

Evaluation Report

UNIFEM's Work on Gender-Responsive Budgeting



Gender-Responsive Budgeting Programme: Ecuador

Evaluation Unit
2009



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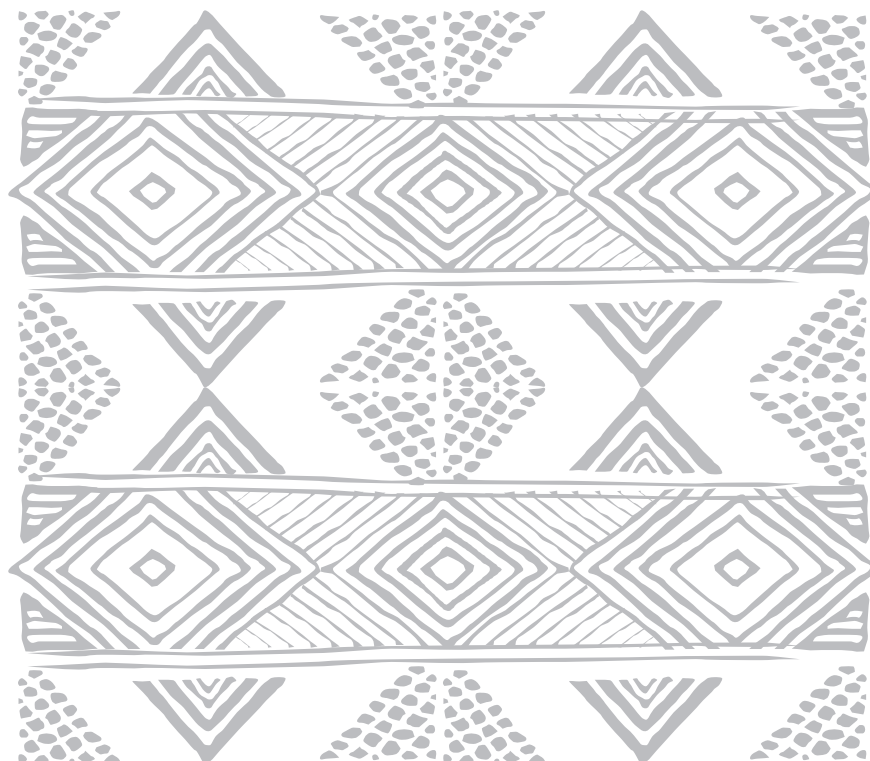
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Gender-Responsive Budgeting Programme: Ecuador

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2009

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Acronyms

CA	Constituent Assembly
CEDEAL	Ecuadorian Centre for Development and Alternative Studies
CEREPS	Special Fund for Social and Productive Reactivation
CONAIE	Council of Ecuadorian Indigenous Nationalities
CONAMU	National Council for Women
CSOs	Civil Society Organizations
CUs	Users' Committees
FLACSO	Latin American Faculty of Social Sciences in Ecuador
GF	Grupo Faro
GRB	Gender-Responsive Budgeting
GSB	Gender-Sensitive Budgeting
GTZ	German Technical Cooperation
GUMF	Gender Unit of the Ministry of Finance
INEC	National Institute of Statistics and Census
LMGYAI	Free Maternal Health and Child Assistance Law
LOREYTF	Organic Law for Fiscal Responsibility, Stability and Transparency
MBS	Ministry of Social Welfare
ME	Ministry of Education
MF	Ministry of Finance
MIES	Ministry of Social Inclusion
MP	Member of Parliament
MSP	Ministry of Public Health
MT	Ministry of Work
MTR	Midterm Review
OPNF	Fiscal Policy Observatory
PAIs	Annual Investment Plans
PIO	Equal Opportunities Plan
PLANDES	National Development Plan 2007-2012
POAs	Annual Operations Plan
SENPLADES	National Secretariat of Planning and Development
SODEM	National Secretariat for Millennium Development Goals
SRI	Internal Revenue Service
UNDP	United Nations Development Programme
UNFPA	United Nations Population Fund

NB: Most acronyms are based on Spanish names and have not been translated.

Executive Summary

Purpose, scope and methodology of evaluation

SDDirect has been contracted by UNIFEM's Evaluation Unit to conduct a **corporate evaluation** of UNIFEM's global work on Gender-Responsive Budgeting (GRB). This summative report documents findings and recommendations from the country assessment in Ecuador during Phase II of the GRB Programme "Strengthening Economic Governance: Applied Gender Analysis to Government Budgets", funded by the government of Belgium.¹

The **primary objective** of this assessment is "to evaluate progress towards GRB programming outcomes and outputs at country level through a case study of the *Global GRB Programme: Phase II*".² This report also aims to support future GRB programming by consolidating and testing the theories of change that underpin UNIFEM's work in this thematic area, to identify enabling and disabling factors that affect the implementation of GRB Programmes and to inform UNIFEM's learning on effective strategies, models and practices in promoting gender accountability in budgetary policies and practices.³ The Ecuador assessment took place at the end of Phase II of the Global GRB Programme, which ran from January 2005 to December 2008.

The evaluation criteria used for analysis of the field data were **relevance**, **effectiveness** and **sustainability**, with definitions drawn from the OECD DAC evaluation guidelines. Fieldwork for this evaluation was carried out from

2 January 2009 to 16 January 2009, in Quito by Karem Roitman (international consultant) and Patricio Guarderas (national consultant).

The principal evaluation methodologies used were:

A desk review of relevant documents on GRB concepts and practice, contextual data for specific country programmes and programme documentation, where available.

Semi-structured interviews with key stakeholders identified by UNIFEM personnel in Ecuador.

A focus group meeting attended by those who had participated in UNIFEM-supported GRB training during Phase II of the Global GRB Programme.

The two major limitations in the evaluation methodology were:

The lack of organized and comprehensive programme information held by the UNIFEM office, and

The lack of a systematic monitoring and evaluation framework and data for the programme.

As a result of these limitations, although it is possible to reconstruct the approaches taken over the life of the programme and to seek some evidence from interview data about the impact of these approaches, it has not been possible to provide robust evidence of the progress in the programme towards achieving outputs or outcomes.

¹ Separate reports were created for Morocco, Mozambique and Senegal, the other three countries where UNIFEM's Global GRB Programme concentrated its Phase II.

² Note: The *Global GRB Programme: Phase II* is the Belgium-funded "Strengthening Economic Governance: Applied Gender Analysis to Government Budgets" programme

³ These objectives formed part of the objectives for the overall evaluation, as defined in the ToRs.

Context and description of the programme

Over the last three decades, Ecuador has been characterised by severe political and economic instability, making the creation and maintenance of any programme particularly challenging. A new constitution, drafted by a Constituent Assembly formed in November 2007, came into force as of 20 October 2008. This constitution recognises gender equality and acknowledges Ecuador's Equal Opportunity Plan (PIO) 2005-2009. Ecuador is a signatory to the Beijing Platform for Action and to CEDAW. Ecuador's national women's machinery (CONAMU) has played an influential role in advancing the interests of women and gender equity and has served as one of UNIFEM's main partners in Phase II of the GRB Programme. The other main partner has been the Gender Unit in Ecuador's Ministry of Finance (GUMF), created in 2007 and consolidated with the support of the GRB Programme. The GRB Phase II Programme has also involved several civil society actors. It has also worked with GTZ, the other main donor agency in the country working on fiscal responsibility.

Prior to the start of the Global GRB Programme in Latin America, there was little knowledge of GRB in the region. Phase I of the Programme worked closely with local governments to promote GRB in participatory budgeting processes. Phase II of the GRB Programme focused on the national budget and shifted the emphasis from budget analysis to budget change.

During Phase II, the programme sought to achieve **three outcomes**:

1. National budget processes and policies reflecting gender equality in Ecuador;
2. Priorities of poor and excluded women reflected in budget allocations for national programmes addressing poverty;
3. Knowledge and learning on GRB facilitated, good practices replicated and learning exchanged.

The **main strategies** used to achieve these outcomes have been:

Capacity-building, undertaken through a variety of workshops, as well as through academic courses taught in Ecuador's Latin American Social Sciences Faculty;

GRB pilot with the Ministry of Education;

The creation of partnerships with civil society, government and other donors.

Main findings

UNIFEM's GRB Programme in Ecuador has maintained **relevance** in the midst of strong political and economic instability by using a flexible approach to programming that enabled quick responses to political changes. By adapting to the changing political and legislative context, and to the changing prominence of different actors, the programme has found effective entry points in the budgeting and planning processes of the national government. At the same time, CSOs have been supported to develop and strengthen a gender focus in their accountability role. Institutional changes and the delayed involvement of the planning and development ministry, SENPLADES, has, however, meant that not all stakeholders have been equally engaged in or feel equal ownership of the process.

UNIFEM's GRB Programme in Ecuador has been **highly effective in institutionalising processes of capacity-building** by supporting the creation of sustainable academic training programmes and trainings for government and civil society partners. Capacity-building efforts have concentrated on strategic actors and tailored their contents to actors' institutional needs. Thanks to the programme's capacity-building efforts, a body of trained and committed staff is now in place in several government institutions. The programme's support for the creation of institutional GRB tools has also been successful, in large part, due to its use of grounded national consultants

who could support partnership building, collect relevant evidence and use this evidence for lobbying purposes through their longer term engagement (several months at a time) in government institutions.

The **creation of political will** amongst senior stakeholders in the Ministry of Finance, CONAMU, and the Ministry of Education permitted the programme to support long-term capacity-building within these institutions, generating significant partnerships for GRB advocacy. The establishment and institutionalization of a Gender Unit within the Ministry of Finance has been an important component of success. The unit symbolises a commitment to gender within the Ministry, sending a strong signal to sectoral ministries as to the government's support for GRB. Sustainability has further been achieved through the creation of GRB tools that are now **embedded in national and sectoral budgetary processes** and supported by the new national Constitution and national development plan.

Although the programme has produced some significant documentation, its **main shortfalls** have been the lack of a systematic monitoring and evaluation strategy and the limited systematic dissemination of models used and lessons learned. The dissemination of documentation was often informal and was hampered by the absence of distribution lists. This occurred, in part, because of irregular maintenance of programme records caused by administrative changes in partner institutions and time constraints faced by the team. Existing records are neither centrally held nor easily accessible.

Main recommendations

There are three sets of recommendations focused on the three evaluation criteria used: relevance, effectiveness and sustainability.

Relevance

While the programme has undertaken an analysis of national, sectoral and project budgets, a **more extensive and participatory situational analysis** is needed to ensure that the needs of women from all of Ecuador's ethnic and social groups are understood and their voices are better heard. This would help to guarantee that budgeting was informed by the needs of the most vulnerable women in society, ensuring a human rights approach by acknowledging these women and granting them a platform for action.

In line with this recommendation, it is also suggested that the programme should be expanded to languages other than Spanish to raise awareness amongst the non-Spanish-speaking population, ensuring a human right's perspective by including all Ecuadorian citizens regardless of their level of literacy and simultaneously boost civil society engagement in national-level budgeting processes.

Effectiveness

It is recommended that the programme strengthen its links with the planning sector of the Ecuadorian government, the National Secretariat of Planning and Development (SENPLADES). The programme would benefit from the latter's full involvement in the development of strategies and approaches, the review of progress and achievements and the dissemination of results and lessons learned. Special efforts are needed to gain the political will of high-level authorities within SENPLADES.

To increase the programme's effectiveness and the feasibility of its monitoring and evaluation, **more systematic programme records** need to be kept, along with better documentation of different aspects of the programme. In particular, a systematic record of training courses and attendees needs to be kept so that a) monitoring and evaluation can be undertaken, and b) individuals trained can be supported in sharing their knowledge for the

advancement of GRB. A systematic record of information presented in seminars and workshops should also be developed to avoid duplicating efforts and facilitate knowledge sharing.

Sustainability

Despite the tempestuous character of Ecuadorian politics, the programme has made significant strides in creating political will, developing national capacity among numerous partners and initiating the establishment of policies and procedures that could have a significant impact on the country's budgeting process. These advances, however, need to be consolidated through ongoing support and advice during the next two budget cycles to ensure that partners come to fully own newly set policies, understanding their application and importance.

1. Purpose of the evaluation

In order to assess the effectiveness and relevance of UNIFEM's work in key areas, UNIFEM undertakes a number of strategic corporate evaluations every year. Corporate evaluations are independent assessments that analyse UNIFEM's performance and contribution to the critical areas of gender equality and women's empowerment. They are considered strategic because they provide knowledge on policy issues, programmatic approaches or cooperation modalities.

The evaluation of UNIFEM's work on GRB is corporate, and it is undertaken as part of the annual evaluation plan of the Evaluation Unit in 2008. The justification for its selection as a corporate evaluation is based on the existing commitment of donors to fund the programme (the Belgium government), its relevance to the UNIFEM Strategic Plan (2008-2011), its potential for generating knowledge on the role of GRB for greater accountability to women and advancement of the gender equality agenda, the size of investment allocated to this area of work in the last years and its geographic coverage.

In particular, this evaluation is particularly important given that UNIFEM's Strategic Plan has placed a specific focus on increasing the number of budget processes that fully incorporate gender equality, defining it as one of the eight key outcomes to which the organization aims to contribute by advancing the goal of implementation of national commitments to gender equality and women's empowerment. It is therefore expected that this evaluation will bring significant evidence and understanding of the factors that enable or hinder successful implementation of gender-responsive budgeting processes.

This evaluation is an independent external evaluation that has been undertaken by Social Development Direct. The evaluation has been designed to be both summative and formative. It seeks to be a forward looking and learning exercise, rather than a pure assessment of GRB program-

ming in UNIFEM. The evaluation deploys a theory-driven approach and aims to assess critically what conditions and mechanisms enable or hinder UNIFEM's work in increasing gender equality in budget processes and practices, as well as evaluate UNIFEM's overall approach to GRB programming. The principal objective is to inform and support UNIFEM's strategy on gender-responsive budgeting.

The corporate evaluation has been conducted in three stages:

Stage 1 involved a preliminary rapid assessment of GRB initiatives to clarify the scope of the evaluation.

Stage 2 focuses on the *Global GRB Programme: Phase II* as a case study and assesses the programme's results at the country level. Country case studies included in this stage of the evaluation are Senegal, Morocco, Mozambique and Ecuador.

Stage 3, building on the findings of the first two stages, evaluates the overall appropriateness (effectiveness, relevance and sustainability) of UNIFEM's approach to GRB programming.

It is expected that the results of the evaluation will be used as significant inputs for:

UNIFEM's thematic strategy, reflection and learning about work on GRB programming,

The design and implementation of the third stage of the GRB Programme,

Improving the monitoring and evaluation systems of UNIFEM's current GRB Programmes and preparing the impact evaluation of the selected countries.

This report documents findings and recommendations from the country assessment in Ecuador.

2. Evaluation objectives and scope

Evaluation objectives

The overall evaluation has the following objectives:

To assess UNIFEM's GRB thematic strategy and its technical and political effectiveness in promoting gender equality;

To support GRB programming by consolidating and testing the theories of change that underpin UNIFEM's work in this thematic area;

To identify enabling and disabling factors that affect the implementation of GRB programmes;

To evaluate progress towards GRB programming outcomes and outputs at the country level through a case study of the *Global GRB Programme: Phase II*;

To inform UNIFEM's learning on effective strategies, models and practices in promoting gender accountability in budgetary policies and practices;

To support the selected GRB programmes in their programming and evaluation by updating their theories of change, identifying indicators and providing monitoring tools.

The primary objective of the Ecuador country assessment is to contribute to the case study evaluation of the *Global GRB Programme: Phase II*. The findings from this country evaluation of progress towards outcomes and outputs at the country level will be used, along with evidence from the three other country evaluations, to draw programme level conclusions on the application of theories of change at the country level, achievements, enabling and disabling factors that have affected implementation, and lessons that can be drawn on effective strategies, models and practices. In Ecuador, the *Global GRB Programme: Phase II* ran from January 2005 to December 2008.

The evaluation took a **theory-based approach** and focused on two key aspects of the underlying model of change in the programme:

Setting out the steps that constitute the main elements of the explicitly stated causal chain in the form of a logic model, linking inputs, activities, partners and short-term outputs to the expected outcomes of the programme in the medium-term and ultimately to the long-term impacts;

Seeking to understand the logic underpinning the programme, looking at the stated assumptions and particularly focusing, through the evaluation process, on the implicit assumptions that affect the different stages of programme development.

Evaluation criteria and evaluation questions

The evaluation criteria used for analysis of the field data were **relevance, effectiveness and sustainability**, with definitions drawn from the OECD DAC evaluation guidelines. Evaluation questions relating to the three criteria were drawn from the UNIFEM ToRs and developed further into the overall methodology for the evaluation.⁴ Definitions of the evaluation criteria and a summary of key questions related to each criterion are listed below.

⁴ See Overall evaluation methodology and tools and guidance for country assessments 5 January 2009.

Relevance: the extent to which the objectives of the development intervention are consistent with beneficiaries’ requirements, country needs, global priorities and partner’s and donor’s policies.

To what extent has the programme been successful in positioning the GRB work within broader national planning, budgeting and monitoring frameworks (PRSP, budget reform, public sector reform, decentralization)?

How was the situation and needs analysis undertaken for the GRB intervention?

How were women’s priorities identified?

Effectiveness: the extent to which the development intervention’s objectives were achieved, or are expected to be achieved, taking into account their relative importance.

Outcome 1

To what extent has the programme been successful in introducing changes in MOF budgeting processes to better respond to gender needs, e.g. budgeting process, guidelines and budgeting instruments, access of gender equality advocates to budget policy-making processes?

To what extent has the capacity of the Ministry of Finance to carry out GRB been enhanced by the programme?

To what extent has the programme strengthened the role of women’s rights advocates in the budgeting process?

Outcome 2

What kinds of changes could be observed as a result of the piloting in terms of budgetary allocations for women’s priorities?

Outcome 3

What form has knowledge development taken in the programme countries? What types of knowledge products have been produced?

Programme Strategies

How have the strategies of capacity-building, sector piloting, evidence-based advocacy and partnership contributed to change?

Programme Management

How effective has UNIFEM been in ensuring adequate human, financial and technical resources towards the programme?

Across the GRB Programme

What were the challenges/difficulties of the programme? How were these addressed?

How has the achievement of outcomes been influenced by the political, economic, social and institutional contexts?

What examples of “promising practices” have emerged in the GRB Programme?

What evidence exists (if any at this stage) that UNIFEM’s GRB Programme is contributing to gender equality and making an impact on the advancement of human rights?

Sustainability: the continuation of benefits from a development intervention after major development assistance has been completed. The probability of continued long-term benefits. The resilience to risk of the net benefit flows over time.

What evidence is there that achievements will be sustained?

What specific activities do government, civil society organizations or others say they will continue regardless of whether UNIFEM’s support continues?

To what extent has the programme been successful in embedding the participation of civil society and women’s organizations in the entire budgetary cycle?

To what extent has the programme been successful in making the linkages and agreements that would ensure the continuation of work on GRB?

What factors are/will be critical to sustainability?

The evaluation followed a theory-based approach. This focused not only on results achieved or efforts made towards achieving the outputs and outcomes identified in the logical framework developed for the programme, but also on causal relations among resources, activities, outcomes and the context of the intervention.

3. Evaluation methodology

The fieldwork in Ecuador was undertaken by Karem Roitman and Patricio Guarderas from 2 January 2009 to 16 January 2009.

The fieldwork in Ecuador benefited greatly from the research undertaken by Karen Johnson (international consultant and team leader) in Mozambique where much of the methodology that was used in Ecuador was developed and tested. Thus, for example, the focus group meeting undertaken in Ecuador largely replicated the model from Mozambique. Similarly, semi-structured interviews undertaken in Ecuador benefited from the standard format for recording interview notes developed in Mozambique and from grounded guidance on the selection of interviewees. In short, knowledge garnered through the work in Mozambique not only enriched and improved the quality of data collected in Ecuador, but also promoted comparability between the two studies.

The team carried out **desk reviews** of relevant documents on GRB concepts and practice as well as the context for the Programme in Ecuador. Prior to fieldwork in the country, the documents reviewed were primarily UNIFEM's GRB Programme documents and corporate strategies. In Ecuador, national policy documents, UNIFEM consultancy and workshop reports and CSOs' reports were reviewed.

The main outputs of the desk review consisted of the country contextual analysis and initial development of a logic model for each of the countries. The contextual analyses provided material to analyse the selection of the countries for Phase II of the programme and to begin the process of understanding the logic underpinning of the implementation of interventions in each of the countries. Through the initial development of the logic models, it was found that they were not sufficiently differentiated to fully

understand how they were applied in each of the country contexts. Therefore, the field visits focused in large part on developing the logic model and in seeking to better understand whether and how this model of change guided implementation and the monitoring of progress.

