter-agency workshops, 21 individual agency consultations, and a virtual consultation with 63 participants. A large number of gender focal points and other UN staff provided substantive technical input and generous support – we would like to thank them all for contributing to this collaborative project. Technical guidance is updated annually based on emerging lessons learned and new good practices.

An inter-agency Working Group on Results, chaired by UN Women, supported finalization of the three performance indicators on results and the development of the methodology to implement them. UN Women would like to thank the members of the working group for their contributions to the development of these new indicators: ILO, IOM, UNDP, WHO, UNEG, HABITAT, UNAIDS, UNIDO, WFP, ITU, ESCAP, ECA, WMO, ITC-ILO, and UN Women.

UN-SWAP 2.0 underwent two rounds of piloting with representative sets of entities, by nine entities between May and September 2016, and 11 entities between January and March 2018. UN Women would like to thank the pilot entities for their crucial feedback to the development of indicators and related methodology. These include:

2016 Piloting: ECA, ILO, ITC-ILO, IOM, UNAIDS, UNDP, UNIDO, UN Women, WFP.

2018 Piloting: ESCWA, FAO, ITC-ILO, UNAIDS, UNFCCC, UNIDO, UNOV/UNODC, UNOG, UN Women, WFP, WMO.

The typology of UN system-wide contributions to support the achievement of gender equality and the empowerment of women and girls in the context of the SDGs, used for indicators 1 and 3, was developed during 2018 by a working group of 14 entities ECA, ESCWA, IOM, OHCHR, UN Habitat, UNAIDS, UNDSS, UNESCO, UNICRI, UNICEF, UNIDO, UNODC, UNU and WHO. The group was facilitated by UN Women's consultant, Leslie Groves Williams.

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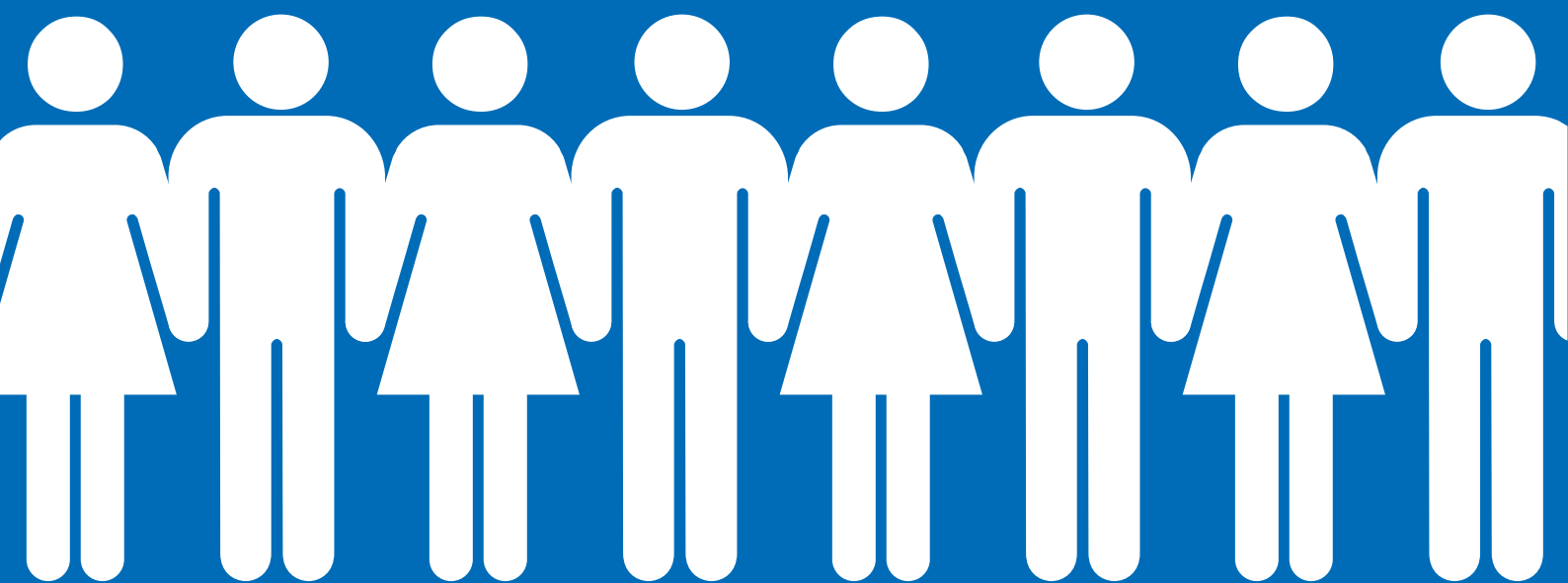
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FOREWORD



Realizing the promise of the 2030 Agenda for Sustainable Development and its 17 Sustainable Development Goals (SDGs) is an imperative for all United Nations (UN) entities. This includes mainstreaming gender equality and women's empowerment into all of our work and backing up these commitments with strong accountability frameworks. System-wide coordination around these common efforts is more important than ever as the UN system responds to the ongoing reform process.

In this regard, UN Women is honoured to launch the second generation of the System-wide Action Plan for Mainstreaming Gender Equality and the Empowerment of Women (UN-SWAP 2.0). UN-SWAP 2.0 provides an accountability framework which defines commonly agreed standards and coordinated approaches for the UN system to reach its goals and measure progress systematically.

We have come a long way since 2012, when the first UN-SWAP came into effect with the support of 55 participating UN entities and the endorsement of the UN System Chief Executives Board for Coordination. Since then, participation has increased to 66 UN entities in 2018 and we have seen steady progress across a range of indicators, which when clustered together, cover all the essential functions of a UN institution. This progress has been aggregated across the UN system and annually reported to the Economic and Social Council (ECOSOC). UN Women and a system-wide network of gender focal points and their leaders have worked to ensure that the system has integrated and strengthened gender equality in all aspects of each institution.

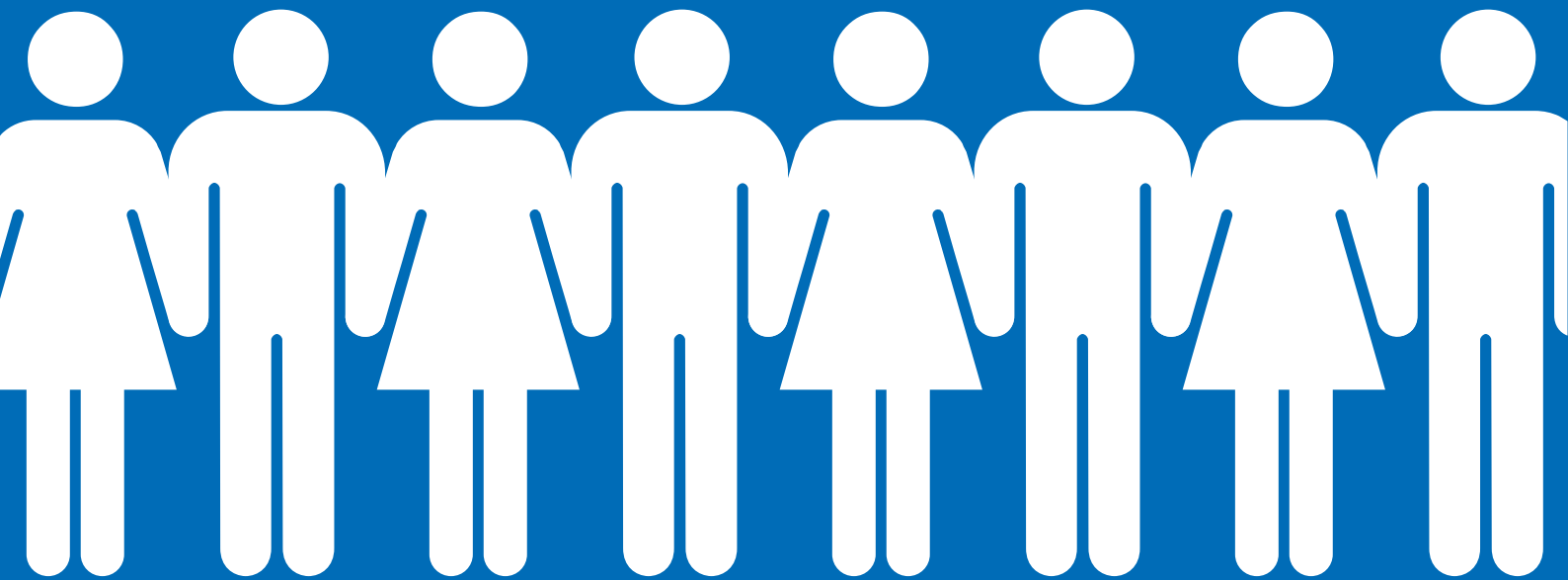
UN SWAP 2.0 continues the UN system along this path, while aligning strongly with the 2030 Agenda and its focus on results.

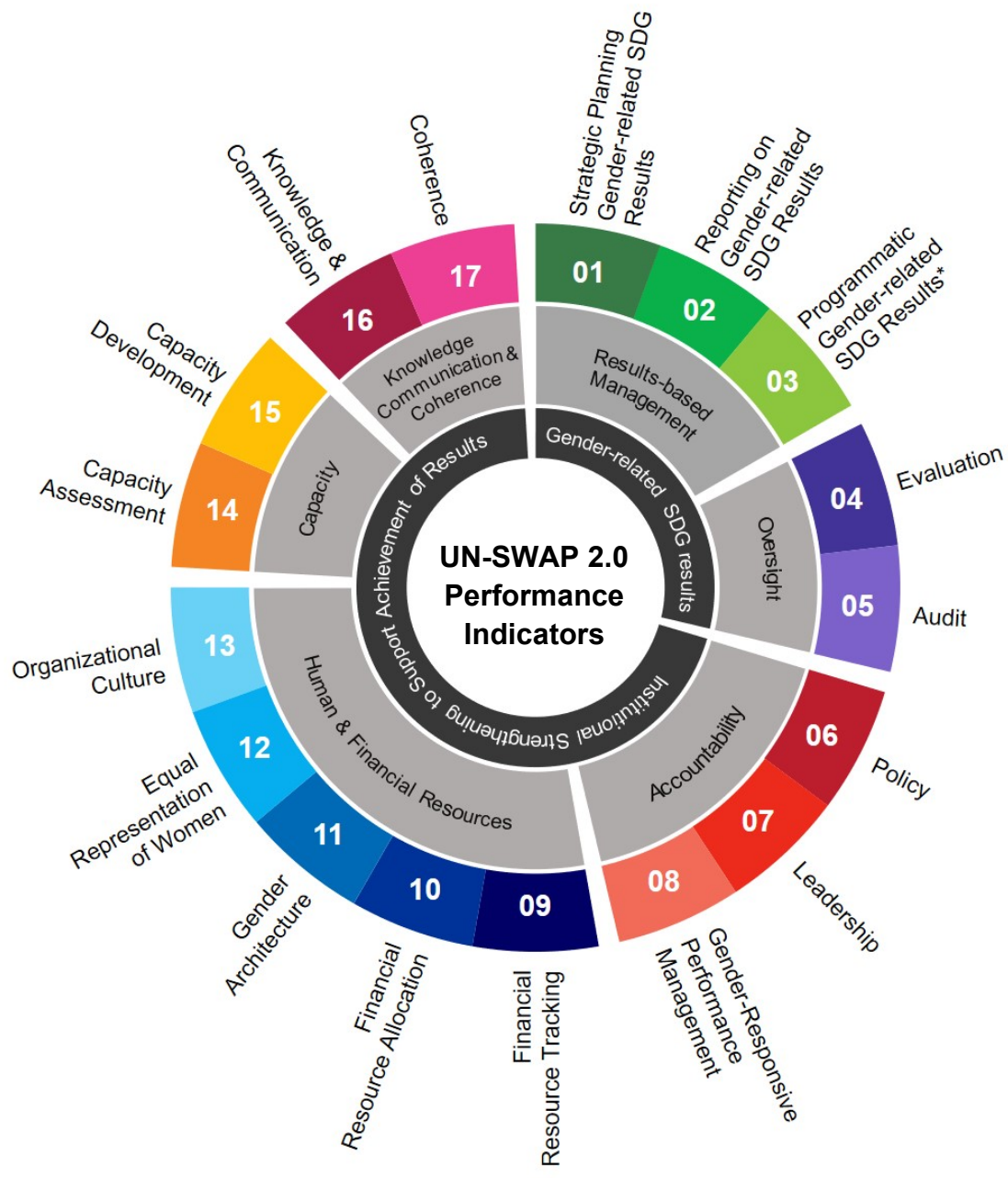
We thank all UN entities for their partnership, and the support of Member States over the past five years, and we look forward to strengthened coordination and meaningful results as we move into the next five years.



Phumzile Mlambo-Ngcuka
United Nations Under-Secretary-General
and Executive Director of UN Women

UN-SWAP 2.0 ACCOUNTABILITY FRAMEWORK








*not directly captured in the Strategic Plan




I. Gender-related SDG Results

A. Results-based Management




01. Performance Indicator: Strategic Planning Gender-related SDG results

 Approaches requirements	 Meets requirements	 Exceeds requirements
<p>1ai. Main strategic planning document includes at least one high-level result on gender equality and the empowerment of women which will contribute to meeting SDG targets, and reference to SDG 5 targets</p>	<p>1bi. Main strategic planning document includes at least one high-level result on gender equality and the empowerment of women which will contribute to meeting SDG targets, and reference to SDG 5 targets</p> <p>and</p> <p>1bii. Entity has achieved or is on track to achieve the high-level result on gender equality and the empowerment of women</p>	<p>1ci. Main strategic planning document includes at least one high-level transformative result on gender equality and the empowerment of women which will contribute to meeting SDG targets, and reference to SDG 5 targets</p> <p>and</p> <p>1cii. Entity has achieved or is on track to achieve the high-level transformative result on gender equality and the empowerment of women</p>

02. Performance Indicator: Reporting on Gender-related SDG results




 Approaches requirements	 Meets requirements	 Exceeds requirements
<p>2ai. Entity RBM system provides guidance on measuring and reporting on gender equality and the empowerment of women results</p> <p>or</p> <p>2aii. Systematic use of sex-disaggregated data in strategic plan reporting</p>	<p>2bi. Reporting to the Governing Body or equivalent on the high-level result on gender equality and the empowerment of women which will contribute to meeting SDG targets, including SDG 5</p> <p>and</p> <p>2bii. Systematic use of sex-disaggregated data in strategic plan reporting</p>	<p>2ci. Reporting to the Governing Body or equivalent on the high-level result on gender equality and the empowerment of women which will contribute to meeting SDG targets, including SDG 5</p> <p>and</p> <p>2cii. Systematic use of sex-disaggregated data in strategic plan reporting</p> <p>and</p> <p>2ciii. Reporting every two years to the Governing Body or equivalent on implementation of the entity's gender equality and empowerment of women policy</p>

03. Performance Indicator: Programmatic Gender-related SDG Results*¹




 Approaches requirements	 Meets requirements	 Exceeds requirements
<p>3a. Results on gender equality and the empowerment of women are consistently included in programmatic initiative planning documents</p>	<p>3b. Programmatic results on gender equality and the empowerment of women are met or on track to be met</p>	<p>3c. Programmatic results on gender equality and the empowerment of women are met or on track to be met</p> <p>and</p> <p>3ci. Programmatic initiatives consistently include transformative gender equality and the empowerment of women results</p>

B. Oversight

04. Performance Indicator: Evaluation

 Approaches requirements	 Meets requirements	 Exceeds requirements
<p>4a. Meets some of the UNEG gender-related norms and standards in the UNEG Guidance on Integrating Human Rights and Gender Equality in Evaluation</p>	<p>4bi. Meets the UNEG gender equality - related norms and standards</p> <p>and</p> <p>4bii. Applies the UNEG Guidance on Integrating Human Rights and Gender Equality in evaluation during all phases of the evaluation</p>	<p>4ci. Meets the UNEG gender equality - related norms and standards, applies the UNEG Guidance on Integrating Human Rights and Gender Equality in Evaluation during all phases of the evaluation</p> <p>and</p> <p>4cii. Conducts at least one evaluation to assess corporate performance on gender mainstreaming or equivalent every 5-8 years</p>

05. Performance Indicator: Audit

 Approaches requirements	 Meets requirements	 Exceeds requirements
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¹ *not captured in the Strategic Plan

<p>5a. Consultation takes place with the gender focal point/ department on risks related to gender equality and the empowerment of women, as part of the risk-based audit annual planning cycle</p>	<p>5b. Based on risks assessments at engagement level, internal audit departments have developed tools for auditing gender equality and the empowerment of women related issues (e.g. policy compliance, quality of reporting etc.) and apply these as appropriate in all relevant audit phases</p>	<p>5ci. Relevant gender equality findings are systematically presented in annual reports of the internal audit departments</p> <p>and</p> <p>5cii. Internal audit departments undertake a targeted audit engagement related to gender equality and the empowerment of women at least once every five years</p>
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II. Institutional Strengthening to Support Achievement of Results

C. Accountability




06. Performance Indicator: Policy

 Approaches requirements	 Meets requirements	 Exceeds requirements
<p>6a. Policies and plans being developed on gender equality and women’s empowerment, including gender mainstreaming and the equal representation of women</p>	<p>6b. Up-to-date policies and plans implemented on gender equality and women’s empowerment, including gender mainstreaming and the equal representation of women</p>	<p>6ci. Up to date policies and plans implemented on gender equality and women’s empowerment, including gender mainstreaming and the equal representation of women</p> <p>and</p> <p>6cii. Specific senior level mechanism in place for ensuring accountability for promotion of gender equality and the empowerment of women</p>

07. Performance Indicator: Leadership




 Approaches requirements	 Meets requirements	 Exceeds requirements
<p>7a. Senior managers internally champion gender equality and the empowerment of women</p>	<p>7bi. Senior managers internally and publicly champion gender equality and the empowerment of women</p>	<p>7ci. Senior managers internally and publicly champion gender equality and the empowerment of women</p> <p>and</p> <p>7cii. Senior managers proactively promote improvements in UN-SWAP Performance Indicators where requirements are not met/exceeded</p>

08. Performance Indicator: Gender-responsive Performance Management




 Approaches requirements	 Meets requirements	 Exceeds requirements
<p>8a. The entity's core values and/or competencies being revised to include assessment of gender equality and the empowerment of women</p>	<p>8b. Assessment of gender equality and the empowerment of women integrated into core values and/or competencies for all staff, with a particular focus on levels P4 or equivalent and above</p>	<p>8ci. Assessment of gender equality and the empowerment of women integrated into core values and/or competencies for all staff, with a particular focus on levels P4 or equivalent and above including decision making positions in all Committees, Missions and Advisory Bodies</p> <p>and</p> <p>8cii System of recognition in place for excellent work promoting gender equality and women's empowerment</p>

D. Human and Financial Resources




09. Performance Indicator: Financial Resource Tracking

 Approaches requirements	 Meets requirements	 Exceeds requirements
<p>9a. Working towards a financial resource tracking mechanism to quantify disbursement of funds that promote gender equality and women's empowerment</p>	<p>9b. Financial resource tracking mechanism in use to quantify disbursement of funds that promote gender equality and women's empowerment</p>	<p>9ci. Financial resource tracking mechanism in use to quantify disbursement of funds that promote gender equality and women's empowerment</p> <p>and</p> <p>9cii. Results of financial resource tracking influences central strategic planning concerning budget allocation</p>




10. Performance Indicator: Financial Resource Allocation

 Approaches requirements	 Meets requirements	 Exceeds requirements
<p>10a. Financial benchmark is set for implementation of the gender equality and women's empowerment mandate</p>	<p>10b. Financial benchmark for resource allocation for gender equality and women's empowerment mandate is met</p>	<p>10c. Financial benchmark for resource allocation for gender equality and women's empowerment mandate is exceeded</p>

11. Performance Indicator: Gender Architecture

 Approaches requirements	 Meets requirements	 Exceeds requirements
<p>11. Gender focal points or equivalent at HQ, regional and country levels are:</p> <ul style="list-style-type: none"> a. appointed from staff level P4 and above b. have written terms of reference c. at least 20 per cent of their time is allocated to gender focal point functions 	<p>11bi. Gender focal points or equivalent at HQ, regional and country levels are:</p> <ul style="list-style-type: none"> a. appointed from staff level P4 and above for both mainstreaming and representation of women b. have written terms of reference c. at least 20 per cent of their time is allocated to gender focal point functions <p>and</p> <p>11bii. Gender department/unit is fully resourced according to the entity mandate</p>	<p>11ci. Gender focal points or equivalent at HQ, regional and country levels are:</p> <ul style="list-style-type: none"> a. appointed from staff level P5 and above for both mainstreaming and representation of women b. have written terms of reference c. at least 20 per cent of their time is allocated to gender focal point functions d. specific funds are allocated to support gender focal point networking <p>and</p> <p>11cii. Gender department/unit is fully resourced according to the entity mandate</p>

12. Performance Indicator: Equal Representation of Women




 Approaches requirements	 Meets requirements	 Exceeds requirements
<p>12a. Plan in place to achieve the equal representation of women for General Service staff and all professional levels in the next five years</p>	<p>12b. The entity has reached the equal representation of women for General Service staff and all professional levels</p>	<p>12c. The entity has reached the equal representation of women for General Service staff and all professional levels including the senior most levels of representation in Field Offices, Committees, Advisory Bodies and Funds linked to the entity irrespective of budgetary source</p>

13. Performance Indicator: Organisational Culture




 Approaches requirements	 Meets requirements	 Exceeds requirements
<p>13a. Organizational culture partly supports promotion of gender equality and the empowerment of women</p>	<p>13b. Organizational culture fully supports promotion of gender equality and the empowerment of women</p>	<p>13ci. Organizational culture fully supports promotion of gender equality and the empowerment of women</p> <p>and</p> <p>13cii. ILO Participatory Gender Audit or equivalent carried out at least every five years</p>

E. Capacity




14. Performance Indicator: Capacity Assessment




 Approaches requirements	 Meets requirements	 Exceeds requirements
<p>14a. Assessment of capacity in gender equality and women's empowerment for individuals in entity is carried out</p>	<p>14bi. Entity-wide assessment of capacity of all relevant entity staff at HQ, regional and country levels in gender equality and women's empowerment is carried out</p> <p>and</p> <p>14bii. A capacity development plan is established or updated at least every five years</p>	<p>14ci. Entity-wide assessment of capacity of all relevant entity staff at HQ, regional and country levels in gender equality and women's empowerment is carried out</p> <p>and</p> <p>14cii. A capacity development plan is established or updated at least every three years</p>

15. Performance Indicator: Capacity Development

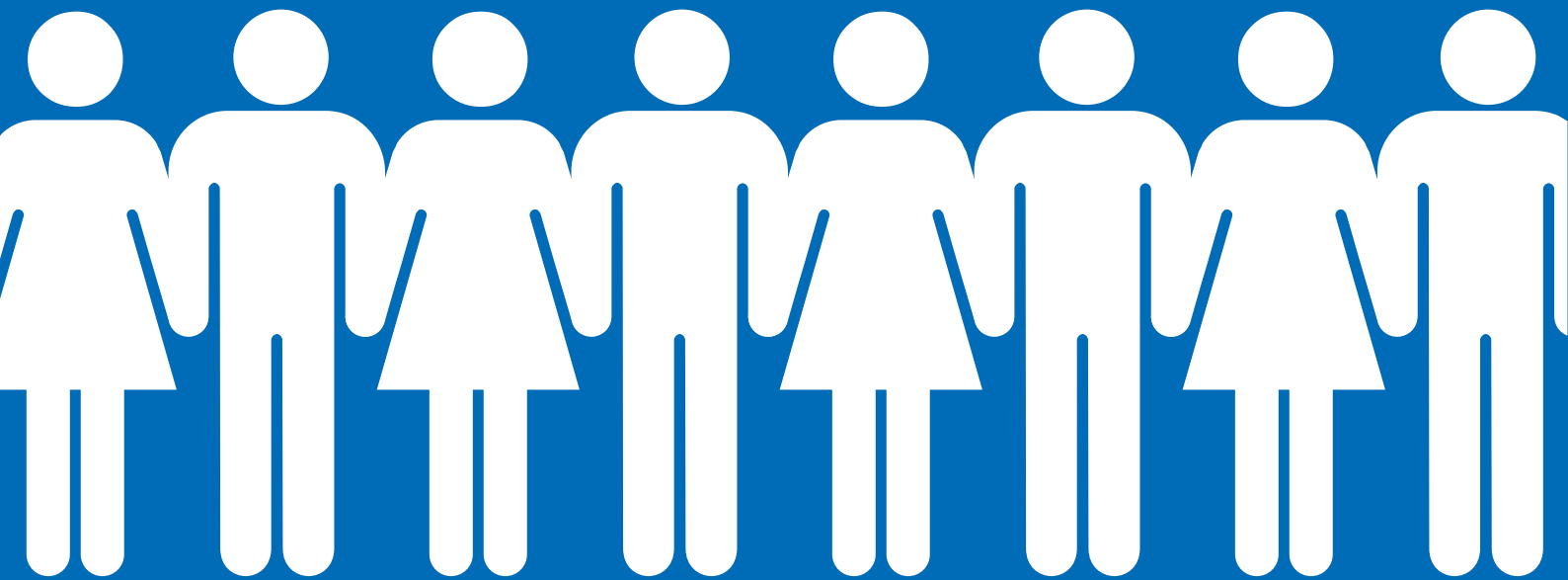
 Approaches requirements	 Meets requirements	 Exceeds requirements
<p>15a. Working towards ongoing mandatory training for all levels of entity staff at HQ, regional and country offices</p>	<p>15b. Ongoing mandatory training for all levels of entity staff at HQ, regional and country offices</p>	<p>15ci Ongoing mandatory training for all levels of entity staff at HQ, regional and country offices</p> <p>and</p> <p>15cii. Senior managers receive tailored training during orientation</p>

F. Knowledge, Communication and Coherence

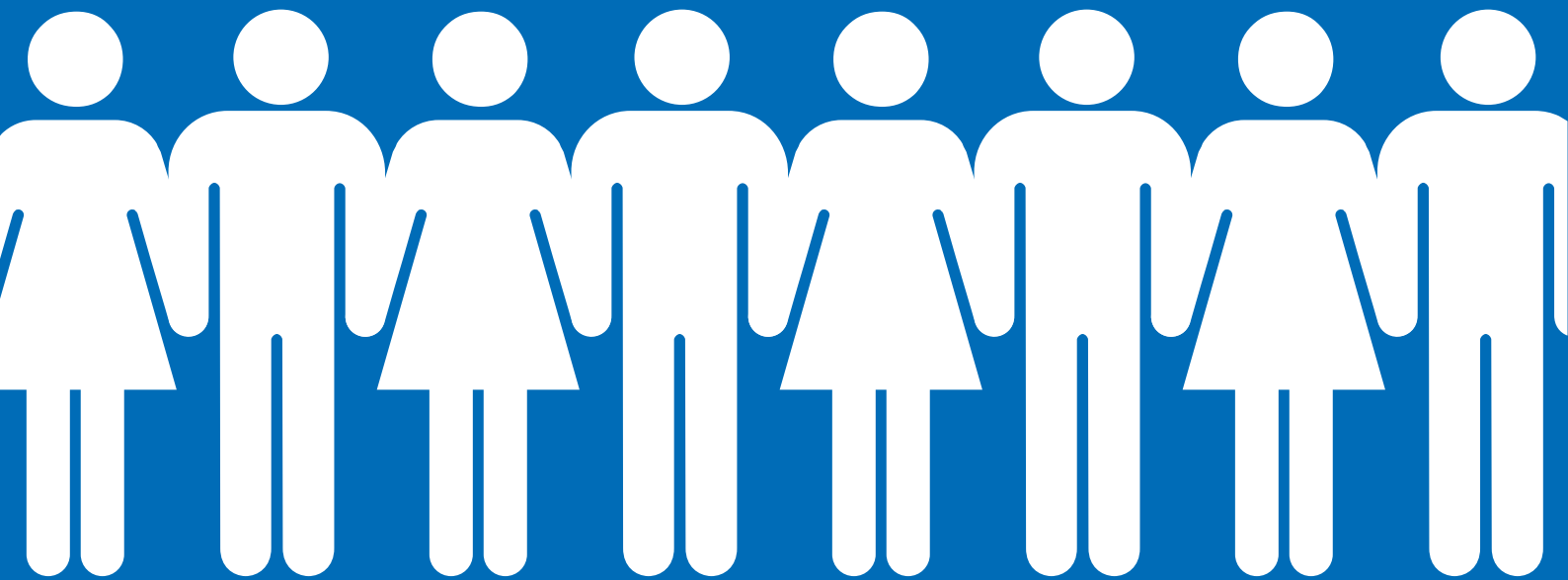
16. Performance Indicator: Knowledge and Communication		
 Approaches requirements	 Meets requirements	 Exceeds requirements
16a. Internal production and exchange of information on gender equality and women's empowerment	<p>16bi. Knowledge on gender equality and women's empowerment is systematically documented and publicly shared</p> <p>and</p> <p>16bii. Communication plan includes gender equality and women's empowerment as an integral component of internal and public information dissemination</p>	<p>16ci. Knowledge on gender equality and women's empowerment is systematically documented and publicly shared</p> <p>and</p> <p>16cii. Communication plan includes gender equality and women's empowerment as an integral component of internal and public information dissemination</p> <p>and</p> <p>16ciii. Entity is actively involved in an inter-agency community of practice on gender equality and the empowerment of women</p>

17. Performance Indicator: Coherence		
 Approaches requirements	 Meets requirements	 Exceeds requirements
17a. Participates in an ad hoc fashion in inter-agency coordination mechanisms on gender equality and the empowerment of women	<p>17bi. Participates systematically in inter-agency coordination mechanisms on gender equality and the empowerment of women</p> <p>and</p> <p>17bii. Participates in a UN-SWAP peer review process</p>	<p>17ci. Participates systematically in inter-agency coordination mechanisms on gender equality and the empowerment of women</p> <p>and</p> <p>17cii. Participates in a UN-SWAP peer review process</p> <p>and</p> <p>17ciii. Supports implementation of at least one UN-SWAP Performance Indicator in another entity</p>

UN-SWAP 2.0
2021 TECHNICAL
GUIDANCE



BACKGROUND AND INTRODUCTION



Since its introduction in 2012, the UN-SWAP has supported substantial and sustained improvement in the UN's performance on mainstreaming gender, with the aggregate rating meets or exceeds improving from 31 to 65 per cent across the 15 UN-SWAP Performance Indicators between 2012 and 2017, with 66 UN entities reporting, or 94 per cent of all UN entities.² Building on this significant system wide progress, UN-SWAP 2.0 was launched in 2018 raising the bar for accountability by strengthening existing indicators and anchoring the framework within the 2030 Agenda for Sustainable Development.

UN-SWAP 2.0 was developed through an 18-month participatory process involving over 50 UN entities, coordinated through an 11-member inter-agency Working Group on Results, chaired by UN Women, and including piloting by 10 entities. It was developed within the overall context of UN reform and the planned move by the UN to system-wide reporting.³ The timeframe for UN-SWAP 2.0 is five years (2018-2022).

The UN-SWAP Framework endorsed by the CEB in 2012 set out a plan for three aligned foci of accountability for gender equality and the empowerment of women:

1. The UN-SWAP 1.0, with a focus on corporate processes and institutional arrangements at the individual entity level.
2. The United Nations Country Teams (UNCT) Performance Indicators for Gender Equality and the Empowerment of Women, introduced in August 2008 focusing on joint processes and institutional arrangements within the UNCT. An updated version of the UNCT Performance Indicators (the SWAP-Scorecard), aligned to UN-SWAP 2.0, was rolled out in 2018.
3. Development results at country and normative levels. This third level of accountability is a natural extension of UN-SWAP 1.0 and the UNCT Performance Indicators, which until 2018 focused on institutional processes, and constitute the changes in UN-SWAP 2.0. These and corresponding revisions to the UNCT Performance Indicators complete the accountability framework as originally planned.

UN-SWAP 2.0 consists of 17 Performance Indicators organised in six performance areas aligned with the CEB Policy on gender equality and the empowerment of women (CEB/2006/2)..

Purpose and organisation of the Technical Notes

These Technical Notes provide guidance on the completion of the Performance Indicators developed as part of the reporting framework of the UN System-wide Action Plan (UN-SWAP) to implement the CEB Policy on gender equality and the empowerment of women (CEB/2006/2). For each of the Performance Indicators, the Technical Notes set out:

- the Performance Indicator itself;
- how to complete the rating for the Performance Indicator, i.e. guidance on what you need to do to report on each Performance Indicator;
- current practice and examples from across the UN system that will support your entity in meeting and exceeding the Performance Indicators; and
- the inter-governmental mandate on which the Performance Indicator is based (Annex 3).

² Entities meeting and exceeding requirements. For details see: ECOSOC 2017. *Mainstreaming a gender perspective into all policies and programmes in the United Nations system*. E/2017/57.

³ *Repositioning the United Nations development system to deliver on the 2030 Agenda: our promise for dignity, prosperity and peace on a healthy planet*. Report of the Secretary-General. A/72/684-E/2018/7

The Performance Indicators and Rating System

The UN-SWAP rating system consists of five levels. The ratings allow UN entities to self-assess and report on their standing with respect to each indicator, and to move progressively towards excellent performance. As such, the rating system is intended as an aid to promote leadership and direction and enhance coherence.

The five levels of the rating system are:

- Exceeds requirements
- Meets requirements
- Approaches requirements
- Missing
- Not applicable

At a minimum, each UN system entity should aim to achieve “meets requirements”. Meeting requirements is, however, a starting point, rather than the conclusion of an entity’s promotion of gender equality and the empowerment of women. It is anticipated that all UN entities will aspire to “exceed requirements”, with the UN thereby being an institutional leader in gender equality and the empowerment of women.

For the “approaches requirements” rating, where there is an either/or option, UN entities which meet one of the options should be rated under this heading. If neither option is met, the Performance Indicator should be rated as “missing”. For the “meets requirements” and “exceeds requirements” ratings, all options must be met. Where there are two or more requirements for a Performance Indicator, if an entity approaches requirements in one element and exceeds requirements in another, UN entity performance should be rated as “approaches requirements”.

