Evaluation of UN Women Capacity Development Activities in Southern Africa (2009-2010)

Final Report

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Executive Summary

Introduction

Universalia is pleased to submit to UN Women Southern Africa Regional Office (SARO) the report on the Evaluation of UN Women Capacity Development Activities in Southern Africa implemented between 2009 and 2010.

In accordance with the corporate strategic plan for 2008-2011 (extended to 2013), which makes of *national capacity* the core strategy to support the implementation of national commitments on gender equality, UN Women SARO has sought to support the strengthening of the capacity of gender experts, women's rights activists, partners and stakeholders in the countries where it works. It has done so using various approaches, three of which are being reviewed in this evaluation: i) South-South exchange visits, ii) trainings, and iii) support to individuals to enable their participation in international fora.[1] The aim of the various capacity development (CD) activities (implemented across four programmatic areas[2]) has been to improve the planning and programming processes of individuals and organizations so that they may better advocate for and respond to gender equality and women's rights.

Universalia Management Group, a monitoring and evaluation firm based in Canada, was contracted in December 2010 to conduct an external and independent evaluation of the UN Women SARO's capacity development activities. The objectives of the evaluation were: to assess the performance of the CD activities implemented or supported by UN Women SARO; to identify the factors affecting the performance of the completed CD activities; to provide forward-looking recommendations on the planning, implementation, monitoring, reporting, and evaluation of future CD interventions; and to generate evidence on how and to what extent capacity development interventions that UN Women SARO made available to support organizations and gender experts are used at national and regional levels.

Methodology

The evaluation was carried out between December 2010 and April 2011 in three phases – the inception phase, data collection, and analysis and report writing – and was led by Dr. Anette Wenderoth, supported by Universalia consultant Elisabetta Micaro and regional consultant Sharon Groenmeyer. The evaluation was based on an approved evaluation matrix and was guided by the United Nations Evaluation Group's (UNEG) Norms and Standards and UNEG Ethical Guidelines.

Data Collection Methods: Data were collected through document review, field missions (interviews and observations), a survey, and interviews with stakeholders of CD activities living in countries other than those visited.

- **Document review** of corporate documentation on UN Women's capacity development framework, UN Women's corporate and sub-regional strategies, and terms of reference and participants' reports of individual CD activities, where available.

- **Field Missions** to three countries (South Africa, Mozambique and Zimbabwe) where CD activities were implemented. Over fifty key CD stakeholders were consulted, including UN Women SARO staff, UN Women SARO's partner organizations (non-governmental organizations, civil society organizations, and government departments), UN agencies working in

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[1] A fourth approach, the convening and mobilization of networks for advocacy and change, will be assessed in a separate evaluation.

[2] These are: i) Governance, Peace and Security, ii) Economic Security and Rights, iii) HIV and Aids, and iv) Violence Against Women.

the field of gender equality, and gender consultants. A debriefing with the UN Women SARO representative was conducted at the end of each mission.

- **Email survey** administered to participants of CD activities living in countries other than those visited during the field missions, to gather information about their experiences with the CD activity. The email survey was sent to 34 persons that participated in any of the reviewed CD activities. A total of 14 persons completed the survey.

- **Telephone interviews** with eight stakeholders of CD activities (either participants or facilitators) living in countries other than those visited.

Data Analysis and Reporting: Data were analyzed using qualitative and quantitative methods. Content analysis was applied to the review of UN Women/UN Women SARO documents, documentation related to the reviewed CD activities, and interview responses. Statistical analyses were performed on the results of the email survey. A Draft Report was shared with UN Women SARO and the Evaluation Reference Group. This report represents the final report and takes into consideration the feedback received by the Evaluation Reference Group.

Limitations: The evaluation was constrained by data availability, limited documented information on the CD activities reviewed, timing of field missions, and the limited number of survey respondents. As a consequence, triangulation of some of the findings related to the achievement of results or to the relevance of CD activities was not possible. Also, the Evaluation Team's ability to provide an assessment on the efficiency of UN Women SARO's CD activities was limited due to a lack of relevant information received regarding this issue.

Evaluation Findings

Theory of Change Underlying UN Women SARO's Approach to CD

UN Women SARO has not yet developed an overarching *Theory of Change* (TOC) that would make explicit the key assumptions underlying its capacity development work. On the basis of the consultations held with UN Women SARO staff members and of the analysis of UN Women's actual work on CD to date, the Evaluation Team developed two similar, yet slightly different TOCs that are implicit in the work of UN Women SARO on reviewed CD activities: one for interventions that focus on general management skills, the other for those addressing specific thematic issues related to gender equality and women's human rights. The constructed TOCs rely on a series of assumptions whose validity is, in some cases, a source of concern.