The principal methodological tool used was the **semi-structured** interview, 30 of which were carried out with 38 key stakeholders. Prior to the arrival of the international consultant in Quito, Ecuador's GRB Programme Assistant drew up a list of key stakeholders to be interviewed, including a list of participants in GRB trainings supported by UNIFEM, and set up a schedule of interviews. All but one of these interviews took place face to face in Quito, with both evaluators meeting the interviewees.⁵ The initial interviews were booked with UNIFEM staff, staff from the Gender Unit in the Ministry of Finance (GUMF) and staff from the National Women's Machinery, CONAMU. In some cases, interviewees suggested other relevant stakeholders, and additional interviews were booked throughout the 10-day period of fieldwork. Brief follow-up meetings were set up with UNIFEM staff to clarify programme details, following which several interviewees submitted additional documents/reports for the consideration of the evaluators. The objectives for each meeting were agreed between the two consultants, and appropriate prompt questions were identified from the full list of questions drafted during development of the overall guidance report. The semi-structured interview format allowed for further probing questions to be used to explore issues in depth. Each consultant took notes during interviews. These notes were later organized and summarized in a standard format.

The second tool used by the evaluation team was a **focus group meeting** with eight people who had participated in UNIFEM-supported Phase II GRB trainings. The objectives

⁵ There was one telephone interview as the interviewee was in Guayaquil.

of the focus group were to widen the range of stakeholders consulted, assess the effectiveness of trainings and elicit contributions to the development of the overall theory of change. Before the arrival of the international consultant to the field, UNIFEM’s Ecuador office created a list of training participants and sent formal letters of invitation to 20 individuals, chosen to ensure a diverse representation of trainings and partner institutions. The formal invitations were followed up with personal phone calls to confirm attendance. Eight individuals confirmed that they would attend the focus group, but only six actually did. The focus group meeting was held in the second half of the mission to allow for logistical arrangements, confirm participation and ensure that some initial findings could be triangulated in the meeting. The meeting was held at UNIFEM offices, and UNIFEM staff provided logistical support. The methodologies used during the focus group were participatory, with small-group discussions, a role-play exercise, feedback to the full group and plenary discussions.

The evaluation team sought evidence from both interviews and the focus group discussions to test the understanding of the theory of change for the programme and to explore the implicit assumptions that it contained. This involved ensuring that information was gathered about how programme staff and partners had assessed the context in which the GRB Programme was planned to operate, the logical framework that specified intended results as well as inputs and activities to achieve those results and the long-term relationships with other actors working in parallel and complementary ways in order to achieve the desired change. The information gathered provides some evidence of the importance of the implicit assumptions in the programme, something that was not clear in the initial programme documentation.

The two major **limitations** to the evaluation methodology were:

The lack of organized and comprehensive programme information held by the UNIFEM office (e.g. workshop lists, reports, lists of women’s groups, workshop participants lists), and

The lack of a systematic monitoring information and evaluation framework and data for the programme—much monitoring was done informally through phone and e-mail exchanges.

As is discussed further below, the lack of organized programme information meant that the evaluation team had to rely on interviewees’ recollections or had to reconstruct information from the documentation available. Reports from consultants did provide valuable and substantial information, but Ecuador’s UNIFEM team did not centrally hold these reports. Rather, they were given to the evaluation team piecemeal by different interviewees after their interview. In addition, the lack of a monitoring and evaluation framework and of data to assess progress is a significant limitation on the evaluation. It is possible to reconstruct the approaches taken over the life of the programme, as is attempted below, and to seek some subjective evidence from interviewees’ recollections about the impact of these approaches. The limitations of using these qualitative data were mitigated to some extent by triangulation of information and by acknowledging when different stakeholders held different perspectives about an issue or chain of causality. Moreover, while data lacks limited the evaluation of the programme’s impact, it did not obstruct an evaluation of the Logic Model, which emerged through the extended semi-structured interviews undertaken (see Annex 1).

4. Context of the programme

A brief summary is given here of the key features of the macroeconomic policy context, the policy context for advancing gender equality and institutional change in ministries relevant to the GRB Programme.⁶ The policy framework for national development and public sector reform informs GRB by establishing the framework for economic and social development priorities and the parameters within which budget processes can be expected to change. The gender policy context informs GRB with regard to the extent to which the potential for women's advancement and the principles of gender equality and women's empowerment are established. The institutional context informs GRB with regard to the degree of continuity in actors and structures that are key to advancing GRB objectives.

Over the last three decades, Ecuador has been characterised by political and economic instability, making the creation and maintenance of any programme in the country particularly challenging. There has been a weak executive branch since the 1990s,⁷ and popular protests have led to the midterm ousting of the last three elected governments (Abdala, Manuad and Gutierrez). Rafael Correa, sworn into office in January 2007, argued that constitutional reform was needed to depoliticise regulatory agencies and the judiciary so as to make the state viable. He appointed a Constituent Assembly (CA) to rewrite the constitution that started working in November 2007, drawing up a new constitution that came into force on 20 October 2008.⁸ Congress has been suspended since the Constituent Assembly began work. General elections took place on 26 April 2009, putting Correa in power for another 4 years. Since Correa's election in 2006, the National Develop-

ment Plan (PLANDES) (2007-2012) has served as a broad framework for national development. A long-term development strategy—Strategic Human Development Plan for 2020—is currently being drafted by SENPLADES.

The 2008 Constitution recognises gender equality and applies gender as a cross-cutting policy, creating an important legislative basis for the promotion of GRB and a broader human rights approach. Article 70 of the Constitution states a need for “policies to achieve equality between men and women [...] and a gender focus in planning and programmes”. The 2008 Constitution also recognises the Equal Opportunities Plan 2005-2009 (PIO), launched by former President Palacio in 2006, which gives the protection of women's rights the status of state policy and increases the visibility of women's issues. Further, in Article 369, it states that “(social) debts for those who undertake non-remunerated housework and citizenship work will be financed with grants and contributions from the State. The Law will determine the mechanism for this”.

Ecuador has endorsed the Beijing Platform for Action and the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW). Beijing +10 has helped to strengthen the country's women's movement, as the first Equal Opportunity Plan was drawn up by the then National Directorate for Women (DINAMU), now CONAMU on the basis of the Beijing Platform for Action.⁹

During Phase II of the GRB Programme, CONAMU underwent a change in leadership as its director ran for a seat in the Constituent Assembly. According to one interviewee, this created some disruption in the management of the Programme as the Programme Manager was based in CONAMU.¹⁰ CONAMU's status as an autonomous institu-

⁶ A more comprehensive description of the general context in Ecuador was produced in Stage 1 of the evaluation process, and a report is available (5 January 2009).

⁷ UNPAN 2007: 3.

⁸ FCO 2009.

⁹ CONAMU 2004.

¹⁰ Consultant interview, Quito 2009.

tion is currently under revision, as there is a proposal to transform CONAMU into a consultative body falling under the remit of a new Secretariat that may be created as part of ongoing national constitutional change.

The Ministry of Finance (MF) has also undergone significant changes during Phase II of the GRB Programme. From 2007, the Ministry of Economy and Finance became the Ministry of Finance. The Gender Unit (GUMF), created in 2007, has remained in the Ministry of Finance. Functions relating to public investment and economic policy are now integrated into the National Secretariat of Planning and Development (SENPLADES) and the newly formed Ministry for Economic Policy Coordination (MCPE).¹¹ The budgetary process now seeks a greater coordination between planning (under SENPLADES) and resource allocation and disbursement (under the Ministry of Finance). The national budgeting system became a results-oriented process in 2008.¹²

11 UNIFEM 2007b.

12 In 2003, Ecuador's budget was ranked as one of the two least transparent in Latin America, with the lowest level of citizenship participation in budget creation (Government of Costa Rica 2007).

5. Description of the GRB Programme

Prior to the start of the Global GRB Programme in Latin America, there was little knowledge of GRB in the region. UNIFEM, therefore, became the main proponent of GRB in Latin America. Ecuador was selected as a focus country by the Andean regional office because it had several local governments (Cuenca, Esmeraldas, Quito and Salitre) willing to begin an analysis of their municipal budgets.¹³

Phase I (2001-2004) of the programme concentrated on capacity-building at the municipal level, supporting women's organizations involved in already existing participatory budget processes. In Cuenca, main achievements included a decree establishing the priority of hiring women for infrastructure projects funded by the Municipality and municipal budgets for the years 2002, 2003 and 2004 that included specific resources to fund activities related to the Equal Opportunity Plan. In Esmeraldas, in response to demands included in the Women's Agenda, the Municipality generated a fund for local women's microenterprise initiatives in 2004. In Salitre, women's organizations formally presented a budget gender analysis to the mayor and successfully lobbied for resource allocations in the 2003 municipal budget to support their actions. In Chambo, the women's commission obtained additional funding to promote actions in favour of gender equity.¹⁴

In **Phase II**, the GRB Programme focused on the national budget and **shifted emphasis** from budget analysis to budget change.¹⁵ A new round of capacity-building was necessary in order to create understanding and support for GRB within national institutions. Ongoing decentralization processes, however, make it necessary to maintain a focus on local as well as national processes.¹⁶

In both Phases I and II, the programme has sought to work with local actors and to support and expand existing initiatives. It has worked to add a gender dimension among groups already working on budget analysis and accountability: the National Observatory of Fiscal Policy (ONPF), Grupo Faro (GF) and Users' Committees (CUs). It has also made an effort to support the work of the National Women's Machinery (CONAMU) and women's groups, expanding the capacity of these groups to undertake budget analyses. CONAMU was the main base of Phase II of the GRB Programme. Activities for Phase II of the Programme were designed in collaboration with CONAMU and the Ministry of Finance.

To establish a solid basis with national institutions and encourage ownership and sustainability, Phase II of the GRB Programme established an agreement among UNIFEM, CONAMU, the National Secretariat for the Millennium Development Goals (SODEM) and the then Ministry of Economics and Finance in October 2005. In July 2006, this agreement was expanded to incorporate SENPLADES, given the growing importance of planning in the budgetary process of Ecuador after the 2006 national elections.

Early activities of the programme involved an analysis of the Ecuadorian budget and budget cycle. Given the dramatic changes that have taken place in Ecuador from the onset of Phase II, these analyses are now somewhat dated.

Despite the contextual instability characterising Phase II, the GRB team in Ecuador stated that the programme has closely followed its log frame, although the evaluation analysis shows that political flux has forced the programme to largely concentrate on lobbying for new policies for the allocation of resources to women and gender equality rather than on supporting the implementation of established policies. Whilst the

¹³ UNIFEM 2005.

¹⁴ UNIFEM GRB 2005.

¹⁵ Interview UNIFEM, Quito 2009.

¹⁶ Interview UNIFEM, Quito 2009.

programme continues to push for the use of gender indicators, thus far it has not been possible to measure the actual gender impact of budgets as these remain opaque and not sex-disaggregated.

Thus, for **Outcome 1, “National budget processes and policies reflect gender equality in Ecuador”**, in 2006, the programme concentrated on analysis of the national budget and the budget cycle. Lack of budget transparency made it difficult to disaggregate budget allocations to determine their gender impact. Once the Correa government was established, the programme turned to supporting the inclusion of a gender perspective in the newly strengthened SENPLADES. Throughout Phase II, the programme has sought to have gender included in the creation of sectoral budgets and the national budget. Links with relevant organizations have been developed through consultancies in the Ministry of Finance, SENPLADES, the Ministry of Education and CONAMU. The GUMF has served as a lobbying point within the Ministry of Finance.

For **Outcome 2, “Priorities of poor and excluded women reflected in budget allocations for national programmes addressing poverty”**, the programme has concentrated on supporting civil society organizations (CSOs) lobbying for government accountability. It has supported Grupo Faro’s gender budget analyses (published as *Lupas de Genero*) and their use for lobbying purposes. In response to midterm review (MTR) findings, the Ecuadorian programme sought to expand its interaction with, and support to, women’s organizations from October 2006. Thus, it launched an open call for CSOs involved in budget analyses that wished to expand their GRB capacity, eventually funding *Fundacion YerbaBuena* and *Fundacion Casa Refugio Matilde*. Women’s groups have been trained to conduct gender budget analyses and have been supported in their demands for government accountability in its use of resources. Trainings organized by UNIFEM, MF, CONAMU, the Ministry of Education (ME), Grupo Faro and academic courses undertaken by FLACSO (the Latin American Faculty of Social Sciences in

Ecuador) have been supported to develop a base of GRB experts in Ecuador.

Finally, for **Outcome 3, “Knowledge and learning on gender-responsive budgeting facilitating replication of good practices and exchange of lessons learned”**, the programme has relied heavily on its links as the Andean regional centre to disseminate its achievements informally. A website has also been set up with the support of German Technical Cooperation (GTZ) and the United Nations Population Fund (UNFPA). The programme has set up a partnership with FLACSO, involving the delivery of training courses and the creation of research fellowships. Although much knowledge has been generated, it has not been **systematically** disseminated. Documents created in Phase II, through UNIFEM consultancies, research projects funded by the programme and by CSOs have had limited distribution. Reports created by FLACSO students have not been used as lobbying tools, nor have students been adequately encouraged to return to their institutions to present their findings.

The **implementation strategy** throughout Phase II thus concentrated on **capacity-building** with different target groups and the **use of programme-produced evidence for lobbying**. A **sectoral pilot** was conducted with the Ministry of Education to create a model that other sectoral ministries could learn from to create gender-sensitive budgets. Initially a pilot was also supposed to be undertaken with the Ministry of Public Health (MSP), but changes to budgetary allocations by the national government led to a pause in this second pilot.

Political changes have posed challenges to the continuity of the programme, which has had to constantly readjust and often repeat processes for the benefit of new administrations. Contextual instability has prompted constant, if informal, communication among Programme partners given the need to continually reassess the programme’s activities and deadlines in the light of political and legislative developments.

The intended ultimate beneficiaries of the programme were poor women, whose priorities would be better addressed in budget allocations and through gender-sensitive national policy and budgeting processes. The immediate beneficiaries of the programme have been staff of the Ministry of Finance and sector ministries, the national women's machinery and civil society actors engaged in ensuring accountability for achieving gender equality, academics and students of FLACSO and staff at partnering donor organizations.

Stakeholders, beyond the sectoral and finance ministries and civil society actors, included bilateral donors, in particular GTZ and UN agencies, especially the United Nations Development Programme (UNDP). The use of Gender Special Interest Groups in Ecuador to inform stakeholders about the Programme had been limited.¹⁷

The programme was funded by the Belgian government and had an income in Phase II with a total income of \$480,607 (on 31 December 2007). Programme funding came directly from UNIFEM's New York headquarters with reporting going through the same route. National level programme activities fell under the general responsibility of the Regional Programme Director for the Andean region supported by the regional coordinator of the GRB Programme and a programme assistant based in Quito.

5.1 The GRB Programme's theory of change

In **Phase II, a general theory of change** was predicated on the view that, while a general awareness about GRB had been developed, with lessons from the experiences of 20 countries available, GRB work was not yet aligned to the national budget cycle and mainstream budget processes. The purpose of the second phase was, therefore, to transform the execution of the budget to reflect responsiveness of budget policies and processes to principles of gender equality and thereby achieve concrete changes in resource allocations. It was set out that the long-term impact of the programme would be to demonstrate the impact these transformative actions have in relation to increasing access of poor women to services and resources and bridging the gender gap in line with the MDGs targets to be achieved by the year 2015.

In order to achieve the longer-term impact and the purpose, a relatively complex programme approach was proposed in the logical framework, with three components or outcomes and seven outputs contributing to these outcomes (see Diagram 5.1 below).

¹⁷ Interview GTZ staff member Quito 2009.

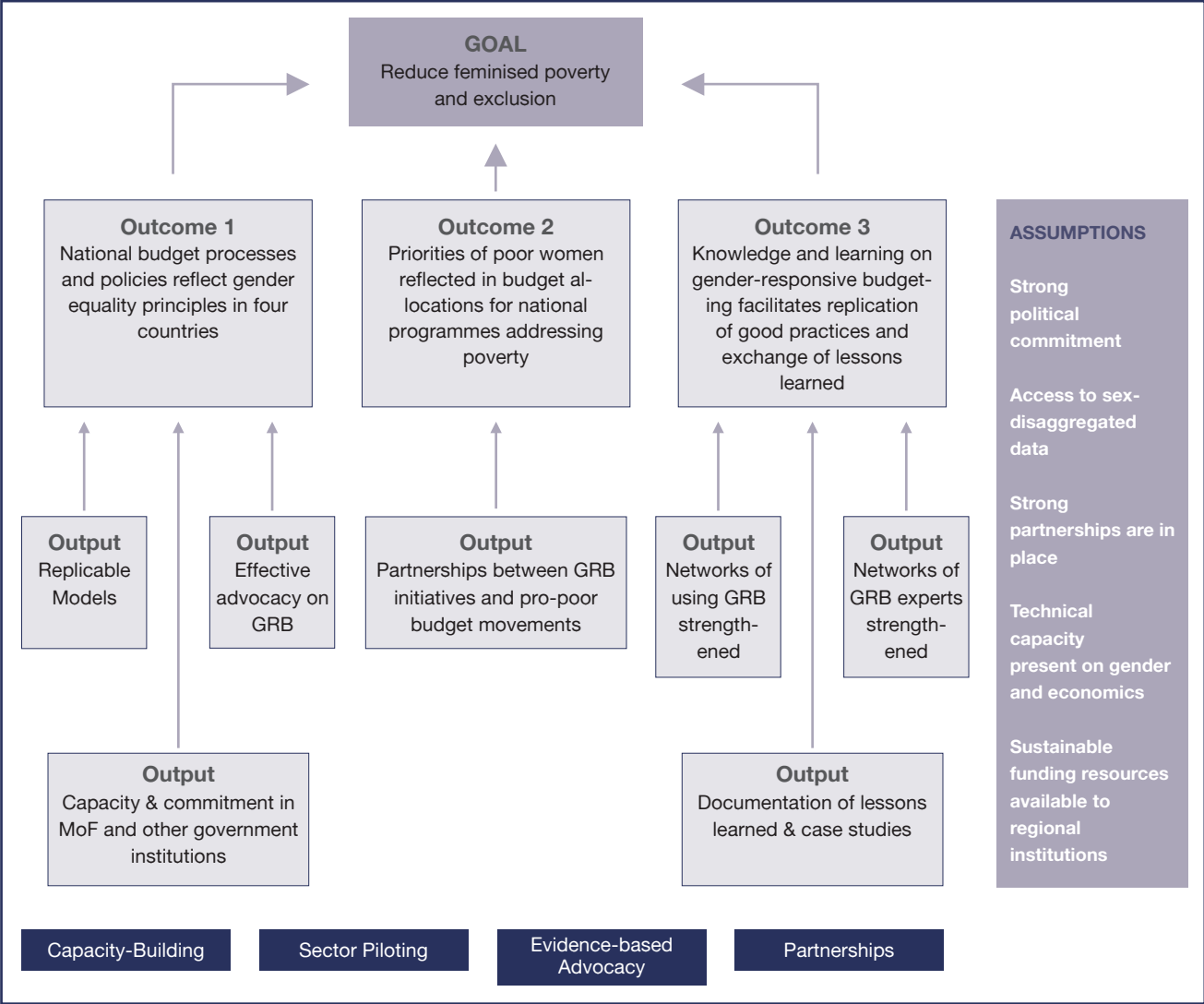


Diagram 5.1 - Model of GRB Programme Implementation

The diagram above sets out the steps in the causal chain, highlighting the **expected outcomes** of the combination of strategies and activities in the programme at each stage of the process. Thus, in:

The short-term, through the programme outputs, GRB work would become aligned to the national budget cycle, changes to national budget processes would be introduced, budgeting tracking mechanisms would be improved and documented and linkages between gender advocates and budget decision makers would be strengthened.

The medium-term, through the programme outcomes, policy and budget processes would become more gender aware, budget allocations would reflect the priorities of poor and excluded women and good practices and lessons learned would be replicated through networks and knowledge sharing.

The long-term, the programme as a whole would contribute to the reduction of feminised poverty and exclusion.

The diagram also sets out the stated assumptions of the programme, which are relatively clear and relate primarily

to the outcomes. However, these stated assumptions do not seem to have been developed or explored further during programme implementation. As will be discussed below, three of these assumptions stand out as being constraints to programme implementation: the availability of sex-disaggregated data, the existence of strong partnerships and the presence of technical capacity on gender and economics.

In Ecuador at the outset of Phase II, UNIFEM commissioned a gender analysis of the national budget with the aim of using the findings to define programme priorities. In practice, CONAMU's existing links and policy priorities largely influenced the programme's emphasis, limiting the extent to which an overview and analysis of the national policy landscape was perceived as necessary. Prior to the start of the GRB Programme, CONAMU had been working on the mainstreaming of gender in fiscal policies. Whilst CONAMU's priorities may have been well-founded and appropriate for Phase II, this was an assumption that was not tested. The other main partner from the outset of the programme was the Ministry of Finance (MF) perceived at the time as the main stakeholder in national budget processes.