The “missing” rating should be applied when the Performance Indicator is relevant to an entity, but the “approaches expectations” rating is not met. “Not applicable” applies where the Performance Indicator is not relevant to a UN entity.

In the UN-SWAP web-based reporting system, UN entities are expected to provide a clear justification for each rating. Where there are multiple parts to a Performance Indicator, UN entities are required to report on each of the elements. In this context, additional mandatory explanation boxes have been added to facilitate more complete and accurate reporting.

A glossary of key terms can be found at the end of the Technical Notes.

Action Plans for Performance Indicators

UN-SWAP reporting requires the submission of Action Plans to accompany ratings for all indicators, including timelines, resources and responsibility for follow-up actions **in order to keep or improve current ratings**. Action plans are critical for enabling gaps and challenges to be addressed, and where possible should be agreed upon at the highest possible level within entities.

Unless plans of action adequately express clear commitments to maintain or improve performance, entities’ UN- SWAP reports will not be accepted.

1. **Action Points for Improvement:** Entities need to include planned activities to maintain and/or improve performance for each Performance Indicator. Examples of planned activities could include: undertake a capacity assessment (in X year led by X department), conduct a

UN-SWAP peer review (with X entity in X year), make the “I Know Gender” course mandatory (for X year), hire a consultant to help develop the entity’s gender policy (in X year).

2. **Timelines:** Timelines for improving or maintaining performance for each Performance Indicator should be realistic. Timelines should reflect implementation plans and review dates included in gender policies/strategies and/or gender equality related outputs included in strategic plans. When applicable, the respective number of years and/or months needed to attain the next performance level since the time of reporting should be indicated.
3. **Resources:** Entities need to include resources required to improve or maintain performance for each Performance Indicator and to document the required resources in their Action Plans. Indicating resource requirements does not commit UN entities to the allocation of the funds; rather, they provide a notional guide to estimated resource requirements within entities and across the UN system for realizing gender equality and women’s empowerment. Estimates of required financial resources are also useful with respect to resource mobilisation.

In the “resources required” field of the online reporting system, UN entities should include costs associated with the implementation of the UN-SWAP Performance Indicators which are additional to recurring costs; for example, the cost of developing a policy or implementing a training course, rather than costs such as staffing. Development of a policy might require 25,000 USD in consultancy funds and implementing a training course may cost 100,000 USD.

Staffing resources for work related to improving gender equality and the empowerment of women should only be included for Performance Indicator 11 (Gender Architecture). Funds for consultants, for example to develop gender policies, conduct gender audits or develop training programmes, can be included in resource requirements for relevant individual Performance Indicators.

4. **Responsibility for follow-up:** The UN-SWAP seeks to clarify staff and departmental responsibility for gender mainstreaming and for meeting/exceeding the Performance Indicator relevant to their mandate. To encourage decentralization of responsibility and accountability for the achievement of gender equality and the empowerment of women within each UN entity, where possible, staff other than the gender focal point(s) or gender unit should be assigned responsibilities for follow-up in the action plans. Designation of senior management as responsible for follow-up is also highly encouraged in order to strengthen accountability.

UN-SWAP Performance Indicator Business Owners

A good practice in shared responsibility is **identifying ‘Business Owners’ for each of the UN-SWAP Performance Indicators**. The Business Owners can be responsible for:

- (i) determining actions to ensure that the Performance Indicators are met;
- (ii) communicating and championing gender equality in their areas of work; and
- (iii) reporting against the Performance Indicator.

The Business Owners should be supported by the Gender Office/main UN-SWAP Focal Point, who provides overall technical advice, coordination and coherence.

Joint Inspection Unit (JIU) review of UN-SWAP 1.0

During 2018-2019 the Joint Inspection Unit (JIU) conducted a [Review of UN-SWAP 1](#), which included a desk review, questionnaires to UN Women and 55 reporting entities, an online survey, a series of interviews and a focus group discussion. The Review also includes an analysis of enabling factors and best practices for each UN-SWAP 1.0 Performance Indicator.

The thorough Review concluded that the UN-SWAP has proven to be an effective framework for tracking system-wide progress and a useful benchmark and catalyst for advancement towards gender mainstreaming in most participating entities, as well as a system-wide achievement.

The JIU Review of the UN-SWAP contains five recommendations aimed at further improvements, addressed respectively to the members of the Chief Executives Board for Coordination, the executive heads of the reporting entities, the Under-Secretary-General/Executive Director of UN-Women and to the legislative and governing bodies of the United Nations system organizations. These recommendations aim at enhancing credibility in the implementation of SWAP, increasing the ownership of reporting entities and reinforcing accountability by executive heads and governing bodies.

Recommendations from the JIU Review of the United Nations System-wide Action Plan on Gender Equality and the Empowerment of Women (JIU/REP/2019/2)

1. Considering that UN-SWAP is based on self-assessment, quality assurance mechanisms in place in the reporting entities should be assessed regularly to ensure that ratings by indicator are accurate and are appropriately supported by evidence.
2. The members of the CEB are invited to undertake a comprehensive review of the results achieved following the implementation of the first phase of UN-SWAP and endorse the framework as revised in 2018 which was expanded to promote more sustainable achievements by UN Country Teams at the field level.
3. UN-Women is encouraged to review the content of the report formally presented by the United Nations Secretary-General to the Economic and Social Council, notably to indicate the progress made by individual reporting entities, the drivers of success and the challenges they face.
4. The legislative and governing bodies of the United Nations system organizations should review the UN-Women annual letter addressed to executive management that should be accompanied by the measure proposed by executive management to be undertaken to improve compliance with the indicators and expected contribution to gender equality and the empowerment of women.
5. An independent assessment of effective progress towards gender mainstreaming to promote gender equality and the empowerment of women should be undertaken within each of the UN participating organizations, possibly using UN-SWAP as a benchmark.

In response to the JIU Review recommendations, UN Women is publishing individual UN entity performance results against the UN-SWAP 2.0 framework on its website.⁴ For a stronger evidence base in the UN-SWAP 2.0 reporting, entities are required to upload the necessary documents to substantiate the self-assessment outlined for each Performance Indicator. In the same vein, entities are also encouraged to conduct UN-SWAP peer reviews included among the requirements for the Performance Indicator 17 on Coherence.

⁴ UN-SWAP results by entity 2019: <https://www.unwomen.org/en/how-we-work/un-system-coordination/promoting-un-accountability/un-swap-results/2019>

COVID-19 crisis, response, and recovery in 2021 reporting

The COVID-19 pandemic continues affecting the United Nations operations and priorities, as well as our ways of working.

In order to keep tracking the effects of the COVID-19 crisis response and recovery efforts, and their results, on the efforts to promote gender equality and the empowerment of women, additional questions have been kept under each Performance Indicator of the UN-SWAP framework:

- Has the entity's work in this field been impacted by the COVID-19 crisis, response and recovery? YES/NO
- (If yes): Please briefly explain how the work has been impacted by the COVID-19 crisis, response and recovery:

Performance Indicators 1 and 3 include a drop-down menu to capture specific dimensions of the UN Response to COVID-19, in alignment with the [UN Comprehensive Response to COVID-19](#) to save lives, protect societies, recover better: Please select the most relevant contribution from the entity in 2021:

- **Health Response:** to control the virus, support the development of a vaccine, diagnostics and treatment, and strengthen preparedness.
- **Safeguarding lives and livelihoods:** Addressing the devastating socioeconomic, humanitarian and human rights aspects of the crisis,
- **A better post-COVID-19 world:** Guided by the Sustainable Development Agenda, the UN envisages a recovery process that pursues a better post-COVID world by addressing the climate crisis, inequalities, exclusion, gaps in social protection systems and the many other fragilities and injustices that have been exposed.
- In alignment with the previous selection, describe specific focus of existing gender-related strategic work as well as new activities and deliverables in response to COVID-19 and recovery.

Under 'Additional comments', the last section of the UN-SWAP report, entities can include any reflections on the overall impact of the COVID-19 pandemic on gender mainstreaming in the entity, as well as on efforts to respond and contribute to full, equitable post-pandemic recovery.

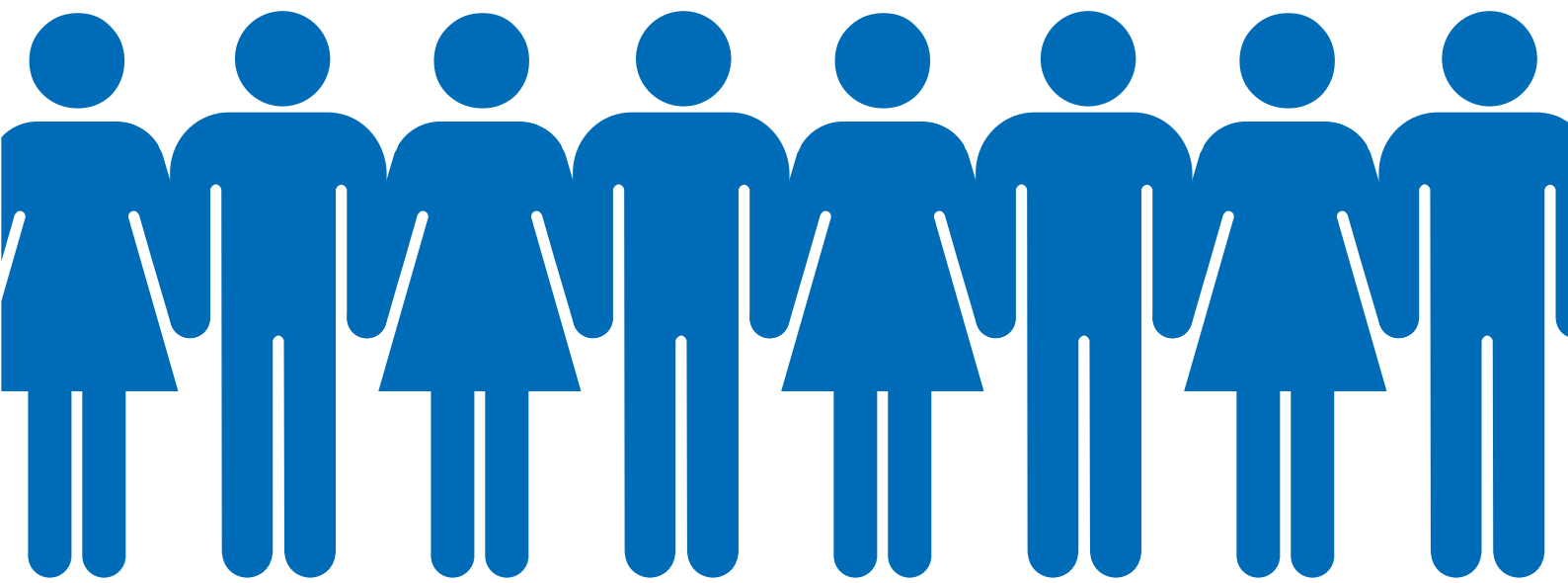
Additional

This updated version of the Technical Guidance also includes an Annex which clarifies the reporting requirements for Secretariat entities which have a mainly administrative focus.

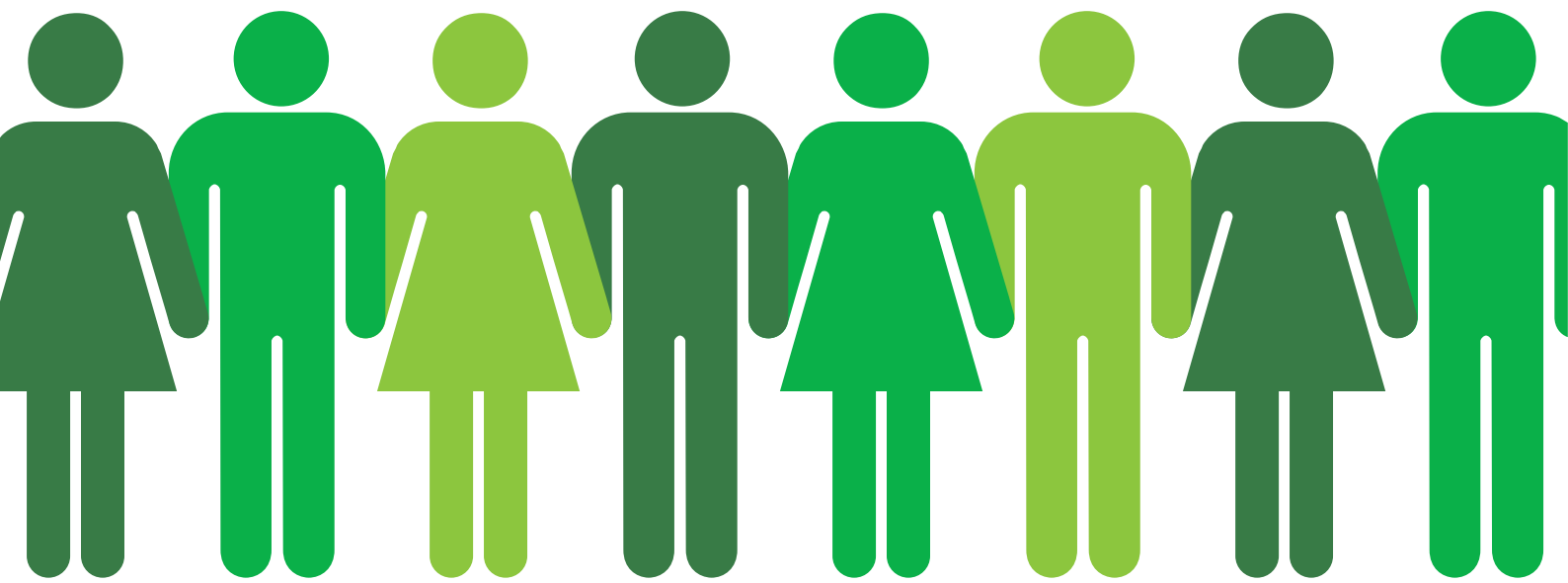
***NOTE:** Please do not include acronyms in reporting. It is important to include full titles and office/department names.

For technical support or any clarifications, please contact the UN-SWAP Help Desk: unswap.helpdesk@unwomen.org

I. GENDER-RELATED SDG RESULTS



A. RESULTS-BASED MANAGEMENT






**PERFORMANCE INDICATOR
01**

**STRATEGIC PLANNING
GENDER-RELATED SDG RESULTS**



01. Performance Indicator: Strategic Planning Gender-related SDG results

 Approaches requirements	 Meets requirements	 Exceeds requirements
<p>1ai. Main strategic planning document includes at least one high-level result on gender equality and the empowerment of women which will contribute to meeting SDG targets, and reference to SDG 5 targets</p>	<p>1bi. Main strategic planning document includes at least one high-level result on gender equality and the empowerment of women which will contribute to meeting SDG targets, and reference to SDG 5 targets</p> <p>and</p> <p>1bii. Entity has achieved or is on track to achieve the high-level result on gender equality and the empowerment of women</p>	<p>1ci. Main strategic planning document includes at least one high-level transformative result on gender equality and the empowerment of women which will contribute to meeting SDG targets, and reference to SDG 5 targets</p> <p>and</p> <p>1cii. Entity has achieved or is on track to achieve the high-level transformative result on gender equality and the empowerment of women</p>



What is the Strategic Planning Gender-related SDG Results indicator?

The 2030 Agenda for Sustainable Development calls for all UN entities to support Member States in meeting the gender-related Sustainable Development Goals, which will also support achievement of all Goals. By integrating high-level results on gender equality and the empowerment of women (GEEW) in their main strategic planning documents UN entities commit to mainstreaming a gender perspective in their policies and programmes in all areas and at all levels, and to actively promote transformational change leading to gender equality and the empowerment of women.

This indicator refers to gender-responsive planning and delivery of results in alignment with the Goals. UN entities meet requirements if they include at least one high level result at the outcome or equivalent level in their strategic plans and can demonstrate they are achieving this result. Entities exceed requirements if they include at least one high-level transformative result and can demonstrate they are achieving this result. In both cases results should be tied to the achievement of SDG 5.

The Beijing Platform for Action promotes both mainstreaming and targeted approaches to achieve GEEW, known as a twin-track approach. The SDG outcome document retains this twin-track approach by mainstreaming gender throughout and including targeted measures through SDG 5. **When mainstreaming gender into the main strategic planning document entities should bear in mind the need for a dual approach to implementing the SDGs, as appropriate to their mandate, as well as the need to link targeted and mainstreaming approaches.** The [Guidance on mainstreaming gender considerations into strategic plans](#) aims to support entities in reflecting GEWE in the most appropriate way into their main strategic planning document.

The rationale behind this Performance Indicator is that evidence demonstrates that unless entities include both a high level result on GEEW and mainstream gender in their main strategic planning documents then they are unlikely to devote adequate attention to GEEW, and a sustained focus on this area is key driver of institutional performance and achievement of results on GEEW. Where entities only mainstream gender in their main strategic planning documents evidence shows that

entities, including senior managers, do not pay adequate attention or devote adequate attention to GEEW.

Note: Performance Indicator 1 refers to the GEEW content of the entity main strategic planning document, while Performance Indicator 3 focuses on any entity work on GEEW that is not included in the main strategic planning document.

Entities that do not have a mandate to work on the SDGs should note this in UN-SWAP 2.0 reporting and are still required to include a high-level result related to GEEW to meet requirements. Please note that since the indicator focuses on results in the main strategic planning document, results in gender policies alone are not sufficient.



Evidence base

Examples of documents to attach to substantiate reporting:

- Strategic Plan/Strategic Framework or equivalent
- Management Plan
- Report on progress against results and indicators, e.g. to the Governing Body
- Donor reports

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those shared to the UN-SWAP Knowledge Hub.

The following table shows the inputs entities are required to provide in the UN-SWAP platform if the rating is “approaches”, “meets” or “exceeds”.

1. High-level result(s) on gender equality and empowerment of women	Extract the results statement directly from main strategic planning document and include here. If there is no results statement in the main strategic planning document included here the rating should be “missing”.
2. Achievement in year/s (<i>not mandatory in 2021</i>)	Note briefly progress towards the result, based on indicator(s) and/or measures in the main strategic planning document
3. Internal evidence base (non-Secretariat) – include attachments and page numbers	E.g. entity report on main strategic plan
4. Internal assessment of progress using entity assessment methodology for reporting on its main strategic planning document (<i>not mandatory in 2021</i>)	e.g. not on track, on track, achieved
5. Specific SDG target(s) and indicators to which result contributes	The reporting platform has a drop down box with all SDGs. More than one SDG can be selected.
6. UN system-wide contributions to support the achievement of gender equality and the empowerment of	The reporting platform has a drop-down box with 8 areas for contributions. This was created to support aggregating results at the system-wide level. With regard

<p>women and girls in the context of the SDGs</p>	<p>to the entity's high-level gender-related SDG results, please select a maximum of three areas and prioritize by importance (please see typology outlined on the next page):</p> <ol style="list-style-type: none"> 1. UN System Change 2. Access to gender-responsive services 3. Financing for GEEW 4. Women's engagement and participation 5. Women's economic empowerment 6. Eliminate all forms of violence against all women and girls 5. Norms and Standards 6. Knowledge
<p>7. Narrative on results to be completed by all entities (limit: 800 words) Complement the UN-SWAP rating and achievements noted above with a narrative on results illustrating achievement of the high-level result achieved. This is an opportunity to showcase the results that your entity has achieved.</p> <p><u>Please organize the narrative by the eight-part typology in the online reporting system</u> (please see below), which will make it easier to aggregate results across the system. Select a maximum of three of these areas and highlight which have been selected. In the narrative, make sure to establish the link between the high-level result and the SDGs. Include both targeted and mainstreamed results.</p> <p>Format:</p> <ul style="list-style-type: none"> - What was achieved? The narrative should focus specifically on how programming has supported achievement of GEEW results, rather than on activities such as the number of trainings held. - How was the result achieved and how were barriers to promotion of GEEW overcome (e.g. inter-agency cooperation, strong partnerships, leadership by Member State)? 	
<p>8. COVID-19 crisis, response and recovery</p>	<p>In regard to the COVID-19 crisis, response and recovery and its impact on GEWE, please select the most relevant contribution from the entity in 2021*:</p> <ul style="list-style-type: none"> • Contribution to the delivery of a health response • Contribution to address the socioeconomic, humanitarian and human rights aspects of the crisis • Contribution to a recovery process addressing the climate crisis, inequalities, exclusion and gaps in social protection systems
<p>9. In alignment with the previous selection, describe specific focus of existing gender-related strategic work as well as new activities and deliverables in response to COVID-19 and recovery</p>	

Typology of UN system-wide contributions to support the achievement of gender equality and the empowerment of women in the context of the SDGs

1. UN System Change

Continue or scale up internal UN system change to enable gender equality and the empowerment of women and girls. This refers specifically to gender mainstreaming throughout the entities' work and includes staff systematically engaging in gender analysis, gender responsive planning, implementation, monitoring and evaluation, in programming, human resource management, leadership, internal and external policy development and every other activity that staff engage in. This focus on having a fully gender responsive UN system will make a direct contribution to the attainment of SDG 5 and will contribute to all other SDGs. This is the results area where non-programmatic entities such as UNOG/V/N, DGACM and OLA can report on their work on gender mainstreaming and parity.

2. Access to gender-responsive services

This area of work contributes to the attainment of each of the 17 SDGs. It involves supporting rights holders to access gender responsive services, such as promotion of women's economic empowerment, health, water, housing, education, natural resources, agricultural services, and food assistance. Examples are providing school lunches for girls so they can attend school, staffing with more female health care assistants to encourage women to attend health care centres, and providing seeds grown mainly by women. This also includes capacity development for both rights holders and duty bearers in relation to availability of, and access to, services.

3. Financing for GEEW

Provide support to countries with systems to track and make public allocations for gender equality and the empowerment of women. This area relates directly to SDG 5, Target 5.C: "Adopt and strengthen sound policies and enforceable legislation for the promotion of gender equality and the empowerment of all women and girls at all levels". The indicator for this target is Indicator 5.C.1 "Proportion of countries with systems to track and make public allocations for gender equality and women's empowerment". Also relevant is SDG Indicator 1.b.1 "Proportion of government recurrent and capital spending to sectors that disproportionately benefit women, the poor and vulnerable groups". This includes support to gender budgeting, and capacity building of duty bearers, e.g. in Ministries of Finance.

4. Women's engagement and participation

Support the engagement of both women and men in attaining gender equality and the empowerment of women. This area contributes to SDG Target 5.5 "Ensure women's full and effective participation and equal opportunities for leadership at all levels of decision-making in political, economic and public life", SDG Target 5.1 "End all forms of discrimination against all women and girls everywhere" and multiple other indicators that require women's full participation in the decisions that affect them (e.g. Indicator 5.6.1 "Proportion of women aged 15-49 years who make their own informed decisions regarding sexual relations, contraceptive use and reproductive health care"). This includes support to civil society.

5. Women’s economic empowerment

This contributes to SDG 5.a: “Undertake reforms to give women equal rights to economic resources, as well as access to ownership and control over land and other forms of property, financial services, inheritance and natural resources, in accordance with national law.” This should include any programming on women’s economic empowerment, including capacity development for duty bearers and rights holders.

6. Eliminate all forms of violence against all women and girls

This contributes to SDG 5.2: “Eliminate all forms of violence against all women and girls in the public and private spheres, including trafficking and sexual and other types of exploitation.” This should include any programming on violence against women and girls, including capacity development for duty bearers and rights holders.

7. Norms and standards

Support policy strengthening and legal adherence, including national standards development, to enable gender equality and the empowerment of women and girls, in alignment with agreed gender equality and human rights norms and standards. This directly relates to SDG Target 5.1 “End all forms of discrimination against all women and girls everywhere”, Indicator 5.1.1 “Whether or not legal frameworks are in place to promote, enforce and monitor equality and non- discrimination on the basis of sex” as well as Target 5.C: “Adopt and strengthen policies and enforceable legislation for gender equality”.

8. Knowledge

Support knowledge generation, management and transfer to enhance integration of gender equality and the empowerment of women and girls across the SDGs. This relates to SDG 17, target 17.9 “Enhance international support for implementing effective and targeted capacity-building in developing countries to support national plans to implement all the sustainable development goals, including through North-South, South-South and triangular cooperation”.

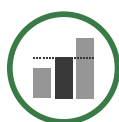


How to approach requirements

To approach requirements, at least one high-level entity result statement in the main strategic planning document should reflect the main work of the entity on GEEW, tied to the SDGs, including SDG 5. If this result statement is not included the rating should be “missing”. **General statements in the main strategic planning document such as “The entity supports the mainstreaming of gender” do not qualify as high-level entity results.**

If the rating is “approaches”, entities are required to use the following table to expand on the rating. This table has been included given the wide range of possible results under the “approaches” rating. For example, entities could be very close to meeting the result, or could not be tracking the result at all. In each case a clear rationale for choice of the rating should be provided. An example is provided below.

Very limited progress	Limited progress	Some progress	Reasonable progress but not on track
Use this rating when progress towards meeting the GEEW result is largely stalled.	Use this rating when movement towards meeting the result has started but considerably more effort is required.	Use this rating when there is some movement towards meeting the result but there is still some distance to go.	Use this rating when your entity is getting close to meeting the result but is not yet on track.



How to meet requirements

To meet requirements for this Performance Indicator, at least one high-level entity result statement in the main strategic planning document should reflect the main work of the entity on GEEW, tied to the SDGs, including SDG 5. **The specific reference to the SDGs should be drawn from the mandate of individual entities, as reflected in their GEEW policies or equivalent and/or Governing Body statements.**

*See *Additional Information* section below (pages 36 and 37) for examples of high-level result statements.

Entities that do not have a mandate to work on the SDGs should note this in UN-SWAP reporting and are still required to report on high level results related to GEEW.

In addition, to meet requirements, entities need to demonstrate, with supporting documentation as evidence, that the high-level result has been achieved, or is on track to be achieved. See below for details to be provided, and examples.

For UN Secretariat entities, in its resolution 72/266 A, entitled “Shifting the management paradigm in the United Nations”, the General Assembly, approved, inter alia, the change from a biennial to an annual budget period on a trial basis. The Programme Plan for programmes and subprogrammes and programme performance information presents achievements under Objectives and Results, based on the instructions contained in the Budget Guide for the preparation of the programme budget. Reporting on Objectives and Results through the Performance Reports can therefore also be used as one source for UN-SWAP reporting.

Reference to SDG 5

To meet requirements entities should outline in their main strategic planning document the ways in which they will promote achievement of SDG Goal 5 targets. This can be integrated into the gender-focused high-level result statement(s), or in a separate section of the entity strategic plan.

SDG 5 targets are as follows:

- 5.1 End all forms of discrimination against all women and girls everywhere
- 5.2 Eliminate all forms of violence against all women and girls in the public and private spheres, including trafficking and sexual and other types of exploitation
- 5.3 Eliminate all harmful practices, such as child, early and forced marriage and female genital mutilation
- 5.4 Recognize and value unpaid care and domestic work through the provision of public services, infrastructure and social protection policies and the promotion of shared responsibility within the household and the family as nationally appropriate
- 5.5 Ensure women's full and effective participation and equal opportunities for leadership at all levels of decision-making in political, economic and public life
- 5.6 Ensure universal access to sexual and reproductive health and reproductive rights as agreed in accordance with the Programme of Action of the International Conference on Population and Development and the Beijing Platform for Action and the outcome documents of their review conferences
- 5.a Undertake reforms to give women equal rights to economic resources, as well as access to ownership and control over land and other forms of property, financial services, inheritance and natural resources, in accordance with national laws
- 5.b Enhance the use of enabling technology, in particular information and communications technology, to promote the empowerment of women
- 5.c Adopt and strengthen sound policies and enforceable legislation for the promotion of gender equality and the empowerment of all women and girls at all levels

Entities can tie their reporting to ongoing high-level panels or equivalent work on SDG 5. For example the [Secretary-General's High-Level Panel on Women's Economic Empowerment](#), established in 2016, brought together leaders from different constituencies – government, academia, civil society and global multilateral organizations – to launch a shared global agenda to accelerate women's economic empowerment in support of implementing the 2030 Agenda for Sustainable Development. The High-Level Panel reports highlighted the causes and manifestations of women's inferior status in the economy. When integrating work on SDG 5 into their central strategic planning documents entities can draw on the research of this Panel and equivalent research for other thematic areas.

In addition, to meet requirements for 1bii, entities should demonstrate while tracking achievement of results their contributions to SDG 5 targets. If reference to SDG 5 is integrated into the high-level results statement, then this should be covered under reporting on the result statement. If reference to SDG 5 is included elsewhere in the main strategic planning document, then reporting on achievements through strategic plan reporting will be necessary to meet requirements. Entities will therefore be required to demonstrate with appropriate evidence how they are supporting implementation of SDG 5.



How to exceed requirements

To exceed requirements the main strategic planning document should include at least one high-level transformative GEEW result and demonstrate, with supporting documentation as evidence, that this result has been achieved. Transformative results contribute to changes in social norms, cultural values, power structures and the root causes of gender inequalities and discrimination. What constitutes a transformative GEEW result is outlined below, and **entities are required in their reporting to articulate why they consider their entity result as transformative.**



Additional Information: Commonly asked questions about this Performance Indicator

1. What constitutes the main strategic planning document?

While the format of the main strategic planning document differs across the UN system, most UN entities have a central strategic plan that governs their work. In the case of the Secretariat this is currently the Programme Budget, and in the case of Funds and Programmes the Strategic Plan. Entities with multiple strategic planning documents should either determine which is the most relevant for UN-SWAP reporting purposes, or report against all documents.

2. What is a high-level result?

High-level entity results statements are outcomes or expected accomplishments or equivalent that guide the strategic orientation of the entity. Sub-outcomes and outputs or equivalent are therefore not high-level entity results.

[Experience has demonstrated](#) that mainstreaming gender throughout entity high-level results alone is insufficient to promote the UN's GEEW mandate; therefore, a specific high-level result as well as mainstreaming is required, as in the SDGs.

Examples of high-level results that “Meet” the requirements for this indicator

The following results statements were all included in the main entity strategic planning document at a high level. Remember the high-level result needs to be included in your entity programme budget, strategic plan/framework or equivalent, that is the main document that directs the work of your entity. Including a high-level result in the gender policy or equivalent does not meet requirements. And there needs to be a result statement that is specific to GEEW – including gender-sensitive indicators or disaggregating data by sex is also not adequate.

DESA Programme Budget 2018-2019: “Enhanced implementation of sustainable development strategies by developing countries, including small island developing States, to formulate and implement strategies, policies, frameworks and programmes in support of sustainable development, with a special focus on gender equality and the empowerment of women and new partnerships.”

ECA Programme Budget 2018-2019: “Enhanced capacity of member States and regional economic communities to design, implement and monitor policies that promote gender equality and the empowerment of women and girls.”

ECE Programme Budget 2018-2019: “Enhanced national formulation and implementation of evidence-based policies on population ageing and intergenerational and gender relations.”

ECLAC Programme Budget 2018-2019: “Strengthened capacity of countries in the region to implement gender equality policies in line with the regional consensus, the 2030 Agenda for Sustainable Development and other international agreements.”

ESCAP Programme Budget 2018-2019: “Enhanced national evidence-based policies to promote gender equality and women’s empowerment towards the achievement of sustainable development.”

UNCCD Strategic Framework 2018-2030: “Local people, especially women and youth, are empowered and participate in decision-making processes in combating DLDD”

FAO Results Framework 2018-2019: “Quality services and coherent approaches to work on gender equality and women’s empowerment that result in strengthened country capacity to formulate,

implement and monitor policies and programmes that provide equal opportunities for men and women.”

ILO Programme and Budget 2020-21: “Gender equality and equal opportunities and treatment for all in the world of work.”

UNESCO Programme and Budget 2018-2021: “UNESCO positioned as a visible actor at the international, regional and country levels in promoting gender equality in all its fields of competence, including through advocacy, networking and innovative partnerships.”

WHO Programme Budget 2018-19: “Improved capacities in WHO, the health sector and across all government departments and agencies (whole-of-government) for addressing social determinants, gender inequalities and human rights in health, and producing equitable outcomes across the Sustainable Development Goals.”

3. What is the relation to the SDGs?

This Performance Indicator refers to the support that UN entities provide to Member States in achieving the SDGs, and not achievement of the SDGs themselves. The results statement should therefore be framed in the context of the UN system’s contribution to achieving the SDGs.

Results statements that only include lists of “vulnerable” group, including women, or which group women with others such as “women and children”, do not meet the requirement for this Performance Indicator because the result is not focused on GEEW.

4. What is a transformative result?

Entities should determine themselves what constitutes a transformative result in the context of their mandate and/or policy on GEEW, and clearly outline why the result is considered transformative when rating as “exceeds” requirements.

The SDG Outcome Document⁵ defines transformative results as follows:

We envisage a world of universal respect for human rights and human dignity, the rule of law, justice, equality and non-discrimination; of respect for race, ethnicity and cultural diversity; and of equal opportunity permitting the full realization of human potential and contributing to shared prosperity. A world which invests in its children and in which every child grows up free from violence and exploitation. A world in which every woman and girl enjoys full gender equality and all legal, social and economic barriers to their empowerment have been removed. A just, equitable, tolerant, open and socially inclusive world in which the needs of the most vulnerable are met.

Transformative results contribute to changes in social norms, cultural values, power structures and the root causes of gender inequalities and discrimination. The CEB includes tackling root causes as central to implementing the SDGs: “Preventing and resolving crises, addressing root causes, managing risk, building resilience and sustaining peace are shared objectives of the entire UN system.”⁶

Entities also focus on structural change in their definition of transformative results, for example:

⁵ *Transforming our World: the 2030 Agenda for Sustainable Development*, A/RES/70/1, para 8.

⁶ *CEB common principles to guide the UN system’s support to the implementation of the 2030 Agenda for Sustainable Development*. April 2016.

United Nations Development Programme (UNDP) Strategic Plan 2018-21: “Strengthen gender equality and the empowerment of women and girls: Significant gender inequalities persist in every region of the world, manifest as the unequal distribution of care work, lack of equitable access to decision-making and unequal access to basic services, assets and finance. Addressing these inequalities and their structural causes, and discriminatory practices that perpetuate them, requires sustained, multisectoral interventions.”

To define transformative results, it is useful to consider the difference between a needs-based and a rights-based approach, with the latter more likely to be transformative. For example, building a school or a clinic and providing services is a needs-based approach, while organising women and men to demand access to services is a rights-based approach. Similarly running shelters for women who have been subject to gender-based violence is a needs-based approach, while strengthening legislation to curb violence is a rights-based approach. The difference is the goal of ending gender inequality by changing its root causes, and the method of working.

When determining if your entity’s main strategic plan includes transformative results, please consider the following points:

- The result should focus on changing the root causes of gender inequality and disempowerment of women
- The result statement should be developed through a participatory process consulting all key stakeholders
- The result should be based on local context
- Transformative change will likely take a considerable time to achieve, and entities need to demonstrate, in UN- SWAP 2.0 reporting, that they have designed interventions in a way that will facilitate that change and are on track to achieving what is planned

Examples of transformative gender-related results:

The following are examples of high-level transformative results from entity main strategic planning documents. All of the below statements, including in the narrative that supports them, focus on gender inequalities and how to change and transform the structures that cause these. They take a rights-based approach and take on board the need for changing norms, power structures and discrimination. If you are developing your strategic plan you can review these examples and determine if something similar could be included.

ESCWA’s 2018-2019 Strategic Framework includes an overall ultimate transformative objective that is “reducing gender imbalances and improving the empowerment of women in line with international conventions and conferences”. Three related results are (1) “Strengthened institutional and legal frameworks of member States to promote gender equality and gender justice, including the elimination of violence against women”; (2) “Increased gender mainstreaming in national policies”; and (3) “Increase in monitoring and evaluation by member States of regional and institutional obligations on gender equality”.

OHCHR Office Management Plan 2018-21: “International, regional and national justice systems respond more effectively and without discrimination to gender-related crimes.”

UNFPA Strategic Plan 2018-2021: “Gender equality, the empowerment of all women and girls, and reproductive rights are advanced in development and humanitarian settings.”

UNICEF Strategic Plan 2018-2021: “Girls and boys, especially those that are marginalized and those living in humanitarian conditions, have access to high-impact health, nutrition, HIV and early childhood development (ECD) interventions from pregnancy to adolescence.

5. How should entities not working directly on results report on this Performance Indicator?

Those entities that do not work directly on achieving results or that have a mainly administrative function (e.g. UNOG, UNOV, UNON, DGACM, DMSPC, DOS, OAJ, OLA, UNOMS, Training Institutes, Research Institutes) should report “not applicable” on this Performance Indicator and refer to updated guidance in Annex 1 regarding reporting on Performance Indicator 3.

6. When and how often should reporting against this Performance Indicator take place?

UN-SWAP 2.0 covers a five-year period from 2018 to 2022 and may not align directly with all entity strategic planning processes and timelines.

The periodicity of reporting on the Performance Indicator should be annually. Secretariat entities will report on the 2021 Programme Budget in 2021 reporting.



Current practices and examples

Examples (note: these examples are adapted from entity strategic plans and do not reflect actual reporting by entities).



Example: Approaching Requirements

1. High-level result(s) on gender equality and empowerment of women	<i>Enhanced common understanding, resolutions and actions at the intergovernmental level on effective policy frameworks for achieving social inclusion, gender equality, and well-being for all</i>
2. Achievement in year	<i>23 per cent increase in gender-sensitive recommendations used in the formulation of resolutions, decisions and agreed conclusions in two years (target 30%)</i>
3. Internal evidence base (non-Secretariat) – include attachments and page numbers	<i>Secretariat Programme Performance Report (p. 44) notes a 23 per cent increase in gender-sensitive formulation of resolutions, decisions and agreed conclusions</i>
4. Internal assessment of progress using entity assessment mechanism	<i>Not on track</i>

<p>5. Specific SDG target(s) and indicators to which result contributes and linkage to SDG 5</p>	<p><i>10.2 By 2030 empower and promote the social, economic and political inclusion of all irrespective of age, sex, disability, race, ethnicity, origin, religion or economic or other status</i> <i>5.1 End all forms of discrimination against all women and girls everywhere</i> <i>5.c Adopt and strengthen sound policies and enforceable legislation for the promotion of gender equality and the empowerment of all women and girls at all levels</i></p>
<p>6. UN system-wide contribution</p>	<p>Norms and standards</p>
<p>7. Narrative on results</p> <p>- What was achieved?</p> <p><i>In comparison to a 2015 baseline, “x” additional ECOSOC resolutions in 2016 and 2017 include reference to the importance of GEEW. This includes resolutions on the United Nations Inter-Agency Task Force on the Prevention and Control of Non-communicable diseases, Social Dimensions of the New Partnership for Africa’s Development, Promoting the Rights of Persons with Disabilities and Strengthening the Mainstreaming of Disability in the Implementation of the 2030 Agenda for Sustainable Development, and Strengthening of the Coordination of Emergency Humanitarian Assistance of the UN. Together the added focus on GEEW issues will enhance the commitment of Member States to mainstreaming a gender perspective throughout their activities, hence contributing to SDG 10.2 on social inclusion as well as SDG 5.</i></p> <p><i>Nevertheless, the entity was close to but did not meet its target of references (see Table below).</i></p> <p>- How was the result achieved, what were the barriers, and how were barriers to promotion of GEEW overcome (e.g. inter-agency cooperation, strong partnerships, leadership by Member State)?</p> <p><i>Barriers included concerns of particular Member States about the inclusion of GEEW and overall lack of technical capacity in inter-governmental processes concerning inclusion of GEEW in recommendations. Some Member States queried whether specific reference to GEEW was required in resolutions, decisions and agreed conclusions, given that it should be mainstreamed. Informals with Member States stressing the importance of the visibility of GEEW in resolutions, joint Member State meetings, location and supporting “gender champions” within Member States, and presentations by senior entity staff led to the increase in gender sensitive recommendations, decisions and agreed conclusions.</i></p>	

Approaches requirements table

<p>Very limited progress</p>	<p>Limited progress</p>	<p>Some progress</p>	<p>Reasonable progress but not on track</p>
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Use this rating when progress towards meeting the GEEW result is largely stalled.	Use this rating when movement towards meeting the result has started but considerably more effort is required.	Use this rating when there is some movement towards meeting the result but there is still some distance to go.	Use this rating when your entity is getting close to meeting the result but is not yet on track: <i>For example, the entity set a target of 30% increase in recommendations, and 23% was achieved. This was due to staffing and resource constraints, as well as lack of support from some Member States. Work is ongoing to improve this performance during the biennium.</i>
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Example: Meeting Requirements

1. High-level result(s) on gender equality and empowerment of women	<i>Rural women and men, and rural poor organizations, empowered to access productive resources, services and markets</i>
2. Achievement in year	<i>Rural poor organizations, government institutions and other relevant stakeholders have enhanced their capacities for rural poor empowerment and improved equitable access by poor men and women to productive resources, services, technologies and markets</i>
3. Internal evidence base (non-Secretariat) – include attachments and page numbers	<i>Report to the Governing Body on the central strategic plan (p. 33)</i>
4. Internal assessment of progress using entity assessment mechanism	<i>On track – see evidence in the narrative below</i>

<p>5. Specific SDG target(s) and indicators to which result contributes and linkage to SDG 5</p>	<p><i>SDG 1.2: By 2030, reduce at least by half the proportion of men, women and children in poverty</i></p> <p><i>SDG 5: the strategic plan (p. 11) notes in a section separate from the results statement above:</i> <i>“Achieving gender equality remains a prominent focus, with a large span of activities supporting Member States addressing gender-based barriers to escaping rural poverty in agriculture, including through promoting women’s leadership, women’s economic empowerment through employment opportunities and social protection, and through increased agency and a stronger role in decision-making.”</i></p> <p><i>The linkage is to SDG 5.5: Ensure women’s full and effective participation and equal opportunities for leadership at all levels of decision-making in political, economic and public life</i></p>
<p>6. UN system-wide contribution</p>	<p>Women’s economic empowerment</p>
<p>7. Narrative on results</p> <p>- What was achieved?</p> <p><i>In the 10 countries covered under this strategic outcome there are 42 million people below the poverty line, 65 per cent of whom are women, with female poverty located in particular in hard to reach rural areas and in households headed by women. There is also a clear correlation between people living with HIV/AIDS and poverty levels. ‘Y’ entity has supported a range of government and non-government organisations in these 10 countries, ranging from Ministries of Agriculture, to agriculture sector NGO networks, through policy input, pro-poor and pro-gender equality reform of markets, and facilitation of access to services for under-served women and men.</i></p> <p>- How was the result achieved, what were the barriers, and how were barriers to promotion of GEEW overcome (e.g. inter-agency cooperation, strong partnerships, leadership by Member State)?</p> <p><i>The main barriers identified were unequal gender and socio-economic structures which excluded under-served populations from markets and productive resources. ‘Y’ entity worked in coordination with UNCT sister agencies including WFP and the World Bank, as well as bilateral donors, to develop a 40-country joint programme focusing on supporting implementation of SDG 1.2, with a specific pro-poor and gender equality and empowerment focus throughout. Overall it is estimated that with the UN’s and partner organisations support to Member States over five million people, of whom 3 million women, have been lifted above the poverty line.</i></p>	



Example: Exceeding Requirements

<p>1. High-level result(s) on gender equality and empowerment of women</p>	<p><i>Outcome: Every woman and every male and female adolescent and youth everywhere, including those furthest behind, fully exercise their reproductive rights and are able to use integrated sexual and reproductive health (SRH) services, which include family planning, comprehensive maternal health and STIs and HIV services, free of coercion, discrimination and violence</i></p>
<p>2. Achievement in year</p>	<p><i>Based on indicator(s) and/or measures corresponding to the high-level result(s): Capacities successfully enhanced for 25 Member States to develop and implement policies that prioritize access to SRH-RR information and services of those furthest behind including in humanitarian settings Achievement for year: 25 Member States</i></p>
<p>3. Internal evidence base (non-Secretariat) – include attachments and page numbers</p>	<p><i>Annual report on Strategic Plan (attached, page 26-28) notes that an evaluation was carried out related to this outcome which demonstrates successful enhancement of capacity in 25 Member states</i></p>
<p>4. Internal assessment of progress using entity assessment mechanism</p>	<p><i>Achieved</i></p>
<p>5. UN-SWAP rating</p>	<p><i>Exceeds. The outcome statement in the Strategic Plan is transformative as it focuses on the structural causes of gender inequality (full exercise of reproductive rights) and how to overcome these</i></p>
<p>6. Specific SDG target(s) and indicators to which result contributes and linkage to SDG 5</p>	<p><i>5.6 Proportion of women (aged 15-49) who make their own sexual and reproductive decisions 5.6 Proportion of countries with laws and regulations that guarantee all women and adolescents access to sexual and reproductive health (SRH) services, information and education</i></p>
<p>UN system-wide contribution</p>	<p>Access to gender-responsive services, Norms and standards</p>

Narrative on results

1. What was achieved?

'X' entity successfully enhanced the capacity of 25 Member States, as evidenced by an independent evaluation (attached) by carrying out the following: development of training material and implementation of training for Ministries of Health and the Women's Machineries in 25 countries; ongoing support to revisions to SRH-related policies in 12 countries where interventions were necessary, including capacity development with senior policy analysts in 12 priority countries; and dissemination of guidance material on how to identify and support the rights of those left furthest behind. In seven priority countries with least access to SRH for those left furthest behind new policies on SRH were implemented which led to overall increases in access to SRH for minority groups by 50 per cent, in particular women with disabilities, from ethnic minorities, and hard to reach rural groups, covering in total over 10 million women.

2. How was the result achieved, what were the barriers, and how were barriers to promotion of GEEW overcome (e.g. inter-agency cooperation, strong partnerships, leadership by Member State)?




The main barrier encountered was lack of reproductive rights because of patriarchal norms and structures, failure to implement policy, and lack of technical capacity. The main strategy employed was South-South cooperation bringing together over 50 policy makers and policy analysts in five regional workshops to exchange strategies about implementing SRH policies and reaching those left behind first. This included an analysis of the main barriers to promoting access to SRH services, which included poverty, disability and availability of services. 'X' entity carried out surveys of participants six months after the workshops and 92 per cent of participants responded that they were fully satisfied with the workshops and had used workshop material extensively in their daily work. 'X' entity worked with UNCT partners in all 25 Member States, including through 11 Joint Programmes funded by the Government of Canada.

**PERFORMANCE INDICATOR
02**

**REPORTING ON
GENDER-RELATED SDG RESULTS**



02. Performance Indicator: Reporting on Gender-related SDG results

 Approaches requirements	 Meets requirements	 Exceeds requirements
<p>2ai. Entity RBM system provides guidance on measuring and reporting on gender equality and the empowerment of women results</p> <p>or</p> <p>2aii. Systematic use of sex-disaggregated data in strategic plan reporting</p>	<p>2bi. Reporting to the Governing Body or equivalent on the high-level result on gender equality and the empowerment of women which will contribute to meeting SDG targets, including SDG 5</p> <p>and</p> <p>2bii. Systematic use of sex-disaggregated data in strategic plan reporting</p>	<p>2ci. Reporting to the Governing Body or equivalent on the high-level result on gender equality and the empowerment of women which will contribute to meeting SDG targets, including SDG 5</p> <p>and</p> <p>2cii. Systematic use of sex-disaggregated data in strategic plan reporting</p> <p>and</p> <p>2ciii. Reporting every two years to the Governing Body or equivalent on implementation of the entity's gender equality and empowerment of women policy</p>



What is the Reporting on Gender-related SDG Results indicator?

What is meant by results?

“Results” refer to both normative and development results on gender equality and the empowerment of women, as included in the UN-SWAP framework endorsed by the Chief Executives Board for Coordination (CEB). In the UN context normative and development results are usually defined as follows:

- Support to Member States and other counterparts, such as civil society, in achieving national, regional and international gender-related priorities, for example as set out in the SDGs. This can be through support to development and implementation of policies (i.e. normative results), capacity development, and technical cooperation. National ownership is paramount in this definition.
- Directly achieving results, in some cases working in partnership with non-state actors such as the ICRC, for example programming during conflict and emergencies, in line with the Humanitarian Principles.

Reporting on gender-related SDG results indicator is pivotal for monitoring and measuring progress towards achieving gender-related Sustainable Development Goals.



Evidence base

Examples of documents to attach to substantiate the entity self-assessment for this indicator:

- Entity RBM system guidance on measuring and reporting on GEEW
- Governing Body report that includes systematic use of sex-disaggregated data in Strategic Plan reporting

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those shared to the UN-SWAP Knowledge Hub.



How to approach requirements

To approach requirements for this Performance Indicator the entity's RBM system should provide guidance on measuring gender equality and the empowerment of women results. To achieve this, RBM guidance should provide direction on how to develop gender-sensitive results statements and indicators at the strategic and programmatic levels.

In addition, to approach requirements for this Performance Indicator reports on the main strategic planning document should include systematic sex-disaggregation of data where such data are available, reliable and current.

Systematic disaggregation of data means disaggregation by sex of any data related to population groups (e.g. poor, migrants, refugees, employees, vulnerable, homeless, affected population, youth, older persons, people with disability, indigenous people) where there are implications related to gender for these population groups. The default should be to disaggregate by sex unless: a. sex-disaggregated data is not available which should be duly noted, along with any initiatives to facilitate use of sex-disaggregated data in the future.

When sex-disaggregated data is less available, e.g. in some conflict situations or countries with relatively weak statistical systems, this should be noted.

Entities are required to demonstrate in their annual UN-SWAP report, with supporting documentation as evidence, the degree of sex-disaggregation in their main strategic planning document reports.



How to meet requirements

To meet requirements for this Performance Indicator, entity reporting to its Governing Body or equivalent on the main strategic planning document should include reporting on the main SDG-linked gender equality and empowerment of women results. Results should be presented to the Governing Body or equivalent as part of reporting on the main strategic plan. In most entities reporting on the main strategic plan is on an annual basis, however this varies between entities.

Governance mechanisms vary across the UN system so entities should determine themselves to which Governing Body reporting should take place; however, to meet requirements the reporting should be to a Governing Body or equivalent.

When rating Performance Indicator 2, all reports on performance since publication of the last central strategic planning document should be used.

In addition, entities should include in their reporting to their Governing Bodies or equivalent their specific contributions to SDG 5 targets. This can include reporting concerning the ways in which the entity has supported the implementation of the SDG 5 targets as set out in Transforming our Future.

Entities may report with a time lag of one year if their planning cycle requires this, for example if the strategic plan report is not available until after their UN-SWAP report. Illustration: the UN-SWAP report for 2021 will be due in January 2022. Reporting on the strategic plan results for 2021 may not take place until June 2022, in which case the entity would report its strategic plan results from 2020.

In addition to meet requirements there should be systematic use of sex-disaggregated data in strategic plan reporting, as defined above.

Please note that if the entity does not have a high-level gender-related result in the strategic plan it is not possible to meet or exceed this indicator.



How to exceed requirements

To exceed requirements for this Performance Indicator, a report should be presented to the entity's Governing Body or equivalent at least every two years on progress in implementation of the entity's gender policy or plan or equivalent. Reporting should be against the action plan and indicators included in the entity policy or plan or equivalent.



Example: Meeting Requirements

The **United Nations Office on Drugs and Crime (UNODC)** reports on the high-level result on gender equality and the empowerment of women through subsequent annual Programme Plan and Programme Performance documents, which are reviewed by the Office's governing bodies. Furthermore, UNODC has included gender reporting throughout all thematic areas at global, regional, and national level into its annual results-based reporting, encouraging projects and programmes to report significant achievements and challenges related to gender. UNODC's Results-Based Annual Report includes, under each chapter, a section on progress in mainstreaming gender. The reporting template for Annual Programme Progress Reports contains a section on the SDGs, including SDG 5 and support provided to Member States on voluntary national reviews.

The UNODC Gender team regularly briefs the Governing Bodies on the implementation of the UNODC Gender Strategy and Action Plan. Formal and informal briefings sessions for Member States and staff on the gender-related aspects of UNODC's mandate and areas of work are organized. Since 2017, "Mainstreaming a gender perspective into the practices, policies and programmes of the UNODC" has been made a standing item of the "Standing Open-Ended Intergovernmental Working Group on Improving the Governance and Financial Situation of the UNODC", which submits its recommendations to the decision-making bodies of the UNODC.

Cascading down from the Strategic Plan, the reports on UNODC Programmes also include sex disaggregated data. Best practice examples in field offices includes sex-disaggregated data that are

collected for statistics/indicators to measure different gender aspects. For instance, UNODC's systematically disaggregates data by age, race, nationality, educational level and class for each sex.

UNODC data collections are regularly assessed and upgraded to make them fully gender sensitive. As a minimum this means that sex-disaggregated data are collected for statistics/indicators referring to persons (e.g. victims or perpetrators of crime, drug prevalence, etc.). This principle applies both to mandated data collections managed by UNODC (e.g. UN-Crime Trends Survey, Annual Report Questionnaire, Trafficking in Persons data collection) and to survey exercises undertaken at country level with UNODC assistance, such as victimisation, corruption, drug use or drug cultivation surveys.

Sex-disaggregated data provided by the Research and Trends Analysis Branch are used by field offices to develop programmatic interventions, and concrete gender indicators ensure that monitoring and reporting promote gender equality and the empowerment of women in programme cycle management.

In 2017, the UN-CTS was thoroughly reviewed and special attention was devoted to make it fully gender sensitive. Besides ensuring that all data are disaggregated by sex, it also gathers statistics on specific issues or with specific data disaggregation in order to capture information relevant to shed light on gender issues. For example, the scope of intentional homicide data was broadened to collect detailed information on homicide perpetrators. UNODC is the only organisation collecting and producing estimates on such killings at global level, and is now able to regularly produce data on women/girls killed by their current or former partner, an indicator that represents a very important component of gender-based killings or femicides. The on-going review process of the ARQ has already identified a number of topics (such as drug use prevalence and access to treatment) where to expand the collection of data to make them fully gender-relevant.




PERFORMANCE INDICATOR

03

**PROGRAMMATIC GENDER-RELATED
SDG RESULTS NOT DIRECTLY
CAPTURED IN THE STRATEGIC PLAN**



03. Performance Indicator: Programmatic Gender-related SDG Results*⁷

 Approaches requirements	 Meets requirements	 Exceeds requirements
<p>3a. Results on gender equality and the empowerment of women are consistently included in programmatic initiative planning documents</p>	<p>3b. Programmatic results on gender equality and the empowerment of women are met or on track to be met</p>	<p>3c. Programmatic results on gender equality and the empowerment of women are met or on track to be met</p> <p>and</p> <p>3ci. Programmatic initiatives consistently include transformative gender equality and the empowerment of women results</p>



What is the Programmatic Gender-related SDG Results not captured in the Strategic Plan indicator?

While Performance Indicator 1 refers to corporate level gender equality and the empowerment of women results contained in the entity main strategic planning document, this Performance Indicator refers to **results of individual programmatic initiatives that are not captured in the main strategic planning document**. Programmatic initiatives can be at the level of individual projects, or larger programmes which group a set of projects at the global, regional, country and/or community level.

For entities where all relevant work on gender equality and the empowerment of women is captured in the main strategic planning document this Performance Indicator should be rated as “not applicable”.

The relevance and role of gender programming and mainstreaming gender equality across programme areas show how beneficial gender-related SDG results are in promoting accountability. Given the cross-cutting dimension of gender in achieving sustainable development results, United Nations entities should integrate gender equality results into programmatic initiative planning documents. Such integration would aim to support different counterparts including Member States and civil society in accelerating decision-making and achieving programmatic results.



How to use this performance indicator

Programmatic results

“Results” refer to both normative and development results on gender equality and the empowerment of women, as included in the UN-SWAP framework endorsed by the Chief Executives Board for Coordination. In the UN context, normative and development results are usually defined as follows:

- Support to Member States and other counterparts, such as civil society, in achieving national, regional and international priorities, for example as set out in the SDGs. This can be through

⁷ *not captured in the Strategic Plan

support to development and implementation of policies (i.e. normative results), capacity development, and technical cooperation. National ownership is paramount in this definition.

- Directly achieving results, in some cases working in partnership with non-state actors such as the ICRC, for example programming during conflict and emergencies, in line with the Humanitarian Principles.

Examples of programmatic results include: implementation of an international convention; implementation of regional agreements on gender equality and trade; the capacity of counterparts developed; working and living conditions of informal economy workers improved; and implementation of community programmes to halt gender-based violence. These may be single year or less, or multi-year initiatives. Results from emergency and humanitarian programming can also be captured under this Performance Indicator.

This Performance Indicator should not be used as an alternative to reporting on Performance Indicator 1; entities should report on both Performance Indicator 1 and this Performance Indicator as appropriate. These results may be at the global, regional, country and/or community level.

When mainstreaming gender into programmatic initiatives, entities should bear in mind the need for a dual approach to implementing the SDGs, as appropriate to their mandate, as well as the need to link targeted and mainstreaming approaches. Details on mainstreaming can be included in the narrative in the Table below.

The following table shows the inputs entities are required to provide in the UN-SWAP platform for “approaches”, “meets” and “exceeds” ratings.

1. Result(s) on gender equality and empowerment of women	Extract the result statement(s) on GEEW directly from the programmatic initiative planning document(s) and include them here, or include in a separate attachment
2. Achievement in year/s (<i>not mandatory in 2021</i>)	Note briefly progress towards the results, based on indicator(s) and/or measures in the programmatic initiative planning document(s)
3. Internal evidence base – include attachments and page numbers	E.g. reports to donors
4. Internal assessment of progress using entity assessment methodology for reporting (<i>not mandatory in 2021</i>)	e.g. not on track, on track, achieved
5. Specific SDG target(s) and indicators to which result contributes	The reporting platform includes a drop-down box with all SDGs. More than one SDG can be selected.
6. UN system-wide contributions to support the achievement of gender equality and the empowerment of women and girls in the context of the SDGs	The reporting platform includes a drop-down box with 8 areas for contributions (please refer to pages 33-34). * Select a maximum of three areas and prioritize by importance: <ol style="list-style-type: none"> 1. UN System Change 2. Access to gender-responsive services 3. Financing for GEEW 4. Women’s engagement and participation

	<ul style="list-style-type: none"> 5. Women's economic empowerment 6. Eliminate all forms of violence against all women and girls 7. Norms and Standards 8. Knowledge
<p>7. Narrative on results to be completed by all entities (limit: 800 words) Complement the UN-SWAP rating and brief achievements noted above with a narrative on results illustrating the result(s) achieved.</p> <p>Please organize the narrative by the eight-part typology (please see above). Select a maximum of three areas and highlight which have been selected. In the narrative, make sure to establish the link between the result and the SDGs. Include both targeted and mainstreamed results here.</p> <p>Format:</p> <ul style="list-style-type: none"> - What was achieved? - How was the result achieved and how were barriers to promotion of GEEW overcome (e.g. inter-agency cooperation, strong partnerships, leadership by Member State)? 	
<p>8. COVID-19 crisis, response and recovery</p>	<p>In regard to the COVID-19 crisis, response and recovery and its impact on GEWE, please select the most relevant contribution from the entity in 2021:</p> <ul style="list-style-type: none"> • Contribution to the delivery of a health response • Contribution to address the socioeconomic, humanitarian and human rights aspects of the crisis • Contribution to a recovery process addressing the climate crisis, inequalities, exclusion and gaps in social protection systems
<p>9. In alignment with the previous selection, describe specific focus of existing gender-related programmatic work as well as new activities and deliverables in response to COVID-19 and recovery</p>	

Please refer to pages 33 and 34 for the typology of UN system-wide contributions to support the achievement of gender equality and the empowerment of women and girls in the context of the SDGs.



Evidence base

Examples of documents to attach to substantiate the entity self-assessment for this indicator:

- Gender marker data compiled (x% of projects are rated at least 2a or 2b)
- Annual reports and/or donor reports demonstrating that results have been met

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those shared to the UN-SWAP Knowledge Hub.



How to approach requirements

To approach requirements entities should include gender equality and the empowerment of women results consistently in programmatic initiative planning documents. “Consistently” means at least 80 per cent of programmatic initiative planning documents include these results. Entities will determine the evidence base for this Performance Indicator themselves dependent on their mandate. The source of data can be initiatives rated 2a or 2b on the entity gender marker if this is in place, or by another equivalent methodology.



How to meet requirements

To meet requirements entities should demonstrate through use of their internal reporting systems that results have been met or are on track to be met and provide evidence for this in their UN-SWAP reporting. Reporting against this Performance Indicator involves a review of programmatic initiatives which have been completed in the year previous to the UN-SWAP reporting year. For example, for reporting year 2021 entities would review all programmatic initiatives completed in 2020. The reason for this is that all programmatic results for a given reporting year could not be captured by the following January. This is illustrated as follows:

- UN-SWAP reporting year: 2021
- Date UN-SWAP report for 2021 is due: January 2022
- Year from which programmatic initiatives should be reviewed: 2020

Entities that do not have a mandate to work on the SDGs should note this in UN-SWAP reporting and are still required to report on high level results related to GEEW.



How to exceed requirements

Transformative results

Entities should determine themselves what constitutes a transformative result in the context of their mandate and/or policy on gender equality and the empowerment of women, and clearly outline why the result is considered transformative when rating as “exceeds” requirements.

“Consistent” inclusion of transformative results means that at least 80 per cent of programmatic initiatives include transformative results. The evidence base will be assessment from the entity gender marker or equivalent. In their reporting (see Table below) entities should demonstrate why they consider the results of their programmatic initiatives to be transformative.

Please refer to pages 38 and 39 for more information on transformative results, including some examples.



Examples: Exceeding requirements

The International Maritime Organization (IMO): targeted an increase of women’s participation in the maritime sector during 2019. For instance, IMO's Integrated Technical Cooperation Programme (ITCP) includes a mandatory gender programme, the Women in Maritime Programme, which is the main tool for the implementation of the United Nations outcomes and resolutions on gender equality. IMO Member States have reviewed the Women in Maritime Programme outcomes through the Technical Cooperation Committee (TCC).

The Office of the Special Representative of the Secretary General on Sexual Violence in Conflict (OSRSG-SVC): The organization’s strategic priority is to focus on the root causes of conflict-related sexual violence, gender inequality and discrimination, poverty, and marginalization in the aftermath of war. As such, the organization’s programmatic initiatives include the transformative result of converting a culture of impunity into a culture of justice and accountability.

Department of Global Communications (DGC): During 2019, the Department of Global Communications was driven by the United Member States pledge to ensure “no one will be left behind”. In this context, the Department of Global Communications provided people globally with information on promoting the Sustainable Development Goals, including gender equality, human rights, peace and security, cope with climate change, and the empowerment of young people.

Office of the UN Ombudsman and Mediation Services (UNOMS): As part of the UN Ombudsman’s mandate, in 2019, the Ombudsman has provided guidance and feedback on gender related policies and guidelines, including the Secretary-General's Bulletins ST/SGB/2019/8 addressing discrimination, sexual harassment, and abuse of authority; the UN Model Policy on Sexual Harassment; UN Model Code of Conduct to prevent harassment at United Nations events; and the toolkit for promoting dignity and respect in the workplace.



Additional Points

For entities where all relevant work on gender equality and the empowerment of women is captured in the main strategic planning document this Performance Indicator should be rated as “not applicable”.

Entities not involved with directly supporting programmatic initiatives (see page 40 under Performance Indicator 1) should refer to Annex 1 in relation to reporting on this Performance Indicator.




When reporting on the Performance Indicator entities can also report on any programmatic initiatives that are not covered elsewhere in the UN-SWAP. This would be in addition to the requirement to meet or exceed the Performance Indicator.

PERFORMANCE INDICATOR 04

EVALUATION



04. Performance Indicator: Evaluation

 Approaches requirements	 Meets requirements	 Exceeds requirements
<p>4a. Meets some of the UNEG gender-related norms and standards in the UNEG Guidance on Integrating Human Rights and Gender Equality in Evaluation</p>	<p>4b. Meets the UNEG gender equality - related norms and standards and applies the UNEG Guidance on Integrating Human Rights and Gender Equality in evaluation during all phases of the evaluation</p>	<p>4c. Meets the UNEG gender equality - related norms and standards, applies the UNEG Guidance on Integrating Human Rights and Gender Equality in Evaluation during all phases of the evaluation, and conducts at least one evaluation to assess corporate performance on gender mainstreaming or equivalent every 5-8 years</p>



What is the Evaluation indicator?

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

A well-functioning evaluation system is intrinsic to good project/programme management, in terms of ensuring both accountability and success for the achievement of the 2030 agenda for sustainable development by 2030.

In addition, evaluation is a relevant tool for learning and accountability. Evaluations generate lessons learned and knowledge for future decisions and timely corrections on projects/programme implementation.

UNEG gender-related Norms, Standards and Guidance

[The UNEG Norms and Standards for Evaluation](#) were updated in 2016 and for the first time, included a stand-alone Norm on human rights and gender equality. The new Norm on human rights and gender equality calls on evaluators and evaluation managers to ensure that these values are respected, addressed and promoted, underpinning the commitment to the principle of ‘No-one left behind’. Taking into consideration that the UNEG Norms and Standards are the normative framework that guided evaluation policies and guidance of UN entities, the adoption of the stand-alone Norm on Human Rights and Gender Equality is paramount for ensuring it is institutionalized across the UN system.



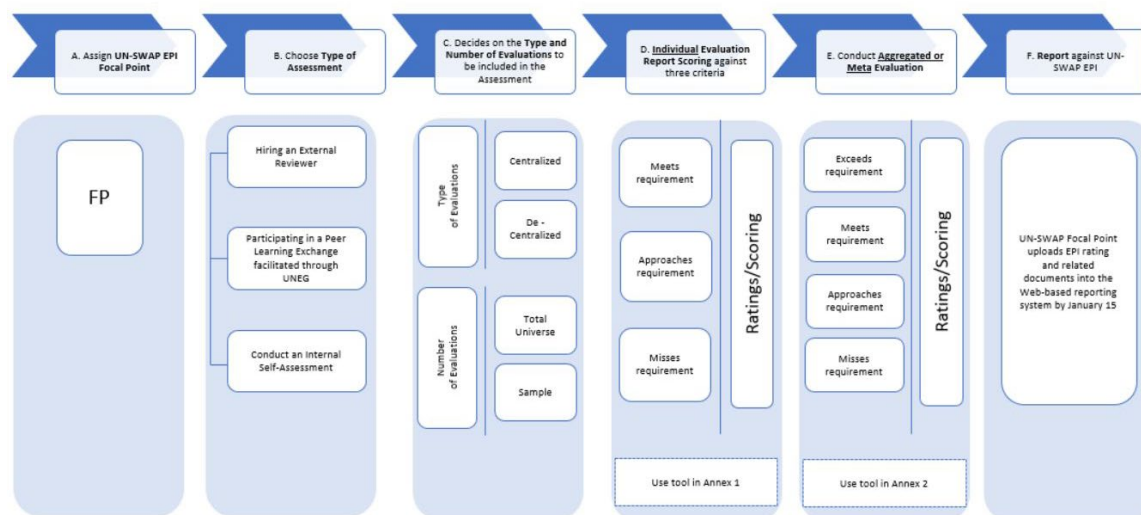
How to use this performance indicator

The use of the UNEG endorsed [UN-SWAP Evaluation Scorecard](#) provides a basis for harmonization across entities by assigning an overall aggregate score for reporting against the UN-SWAP

Evaluation Performance Indicator's scaled rating system: missing, approaching requirements, meeting requirements, or exceeding requirements.

An entity should only report 'not-applicable' if there is no evaluation unit or evaluations conducted by the entity. However, if no evaluations were conducted in the previous year, the last rating completed should be used with a clear note indicating the year upon which the rating is based. This approach is being used to avoid confusion with those entities that do not have an evaluation unit/conduct evaluation and thus the indicator is 'not applicable'.

Essential steps of the UN-SWAP EPI reporting cycle



What should be included in the UN-SWAP meta-review/evaluation?