Given the shift from an emphasis on local budgets to an emphasis on the national budget in Phase II, programme

staff felt the need for the establishment of knowledgeable advocates for GRB at the national level (see sections 6.1 and 7.1). Efforts were turned to increasing capacity within national government agencies (Ministry of Finance and sectoral ministries, National Controllers and the Internal Revenue Service). Capacity-building was expected to result in the generation of political will (see sections 6.1, 6.3, 7.4 and 7.2). The implicit programmatic logic was that change among mid- and high-level government staff would affect the medium- to long-term priorities of the national budget. The programme also saw a role for CSOs in pushing for government budget accountability and therefore trained and supported CSOs and women's groups involved in budget accountability (veedurias) (see sections 7.1 and 6.2).

The use of technical, rather than "ideological", arguments in political lobbying was seen as crucial to the success of the programme, supporting its emphasis on capacity-building. Emphasis was placed on training individuals in government agencies who were linked to budgeting processes. The focus was on civil servants rather than appointed officials, since the latter are likely to be more transient. Grounded consultancies were also seen as a means of building national capacity and institutionalising learning while creating partnerships and opening spaces for lobbying (section 7.3).

6. Programme results

This section reviews the results achieved by the programme and assesses them in terms of the evaluation criteria of relevance, effectiveness and sustainability outlined in section 2.

6.1 Relevance

The extent to which the objectives of the development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies.

Here, relevance is reviewed in terms of the extent to which the UNIFEM team was able to identify appropriate strategic entry points and partnerships for promoting GRB, the methods used for identification and analysis of those entry points and the challenges faced in relation to the specific context for GRB. UNIFEM faced a series of challenges in establishing relevance, notably the lack of national data and statistics, complex and changing institutional relations and remits in relation to budgeting and planning and lack of clear documentation of different actors' programmes and practices.

All interviewees highlighted the instability of the socio-political context as the greatest challenge faced by the programme in Ecuador. During the lifetime of the programme, eight Ministers have passed through the Ministry of Finance, forcing the programme to invest significant resources on lobbying each new administration and to replicate its efforts numerous times. A constant reassessment of the contextual background has had to be part of the programme at all times.

Policy entry points

The **2008 Constitution gives significant legal backing** to GRB, recognising gender as a cross-thematic issue and calling for gender equality. Interviewees in the Ministry of Finance commented that this legal structure has been successfully harnessed by the programme to support its lobbying efforts. Interviewees in the Ministry of Education noted that the passing of the Decadal Education Plan in 2006, which calls for inclusive education, has opened the way for gender to be considered in educational policies, and the programme has made use of this to work closely with the Ministry. Development of a National Strategy of Human Development for the year 2022, which will provide a **medium- to long-term development framework** for human development, has been used as an **opportunity to establish a gender perspective in the national planning processes**. In short, the programme has been successful in using contextual changes to advance the GRB platform within different institutional bodies.

Although the programme has at times been able to use political change as an opportunity for advancement, it has also suffered setbacks due to these fluctuating institutional circumstances. For example, programme consultants successfully used the creation of the Special Fund for Social and Productive Reactivation (CEREPS) in July 2005 as a space to push the Ministry of Finance for the inclusion of a gender indicator in the criteria for fund allocation among investment projects. This indicator sought to give a higher ranking to projects that supported gender equity. CEREPS was abolished when most earmarked funding was suspended with the 2007 referendum.¹⁸ The end of earmarked funding led to the programme's current pause on its support for the Free Maternal Health and Child Assistance Law (LMGYAI), as its funding is now uncertain.

¹⁸ Interview with Consultant, Quito 2009. This indicator sought to give a higher ranking to projects that supported gender equity. CEREPS was abolished with the 2008 Constitution.

Special funds have been eliminated as part of the budget reform process with the rationale that these allocations should be reflected in sectoral investment budgets.

Institutional focus on planning and finance functions

A significant point of entry for the programme has been the Ministry of Finance, where the programme has supported the creation and development of the Gender Unit (GUMF). Interviewees in the GUMF argued that financial support from the programme had allowed them to undertake trainings and seminars that convinced the Ministry of Finance of the GUMF's added value. GUMF personnel, moreover, gained their understanding of GRB through programme trainings and FLACSO.¹⁹ The GUMF has provided a key entry point for advocating for the inclusion of gender in budget instruments. One success has been the inclusion of gender in call circulars since 2006. The GUMF has also been important in lobbying for support for GRB more broadly, obtaining support of the current Minister of Finance, as attested in recent press declarations.

Working with the Ministry of Finance is crucial as it is the lead actor in national budgeting processes. **The creation of the GUMF has been strategic in the uptake of GRB within both the Ministry of Finance and sectoral ministries.** It has given the programme a central foothold within the Ministry of Finance and has helped to convey the importance of gender and GRB to other government offices. On the other hand, the evaluation team found that Gender Units in other ministries had not been integrated into the programme because of the emphasis on central government budgeting practices throughout most of Phase II.

Perhaps the most significant change for the programme has been the shift to a results-oriented budgetary system and the increasing role of planning (SENPLADES) in the budgetary cycle. This change has implied a diminution in the role of the Ministry of Finance and necessitated a stronger emphasis on SENPLADES in the programme. To

address this shift, UNIFEM expanded its working agreement with CONAMU, the Ministry of Finance and SODEM to include SENPLADES. Whether the remit of GRB falls within the Ministry of Finance or SENPLADES is still being discussed,²⁰ but the programme has made an effort to create links in both organizations. The programme's links with SENPLADES are inevitably newer and less consolidated, and it is therefore not surprising that high-level interviewees in SENPLADES noted that the programme has as yet had little influence on their planning.

Working with the National Women's Machinery

Despite the many changes in the legal, political, economic and social contexts of the programme, actors noted that continuity has been maintained through its constant cooperation with CONAMU and the Ministry of Finance. Programme staff highlighted CONAMU as the main entry point. However, CONAMU underwent important internal changes during Phase II of the programme, and these challenged the stability of the programme's management. High-level interviewees in CONAMU felt that the programme had had difficulties in fully integrating itself within CONAMU. Furthermore, programme staff and former CONAMU staff noted that the shift in CONAMU's leadership had resulted in less support and emphasis on the programme for a time. In sum, on the one hand, working with CONAMU generated an increase in national capacity and granted relevance to the programme by aligning it with the priorities of the national woman's machinery. On the other hand, it made the programme vulnerable to changes within CONAMU.

A further issue surrounding the programme's alignment with CONAMU relates to priority setting. By relying on CONAMU's priorities rather than undertaking a situational analysis, it is possible that the programme did not identify or respond to priority needs unless they had already been identified by CONAMU. For example, the programme has thus far not examined the specific needs of non-Spanish-speaking women in Ecuador, the most marginalised

¹⁹ Interview GUMF, Quito 2009.

²⁰ Interviews GUMF, SENPLADES, Quito 2009.

population in the country, assuming their voice to be represented through CONAMU.

Creating institutional linkages

To ensure relevance, the programme has opted to **place consultants in the institutions it seeks to influence**, the logic being that these consultants will serve as lobbyists for GRB through creating new evidence for GRB processes. Consultants' placements, moreover, will grant them a greater understanding of the institutional culture they wish to influence and access to networks through which to achieve this. Consultants have, therefore, been placed in CONAMU, the Ministry of Finance, SENPLADES and the Ministry of Education.

In terms of feeding into existing work on budget reform in Ecuador, the programme has been effective in encouraging a gender focus in the work of GTZ, the other main donor working on budget reform in Ecuador. The programme has, however, struggled to collaborate with UNICEF, which has worked closely with Grupo Faro in the past to create budget analyses. UN agencies working in Ecuador are currently formulating their Development Assistance Framework (UNDAF), in which greater synergies for GRB will be sought.

Key findings

The programme has demonstrated great flexibility in its planning and management, allowing it to adapt to changing political circumstances and remain relevant by addressing new actors, such as SENPLADES, and legislative changes, such as the new 2008 Constitution.

The programme's entry points have relied strongly on CONAMU's established priorities and existing technical capacity. Working closely with the national women's machinery has permitted a faster advancement of programme goals by using existing links. On the other hand, the programme has been vulnerable to changes within CONAMU.

Whilst supporting CONAMU's existing priorities is a sound programme strategy, the lack of an independent situational analysis leaves the programme unaware of whether it is supporting women's priority needs, particularly those of more vulnerable groups. Greater involvement from marginalised

women's groups, especially from ethnic minorities, would ensure that their interests are being considered and support a stronger human rights emphasis in the programme.

6.2 Effectiveness

The extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance.

Here effectiveness is reviewed in terms of the results achieved in relation to the outputs and outcomes outlined in section 5. The section looks at the challenges the team faced and the ways in which they responded in order to achieve these results. The section is organized around the key log frame outcomes and outputs. Difficulties faced by the evaluation team in applying these criteria included lack of systematic programme documentation and monitoring. In addition, there are questions of attribution as to the impact of the GRB programme on budget processes and allocations, amendments to which may equally have been the result of ongoing governmental and societal change.

Changes in national budget and policy processes²¹

As already noted, the programme has successfully used political changes as entry points to advocate for gender-responsive policies in both budgeting and planning. The National Strategy for Human Development for the year 2022 is currently being drafted, and the programme has worked, through a consultant, to ensure that gender is mainstreamed throughout this plan and in the current National Development Plan (PLANDES) for 2007-2012. The National Development Plan will serve as the main planning structure based on which budget priorities will

²¹ This section reports results and efforts in relation to Outcome 1, Output 1, "Articulated approaches that demonstrate how to transform budget processes to foster gender-responsive programmes and policies at the national level in four countries". For country-specific outputs contributing to this outcome, see Annex 5.

be decided until 2012. Whether this achievement can be solely attributed to the programme is unclear. Interviewees in SENPLADES attributed this achievement to the 2008 Constitution rather than to the GRB Programme, although the technical support of the consultant is likely to have helped exploit and operationalise this policy commitment. The programme has successfully lobbied for the inclusion of gender in the call circulars through the work of a consultant in GUMF. A prior success of the programme was the inclusion of a gender indicator for resource allocation by the CEREPS, supported by budget analyses undertaken by a consultant in CONAMU. However, it is difficult to measure the significance of this achievement given that CEREPS was too short-lived to affect the institutional culture of sectoral ministries. Gender indicators have also been included in the budget since the 2008 shift to a goal-oriented system, but the use of these indicators among sectoral ministries is still being negotiated.²²

Capacity and commitment in the Ministry of Finance²³

According to many informants, at the start of the programme there was no understanding of GRB and strong opposition to it.²⁴ Several interviewees in the Ministry of Finance and other donor agencies highlighted the importance of the programme's gains in creating political will for GRB through its use of evidence and technical expertise. Workshops organized and supported by the programme have convinced the Ministry of Finance of the relevance and significance of GRB.²⁵ To sustain the development of a GRB agenda within the Ministry, the programme

has provided the GUMF with technical assistance and resources. The GUMF now feels firmly supported, as its organizational role is being consolidated, and it perceives a growing understanding of gender issues and GRB among Ministry of Finance personnel. This represents a very significant change.²⁶ The GUMF has expanded from two individuals at the beginning of Phase II to now include a consultant and an intern. GUMF staff noted that initially they had trouble even accessing office supplies, but now they find themselves valued as a permanent part of the Ministry. The GUMF has played a key role in creating capacity and commitment to GRB within the Ministry. It has led several trainings tailored specifically to Ministry staff, supporting the development of networks among staff members who are knowledgeable and interested in GRB. GUMF has spent considerable time lobbying individuals to ensure their participation in workshops. The GUMF is known as the Minister's "pet project", hinting at the political opportunities currently open to them.

Engagement of civil society and parliamentarians²⁷

The initial theory of change for Phase II involved engagement principally with planning and budgeting actors.

Accountability actors' role of oversight, monitoring and holding to account were recognised but not explicitly encouraged or directly supported. In addition to the national women's machinery, these actors included MPs and CSOs. However, as MPs have not met since the dissolution of Ecuadorian Congress, the programme has not used parliamentarians as an entry point.

The programme has sought partnerships with civil society, working first with the National Observatory of Fiscal Policy (ONPF) and, more recently, with Grupo Faro (GF), another government accountability CSO characterised by its emphasis on project budget analysis. UNIFEM

22 Interview, GUMF Quito 2009.

23 This section reports results and efforts in relation to Outcome 1, Output 2, "Capacity and commitment established in Ministries of Finance and other relevant government institutions to incorporate gender-sensitive budget guidelines and indicators in their budget formulation and monitoring processes". For country-specific outputs contributing to this outcome, see Annex 5.

24 A high-level MF official received project representatives by tersely laying the national budget before them and asking "How does gender fit here?" At one point representatives of the Catholic Church spoke about the *perverse ideology of gender*, while staff in the MF asked whether one could determine whether a bridge was male or female by looking underneath it.

25 In particular, MF interviewees drew attention to programme support for the May 2008 International Seminar on Participatory Budgeting, which was used as a space to discuss GSB. It cost the MF nothing and was a high-level forum that generated significant political will within the MF to spearhead GRB initiatives. This was the first joint action among UNIFEM, GTZ and the MF.

26 Interview GUMF, Quito 2009.

27 This section reports results and efforts in relation to Outcome 1, Output 3, "Women's rights groups, parliamentarians and gender equality experts are effective at using GRB to advocate for and monitor budget-related processes, including poverty strategy documents/PRSPs, MDGs, and other budget processes". For country-specific outputs contributing to this outcome, see Annex 5.

staff assessed the latter as better placed to help create capacity within civil society. UNIFEM helped GF develop a gender focus by training its members through two thematic workshops and technical assistance meetings. With its new set of skills, GF led three regional sensitization and capacity-building workshops in Guayaquil, Ibarra and Cuenca, where findings on state expenditures on the 'Free Maternal Health and Child Assistance Law (LMGYA) and Law 103 against gender-based violence were shared. One hundred and fifty people attended these workshops, including Health Sector Users' Committees (CUs) and personnel of the Public Health Ministry (MSP).

An open meeting for CSOs interested in GRB and seeking support was also organized by UNIFEM in order to include a greater number of women's organizations. This was in part a response to the MTR, which noted that UNIFEM's work was somewhat limited to organizations linked to CONAMU. Eight CSOs involved in local government accountability programmes (*veedurias*) responded, and two were chosen for support: Fundacion Casa Matilde and Fundacion Yerbabuena. Members of these organizations were trained to incorporate GRB into their government budget analysis and lobbying agenda and were also encouraged to apply for academic training in "gender and economics", for which bursaries were made available. Two interviewees from Fundacion Casa Matilde have undertaken further GRB training in FLACSO through these bursaries.²⁸

A culture of civil accountability is beginning to develop in Ecuador. Local governments are now giving ID cards that qualify individuals as accountability agents after they have undergone a training course.²⁹ While this might support GRB capacity-building among the population and serve as an entry point for the programme, it might also act to limit the number of civil society actors involved in budget oversight processes.

With the programme's support, GF created two *Lupas de Genero*, short pamphlets analysing strategic budget areas with a gender focus. In its first *Lupa*, GF analysed the Maternal Health and Child Assistance Law (LMGYA) and Law 103, to Eradicate Violence against Women and Families, both of which were chosen as priority policies given their gender impact. In its second *Lupa*, GF continued its analysis of LMGYA and Law 103, but it also examined the Fund for Childhood Development, CONAMU's allocated budget, the Operation Child Rescue Programme, the National Programme for the Control of HIV/AIDS and the Programme for the Eradication of Illiteracy. The *Lupas* are written in non-technical, succinct language so that they can be easily understood and used by civil society in line with GF's goal of "democratizing the budgetary process".³⁰ Members of GF noted that the programme initially concentrated solely on the creation and consolidation of this information, but latterly has now turned its efforts and resources to the dissemination of the information collected.

Changes in budget allocations and analysis³¹

2007 and 2008 Call Circular:

Social investment projects and programmes will be evaluated and ranked [...] taking into consideration technical criteria such as: incidence of poverty, efficiency, population covered, sustainability, complementarity, legal competence of executors, capacity, sources of funding, citizen participation, **gender equity** and environmental impact, among others.

The programme's engagement with the Ministries of Finance and Education achieved a number of results that are the first steps towards greater reflection of women's needs in budget allocations. One of the most significant achievements of the programme was the introduction

²⁸ Interview Fundacion Casa Matilde, Quito 2009.

²⁹ Interview Fundacion Casa Refugio Matilde, Quito 2009.

³⁰ Interview Grupo Faro, Quito, 2009.

³¹ This section reports results and efforts in relation to Outcome 2, "that the priorities of poor women were reflected in budget allocations for national programmes addressing poverty". For country-specific outputs contributing to this outcome, see Annex 5.

of the term “gender equity” into Budget Call Circulars in 2007 and 2008 (see box text). The individual lobbying efforts of a consultant of the programme working in the Ministry of Finance were highlighted by ministry interviewees as crucial to the inclusion of gender in the call circulars.

Ministry of Finance staff members were also supported by the programme to undertake the first gender analysis of the 2008 budget proforma (UNIFEM 2007b). The programme also undertook an analysis of the resources required in the Annual Operative Plans of the ministries and institutions linked to National Policies for Gender Equity and defined as priorities by the programme. These were LMGYAI, Law 103, Plan Trata³², Plan for the Eradication of Sexual Crimes in the Educational Realm and CONAMU’s budget (Tamayo 2007). The programme also supported the inclusion of a gender indicator in the criteria for the allocation of funds to investment projects under the Special Fund for Social and Productive Reactivation (CEREPS) operational between 2005 and 2008.

The 2008 shift to a results-based budget system was used by the programme as a policy opening to advocate for, and obtain, the establishment of two budget classifiers to identify state investment in gender equity (Armas 2007). The first served to identify all public institutions that contribute to the government’s objective of “equality of opportunities”. This permits an analysis of spending tendencies and will create statistics necessary for monitoring. The second will serve to register budgeting, expenditure and transfers related to the “Equal Opportunities Plan”. Information from these indicators is expected by 2010. Moreover, gender is also now included in the project analysis undertaken by SENPLADES. Sectoral ministries were hesitant to use this gender indicator as they feared that it would entail a cut, rather than an increase, in their budgets. UNIFEM and Ministry of Finance staff explained that historically women’s issues and gender were areas

that had been regarded as a low priority and were therefore often subject to cuts.³³

Gender analysis of budget allocations has been hampered by the current lack of adequate information and the opaqueness of the budgets. The analyses carried out by GF are a first attempt, and they have begun to be used to advocate for changes in the distribution of resources so as to respond more effectively to the needs of poor women. Such changes, however, have either yet to take place or have not yet been systematically documented and disseminated.

The **programme’s sectoral work in the Ministry of Education** has resulted in gender being taken into consideration in all 2009 investment projects.³⁴ A gender matrix has been created to accompany all the Ministry’s social investment projects, and a template to establish the gender impact of investment programmes has been created with the help of a consultant in the Ministry. A set of instruments for the collection of information necessary for gender-sensitive budgeting (GSB) and for capacity-building purposes should have been fully developed by the end of January 2009. These instruments could facilitate the replication of the pilot in other ministries, as well as dissemination of lessons learnt. This sectoral pilot did not get underway until 2007, and as such its achievements are as yet nascent. These will need to be consolidated and both speedily and adequately documented during Phase III to ensure that they can be replicated in other ministries, with the support of the programme.

The programme also invested time and resources in analysing **budgetary allocations to the National Women’s Machinery CONAMU**. GF’s *Lupas de Genero* looking at this budgetary allocation have served as lobbying tools for the benefit of CONAMU. Furthermore, CONAMU presented an investment project for the GRB Programme, which was approved, for US\$90,650 for 3 years.

32 National Plan to combat people trafficking, sexual exploitation of minors, and other modes of exploitation and prostitution of women, boys, girls and adolescents, child pornography and the corruption of minors.

33 Interview MF consultant, Quito, 2009.

34 Interviews ME, CONAMU Quito 2009.

Linkages and learning³⁵

The programme in Ecuador generated some significant documentation in various media, including a DVD of training seminars/events, which is currently being created by the GUMF; GF's two *Lupas de Genero*; consultancy reports; and reports undertaken by FLACSO students. The programme is also contributing to the creation of an expanding network of experts on GRB issues through international seminars (see Annex 4) and has brought expert trainers to the region.

The dissemination and sharing of lessons learned through documents and websites has been one of the weaker parts of the programme in Ecuador. A number of findings underpin this conclusion. The status of the UNIFEM office in Quito as regional headquarters has facilitated the flow of information to occur, although in an informal rather than a structured way. The lack of systematic maintenance of project documents has hampered the dissemination of lessons learned. Documents produced have not been disseminated as widely as they could have been. Similarly, more emphasis on disseminating the work of consultants within partner organizations, amongst high-level stakeholders, might have helped with the uptake of findings and recommendations.

A GRB website for the Andean region has been set up with the Ministry of Finance, GTZ, UN Volunteers and UNFPA. This useful dissemination tool could be more effective. The website makes only limited information available, is not well known and is not very user friendly.³⁶ Material already available that could be added to this website includes training videos and podcasts from GRB seminars already undertaken, more PowerPoint presentations from seminars and workshops and the comic book series explaining the basics of GRB for the general population created by the MF. Moreover, the website

could include a brief chronology of the programme and its key documents (for transparency and replicability), a list of programme participants and their roles (to foment ownership and political will) and a list of courses available on GRB and sources of scholarships.

Despite these limitations, the UNIFEM team has been very active in personally contacting interested parties and sharing its experiences with others. Having the Regional Head of UNIFEM in Quito has facilitated this process, as information flows from this office to other Andean country offices. According to CONAMU's staff, there have been requests from neighbouring countries for Ecuador to share the programme's lessons learned as a result of this networking.³⁷

Key findings

The GRB Programme in Ecuador has, to date, achieved a number of significant results that can be linked to outputs or outcomes in the log frame. Overall, the programme focused on changing major national processes of public finance management in a context of political, legislative and economic instability. This naturally limited the achievement of short-term, concrete results. Given this context, the following achievements represent significant steps towards the establishment and institutionalization of GRB in Ecuador. The programme has:

Successfully used political changes as entry points to advocate for gender-responsive policies in the budget and planning areas and successfully developed partnerships with the Ministry of Finance, CONAMU and the Ministry of Education. The programme has been less successful in its access and impact in SENPLADES, especially among high-level stakeholders, and it must focus on this area in Phase III.

Capacity and commitment to gender-responsive budgeting (GRB) has been established in the Ministry of Finance and is particularly reflected in the establishment and embedding of the gender unit (GUMF). In turn, the GUMF has played

³⁵ This section reports results and efforts in relation to Outcome 3, "that knowledge and learning on gender-responsive budgeting facilitated replication of effective and good practices". For country-specific outputs contributing to this outcome, see Annex 5.

³⁶ <http://www.presupuestoygenero.net/>

³⁷ Interview CONAMU, Quito 2009.

a key role in further developing capacity and commitment within the ministry. This achievement is particularly significant given the strong resistance to GRB in the early stages of the programme.

Progress has been made on strengthening engagement of accountability actors. One key CSO whose members have received GRB training is using skills acquired to lead capacity-building and sensitization workshops outside the capital.

Some indicators of change in national budget and policy processes can be discerned. Most significantly, gender is currently being mainstreamed into the national plans that will set budget priorities for the future, and gender equity has been included in budget call circulars since 2007.

Pilot sectoral work with the Ministry of Education has successfully resulted in the incorporation of gender in all 2009 investment projects through the use of a gender matrix to assess gender impacts. A set of instruments for collection of data for gender-sensitive budgeting is currently under development and should provide a model for rolling out to other ministries.

The use of grounded consultants working within these departments has been critical to programme achievements. Working inside key ministries and departments, consultants have been able to provide technical advice, build capacity and advocate for change based on the depth of institutional and political understanding developed.

Development of linkages and learning has been the least successful component of the programme. Whilst some strong knowledge products have been developed, these have yet to be disseminated widely and effectively. This could be overcome by a more systematic and centralised maintenance of project documents and seminar and workshop resources and attendees lists and a structured rather than informal dissemination plan.

6.3 Sustainability

The continuation of benefits from a development intervention after major development assistance has been completed. The probability of continued long-term benefits. The resilience to risk of the net benefit flows over time.

Here, sustainability is reviewed in terms of the extent to which the UNIFEM Programme put in place the necessary partnerships and procedures to enable continued work on GRB after the lifetime of the programme and whether it acted as a catalyst for independent action on GRB. The difficulties faced by the evaluation team in applying this criterion relate to the innovative nature of the programme. UNIFEM’s country teams experimented with different entry points to determine which were likely to be most successful. Evaluation of sustainability took into account that a degree of change and discontinuity was both inevitable and potentially constructive.

By supporting the creation of a “Gender and Economics” diploma and “Gender and Fiscal Policy” academic course in FLACSO, the programme has been successful at **institutionalising high-level capacity-building** that can continue and expand beyond the programme’s lifetime. This has also been accomplished by supporting partner institutions in designing their own GRB workshops and seminars. Thus, the programme has acted as a catalyst, helping other actors to lead and develop their own, need-tailored capacity-building initiatives.

The creation of the GUMF has also institutionalised accountability for GRB within the Ecuadorian government. Once the GUMF becomes an official part of the MF (its inclusion is currently de facto rather than de jure), the most influential Ministry in the country will have within it a constant advocate for gender equity and GRB. An initial awareness of GRB has also become institutionalised in the Ministry of Education through the creation of a gender matrix that is now used to evaluate all social investment programmes. Given the growing importance of planning in Ecuador, the programme now needs to invest more in developing its partnership with SENPLADES to increase GRB ownership if GRB initiatives are to be sustainable.

Finally, several interviewees noted that they had been strongly affected by workshops and trainings, especially those that creatively sought to influence participants as

both individuals and professionals (such as the experiential workshop for women led by the GUMF). Such experiences are likely to last beyond the lifetime of this project. Individual changes could be more effectively capitalised on than at present to help take forward and embed formal institutional changes, for example, gender indicators that have been developed but are not yet used into effective tools for advocacy and accountability within governmental agencies.

Key findings

Working with academia has been very successful in creating high-level, sustainable capacity-building of personnel who can take the GRB agenda forward with several government sectors, partner donors and civil society.

Support for the GUMF has been important in creating a significant long-term partner for GRB within the most influential ministry in Ecuador.

A greater sense of ownership for the GRB agenda should be supported within SENPLADES to strengthen partnerships between planning and other sectors for the promotion of GRB.

A body of gender champions has been developed that could be more effectively utilized than at present to bring about institutional change.

7. Programme strategies

This section reviews the key approaches used by UNIFEM to achieve results, assessing the strategic usefulness of different approaches. How approaches were implemented is examined and difficulties and challenges are identified.

7.1 Capacity-building

Developing relevant training

One of the principal challenges faced by Ecuador's UNIFEM team was the limited capacity for GRB in the country, as made evident by the programme's difficulty in finding skilled national professionals. Capacity-building at the national level was thus a critical element of the programmatic logic for Phase II of the GRB Programme. To create capacity, a variety of workshops, seminars, courses and retreats were held.³⁸ Training attendees included government officials at various levels, women's groups and civil society organizations. The scope and focus of the trainings have been based on the intended audience to ensure **relevance**. Training courses built on initial expert guidance provided in Phase I of the programme. Initial training courses were organized by the UNIFEM team. Subsequent trainings have been organized by CONAMU, the Ministry of Finance, the Ministry of Education and Grupo Faro (with UNIFEM technical assistance when requested), showing that knowledge has been diffused **effectively** and, as organizations develop their own training, **sustainability** has been built.³⁹ The GUMF is now seeking to make gender sensitivity training a standard part of the training programme for all Ministry of Finance employees.⁴⁰ CONAMU is also in talks with the

National Secretariat of Human Resources to make gender training a requirement for all public servants.⁴¹ After the MTR an agreement was signed with the Technical Secretariat of the Social Front to include a gender perspective in all the training on planning carried out by Line Ministries of the Social sector.⁴²

An understanding of capacity-building needs and methods has developed during the lifetime of the programme. CONAMU, for example, has decided that training on GRB should be mainstreamed through the organization rather than targeted only to individuals dealing directly with budgets, demonstrating a growing sophistication in the understanding of GRB and its reach and setting in place a sustainable institutionalization of knowledge.⁴³

Engagement with academia

An important part of the capacity-building process in Ecuador has been undertaken in collaboration with the Latin American Faculty of Social Science in Ecuador (FLACSO), an institution for post-graduate studies. UNIFEM, CONAMU and FLACSO collaborated in the creation of courses on Gender and Economics and Gender-Sensitive Budgets in 2006 and 2007. The programme also supported Ecuadorian students seeking to undertake a distance-learning diploma in GRB through FLACSO, Mexico.⁴⁴ In March 2008, FLACSO, Ecuador established its own diploma on Economics and Gender in order to "contribute to the formation of professionals able to analyse the link between gender and economics in such a way that they can use and implement tools of public policy that seek gender equality".⁴⁵ FLACSO courses provide a **relevant** introduc-

38 For a full list, refer to Annex 6.

39 Interview GUMF, GF, ME, CONAMU, Quito 2009.

40 Interview GUMF, Quito 2009

41 Interview CONAMU, Quito 2009.

42 MTR 2007.

43 Interview CONAMU, Quito, January 2009.

44 Interview UNIFEM, Quito 2009.

45 FLACSO 2008:1.

tion to the subject matter as they involve the students’ work experience as coursework. In turn this has led to the development of a number of highly relevant, sector-specific studies that might benefit future gender advocacy work. Moreover, once these courses are established, they are likely to continue beyond the lifetime of the project, providing an **efficient** and **sustainable** approach to capacity-building. UNIFEM requested that the third module in FLACSO’s diploma, titled “Fiscal Policy with a Gender Perspective”, be distance-taught to facilitate the participation of individuals residing outside the capital, increasing the **effectiveness** and reach of the course in creating national GRB capital.

To support individuals who wished to undertake training through FLACSO, strategic alliances for student financial support were formed with different public institutions. UNIFEM requested that public institutions finance half of the cost of the diploma and offered to subsidise the rest. Beyond this, the members of the programme involved in capacity-building—FLACSO, CONAMU and UNIFEM—decided to grant part scholarships to individuals in strategic sectors.⁴⁶

Stakeholders perceived the capacity-building workshops they participated in as informative and of very high quality.⁴⁷ The academic rigour and thoroughness of the FLACSO courses were also highlighted by interviewees.⁴⁸ Moreover, the tailoring of workshops to fit the needs, strengths and weaknesses of different organizations was also presented as particularly useful and **relevant**. Members of Grupo Faro, for example, noted that their training had been specifically tailored for their work in fiscal auditing.⁴⁹

Interviewees, however, noted that the academic courses on GRB could have given more consideration to the

gendered requirements of participants. For example, courses were usually given at night, which made attendance unfeasible or very costly for female students with young children.⁵⁰ Moreover, two interviewees and two focus group attendants noted that they found little support for their academic research from employers and asked whether the programme might provide further support. This raises the question of how scholarship recipients were chosen and whether more can be done to ensure that recipients receive institutional support. In turn, students could be asked to disseminate their gains in GRB knowledge further once they have completed their studies.

Raising awareness amongst different audiences

There have also been attempts to **raise awareness of GRB among the general public**. The Ministry of Finance has helped to design a series of short comic books that treat the topic of GRB in a simple manner by drawing an analogy with domestic budgeting. These colourful comic books, based on the life of a fictional Ecuadorian family, are to be distributed on a weekly basis with the Sunday edition of *El Comercio*, the national newspaper with the largest circulation.

A GTZ staff member, responsible for Fiscal Issues, noted that, prior to undertaking FLACSO’s diploma, she was not convinced about the importance of the topic but is now keen to advocate for it in GTZ’s work with Ecuador’s MF.⁵¹

Capacity-building has been fundamental to making change possible for GRB in Ecuador. **Individuals who have participated in workshops go on to advocate for gender to be considered within their institutions.**⁵² Furthermore, interviewees highlighted the importance of the networks set up through workshops, which later served to open up spaces for gender **advocacy within**

46 FLACSO 2008.

47 Focus Group, Quito 2009.

48 Interviews, scholarship winners Quito 2009.

49 Interview GR, Quito 2009.

50 Interview SRI, Quito 2009.

51 Interview GTZ, Quito, January 2009.

52 Focus Group, Quito 2009.

different government offices.⁵³ Several interviewees highlighted the personal impact that capacity-building activities have had on their lives, increasing their own understanding of gender roles and prompting them to take a lead on GRB within their workplace. Several of the key individuals working in GRB in Ecuador have gained their understanding of gender and GRB through FLACSO's courses.⁵⁴ The leadership of the GUMF, for example, noted that it was through FLACSO's diploma that they gained an in-depth understanding of GRB even after they had decided to lead the GU.

The limits to capacity-building

The main shortfall of capacity-building by the programme is the lack of (hard or electronic) documentation that would permit effective replication of efforts and the dissemination of lessons learned. Other means of communication, such as radio, television and the internet, could be used to raise awareness of gender equality and GRB among the population. These methods could be particularly effective for reaching illiterate and non-Spanish-speaking populations.

Systematic record-keeping of training delivered and training participants would permit monitoring and evaluation of results in a way that is not currently possible. At the moment there is no follow-up of attendees for further individual development or to encourage knowledge dissemination within partner institutions, or to gain systematic feedback from participants as to the quality and coverage of trainings/courses. The evaluation team found that there was no comprehensive list of participants or trainings. Informants also noted that a comprehensive list of women's organizations in Ecuador is also lacking, and that a disparate list had been created from existing partial lists held by programme partners when the programme sought to invite greater participation from women's groups. For participation to be expanded in Phase III, a comprehensive list of women's groups in Ecuador should be assembled.

53 Interview GUMF, Saenz, Quito 2009.

54 Interviews, Quito 2009.

Key findings

The programme trained a significant number of civil servants on GRB concepts. Trainees generally considered the workshops to have been well-organized, well facilitated and highly relevant.

An important part of the capacity-building process has been undertaken in collaboration with FLACSO and has the potential to be sustained.

Capacity-building has been fundamental to making change possible for GRB in Ecuador. Individuals who have been trained have acted as advocates for GRB within their institutions, while the networks set up through the workshops have served to create entry points and open up spaces for gender advocacy.

For capacity-building effectiveness to be improved and for its full usefulness to be reaped, a systematic monitoring and evaluation of participants needs to be undertaken. As this has not occurred to date, the impact of capacity-building programmes cannot be fully assessed.

7.2 Sector piloting

Defining entry points

The programme initially planned to undertake two pilots: in the Ministry of Education (ME) and the Ministry of Public Health (MSP), concentrating in priority areas within each sector (Law to Eradicate Sexual Violence in the Educational Sphere and LMGYAI). These Ministries were only chosen in 2007⁵⁵ after extensive discussions within the UNIFEM team and its collaborating partners as to the relevance, feasibility and impact of work in each sector. To promote effectiveness, support CONAMU's work and seek sustainability, existing alliances between CONAMU and different sectors were taken into account when choosing sector pilots. Once the ME and MSP were chosen, a consultant was hired to map the budget cycles of each ministry and to define possible entry points for GRB. This was particularly necessary given the opaque nature

55 Interview CONAMU. Quito, 2009.

of these budget cycles.⁵⁶ The expertise of Grupo Faro (GF) was also called on to undertake a gender budget analysis of the Executing Unit of the Free Maternal Health Law of the MPH.⁵⁷ GF's findings were shared through publications (two editions of *Lupa de Genero*) and in workshops with User Committees (CUs) and women's organizations.⁵⁸ While spaces for action within the MSP have been identified through GF's research, the programme's work in this sector has been temporarily suspended, as the manner in which the Free Maternal Health Law will be funded under the new national legislative structure is unclear, demonstrating the challenges of working within Ecuador's unstable political climate.

In the Ministry of Education (ME), the programme has worked through consultants in the Planning Department to review Annual Operative Plans (POAs) in support of priority programmes (Plan to Eradicate Sexual Violence in the Educational Realm and Plan to Eradicate Violence Against Women) and to help mainstream gender as a cross-cutting issue across its planning. Trainings of ministry personnel have also been undertaken.

Institutionalising change

The Ministry of Education reports that gender has been taken into consideration in all investment projects put forth for the 2009 fiscal year as a direct result of the programme.⁵⁹ A gender indicator has been created to accompany all of the Ministry's social investment projects, and a matrix to establish the gender impact of investment programmes has been created with the help of a consultant.⁶⁰ The gender matrix is perceived by actors within the Ministry of Education as a step towards the institu-

tionalization of changes in the Ministry, making these **sustainable** in the long-term. Partly as a result of the programme's support and partly as a response to the new constitutional mandates, the Ministry has also decided to impose mandatory training on gender for all teachers within the next 3 years.

A set of instruments for information collection and capacity-building should have been fully developed by the end of January 2009 (after fieldwork was completed, hence the evaluation team did not have access to them). These instruments could facilitate the replication of the pilot in other ministries, as well as facilitate the dissemination of lessons learned. However, for the pilot to serve as a model for other sectors, **better project documentation is necessary**. This should include, as a minimum: a project history to give others an idea of a path to follow, training documents, and gender-analysis templates that could be used elsewhere to reduce replication of efforts and therefore increase efficiency.

Key findings

The sector pilot in the Ministry of Education has been able to achieve some successes, including a gender indicator for all of the Ministry's social investment projects and a gender matrix to assess the gender impact of investment programmes, which is seen as a step toward the institutionalization of changes within the Ministry.

Development of instruments for information collection (indicators and a matrix) and capacity-building are still underway and could provide the basis for replication in other ministries. However, in order to do this, the programme needs to focus on better documenting what has been achieved and on providing the space for lesson learning.

56 Interview UNIFEM, Quito 2009.

57 UNIFEM, 6th Report.

58 As noted above, GF found among other things that GF's analysis shows that while "between 2002 and 2006, the financial resources for implementing the law increased from USD 12 million to 20 million...the actual cost of the medical services provided increased from USD 12 to 27 million". Delays in the disbursement of resources were also found. Prior to GF's research, these dynamics had not been illuminated.

59 Interviews ME, CONAMU Quito 2009.

60 Interview ME, Quito, 2009.

7.3 Evidence-based advocacy

The value of advocacy

The need for strong evidence, and for individuals to use this evidence successfully, is particularly important in a

conservative society such as Ecuador. Several interviewees noted that many stakeholders are likely to perceive any mention of gender negatively, as an “ideological argument that is radically feminist and therefore bad”. The creation of spaces for debate about gender, gender equality and GRB, therefore, depend strongly on the ability of gender advocates to navigate societal biases with well-documented evidence. Thus, for instance, political support within the Ministry of Finance has been created through the high-quality training workshops that demystify the concept of gender and demonstrate its relevance and importance for budgeting practices.⁶¹

Generating knowledge

The programme has been successful in creating a relevant base of evidence to be used for advocacy and to generate political will for GRB through Grupo Faro's Lupas Fiscales, consultancy reports and research papers. These documents, however, have not been disseminated as effectively as possible. The findings of the Lupas Fiscales were shared with Users' Committees (CUs) at three regional meetings⁶² and at a working breakfast (April 2007) that was attended by central government personnel, the Women's Forum (Foro de Mujeres) and CUs. Members of CUs were not interviewed as part of this evaluation, but members of GF and the Ministry of Finance noted that the information provided had given CUs greater understanding of the implications of the budgetary process and its workings, and that several CUs had used this information as a powerful advocacy tool. In the regional meeting in Cuenca, for example, attendees noted that they would use the data to confront the MSP.⁶³ Leaders of Casa Refugio Matilde also noted the importance of the technical assistance given by the programme in developing their ability to advocate for a gender focus within Quito's municipal government budget. They stated that they had used the programme's Phase I material to support their visits to government officials. Printed material, they noted, was particularly effective, which is important as the

programme has been limited in its production of printed material in Phase II. Staff within CONAMU also noted that the data produced by GF had been useful to advocate for greater social expenditures from the state, especially for gender equality.

At the regional level, the UNIFEM Regional Programme of GRB contributed to knowledge generation in Ecuador by exchanging experiences (specially with Bolivia, Peru and Venezuela). Thus, for example, Leaders of Casa Refugio Matilde discussed with the evaluation team what they had read of Bolivia's experience with participatory budgeting in a regional UNIFEM publication and how they wanted to work toward a similar experience in Ecuador.

Institutionalising knowledge

Informants noted that CONAMU played an important role in advocating for gender to be considered in governmental processes, and that the information of GF's Lupas served to support their advocacy efforts.⁶⁴ On the other hand, some high-level interviewees noted that societal biases in the area of gender have hampered the effectiveness of CONAMU, as it was feared as a “radical liberal” organization. Future advocacy and capacity-building work could, therefore, seek to support the national women's machinery by generating knowledge about the role of CONAMU and by furthering understanding of gender issues. The programme has also sought to advocate for a gender focus within the planning process by hiring a consultant to work within SENPLADES to support the incorporation of a gender focus in the creation of the “National Strategy of Human Development 2022”. The placing of research consultants within different governmental institutions was seen by the programme as an efficient way to institutionalise knowledge. The consultants have created important sources of information through examination of the national budget and entry points for GRB within the budget cycle and within the National Development Plan and National Strategy for Human Development 2020. These consultants, moreover, served as advocates for GRB.

61 Interview GUMF, Quito, 2009.

62 Also used for capacity-building, as noted above.

63 Interview GF, Quito 2009.

64 Interview CONAMU, Quito 2009.

Key findings

The programme has produced a range of useful analyses, which could form the basis for advocacy on various aspects of GRB. However, this work has not been effectively disseminated despite evidence of a demand for such materials by CSOs and local governments.