For the purpose of reporting against this indicator, UN entities should include in their UN-SWAP meta-review/evaluation only those reports that meet the UNEG definition for evaluation. Although there are some exceptions, the evaluations included should have been finalized in the period being reported: annual reporting cycle January – December.

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

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

Those entities selecting a sample of evaluations for meta-review/evaluation should aim to select a representative sample so as to minimize sample bias.

The UN-SWAP Evaluation Scorecard

The UNEG endorsed [scorecard](#) is a tool aimed at assessing evaluation reports of an entity against three criteria. Through its fourth criterion, the scorecard also calls on all reporting UN system entities to conduct at least one evaluation to assess corporate performance on gender mainstreaming every 5-8 years⁸.

⁸ The scope and title of evaluations to assess corporate performance on gender mainstreaming or an evaluation of gender equality policy/strategy differs from entity to entity. This might constitute but not limited to corporate evaluation of gender policy, gender mainstreaming strategy, plan or equivalent.

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

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

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

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

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

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

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

How to score each evaluation criteria?

UN entities will use the UNEG endorsed UN-SWAP EPI Scorecard to assess each evaluation report using a four-point scale (0-3) rating system for each criterion ([tools are provided in the UNEG endorsed Technical Note and Scorecard](#)). Each of the scoring levels below corresponds to a numbered score:

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

It is important to note that decimals should not be used in the scoring of criteria; use only whole numbers.

How to score individual evaluation reports?

After reviewing the [individual evaluation report for each criterion](#), a score is assigned as follows:

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

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

How to calculate the meta-score?

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

- 0-3,49 points = Misses requirement
- 3,50-6,49 points = Approaches requirement
- 6,50-9,0 points= Meets requirement
- 9,01-12 = Exceeds Requirement

Please note that when using the UNEG UN-SWAP Scorecard and the Meta-Score Calculation Tool, the additional 3 points for conducting a corporate gender evaluation are to be added only if the average score for evaluations is 6.5 or higher, i.e. in cases where an entity is “meeting requirements” based on the average evaluation score. The additional 3 points cannot, for example, be added to an average score for evaluations that falls between 3.5-6.49 or “approaches requirements” to bring the score up to “meets requirements.”

As mentioned in Annex 3 of the EPI Technical Note, **the requirement of conducting a corporate evaluation on gender mainstreaming is to be considered under the category “exceeds” only.**



Evidence base

Examples of documents to attach to substantiate the entity self-assessment for this indicator:

- Aggregated/meta-evaluations
- Completed UN-SWAP Evaluation Scorecards
- Report of corporate gender mainstreaming evaluation

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those shared to the UN-SWAP Knowledge Hub.



How to approach requirements

To approach the requirement for this Performance Indicator, at least one of the three criteria needs to be assessed at “Satisfactorily Integrated (2)”. Example below.



How to meet requirements

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

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

Examples of completed Scorecards on how to report against this performance indicator can be found UNEG endorsed [UN SWAP EPI Technical Note - Annex 1 and 2](#).



How to exceed requirements

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

Important considerations for the exceed requirement

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

For example, the **World Food Programme (WFP)** Office of Evaluation completed an evaluation of WFP's Gender Policy in 2014. This means that conditional on the aggregate score of its evaluation reports “meeting requirements”, WFP can add the additional 3 points for the UN-SWAP 2.0 cycle for eight consecutive years, i.e. until the 2021 annual reporting. An entity that completed a corporate evaluation on gender mainstreaming/policy/strategy in 2010, however, would not be entitled to the additional 3 points for its annual UN-SWAP EPI reporting in 2018 and beyond as the entity is due to undertake a new corporate evaluation.

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

The addition of the “exceed category” of evaluations on gender mainstreaming or evaluation of gender equality policy/strategy provides an excellent opportunity for validating institutional progress, particularly given that UN-SWAP annual reports are based on self-assessment.

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

Examples of a completed Scorecard on how to report against this performance indicator can be found in UNEG endorsed UN SWAP EPI Technical Note - Annex 2.

Online Reporting System and qualitative feedback

During annual UN-SWAP reporting, Evaluation Offices are responsible for conducting and sharing their aggregated/meta-evaluations and/or completed Scorecards with their organizational UN-SWAP Focal Point⁹, who is responsible for uploading these to the [web-based reporting system](#). Evaluation Offices are also encouraged to include examples of evaluations that demonstrate how entities are approaching, meeting or exceeding requirements for this indicator overall or for specific dimensions for upload to the web-based system.

The evaluation report of the corporate gender mainstreaming/strategy/policy or equivalent should be uploaded to the UN-SWAP online Reporting System annually as proof of achieving “exceed requirement.”



Example: Meeting Requirements

The **United Nations Population Fund (UNFPA)** Evaluation Office commissioned an independent quality assessment of 22 evaluations covered in the 2017 UN SWAP EPI reporting cycle: 2 corporate evaluations and 20 decentralized programme-level evaluations (including 19 country programme evaluations and one regional programme level evaluation) were included.

The assessment used the UNEG endorsed Technical Note and Scorecard, which specifies the overall score as well as the score by evaluation (vis-à-vis the four criteria comprising the EPI), providing a detailed explanation of why a particular rating was given. In 2017, on aggregate, UNFPA evaluation reports “met the requirements” of the EPI, with an overall score of 9.45, reflecting a year on year improvement from 2015 to 2017 in the quality of evaluation reports, including the integration of gender equality and women’s empowerment. Twenty of the 22 evaluation reports “met the requirements”, while one “exceeded requirements”. One report (a corporate evaluation), “approached requirements”.

The evaluation quality assurance and assessment (EQAA) system expands and strengthens assurance and assessment processes. The evaluation quality assessment grid against which all evaluations are assessed – includes a criteria on gender which directly mirrors the language of the EPI. In 2017, the grid (and its use) was further strengthened: a guidance note was developed and the approach to addressing the sub-criteria (under each criterion in the grid) was made explicit, ensuring consistency in and transparency of the assessment.

However, challenges to integration continued to be faced, including in ensuring adequate resources are directed toward integration (which often requires a radical re-think in the methodological approach to evaluation), including ongoing practical training on integrated gender equality in evaluation.

⁹ All UN entities have designated UN-SWAP Focal Points who consolidate reporting against all UN-SWAP performance indicators and that enter the data in the online reporting system on behalf of their respective organizations. These colleagues are generally staff of the Gender Units/Gender Divisions of the entities.



Example: Exceeding Requirements

The **International Fund for Agricultural Development (IFAD)** Independent Office of Evaluation (IOE) undertook a meta-evaluation of 17 evaluations (completed in 2016-2017), comprising of 9 project performance evaluations (PPEs), 1 impact evaluation (IE), 5 country strategy programme evaluations (CSPEs) and 2 evaluation syntheses against the criteria set out in the UN SWAP EPI scorecard. The individual meta-scores across different types of evaluation vary. 12 out of 17 (70%) evaluations exceed requirements, 4 (24%) meet requirements, 1 (6%) approaches requirements, resulting in a meta-score of 10.7. IOE has thus "exceeded requirements".

The highest average score (2.88 out of 3) was on performance criteria 1 (scope of analysis and indicators designed ensuring that GEWE related data be collected) and criteria 2 (2.82 out of 3) (evaluation criteria and evaluation question specifically address how GEWE has been integrated into the design, planning, implementation of the intervention and the results achieved). The criterion scoring the lowest was criterion 4 (findings, conclusions and recommendations reflect a gender analysis) with an average scoring of 2.41 out of 3. This indicates that integrating GEWE into the scope and evaluation design have improved, more is required to ensure that important findings are also reflected in the conclusions and recommendations.

Drivers for positive result identified in IFAD's meta-evaluation:




- Since 2010 a conscious effort made to integrate GEWE in most evaluations and evaluation synthesis reports;
- IOE management is aware and supportive of GEWE issues and increased attention to GEWE issues in peer reviews and quality assurance;
- Increased effort to integrate GEWE issues and principles across core sections of the evaluation reports e.g. context, relevance, human and social impact, climate change and sustainability, non-lending activities and country strategy performance;
- More conscious effort to ensure gender balance and/or gender expertise in evaluation teams and some country strategy programme evaluations.
- Further refine the granularity and quality of the data and analysis by paying attention to who benefits from project activities (presenting sex disaggregated results);
- Ensure that important gender findings are reflected in the conclusions and recommendations.

PERFORMANCE INDICATOR 05

AUDIT



05. Performance Indicator: Audit

 Approaches requirements	 Meets requirements	 Exceeds requirements
<p>5a. Consultation takes place with the gender focal point/ department on risks related to gender equality and the empowerment of women, as part of the risk-based audit annual planning cycle</p>	<p>5b. Based on risks assessments at engagement level, internal audit departments have developed tools for auditing gender equality and the empowerment of women related issues (e.g. policy compliance, quality of reporting etc.) and apply these as appropriate in all relevant audit phases</p>	<p>5ci. Relevant gender equality findings are systematically presented in annual reports of the internal audit departments</p> <p>and</p> <p>5cii. Internal audit departments undertake a targeted audit engagement related to gender equality and the empowerment of women at least once every five years</p>



What is the Audit indicator?

Auditor commitment to assessing gender mainstreaming is essential for a balanced judgement of risks related to gender equality in the Organization's work. Current experience is that gender-mainstreaming issues are not well understood but can be addressed through awareness raising and capacity-building. However, the dearth of audit community information on how to 'genderize' audits is a constraint to developing meaningful assessments of how well the Organization is managing risks to its gender mandate. Where there is a clear gender link e.g. in input distribution, the auditor can evaluate how well the internal controls are functioning and identify residual risks. Where the gender link is not so apparent e.g. procurement, or internal controls are difficult to decipher e.g. advocacy, there are limited tools available to provide guidance to the auditor.

Internal audit can play a critical role in assuring stakeholders are aware not just of how gender equality and the empowerment of women can benefit an organization, but how lacking them can be a risk to the organization's long-term goals. As an identified value of the UN system, failure to progress/ meet gender-related objectives and outcomes poses a risk to the UN both strategic priorities and reputation. As such, UN entities are called upon to regularly audit and report on the extent in which they are mainstreaming gender equality and women's empowerment in their policies, procedures, programmes, projects, and practices.



How to use this performance indicator

Audit work plans are primarily risk-based to conform to the International Standards for Professional Practice of Internal Auditing, adopted by the Internal Audit Services of the UN Organizations. This requires that the internal audit services consider all significant entity risks in prioritizing their annual or multi-year audit work programmes.

Documentation supporting the preparation of annual or multi-year audit work plans records the extent to which the risks identification and management related to the achievement of gender equality and the empowerment of women in the organization's programmes are being assessed by internal audit service. This preparatory analysis may indicate the need for including (in the audit work programmes)

stand- alone audits of how the risks are managed across the organization, or the incorporation of coverage in broader scoped programme or project audits. Alternatively, the analysis may indicate, without the need for additional audit testing, that the risks are adequately managed.

Audit is a centralized function in the Secretariat and entities should report according to the data provided by OIOS. UN Women will share the OIOS input with all UN-SWAP Focal Points in the Secretariat before the reporting deadline.



Evidence base

Examples of documents to attach to substantiate the entity self-assessment for this indicator:

- Tools used for auditing GEEW-related issues
- Annual audit reports
- Report of targeted audit

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those shared the UN-SWAP Knowledge Hub.



How to approach requirements

To approach the requirements, organizations should organize consultation with the gender focal point/ department on risks related to gender equality and the empowerment of women, as part of the risk-based audit annual planning cycle.



How to meet requirements

To meet the requirements, organizations should have developed tools for auditing gender equality and the empowerment of women related issues (e.g. policy compliance, quality of reporting etc.) and apply these as appropriate in all relevant audit phases.



How to exceed requirements

To exceed requirements, the internal audit service of the organization should systematically present gender equality findings in their annual report. Furthermore, internal audit services should carry out a targeted audit engagement concerning gender equality and the empowerment of women covering headquarters as well as select field offices (for organizations with field presence) at least once every five years. The targeted audit engagement would need to be designed bearing the issues and risks identified in regular audit activities of the organization as well as other relevant oversight activities implemented by the organization (e.g. evaluations, reviews).



Example: Meeting Requirements

At the **World Health Organisation (WHO)**, gender, equity and human rights (GER) are systematically taken into consideration in independent risk audit assessment planning since 2014, with consultation with the GER team when required. “Gender, Equity and Human Rights” budget centre is included as a separate auditable unit in the audit universe.

It is standard procedure to include specific audit tests on Gender, Equity and Human Rights related issues as part of the performance area in integrated audits. In 2017, the IOS methodology for GER review was revised in consultation with the GER team. In 2017, the GER tests were expanded from three to five areas covering seven data sets (policies/strategies, guidelines/tools, workplans, health information systems, publications, communication materials, and donor reports). In 2017 an audit step was added in the operational audits to specifically mention the review of “gender” in the recruitment process. The Office of Internal Oversight Services had discussions with staff / gender focal points at different levels of the organization (Headquarters, Regional Offices and a selection of Country Offices) in relation to gender equality and the empowerment of women and discussions on risks related to gender equality and the empowerment of women.



Example: Exceeding Requirements

Gender equality is included as a key component of the **World Food Programme (WFP)** audit process at all stages, including reporting. This is ensured by including gender in the WFP ‘audit universe’ and throughout all stages of audit engagements. Starting in July 2019, the WFP Office of Internal Audit introduced a section, dedicated to highlighting the level of gender maturity of the business area or country office audited, in all audit reports contributing to the 2019 Assurance Opinion and Annual Report. The maturity scale was developed and discussed with the Gender Division. This was in line with the department’s plan to ensure that gender equality findings are more explicitly captured. The WFP Office of Internal Audit, in collaboration with the Gender Division, conducted a participatory gender audit in 2016. The PGA engaged one Headquarters division (Human Resources), one Regional Bureau (Cairo), one Liaison Office (Amman) and two country offices (Sudan and Jordan). The audit report was published in March 2017, with the audited entities implementing the resulting agreed actions.

The Office of the Inspector General (OIG) of the **Food and Agricultural Organization (FAO)** has a gender focal point responsible for ensuring that gender-related risks are duly considered in all its internal audit activities. Consultation with FAO’s Gender Team takes place every year as part of OIG’s annual planning process, and to update country office standard audit programmes as necessary. These audit programmes include a standard section related to gender mainstreaming. The findings of each audit are included in individual country reports. In addition, a summary of issues is included in a periodic capping report and presented to senior management. For corporate performance audits, gender related risks are identified and assessed in all engagements at audit planning stage and, where considered relevant, included in the audit scope. Moreover, OIG’s annual activity report includes a section that summarizes all OIG’s gender- related activities in the year. OIG also ensures that all of its staff receive sufficient trainings and sensitization in the area of gender and are kept aware of relevant corporate initiatives. Specifically, all OIG staff must complete UN WOMEN’s basic gender training for UN staff. In addition, workshops with FAO’s Gender Team are organized

periodically. Furthermore, a divisional newsletter which is disseminated to OIG staff on a quarterly basis includes regular articles on gender.

Additional Points

Recognizing the lack of tools available to provide guidance to auditors in the area of gender mainstreaming, the United Nations Representatives of Internal Audit Services (UNRIAS) has set up a Gender Interest Group. The Gender Interest Group is currently developing tools and methodologies to assist UN entities and partners incorporate gender components into all phases of the audit cycle, including through an online course.




In April 2020, UN Women produced a guidance document entitled [“Gender, COVID-19 and Audit”](#). The guide aims to identify key risks affecting women and girls in the COVID-19 pandemic as well as thoughts on how to include gender perspectives in audits in the emerging global emergency context.

**PERFORMANCE INDICATOR
06**

POLICY



06. Performance Indicator: Policy

 Approaches requirements	 Meets requirements	 Exceeds requirements
<p>6a. Policies and plans being developed on gender equality and women's empowerment, including gender mainstreaming and the equal representation of women</p>	<p>6b. Up-to-date policies and plans implemented on gender equality and women's empowerment, including gender mainstreaming and the equal representation of women</p>	<p>6ci. Up to date policies and plans implemented on gender equality and women's empowerment, including gender mainstreaming and the equal representation of women</p> <p>and</p> <p>6cii. Specific senior level mechanism in place for ensuring accountability for promotion of gender equality and the empowerment of women</p>



What is the Policy indicator?

Gender equality and the empowerment of women policies constitute a key driver of institutional change. Accordingly, the UN-SWAP has focused significant attention on policy development. The importance of gender policies cannot be overstated. Entities with policies are, on average, "meeting" or "exceeding" double the number of UN-SWAP Performance Indicators than those without. It is expected, therefore, that a UN-SWAP aligned policy will greatly enhance an entity's contribution to gender equality and the advancement of women by strengthening accountability and providing direction for the achievement of all the UN-SWAP Performance Indicators.



How to use this performance indicator

Entities must have up-to-date gender equality and women's empowerment policies/plans (developed, reauthorised or revised, in the last five years) that include both equal representation of women and gender mainstreaming. These can be separate documents or can be included together in one document. Entities with a mainly support or administrative function (e.g. UNOG, UNOV, UNON, DGACM, OLA, OAJ, UNOMS) may focus their efforts on policies and strategies on the equal representation of women and organizational culture. As Performance Indicator 12 focuses on gender parity strategies, entities are encouraged to report on the implementation of gender mainstreaming policies/plans under Performance Indicator 6.



Evidence base

Examples of documents to attach to substantiate reporting:

- Gender mainstreaming policy/strategy
- Gender Action Plan/Implementation plan

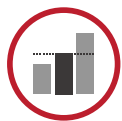
- Gender parity strategy
- Documents to demonstrate that the policy is being monitored, for instance Gender Steering Board or Senior Management Team meeting minutes

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those shared to the UN-SWAP Knowledge Hub.



How to approach requirements

To approach the requirements of this indicator, entities should be in the process of developing a gender equality and women's empowerment policy/strategy and plan.



How to meet requirements

Gender equality and the empowerment of women policies/plans

Policy titles differ from entity to entity; in order to meet the requirement a policy, plan or equivalent should be in place. To meet requirements entities must have in place that include:

- a) Implementation strategy
 - implementation plan;
 - time frame for implementation;
 - resources needed for implementation; and
 - accountability of different levels of staff, including senior managers, for the promotion of gender equality and the empowerment of women, which is inclusive gender mainstreaming, gender-targeted interventions and equal representation of women in staffing clearly set out. Accountability measures should include assessment in performance appraisal and/or senior manager compacts that specify their accountabilities.
- b) Monitoring and evaluation of the policy and action plan, with timeline.
- c) Monitoring takes place as planned.
- d) Evaluation takes place as planned.
- e) Results of monitoring and evaluation are fed back into programming.

“Up-to-date” refers to a policy developed, reauthorized or revised, in the last five years. UN entities are required to monitor progress towards, and achievement of, the Performance Indicator.

In addition, entity policies should include a section which outlines in detail the main GEEW results, tied to the SDGs, that the entity intends to achieve, and how these results will be tracked and reported. This can be an elaboration of the main strategic planning document.

Policies for the Equal Representation of Women

To meet the requirements on the equal representation of women, UN entities need to demonstrate, with supporting documentation as evidence, that they have implemented policies that support women's representation at the different levels of the organization. Ideally, these policies will be underpinned by a comprehensive strategy for achieving gender balance, which is linked to performance targets in the human resources and corporate strategies.



How to exceed requirements

To exceed requirements for this indicator, entities need to have an up-to-date gender equality and women's empowerment policy/strategy and implementation plan (including gender mainstreaming and the equal representation of women) - and have specific senior level mechanism in place for ensuring accountability for promotion of gender equality and the empowerment of women.



Example: Meeting Requirements

The **International Organisation for Migration (IOM)** adopted its Gender Equality Policy 2015-2019 with an accompanying strategic implementation plan in 2015. The Gender Coordination Unit (GCU) leads the implementation of the policy, in close collaboration with the business owners of the relevant sections. IOM's Diversity and Inclusion Workplan includes targets for gender parity and other activities to foster a gender-inclusive work environment. Implementation of the Diversity and Inclusion Workplan is coordinated by the Diversity and Inclusion Officer who is part of the Human Resources Management Division (HRM).

GCU, HRM and other relevant offices continue to inform staff about the Gender Equality Policy through various trainings and presentations at Headquarters and in the field. In particular, staff are informed about their specific responsibilities under the policy as they relate to, inter alia, project development and endorsement, monitoring and evaluation, human resources management, and so forth.

Regarding gender parity in staffing, in 2018, a Diversity and Inclusion Steering Committee was formed and met twice in 2018. The Committee is chaired by the Deputy Director General and has ten members in total. It is gender balanced, includes the Gender Officer (Head of GCU) and has representation from various levels and locations.

A Mid-Term Evaluation of the IOM Gender Equality Policy was finalized in late 2017 and distributed to IOM staff in May 2018. A report of the evaluation findings and recommendations, along with IOM's progress on implementing the UN- SWAP framework from 2012-2017, was distributed to IOM Member States in April 2018 and later presented to IOM Member States at the Standing Committee on Programmes and Finance meeting in June 2018.

The **Economic and Social Commission for Asia and the Pacific (ESCAP)** launched the ESCAP Gender Equality Policy (2019-2023) and Gender Equality Policy Implementation Plan (2019-2023) in November 2019. The Policy sets out the overarching architecture to promote targeted and mainstreaming efforts to integrate gender equality in the work programme and administrative operations of the organisation. The Implementation Plan identifies three key goals and strategic areas in terms of a) strengthened delivery of gender-related SDG results b) tracking financial resources for gender equality and c) strengthened institutional framework. ESCAP continues to implement its ESCAP Strategy on Gender Parity Implementation Plan (2018-2021), which includes a detailed action plan and dashboard to monitor its implementation. As annual review will take place to monitor progress on the implementation of the Policy and Plan.



Example: Exceeding Requirements

The **United Nations Industrial Development Organization (UNIDO)**'s Policy on Gender Equality and the Empowerment of Women includes performance requirements that align with the six pillars of the UN-SWAP (Accountability, Results-based Management, Oversight, Human and Financial Resources, Capacity Development, and Coherence and Knowledge, and Information Management) and respond to the respective performance indicators within each pillar. The gender policy highlights gender mainstreaming and the equal representation of women as key priorities for the Organization. In addition, the gender policy outlines the Organization's gender architecture, which introduced more senior accountability mechanisms to ensure the full and meaningful mainstreaming of gender at all levels and within all areas of work.

In addition, UNIDO has a Gender Equality and Empowerment of Women Strategy 2020-2023 that provides a clear results-oriented framework and plan of action. The gender strategy is fully aligned with the Organization's strategic planning documents. Similar to its gender policy, UNIDO's gender strategy aligns its focus areas with the six pillars of the UN-SWAP, including a road map to comply with UN-SWAP standards.

UNIDO's Gender Mainstreaming Steering Board oversees the implementation of UNIDO's gender strategy. It is chaired by the Director General and comprises the three Managing Directors (i.e. UNIDO's Executive Board). The authority and responsibility for achieving gender mainstreaming in UNIDO lies with the Director General.

The **United Nations Development Programme (UNDP)** has instituted a Gender Steering and Implementation Committee (GSIC), which is the highest decision-making body on gender equality and the empowerment of women within UNDP with responsibility for policy setting and oversight of all offices. Chaired by the Administrator, the GSIC is the main institutional mechanism by which the UNDP Administrator builds senior leadership and commitment for gender equality and the empowerment of women.



Additional Points

Policy-related documents can be found on the UN-SWAP Knowledge Hub housed on the online UN-SWAP reporting site.




A [Guidance on the preparation of a UN-SWAP 2.0- aligned gender equality and the empowerment of women policy](#) is available online.

**PERFORMANCE INDICATOR
07**

LEADERSHIP



07. Performance Indicator: Leadership

 Approaches requirements	 Meets requirements	 Exceeds requirements
<p>7a. Senior managers internally champion gender equality and the empowerment of women</p>	<p>7bi. Senior managers internally and publicly champion gender equality and the empowerment of women</p>	<p>7ci. Senior managers internally and publicly champion gender equality and the empowerment of women</p> <p>and</p> <p>7cii. Senior managers proactively promote improvements in UN-SWAP Performance Indicators where requirements are not met/exceeded</p>



What is the Leadership indicator?

Almost all UN entity gender-related evaluations and reviews over the last decade agree on the importance of senior manager leadership for the promotion of gender equality and the empowerment of women, as well as the leadership gap that exists. The CEB policy was formulated to support filling this leadership gap. While the entire UN-SWAP Framework focuses on accountability, this Performance Indicator focuses more directly on ways in which senior managers can directly promote gender equality and the empowerment of women.

In accordance with the [United Nations Leadership Framework](#) (2017) UN senior management must lead in a manner that is:

Norm-based, “in that it is grounded in UN norms and standards, beginning with the Charter itself,” which specifies gender equality; UN leaders are bound to promote gender equality.

Principled, “defending its norms and standards and their application without discrimination, fear, or favour even – especially – in the face of pressure and push-back from powerful actors;” this is of particular importance in relation to gender equality and the empowerment of women, which can be controversial.

Accountable, “mutually within the system, to beneficiaries and to the public beyond,” including specific accountability to women and girls as those often left furthest behind;

Multi-Dimensional, “integrated, intersectional and engaged across pillars and functions;”

Transformational, “of ourselves and those we serve,” The UN system needs to invest in strong transformational leadership. Transformational leadership is heavily reinforced by attitudinal and behavioural adjustments, by development of leadership capabilities, and by strong vision and leadership for change;”

Collaborative, “within and beyond the UN system.” Today’s UN leaders actively create safe and meaningful opportunities to hear the voices of people themselves, civil society, local communities, the

marginalized and excluded within them, and those most at risk of being left behind.” Again this is key to gender equality and the empowerment of women, which seeks to ensure effective participation of and decision-making by women and girls; and

Self-applied, “A UN leader is expected not just to preach UN principles and norms to other, but to live them. This means that in interactions within offices, teams, agencies, and across the system the UN leader is fully respectful of all colleagues at all levels, is gender-sensitive, promotes and celebrates diversity as a strength, fosters teamwork, empowers staff, recognizes and rewards merit, and operates with integrity, transparency and fairness.”

In addition, the leadership framework notes that a commitment to continuous learning and professional/leadership development are key attributes of the UN leader.

The CEB Leadership Framework has guided the components of this UN-SWAP Performance Indicator, which focus on internal and public championing of gender equality and the empowerment of women, with attention to **the need for transformational leadership, personal commitment of senior managers, attitudinal change, engagement with gender issues during engagements, and the importance of actively advocating externally and internally for gender equality and the empowerment of women**, as a central mandate of the UN, and in spite of external or internal push back or opposition.

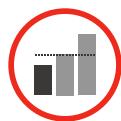


Evidence base

Examples of documents to attach to substantiate reporting:

- Minutes of CEB, HLCM, HLCP, UNSDG
- Governing body minutes
- Senior Management Team meeting minutes
- Speeches

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those shared to the UN-SWAP Knowledge Hub.

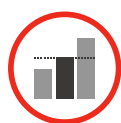


How to approach requirements

To approach requirements for this Performance Indicator senior managers and in particular the Head and Deputy Head(s) of entity should do at a minimum the following:

1. Articulate a vision of the ways in which the entity will support the promotion of gender equality and the empowerment of women and ensure that organizational goals reflect this vision. The evidence base will for example include discussions in town hall meetings or equivalent, internal memos and instructions, and gender equality and the empowerment of women being included on a regular basis on the agenda of the senior management team meeting or equivalent.
2. Actively challenge gender bias within the entity. This should be through active support to enforcement of organizational culture policies, challenging unconscious bias, and acting as a role model, including through the International Gender Champions or equivalent. The evidence base will be for example: follow-up through internal memos or equivalent where organizational

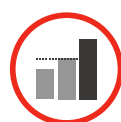
culture policies are not met; the number of unconscious bias sessions/workshops attended by senior managers; and reports from all-staff surveys and 360-degree surveys/feedback or equivalent.



How to meet requirements

To meet requirements senior managers and in particular **the Head and Deputy Head(s) of entity** should, in addition to the internal championing for approaching requirements, demonstrate the following:

1. Ensuring that accountability mechanisms are enforced so that the entity can reach equal representation of women in staffing in particular at the P4 or equivalent level and above.
2. Advocating for gender equality and the empowerment of women in at least two of the following areas:
 - a) Articulate in a public speech or equivalent, other than a speech on International Women's Day, a clear vision of how the entity gender equality and empowerment of women mandate will be achieved. This should go beyond references to women and men to specific reference to how the entity will address gender inequalities.
 - b) Advocate with other UN entities concerning the importance of promoting gender equality and the empowerment of women. The evidence base will be minutes of the CEB, HLCM, HLCP and UNSDG, and minutes of inter-agency meetings or equivalent.
 - c) Promote equal representation of women in delegations to Governing Bodies, assemblies and/or intergovernmental fora.
 - d) Promote mentoring programmes on gender equality and the empowerment of women for in particular for the senior management team or equivalent.
 - e) Ensure that substantive attention to gender equality and the empowerment of women is included in all relevant engagements of senior managers. The evidence base will be agendas of meetings, representation on panels and any other evidence from engagements.
3. **Prioritize funds for achieving the entity's gender equality and the empowerment of women mandate** through advocating for additional funds, and/or reallocating internal funds, consistent with decision-making authority. The evidence base will be Governing Body meeting minutes, and resource targeting and allocation figures, as captured in the entity's gender marker system.



How to exceed requirements

To exceed requirements senior managers should, **in addition to the above, review progress against the UN-SWAP performance on at least an annual basis and ensure that adequate budgets are allocated and there is adequate staff capacity to address under-performing UN-SWAP Performance Indicators.**



Current practice and examples

The **United Nations Office of Counter-Terrorism (UNOCT)** started reporting against the UN-SWAP 2.0 framework in 2019 and is strengthening the promotion of gender equality and the empowerment of women with the full support of senior leadership. Some examples include:

- Establishing a full-fledged and well-resourced Gender Unit to ensure high quality gender mainstreaming across all programmatic areas of UNOCT
- Establishing a UNOCT Gender Task Force, comprised of gender focal points from different branches and sections
- Ensuring a gender approach is adopted across all areas of work of UNOCT, including capacity building, policy development, coordination, briefings and events.
- Promoting gender and age-sensitive approaches to counter terrorism and prevent violent extremism, including by developing and implementing a UNOCT Gender Policy
- Providing training on gender to all UNOCT staff to increase and level capacities and understanding for meaningful gender mainstreaming across all functions within UNOCT
- Increasing visibility of the work on gender and ensuring this is included into communication with Member States and other entities
- Putting in place mechanisms to track achievements and concrete results on gender and ensure we are allocating an agreed financial benchmark of our budget to gender related programming and initiatives
- Ensuring that the Programme Review Board integrates gender expertise for the review and quality assurance of gender within all programmes and projects
- Ensuring gender expertise and gender parity in panels of events organized by UNOCT
- Championing gender equality and women's empowerment during high-level conference (for instance, the High-Level Regional Conference in Vienna and during the High-level Virtual Counter-Terrorism Week in New York)

The **United Nations Environment Programme (UNEP)**'s senior management actively promotes improvements in UN-SWAP Performance Indicators where requirements have not yet been met or exceeded and have allocated additional resources to the Gender and Safeguards Unit. Commitments include that all projects need to have a transformative gender result and show the measures to achieve this result; and all finance management officers to receive training on tracking financial resources spent on gender equality and women's empowerment. The Executive Director is an International Gender Champion and has committed to support the conduct of a gender audit of UNEP and the administered Secretariats of Multilateral Environment Agreements to discover the gaps in numbers and perceptions, set targets and evaluate progress on advancing gender equality in programmes and operations.



Additional points




The [International Gender Champions](#) and UN Women have published [guidance for gender-responsive assemblies: Shaping the International Agenda: Raising Women's Voices in Intergovernmental Forums](#). The publication aims to build knowledge on women's participation in national delegations to meetings of international organizations' governing bodies and their leadership roles in these meetings.

**PERFORMANCE INDICATOR
08**

**GENDER-RESPONSIVE PERFORMANCE
MANAGEMENT**



08. Performance Indicator: Gender-responsive Performance Management

 Approaches requirements	 Meets requirements	 Exceeds requirements
<p>8a. The entity's core values and/or competencies being revised to include assessment of gender equality and the empowerment of women</p>	<p>8b. Assessment of gender equality and the empowerment of women integrated into core values and/or competencies for all staff, with a particular focus on levels P4 or equivalent and above</p>	<p>8ci. Assessment of gender equality and the empowerment of women integrated into core values and/or competencies for all staff, with a particular focus on levels P4 or equivalent and above including decision making positions in all Committees, Missions and Advisory Bodies</p> <p>and</p> <p>8cii System of recognition in place for excellent work promoting gender equality and women's empowerment</p>



What is the Gender-responsive Performance Management indicator?

Clear accountability mechanisms are key to ignite and sustain progress. Accountability for gender equality is best implemented when it not only targets senior leaders but also includes all staff, through the integration of appropriate objectives in each staff member's performance plan and review.

The UN-SWAP recognizes that positive performance is the result of the combination of accountability mechanisms as well as rewards and incentives.

Performance management is a centralized function in the Secretariat and entities should report according to the data provided by DMSPC. UN Women will share the DMSPC input with all UN-SWAP Focal Points in the Secretariat before the reporting deadline.



Evidence base

Examples of documents to attach to substantiate reporting:

- Core values and competencies
- System of recognition

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those shared to the UN-SWAP Knowledge Hub.



How to approach requirements

To approach requirements for this indicator entities should be revising the core values and/or competencies to include assessment of gender equality and the empowerment of women.



How to meet requirements

To meet the requirements for this Performance Indicator, gender equality and the empowerment of women needs to be integrated into the core values and/or competencies, or equivalents, to be demonstrated by staff. The equal representation of women and men at all levels of the UN entity should be a core value.

In its Resolution 63/251, the General Assembly requested the International Civil Service Commission to identify means of rewarding performance. While few performance rewards exist in the UN system, they can be introduced to promote gender equality and the empowerment of women.

In relation to equal representation of women and men, the basic requirement is that respect for diversity is built into the corporate competencies and ethical standards of all job descriptions and vacancy announcements. It is expected that responsibility for the achievement of equal representation of women and men is specified through clear and measurable targets outlined in competencies associated with senior managers and/or human resource managers, which are then measured and enforced through related accountability mechanisms, such as gender balance strategies, manager compacts and scorecards, or enhanced performance objectives.