Placing of research consultants in governmental institutions was an efficient way to institutionalise knowledge, with consultants serving as advocates for GRB. Again, there is a need to document successful processes in order to identify the key factors for effective replication.

7.4 Partnerships

The scale of change required to establish GRB in Ecuador demanded the creation of partnerships with a wide range of actors from civil society, government and other development agencies. UNIFEM staff members were aware of the importance of this approach and have been successful in establishing a large number of links:

With civil society, including Grupo Faro, National Fiscal Policy Observatory, Casa Matilde and Centro Ecuatoriano de Desarrollo y Estudios Alternativos (CEDEAL).

Within government, such as Ministry of Finance, Ministry of Education, Ministry of Labour, National Institute of Statistics and Census, Internal Revenue Service and CONAMU.⁶⁵

Other development agencies, including GTZ, UNDP and UNFPA.

One of the most important techniques used for building and maintaining links between the programme and government agencies have been the various capacity-building activities and workshops for partners.⁶⁶ Partnerships have

65 The need to develop links to the parliamentarians was mentioned in the MTR, but was not mentioned to the evaluation staff given the recess of Congress since 2007.

66 Interview UNIFEM, Quito 2009.

been used to develop capacity within diverse stakeholders, to promote political will, and to begin to disseminate information about gender indicators among sectoral ministries. It is important to emphasise again that the evaluation team felt greater focus is needed on strengthening the engagement of the planning sector (SENPLADES) in the programme, as well as making greater use of existing gender focal points in other sectoral ministries. Efforts should be made, however, to ensure greater feedback to partners as to the programme’s achievements and ways of developing ownership.

Although programme staff noted that to date collaboration with certain UN bodies has been difficult, UN agencies working in Ecuador are currently formulating their Development Assistance Framework (UNDAF), and GRB will be considered within the poverty reduction strategy. Collaboration with GTZ, the donor with the largest profile in national fiscal management, has been successful and sustained. An agreement between UNIFEM, MF and GTZ was signed (August 2008-August 2009, with a budget of US\$71,500) to advance the GRB agenda.

The maintenance of political will is crucial for further advances. In its work with the ME, delays in finding a consultant with the required skills and willingness to work in the public sector have had a limited but negative impact on political will.

To generate further political will in the planning sector, the programme could also seek to work with donors that have stronger partnerships with SENPLADES.

Key findings

UNIFEM staff members have been highly successful in establishing a large number of links with the Ministry of Finance, CONAMU and several sectoral ministries and government agencies. Greater emphasis is needed on strengthening the programme’s partnership with the planning sector.

Partnership with other UN agencies and donors could have been strengthened to enhance effectiveness of program activities, but recent developments are more promising, notably with GTZ.

8. Programme management

This section assesses how effective UNIFEM has been in ensuring adequate human, financial and technical resources for the programme. In assessing effectiveness, the evaluation team examined resources in terms of institutional systems and organizational assets of personnel and funding.

The **planning, monitoring and evaluation** mechanisms for assessing progress in the GRB Programme in Ecuador have been the same as those used throughout the programme overall: i.e. development of a logical framework, regular submission of narrative and financial reports to the Belgian government using a standard format, with examples of specific events or outputs included as annexes. However, **lack of a systematic, formal monitoring mechanism and data collection** meant that this was essentially activity-, and not results-, based reporting.

The **Midterm review** (MTR) process for the Global GRB Programme took place in each country in mid-2006 “through an internal and external process” with a Partners’ Meeting in Morocco in November 2006⁶⁷ to build on its findings. As part of this MTR, the programme carried out a review with CONAMU, the Ministry of Finance, FLACSO, GF and six UNIFEM resource people involved in GRB initiatives in five different countries of Latin America. The review was based on the project log frame and identified indicators, progress reports, workplans and stakeholder assessments.⁶⁸ The findings contributed to 2007 Working Plans and refinement of the focus and scope of the programme towards broader involvement of women’s organizations and a shift in its CSO partnership focus from the OPNF to GF.

The majority of stakeholders interviewed were satisfied with UNIFEM’s management of the programme, noting the high commitment and technical expertise of the team. The evaluation team found that UNIFEM staff in Ecuador showed **great commitment and dedication** to the GRB Programme, as well as impressive capacity to build personal networks and “manage the politics” of institutional relationships within and between government departments. Interviewees in collaborating institutions reported that constant communications from the UNIFEM team, via phone and e-mail, had kept them abreast of the programme’s developments at all times. However, some representatives of the leadership of CONAMU and SEN-PLADES expressed a desire to be more involved with the programme. In particular, they wanted consultancies to be more strongly institutionalised within their organizations .

In general, programme staff noted the need for a flexible management style given the instability that characterises the country.

From the outset, the programme was strongly linked to CONAMU, so that changes in CONAMU in turn impacted on the programme, leading to changes and gaps in staffing. The evaluation team found that alterations in staffing disrupted the administrative efficiency of the programme as programme records appeared misplaced or disorganized. The evaluation team found that several documents, such as consultancy contracts, a full list of consultants employed and trainings undertaken, were not available and had to be assembled by the team during and after fieldwork.

⁶⁷ See UNIFEM meeting report.

⁶⁸ UNIFEM, CONAMU 2006.

Comprehensive **programme documentation was filed, but not systematised**, as was the case with the various workshop participant lists cited earlier. Staffing changes also affected the completeness of the records (there was no comprehensive list of consultancies undertaken prior to the evaluating team arriving in the field). Programme documentation was filed on personal computers, i.e. affected by changes in staffing.

Furthermore, stakeholders noted that, while at the outset the project received strong support from CONAMU, this support suffered during CONAMU's leadership transition (2006-2007). CONAMU's new leadership, according to several interviewees, did not initially prioritise this programme. The change in leadership, furthermore, prompted other changes in CONAMU's staffing, affecting the programme's communication processes and its capacity. These constraints were overcome in part by a re-emphasis on the programme on the part of CONAMU from January 2007,⁶⁹ but also by the intervention of UNIFEM staff.

With regard to **financial management systems or budget constraints**, UNIFEM staff in Ecuador briefly noted that financial cycles in part impacted on the timing and continuance of consultancies. They did not note any problems with the allocation of or access to financial resources. UNIFEM's Ecuador office noted that UNIFEM and CONAMU planned and funded activities together with government institution; this meant adapting the implementation to the requirements of public acquisition rules and according to CONAMU's investment project (noted on page 23).

Key findings

The main stakeholders involved in the programme were largely satisfied with UNIFEM's management of the programme, noting the high commitment and technical expertise of the team and good communications as key strengths.

Some key national stakeholders, notably SENPLADES, felt that they could have been more involved in the programme. However, this may have been in large part due to institutional changes rather than to flaws within UNIFEM's programming.

UNIFEM's close work with national partners in this programme has made it vulnerable to institutional change. This highlights the need for central administration of the programme to remain within UNIFEM to avoid it being hampered by political flux.

69 MTR Workshop report, 2006.

9. Conclusions

UNIFEM's GRB Programme in Ecuador has maintained **relevance** in the midst of strong political and economic instability by using a flexible approach to programming that enabled quick responses to political changes. By adapting to the changing political and legislative context, and to the changing role of different actors, the programme has found entry points in the budgeting (Ministry of Finance) and planning (SENPLADES) processes of the national government, while supporting CSOs' accountability role by developing their gender focus. In the context of limited skills and experience of GRB, the programme has focused on capacity-building of strategic sectors by investing in women's group and other CSOs working on government budget accountability, and by training government officials who can impact on the budgeting process.

UNIFEM's GRB Programme in Ecuador has been **highly effective in developing and institutionalising processes of capacity-building**. It has achieved this by supporting the creation of academic training programmes (diplomas and courses) that are **sustainable** beyond the life of the programme **and** by focusing its **capacity-building efforts on strategic actors** (Ministry of Finance, SENPLADES, CSOs, SRI) who are now able to lead further training. The programme's support for the **creation of institutional GRB tools** (Call Circulars, Gender Indicators, Gender Analyses of Sectoral Ministries) has also been effective. The use of grounded national consultants generated **relevant** evidence that was employed for lobbying purposes.

While the programme has been effective at adapting to the political environment, **it has not been equally effective at engaging all actors and creating a full sense of ownership among them**. Awareness of the programme and its achievements could have been better disseminated within SENPLADES and parts of CONAMU.

The generation of political will, most evidently in the Ministry of Finance, SRI and the Ministry of Education, has

opened important doors for the programme, establishing significant partnerships that serve as entry points for GRB advocacy and permitting it to focus on long-term capacity-building. Moreover, these partnerships and capacity-building have created personal commitment amongst individual actors who will be able to take the GRB agenda forward beyond the life of the programme. Sustainability has further been achieved through the creation of GRB tools (call circular, gender matrix for social investment projects in the Ministry of Education) that are now embedded in budgetary processes and supported by the new national Constitution and National Development Plan. The inclusion of gender in the National Strategy of Human Development for the year 2022 will further serve to ensure that gender equity remains on the national agenda for the years to come. It will still be necessary to **support national actors to ensure that the government's commitment** to gender equity translates into an ongoing commitment to GRB beyond the current administration.

The main shortfalls of the programme have been the lack of a systematic monitoring and evaluation strategy and the limited dissemination of lessons learned and models used. This is at least partly due to the irregular maintenance of programme records due to administrative instability and limited capacity within the team.

Further, the lack of an independent situational analysis to guide the programme, and a reliance on the national women's machinery to define priorities, means that the programme may not be adequately informed on the needs of diverse groups of women from across Ecuador, particularly those from ethnic minorities and other vulnerable groups.

Finally, **constitutional and political changes have undermined gains** made by the programme (such as the gender indicators in CEREPS), forcing it to replicate its efforts more than once.

10. Lessons learned

There are a number of broad lessons that can be drawn from the evaluation. However, the lack of a systematic monitoring and evaluation strategy and the limited information available to back up the institutional memory drawn from the interviews mean that these lessons remain both brief and broad. The main lessons identified are:

A systematic and explicit monitoring and evaluation system should be in place to support the collection of information on both programme procedures and achievements. The decentralised nature of Ecuador's programme, while effective to a large extent in involving partners and creating a sense of ownership, has been less effective in maintaining a record of the programme, its procedures and its accomplishments, limiting the extent to which lessons learned from it can be generated.

Working with the national women's machinery has contributed to the programme's efficiency and sustainability and granted relevance to the programme by aligning it with the priorities of the national woman's machinery. However, close work with this partner made the programme susceptible to changes and politics within CONAMU.

Working with academic institutions has been a successful means to develop sustainable approaches to high-level capacity-building. These approaches have helped to develop a network of gender and GRB experts that can be called on to expand the work of the programme and may serve as entry points for GRB in other government agencies.

Programme expectations (outputs and timeframe) need to reflect the unstable nature of politics in Ecuador and the considerable time and effort required to work with frequent changes in administration.

11. Recommendations

There are three sets of recommendations, focused on the three evaluation criteria used, relevance, effectiveness and sustainability.

Relevance

At the start of Phase III, it would be useful to systematically and explicitly address the **Theory of Change** on which it is based to ensure that it is shared and committed to by all relevant stakeholders, including the UNIFEM team at HQ and in the Ecuador office, accountability actors and other donors.

While the programme has undertaken an analysis of national, sectoral and project budgets in Phase II, a **more extensive and participatory situational analysis** is needed to ensure that the needs of women from all of Ecuador's ethnic and social groups are understood and their voices are better heard, strengthening the human rights emphasis of the GRB Programme. This is especially relevant for non-Spanish-speaking indigenous populations. A substantial situational analysis, moreover, **would permit the programme to define its vision of gender equity, making its programmatic logic more coherent and permitting an impact assessment in the future.**

Effectiveness

To increase the long-term effectiveness of the programme, **more effort needs to be dedicated to the planning sector** (SENPLADES) to create a greater sense of ownership and generate capacity for GRB in planning.

To increase the programme's effectiveness and the feasibility of its monitoring and evaluating, **more systematic programme records** need to be kept and in a centralised manner. Better documentation of different aspects of the programme (e.g. the creation of training booklets, a short guide to what has been undertaken in the ME) would also facilitate the sharing of lessons learned and good experiences with other stakeholders so that the gains of the project can be replicated and pitfalls avoided. Documentation of programme experience that already exists should be better disseminated.

To achieve full effectiveness in capacity-building, a systematic record of training courses and attendees needs to be kept, so that (a) monitoring and evaluation can be undertaken, and (b) individuals trained can be supported in knowledge dissemination for the advancement of GRB. The evaluation team felt that programme scholarship recipients should be required to share their knowledge in their workplace in some manner (workshops, seminars, newsletters). This would expand the impact of capacity-building and serve to generate partnerships with, and political will within, institutions where individuals have been trained by the programme.

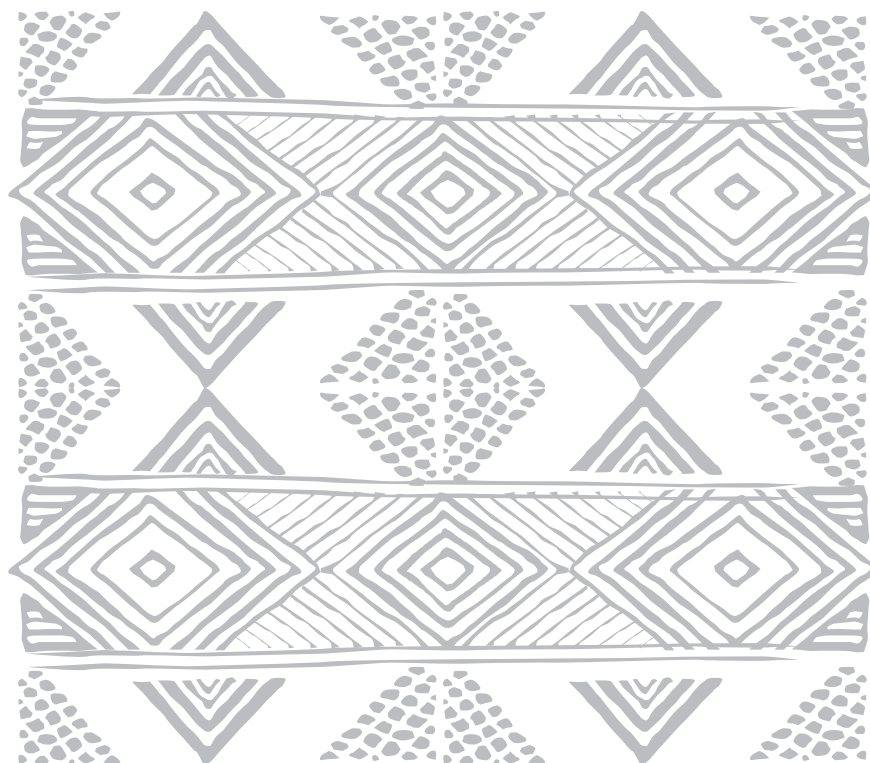
To strengthen this programme for Phase III, and specifically to facilitate its evaluation, it is recommended that the programme works with partners to **develop a set of indicators to measure the impact** of the programme. This might include longitudinal surveys of the population, as well as measurements of the percentage of the government budget that affects women directly, in particular rural women from ethnic minorities.

Sustainability

Despite the tempestuous character of Ecuadorian politics, the programme has made significant strides in creating political will, developing national capacity among numerous partners and initiating the institutionalization of policies and procedures that could have a significant impact on the country's budgeting process. These advances, however, need to be consolidated through ongoing support and advice during the next two budget cycles to ensure that partners come to fully own newly set policies, understanding their application and importance. For example, further lobbying is needed to convince high-level stakeholders to support their staff's use GRB tools in budgeting processes, and more workshops are needed to teach mid-level staff to use such tools effectively. For these efforts, the continuance of the programme will be fundamental.

Evaluation Report

UNIFEM's Work on Gender-Responsive Budgeting



Annexes

Annex 1

Terms of Reference for the Corporate Evaluation of the Programme Portfolio UNIFEM's Work on Gender-Responsive Budgeting

1. Background

Gender-responsive budgeting (GRB) has become an internationally acknowledged tool for achieving gender equality. This tool was first pioneered in Australia in 1984, with a federal government assessment of the budget's impact on women. A decade later, the concept was endorsed by the UN's Fourth World Conference on Women and the Beijing Platform for Action in 1995. Presently, more than 90 countries all around the world pursue a variety of GRB initiatives that span civil society, government and international organizations.

Responding to the demand from countries to introduce or institutionalise GRB, the United Nations Development Fund for Women (UNIFEM) contributes extensively to building interest, capacity and commitment to incorporate a gender equality perspective in budgetary processes and practices. Since 2001, UNIFEM has supported GRB initiatives in more than 35 countries and has positioned itself as a leading player in GRB in the UN system.

UNIFEM's global programme, "Strengthening Economic Governance: Applied Gender Analysis to Government Budgets", launched in 2001, provided technical and financial support to gender budget initiatives in Latin America, Africa and Asia-Pacific. The first 4 years of the programme focused on making gender budgeting tools and methodologies available, increasing stakeholders' capacity to advocate and carry out gender budget analysis, improving budgeting and planning processes to enhance gender equality and increasing resource allocations to support gender equality.

The second phase of the programme, implemented in 2005-2008, aimed to ensure that poor women's priorities were adequately reflected in national budgeting processes. Initiatives were put into action in Morocco, Senegal, Mozambique and Ecuador. In these four countries, the programme sought to transform budget execution processes and policies, making them more responsive to principles of gender equality. The programme also aimed to make concrete changes for resource allocation towards women's priorities.

The global programme inspired numerous GRB initiatives, which took shape differently and stretched beyond the scope of the original programme. Currently, UNIFEM's GRB programming consists of a portfolio of cross-regional, thematic, regional and country level programmes that span across different countries and local communities all over the world.

UNIFEM's GRB initiatives operate on different levels and vary in their objectives, but they are united in their ultimate goal: to contribute to the realization of women's rights and gender equality through changes in budget priorities as well as increased women's participation in budgetary debates and decision-making.

2. Justification and purpose of the evaluation

In order to assess the effectiveness and relevance of UNIFEM's work in key areas, UNIFEM undertakes a number of strategic corporate evaluations every year. Corporate evaluations are independent assessments that analyse UNIFEM's performance and contribution to the critical areas of gender equality and women's empowerment. They are considered strategic because they provide knowledge on policy issues, programmatic approaches or cooperation modalities.

The evaluation of UNIFEM’s work on GRB is a corporate evaluation, and it is undertaken as part of the annual evaluation plan of the Evaluation Unit in 2008. The justification for its selection as a corporate evaluation is based on the existing commitment of donors to fund the programme (the Belgium government), its relevance to the UNIFEM Strategic Plan (2008-2011), its potential for generating knowledge on the role of GRB for greater accountability to women and advancement of the gender equality agenda, the size of investment allocated to this area of work in the last years and its geographic coverage.

In particular, the relevance of this evaluation is remarkable considering that UNIFEM’s Strategic Plan has placed a specific focus on **increasing the number of budget processes that fully incorporate gender equality**, defining it as one of the key eight outcomes to which the organization aims to contribute by advancing the goal of implementation of national commitments to gender equality and women’s empowerment. It is therefore expected that this evaluation will bring significant evidence and understanding of the factors that enable or hinder successful implementation of GRB processes.

This evaluation is an independent external evaluation, which has both summative and formative components. It seeks to be a forward looking and learning exercise, rather than a pure assessment of GRB programming in UNIFEM. The evaluation deploys a theory-driven approach and aims to assess critically what conditions and mechanisms enable or hinder UNIFEM’s work in increasing gender equality in budget processes and practices, as well as evaluate UNIFEM’s overall approach to GRB programming. The principal objective is to inform and support UNIFEM’s strategy on GRB.

The corporate evaluation will be conducted in different stages. **Stage 1** will constitute a preliminary rapid assessment of GRB initiatives that will aim to clarify the scope of evaluation. **Stage 2** will focus on the *Global GRB Programme: Phase II* as a case study and will assess the programme’s results at country level. **Stage 3**, building on the findings of the first two stages, will aim to evaluate

the overall appropriateness (effectiveness, relevance and sustainability) of UNIFEM’s approach to GRB programming.

The evaluation will have the following objectives:

- To assess UNIFEM’s GRB thematic strategy and its technical and political effectiveness in promoting gender equality;
- To support GRB programming by consolidating and testing the theories of change that underpin UNIFEM’s work in this thematic area;
- To identify enabling and disabling factors that affect the implementation of GRB Programmes;
- To evaluate progress towards GRB programming outcomes and outputs at country level through a case study of the *Global GRB Programme: Phase II*;
- To inform UNIFEM’s learning on effective strategies, models and practices in promoting gender accountability in budgetary policies and practices;
- To support the selected GRB Programmes in their programming and evaluation by updating their theories of change, identifying indicators and providing monitoring tools.

It is expected that the results of the evaluation will be used as significant inputs for:

- UNIFEM’s thematic strategy, reflection and learning about work on GRB programming;
- The design and implementation of the third stage of the Gender-Responsive Budgeting Programme;
- Improving the monitoring and evaluation systems of UNIFEM’s current GRB Programmes and preparing the impact evaluation of the selected countries.

3. Description of UNIFEM's GRB programming

UNIFEM's GRB programming portfolio supports activities at global, regional, national and local levels to achieve gender equality through research and capacity-building, policy advocacy, networking and knowledge sharing. The Global GRB Programme supports the development of tools for applied gender analysis of expenditure and revenues for adaptation and utilization at the country level. It also promotes women's participation in economic fora and economic governance bodies, and it advocates for debate among international institutions on gender and economic challenges. The country-level initiatives for GRB include the examination and analysis of local, national, and sectoral budgets from a gender perspective and study of the gender-differentiated impact of taxation policies and revenue-raising measures. These efforts seek to promote dialogue among civil society, parliamentarians and officials responsible for budget policy formulation and implementation around gender equality, poverty and human development.

UNIFEM's recent GRB initiatives include:

The Gender-responsive Budgeting Programme: Phase I, 2001-2004, and Phase II, 2005-2008 (the Belgian government-funded programme, with a budget of more than 5 million Euros over two phases of the programme);

UNIFEM's Local Level Gender-responsive Budgets Programme: 2003-2006 (funded by the European Commission, provided support of 700,000 Euros to local initiatives in India, Morocco, Uganda and the Philippines);

Gender Equitable Local Development (joint thematic programme with UNCDF, UNIFEM and UNDP launched in 2008; with the budget exceeding US\$6 million);

Application of GRB in the context of Reproductive Health (joint thematic programme with UNFPA; US\$730,000; 2006-present);

GRB and Aid Effectiveness: 2008-2011 (the European Commission-funded thematic programme; Euros 2.61 million);

Engendering Budgets: Making visible women's voluntary contributions to national development in Latin America (joint programme with UNV; US\$365,500; 2005-2007);

Strengthening local democratic governability: Latin American gender responsive budget initiatives (joint programme with AECID; \$1, 400,000; 2006-2009);

Independent regional and country level programmes, projects and activities that are inspired by cross-regional and thematic programming but as such are not directly funded by these programmes.

4. The Scope of Evaluation: Evaluation Questions

Regarding the geographic scope and time-frame, **Stage 1** will do an overall scanning of UNIFEM's work in all regions. **Stage 2** will focus its analysis on the *GRB Programme: Phase II* in Ecuador, Morocco, Mozambique and Senegal, covering the time-frame 2005-2008. **Stage 3** will have a global perspective and will explore GRB initiatives in different regions, including Latin America, Central and Eastern Europe, Africa, Asia and Arab States from 2004 to 2008. It is expected that the final geographic focus of the evaluation for **Stage 3** will be defined after preliminary literature and desk reviews and consultations with the programme staff.

The evaluation will address the following key questions:

What approaches does UNIFEM deploy in GRB programming and what underlying assumptions and theories support these programmes?

What are the results of the *GRB Programme: Phase II*? Why and how were these results achieved? What are the good practices, lessons learned and challenges?

What evidence exists to support claims that UNIFEM's GRB programme portfolio is contributing to gender equality and making an impact on the advancement of women's rights?

What key indicators, processes and variables are strategic for tracking and measuring progress in GRB processes?

How do the political, economic, social and institutional contexts affect UNIFEM's GRB work and the achievement of expected results?

What support does UNIFEM provide to its partners working on GRB to achieve results at the country, regional and global levels? To what extent has the national ownership of GRB initiatives been achieved?

How effective, relevant and potentially sustainable are approaches in GRB programming with a view to recommending future directions?

It is expected that the evaluation team will develop an evaluation matrix, which will relate to the above questions, the areas they refer to, the criteria for evaluating them, the indicators and the means for verification as a tool for the evaluation.

5. Approach to Evaluation

In order to use available resources effectively and to avoid duplication, the corporate evaluation builds on previously planned evaluations as well as the ample research on GRB already conducted by UNIFEM. As noted previously, the evaluation is carried out in two stages, which differ in their geographical scope and timeframe. We propose that these different stages of the evaluation could be combined by deploying a theory-driven approach to evaluation. The different stages of evaluation will inform each other by identifying, testing and mapping the underlying theories and practices, which enable or obstruct transformative change.

We understand a theory-driven approach as an evaluation methodology that focuses on uncovering the underlying assumptions held about how the programme is believed to be working to achieve its outcomes and then testing these assumptions on the ground once they have been made public. Like any planning and evaluation method, the theory-driven evaluations require the stakeholders to be clear on long-term goals, identify measurable indicators of success and formulate actions to achieve goals. However, its focus on causal relations among resources,

activities, outcomes and the context of intervention makes this method particularly suitable for the assessment of complex programmes, such as UNIFEM's GRB programming. The theory-driven approach makes the programme transparent, allowing the stakeholders to see how it is thought to be working from multiple perspectives. It helps to identify critical areas and issues on which the evaluation should focus. Overall, a theory-driven approach by mapping a process of change from beginning to end establishes a blueprint for the work ahead and anticipates its effects, and it reveals what should be evaluated, when and how.

Stage 1: Preliminary desk reviews and consultations

The evaluation will start with a rapid scan of the GRB initiatives in the period 2004-2008 and focus groups with the programme staff to identify the key models and theories of change deployed in GRB programming. This preparatory part of evaluation will aim to assess the evaluability of the GRB Programmes/projects/activities and clarify the focus of overall assessment of GRB strategy, referred to below as Stage 3.

Stage 2: Evaluation of the GRB Programme

This stage will focus on a case study of the *GRB Programme: Phase II* in Ecuador, Morocco, Mozambique and Senegal. Although the former evaluation has been planned as a separate final evaluation, the corporate evaluation will use *the Phase II* as a site for in-depth analysis of the programme theories. During this stage, the key theories of change and their indicators will be constructed and the programme's progress towards its outcomes assessed. The evaluation will be summative and will focus on the results (at the output and outcome levels) as well as on process issues (partnerships and effective management for the achievement of results). Responding to the needs identified by the *GRB Programme: Phase II*, this stage will pay particular attention to the assessment of the effectiveness of GRB implementation strategies used.

Stage 3: Mapping and assessment of overall UNIFEM's approach to GRB programming

Building on the findings of Stages 1 and 2, the third part will analyse UNIFEM's GRB programming portfolio since 2004 and will aim to assess the validity of UNIFEM's GRB approach based on the results achieved and identify possible constraints. It will involve a comprehensive mapping of UNIFEM's work on GRB and the development of a typology of GRB programmes/projects according to their theories of change. It has to be noted that Stage 2 mostly captures GRB initiatives at the national level, therefore, the theories of change for local and sectoral initiatives in Stage 3 will be constructed drawing on recently conducted evaluations and semi-structured telephone interviews. Depending on the results of initial scanning, a few field visits may be included in this stage of the evaluation. The data analysis will draw connections between GRB programming and UNIFEM's corporate strategy and will assess the coherence and effectiveness of GRB programming.

The third stage of evaluation will have three main purposes:

To assess the extent of UNIFEM's contribution to raising awareness and capacity-building about gender budgets, as well as increasing gender equality in budgetary processes at country, regional and cross-regional levels.

To extract good practices and inform UNIFEM's strategic guidance for future programming on GRB.

To propose a typology of GRB Programmes and develop data capture systems and monitoring tools at a country level for different "types" of programmes/projects. The developed tools will be used to enhance programming by tracking the progress of different "types" of GRB Programmes and projects.

6. Methodology

The GRB programming at UNIFEM constitutes a complex programme and project portfolio aimed at promoting gender equality in budgetary processes at country, regional and cross-regional levels. The proposed evaluation approach will take account of this complexity by

combining qualitative and quantitative research methods within a theory-driven approach. The key components of the evaluation design will include literature and desk reviews, case study and global mapping/systemic review of UNIFEM's GRB initiatives.

Desk and literature reviews (Stage 1)

We propose to begin the process of evaluation by developing a framework of project and programme theories. This step will begin with a mini literature review of key academic and grey literature on underlying aspects of the programmes. The grey literature reviewed will include programme documents, reports, reviews and previous evaluations of UNIFEM's GRB Programmes. Here the evaluators will aim to identify the underlying assumptions (programme theories) that the stakeholders have made about how GRB Programmes are supposed to work. The document analysis will be supported by focus groups and consultation with key programme staff. The desk review will focus on a variety of GRB initiatives, including regional, national, local and thematic programmes, projects and activities. The GRB Programmes will be explored in broad socio-economic and organizational contexts.

A case study (Stage 2)

The programme theories will be refined and tested focusing on the in depth study of the *GRB Programme: Phase II*. Following the literature and desk reviews, theories will be further developed through a series of semi-structured interviews and focus groups with the GRB Programme management staff, regional and country offices and partners. The consultative element of this stage is crucial for building up a consensus about the programme's overall rationale and desired outcomes and, more specifically, how these work (the generative mechanisms). The good practices and their supporting mechanisms will be mapped and grouped according to the specific programme strands. Finally, surveys of beneficiaries and content analysis of budget policy papers will be conducted to assess the effects of the programme. Data from different research sources will be triangulated to increase its validity.

Typology and Overall Assessment (Stage3)

The second stage of corporate evaluation will focus on the analysis of secondary data and telephone interviews to evaluate the effectiveness, relevance and sustainability of UNIFEM's GRB approach. Here the semi-structured telephone interviews conducted with key stakeholders will be an important tool for data collection as the available programme/project documents may not provide enough evidence to map the theories of change and propose data capture and monitoring systems for different "types" of projects. If the evaluators identify the need, a few country visits may also be conducted.

The proposed approach and methodology have to be considered as flexible guidelines rather than final standards, and the evaluators will have an opportunity to make their inputs and propose changes in the evaluation design. It is expected that the Evaluation Team will further refine the approach and methodology and submit their detailed description in the proposal and Inception Report. In addition, the refined approach and methodology by the Evaluation Team should incorporate Human Rights and Gender Equality perspectives.

The United Nations Evaluation Group is currently preparing a system-wide guidance on how to integrate Human Rights and Gender Equality in evaluation. This evaluation has been selected for piloting the guide, and that will require approximately three additional person days from the Evaluation Team for the initial briefing and review of the draft guide, piloting process and feedback on the guide.

7. Management of the evaluation

This independent evaluation will be managed by the UNIFEM Evaluation Unit. During the evaluation process, it will consult with the GRB Programme unit, Directorate, Geographical and Thematic sections, Subregional offices and key external partners. An advisory panel and a reference group will be constituted in the beginning of the evaluation to guarantee the quality assurance of the study. Coordination in the field including logistical support will be

the responsibility of GRB Programme management and relevant Geographical Sections, Regional and Country Offices.

This evaluation is consultative and has a strong learning component. For the preparation of this ToR, an initial identification of key stakeholders at national and regional levels will be conducted in order to analyse their involvement in the evaluation process. The management of the evaluation will ensure that key stakeholders will be consulted.

After the completion of the evaluation, the final stage of the process will take place, including the dissemination strategy for sharing the lessons learned and the management response to the evaluation results. These activities will be managed by the Evaluation Unit in close consultation with the GRB Programme unit and other relevant units.

The UNIFEM Evaluation Unit may participate in the country missions in collaboration with the evaluation team.

8. Time-frame and products

The evaluation will be conducted between September 2008 and January 2009. Approximately 200 person days will be required for the conduction of this evaluation.

Product / Activity	Estimated dates
Stage 1 Key product – preliminary models and programme theories identified and the scope of Stage 3 defined	
Inception report of the evaluation team, which includes the evaluation methodology and the timing of activities and deliverables.	28 September – 7 October 2008
Summary report of rapid scanning and evaluability assessment, including set criteria for selection of initiatives to be evaluated.	17 October 2008
Stage 2 Key Product – the Evaluation Report for the GRB Programme: Phase II	
Data collection (including field work)	7 October – 15 November 2008
Progress Report of the Field work to UNIFEM's Evaluation Unit and key internal and external stakeholders.	31 October 2008
Power Point presentation on preliminary findings, lessons learned and recommendations.	17 November 2008
Draft full report highlighting key evaluation findings and conclusions, lessons and recommendations. The format of the evaluation report will be agreed with the evaluators.	3 December 2008
Final evaluation report and five-page executive summary	15 December 2008
Stage 3 Final Report for the Corporate Evaluation, which builds on Stage 2 but also has additional components (*would start in parallel with Stage 2)	
Assessment of the overall GRB approach, including the typology of the programmes, and development of monitoring tools.	15 -31 December 2008
Final report on the assessment of overall GRB approach, which builds on the findings of Stage 1.	15 January 2009
Dissemination event/web podcast/video of evaluation results using new media/video/ alternative methods.	17 January 2009

9. Team composition

An international team of consultants supported by local experts and research/technical assistance and the Evaluation Unit will undertake the evaluation. There will be four to six team members with experience linked to evaluation, gender equality and economic policy with specific knowledge of GRB and public financial management systems. There will be one evaluation team member for each country at Stage 1, one of whom will be a team leader. The Evaluation Unit may post the Task Manager of the corporate evaluation as a team member, who will be involved in the conduction of the evaluation.

The composition of the team should reflect substantive evaluation experience in gender and economic policy areas. A team leader should demonstrate capacity for strategic thinking and expertise in global GRB issues. The team’s experience should reflect cross-cultural experience in development. The team also should include national experts.

a. Evaluation Team Leader – International Consultant

At least a master’s degree; PhD preferred, in any social science.
10 years of working experience in evaluation and at least 5 in evaluation of development programmes. Experience in evaluation of large programmes involving multi-countries and theory-driven evaluations.
Proven experience as evaluation team leader with ability to lead and work with other evaluation experts.
5 years of experience and background on gender equality and economic policy with specific knowledge of GRB and public financial management systems and public sector reform. Experience in working with multi-stakeholders essential: governments, CSOs and the UN/multilateral/bilateral institutions. Experience in participatory approach is an asset. Facilitation skills and ability to manage diversity of views in different cultural contexts.
Experience in capacity development essential.

Familiarity with any of the specific countries covered by the programme is an asset.
Ability to produce well-written reports demonstrating analytical ability and communication skill.
Ability to work with the organisation commissioning the evaluation and with other evaluation stakeholders to ensure that a high-quality product is delivered on a timely basis.
Fluent in English.

The Evaluation Team leader will be responsible for coordinating the evaluation as a whole, the evaluation team, the workplan and the presentation of the different evaluation products.

a. Evaluation Team Members – Regional/National Consultants

At least a master’s degree related to any of the social sciences.
At least 5 years experience in evaluation.
Familiarity with Morocco, Senegal, Ecuador and Mozambique is essential. Preference to be given to consultants familiar with most number of countries covered by the programme to be evaluated.
Good understanding of gender equality and economic policy. At least 5 years experience in this field. Familiarity with GRB is an asset.
Experience in working with at least two of the following types of stakeholders: government, civil society and multilateral institution.
Good analytical ability and drafting skills.
Ability to work with a team.
Fluent in English. Working knowledge of an additional language used in one of the countries essential (Spanish/ French), in two or more countries is an asset.

10. Ethical code of conduct for the evaluation

It is expected that the evaluators will respect the ethical code of conduct of the United Nations Evaluation Group (UNEG):

Independence: Evaluators shall ensure that independence of judgment is maintained and that evaluation findings and recommendations are independently presented.

Impartiality: Evaluators shall operate in an impartial and unbiased manner and give a balanced presentation of strengths and weaknesses of the policy, program, project or organisational unit being evaluated.

Conflict of Interest: Evaluators are required to disclose in writing any past experience that may give rise to a potential conflict of interest and to deal honestly in resolving any conflict of interest which may arise.

Honesty and Integrity: Evaluators shall show honesty and integrity in their own behaviour, negotiating honestly the evaluation costs, tasks, limitations and scope of results likely to be obtained, while accurately presenting their procedures, data and findings and highlighting any limitations or uncertainties of interpretation within the evaluation.

Competence: Evaluators shall accurately represent their level of skills and knowledge and work only within the limits of their professional training and abilities in evaluation, declining assignments for which they do not have the skills and experience to complete successfully.

Accountability: Evaluators are accountable for the completion of the agreed evaluation deliverables within the timeframe and budget agreed while operating in a cost-effective manner.

Obligations to Participants: Evaluators shall respect and protect the rights and welfare of human subjects and communities in accordance with the UN Universal Declaration of Human Rights and other human rights conventions. Evaluators shall respect differences in culture, local customs, religious beliefs and practices, personal interaction, gender roles, disability, age and ethnicity while using evaluation instruments appropriate to the cultural setting. Evaluators shall ensure prospective participants are treated as autonomous agents, free to choose whether to participate in the evaluation, while ensuring that the relatively powerless are represented.

Confidentiality: Evaluators shall respect people's right to provide information in confidence and make participants aware of the scope and limits of confidentiality while ensuring that sensitive information cannot be traced to its source.

Avoidance of Harm: Evaluators shall act to minimize risks and harms to, and burdens on, those participating in the evaluation without compromising the integrity of the evaluation findings.

Accuracy, Completeness and Reliability: Evaluators have an obligation to ensure that evaluation reports and presentations are accurate, complete and reliable. Evaluators shall explicitly justify judgments, findings and conclusions and show their underlying rationale so that stakeholders are in a position to assess them.

Transparency: Evaluators shall clearly communicate to stakeholders the purpose of the evaluation, the criteria applied and the intended use of findings. Evaluators shall ensure that stakeholders have a say in shaping the evaluation and shall ensure that all documentation is readily available to and understood by stakeholders.

Omissions and wrong-doing: Where evaluators find evidence of wrong-doing or unethical conduct, they are obliged to report it to the proper oversight authority.

Annex 2A

Evaluation Matrix

The following Evaluation Matrix provides more detail for the Summary Evaluation Matrix in section 2.1.3 of this report. It is organized by the five fields of investigation (focusing on results, contextualising the analysis, etc.) and correlates the objective of each area of investigation with

the evaluation criteria (efficiency, effectiveness, etc.), questions from the ToRs and evaluation components (process evaluation, outcomes assessment, etc.). The Matrix also includes indicators and means of verification for each objective of investigation.

Field of investigation: Focusing on results

Evaluation criteria: **efficiency** (were the things done right?), **effectiveness** (were the right things done?), **sustainability** (effectiveness, degree of client satisfaction, partnership and ownership)

Evaluation questions from ToRs: What are the results of the GRB Programme: Phase II? Why and how were these results achieved? What are the good practices, lessons learned and challenges? What evidence exists to support claims that UNIFEM's GRB Programme portfolio is contributing to gender equality and making an impact on the advancement of women's rights? What key indicators, processes and variables are strategic for tracking and measuring progress in GRB processes in the short, medium and long-term?