How to exceed requirements

To exceed requirements, performance assessment should include decision-making positions in all Committees, Missions and Advisory Bodies, by which is meant any senior level bodies such as Advisory Bodies to the Secretary-General. This does not refer to regular staff missions or committees.

In addition, there needs to be a system in place for recognizing excellent performance in promoting gender equality and the empowerment of women, for example a gender equality award or allocation of additional resources to units which display excellent performance.



Example: Meeting Requirements

Core values and competencies

The **United Nations Population Fund (UNFPA)**'s competency framework was updated in 2014, with GEEW being captured by the competency Embracing Diversity. In addition to measuring staff's competencies through the performance management cycle and system, UNFPA grounds its competency framework in job descriptions and recruitment processes. The competency Embracing Diversity encompasses the following gender equality related areas: Inclusive behaviour without bias

regardless of gender, remain mindful of own biases and behaviours, promote and abide by organizational policies that increase diversity, actively promote diversity and gender equality in all organizational activities in office management.

The **United Nations Development Programme (UNDP)** operates based on the core UN values, of which respect for diversity is the key one. Within this framework, the organization has established gender equality and gender parity as its strategic priorities and considerations of gender are integrated in all major UNDP strategies, planning and reporting frameworks, policies and operational procedures. Gender-related technical competencies are integrated into the UNDP technical competency framework. Gender indicators are also included into the individual offices' Integrated Workplans (IWP). Since 2014, UNDP requires all its managers and other relevant staff to include a gender equality or a gender parity goal/result into their individual performance plans. Detailed guidance has been prepared and is available to staff on such goals/results. In 2020, all Heads of Offices had a mandatory goal to "effective implement the Gender Equality Strategy (2019-2021) and the Gender Parity Strategy (2018-2021)".

United Nations Educational, Scientific and Cultural Organization (UNESCO): The division for gender equality regularly analyses how effectively the gender component has been reflected in workplans and shares good examples of workplans in its annual report, which is distributed to all staff. In addition, the division of gender equality has a newsletter entitled "[Gender Wire](#)", which highlights the work on advancing gender equality of individuals, entities, or colleagues at UNESCO, by featuring their stories in the "Gender Equality Champion" section. The newsletter also underlines projects that have successfully mainstreamed gender in the "Let's mainstream" section.



Example: Exceeding Requirements

The **United Nations Office for Project Services (UNOPS)** competency framework promotes "Integrity and Inclusion" as a core competency that applies to all UNOPS personnel and calls upon senior managers to act as "Role models for diversity and inclusion" and to "Drive and promote diversity; demonstrate awareness and management of own unconscious biases." On a regular basis, all UNOPS personnel are evaluated against the core competency of "integrity and inclusion" as part of the annual performance appraisal, where personnel are formally evaluated against both objectives and competencies. This is included within the performance management policy and is mandatory for all personnel who work with UNOPS for six months or more. For 2018, Performance objectives on Gender Parity Targets were included for Senior Leadership.

A leadership mindset, grounded in the UNOPS competency framework, was introduced in 2017, defining what it means to be a people leader in the organization. Through this leadership mindset we aim to demonstrate consistent beliefs, values and assumptions about the way our people are led at UNOPS. Creating an inclusive work environment, and treating people fairly and with respect, is at the heart of the mindset. The mindset has the ability to: (1) influence the culture of the organization; (2) determine the tone of personnel experience in the workplace; and (3) support the purpose of the organization.

Examples of systems of recognition

The **United Nations Development Programme (UNDP)** is implementing a programme designed to certify and recognize the performance of Country Offices/Units and its managers in advancing gender equality and the empowerment of women. The UNDP Gender Equality Seal is a capacity building and quality assurance mechanism which evaluates both accountability and the development of gender equality and the empowerment of women initiatives. It is a corporate certification process that

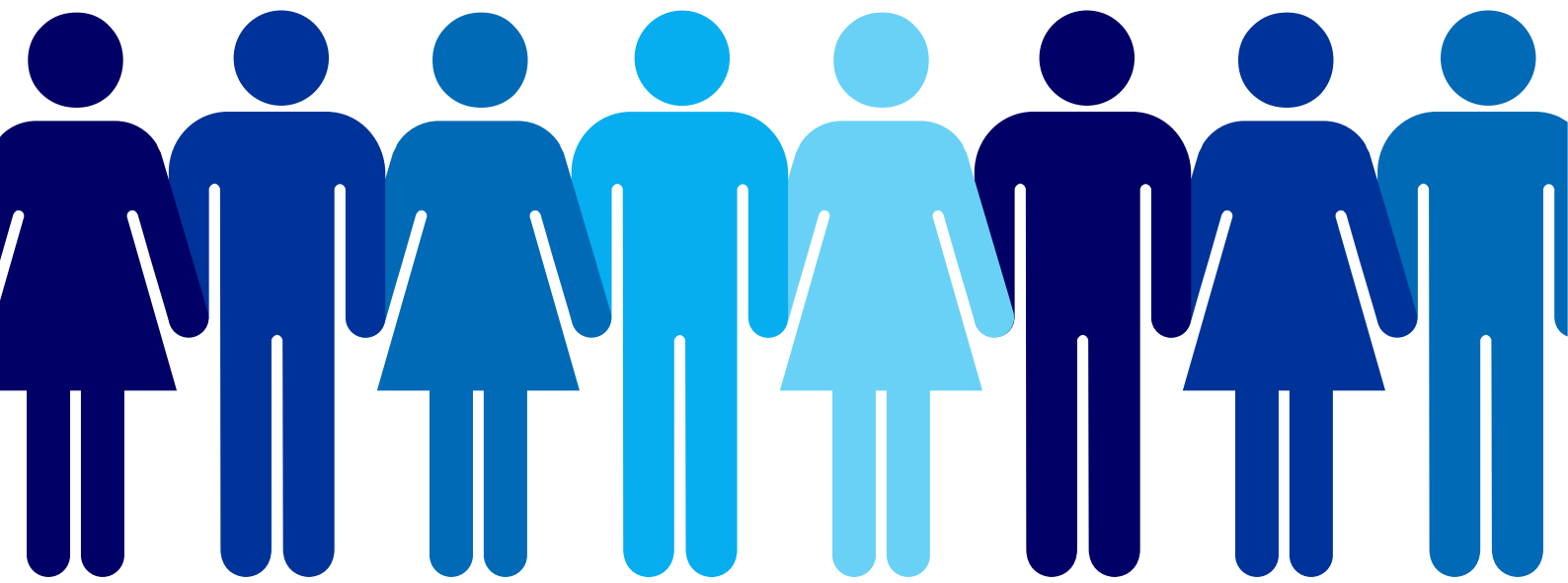
recognizes good performance of UNDP offices/units to deliver gender equality results. It offers three levels of certification: Gold, Silver, and Bronze. The Gender Equality Seal initiative aims to accelerate gender equality in the workplace and generate data and evidence to improve and demonstrate efficiency and results.

The **United Nations Office for Project Services (UNOPS)** considers the contribution to gender equality when choosing the winners of UNOPS annual awards. UNOPS established two awards with links to gender equality: (1) The PEOPLE LEADERSHIP Award for team leaders and supervisors who have inspired others to succeed and demonstrated the mind-set and skills of great people leadership and shown commitment to the achievement of gender equality and knowledge sharing. (2) The VALUES AND PRINCIPLES Award for individuals or teams who have advanced and embody the UN Values of Integrity, Professionalism and Respect for Diversity.

In the **Department of Peace Operations (DPO)** police and military, who promote gender, women, peace, and security are recognized with two awards. First, the Military Gender Advocate of the Year Award, which acknowledges the dedication and effort of an individual peacekeeper in promoting the principles of the [UN Security Council's resolution 1325 on women, peace, and security](#). Second, the International Female Police Peacekeeper Award, which recognizes an outstanding female police peacekeeper serving in a UN peace operation. This award also aims to promote UN Secretary General's gender parity strategy and DPKO uniformed gender parity strategy.

As part of the **UN Department of Safety and Security (UNDSS)** Recognition Programme, the Department gives a specific award (Gender Champion Award) that recognizes individuals who have made outstanding or significant contributions in championing and promoting gender equality and implementing UNDSS Strategy on Gender Equality. The 2019 Gender Champion Award was given in 2020 to a Chief Security Adviser in the field for outstanding contribution to the subject. Nominations were assessed by a diverse inter-divisional Technical Committee, which included two Assistant Gender Advisers. The Department also has a Gender Equality and Inclusivity Award to award UNDSS field offices who present exemplary implementation of the "Enabling Environment Guidelines" on good practices towards gender equality and inclusion.

D. HUMAN AND FINANCIAL RESOURCES






PERFORMANCE INDICATOR

09

FINANCIAL RESOURCE TRACKING



09. Performance Indicator: Financial Resource Tracking

 Approaches requirements	 Meets requirements	 Exceeds requirements
<p>9a. Working towards a financial resource tracking mechanism to quantify disbursement of funds that promote gender equality and women's empowerment</p>	<p>9b. Financial resource tracking mechanism in use to quantify disbursement of funds that promote gender equality and women's empowerment</p>	<p>9ci. Financial resource tracking mechanism in use to quantify disbursement of funds that promote gender equality and women's empowerment</p> <p>and</p> <p>9cii. Results of financial resource tracking influences central strategic planning concerning budget allocation</p>



What is the Financial Resource Tracking indicator?

Financial resource tracking involves the ability to track financial disbursements. Generally, such tracking is done through the introduction of tagging (e.g. a gender marker) into the financial resource tracking system that the entity uses to track commitments and expenditures. For example, in the UN system two major systems that perform these duties are ATLAS and UMOJA.

Several ECOSOC resolutions¹⁰ have either called upon or requested the United Nations system, including its agencies, funds and programmes within their respective organizational mandates, to continue working collaboratively to enhance gender mainstreaming within the UN system, including by tracking gender-related resource allocation and expenditure, including through the promotion of the use of gender markers.



How to use this performance indicator

A gender marker involves evaluating expenditures to assess the degree to which and how they address GEEW. The intent of the financial resource tracking indicator is fourfold: to track the UN's financial support for gender equality, to encourage increased discussion of how to improve the gender responsiveness across a range of projects and programs, and eventually to establish an iterative process whereby planning and implementation are linked, and finally a gender marker is an excellent tool to help inform indicator 10.

There are a number of gender marker systems in place in the UN system that meet the requirement for this Performance Indicator.

These gender marker systems build off the [OECD-DAC Gender Equality Policy Marker](#), and in their coding system provide an indicative overview of resources allocated for the promotion of gender equality and the empowerment of women. These systems generally use a four-point scale, a 0 to 2b or 0 to 3 scale as follows,

¹⁰ ECOSOC resolutions 2011/6 para 7d, 2012/28 para 8d, 2013/16 para 10d, 2014/2 para 6f, 2015/12 para 14i, on Mainstreaming a gender perspective into all policies and programmes in the United Nations system: <https://www.un.org/en/ecosoc/docs/docs.shtml>

- 0 means no reflection of gender
- 1 limited reflection of gender
- 2a means that there is potential to contribute significantly to gender equality, and
- 2b means the project's principal purpose is to promote gender equality

Because of difficulties in breaking down budgets into component parts, in most cases an examination of needs assessment, outcomes/outputs or activities is done. For projects that merit a 2b or 3, close to 100 per cent of resources should be allocated towards gender.



Evidence base

Examples of documents to attach to substantiate reporting:

- Information extracted from financial resource tracking (budgeting and expenditures for gender equality results)
- Internal guidance on how to code expenditure and allocations according to the gender marker categories
- Meeting minutes to demonstrate decisions based on financial resource tracking data

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those shared to the UN-SWAP Knowledge Hub.



How to approach requirements

Gender marker systems not specifically tied to tracking financial resources, but rather to assessing overall programme performance, should be rated as approaching requirements. Similarly, unless financial tracking captures a significant portion of programs or projects, the appropriate rating is “approaching requirements”. **Given that all entities receive financial resources, not applicable is not an appropriate category for indicator 9.**

***Secretariat Entities:** As a gender marker system is currently being rolled out in UMOJA, and the configuration of this system is not yet finalised, Secretariat entities that are not yet implementing gender markers should report “approaching requirements” for this Performance Indicator.



How to meet requirements

To meet the requirements for this Performance Indicator, UN entities should have a financial tracking system in place to quantify funds allocated for the promotion of gender equality and the empowerment of women. This requires not just tracking funds that are explicitly focused on promoting gender equality, but also funds allocated for gender mainstreaming.

If the entity uses gender equality markers as a financial tracking mechanism, please respond to the following questions (meeting and exceeding requirements):

1. Which type of scale is being used
 - a. 0-1-2-3
 - b. 0-1-2a-2b
 - c. Other / please describe:

2. In which areas or budget sources does the entity apply the Gender equality markers?
 - a. all budget
 - b. non-core budget
 - c. Other / please describe:

3. The gender marker system is used for...
 - a. planning
 - b. estimate financial allocations
 - c. financial tracking of budgets
 - d. Other / please describe:

4. In which ERP is the gender marker system embedded?
 - a. UMOJA IPMR
 - b. Atlas/Quantum
 - c. Other / please describe:

5. Has there been guidance and training on the use of gender markers in the entity in the reporting year?
 - a. yes
 - b. no

6. Which department is in charge of quality assurance of the gender marker in the entity?
 - a. Budget office
 - b. Gender office
 - c. Other / please describe:

7. What is the amount of funding allocated by the entity to gender-targeted project and interventions (GEM 3/2b) in the most recent period?



How to exceed requirements

To exceed the requirement, an explicit link should be made between the resource tracking mechanism and UN entity budgeting processes. Entities that have successfully exceeded this requirement have therefore facilitated regular communication between budget, gender equality and program staff.



Example: Meeting Requirements

The **United Nations Capital Development Fund (UNCDF)** carried out a Gender Marker exercise for all its programme activities in 2018. All new programmes have been requested to include a Gender Marker in the design phase, which will be reviewed and appraised by the HQ Programme Appraisal Committee before approval and implementation. Based on 2018 expenditures, 9.2% of expenditures are listed as GEN3 (principle contribution) and 41.4% are listed as GEN2 (significant contribution).

Hence, over 50.6% of its expenditures are categorized as or beyond GEN2. The trend is estimated to continue in 2019 as well.

The **United Nations Children’s Fund (UNICEF)** has further improved tracking of resource allocation and expenditure under the current Strategic Plan 2018–2021, with a gender tagging system for all activity level budget codes used by UNICEF. Explicit instructions have been shared with Country Offices to report the extent to which the gender equality objectives of each programme output and their associated indicators are being achieved. The GEM rating for outputs is now linked to the percentage of expenditures under the given output, ranging in values from ‘no noticeable contribution to advancing gender equality’, to ‘advancing gender equality is the principal objective’. Gender Tags are now pre-assigned to standard output indicators, as well as to standard activities. Furthermore, each of these activities has been mapped to the 13 Gender Action Plan priorities. 100 per cent of UNICEF financial expenditure is currently being coded against the GEM.

The **International Organization for Migration (IOM)** Gender Marker was launched in 2018. It is required for all newly developed and activated projects worldwide. IOM supported capacity building and implementation through in person trainings, a helpdesk and a dedicated page on the IOM intranet hosting guidelines for the IOM Gender Marker in all three official IOM languages (English, French, Spanish) as well as Arabic.



Example: Exceeding Requirements

The **United Nations Development Programme (UNDP)** rolled out its gender marker in 2009 and has been a pioneer entity in implementing the gender marker and providing advice and technical support to UN entities in this area. Because they were an early adaptor, UNDP uses a scale that ranges from 0 to 3. Their experience though was used to inform other roll-outs and has led to the recommendation that other entities use 0 to 2b instead. The Gender Steering and Implementation Committee (GSIC) reviews the gender marker and results of financial resources tracking. Decisions have been taken using results from the gender marker to influence central strategic planning as for example on UNDP’s Funding Windows allocation of non-emergency resources. The Funding Windows requires all project proposals to be scored GEN 2 or GEN 3 to qualify for funding and are reviewed by gender assessors. The 2019 JIU Review of the UN-SWAP highlighted as a good practice the UNDP’s project management quality assurance mechanism used to ensure that gender tagging is accurate.

The **Office for Coordination of Humanitarian Affairs (OCHA)** has also incorporated the IASC gender marker into their budgetary process. This process has involved assuring that gender advisors are involved in budgetary allocation decisions as well as in the project review process. At the strategic level, Humanitarian Country Teams (HCTs) are asked to outline how gender was considered during the strategy formulation and prioritization of needs for funding. At the project level, United Nations agencies are required to provide age- and sex-disaggregated data on people targeted and reached, as well as assign a Gender with Age Marker and a gender-based violence assessment score. In addition, data collection at the field level is used to assess whether funded projects are using a gender responsive approach. The data are also utilized for country level strategic planning. Finally, OCHA has made their gender marker data available to the general public.

The **United Nations Population Fund’s (UNFPA)** gender marker is mandatory and captures all programme funds. In place since 2014, UNFPA opted for 0-1-2a/2b (not 2 and 3) four-point scale because it did not want to create the impression that 3 was superior to 2. When creating electronic workplans in the Global Planning System (GPS), each workplan activity is tagged to a gender marker code and other attributes such as Strategic Plan output and outcome, Intervention area etc. Activity

tagging is mandatory and, unless tagged, users are not able to create programme budgets or expend against the budget. Programme Managers are responsible for reviewing and adjusting the accuracy of the tagging. At present, 80% of all UNFPA resources (core and non-core) are tracked in the gender marker system, Gender marker data informed the development of the current SP, and the MTR in 2020.

The **United Nations Economic and Social Commission for Western Asia (ESCWA)** successfully incorporated the gender marker into UMOJA by projectizing outputs and creating an empty field where a gender marker could be entered. The ESCWA marker includes the categories blind, limited, significant and principal, which map fairly closely to the categories 0 to 2b. ESCWA also developed a Portal to track and retrieve data and information on the gender marker per output, and also on the SDG marker that permits to link each output to the SDGs it contributes to. ESCWA Centre for Women and the Programme Planning and Technical Cooperation Section use the data and information provided by the Portal to feed into and influence the planning and implementation of the organization's work programme.



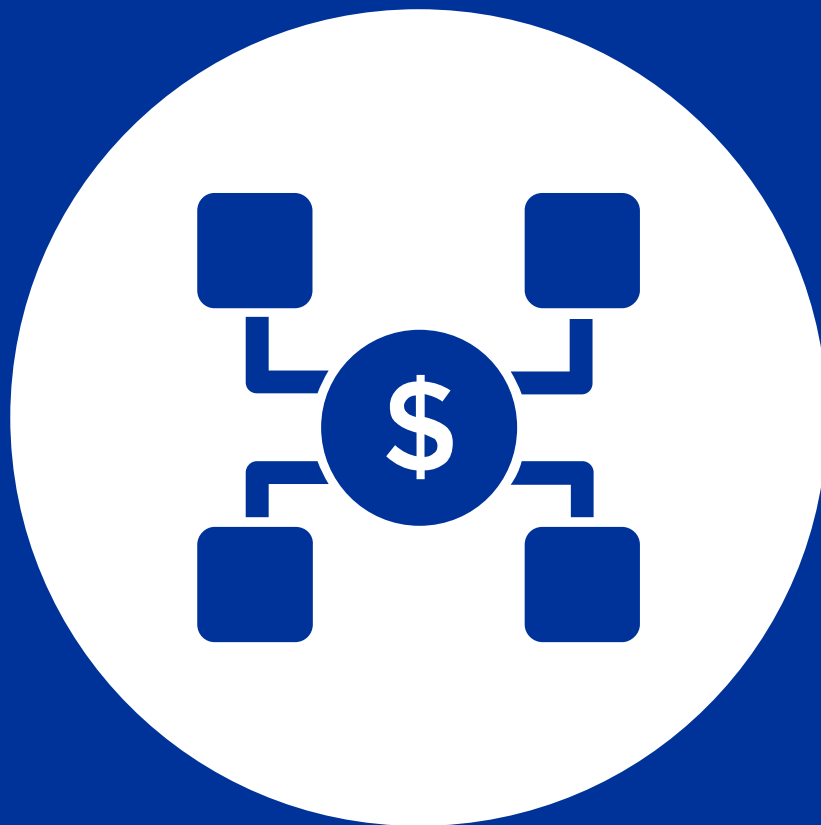
Additional Information

The **United Nations Sustainable Development Group (UNSDG)** - has produced guidelines on [Steps to develop a gender equality marker](#), the [Gender Equality Marker Guidance Note](#) and its companion [Financing for Gender Equality and Tracking Systems - Background Note](#). The former explores what a system-wide report on allocation and tracking of resources could include and the responsibilities of each entity to develop systems that will enable them to contribute to this data set. The *Background Note* also highlights the importance of agreement on minimum standards for institutional gender equality markers and stresses the need for clarity and transparency in reporting. The Guidance Note sets out common principles and standards for gender equality marker systems that track and report on allocations and expenditures for gender equality and women's and girls' empowerment. It is intended as a guide to the development of an effective and coherent approach for tracking resources that support gender equality results with agreed upon parameters and standards inside the UN system. This will allow for UN system-wide reporting with regard to funds contributing to promoting gender equality. The Guidance Note is also intended to provide direction for individual entities instituting or improving their gender equality marker systems. The [CEB Finance and Budget Network Working Group on UN-SWAP Gender Marker Implementation](#) has issued two [guidance notes on Quality Assurance of Gender Equality Markers](#) and [Coding Definitions for Gender Equality Markers](#) (December 2018).¹¹




¹¹ Please see further materials under [Gender equality marker resources](#) on UN Women's website.

**PERFORMANCE INDICATOR
10**

FINANCIAL RESOURCE ALLOCATION



10. Performance Indicator: Financial Resource Allocation

 Approaches requirements	 Meets requirements	 Exceeds requirements
10a. Financial benchmark is set for implementation of the gender equality and women's empowerment mandate	10b. Financial benchmark for resource allocation for gender equality and women's empowerment mandate is met	10c. Financial benchmark for resource allocation for gender equality and women's empowerment mandate is exceeded



What is the Financial Resource Allocation indicator?

The UN has pledged to address gender inequality and promote women's empowerment. The financial resource allocation indicator involves entities establishing a benchmark or target percent of their funds to be spent on gender equality and women's empowerment with a focus on ways of addressing this issue in the context of each entity's mandate. In one of the first major systematic initiatives of its kind in the UN system, [the Secretary-General in 2010 committed the Peacebuilding Fund](#) to doubling the proportion of funding devoted to gender-focused projects by October 2012, and set a target of 15 percent of UN-managed peacebuilding funds to be spent on projects that promote women's specific needs, advance gender equality or empower women. Of the \$174 million approved in 2020, [40 per cent was dedicated to promoting gender equality and women's empowerment](#), well exceeding the United Nations system-wide target of 15 per cent. In 2020, the [UN COVID-19 Response and Recovery Fund](#) put gender equality at its core, requiring a gender equality marker of GEM 3 for at least 30 per cent of its investments.



How to use this performance indicator

By setting the goal to spend a percent of financial resources on GEEW, entities will be assuring that gender equality is incorporated into budgetary decisions. This requires an examination and inclusion of regular, core and non-core resources. Discussions both about what the appropriate benchmark should be, as well as how to achieve that benchmark are necessary to this process. For example, if a UN entity runs training workshops for Member States and determines that achieving gender parity in these training sessions is core to their mandate, the budget process should involve identifying the resources needed to achieve this goal, with a focus on what percent of total financial resources this would require. Similarly, if a UN entity's mandate includes empowering women through greater participation in political processes, the resources required for achieving this goal should be estimated and then an appropriate benchmark should be calculated.

Ideally the setting of a financial benchmark will also be informed by the gender marker data (UN-SWAP Performance Indicator 9.) Entities will establish through use of the gender marker system the current allocation to promoting gender equality and the empowerment of women and be able to determine if this figure is adequate to meet their mandate. Entities that have not rolled out their gender marker or not gathered sufficient data, may set their target based on particular outputs that have a clear gender equality component. Once sufficient data are collected though, the gender equality target should be adjusted accordingly, preferably becoming not only more comprehensive but also more ambitious.

Although in some cases a clear mandate has been established by the UN leadership, (e.g. the SG target for 15% of peacebuilding funds (PBF) to address GEEW), even entities that do not face a UN or donor-imposed mandatory target should be establishing goals that assure that a percentage of their

financial resources are spent on GEEW. Given that different entities engage with the issue of gender equality and the empowerment of women more or less directly, there is not a single percentage that is recommended for all entities, but what is expected is that strategic planning and budget discussions will incorporate discussions of how gender equality can be incorporated into each entity's mandate, with the aim of establishing a benchmark to assure that this occurs.



Evidence base

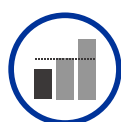
Examples of documents to attach to substantiate reporting:

- Document that demonstrates that a financial benchmark has been set for the entity's activities to promote GEEW during a specific period
- Financial tracking/monitoring data
- Information on specific budget allocations for GEEW

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those shared to the UN-SWAP Knowledge Hub.

Establishing gender equality as a UN priority requires integrating GEEW not only in strategic planning documents but also in funding allocations. Creating greater transparency of system-wide resources being invested for meeting GEEW objectives, provides the facts and figures that justify strengthening financing for gender units and gender equality mandates. **UN-SWAP reporting collects data on total entity revenue and financial allocations for gender mainstreaming in each entity:**

- Total entity revenue in USD in the most recent reporting year
- Financial allocation to the gender unit (excluding staff costs) for entities that have a gender equality unit or department
- Financial allocation for GEEW to gender advisors/specialists (not part of the gender unit) (excluding staff costs) for entities that have dedicated gender advisors or specialists with a budget line for their gender mainstreaming function



How to approach requirements

A first step in this process is to assure that strategic planning and budget discussions include an emphasis on gender equality and the empowerment of women, in order to establish a benchmark that is both realistic and ambitious. This benchmark should be given as a percent of total financial resources. **Entities still in the process of determining what the relevant percent should be should report that they are approaching the requirement.** In addition, **those who have established a numerical target (e.g. a set USD amount), rather than a percentage, should report that they are approaching the requirement and continue to work towards establishing a percent figure.**



How to meet requirements

Once the process of setting a percent target has occurred, the UN entity must then **achieve their** financial target across all budgets. In cases where an entity meets or exceeds the target for one or more years, but in subsequent years falls back below the target, they must again report approaching. Given that this process is meant to be iterative and work in tandem with indicator 9, note that it is possible, if

an entity adjusts their financial target upwards, for the entity temporarily slip from meets to approaches. Entities should therefore aim not just to consistently meet a set target but also to periodically reassess whether sufficient resources are being allocated to GEEW and if necessary, adjust the target upwards.



How to exceed requirements

To exceed the requirement, UN entities should have surpassed their financial target and have allocated a percent of funds that is greater than their target to GEEW. An entity that consistently exceeds their target by a wide margin should probably consider increasing their benchmark.



Example: Approaching Requirements

As far back as 1997 research indicated that less than two percent of the **United Nations Development Programme's (UNDP)** core resources were being allocated to gender equality, which was then one of five UNDP Focus Areas. As a result, the Administrator's requested managers to allocate twenty percent of thematic funds to gender equality (Direct Line 11), a requirement that was discontinued in 2000. More recently, through its [Gender Equality Strategy 2018-2021](#), UNDP will seek to progressively increase programming which specifically addresses gender equality through its programmatic work. Therefore, UNDP will aim during the period of this strategy to eventually achieve having 15 per cent allocation of all country programme and project budgets to advancing gender equality and/or empowering women (Gender marker attribute GEN-3 – Gender equality and the empowerment of women is principal objective of outcome).”



Example: Meeting Requirements

While the **United Nations Population Fund (UNFPA)** is not mandated in the same way that PBSO is, they set a target of 11 per cent based on the examination of one gender specific outcome that was incorporated into their strategic plan. In most years they have either met or exceeded that target. Given that gender equality is also a cross-cutting issue for UNFPA, estimating gender-related spending through a focus on a single outcome has probably led to an underestimation of their actual gender-related spending. Therefore, in years when they report meeting requirements, they may in fact be exceeding their goal. Given that UNFPA now has a functioning gender marker, as they collect and analyse more financial data, they will be able to set both a more realistic target and obtain better estimates of total gender-related spending. Indications from the Gender Marker data reveal that actual expenditures for gender equality and empowerment of women and girls exceeded that benchmark (11 per cent) to be at least over 20 per cent of UNFPA's overall financial budget and spending. This should lead to them readjusting their target upwards in the coming years, as they incorporate more data into this process.

The **United Nations Capital Development Fund (UNCDF)** has introduced a financial benchmark for resource allocation for GEEW in its strategic plan as part of its mid-term review carried out in 2019. The gender marker indicator has targets proposed for 2019 (50 per cent), 2020 (52 per cent) and 2021 (54 per cent) for "percentage of expenditures with a significant gender component (Gender marker - GEN2) and with gender as a principled objective (Gender Marker - GEN3)". 2019 reported results for the indicator, which was 52.7 per cent, exceeded the target of 50 per cent.



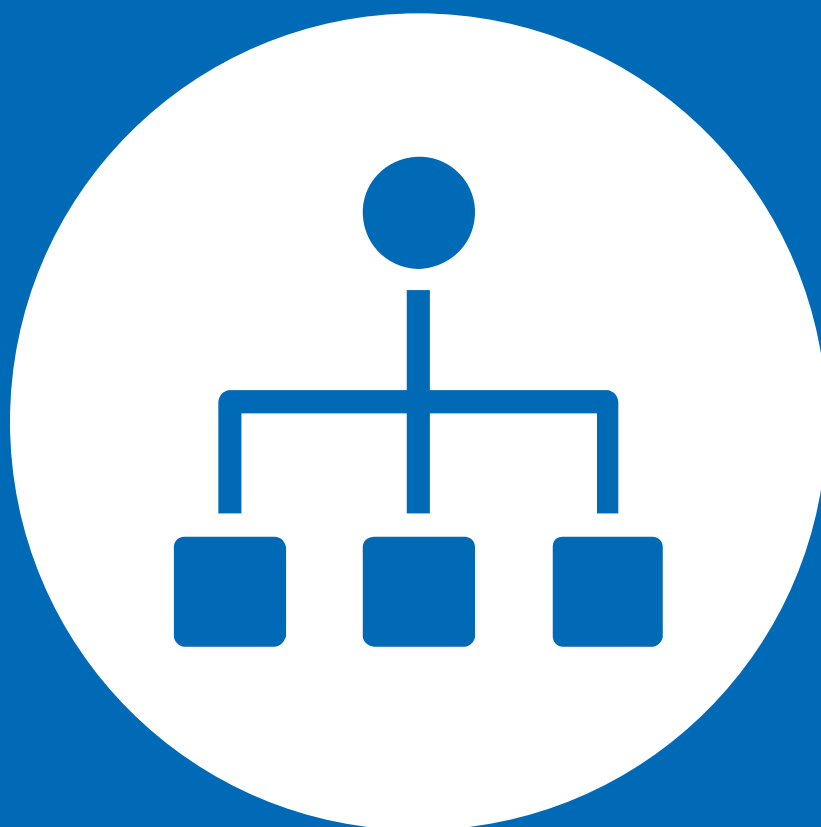
Example: Exceeding Requirements

PBSO, now part of the **Department of Political and Peacebuilding Affairs (DPPA)**, is an entity that is mandated by the SG Peacebuilding Fund commitment to reach at least the 15 per cent target. In 2015 PBSO met this commitment for the first time. The Peacebuilding Fund reached 19.2 per cent in 2016 and raised the target to 30 per cent in its business plan for the period 2017–2019. In his 2018 report on [Peacebuilding and Sustaining Peace \(A/72/707–S/2018/43\)](#), the SG requested that all United Nations funding mechanisms in support of peacebuilding projects meet and exceed this 15 per cent target and that Member States contribute specifically in this area, where resources are scarce but the impact great. In 2018, 40 per cent of the \$183 million approved by the Peacebuilding fund was dedicated to promoting gender equality and women’s empowerment, well exceeding the 30 per cent target.




The PBSO example illustrates how indicators 9 and 10 work in tandem. After tracking their gender marker data for a number of years, PBSO became concerned at the low level of projects that have gender equality as a specific objective (2b or 3), so they launched an explicit initiative to solicit more gender related proposals. It was after they began this process that they were able to first meet and then exceed the indicator.

**PERFORMANCE INDICATOR
11**

GENDER ARCHITECTURE



11. Performance Indicator: Gender Architecture

 Approaches requirements	 Meets requirements	 Exceeds requirements
<p>11. Gender focal points or equivalent at HQ, regional and country levels are:</p> <ul style="list-style-type: none"> a. appointed from staff level P4 and above b. have written terms of reference c. at least 20 per cent of their time is allocated to gender focal point functions 	<p>11bi. Gender focal points or equivalent at HQ, regional and country levels are:</p> <ul style="list-style-type: none"> a. appointed from staff level P4 and above for both mainstreaming and representation of women b. have written terms of reference c. at least 20 per cent of their time is allocated to gender focal point functions <p>and</p> <p>11bii. Gender department/unit is fully resourced according to the entity mandate</p>	<p>11ci. Gender focal points or equivalent at HQ, regional and country levels are:</p> <ul style="list-style-type: none"> a. appointed from staff level P5 and above for both mainstreaming and representation of women b. have written terms of reference c. at least 20 per cent of their time is allocated to gender focal point functions d. specific funds are allocated to support gender focal point networking <p>and</p> <p>11cii. Gender department/unit is fully resourced according to the entity mandate</p>



What is the Gender Architecture Performance Indicator?

Efforts to mainstream gender equality and the empowerment of women can be undermined by a lack of sufficient human and financial resources. Weak gender architecture, including understaffed and underfunded gender focal point networks and gender units, prevent UN entities from meeting their gender-related mandates. Given the paramount importance of ensuring adequate resourcing, the [2019 ECOSOC Resolution on Mainstreaming a gender perspective into all policies and programmes in the United Nations system](#), “requests the United Nations system, in particular UN- Women, in consultation with Member States, to address the issue of sustainable resourcing for the implementation of the System-wide Action Plan 2.0...”

Analysis of UN-SWAP 1.0 results has shown that entities with a dedicated Gender Focal Point system appointed at the P-4 or higher level, written Terms of Reference and a minimum requirement of 20 per cent of time allocated to gender equality work meet or exceed, on average, requirements for 1/3 more indicators than those entities that are missing a Gender Focal Point System. The lack of sufficient human and financial resources was highlighted by UN-SWAP reporting entities in 2020 as one of the most important factors to stall progress in the promotion of gender equality and the empowerment of women and girls.



Evidence base

Examples of documents to attach to substantiate reporting:

- Gender Focal Point TORs
- Overview of the gender unit's budget for the reporting year and list of posts (titles and grades of all staff in the unit/department)
- Organizational chart showing location of Gender Unit

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those shared to the UN-SWAP Knowledge Hub.

An effective gender architecture supports the efficient use of human and financial resources for the achievement of gender equality and the empowerment of women across the UN system. To date, there is insufficient comparable data on the current gender architecture across the UN system to establish a comprehensive baseline. To close the data gap and provide justification for the rating selection, **UN-SWAP reporting now requests the following data on financial and human resources for gender mainstreaming in the UN system:**

- Total number of entity staff
- Total cost of all entity staff

If the entity has a gender unit:

- Total number of staff in the gender unit
- Total staff cost of gender unit
- Does the gender unit address GEWE issues only? YES/NO
- If not, please describe what other cross-cutting issues:
- Where is the gender unit located in the organigram / reporting lines?
- Where is the gender parity function located?
- Total number of gender advisors/specialists (not part of the gender unit)
- Total cost of gender advisors (not part of the gender unit)
- Total number of gender focal points



How to approach requirements

Gender Focal Points

To approach requirements for this indicator, entities need to have Gender Focal Points or equivalent at HQ, regional and country levels who are appointed from staff level P4 and above, have written terms of reference and have at least 20 per cent of their time allocated to gender focal point functions.

The junior level of the designated gender focal points has frequently been raised in reviews in the last 10 years as symptomatic of lack of commitment to gender equality and the empowerment of women across the UN system.¹² Gender focal points have often been the most junior female staff members, which sends a message that gender equality is not being taken seriously. Further, the resolutions of the General Assembly have repeatedly called for their appointment at high levels. To meet requirements

¹² For an overview see AfDB (2011) Mainstreaming gender: a road to results or a road to nowhere. Evaluation synthesis. Addis Ababa: African Development Bank, pp. 40-2. <http://idev.afdb.org/en/document/mainstreaming-gender-equality-road-results-or-road-nowhere>

for this Performance Indicator, an entity must have a gender focal point appointed from the P4 level or equivalent or above. **If the P4 level requirement has been satisfied, additional focal points can be from all professional levels.**

The number of gender focal points within a UN entity is determined by that UN entity. For the 20 per cent time allocation, this can be distributed across Gender Focal Points; one Focal Point does not have to dedicate 20 per cent of his/her time to gender focal point responsibilities. The 20 per cent requirement can be achieved by summing the time several gender focal points devote to the associated functions, thereby allowing for burden sharing, especially in those cases where the focal point is undertaking the UN-SWAP/gender equality functions in addition to their regular functions not related to gender equality work.

The Performance Indicator on gender focal points refers to “equivalents”. Some UN entities, such as OHCHR and UNDP, are moving away from a focal point system. In UNDP the move is to a team-based system, where teams assign specific gender focal point functions – human resources, programming, etc. – to different staff members, with the teams reporting to a senior manager. In OHCHR Gender Facilitators are assistants to senior managers in charge of programme development and follow up on compliance within a Branch or Division. The requirements of this Performance Indicator apply, whether the UN entity chooses to appoint individual staff members as gender focal points or form a gender focal point team.

It is recommended that, one of the designated responsibilities for the gender focal points should pertain to achievement of gender balance in staffing and representation of women. Some UN entities may opt to have separate gender balance focal points, or equivalent. Gender balance focal points support senior management in relation to staff selection processes, identifying qualified female candidates and supporting the development of policies. Gender balance focal points may be required to serve on interview panels and review bodies and assist with monitoring the status of women and men within their organizations.



How to meet requirements

To meet this Performance Indicator, UN entities need to meet both requirements – gender focal points and a resourced gender unit.

Gender Unit

A Gender Unit or Equivalent (Office, Department, Branch, etc) is a separate organizational unit charged with coordinating the entity’s work on GEWE through providing strategic support for the development of policies, projects, capacity building and strategic initiatives, etc.

The gender unit can be considered to be fully resourced if it has adequate human and financial resources to support the UN entity in meeting its gender equality and empowerment of women mandate. This will differ from entity to entity. To estimate if the unit is fully resourced, the requirements as set out in the UN entity gender equality policy, and assessment against the UN-SWAP Performance Indicators, can be taken into account. All UN entities should eventually be exceeding requirements. UN entities will thus need to determine the quantity of resources required by its gender unit/department for fulfilment of its gender mandate, including coordination, capacity development, quality assurance and inter-agency networking.

Gender units should be strategically placed in the entity and have adequate authority and capacity to influence entity's policies and decision-making. Optimally, gender units should be located at the highest possible level in the organigram and in direct connection with the executive office.

Strong gender architecture within an entity may be reflected by:

- senior gender personnel having roles within institutional decision-making and programmatic delivery, including authority/influence over budgets and policy (ie. extent to which perspectives of gender staff reflected in key policies, programmes and procedures);
- participation of gender-dedicated staff in cross-functional teams in priority issue areas (other than gender) and chairing internal task forces and inter-agency mechanisms;
- adequate capacity and training for gender personnel to carry out their functions; and
- associated budgets under gender experts' responsibility.



How to exceed requirements

To exceed requirements for this Performance Indicator, UN entities need to meet both requirements – gender focal points and a resourced gender unit – and have specific funds allocated to support gender focal point networking



Examples: Meeting and Exceeding Requirements

The **Food and Agriculture Organization of the United Nations (FAO)** has established a Technical Network of gender focal points at headquarters and in the sub-regional and country offices. The process of appointing GFPs in all of the HQ units and divisions, as well as regional, sub-regional and country offices, is ongoing. There are GFPs and alternates in most of the divisions and offices at FAO headquarters and in the decentralized offices. In 2020, there were approximately 40 GFPs and alternates at headquarters and more than 180 in decentralized offices. In addition to a D1 staff member and a few P5 staff members in the GFP network, many of the GFPs are appointed from staff level P4. FAO's GFPs have written terms of reference and they are requested to allocate 20 per cent of their time to the gender focal point functions. The time allocation is reflected in their annual work plans and in the annual performance evaluation process. In addition, specific funds have been allocated to support the GFP network through the Technical Network on Gender, which is coordinated by the Gender Team in the Inclusive Rural Transformation and Gender Equity Division.

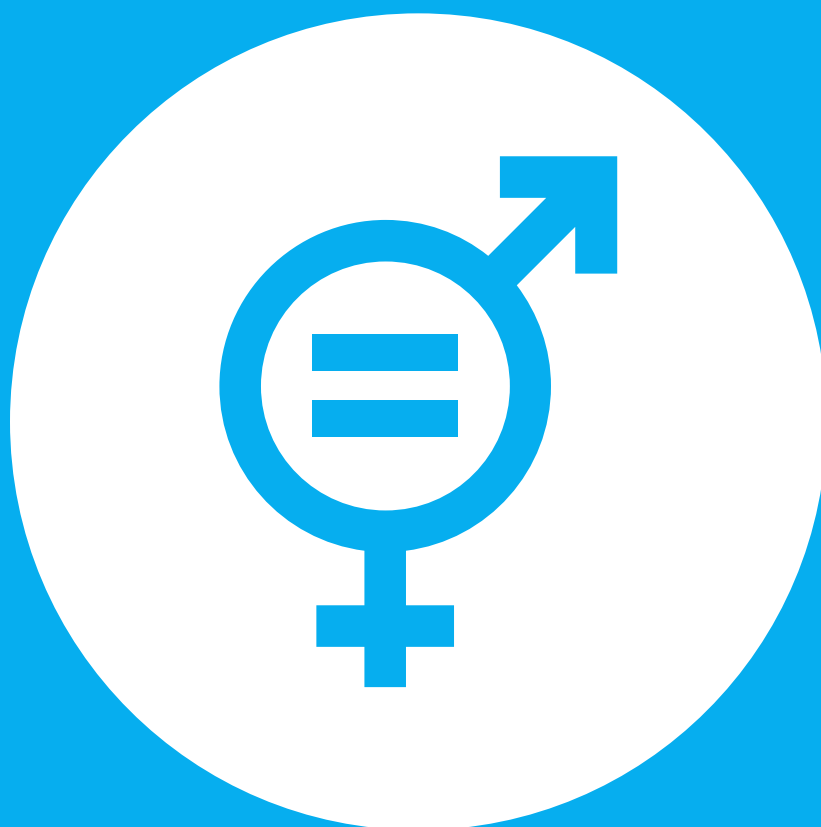
The **International Labour Office (ILO)** has a Gender Focal Point Network of over 120 focal points in the field offices and at HQ with written, detailed TORs indicating the amount of time to be devoted to gender-related outcomes. The ILO Action Plan for Gender Equality has an indicator: "No. of units and field offices without GFPs" with a target of "None". There is also an indicator on percentage of male focal points at HQ and in field offices.

The **International Training Centre of the International Labour Office (ITC-ILO)** Gender Focal Points network is composed of two representatives per Programme (one Professional and one administrative staff). In this way, G staff is also involved in the promotion of gender equality. This system also helps promoting the idea that everyone in the organization – regardless of his or her professional category – is accountable for gender equality.




The **United Nations Industrial Development Organisation (UNIDO)**'s gender policy has institutionalized and expanded the network of mid to senior level Gender Focal Points (P3 to Directors). According to the policy, Gender Focal Points (GFPs) are appointed in each Division of the organization and in field offices, are expected to devote 20 per cent of their time to GFP functions and serve for a period of 2 years. As of January 2020, there are 26 active Gender Focal Points at headquarters and numerous Gender Focal Point Alternates and additional Gender Supporters. In addition, UNIDO has an Office for GEEW, which serves as the institutional coordination point for the implementation of UNIDO's Policy and Strategy for GEEW and is in the Office of the Managing Director in the Directorate of Corporate Management and Operations. The Office is headed by a Gender Coordinator and normally consists of 2 full-time professionals as well as ad-hoc consultants supporting gender mainstreaming and administrative efforts.

**PERFORMANCE INDICATOR
12**

EQUAL REPRESENTATION OF WOMEN



12. Performance Indicator: Equal Representation of Women

 Approaches requirements	 Meets requirements	 Exceeds requirements
<p>12a. Plan in place to achieve the equal representation of women for General Service staff and all professional levels in the next five years</p>	<p>12b. The entity has reached the equal representation of women for General Service staff and all professional levels</p>	<p>12c. The entity has reached the equal representation of women for General Service staff and all professional levels including the senior most levels of representation in Field Offices, Committees, Advisory Bodies and Funds linked to the entity irrespective of budgetary source</p>



What is the Equal Representation of Women indicator?

In 2017 the Secretary-General issued the [System-Wide Strategy on Gender Parity](#) to operationalize system-wide efforts to advance this priority. The Strategy notes (p.5):

The goal of gender parity at all levels in the UN is a commitment that is now two decades old, and is reflective of core values that are as old as the Organization itself. In the intervening years there has been no shortage of policies, reports and recommendations to further this goal; yet implementation has been hampered in the main by a lack of sustained political will and accountability, absence of accompanying measures and enabling conditions for real reform, and resistance at different moments from key stakeholders.

According to the latest [report of the Secretary-General on the Improvement in the Status of Women \(2021\)](#), in 21 entities the overall representation of women was between 40-49 per cent, while in 6 entities the figure was below 40 per cent. In 9 entities, the share of women was 50 per cent or more. The gender gap is greatest at management levels and in the field, including in peace operations.

Gender parity, or the equal representation of women, is considered by the strategy, and for the purposes of UN-SWAP reporting, to be within the 47 per cent to 53 per cent margin.



Evidence base

Examples of documents to attach to substantiate reporting:

- Entity-specific Gender Parity Strategy and/or Implementation Plan
- Entities will also be required to submit gender parity data by level on the online reporting platform.

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those shared to the UN-SWAP Knowledge Hub.



How to approach requirements

To approach the requirement for this Performance Indicator, the UN entity must have a plan in place for achieving the equal representation of women, based on the Secretary-General's System-wide Strategy on Gender Parity. The strategy provides recommended actions across a range of areas including leadership, accountability recruitment, retention, talent management, senior appointments, mission settings and creating an enabling environment. A **sample** of these is below:

- Annual targets set by level to reach gender parity before the ultimate deadline of 2028.¹³
 - While a proposed methodology is presented in the strategy, entities are free to establish targets as they choose provided they result in the attainment of parity by the 2028 deadline. It is recommended that entities review anticipated vacancies and retirements in evaluating opportunities to advance progress towards gender parity.
- How senior managers will be held accountable for meeting targets.
- Incentives for promoting parity.
- How the entity intends to accelerate progress towards meeting its targets, e.g. through workforce planning; temporary special measures; strengthening of organizational culture; addressing unconscious bias in recruitment; retention, progression and talent management; outreach for recruitment, and as appropriate, specific action in relation to mission settings.
- How the entity will ensure real-time data is made available to hiring managers and entity heads to track process and implement accountability measures.
- The internal oversight mechanism through which progress will be monitored, and details of reporting.
- Resources required to achieve targets.
- The institutional structure, including focal points appointed at a senior level with clear and written terms of reference and an appropriate dedication of time, resources, and training.

Issues of organizational culture, including in relation to gender parity, are covered in Performance Indicator 13. For further details review the Secretary General's System-wide Strategy on Gender Parity, [the Enabling Environment Guidelines for the United Nations system, its supplementary Guidance and the Field-Specific Enabling Environment Guidelines](#).



How to meet requirements

To meet requirements for this indicator, entities should achieve the milestones and targets set in their gender parity plan.

Entities must submit up to date staffing statistics, for all levels, to substantiate their rating.

¹³ For UN Secretariat departments and offices, targets have been provided by OHRM. Targets in Phase 1 initially focus on staff on fixed/permanent/continuous appointments at the Professional levels and higher. In phase 2, departments and offices will include General Service and national staff on fixed/permanent/continuous appointments (please see pages 12 & 15 of strategy).



How to exceed requirements

To exceed requirements for this indicator entities should meet requirements and ensure equal representation in any bodies established by the entity, including the senior most levels of representation in Field Offices, Committees, Advisory Bodies and Funds linked to the entity irrespective of budgetary source.



Current practice

The **United Nations University (UNU)**'s previous Strategic Plan 2015-2019 set a target of minimum of 30 per cent female representation amongst institute directors within 8 years. In 2014, only 1 of 14 institute directors was female. Reaching gender parity was made a priority supported by senior leadership. Strategies included active targeting of women in vacancy announcements and targeted outreach efforts, as well as ensuring women were on the short lists. For example, reaching out to governing board members and panel member asking them to reach out to their networks for female candidates. Hiring processes were paused if there were not enough women. The target of 30 per cent female directors by 2023 was achieved 5 years early. By the end of the Strategic Plan in 2019, 6 of 13 institute directors/heads (46 per cent) were female. In 2020, UNU reached equal representation of women for all general staff and professional levels up to D2.

In March 2018, the **United Nations Office in Vienna (UNOV)** and the **United Nations Office on Drugs and Crime (UNODC)** hosted the "Leadership, Women and the UN" workshop which was facilitated by the UN System Staff College (UNSSC) in Vienna. The week-long workshop brought together twenty-seven UN system-wide staff members at the P4 and P5 levels for reflections about the gender dimension of leadership, power and influence. The workshop facilitated self-awareness through a 360-degree leadership assessment that utilized individual leadership action plans to ensure a truly transformational leadership experience. Given the excellent feedback received, UNOV/UNODC has requested the UNSSC to establish this important workshop in Vienna on an annual basis.

Multiple UN entities have implemented policies to ensure an equal representation of women in decision-making processes and bodies. For instance, UNHCR ensures gender parity in committees, advisory bodies and boards. UNIDO adopted an administrative instruction titled "Equal representation of women: UNIDO's policy on panel parity".

Examples of special measures:

- In 2020, the Secretary-General promulgated the updated "Temporary special measures for the achievement of gender parity" that apply to selections and appointments where gender parity has not been reached and creates greater accountability around recruitment. Specifically, where a woman candidate has equal or superior qualifications to a male candidate, but the entity intends to select the man, the administrative instruction requires the head of entity to submit a written justification to the Executive Office of the Secretary-General for review. Implementation of the temporary special measures is improving in regularity and consistency and has constituted an important tool for awareness and accountability.
- The **United Nations Development Programme (UNDP)** has women-only candidate pools for bureaus that have fallen below 45% representation and strengthened accountability of managers to reach gender balance targets;
- Multiple entities enforce the removal of ranking of recommended candidates to allow for greater latitude in the final selection process, and compare candidates' qualifications against the job

- vacancy requirements, as opposed to against one another;
- Both the **United Nations Refugee Agency (UNHCR)** and UNDP apply flexibility in around time in post criteria for female candidates;
 - UNHCR considers women who have separated to be internal candidates for a number of years after separation, as well as women from other agencies

Recruitment and talent management

In 2020, the **UN Secretariat's Office of Human Resources** and **UN Women** developed a Female National Officer Pool, a database of female National Officers and their skills and expertise. The database will help the UN system to do dedicated outreach to female National Officers to recruit for international positions and therefore accelerate gender parity through improved talent acquisition.

The UN Secretary-General has launched a **Global Call for Heads and Deputy Heads of United Nations Peace Operations**. The aim of the outreach campaign is to increase and diversify the pool of candidates for senior leadership positions in UN peace operations. The campaign has been shared across different communication channels, including social media, printed ads, as well as across the UN system. Over 50 per cent of new appointments for mission leadership in 2021 were Global Call nominees.

Additional Information

The availability of up-to-date data during the recruitment process is critical to support leadership and hiring managers in making decisions that will be immediately reflected in the organization's representation of women, especially in traditionally male-dominated sectors or for senior positions. In 2021, UN Women in collaboration with UNDP launched the **UN System-Wide Dashboard on Gender Parity** that collects data on gender representation in nearly 40 UN agencies. The representation of women and men can be viewed by grade, staff category, duty station and age group and can be filtered by organization. This monitoring tool should be widely utilized by UN leadership and hiring personnel to track progress and target interventions during the recruitment process to ensure the achievement of gender parity within the UN system. The dashboard would be available also for the Member States, civil society representatives and other partners as an instrument to improve the effectiveness and credibility of the United Nations as a whole.

The [UN Women website](#) contains information about the representation of women in the UN system including: the Reports of the Secretary-General on the [Improvement of the status of women in the UN system](#), which provides system-wide sex-disaggregated data on the selection, representation, advancement and retention of women, information on progress made and obstacles encountered in achieving gender balance, and recommendations for accelerating progress; key policies and acts; and the Enabling Environment Guidelines with the Supplementary Guidance and the Field-Specific Enabling Environment Guidelines.

The Office of the Focal Point for Women in the UN System at UN Women leads and coordinates the Gender Focal Point Network in their advocacy for gender parity and support for enabling work environments through capacity building, sharing of good practices and interagency coordination and collaboration. As per SGB/2008/12, departmental focal points for women shall be appointed in each department, office, regional commission and mission, and they are encouraged to join the Network. For more information, please contact focalpoint.forwomen@unwomen.org.

**PERFORMANCE INDICATOR
13**

ORGANISATIONAL CULTURE



13. Performance Indicator: Organizational Culture

 Approaches requirements	 Meets requirements	 Exceeds requirements
<p>13a. Organizational culture partly supports promotion of gender equality and the empowerment of women</p>	<p>13b. Organizational culture fully supports promotion of gender equality and the empowerment of women</p>	<p>13ci. Organizational culture fully supports promotion of gender equality and the empowerment of women</p> <p>and</p> <p>13cii. ILO Participatory Gender Audit or equivalent carried out at least every five years</p>



What is the Organizational Culture indicator?

A positive and supporting organizational culture for all personnel has been repeatedly identified as a key enabler in the promotion of gender equality and the empowerment of women, including achieving and sustaining gender parity. The available literature considers “organizational culture” as a set of deeply rooted beliefs, values and norms (including traditions, structure of authority and routines) in force within the institution; and a pattern of shared basic assumptions internalized by the institution. This is materialized in the following:

- Ways in which the institution conducts its business, treats its employees and partners
- Extent to which decision-making involves all personnel (irrespective of rank, grade or opinion) and power and information flows (formal and mostly informal)
- Commitment of personnel towards collective objectives

In 2019, UN Women developed the [Enabling Environment Guidelines](#) for the UN system to support implementation of the Secretary-General’s System-wide Strategy for Gender Parity and the United Nation’s efforts to create enabling working environments through implementing workplace flexibility, family-friendly policies and standards of conduct. The [Supplementary Guidance](#) provides additional recommendations and good examples with regards to recruitment and talent management. The newly developed [Field-specific Enabling Environment Guidelines](#) provides tailored guidance for offices, leaders and personnel in the field, especially in mission settings, to increase the representation of women and accelerate efforts to reach parity in the UN system.



How to approach requirements

To approach requirements for this indicator, the entity needs to demonstrate that organizational culture partly supports promotion of gender equality and the empowerment of women. **If any of the required actions listed under the requirements to “meet” the indicator have not been undertaken, the rating for this Performance Indicator is “approaches requirements”.**



How to meet requirements

To meet this Performance Indicator, the UN entity needs to demonstrate in its reporting that it is carrying out **all** of the following.

1 Facilitative Policies

- 1.1 Implement, promote and report on facilitative policies for parental, family and emergency leave, breast-feeding/nursing and childcare.
- 1.2 Implement, promote and evaluate policies related to work-life balance/professional and personal life integration, including part-time work and flexible working arrangements, such as staggered working hours, telecommuting, scheduled breaks for extended learning activities, compressed work schedules, financial support for parents travelling with a child, and phased retirement.
- 1.3 Promote existing UN rules and regulations on work-life balance with an internal mechanism available to track implementation and accessibility by gender and grade.
- 1.4 Periodic staff meetings by units are scheduled during core working hours and on working days of staff working part-time, with teleconference or other IT means actively promoted.

2 Monitoring Mechanisms

- 2.1 Conduct, disseminate results of, and report on regular global surveys and mandatory exit interviews which obtain and analyse data relevant for an assessment of the qualitative aspect of organizational culture and provide insight into issues that have a bearing on recruitment, retention and staff experience, including staff well-being, equality and zero tolerance for unethical behaviour, including online.
- 2.2 Implement policies for the prevention of discrimination and harassment, including special measures for prevention from sexual exploitation and sexual abuse, ethics office, abuse of authority, administration of justice, conflict resolution and protection against retaliation. Demonstrate adherence to all system-wide and agency/ organization- specific sexual harassment policies, including the CEB Model Policy adopted in November 2018, and the UN system's Model Code of Conduct. When investigations are called for, use the Investigators' Manual as a guide for consistent, effective and efficient investigations into sexual harassment complaints that puts victims/survivors at the centre of efforts to address sexual harassment in the UN system.
- 2.3 UN rules and regulations on ethical behaviour are enforced and personnel are required to complete the mandatory ethics training, with zero tolerance for discrimination, harassment, including sexual harassment and abuse of authority implemented.

To demonstrate enactment of the preceding requirements, entities are required to upload supporting documentation, such as policies, surveys and training manuals, to the UN-SWAP online reporting system.



How to exceed requirements

To exceed requirements for this indicator, entities should conduct a participatory gender audit or equivalent every five years. Gender audits, which are different from “formal” audits focus on issues of organizational culture and do not necessarily follow formal audit processes, will differ dependent on the size of entity and whether or not there are regional and country offices. For entities with only an HQ presence the audit should cover the whole of the entity. For entities with regional and country offices

the focus can be either on HQ and/or regional and country offices. The minimum standard is that the audit is a substantive exercise that feeds into a strengthening of organizational culture. The focus of the participatory gender audit should be mainly on organizational culture, but can also include programming. Examples of participatory gender audit methodologies are provided below.



Evidence base

Examples of documents to attach to substantiate reporting:

- Policy documents
- Surveys
- Gender audit report
- Training/learning materials

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those shared to the UN-SWAP Knowledge Hub.



Example: Meeting Requirements

Facilitative Policies

In 2019 UN-SWAP reporting, 59 entities (86 per cent) reported implementing, promoting and reporting on facilitative policies for parental, family and emergency leave, breast-feeding and childcare. The reports also indicate a growing trend towards surrogacy policies, further extensions to the length of parental leave and, in certain cases, supplementing parental leave provisions with additional special leave with pay. Such policies can enable personnel to effectively balance personal, family and professional commitments throughout their career. Standardized parental leave can support women's career advancements and allow opportunities for more equal sharing of care work and changing mindsets both at home and in the workplace.

Several entities have revised their parental leave policies in recent years. As of November 2020, the following entities have extended maternity leave to 24 weeks: **the Food and Agriculture Organization (FAO), UNAIDS, the United Nations Educational, Scientific and Cultural Organization (UNESCO), the United Nations Population Fund (UNFPA), United Nations Children's Fund (UNICEF), the UN Refugee Agency (UNHCR), UN Women, the World Health Organization (WHO) and the World Food Programme (WFP)**. Some entities have also extended the paternity and adoption leaves. The **United Nations Development Programme (UNDP)** provides staff members in D and E duty stations an additional period of two months of Special Leave with Full Pay, extending maternity leave to 24 weeks. **UN Women** provides an additional eight weeks of pre-delivery leave with Special Leave with Full Pay in D and E duty stations, extending maternity leave to 32 weeks in these hardship locations. To make parental leave policies flexible yet equitable, **UNAIDS** standardized and extended paternity, adoption and surrogacy leave to 16 to 18 weeks, depending on the number of children. The **United Nations Office for Project Services (UNOPS)** has made maternity, paternity and adoption leaves available to personnel on the Individual Contractor Agreement modality, with benefits equivalent to those offered to staff.

In terms of creating enabling environments for staff with young children to return to work, inclusive breastfeeding/bottle-feeding policies and onsite childcare can bring positive outcomes to staff and their

families. Most United Nations entities have a policy in place that offers two hours off for breastfeeding/bottle-feeding daily, and 73 per cent of surveyed entities from the 2021 Report of the Secretary General on the Improvement of the Status of Women in the UN system have a designated lactation room available for staff.

The **United Nations Economic and Social Commission for Western Asia (ESCWA)** tracks the number and status of flexible working arrangements (FWA) requests through an online system. The online tracking system allows staff to set requests for any of the four FWA options. The online application also serves as a resource hub containing all documents related to FWAs, i.e. frequently asked questions, myths and facts about FWAs, STI on FWA. Each request follows an approval process that is aligned to ESCWA's rules and regulations. Managers not approving FWAs requests are obliged to justify their decision, which is reflected in a quarterly report produced by the application. This is expected to allow ESCWA to detect and thus facilitate addressing resistance.

The **Office of the High Commissioner for Human Rights (OHCHR)** has developed an internal mechanism to track implementation and use of Flexible Work Arrangements and UN Regulations on ethical behaviour to make reporting possible. This mechanism is also an additional tool to ensure that management is accountable for the way in which these policies are implemented.

UNAIDS implements facilitative measures under its new Flexible Working Arrangements policy, including: Flexible Working Hours; Compressed Working Schedule, and Flexible Place of Work/Teleworking. In addition, the policy provisions supporting facilitative measures with regards to maternity-paternity leave, breastfeeding hours, Family leave for child care, adoption, family emergency, Special leave without pay (after maternity, for childcare or family issues) as well as part-time work are available and regulated under Staff Rules and Regulations.

The **United Nations Office for Project Services (UNOPS)** has a policy, according to which all FWA requests have to be considered favourably by default, provided that the request fully meets business needs and includes no associated costs.

Monitoring Mechanisms

In late 2019, a **Secretariat**-wide survey was held, in which staff members were given an opportunity to express their views on staff wellbeing and work culture. More than 18,000 staff members participated, representing 52 per cent of the staff population – a marked increase from 39 per cent in 2017. Entities have analysed results and developed action plans to target and improve the weak areas identified in the survey.

The Global Staff Survey is the **United Nations Development Programme (UNDP)**'s biennial internal mechanism to track implementation and accessibility, by gender, to work-life policies and unethical behaviors. An on-line course on Prevention of Sexual Harassment is mandatory for all UNDP staff.

The United Nations System Chief Executives Board for Coordination (CEB) established the [CEB Task Force for Addressing Sexual Harassment within the Organizations of the UN System](#) in 2017. The Task Force identified harmonization of sexual harassment policy, improvements in sexual harassment reporting and data collection, strengthening investigative capacity, and enhanced awareness-raising, outreach and communication as priority areas for system wide action. The Task Force has developed and approved a set of concrete, system-wide measures to coherently address the issue of sexual harassment, including a CEB Statement on Addressing Sexual Harassment within the Organizations of the UN System, a UN System Model Policy on Sexual Harassment, the sexual harassment screening database "[Clear Check](#)," a [Guide for Managers: Prevention of and Response to Sexual Harassment in the Workplace](#) and [Code of Conduct](#). The Interagency Committee and CEB Task Force on Addressing Sexual Harassment in the UN System has also created a [Facilitators' Guide](#) to encourage and assist

entities to implement sessions on values, attitudes and organizational culture in relation to prevention of sexual misconduct (sexual exploitation and abuse and sexual harassment).

UN Ethics-related Legal Arrangements

The **Secretary-General's bulletin on addressing discrimination, harassment, including sexual harassment, and abuse of authority (ST/SGB/2019/8)** was promulgated to ensure that all staff and non-staff personnel of the United Nations Secretariat are aware of their role and responsibilities in maintaining a workplace free of any form of misconduct. For the 2021 [Report of the Secretary General on the Improvement of the Status of Women in the UN system](#), 73 per cent of surveyed entities had offered new training on addressing sexual harassment and abuse in the past two years. Further, 91 per cent of surveyed entities have in place the minimum standards of the United Nations System Model Policy on Sexual Harassment and 77 per cent have taken steps to strengthen a victim-centred approach when investigating sexual harassment and sexual exploitation and abuse-related complaints.

The **Department of Management Strategy, Policy and Compliance** implemented a victim assistance tracking system in peacekeeping operations in 2018. The system captures critical information and enhances data management in addition to improving reporting capabilities and serving as a communicative tool to achieve victim assistance coordination.



Example: Exceeding Requirements

The **Food and Agriculture Organisation of the United Nations (FAO)** has undertaken a [Gender Audit](#) using a methodology similar to that used in the ILO Participatory Gender Audit. The central question of the audit was: “What does FAO need to do to adapt its institutional mechanisms and processes to mainstream gender equality throughout the Organization?” The methodology included:

- Review of: gender evaluations and audits of other UN organizations; lessons, benchmarks and good practices in gender mainstreaming; and relevant evaluation reports
- Engagement with management and staff working on gender issues in FAO and a gender audit advisory committee
- Facilitated group discussions with more than 40 gender focal points and designates
- Online survey targeting professional staff and long-term consultants
- Interviews and group discussions, based on a semi-structured interview guide, at FAO headquarters, three regional offices (Europe and Central Asia, Asia and the Pacific, and Africa) and two sub-regional offices (Central and Eastern Europe and West Africa), and the Vietnam, Cambodia and Ghana country offices.

The audit findings fed into a process of considerable strengthening of institutional mechanisms to promote gender equality and the empowerment of women in FAO.

The **United Nations Economic and Social Commission for Western Asia (ESCWA)** conducted its second participatory gender audit in 2019. To ensure that the gender audit was conducted in a participatory manner, the Executive Secretary of ESCWA formed an internal team comprising of nine staff members, who worked closely with an external ILO-certified facilitator. The gender audit was carried on along two main pillars. The first scrutinized the areas already covered in the previous audit and traced the changes occurring during 2014-2018 following its recommendations. The second examined new areas of importance that were not covered in the previous audit with the objective of bringing to light more practices and recommendations for ESCWA to further promote gender equality internally and in its outputs. Information was collected through two main sources: namely, documents

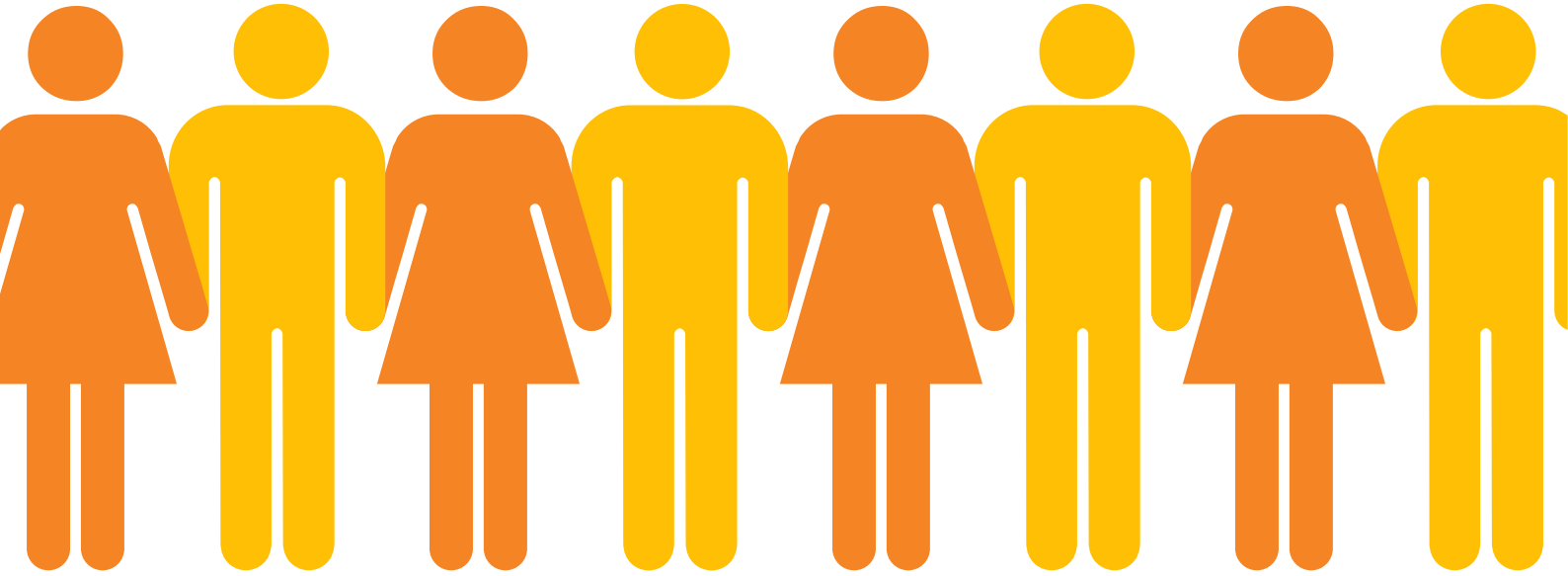
produced by ESCWA, including policies, publications and procedures, and covering topics such as capacity-building, gender parity, monitoring, project implementation, evaluation and communication; and interviews and focus group discussions conducted with staff members as well as focus groups with directors of divisions and Gender Focal Point Network members. The report shed light on the progress achieved and referred to steps that should be taken to fill current gaps.