Capacity-building approaches (individual, organizational, institutional)	Indicator	Means of verification
Objective of this area of investigation: <i>to assess what capacity-building has been designed, delivered and monitored</i> Evaluation criterion: Efficiency Evaluation component: Process evaluation	Range of capacity-building approaches used Extent of changes through time in capacity-building approaches used (target groups, content, timing, etc.) Amount and type of information UNIFEM has available about capacity-building approaches used	Programme documentation Interviews with key informants Focus group meeting Web-based survey Literature review GRB categorization and mapping
Objective of this area of investigation: <i>to assess how capacity-building has made change possible</i> Evaluation criterion: Effectiveness Evaluation component: Outcomes assessment	Extent of GRB activities undertaken by different actors Degree of clarity in explanations of approaches used	Verbal or documented examples of change cited by GRB actors
Objective of this area of investigation: <i>to assess whether capacity-building will continue independently from UNIFEM</i> Evaluation criterion: Sustainability Evaluation component: Outcomes assessment	Number of GRB capacity-building activities underway or planned without direct, current UNIFEM involvement Number of GRB capacity-building activities incorporated into mainstream government training	Verbal or documented examples cited by GRB actors

Sectoral piloting approaches	Indicator	Means of verification
<p>Objective of this area of investigation: to assess what approaches UNIFEM has adopted in supporting sectoral pilots</p> <p>Evaluation criterion: Efficiency Evaluation component: Process evaluation</p>	<p>Range, timing, selection and focus of sectoral piloting approaches used Extent of changes through time in sectoral piloting approaches used Amount and type of information UNIFEM has available about sectoral piloting approaches used</p>	<p>Programme documentation Interviews with key informants Focus group meeting Web-based survey Literature review GRB categorization and mapping</p>
<p>Objective of this area of investigation: to assess how sectoral piloting has made change possible</p> <p>Evaluation criterion: Effectiveness Evaluation component: Outcome assessment</p>	<p>Types of gender-responsive changes in sector planning and budgeting mechanisms and allocations Degree of clarity in explanations of approaches used</p>	<p>Verbal or documented examples of change cited by actors in the pilot sector or influencing the pilot sector</p>
<p>Objective of this area of investigation: to assess whether sectoral pilots has resulted in long-term changes in relation to service providers and/or users</p> <p>Evaluation criterion: Sustainability Evaluation component: Outcomes assessment</p>	<p>Range of examples of long-term changes in the provision or use of sectoral services</p>	<p>Verbal or documented examples of long-term change cited by actors in the pilot sector or influencing the pilot sector</p>
Evidence-based advocacy	Indicator	Means of verification
<p>Objective of this area of investigation: to assess what advocacy initiatives have been undertaken related to GRB</p> <p>Evaluation criterion: Efficiency Evaluation component: Process evaluation</p>	<p>Range of advocacy initiatives undertaken Extent of changes through time in advocacy approach, target and/or messages used Amount and type of information UNIFEM has available about evidence-based advocacy approaches used</p>	<p>Programme documentation Interviews with key informants Focus group meeting Web-based survey Literature review GRB categorization and mapping</p>
<p>Objective of this area of investigation: to assess how evidence-based advocacy has made change possible</p> <p>Evaluation criterion: Effectiveness Evaluation component: Outcomes assessment</p>	<p>Range of evidence-based GRB advocacy actions undertaken Number of examples of use of evidence from GRB advocacy in policy and budgeting processes Degree of clarity in explanations of approaches used</p>	<p>Verbal or documented examples of long-term change cited by actors engaged with GRB initiatives</p>
<p>Objective of this area of investigation: to assess whether evidence-based advocacy has contributed to long-term changes in relation to achieving gender equality and/or fulfilling women's rights</p> <p>Evaluation criterion: Sustainability Evaluation component: Outcomes assessment</p>	<p>Range of examples of long-term gender-responsive changes in content of policy and budgeting mechanisms and/or changes in actors involved (gender machinery, sectors, central planning and finance ministries, civil society, etc.)</p>	<p>Verbal or documented examples of long-term change cited by actors engaged with GRB initiatives</p>

UNIFEM's institutional and organizational arrangements	Indicator	Means of verification
<p>Objective of this area of investigation: to assess UNIFEM's organizational, planning, monitoring and evaluation (PM&E) and communication arrangements and financial performance in its GRB programming</p> <p>Evaluation criterion: Efficiency Evaluation component: Process evaluation</p>	<p>Degree of clarity and consistency in institutional and organizational arrangements for GRB programming</p> <p>Extent of changes through time in institutional and organizational arrangements for GRB programming</p> <p>Number of planned GRB activities implemented</p> <p>Proportion of planned GRB Programme budget actually spent annually</p>	<p>Programme documentation</p> <p>Interviews with key informants</p>
<p>Objective of this area of investigation: to assess UNIFEM's organizational learning in relation to GRB programming</p> <p>Evaluation criterion: Effectiveness Evaluation component: Outcomes assessment</p>	<p>Range of examples of organizational learning cited by UNIFEM staff</p>	<p>Verbal or documented examples of learning cited by UNIFEM staff</p>

Field of investigation: Contextualising the analysis

Evaluation criteria: relevance, sustainability (effectiveness, degree of client satisfaction, partnership and ownership)

Evaluation questions from ToRs: How do the political, economic, social and institutional contexts affect UNIFEM's GRB work and the achievement of expected results? How effective, relevant and potentially sustainable are approaches in GRB programming with a view to recommending future directions?

Situation analysis (as part of programme design)	Indicator	Means of verification
<p>Objective of this area of investigation: to assess UNIFEM's understanding of the environment in which GRB programming was intended to occur</p> <p>Evaluation criterion: Relevance Evaluation component: Needs assessment</p>	<p>Degree of completeness of situation analysis documentation</p> <p>Degree of completeness of UNIFEM staff's understanding of the contextual factors important in determining stakeholders' needs and priorities and/or strategy adopted, focus and outcomes of GRB programming</p>	<p>Programme documentation</p> <p>Interviews with key informants</p>
Changes in external context during life cycle of the project	Indicator	Means of verification
<p>Objective of this area of investigation: to assess UNIFEM's ongoing understanding of the environment in which GRB programming was taking place</p> <p>Evaluation criterion: Sustainability Evaluation component: Assessment of external factors</p>	<p>Degree of completeness of project reporting with regard to changes in the external context during the implementation of GRB Programmes</p> <p>Degree of completeness of UNIFEM staffs' understanding of which contextual factors are important in determining stakeholders' needs and priorities and how changes in external context influence GRB Programme strategies and expected outcomes</p>	<p>Programme documentation</p> <p>Interviews with key informants</p>

Field of investigation: Ensuring partnership and ownership		
Evaluation criteria: client satisfaction, sustainability (effectiveness, degree of client satisfaction, partnership and ownership)		
Evaluation questions from ToRs: What support does UNIFEM provide to its partners working on GRB to achieve results at the country, regional and global levels? To what extent has the national ownership of GRB initiatives been achieved? How effective, relevant and potentially sustainable are approaches in GRB programming with a view to recommending future directions?		
Ownership	Indicator	Means of verification
Objective of this area of investigation: to assess what GRB stakeholders say about UNIFEM's approach to GRB programming	Range of GRB stakeholders with opinions about UNIFEM's approach to GRB programming Degree of positive comment on UNIFEM's approach to GRB programming	Interviews with key informants Focus group meeting
Evaluation criterion: Client satisfaction Evaluation component: Process assessment		
Objective of this area of investigation: to assess what actions have been put in place/are planned to continue GRB programming beyond UNIFEM's involvement	Number of examples of GRB activities/ systems in place/planned without direct UNIFEM technical or financial support	Programme documentation Interviews with key informants Focus group meeting Web-based survey
Evaluation criterion: Sustainability Evaluation component: Outcomes assessment		
Partnership	Indicator	Means of verification
Objective of this area of investigation: to assess what actors involved in design, delivery or assessment of UNIFEM's GRB programming say about UNIFEM's approach	Degree of informed comment on UNIFEM's approach to GRB programming from actors UNIFEM identifies as partners	Interviews with key informants Focus group meeting
Evaluation criterion: Client satisfaction Evaluation component: Process assessment		
Objective of this area of investigation: to assess UNIFEM's approach to selecting and supporting partners	Number of examples of partnerships that UNIFEM identifies as successful Number of examples of partnerships that partners identify as successful Degree of clarity and consistency in (a) UNIFEM's and (b) partner's description of the partnership and most important elements of the partnership	Programme documentation Interviews with key informants Focus group meeting Web-based survey
Evaluation criterion: Sustainability Evaluation component: Outcomes assessment		

Field of investigation: Identifying good practice

Evaluation criteria: efficiency, effectiveness, client satisfaction

Evaluation questions from ToRs: What key indicators, processes and variables are strategic for tracking and measuring progress in GRB processes? How can the experiences of GRB programming provide recommendations for the future direction of GRB?

Developing good practice	Indicator	Means of verification
<p>Objective of this area of investigation: <i>to identify the features of practice that stakeholders identify as promising or good</i></p> <p>Evaluation criteria: efficiency, client satisfaction Evaluation component: process assessment</p>	<p>Number of examples of promising or good practice identified by UNIFEM staff and other GRB stakeholders Degree of clarity in stakeholders' description and analysis of the practices identified as promising or good</p>	<p>Programme documentation Interviews with key informants Focus group meeting Web-based survey Literature review GRB categorization and mapping</p>
Sharing good practice	Indicator	Means of verification
<p>Objective of this area of investigation: <i>to assess mechanisms for sharing good practices</i></p> <p>Evaluation criterion: Effectiveness Evaluation component: Overall theory of change</p>	<p>Number of mechanisms for sharing documented information on GRB programming Number of mechanisms in place for putting GRB actors in touch with each other for collaboration, learning and knowledge sharing</p>	<p>Programme documentation Interviews with key informants Focus group meeting Web-based survey Literature review GRB categorization and mapping</p>

Field of investigation: Understanding the programmatic concept

Evaluation criteria: effectiveness, replicability

Evaluation questions from ToRs: What approaches does UNIFEM deploy in GRB programming and what underlying assumptions and theories support these programmes? How well specified were the objectives? How well linked were the objectives and the strategies adopted?

Programmatic logic	Indicator	Means of verification
<p>Objective of this area of investigation: <i>to assess whether there is an articulated and shared understanding of why and how GRB programming contributes to gender equality and women's empowerment</i></p> <p>Evaluation criteria: Effectiveness, replicability Evaluation component: Outcomes assessment</p>	<p>Extent to which UNIFEM staff and other GRB stakeholders can articulate a programmatic logic for GRB Range of opinions about why and how GRB programming contributes to gender equality and women's empowerment Degree of clarity and consistency with which UNIFEM staff and GRB partners describe the relationship between programme logic, activities, expected outcomes and indicators</p>	<p>Programme documentation Interviews with key informants Focus group meeting Web-based survey Literature review GRB categorization and mapping</p>

Annex 2B

Interview Record Form

This form should be used to record key conclusions and other relevant data from each semi-structured interview with a GRB stakeholder.

Name of person interviewed:
Job title:
Institution:
Name of interviewer:
Date of interview:

1) Field of investigation: Focusing on results

Evaluation criteria: efficiency (were the things done right?), effectiveness (were the right things done?), sustainability (effectiveness, degree of client satisfaction, partnership and ownership)

1.1) Capacity-building approaches (individual, organizational, institutional)

Assessment of what capacity-building has been designed, delivered and monitored

Key conclusions and other relevant data

Assessment of how capacity-building has made change possible

Key conclusions and other relevant data

Assessment of whether capacity-building will continue independently from UNIFEM

Key conclusions and other relevant data

1.2) Sectoral piloting approaches

Assessment of what approaches UNIFEM has adopted in supporting sectoral pilots

Key conclusions and other relevant data

Assessment of how sectoral piloting has made change possible

Key conclusions and other relevant data

Assessment of whether sectoral pilots has resulted in long-term changes in relation to service providers and/or users

Key conclusions and other relevant data

1.3) Evidence-based advocacy

Assessment of what advocacy initiatives have been undertaken related to GRB

Key conclusions and other relevant data

Assessment of how evidence-based advocacy has made change possible

Key conclusions and other relevant data

Assessment of whether evidence-based advocacy has contributed to long-term changes in relation to achieving gender equality and/or fulfilling women's rights

Key conclusions and other relevant data

1.4) UNIFEM's institutional and organizational arrangements

Assessment of UNIFEM's organizational, planning, monitoring and evaluation (PM&E) and communication arrangements and financial performance in its GRB programming

Key conclusions and other relevant data

Assessment of UNIFEM's organizational learning in relation to GRB programming

Key conclusions and other relevant data

2) Field of investigation: Contextualising the analysis

Evaluation criteria: relevance, sustainability (effectiveness, degree of client satisfaction, partnership and ownership)

2.1) Situation analysis (as part of programme design)

Assessment of UNIFEM's understanding of the environment in which GRB programming was intended to occur

Key conclusions and other relevant data

2.2) Changes in external context during life cycle of the project

Assessment of UNIFEM's ongoing understanding of the environment in which GRB programming was taking place

Key conclusions and other relevant data

3) Field of investigation: Ensuring partnership and ownership

Evaluation criteria: client satisfaction, sustainability (effectiveness, degree of client satisfaction, partnership and ownership)

3.1) Ownership

Assessment of what GRB stakeholders say about UNIFEM's approach to GRB programming

Key conclusions and other relevant data

Assessment of what actions have been put in place/are planned to continue GRB programming beyond UNIFEM's involvement

Key conclusions and other relevant data

3.2) Partnership

Assessment of what actors involved in design, delivery or assessment of UNIFEM's GRB programming say about UNIFEM's approach

Key conclusions and other relevant data

Assessment of UNIFEM's approach to selecting and supporting partners

Key conclusions and other relevant data

4) Field of investigation: Identifying good practice
Evaluation criteria: efficiency, effectiveness, client satisfaction
4.1) Developing good practice
<i>Identification of the features of practice that stakeholders identify as promising or good</i>
<i>Key conclusions and other relevant data</i>
4.2) Sharing good practice
<i>Assessment of mechanisms for sharing good practice</i>
<i>Key conclusions and other relevant data</i>

5) Field of investigation: Understanding the programmatic concept
Evaluation criteria: effectiveness, replicability
5.1) Programmatic logic
<i>Assessment of whether there is an articulated and shared understanding of why and how GRB programming contributes to gender equality and women's empowerment</i>
<i>Key conclusions and other relevant data</i>

Annex 2C

Evaluation Questions

The following sets of questions are organized following the format of the Evaluation Matrix. Questions are provided for each of the five fields of investigation (focusing on results, contextualising the analysis, etc.). Within each field of investigation, questions are provided for the different evaluation components (process evaluation, outcomes assessment, etc.). The objective of each area of questioning is identified in the Evaluation Matrix. The evaluation criteria (efficiency, effectiveness, etc.) that will be used to assess the various areas of GRB programming are also identified. Information should be gathered that will enable reporting against these evaluation criteria.

When interviewing different types of key informants and structuring focus group meetings, a selection of a limited number of questions should be made from possible options provided below. It may not be possible to cover all five fields of investigation in every interview. However, questions should be selected to cover a cross-section of the different fields of investigation.

Indicative evaluation questions are listed below:

1) Field of investigation: Focusing on results

1.1a) Capacity-building approaches – process evaluation

Objective of this area of investigation: *to assess what capacity-building has been designed, delivered and monitored*

Evaluation criterion: Efficiency

How has the content of training changed throughout the project? What changes have been made in selecting who is trained? What training tools and materials have been developed? Who decided and how have these changed throughout the life cycle of the programme?

What systems were in place to assess the results of training (immediate or follow-up)? How good was record keeping about who has been trained? How has this information been used?

What do participants remember about the content of any training they received? To what extent was the training appropriate to the scope of the work of those trained and to their capacity? To what extent was the timing of training appropriate?

How has technical assistance (TA) been used for capacity-building? Who decided (about) what TA was required and who provided TA? Who received it? What systems were in place to assess TA?

What do stakeholders feel about the quality and the content of the capacity-building activities? (*tools, training, advice*)

Have other capacity-building approaches been used, such as exchange visits, job swaps and secondments? Who decided about approaches? Who was selected and how were they selected for capacity-building? What systems were in place to assess these capacity-building approaches?

What kind of documentation related to capacity-building did the programme produce? Who decided what was produced? How was the documentation disseminated and used? By whom? To what extent do partners/stakeholders assess the documentation to be useful and helpful? Where do stakeholders feel that there are gaps in documentation?

In what ways has capacity-building focused on individuals (human resource development), organizational strengthening (equipment, working spaces, etc.) and institutional strengthening (systems, procedures, mechanisms guiding or controlling work, etc.)? What has been the weighting between human resource development/organizational/institutional capacity developments? Who decided?

1.1b) Capacity-building approaches – outcomes assessment

Objective of this area of investigation: <i>to assess how capacity-building has made change possible</i> Evaluation criterion: Effectiveness
How have those who participated in training applied their knowledge? List specific examples related to: <ul style="list-style-type: none">- GRB tools for budget analysis,- national or sectoral planning mechanisms,- sex-disaggregated data.
Provide detail of changes through time, actors involved, learning and gather documentary evidence (budget tools, national or sectoral planning documents, etc.).
To what extent has the capacity of the Ministry of Finance, Ministry of Planning and of sector ministries on GRB been enhanced by the programme? What are they able to do now that they weren't able to do before? How have their attitudes and knowledge changed? What are the examples that demonstrate this change?
To what extent has the programme strengthened the capacity of women's rights advocates in the budgeting process? What specific skills were introduced for advocacy work? What are they able to do now that they weren't able to do before? How have their attitudes and knowledge changed? What are the examples that demonstrate this change?
Objective of this area of investigation: <i>to assess whether capacity-building will continue independently from UNIFEM</i> Evaluation criterion: Sustainability
To what extent has there been a change in availability of expertise on GRB at the country level? How much is this due to UNIFEM-supported GRB work?
What evidence is there that capacity-building initiatives have continued or been extended to other areas without requiring ongoing, direct UNIFEM inputs? List examples.

1.2a) Sectoral piloting approaches – process evaluation

Objective of this area of investigation: <i>to assess what approaches UNIFEM has adopted in supporting sectoral pilots</i> Evaluation criterion: Efficiency
How were sectoral pilots identified and how has the focus of or actors involved in sectoral pilots changed throughout the programme? Who decided and what caused these changes?
What were the main approaches used for achieving change in the sector? Training? Technical assistance?
Which systems/mechanisms within the sector were addressed in the pilot? To what extent were planned changes achieved?
What staff continuity/changes have there been relevant to the pilot? How have these affected the pilot?
What institutional continuity/changes have there been relevant to the pilot (e.g. change in where departments are located in government structure, change in ministry structures, etc.)? How have these affected the pilot?
What systems were in place to assess progress in the sectoral pilot? How has information on progress been used?
What kind of documentation related to sectoral pilot approaches did the programme produce? How was the documentation disseminated and used? By whom? To what extent do partners/stakeholders assess the documentation to be useful and helpful? Where do stakeholders feel that there are gaps in documentation?

1.2b) Sectoral piloting approaches – outcomes assessment

Objective of this area of investigation: <i>to assess how sectoral piloting has made change possible</i> Evaluation criterion: Effectiveness
To what extent have the objectives of the pilot been achieved? What have been the obstacles?

What specific changes in sector planning and budgeting mechanisms and/or content have taken place over the life cycle of the programme? In what ways can changes be attributed to UNIFEM supported actions?

Which actors (departments, individuals) have changed their ways of working and/or ideas on priorities over the life cycle of the programme? In what ways can changes be attributed to UNIFEM supported actions?

Objective of this area of investigation: ***to assess whether sectoral pilots result in long-term changes in relation to service providers and/or users***

Evaluation criterion: Sustainability

Is it possible to identify any current or likely future changes in the lives of the intended target groups (beneficiaries) of the sector that have/will result from the pilot? What do actors involved in implementing the pilot identify as the long-term changes they think the pilot will bring?

1.3a) Evidence-based advocacy – process evaluation

Objective of this area of investigation: ***to assess what advocacy initiatives have been undertaken related to GRB***

Evaluation criterion: Efficiency

What have been the key advocacy messages promoted in the programme? What have been the target audiences/systems/tools? How were these identified? How have these changed throughout the life cycle of the programme?

What types and sources of evidence have been used as a basis for advocacy? How have these been developed? How have they been used? What have been the limitations of the evidence base (content and/or format and /or timing)?

Which actors were identified as advocates? How has this changed throughout the life cycle of the programme? Why have changes been made?

What kind of documentation related to evidence-based advocacy approaches did the programme produce? Who decided what was produced? How was the documentation disseminated and used? By whom? To what extent do partners/stakeholders assess the documentation to be useful and helpful? Where do stakeholders feel that there are gaps in documentation?

1.3b) Evidence-based advocacy – outcomes assessment

Objective of this area of investigation: ***to assess how evidence-based advocacy has made change possible***

Evaluation criterion: Effectiveness

What changes have resulted in the systems and tools used in the planning and budgeting cycle and/or in the content of plans and budgets (sectoral, national) as a result of evidence-based advocacy? What evidence is there of these changes?

What changes have resulted in the attitudes and priorities of target audiences for advocacy? Give specific examples.

What do the actors identified as advocates see as the successes and limitations of their advocacy? Give specific examples.

What kind of documentation related to advocacy did the programme produce? Who decided what was produced? How was the documentation disseminated and used? By whom? To what extent do partners/stakeholders assess the tools to be useful and helpful? Where do stakeholders feel that there are gaps in documentation?

Objective of this area of investigation: ***to assess whether evidence-based advocacy has contributed to long-term changes in relation to achieving gender equality and/or fulfilling women's rights***

Evaluation criterion: Sustainability

Have the actors identified as advocates carried out further advocacy not specifically as part of the UNIFEM programme? Have they used evidence? Have they achieved the changes they wanted?