The **World Food Programme (WFP)** Office of Internal Audit, in collaboration with the Gender Office, conducted a participatory gender audit in 2016. The audit engaged one Headquarters division (Human Resources), one Regional Bureau (Cairo), one Liaison Office (Amman) and two country offices (Sudan and Jordan). The audit report was published in March 2017, with the audited entities implementing the resulting agreed actions.

Additional Information

The **International Labour Office (ILO)** has developed a methodology for [participatory gender audit](#), which has been widely used within the UN system and elsewhere. This accountability tool is well accepted by ILO constituents, ILO administrative units, regional partners and the UN family to assess and monitor progress towards the achievement of gender equality. It is also a tool for gender mainstreaming in the Common Country Assessments and UNDAF processes. The audit recommendations are firmly owned by the audited entity. Training of audit facilitators (TOF) creates a multiplier effect by building capacity on gender equality among Member States, national gender experts and UN staff. To support this, the International Training Centre of the ILO in Turin (ITC-Turin) has conducted since 2007 a standard course on “Training for gender audit facilitators” (offered in English, French and Spanish).

E. CAPACITY






PERFORMANCE INDICATOR 14

CAPACITY ASSESSMENT



14. Performance Indicator: Capacity Assessment

 Approaches requirements	 Meets requirements	 Exceeds requirements
<p>14a. Assessment of capacity in gender equality and women's empowerment for individuals in entity is carried out</p>	<p>14bi. Entity-wide assessment of capacity of all relevant entity staff at HQ, regional and country levels in gender equality and women's empowerment is carried out</p> <p>and</p> <p>14bii. A capacity development plan is established or updated at least every five years</p>	<p>14ci. Entity-wide assessment of capacity of all relevant entity staff at HQ, regional and country levels in gender equality and women's empowerment is carried out</p> <p>and</p> <p>14cii. A capacity development plan is established or updated at least every three years</p>



What is the Capacity Assessment indicator?

ECOSOC Resolution E/2011/6 (see Annex; Mandates) notes the need for assessment of staff vis-à-vis gender equality and the empowerment of women. This performance indicator was developed based on [UN Development Group guidance on capacity development](#). While the UN Development Group does not cover the whole UN system, the methodologies that it has developed for capacity assessment and development are relevant across the system.

UN staff need the capacity to fulfil the UN's gender mandate. A capacity assessment comprises the first step to enhancing capacity.

A gender equality capacity assessment is a way to determine the understanding, knowledge, and skills that a given entity and its staff possess on gender equality and women's empowerment, and on the entity's gender architecture and gender policy. Capacity assessment refers to the process by which information is gathered and analysed, and to the results of this analysis. These results are conveyed in a report that outlines the ways forward for a training or capacity development strategy or action plan.

A capacity assessment can be based on the entity's core values and competencies on gender equality and women's empowerment. The assessment can be conducted as part of performance reviews or other ongoing staff assessments, or alternatively, as a self-administered online questionnaire.

UN Women has developed [a capacity assessment tool](#) which entities can use as a basis to develop their own capacity assessment plans.



Evidence base

Examples of documents to attach to substantiate reporting:

- Capacity assessment survey
- Capacity assessment survey outcome
- Capacity development plan

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those shared to the UN-SWAP Knowledge Hub.



How to approach requirements

To approach the requirements of this indicator, the entity should carry out an assessment of staff capacities in gender equality and women's empowerment for individuals.



How to meet requirements

To meet this performance indicator, the entity should carry out a capacity assessment of all relevant staff and use the findings to establish a capacity development plan, with resources and timelines outlined, to meet capacity gaps at all levels at least every five years. Carrying out a capacity assessment at least every five years will allow entities to determine if their capacity development strategy is working.



How to exceed requirements

To exceed the indicator, the capacity development plan should be established or updated at least every three years.



Example: Meeting Requirements

The **International Atomic Energy Agency (IAEA)** undertook its first ever survey on gender equality in 2018. This included an assessment of staff's knowledge and skills in relation to gender equality and most specifically on gender mainstreaming. The results of the survey were disseminated to all staff. The basis of the survey results served as an important input into the revised Gender Action Plan of the Agency. The Gender Action Plan, along with its Implementation Matrix clearly outlines the tasks, milestones and responsible party to achieve the objectives outlined.

The **United Nations Office for Disarmament Affairs (ODA)** conducted an entity-wide gender equality capacity assessment in 2020. The survey was built on a previous survey conducted in 2015 and the gender equality capacity assessment guidance by UN Women and it was completed through Google Forms. The main purpose was to assess capacity on gender equality among staff and inform the update

of the gender mainstreaming action plan including a gender capacity development plan. The survey included questions on knowledge and proficiency for different skills, concepts, gender agendas, what areas respondents want to learn more about, preferred way of learning and more. The results were presented at a global Town Hall meeting and discussed with gender focal points in a workshop in September 2020.



Example: Exceeding Requirements

The **International Trade Centre's (ITC)** Gender Unit team conducted an organization-wide survey to assess the capacities of ITC personnel related to gender equality and women's empowerment (GEWE) in 2020. Results were analysed by division, staff category and duty station. Thorough evaluation and discussion of the capacity assessment results formed the basis for the creation of an organization-wide capacity development plan through the GU team. The plan was further informed by first insights generated through ITC's '100 Coffees for Inclusion' Initiative. The capacity development plan covers a two-year period and outlines six critical outputs and related activities. The capacity building plan has been reviewed by Chief HR, shared with the Office of the Executive Director and discussed with HR Learning and Development to clarify responsibilities and confirm timelines.




In 2020, the **United Nations Children's Fund (UNICEF)** commissioned a strategic review of its gender capacity-building and credentialing initiatives across the organizational levels. This independent review engaged programme staff, senior leadership, and UNICEF partners – UN Agencies, research institutions, and NGOs. The objectives of the review were (a) to assess the current gender capacity-building efforts, identifying key gaps and highlighting concrete opportunities to strengthen key initiatives; and (b) to recommend cost-effective strategies and platforms for capacity-building that UNICEF should consider adopting, testing, and monitoring. Five elements of UNICEF's gender capacity were assessed: gender capacity-building strategy; the enabling environment for capacity building; onboarding; learning platforms; and credentialing. The review collected primary data (online survey results, key-informant interviews and focus groups) from a variety of sources across 71 countries. Based on findings from the strategic review of its gender capacity-building and credentialing initiatives, UNICEF drafted a new Organization Learning Plan for Gender Equality (2021-2025).

PERFORMANCE INDICATOR 15

CAPACITY DEVELOPMENT



15. Performance Indicator: Capacity Development

 Approaches requirements	 Meets requirements	 Exceeds requirements
15a. Working towards ongoing mandatory training for all levels of entity staff at HQ, regional and country offices	15b. Ongoing mandatory training for all levels of entity staff at HQ, regional and country offices	15ci Ongoing mandatory training for all levels of entity staff at HQ, regional and country offices and 15cii. Senior managers receive tailored training during orientation



What is the Capacity Development indicator?

Capacity development is essential not only for achieving developmental goals, but also for maintaining and sustaining progress. In the UN-SWAP the minimum requirement for capacity development calls for all staff to acquire the capacities necessary to promote gender equality and women's empowerment in their work; for instance through introductory gender training for non-gender specialists, and tailored training for gender focal points and gender specialists. To exceed requirements for this performance indicator senior managers would receive tailored training during their orientation.

Entities with an ongoing mandatory training for all staff, including senior managers, meet or exceed 50 per cent more UN-SWAP performance indicators than entities which do not have the above in place. This points to the foundational role of adequate gender related capacities at all levels to drive progress across all UN-SWAP indicators, beyond Performance Indicator 15. Entities aiming to improve their overall performance should therefore target capacity development as a lever for progress.



Evidence base

Examples of documents to attach to substantiate reporting:

- Document stating that gender training is mandatory for all staff
- Tracking/monitoring data
- Training outline for senior management

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those shared to the UN-SWAP Knowledge Hub.



How to approach requirements

To approach requirements for this indicator, the entity should demonstrate that they are working towards implementing ongoing mandatory training for all levels of entity staff at HQ, regional and country offices.



How to meet requirements

To meet this indicator, all relevant staff should receive **stand-alone** training on how to promote gender equality and the empowerment of women. This does not preclude training on gender equality and the empowerment of women being mainstreamed into other entity training. Training should be adapted by staff member type (ex. non-gender specialist should receive introductory gender training similar to UN Women's I Know Gender e-course). The following constitutes an adequate level of entity-wide training:

- Training on gender equality and the empowerment of women takes place for all relevant staff - at least one day of training for new staff during the first year, minimum of one day of training once every two years after this.
- Gender specialists and gender focal points receive specific, tailored training - minimum two days of training a year on gender equality and women's empowerment.

Entities should determine which training courses, from the number of courses available, are most relevant for their staff.



How to exceed requirements

In order to exceed requirements for the indicator entities should organize in-depth training for managers at the P5 and above level, including: background on key Conventions (in particular CEDAW, CRC and CRPD); results of international meetings (e.g. the Beijing Platform for Action); relevant entity policies and documents on gender equality and the empowerment of women (e.g. gender equality and equal representation of women policy; operational manual; Head of Entity Directives); the ways in which the entity intends to promote gender equality and the empowerment of women; and responsibilities for promotion of gender equality and the empowerment of women.



Example: Meeting Requirements

On International Women's Day 2014, the **Office of the United Nations High Commissioner for Human (OHCHR)** launched its online course on gender integration "Gender equality, human rights and me: a learning tool for OHCHR staff". The eLearning course, available in three languages (English, French and Spanish) was endorsed by the High Commissioner and made mandatory to all OHCHR staff, regardless of grade, duty station and function. 98% of OHCHR staff has completed the course and uploaded their certificate on the online tracking system.

The United Nations Educational, Scientific and Cultural Organization (UNESCO) requires mandatory gender equality training for all staff. In 2020, UNESCO launched its the new mandatory e-learning course on Gender Equality. The 8 modules that compose the training have been developed by the Division for Gender Equality in cooperation with the Human Resources Office to enhance the capacity of UNESCO staff in gender mainstreaming. Through this training, participants will get familiar with the key terms and concepts used in the area of Gender Equality and will learn how to use the main tools available to ensure successful Gender Mainstreaming in their daily work. The training includes concrete examples to help understand what all personnel should do to uphold the Organization's Global Priority Gender Equality.



Example: Exceeding Requirements

The **Department of Political and Peacebuilding Affairs (DPPA) of the UN Secretariat** has developed and conducts on an annual basis a series of training programmes to cover the broad range of Gender/ Women, Peace and Security (WPS) issues: 1) Twice yearly mandatory WPS training for all DPA staff, including staff in Special Political Missions, on gender mainstreaming and WPS issues, ii) Gender and Mediation training for mediators, especially UN envoys and Special Representatives of the Secretary General, and select senior staff, and iii) Addressing Sexual Violence in Conflict in response to Security Council Resolutions 1820/1888/1960/2106. Gender is also included in DPPA induction courses for new staff as well as for Peace and Development Advisors.

Since 2011, over 300 DPPA staff have completed the WPS training, and more than 200 senior officials have attended the High-level Seminar on Gender and Inclusive Mediation Processes.

One of the **United Nations Development Programme's (UNDP)** nine mandatory online courses is on gender issues. The Gender Journey course is a mandatory training for all UNDP staff. The training is an exploration of the meaning of gender equality to help staff understand the connection between gender equality and UNDP's goal and what they can do to help achieve gender equality in the workplace and in the world. Contents of the course are: 1) Understanding gender; 2) Dominant gender norms; 3) Gender inequality and development; 4) Gender Equality inside UNDP; and 5) What can you do. There are 2 modules on 6) Gender Equality in Programming and 7) Leadership for Gender Equality targeted at senior managers. The course was developed in 2006, was updated in 2010 and is currently being revised to reflect the latest thinking.

Gender specialists and gender focal points have access to different learning resources from the organization and external to UNDP with appropriate follow-up, including tools, guidance and support, for accelerated gender mainstreaming, and others. Senior managers received tailored training for P5 and above including UNDP onboarding and leadership development programmes for senior managers. Blended learning journeys were rolled out for UNDP's new cohorts of Resident Representatives and Deputy Resident Representatives, which includes enabling working environment and equality. Given the critical role of leaders/managers in creating and advancing the culture of gender inclusiveness, UNDP has been investing in people management skills of its leaders and managers, including people development skills (e.g. coaching, (virtual) team leading, career development) and behaviors to foster gender-sensitive working environments.



Additional Information

Details of UN System-wide training courses can be found on the [UN Women Training for Gender Equality Community of Practice \(CoP\) platform](#)⁵. UN Women has also produced a [Compendium of Good Practices for Training in Gender Equality](#).

Blended Course for UN System Gender Focal Points: The UN Women Training Centre holds training for UN System Gender Focal Points. It is a collaborative effort between UN Women Training Centre

⁵ The Training for Gender Equality CoP is a global online community for knowledge sharing on Training for Gender Equality. It includes a calendar of trainings and a clearinghouse of training resources.

and ITC-ILO and is only open to UN System GFPs. It includes an online phase followed by a one week-long residential phase. The training focuses on the UN Gender architecture and explores strategies and tools for addressing women's empowerment and gender equality within the UN. It examines gender mainstreaming tools (such as gender markers and the UN System Wide Approach on Gender Equality) and their concrete application, as well as tackling gender equality issues within substantive areas. The course also aims to build a community of practice within UN GFPs to foster discussion and sharing of good practices. Participation in this course would meet the requirements for the tailored training of Gender Focal Points component of this Performance Indicator.

Introductory Online Gender Course “[I Know Gender](#)”: UN Women's Training Centre has developed an introductory, interactive and self-paced e-course on gender that is offered to all staff across the United Nations System. I Know Gender was launched in October 2014 and is currently being updated (November 2021).

The overall objective of I Know Gender is to develop and/or strengthen understanding and awareness of basic concepts of gender equality and women's empowerment for all staff at HQ, regional and country level and promote a first step towards behavioural change and integration of a gender perspective in everyday work.

The course:

- Is a contribution of UN Women to the UN System and can be used as needed by each entity. It complements and include references, when possible, to other existing UN courses.
- Does not replace the mandatory existing courses required by different agencies.
- Provides a background of general knowledge and information about gender equality and women's empowerment.
- Is not a technical course per se, as it does not aim to provide technical skills on gender analysis and mainstreaming methods and techniques important to users and practitioners.
- Is self-paced and takes approximately 2.5 hrs. It has 3 mandatory modules and 13 optional modules, as well as a “how to” series with 5 modules and more under development.

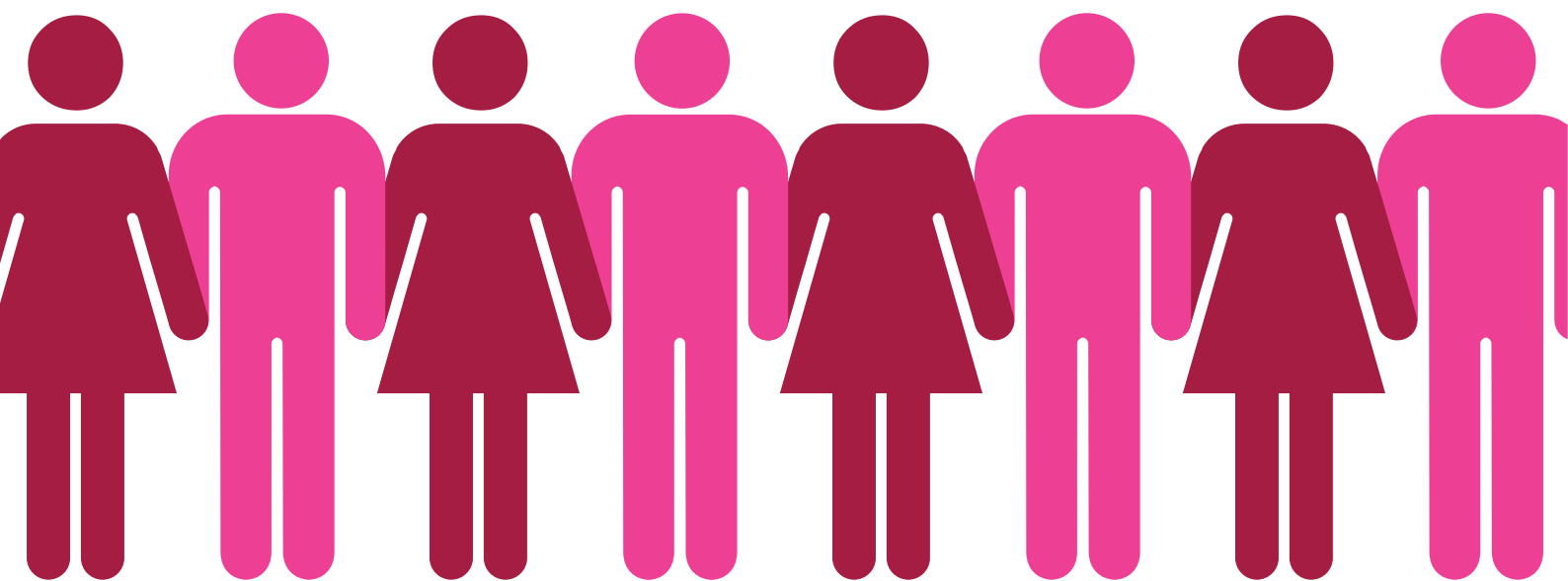
Several entities, including the Secretariat, have made the introductory modules of I Know Gender mandatory for all staff. In 2020, 47 entities reported I Know Gender as the mandatory course.

Four entities (**UNDP, UNFPA, UNICEF and UN Women**) have developed a joint course for programme staff [Gender Equality, UN Coherence and You](#), the objectives of which are to:

- Strengthen gender programming knowledge and skills required for UN programme staff
- Identify positive entry points for strengthened programming
- Gain understanding of how themes of gender equality and UN coherence mutually reinforce each other

The course is divided into eight areas: language of gender equality; women's and girls' rights, international commitments and culture; gender mainstreaming in the UN; working together for results on gender equality; using UN system guidance and mechanisms at the national level; integrating gender equality into national processes; gender equality in humanitarian settings/action and beyond; and engaging men and boys in gender equality. This course could be considered as one day of training for non-specialists.

F. KNOWLEDGE, COMMUNICATION AND COHERENCE






PERFORMANCE INDICATOR

16

KNOWLEDGE AND COMMUNICATION



16. Performance Indicator: Knowledge and Communication

 Approaches requirements	 Meets requirements	 Exceeds requirements
<p>16a. Internal production and exchange of information on gender equality and women's empowerment</p>	<p>16bi. Knowledge on gender equality and women's empowerment is systematically documented and publicly shared</p> <p>and</p> <p>16bii. Communication plan includes gender equality and women's empowerment as an integral component of internal and public information dissemination</p>	<p>16ci. Knowledge on gender equality and women's empowerment is systematically documented and publicly shared</p> <p>and</p> <p>16cii. Communication plan includes gender equality and women's empowerment as an integral component of internal and public information dissemination</p> <p>and</p> <p>16ciii. Entity is actively involved in an inter-agency community of practice on gender equality and the empowerment of women</p>



What is the Knowledge and Communication indicator?

Effective communication of gender equality work has a direct positive correlation with the overall UN-SWAP performance of an entity. Entities that systematically document knowledge on gender equality and women's empowerment, have a communication plan that includes gender equality and women's empowerment as an integral component of internal and public information dissemination and are actively involved in an inter-agency community of practice on gender equality and the empowerment of women are, on average, nearly twice as likely to meet or exceed the amount of UN-SWAP performance indicators than entities that do not.



Evidence base

Examples of documents to attach to substantiate reporting:

- Screenshots of intranet or website with URL references
- Gender-related publications
- Communication plan

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those shared to the UN-SWAP Knowledge Hub.



How to approach requirements

To approach requirements for this indicator, the entity should have internal production and exchange of information on gender equality and women's empowerment. For example, internal communication channels such as websites and newsletters should regularly feature gender equality and the empowerment of women-related information.



How to meet requirements

To meet this indicator, entities should systematically document and publicly share, on their websites or equivalent, knowledge on gender equality and the empowerment of women substantially related to their mandate and to the representation and status of women in the institution itself. For example, if an entity has a food and hunger related mandate, it should synthesise on a regular basis its knowledge related to hunger and gender equality, publish, and proactively disseminate this. Internal and public communications should also be gender-sensitive and draw attention to the gender dimensions of issues wherever relevant, as well as to information on the representation and status of women within the institution.

In addition, the entity communication plan, if this exists, should systematically integrate gender equality and the empowerment of women. **If the entity does not have a communication plan this should be noted in UN-SWAP reporting.**



How to exceed requirements

To exceed the requirements, entities should also be involved in an inter-agency community of practice on gender equality and the empowerment of women, an example of which is given under current practice and examples.



Example: Meeting Requirements

In 2020, the **Department of Global Communications (DGC)** formulated and disseminated the first ever UN Global Communications Strategy for use across the UN system with gender equality as one of the three pillars of communications work for the organization. The framework laid out in the strategy is adaptable by any department, section or unit and includes guidance on creating engaging, empowering content to advance the realization of the Sustainable Development Goals, including SDG5.

The **Office for Coordination of Humanitarian Affairs (OCHA)**'s Global Communications and Public Advocacy Strategy 2020-2021, drafted by the Strategic Communications Branch, is informed by and aligned with the change agendas that are shaping the future of humanitarian assistance, including gender equality. The Strategy provides a roadmap for profiling OCHA's leadership and advocacy on gender equality and women's empowerment including the prevention of gender-based violence, from global initiatives and partnerships to efforts at the field level, and illustrating OCHA's role in bringing

humanitarians and stakeholders together for collective action to tackle gender inequality and gender-based violence.



Example: Exceeding Requirements

Examples of inter-agency communities of practice on gender equality and the empowerment of women include:




- UN-SWAP Inter-Agency Network
- IANWGE: Inter-Agency Network on Women and Gender Equality
- The Inter-Agency Finance and Budget Network Sub-Working Group on Tracking Resources for Gender Equality and the Empowerment of Women
 - UNDG Task Team on Gender Equality
 - UN Task Force on Violence Against Women
- Coordination with regionally-based entities to promote GEWE (Ex. Rome, Geneva, Nairobi, etc.)
- Inter-Agency Standing Committee (IASC)
- UNDG Task Team on Gender Equality
- Convention on the Elimination of All Forms of Discrimination against Women (CEDAW) Inter-agency task force
- High-level Committee on Programmes (HLCP)/Chief Executives Board for Coordination (CEB)
- UN Joint Programme on Accelerating Progress towards the Economic Empowerment of Rural Women

**PERFORMANCE INDICATOR
17**

COHERENCE



17. Performance Indicator: Coherence

 Approaches requirements	 Meets requirements	 Exceeds requirements
<p>17a. Participates in an ad hoc fashion in inter-agency coordination mechanisms on gender equality and the empowerment of women</p>	<p>17bi. Participates systematically in inter-agency coordination mechanisms on gender equality and the empowerment of women</p> <p>and</p> <p>17bii. Participates in a UN-SWAP peer review process</p>	<p>17ci. Participates systematically in inter-agency coordination mechanisms on gender equality and the empowerment of women</p> <p>and</p> <p>17cii. Participates in a UN-SWAP peer review process</p> <p>and</p> <p>17ciii. Supports implementation of at least one UN-SWAP Performance Indicator in another entity</p>



What is the Coherence indicator?

The [Joint Inspection Unit's \(JIU\) review of the first phase of implementation of the UN-SWAP](#) concluded that it has proven to be an effective framework for tracking system-wide progress and a useful benchmark and catalyst for advancement towards gender mainstreaming in most participating entities.

Furthermore, the review stated that the UN-SWAP has contributed to creating system-wide coherence in promoting gender mainstreaming and monitoring its progress. The Inspectors stressed that such success constitutes a system-wide achievement, as most of the reporting entities had a hand in the development of the framework and its implementation.

UN-SWAP implementation has helped revitalize and strengthen a network of solidarity across the UN system, through which UN entities and focal points are able to share expertise, lessons learnt, good practices and advocacy efforts. Focal points have indicated that the horizontality of the operational culture with which the UN-SWAP is led gives all participants equal influence, encourages inter-agency exchanges and constitutes one of the most distinguishing factors contributing to its success.

Through partnerships supported by the UN-SWAP, UN entities can access expertise, knowledge and good practices that are relevant to their work, making savings on scarce resources and reducing duplication. Effective partnerships are often listed by focal points among the key factors for UN-SWAP progress.

In particular, inter-agency meetings have been mentioned by reporting entities as one of the main drivers to propel and sustain progress. Opportunities for in-person interaction significantly and meaningfully solidify partnerships, support information sharing and peer learning, enhance coherence and strengthen coordination.

One way to share good practice, experience and mutual learning about components of UN-SWAP implementation, and gender mainstreaming more generally, is to conduct a UN-SWAP Peer Review. As a self-reporting exercise, UN-SWAP Peer reviews also offer an opportunity to enhance the accuracy and quality of UN-SWAP reporting. Continuous improvement in quality assurance methodologies for the UN-SWAP reporting process is essential to maintaining the credibility and accuracy of reporting.



Evidence base

Examples of documents to attach to substantiate reporting:

- Peer review report

Note: Please identify a self-explanatory title for the documents uploaded onto the platform, particularly for those shared to the UN-SWAP Knowledge Hub.



How to approach requirements

To approach the requirements of this indicator, the entity should participate in inter-agency coordination mechanisms on gender equality and the empowerment of women in an ad hoc fashion.

Please see page 128 under Performance Indicator 16 for examples of inter-agency communities of practice on gender equality and the empowerment of women.



How to meet requirements

To meet the requirements of this indicator, the entity should systematically participate in inter-agency coordination mechanisms on gender equality and the empowerment of women, such as UN-SWAP Annual Meetings or workshops and/or the Inter-Agency Network on Women and Gender Equality (IANWGE).

In addition, to meet requirements entities must participate in a UN-SWAP peer review where two UN entities review each other's performance at least once every five years, fostering accountability, learning and networking.

The purposes of the peer reviews are to:

- Share good practices, experiences and mutual learning about components of UN-SWAP implementation
- Review and compare the UN-SWAP process within entities, including constraints and opportunities
- Build greater internal capacity to report against UN-SWAP requirements
- Improve credibility and accuracy of reporting through a formal peer assessment
- Strengthen networking and inter-agency partnerships for the promotion of gender equality and the empowerment of women

UN Women has developed a [guidance note on peer reviews](#), including key questions to ask and a suggested process, and templates for collecting information to be reviewed and reporting on results.

Peer reviews can take place between gender offices or other entity offices which work on any of the UN-SWAP Performance Indicators, e.g. strategic planning, evaluation, audit or human resources offices. Peer reviews can also take place concerning specific Performance Indicators. Entities are encouraged to include staff from outside the gender office in peer reviews.

UN-SWAP Peer reviews should:

- Be substantive exercises that involve systematic exchange of experience and information between entities.
- Be conducted between entities with similar mandates and operational sizes where possible.
- Cover all UN-SWAP performance areas. Separate independent peer reviews for particular UN-SWAP Performance Indicators can also take place, e.g. Evaluation, but are not enough to meet the requirements of the indicator on their own.
- Involve staff from outside the gender office or equivalent, including senior management where possible.
- Conclude with a final report of the assessment to be circulated internally and uploaded with the entity's annual UN-SWAP review. Reports must include: the methodology used, a list of all participants, responses to the peer review assessment questions, and overall conclusions and recommendations.



How to exceed requirements

In addition to the “meeting” requirements, to exceed requirements entities should support implementation of at least one UN-SWAP Performance Indicator in another entity. This should be substantive support, i.e. for development of a GEEW policy or gender marker. It should go beyond one off activities such as holding a workshop, and involve assisting another entity to meet or exceed UN-SWAP requirements in one Performance Indicator where it did not previously do so.



Example: Meeting Requirements

UN-SWAP Peer Reviews

In 2019, **International Organisation for Migration (IOM)** and the **World Food Programme (WFP)** successfully completed a peer review on all reportable UN-SWAP 2.0 performance indicators for each entity. The peer review consisted of the development of a concept note to guide the process, a desk review of relevant documents from each entity, a field visit to each entity by the other entity's peer review team and the development of peer review reports assessing each entity's progress on implementing the UN-SWAP 2.0 performance indicators, including good practices, risks and recommendations. The concept note and reports from this peer review were shared with UN Women, UN-SWAP focal points and IOM staff, as had been done for past peer reviews. IOM noted that all peer review experiences proved to be very informative and useful in understanding how IOM is progressing on UN-SWAP indicators and what steps the Organization can take to improve.

In 2020, the **International Trade Center (ITC)** partnered with **the World Health Organization (WHO)** to conduct a peer review exercise of the organizations' 2019 UN-SWAP 2.0 reports. The shared goal was not only to provide an additional layer of quality assurance and scrutiny of the organizations' respective self-ratings, but also to share good practices, exchange experiences and enhance organizational learning. Along with sharing observations by indicator, the reports also provide specific recommendations for strengthening the partner entity's performance under each indicator, highlight key risks and challenges, point out good practices and enabling factors, and map out areas for future collaboration.

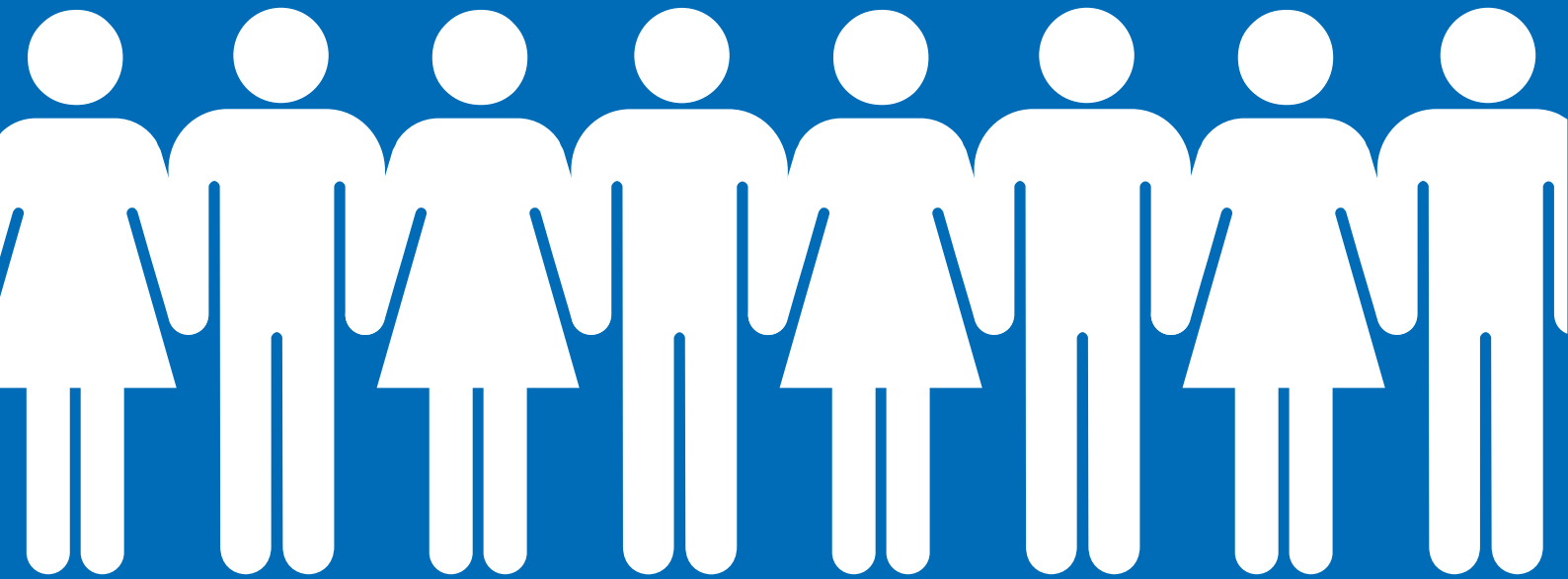


Example: Exceeding Requirements

In 2020, the **United Nations Development Programme (UNDP)** continued supporting the Office of the High Commissioner for Human Rights (OHCHR) to implement the OHCHR Gender Incentive Programme based on the UNDP Gender Seal methodology.

As part of this process, in January 2020, UNDP carried out missions to three locations. UNDP provided expert advisory services to support OHCHR Women's Human Rights and Gender Section and Country Offices in two locations to test and validate the gender accreditation framework and methodology, including design of standards for gender equality adapted to OHCHR mandate and organization. The technical advice and support included: workshops facilitation, co-designing framework, standard and assessment matrix, sharing expertise, lessons learnt and good practices, and testing its implementation in the two OHCHR presences, and final validation of the proposed methodology.