1.4a) UNIFEM’s institutional and organizational arrangements – process evaluation

<p>Objective of this area of investigation: <i>to assess UNIFEM’s organizational, planning, monitoring and evaluation (PM&E) and communication arrangements and financial performance in its GRB programming</i></p> <p>Evaluation criterion: Efficiency</p>
<p>What have UNIFEM’s organizational arrangements been for the GRB Programme? How have these changed throughout the life cycle of the programme and who decided? What effect has this had on the operation of the GRB Programme? Has UNIFEM ensured adequate human, financial and technical resources for the programme?</p>
<p>What are the systems and processes for monitoring, tracking and evaluating programme results and indicators (e.g. log frame, M&E mechanism, reporting mechanism)? What monitoring activities have been undertaken throughout the lifetime of the programme and by whom (e.g. regional office monitoring missions, donor monitoring missions, strategic planning reviews)? To what extent are the tracking mechanisms and the indicators developed by the programme appropriate for measuring progress and change? (Explore differences between systems and tools produced by HQ and at the country level.)</p>
<p>To what extent have the findings of the midterm reviews and regular progress reports contributed to learning? Can you give examples demonstrating how those were incorporated in the programme?</p>
<p>How has the communication/information flow between country office and HQ functioned (e.g. timeliness of responses and feedback, relevance of feedback, clarity of communications)? What issues/challenges exist and why?</p>
<p>To what extent are the delivery rates in accordance with the original programme work plan? What was the annual budget for UNIFEM’s GRB Programme in the country? The annual spend?</p>

1.4b) UNIFEM’s institutional and organizational arrangements – outcomes assessment

<p>Objective of this area of investigation: <i>to assess UNIFEM’s organizational learning in relation to GRB programming</i></p> <p>Evaluation criterion: Effectiveness</p>
<p>To what extent have UNIFEM country offices/staff benefited from learning from other country experiences?</p>
<p>To what extent have M&E systems and processes contributed to the programme learning?</p>

2) Field of investigation: Contextualising the analysis

2.1) Situation analysis (as part of programme design) - needs assessment

<p>Objective of this area of investigation: <i>to assess UNIFEM’s understanding of the environment in which GRB programming was intended to occur</i></p> <p>Evaluation criterion: Relevance</p>
<p>How was the situation and needs analysis undertaken for the GRB intervention? How long did the process take?</p>
<p>What was the basis for choosing sectors for pilot approaches? To what extent was the choice of the sector relevant to women’s needs in the country?</p>
<p>What other GRB interventions and/or actors were identified by UNIFEM during the design stage of the GRB Programme? In what ways were any other GRB interventions and/or actors identified as being complementary to UNIFEM’s GRB programming?</p>
<p>With hindsight, were there any factors in the political, economic and social contexts that should have been taken into account when designing the programme? Provide details.</p>

2.2) Changes in external context during life cycle of the project - assessment of external factors

Objective of this area of investigation: ***to assess UNIFEM's ongoing understanding of the environment in which GRB programming was taking place***

Evaluation criterion: Sustainability

Have there been any unexpected changes in the external environment that have significantly affected the functioning or results of the programme? Provide details. Could these have been foreseen?

What other GRB interventions and/or actors have started up during the life cycle of UNIFEM's GRB Programme? How much information do UNIFEM staff members have about any other GRB interventions/actors?

3) Ensuring partnership and ownership

3.1a) Ownership – process evaluation

Objective of this area of investigation: ***to assess what GRB stakeholders say about UNIFEM's approach to GRB programming***

Evaluation criterion: Client satisfaction

In UNIFEM's GRB Programme:

- Who was involved in requesting training? Designing training content?
- Who was involved in requesting any technical assistance?
- Who was involved in deciding sectoral pilots? In deciding any changes throughout the project?
- Who was involved in deciding any changes made throughout the life cycle of the programme to the advocacy approach/target audiences/advocates? How were these changes agreed?
- Who was involved in analysing the context before the programme began?

How are stakeholders involved in monitoring GRB work?

What comments do stakeholders make about the extent and style of their participation in the programme?

3.1b) Ownership – outcomes assessment

Objective of this area of investigation: ***to assess what actions have been put in place/are planned to continue GRB programming beyond UNIFEM's involvement***

Evaluation criterion: Sustainability

What examples demonstrate government ownership of changes brought about during the life cycle of the programme?

What specific activities do government, civil society organizations or others say they will continue regardless of whether UNIFEM support continues? How are these activities funded (when UNIFEM support ends)?

To what extent has the programme been successful in positioning GRB work within broader national planning, budgeting and monitoring frameworks (PRSP, budget reform, public sector reform, aid management, decentralization, etc.)?

To what extent has the programme been successful in fostering the participation of civil society and women's organizations in national planning and budgeting?

3.2a) Partnership – process evaluation

Objective of this area of investigation: ***to assess what actors involved in design, delivery or assessment of UNIFEM's GRB programming say about UNIFEM's approach***

Evaluation criterion: Client satisfaction

What approach to partnership has UNIFEM used with government? With civil society organizations? With other actors (e.g. formal MoUs, financial support for commissioned activities or to core activities, continuity of support, transparency and predictability of support)?

How do UNIFEM staff and non-UNIFEM stakeholders each assess UNIFEM's partnership role in terms of providing funding/technical support/supporting advocacy etc.?

3.2b) Partnership – outcomes assessment

Objective of this area of investigation: *to assess UNIFEM's approach to selecting and supporting partners*
Evaluation criterion: Sustainability

What were the key factors that determined decisions about partnerships? Which partnerships were particularly successful? Which partners were more difficult to work with? Why?

4) Identifying good practice⁷⁰

4.1) Developing good practice – process evaluation

Objective of this area of investigation: *to identify the features of practice that stakeholders identify as promising or good*
Evaluation criteria: Efficiency, client satisfaction

What would you describe as examples of “promising practices” in GRB work in the country (i.e. practices that have been tried and show signs of working)? What are the key features of the initiative that make it likely to be successful? What has been UNIFEM’s role? What do other GRB stakeholders say about the initiative?

Are there examples of demonstrated good practices in GRB in the country (i.e. practices that have been tried and have proved to be successful)? What are the key features of the initiative that have made it successful? What has been UNIFEM’s role? What do other GRB stakeholders say about the initiative?

Are there examples of replicated good practices in GRB in the country (i.e. practices that have proved to be effective and have been copied elsewhere)? What are the key features of the initiative that have made it successful? What has been UNIFEM’s role? What do other GRB stakeholders say about the initiative?

70 For more on good practice in good practices, see Identifying and Sharing Good Practices, Asian Development Bank Knowledge Solutions Number 14, November 2008 (filed on evaluation team’s humyo.com site in evaluation guidance folder).

4.2) Sharing good practice – overall theory of change

Objective of this area of investigation: *to assess mechanisms for sharing good practice*
Evaluation criterion: Effectiveness

What mechanisms are available (a) within UNIFEM and (b) within countries/regions to connect GRB actors with documented information about GRB good practices?

What mechanisms are available (a) within UNIFEM and (b) within countries/regions to connect GRB actors with other GRB actors for collaboration, learning and knowledge sharing about GRB good practices?

5) Understanding the programmatic concept

5.1) Programmatic logic – overall theory of change

Objective of this area of investigation: *to assess whether there is an articulated and shared understanding of why and how GRB programming contributes to gender equality and women’s empowerment*
Evaluation criteria: Effectiveness, replicability

What is your definition of GRB?

What is the objective of the GRB Programme? How was the objective selected and who decided?

What are the different components of the GRB Programme and how are they related, conceptually and institutionally? How does each component contribute to the programme outcomes in the short, medium and long-term?

To what extent have the goal posts of the programme changed from Phases I, II and III? Why?

How does GRB contribute to UNIFEM’s former/current strategic objectives? What are the arguments that achievements in GRB at local, regional and national levels do lead to increased gender equality and/or greater realisation of women’s rights?

What are the arguments that link GRB programming to long-term impacts on gender equality and women's empowerment? Long-term impacts may include (i) increasing access and control by women over productive assets (land, capital/ credit, technology, skills), (ii) increasing access by women to decent work, (iii) increasing access by women to basic and appropriate services that support well-being and quality of life and (iv) increasing voice and participation in decision-making on government spending, especially for women and girls?

Can you give examples of a "model" of GRB being replicated elsewhere? What are the features that characterise the model?

Annex 2D

Framework for Country Contextual Analysis

The evaluation team will compile a country contextual analysis for each of the countries to be assessed (Ecuador, Morocco, Mozambique and Senegal). This will follow a semi-standardised format to facilitate comparability in analysis of the effects of different country contexts on UNIFEM's GRB portfolio.

The consultants will draw on data from documentation provided by UNIFEM and on other sources as necessary. The consultants will note when data were available from UNIFEM-provided sources and when other sources were used.

The contextual analysis in Stage 1 of the Corporate Evaluation of UNIFEM's GRB portfolio will be carried out as a desk study. The consultants will aim to provide a country contextual analysis that is as complete as possible. However, it may not be possible to respond to all the following questions for every country. Where no data are available, this will be noted. Further data will be gathered in Stage 2 fieldwork.

	Question	Possible data source	UNIFEM data source	Non-UNIFEM data source
Global conventions and commitments				
MDGs	What progress has the country made in reaching MDG Goal 1 (halving poverty by 2015) and MDG 3 (gender equality)?	MDG progress report (provide sex-disaggregated data)		
	What progress has the country made on MDG health-related goals (maternal mortality, child mortality)?	MDG progress report (provide sex-disaggregated data of child mortality)		
	What progress has the country made on MDG education-related goals and on adult literacy?	MDG progress report (provide sex-disaggregated data)		
CEDAW	Is the country a signatory to CEDAW? Does the country have an established reporting mechanism? Has the country produced reports?	If CEDAW report available, provide brief summary of key information. If not, provide a summary of situation on violence against women (VAW) and efforts to eliminate this (EVAW)		
Beijing Platform for Action	Has the country engaged with the BPFA or Beijing + 10 processes? In what ways have women's political participation and representation been enabled?	UN system in country or websearch		

	Question	Possible data source	UNIFEM data source	Non-UNIFEM data source
Socio economic context				
Poverty and well- being	What are national rates of poverty and human development? How do these vary in different regions of the country?	Use government source. Note whether poverty data from different sources are contested.		
	Which social groups are excluded from access to resources, decision-making and the general benefits of society? What are the grounds for exclusion (e.g. ethnicity, religious group, HIV status, etc.)?			
	What sorts of households and family structure do most people live in? What are the variations in poverty and well-being for different household types?			
Economic profile	How do most households sustain their livelihoods?			
	What are the main sources of revenue generation for the country? What is the regional distribution of resources within the country?			
Gender context				
	Women’s labour force participation	Labour Force Survey (National statistical office website) Rate (%)		
	Gender Empowerment Measure (GEM)	UN Human Development Report Ratio		
	Single adult-headed households	Demographic and Health Survey (DHS) Rate (%) assume all female		
	Migration	Rate (%) sex disaggregated		
	Urbanization	Rate (%) sex disaggregated		
	Inheritance	Legislation Any sex-disaggregated information		
	Land tenure	Legislation Any sex-disaggregated land ownership/use information		
	Eliminating violence against women	Legislation Information on VAW types and rates of violence		

	Question	Possible data source	UNIFEM data source	Non-UNIFEM data source
Government structures and plans for addressing gender equality				
National poverty reduction plans	What form of national poverty reduction or national development plan is in place? How gender-sensitive is it? Is there an alternative analysis of gender in the plan?	Use PRSP, NDP or other national plan. Use to describe current mechanism and brief history of evolution of poverty/development plans.		
National Women's Machineries (NWM)	What structures are in place to address gender equality?	If national poverty reduction or development plan is available, use to describe NWM structures at national and local levels origins and any information on performance/ effectiveness.		
Government links with civil society organizations	What formal mechanisms exist for government to consult civil society? How are women's representatives included?	PRSP, NDP, aid effectiveness forums (Poverty Observatory, etc.). Civil society annual poverty reporting.		
National planning and financial management				
Public sector reform	What changes have been made to public sector structures and functioning? How centralised or decentralised/deconcentrated are government structures?	World Bank reports UNCDF (UN Capital Development Fund) reports Other donor reports National government reports (Ministry of Finance, Ministry of Planning)		
Sex-disaggregated data	What progress has been made to support evidence-based decision-making in policy formation?	Check national statistical office website. List available sex-disaggregated data. Describe reforms to improve evidence base for policy-making.		
Public finance management (PFM) reform	What PFM reforms are underway?	Describe budget cycle. Is budget planning annual or multi-year? Describe budget categorization, computerization, national to local budget and reporting mechanisms.		
	What characterises the budget?	Transparency of budget information? Provide information on <u>expenditure</u> side of budget: (a) whether national budget is performance related or categorised by inputs only, (b) proportion of budget allocated to recurrent costs/investment costs and (c) proportion of budget allocated at national, provincial and local level. Provide information on national government <u>income</u> : proportion from taxation? From overseas development aid?		

	Question	Possible data source	UNIFEM data source	Non-UNIFEM data source
Sectoral planning and reporting				
Sector planning and budgeting	What sector planning mechanisms are in place? Annual/multi-year/ strategic plans? Are there sectors where gender has been highlighted as a priority and how has this played out?	Use government annual reports, donor country strategies and donor reports. Select example sectors.		
	How are different sectors positioned in terms of government spending priorities?	Use government annual reports, donor country strategies and donor reports.		
Sector reporting	What annual reporting mechanisms are in place in different sectors	Use government annual reports, donor country strategies and donor reports. Describe sectoral reporting between government/donors/civil society representatives.		
Legislation, parliament and accountability				
Key legislation	What legislation is in place that supports gender equality?	Look at anti-discrimination / inheritance / land tenure / family law		
	What evidence is there that legislation is implemented?	Annual government reports CEDAW reporting Convention on the Rights of the Child (CRC) reporting		
Parliament	How effective is parliament? What is the representation of women in the parliament and how effective are they as representatives?	Donor reports Afrobarometer		
Auditor general	Is there an independent function auditing government performance?	Donor reports Afrobarometer		

	Question	Possible data source	UNIFEM data source	Non-UNIFEM data source
Donors/development partners and aid effectiveness agenda				
Donor profile	Which donors provide support? In what form? Which donors support work on gender equality?	Use government annual reports, donor country strategies and donor reports. Describe UN support. Other multilaterals. Key bilateral.		
	What stage has the aid effectiveness agenda reached?	Use OECD-DAC Aid Harmonization website.		
	How donor dependent is the government?	Use government annual reports, donor country strategies and donor reports. Describe financial dependence/ technical-capacity dependence/ political influence.		
	What donor involvement is there in GRB?	Use UNIFEM mapping. Check annual country reports by specific donors to their HQs.		
Civil society				
CSO structures	What national CS networks exist? How effective are they? To what extent are different types of CSOs involved? NGOs? Media organizations? Trades unions? Academic institutions?			
CSO representation	Which social groups do CSOs represent? Which are key women's organizations?	Annual reports from CSO networks		
	In what ways have CSOs engaged with national policy?	Use CSO reporting or national and sectoral reports (e.g. in SWAPs). Look for examples of CSO influence on national poverty reduction/national development planning, on sectoral policy-making, on decentralization. Note examples of impact on policy formation, policy implementation and monitoring of impact of policy changes.		

Annex 3

People Interviewed

Job title	Institution
GRB Programme Technical Coordinator	UNIFEM
Programme Assistant	UNIFEM
Project Coordinator 2006-07/2008	UNIFEM
Director	GUMF
Assistant	GUMF
Budget Sub-secretariat Personnel	MF
Consultant	MF
Head of Fiscal Issues Inter-governmental Programme PROMODE	GTZ
Nun	Sagrado Corazon de Jesus
Former Executive Director	CONAMU
Technical Team	CONAMU
Executive Director	CONAMU
Technical Director	CONAMU
Attache de Cooperation	Belgian Embassy
Sub-Secretary of Public Planning and Policies; Director of Citizenship Involvement and Public Policies	SENPLADES
Consultant	SENPLADES
Coordinating Minister for Economic Policies	Former MF
SRI Personnel, winner of scholarship for GSB program on gender and economics in FLACSO, Mexico, and of grant for research	SRI
INEC Personnel, winner of scholarship for GSB program on gender and economics in FLACSO, Ecuador, and of grant for research	INEC
Members	Grupo Faro

Job title	Institution
Professors	FLACSO
Consultant; Previously in charge of Economic Rights Area in CONAMU	ME
Secretariat of Planning	ME
National Programme Officer UNIFEM-Andean Region	UNIFEM RA
Director	Fundacion Casa de Refugio Matilde
Staff Member	ME
UNICEF – Public Policies and Institutional Reform	UNICEF
Vice-Minister	MF
Manager Poverty Reduction Area	UNDP
Programme Assistant	UNIFEM
President	Presidential Technical Commission Bank of the South
Staff Member	UNFPA

Annex 4

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Annex 5

Ecuador Log frame Outcome and Outputs (MTR and December 2007)

Outcome	Outputs in summary log frame	Outputs in final progress report
Outcome 1 National budget processes and policies reflect gender equality principles in Ecuador	1.1 Articulated approaches that demonstrate how to transform budget processes to foster gender-responsive programmes and policies at the national level in Ecuador 1.2 Capacity and commitment established in Ministries of Finance and other relevant government institutions to incorporate gender-sensitive guidelines and indicators in their budget formulation and monitoring processes	1.1 Pilot exercises in two sectors demonstrate how to implement changes in budgetary processes to include a gender perspective in sectoral policies and programmes 1.2 Capacity and commitment established in the Ministry of Finance and other relevant government institutions to incorporate gender equality principles in budget formulation and monitoring processes
Outcome 2 Priorities of poor and excluded women reflected in budget allocations for national programmes addressing poverty	2.1 Partnerships expanded between gender-responsive budget initiatives and fiscal reform movements 2.2 Women's rights groups, parliamentarians and other gender equality experts are effective at using GRB to advocate for and monitor budget-related processes, including poverty strategy documents/PRSPs, MDGs and other budget processes	2.1 Partnerships expanded between gender-responsive budget initiatives and civil society organizations that promote budgetary monitoring and transparency mechanisms 2.2 Increased capacity of women's rights groups, parliamentarians and other gender equality advocates to use GRB to advocate for the allocation of resources for Ecuadorian women's priorities
Outcome 3 Knowledge and learning on GRB facilitates replication of good practices and exchange of lessons learned	3.1 Regional and sub-regional information hubs and networks of GRB experts created and/or strengthened 3.2 Cross-regional, regional and sub-regional networks of individuals in economic policy-making institutions using GRB created and/or strengthened 3.3 Documentation of lessons learned and cases studies in selected areas and countries	<i>Not referred in report</i>

Annex 6

Summary of Workshops and Seminars Delivered Through the GRB Programme: Phase II

In August 2006, UNIFEM and CONAMU set up a 2-day workshop on the *Incorporation of Gender in Ecuador's Fiscal Policy*, which sought to provide an introduction to GRB for a broad array of attendees including mid- and high-level personnel in the Ministry of Finance and other ministries, and women's organizations. Other workshops used ongoing gender initiatives as a platform to introduce GRB. Thus, in December 2007, twelve years after the approval of a law against domestic violence and within the framework of the yearly '16 Days of Activism Against Gender Violence', CONAMU and UNIFEM hosted a workshop on *Public Investment for the Eradication of Gender Violence*, which was attended by government personnel, civil society members and members of women's organizations.

Workshops tailored specifically to develop capacity within government entities have also been undertaken. In December 2008, the Ministry of Education, CONAMU and UNIFEM organized a workshop on *Social Investment Projects*, which followed a workshop on the *Design of Investment Projects for the Eradication of Gender Violence in the Realm of Education*, held in September 2008. Personnel of the Ministry of Education, as well as personnel from CONAMU and UNIFEM, attended both of these workshops. Both of these workshops sought to raise awareness and train personnel on the application of a gender focus in the creation of social investment projects (policy and budget analysis).

The Gender Unit in the Ministry of Finance (GUMF) has also led several capacity-building workshops, which have been supported by UNIFEM and GTZ. Some of these

workshops have been tailored to the Ministry of Finance specifically and others to public organizations more generally. In September 2008, a workshop on *The Concept of Gender and its Incorporation into the Ministry of Finance* was held. Due to its success, the workshop was repeated in October 2008 as per the MF's request. Several women's organizations, as well as staff from the Controller's Office, the Centre for Fiscal Research of the Internal Revenue Service (SRI), the National Institute of Statistics and Census (INEC), the Confederation of Indigenous Nationalities of Ecuador (CONAIE), the Ministry of Labour (MT) and the Ministry of Social Wellbeing (MBS), and one person from the National Planning Secretariat (SENPLADES), participated in this second workshop. These workshops introduced the new constitutional framework under which GRB will now take place and showed participants how a project's budget might be analysed under a gender focus. Showing that capacity-building can take on novel and diverse forms, the GUMF also led a 2-day experiential retreat for 24 women with the support of the 'Casa de la Danza', a cultural NGO established in 1993. There is currently demand for a similar event for men.⁷¹ Besides raising awareness about gender and GRB and instructing participants on the basics of budget analysis, this workshop sought to empower and create networks among the attendees.

Processes of capacity-building have also benefited from previous work on GRB and participatory budgeting at the local and international levels. Thus, the May 2008 International Seminar on Participatory Budgeting was used as a space to discuss GSB. This event also served to showcase the GUMF as it was being set up, obtaining political favour for its work.

71 Interview GUMF, Saenz, January 2009.

Annex 7

Questions Used in Focus Group

1. What are the main problems faced by women/men in Ecuador? (Men answered with respect to women and vice versa. The results were then commented on by all participants).

2. How many times did you participate in the GRB workshops, and which ones?

3. What do you understand about “gender”?

4. What do you understand about “GRB”?

5. Think back on any GRB trainings you have attended:

What did you gain from these trainings?

How have you applied your knowledge of gender and GRB in your place of work?

6. In your place or work, what challenges do you face to promote GRB?

Political challenges
Social challenges
Cultural challenges
Institutional challenges
Financial challenges