ANNEX



Annex 1: UN-SWAP 2.0 and Secretariat entities with a mainly administrative function

The purpose of this Annex is to clarify UN-SWAP 2.0 reporting requirements per Performance Indicator for Secretariat entities which have a mainly administrative function. It refers to DGACM, DMSPC, DOS, OAJ, OLA, UNOG, UNOMS, UNON and UNOV. Guidance for Performance Indicators 1 and 3 can also be applicable to training and research institutes.

The UN-SWAP was developed in close consultation with the Secretariat, including the Office of Programme Planning, Finance and Budget, and guidance on UN-SWAP reporting has been revised to take into account changes in the Secretariat programme budget.

The UN-SWAP has attempted to account for the varied nature of the UN system by revising its guidance to ensure that it is appropriate for all entities. Secretariat entities with a mainly administrative function have specific functions in relation to the promotion of gender equality and the empowerment of women, and it is important that UN-SWAP reporting captures the full range of Secretariat achievements.

I. Gender-related SDG Results

A. Results-based Management

01. Performance Indicator: Strategic Planning Gender-related SDG results

UN-SWAP Performance Indicators 1 and 2 focus on entities that include, achieve and report on at least one high-level result on gender equality and the empowerment of women, tied to the SDGs, in their main strategic planning document. The focus of these indicators is on normative and development/humanitarian results, and they **may be not applicable for some Secretariat entities with a mainly administrative function, or training and research institutes. If that is the case, they should report on these indicators as “not applicable”**.

02. Performance Indicator: Reporting on Gender-related SDG results

Entities should report “not applicable”, if they do not report on at least one high-level result on gender equality and the empowerment of women, tied to the SDGs, in their main strategic planning document, as explained above.

03. Performance Indicator: Gender-related results not captured elsewhere in UN-SWAP reporting

Entities with a mainly administrative function and training and research institutes should report on gender-related results not reported on elsewhere in the UN-SWAP, under Performance Indicator 3, the title of which has been adapted for these entities to: “Gender-related results not captured elsewhere in UN-SWAP reporting.”

Please note that reporting under this Indicator should not include areas covered by other Performance Indicators. For example, gender parity is covered by indicators 6 and 12, leadership by indicator 7, organizational culture by indicator 13, and capacity development by indicator 15. Any reporting under indicator 3 should therefore be over and above reporting on these other indicators.

To report on indicator 3, entities should outline the main gender-related results they intended to achieve and rate their performance against the following table:

Gender-related results not captured elsewhere in UN-SWAP reporting		
Approaches	Meets	Exceeds
Entity has not achieved results as planned	Results are met as planned	Planned results are exceeded

B. Oversight

04. Performance Indicator: Evaluation

Entities with a mainly administrative function do not for the most part carry out evaluations. Where evaluations are carried out, they should meet the requirements set out for this Performance Indicator. Self-evaluations should be assessed against the guidance for this type of evaluations provided by OIOS/UNEG. If evaluations are not carried out the rating for this indicator should be “not applicable”.

05. Performance Indicator: Audit

Audit is a centralized function in the Secretariat and entities should report according to the data provided by OIOS. UN Women will share the OIOS input with all UN-SWAP Focal Points in the Secretariat before the reporting deadline.

II. Institutional Strengthening to Support Achievement of Results

C. Accountability

06. Performance Indicator: Policy

Entities should report on their gender parity implementation plans. To meet requirements, entities should have a gender parity implementation plan in place. To exceed requirements, entities should additionally have a senior management accountability mechanism in place. Reference to gender equality and the empowerment of women in senior manager compacts is acceptable to exceed requirements.

07. Performance Indicator: Leadership

Entities should report as per the Technical Guidance.

08. Gender-responsive Performance Management

Performance management is a centralized function in the Secretariat and entities should report according to the data provided by DMSPC. UN Women will share the DMSPC input with all UN-SWAP Focal Points in the Secretariat before the reporting deadline.

D. Human and Financial Resources

09. Performance Indicator: Financial Resource Tracking

As a gender marker system is currently being rolled out in UMOJA, and the configuration of this system is not yet finalised, entities should report “approaching requirements” for this Performance Indicator.

10. Performance Indicator: Financial Resource Allocation

As a gender marker system is currently being rolled out in UMOJA, Secretariat entities with a mainly administrative focus should report “not applicable” for this Performance Indicator, until the configuration of this system is finalised and financial allocations can be tracked. Entities which have more than 20 per cent of their funding made up from Extra-budgetary funding should develop a resource allocation system specific to these resources.

11. Performance Indicator: Gender Architecture

Entities should report as per the Technical Guidance.

12. Performance Indicator: Equal Representation of Women

Entities should report as per the Technical Guidance.

13. Performance Indicator: Organisational Culture

Entities should report as per the Technical Guidance.

E. Capacity

14. Performance Indicator: Capacity Assessment

Entities should report as per the Technical Guidance.

15. Performance Indicator: Capacity Development

Entities should report as per the Technical Guidance.

F. Knowledge, Communication and Coherence

16. Performance Indicator: Knowledge and Communication

Entities should report as per the Technical Guidance.

17. Performance Indicator: Coherence

Entities should report as per the Technical Guidance.

Annex 2: Glossary

Gender Mainstreaming

Mainstreaming a gender perspective is the process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in all areas and at all levels. It is a strategy for making women's as well as men's concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres so that women and men benefit equally and inequality is not perpetuated. The ultimate goal is to achieve gender equality. Source: [ECOSOC agreed conclusions 1997/2](#)

Equal Representation of Women

The goal of gender balance / gender parity / the equal representation of women and men applies throughout the United Nations system, and in every department, office or regional commission, overall and at each level. Gender parity applies to all posts, without regard to the type or duration of the appointment, the series of Staff Rules under which the appointment is made, or the source of funding.

Gender Equality – Equality Between Women and Men

“Gender equality” refers to the equal rights, responsibilities and opportunities of women and men and girls and boys. Equality does not mean that women and men are the same but that women’s and men’s rights, responsibilities and opportunities do not depend on whether they are born male or female. Gender equality implies that the interests, needs and priorities of both women and men are taken into consideration, recognizing the diversity of different groups of women and men. Gender equality is not a women’s issue but concerns all men, women, girls and boys. Equality between women and men is both a human rights issue and a precondition for, and indicator of, sustainable people-centred development.

Source: <http://www.un.org/womenwatch/osagi/conceptsanddefinitions.htm>

Gender

“Gender” refers to the social attributes and opportunities associated with being male and female, and the associated relationships between women, men, girls and boys. The attributes, opportunities and relationships assigned to women and men, girls and boys, are socially constructed and are learned; they are context and time-specific, and thus subject to change. In most societies there are differences and inequalities between women and men in responsibilities assigned, activities undertaken, access to and control over resources and decision-making opportunities.

Source: <http://www.un.org/womenwatch/osagi/conceptsanddefinitions.htm>

Annex 3: Mandates

I. Gender-related SDG Results

A. Results-based Management

01. Performance Indicator: Strategic Planning Gender-related SDG results

A/RES/62/208¹⁰ calls upon the organizations of the United Nations development system, within their organizational mandates, to further improve their institutional accountability mechanisms and to include intergovernmentally agreed gender equality results and gender-sensitive indicators in their strategic frameworks.

A/RES/75/233¹¹ calls upon all entities of the United Nations development system to continue to promote gender equality and the empowerment of all women and girls by enhancing and accelerating gender mainstreaming through the full implementation of the System-wide Action Plan on Gender Equality and the Empowerment of Women, developed under the leadership of the United Nations Entity for Gender Equality and the Empowerment of Women (UN-Women).. in particular with regard to gender-responsive performance management and strategic planning, and to enhance the collection, availability and use of sex-disaggregated data, reporting and resource tracking, and drawing on available gender expertise in the system at all levels.

E/RES/2019/2¹² calls upon the United Nations system, including its agencies, funds and programmes, within their respective mandates, to continue to work collaboratively to accelerate the full and effective mainstreaming of a gender perspective in the United Nations system at the global, regional and country level...including by ensuring, where relevant, that corporate and country-level strategic documents, including the United Nations Development Assistance Frameworks, or their equivalents, in accordance with programme countries' priorities, mainstream a gender perspective through a dedicated gender equality outcome as well as the integration of gender equality and the empowerment of women across all other Sustainable Development Goal-related outcome areas (twin-track approach).

E/RES/2019/2¹³ calls upon the United Nations system, including its agencies, funds and programmes, within their respective mandates, to continue to work collaboratively to accelerate the full and effective mainstreaming of a gender perspective in the United Nations system at the global, regional and country level...including by supporting...the application of a gender perspective in the preparation of organization-wide and country-level documents, such as the strategic, programmatic and results-based frameworks and evaluations, and continuing to promote more coherent, accurate and effective monitoring and reporting on progress on gender equality, the impact of the promotion of gender equality and the use of common indicators on gender equality and the empowerment of all women and girls.

¹⁰ A/RES/62/208. Triennial comprehensive policy review of operational activities for development of the United Nations system (paragraph 56 and 61)

¹¹ A/RES/75/233. Quadrennial comprehensive policy review of operational activities for development of the United Nations system (para 12)

¹² ECOSOC resolution 2019/2. Mainstreaming a gender into all policies and programmes in the United Nations system (Para 7a)

¹³ ECOSOC resolution 2019/2. Mainstreaming a gender into all policies and programmes in the United Nations system (Para 7b)

02. Performance Indicator: Reporting on Gender-related SDG results

A/RES/62/208¹⁴ calls upon the United Nations development system to further improve qualitative and quantitative reporting on gender equality, including gender disaggregated data.

A/RES/75/233¹⁵ calls upon all entities of the United Nations development system to continue to promote gender equality and the empowerment of all women and girls by enhancing and accelerating gender mainstreaming through the full implementation of the System-wide Action Plan on Gender Equality and the Empowerment of Women, developed under the leadership of the United Nations Entity for Gender Equality and the Empowerment of Women (UN-Women).. in particular with regard to gender-responsive performance management and strategic planning, and to enhance the collection, availability and use of sex-disaggregated data, reporting and resource tracking, and drawing on available gender expertise in the system at all levels...

E/RES/2019/2¹⁶ calls upon the United Nations system, including its agencies, funds and programmes, within their respective mandates, to continue to work collaboratively to accelerate the full and effective mainstreaming of a gender perspective in the United Nations system at the global, regional and country level...including by enhancing standards and methodologies for the use of the United Nations system at the global, regional and country levels in order to improve the systematic collection, analysis, dissemination and use of accurate, reliable, transparent and comparable data and statistics and, where applicable and with due respect for confidentiality, open data and statistics related to achieving gender equality, disaggregated by, inter alia, income, sex, age, race, ethnicity, migratory status, disability, geographical location and other characteristics relevant in national contexts

03. Performance Indicator: Programmatic Gender-related SDG Results*¹⁷

ECOSOC Resolution 2005/31¹⁸ calls on the UN system to fully incorporate a gender perspective in programme budgets and multi-year funding frameworks and into all results-based budgeting processes.

E/RES/2019/2¹⁹ The Economic and Social Council urges the United Nations system to accelerate gender mainstreaming in policies and programmes, including in support of the gender-responsive implementation of the 2030 Agenda for Sustainable Development 6 at the global, regional and country levels.

E/RES/2019/2²⁰ calls upon the United Nations system, including its agencies, funds and programmes, within their respective mandates, to continue to work collaboratively to accelerate the full and effective mainstreaming of a gender perspective in the United Nations system at the global, regional and country level...including by increasing the investment in and focus on outputs and outcomes relating to gender equality and the empowerment of all women and girls to support the implementation of the 2030 Agenda for Sustainable Development, including through enhanced common budgetary frameworks, gender-responsive planning and budgeting,

¹⁴ A/RES/62/208. Triennial comprehensive policy review of operational activities for development of the United Nations system (paragraph 57)

¹⁵ A/RES/75/233. Quadrennial comprehensive policy review of operational activities for development of the United Nations system (para 12)

¹⁶ ECOSOC resolution 2019/2. Mainstreaming a gender into all policies and programmes in the United Nations system (Para 7f)

¹⁷ *not captured in the Strategic Plan

¹⁸ ECOSOC Resolution 2005/31. Mainstreaming a gender perspective into all policies and programmes in the United Nations system (paragraph 4c). Mandate also included in ECOSOC Resolution 2007/33.

¹⁹ ECOSOC resolution 2019/2. Mainstreaming a gender into all policies and programmes in the United Nations system (Para 2)

²⁰ ECOSOC resolution 2019/2. Mainstreaming a gender into all policies and programmes in the United Nations system (Para 7g)

common methodologies for reporting on contributions to the mainstreaming of a gender perspective in the implementation of the 2030 Agenda, joint funding mechanisms, including pooled funding, and joint resource mobilization efforts;

B. Oversight

04. Performance Indicator: Evaluation

ECOSOC Resolution 2007/33²¹ requests the United Nations system, including United Nations agencies, funds and programmes within their organizational mandates, to strengthen institutional accountability mechanisms, including through a more effective monitoring and evaluation framework for gender mainstreaming based on common United Nations evaluation standards.

Quadrennial Comprehensive Policy Review ECOSOC Resolution 67/226 notes the development of the **norms and standards** for evaluation by the **United Nations Evaluation Group** as a professional network, and encourages the use of these norms and standards in the evaluation functions of United Nations funds, programmes and specialized agencies, as well as in system-wide evaluations of operational activities for development. It encourages the United Nations development system to institute greater accountability for gender equality in evaluations conducted by country teams by including gender perspectives in such evaluations.

05. Performance Indicator: Audit

A/RES/64/141²² encourages increased efforts by Governments and the United Nations system to enhance accountability for the implementation of commitments to gender equality and the empowerment of women at the international, regional and national levels, including by improved monitoring and reporting on progress in relation to policies, strategies, resource allocations and programmes, and by achieving gender balance

The CEB Policy on gender equality and the empowerment of women states: Enhancing oversight through improved monitoring, evaluation, audit and reporting procedures is critical to ensuring accountability of all United Nations staff, including senior and mid-level management, for their performance in gender mainstreaming.

II. Institutional Strengthening to Support Achievement of Results

C. Accountability

²¹ECOSOC Resolution 2007/33. Mainstreaming a gender into all policies and programmes in the United Nations system (paragraph 4a).

²²A/RES/64/141. Follow-up to the Fourth World Conference on Women and full implementation of the Beijing Declaration and Platform for Action and the outcome of the twenty-third special session of the General Assembly (paragraph 21).

06. Performance Indicator: Policy

ECOSOC Agreed Conclusions 1997/2²³ calls on all entities of the United Nations system, making full use of the expertise and support of gender units or focal points, to institutionalize mainstreaming of a gender perspective at all levels through specific steps, including by the adoption of gender mainstreaming policies and the formulation of specific mainstreaming strategies for sectoral areas.

A/RES/72/147²⁴ requests the Secretary-General to accelerate further his efforts to achieve the goal of 50/50 gender balance at all levels throughout the United Nations system, including in the field and in peacekeeping missions, with full respect for the principle of equitable geographical distribution, in conformity with Article 101, paragraph 3, of the Charter of the United Nations, considering, in particular, women from the developing and the least developed countries, countries with economies in transition and unrepresented or largely underrepresented Member States, and to ensure the implementation of measures, including temporary special measures, as well as the strengthening of the implementation of policies and measures for work-life balance and to prevent and address harassment and abuse of authority in the workplace, so as to accelerate progress, and managerial and departmental accountability with respect to gender balance targets;

E/RES/2019/2²⁵ calls upon the United Nations system, including its agencies, funds and programmes, within their respective mandates, to continue to work collaboratively to accelerate the full and effective mainstreaming of a gender perspective in the United Nations system at the global, regional and country level...including by ensuring that gender equality policies of United Nations entities, when established, are kept up to date and aligned with their strategic and programmatic priorities, as well as the performance indicators of the System-wide Action Plan 2.0, and are reflected in the results-based frameworks;

A/67/347²⁶ recommends that Senior managers at all entities should be held accountable, in accordance with the relevant and applicable procedures, for their responsibility in the implementation of the prescribed measures through, inter alia, enhanced performance objectives; management compacts; appointment of focal points at appropriately high-levels, with terms of reference, access to management and minimal 20 per cent allocation of time to associated functions; regular use of exit interviews and surveys of management and staff to identify organizational culture barriers, causes of separation and remedial measures and; full implementation of the United Nations System-wide Action Plan on Gender Equality and the Empowerment of Women, the unified accountability framework for the Organization's work on gender equality and the empowerment of women, unanimously endorsed by CEB and welcomed by the Economic and Social Council, and mandatory annual reporting by entities

07. Performance Indicator: Leadership

The CEB system-wide policy on gender equality and the empowerment of women (CEB/2006/2) notes that the members of the CEB: "commit ourselves to providing strong leadership within our organizations to ensure that a gender perspective is reflected in all our organizational practices, policies and programmes."

E/RES/2019/2²⁷ calls upon the United Nations system, including its agencies, funds and programmes, within their respective mandates, to continue to work collaboratively to accelerate the full and effective mainstreaming of a gender perspective in the United Nations system at the global, regional and country level...including by ensuring that managers provide strong leadership and support to promote and advance gender mainstreaming, and leveraging the

²³ ECOSOC Agreed Conclusions 1997/2. *Mainstreaming a gender perspective into all policies and programmes in the United Nations system.*

²⁴ A/RES/72/147 General Assembly Resolution adopted on 19 December 2017 (para 29).

²⁵ ECOSOC resolution 2019/2. *Mainstreaming a gender into all policies and programmes in the United Nations system (Para 7d)*

²⁶ *Improvement in the Status of Women in the United Nations System. Report of the Secretary-General.*

²⁷ ECOSOC resolution 2019/2. *Mainstreaming a gender into all policies and programmes in the United Nations system (Para 7n)*

leadership and convening role of resident coordinators, in accordance with the provisions of General Assembly resolution 71/243, to address gender equality and the empowerment of women and girls as an integral part of the work of United Nations country teams, including through common country programming processes, joint initiatives, collective advocacy and strengthening of the coordination of gender-responsive operational activities across sectors

08. Performance Indicator: Gender-responsive Performance Management

ECOSOC Resolution 2006/36²⁸ calls on the UN system to strengthen accountability systems for both management and staff, through, inter alia, the inclusion of objectives and results related to gender mainstreaming in personnel work-plans and appraisals.

A/RES/59/184²⁹ requests the Secretary General and the executive heads of the organizations of the United Nations system to ensure that recruitment strategies, promotion and retention policies, career development, justice, anti-harassment and sexual harassment policies, human resources and succession planning, work/family policies, management culture and mechanisms for managerial accountability accelerate the goal of 50/50 gender distribution.

D. Human and Financial Resources

09. Performance Indicator: Financial Resource Tracking

Several ECOSOC resolutions³⁰ have either called upon or requested the United Nations system, including its agencies, funds and programmes within their respective organizational mandates, to continue working collaboratively to enhance gender mainstreaming within the UN system, including by tracking gender-related resource allocation and expenditure, including through the promotion of the use of gender markers.

The Quadrennial comprehensive policy review of operational activities for development of the United Nations system (2016)³¹ calls upon all entities of the United Nations development system to continue to promote women's empowerment and gender equality by enhancing gender mainstreaming through the full implementation of the System-wide Action Plan on Gender Equality and the Empowerment of Women... in particular with regard to gender-responsive performance management and strategic planning, the collection and use of sex-disaggregated data, reporting and resource tracking, and drawing on available gender expertise in the system at all levels...

10. Performance Indicator: Financial Resource Allocation

ECOSOC Resolution 2011/6³² requests the United Nations system, including its agencies, funds and programmes within their respective organizational mandates, to continue working collaboratively to enhance gender mainstreaming within the United Nations system, including by: enhancing resource mobilization capacity and increasing the predictability of both human and financial resources for gender equality and the empowerment of women.

²⁸ ECOSOC Resolution 2006/36. Mainstreaming a gender perspective into all policies and programmes in the United Nations system (paragraph 4).

²⁹ GA Resolution 2005 Globalization and its impact on the full enjoyment of all human rights.

³⁰ ECOSOC resolutions 2011/6 para 7d, 2012/28 para 8d, 2013/16 para 10d, 2014/2 para 6f, 2015/12 para 14i, on Mainstreaming a gender perspective into all policies and programmes in the United Nations system.

³¹ A/RES/71/243. Quadrennial comprehensive policy review of operational activities for development of the United Nations system (para 13)

³² ECOSOC Resolution 2011/6. Mainstreaming a gender perspective into all policies and programmes in the United Nations system (paragraph 7c and 7j).

ECOSOC Resolution 2019/2³³ calls upon the United Nations system, including its agencies, funds and programmes, within their respective mandates, to continue to work collaboratively to accelerate the full and effective mainstreaming of a gender perspective in the United Nations system at the global, regional and country level...including by increasing the investment in and focus on outputs and outcomes relating to gender equality and the empowerment of all women and girls to support the implementation of the 2030 Agenda for Sustainable Development, including through enhanced common budgetary frameworks, gender-responsive planning and budgeting, common methodologies for reporting on contributions to the mainstreaming of a gender perspective in the implementation of the 2030 Agenda, joint funding mechanisms, including pooled funding, and joint resource mobilization efforts.

ECOSOC Agreed Conclusions 1997/2³⁴ states that clear political will and the allocation of adequate and, if need be, additional human and financial resources for gender mainstreaming from all available funding sources are important for the successful translation of the concept into practice.

11. Performance Indicator: Gender Architecture

ECOSOC Resolution 2004/4³⁵ requests all entities of the United Nations system to enhance the effectiveness of gender specialist resources, gender focal points and gender theme groups, by establishing clear mandates; by ensuring adequate training, access to information and to adequate and stable resources; and by increasing the support and participation of senior staff.

A/64/347³⁶ recommends that Senior managers at all entities should be held accountable, in accordance with the relevant and applicable procedures, for their responsibility in the implementation of the prescribed measures through, inter alia, enhanced performance objectives; management compacts; appointment of focal points at appropriately high-levels, with terms of reference, access to management and minimal 20 per cent allocation of time to associated functions.

A/RES/72/147³⁷ calls upon the United Nations system to significantly increase its efforts towards achieving the goal of 50/50 gender balance, including with the active support of gender focal points and up-to-date statistics to be provided annually by entities of the United Nations system, including on the number and percentage of women and their functions and nationalities throughout the United Nations system, as well as information on the responsibility and accountability of the offices of human resources management and the secretariat of the United Nations System Chief Executives Board for Coordination for promoting gender balance...

³³ ECOSOC resolution 2019/2. Mainstreaming a gender into all policies and programmes in the United Nations system (Para 7g)

³⁴ ECOSOC Agreed Conclusions 1997/2. Mainstreaming a gender perspective into all policies and programmes in the United Nations system.

³⁵ ECOSOC Resolution 2004/4. Review of Economic and Social Council agreed conclusions 1997/2 on mainstreaming the gender perspective into all policies and programmes in the United Nations system (paragraph 9).

³⁶ Report of the Secretary-General on the Improvement in the Status of Women in the United Nations System

³⁷ A/RES/72/147 General Assembly Resolution adopted on 19 December 2017 (para 29).

12. Performance Indicator: Equal Representation of Women

A/RES/72/147³⁸, paras 29-30:

29. *Requests* the Secretary-General to accelerate further his efforts to achieve the goal of 50/50 gender balance at all levels throughout the United Nations system, including in the field and in peacekeeping missions, with full respect for the principle of equitable geographical distribution, in conformity with Article 101, paragraph 3, of the Charter of the United Nations, considering, in particular, women from the developing and the least developed countries, countries with economies in transition and unrepresented or largely underrepresented Member States, and to ensure the implementation of measures, including temporary special measures, as well as the strengthening of the implementation of policies and measures for work-life balance and to prevent and address harassment and abuse of authority in the workplace, so as to accelerate progress, and managerial and departmental accountability with respect to gender balance targets;

30. *Calls upon* the United Nations system to significantly increase its efforts towards achieving the goal of 50/50 gender balance, including with the active support of gender focal points and up-to-date statistics to be provided annually by entities of the United Nations system, including on the number and percentage of women and their functions and nationalities throughout the United Nations system, as well as information on the responsibility and accountability of the offices of human resources management and the secretariat of the United Nations System Chief Executives Board for Coordination for promoting gender balance, and requests the Secretary-General to provide an oral report to the Commission on the Status of Women at its sixty-second and sixty-third sessions and to report to the General Assembly at its seventy-fourth session on the improvement of the status of women in the United Nations system and on progress made and obstacles encountered in achieving gender balance, under the item entitled “Advancement of women”.

ECOSOC Resolution 2019/2³⁹ calls upon the United Nations system to continue to achieve and, where appropriate, strengthen efforts to achieve gender parity, including through the implementation of the Secretary - General’s system-wide strategy on gender parity, in appointments in the Professional and higher categories within the United Nations system at the headquarters, regional and country levels, inter alia, in appointments of resident coordinators, humanitarian coordinators, Special Representatives of the Secretary-General, Deputy Special Representatives of the Secretary-General and other high-level posts, including, as appropriate, through the application of temporary special measures, giving paramount consideration to the highest standards of efficiency, competence and integrity in full compliance with Article 101 of the Charter of the United Nations and keeping in mind the principle of equitable geographical representation, with due regard to the representation of women from developing countries.

The Quadrennial comprehensive policy review of operational activities for development of the United Nations system (2016)⁴⁰ calls upon the entities of the United Nations development system to continue efforts to achieve gender balance in appointments within the United Nations system at the global, regional and country levels for positions that affect operational activities for development, including appointments to resident coordinator and other high-level posts, with due regard to the representation of women from programme countries, in particular developing countries, while keeping in mind the principle of equitable geographic representation.

³⁸ General Assembly Resolution, Follow-up to the Fourth World Conference on Women and full implementation of the Beijing Declaration and Platform for Action and the outcome of the twenty-third special session of the General Assembly, 19 December 2017.

³⁹ ECOSOC resolution 2019/2. Mainstreaming a gender into all policies and programmes in the United Nations system (Para 7m)

⁴⁰ A/RES/71/243. Quadrennial comprehensive policy review of operational activities for development of the United Nations system (para 17)

13. Performance Indicator: Organisational Culture

A/RES/59/184 requests the Secretary General and the executive heads of the organizations of the United Nations system to ensure that recruitment strategies, promotion and retention policies, career development, justice, anti-harassment and sexual harassment policies, human resources and succession planning, work/family policies, management culture and mechanisms for managerial accountability accelerate the goal of 50/50 gender distribution.

A/RES/55/69 requests the Secretary-General ...to intensify his efforts to create, within existing resources, a gender-sensitive work environment supportive of the needs of his staff, both women and men, including the development of policies for flexible working time, flexible workplace arrangements and child-care and elder-care needs, as well as the provision of more comprehensive information to prospective candidates and new recruits on employment opportunities for spouses and the expansion of gender-sensitivity training in all departments, offices and duty stations.

A/64/347⁴¹ recommends that executive heads of entities should place special emphasis on the promulgation and enhanced implementation of work-life policies and practices to meaningfully support flexibility in the workplace and to accommodate disproportionate caregiver burdens.

A/RES/72/147 “requests the Secretary-General... to ensure the implementation of measures, including temporary special measures, as well as the strengthening of the implementation of policies and measures for work-life balance and to prevent and address harassment and abuse of authority in the workplace, so as to accelerate progress, and managerial and departmental accountability with respect to gender balance targets”.

ECOSOC Resolution 2019/2⁴² requests the Secretary-General and the executive heads of the organizations of the United Nations system to ensure that recruitment strategies, promotion and retention policies, career development, anti-harassment and sexual harassment policies, human resources and succession planning, work/family policies, management and institutional culture and mechanisms for managerial accountability accelerate the achievement of gender parity and, in this regard, to coordinate with the Office of the United Nations Ombudsman and Mediation Services in addressing these issues.

E. Capacity

14. Performance Indicator: Capacity Assessment

ECOSOC Resolution 2011/6⁴³ requests the United Nations system, including its agencies, funds and programmes within their organizational mandates, to continue working collaboratively to enhance gender mainstreaming within the United Nations system, including by: improving the application of a gender perspective in programming work and enhancing a broader approach to capacity development for all United Nations staff, including the Secretariat staff, including through working on guidelines which could provide specialized instructions on gender mainstreaming and serve as performance indicators against which staff could be assessed; and ensuring that all personnel, especially in the field, receive training and appropriate follow-up, including tools, guidance and support, for accelerated gender mainstreaming, including by providing ongoing capacity development for resident coordinators and the United Nations country teams to ensure that they are better able to assist national partners in achieving gender equality and the empowerment of women through their development frameworks.

⁴¹ Report of the Secretary-General on the Improvement in the Status of Women in the United Nations System

⁴² ECOSOC resolution 2019/2. Mainstreaming a gender into all policies and programmes in the United Nations system (Para 10)

⁴³ ECOSOC Resolution E/2011/6. Mainstreaming a gender perspective into all policies and programmes in the United Nations system (paragraph 7e and 7h).

ECOSOC Resolution 2019/2⁴⁴ calls on the United Nations system to assess and address persistent capacity gaps on gender mainstreaming and using existing resources to assist in the development and application of a range and combination of different measures, including unified training modules on gender mainstreaming and on results-based management, in support of programming for gender equality.

15. Performance Indicator: Capacity Development

ECOSOC Resolution 2006/36⁴⁵ Calls upon all entities of the United Nations system, including United Nations agencies, funds and programmes, within the United Nations Staff Development programme budget and other existing United Nations training budgets, without prejudice to the achievement of other training priorities, to make specific commitments annually to gender mainstreaming training, including in core competence development, and ensure that all gender equality policies, strategies and action plans include such commitments; and to make gender training mandatory for all staff and personnel and develop specific training for different categories and levels of staff.

ECOSOC Resolution 2019/2⁴⁶ calls on the United Nations system to assess and address persistent capacity gaps on gender mainstreaming and using existing resources to assist in the development and application of a range and combination of different measures, including unified training modules on gender mainstreaming and on results-based management, in support of programming for gender equality.

The Quadrennial comprehensive policy review of operational activities for development of the United Nations system (2016)⁴⁷ urges the United Nations development system to align its staff capacities to support the implementation of the 2030 Agenda for Sustainable Development, including by building transformative and empowered leadership, repositioning staff capacities to respond to the cross-sectoral requirements of the 2030 Agenda, promoting inter-agency mobility and facilitating a mobile and flexible global workforce.

F. Knowledge, Communication and Coherence

16. Performance Indicator: Knowledge and Communication

ECOSOC Resolution 2007/33⁴⁸ calls upon the United Nations system to share and disseminate good practices, tools and methodologies electronically and through regular meetings on gender mainstreaming, including through the Inter-Agency Network on Women and Gender Equality and its task forces, as well as the United Nations country teams.

⁴⁴ ECOSOC resolution 2019/2. Mainstreaming a gender into all policies and programmes in the United Nations system (Para 7m)

⁴⁵ ECOSOC Resolution 2006/36. Mainstreaming a gender into all policies and programmes in the United Nations system (paragraph 4 a and c).

⁴⁶ ECOSOC resolution 2019/2. Mainstreaming a gender into all policies and programmes in the United Nations system (Para 7m)

⁴⁷ A/RES/71/243. Quadrennial comprehensive policy review of operational activities for development of the United Nations system (para 74)

⁴⁸ ECOSOC Resolution 2007/33. Mainstreaming a gender into all policies and programmes in the United Nations system (paragraph 4a and c).

ECOSOC Resolution 2019/2⁴⁹ calls upon the United Nations system to promote strategic advocacy and coherent communications on gender equality issues within United Nations country teams.

A/RES/58/144⁵⁰ welcomes the objective of improving gender balance in action plans on human resources management for individual departments and offices, and encourages further cooperation, including the sharing of best practice initiatives, between heads of departments and offices, the Special Adviser on Gender Issues and Advancement of Women and the Office of Human Resources Management of the Secretariat in the implementation of those plans, which include specific targets and strategies for improving the representation of women in individual departments and offices.

17. Performance Indicator: Coherence

ECOSOC Resolution 2006/36⁵¹ calls upon all entities of the United Nations system, including United Nations agencies, funds and programmes, within the United Nations Staff Development programme budget and other existing United Nations training budgets, without prejudice to the achievement of other training priorities, to create or expand electronic knowledge networks on gender mainstreaming to increase effective support for and follow-up to capacity -building activities; strengthen inter-agency collaboration, including through the work of the Inter-Agency Network on Women and Gender Equality, to ensure systematic exchange of resources and tools across the system to promote cross-fertilization of ideas.

ECOSOC Resolution 2004/4⁵² recommends that all entities of the United Nations system continue to promote cooperation, coordination, sharing of methodologies and good practices, including through the development of tools and effective processes for monitoring and evaluation within the United Nations, in the implementation of agreed conclusions 1997/2, in particular through the Inter-agency Network on Women and Gender Equality, and recommends further that all inter-agency mechanisms pay attention to gender perspectives in their work.

ECOSOC Resolution 2019/2⁵³ calls upon the United Nations system to strengthen collaboration and coordination among United Nations staff working on gender equality and gender focal points to ensure systematic gender mainstreaming across the work of the United Nations in development, peace and security, and human rights, as well as in humanitarian action and in technical and non-technical areas of work where gaps and challenges remain;

ECOSOC Resolution 2019/2⁵⁴ stresses that the Inter-Agency Network on Women and Gender Equality constitutes a key forum for advocating, coordinating and monitoring progress in the mainstreaming of a gender perspective into the overall substantive normative, operational and programmatic work within the United Nations system, and looks forward to its continued role;

⁴⁹ ECOSOC resolution 2019/2. Mainstreaming a gender into all policies and programmes in the United Nations system (Para 7r)

⁵⁰ GA Resolution 58/44. Improvement of the status of women in the United Nations system.

⁵¹ ECOSOC Resolution 2006/36. Mainstreaming a gender perspective into all policies and programmes in the United Nations system (paragraph 4d).

⁵² ECOSOC Resolution 2004/4. Review of Economic and Social Council agreed conclusions 1997/2 on mainstreaming the gender perspective into all policies and programmes in the United Nations system (paragraph 12).

⁵³ ECOSOC resolution 2019/2. Mainstreaming a gender into all policies and programmes in the United Nations system (Para 7o)

⁵⁴ ECOSOC resolution 2019/2. Mainstreaming a gender into all policies and programmes in the United Nations system (Para 3)