Relevance

We have assessed the relevance of UN Women SARO CD interventions with respect to: i) the needs of the target participant groups, ii) national and/or organizational priorities, iii) UN Women's corporate mandate and sub-regional priorities, and iv) other donors' priorities. Reviewed CD activities proved to be relevant in view of the participants' individual needs, and in relation to their respective organizations' mandates and existing capacity. Evidence of their relevance was also found with regards to other donors' priorities, and this especially in Mozambique and Zimbabwe. UN Women SARO's work to strengthen its internal capacity and support the capacity development of its partners has also been relevant in view of UNIFEM/UN Women's corporate mandate and global and sub-regional priorities. In addition, the thematic areas addressed by those CD interventions which focused on gender-specific topics have been relevant, from the perspective of the existing national priorities for gender equality. Consulted stakeholders, however, have expressed mixed views with regard to the relevance of UN Women SARO's selection of participants for the CD initiatives. More specifically, while a consensus has emerged on the high relevance of UN Women SARO's approach of working with and supporting the capacity

development of both CSOs and government partners, some of the key stakeholders consulted expressed the view that UN Women SARO should put more emphasis on working with governmental partners than it has done in the past, in order to more effectively contribute to the national priorities identified by governments.

Effectiveness

The Evaluation Team's ability to assess the effectiveness of the reviewed CD interventions has been somewhat affected by the limited availability of data that would allow for the triangulation of information collected during the evaluation process regarding the changes in individual competencies, collective (organizations' or teams') capabilities, and systems' capacity. Keeping this in mind, UN Women SARO's approach to Capacity Development appears to have been effective in achieving capacity development results. Most of these relate to a strengthening of the individual competencies (knowledge, skills, and attitudes) of participants. As for the collective capabilities, there is only limited evidence of results being achieved by the reviewed CD initiatives in this area. This can be explained by the approach privileged by UN Women SARO (i.e. individuals as main entry points for capacity development) and by the limited sharing of knowledge/skills by participants with others within their respective organizations. Assessing the relevance of these achievements in view of UN Women SARO's overall programming objectives at the national and/or sub-regional scales has however proven problematic, given that the envisaged short and longer term results of most of the CD activities have not been made explicit, and that their intended contributions to UN Women SARO's national and sub-regional outputs and outcomes are not always easily deduced. Furthermore, it is too early to assess the longer term effects of the reviewed CD activities within processes of broader organizational change, as most of these were one-time events that only took place fairly recently. The Evaluation Team also found that one unexpected positive result of some CD initiatives has been, for certain participants, an increase in the knowledge regarding UN Women's work and a greater familiarity with its regional staff.

Sustainability

With regard to the sustainability of the results, those pertaining to a strengthening in the competencies of individual participants are likely to be sustained. Participants' commitment to gender equality work, participants' motivation/interest in their work, the application of the new/increased knowledge and skills to their work, and the opportunities of networking are all factors supporting the likelihood of perceived benefits of participants' involvement in the reviewed CD activities to be sustained in their work. Meanwhile, owing to the limited evidence of changes in the participants' organizations, it is not possible to assess the likelihood of sustainability of perceived benefits in a meaningful way. The observed lack of institutionalization and organizational leadership within UN Women SARO's partners are however likely to pose significant challenges for the sustainability of any results beyond the gains made in the competencies of individual staff members.

Innovative and Catalytic Nature of Reviewed CD Interventions

The Evaluation Team did not find any evidence suggesting that reviewed CD interventions have been innovative, since they made use of rather 'common' or 'standard' approaches, strategies, and partners to capacity development. As for the catalytic aspect of the reviewed interventions, we found only one example, i.e. the case of the CD activities implemented under the Gender Support Programme in Zimbabwe. The limited evidence found by the Evaluation Team can be attributed to the one-off character of activities, which limits the likelihood of synergies being created or used and therefore the possibility of generating catalytic effects.

Efficiency

The Evaluation Team's ability to provide an assessment of the efficiency of UN Women SARO's CD activities was limited due to a lack of relevant information received regarding this issue. There is however no evidence at present to indicate that UN Women SARO staff systematically took efficiency considerations into account when designing and implementing CD interventions.

Factors Affecting Performance

The evaluation identified three types of factors that appear to have affected UN Women SARO's performance: programming choice, programme management, and human resources. While most programming choices are perceived by UN Women SARO's consulted staff and partners as having been appropriate and effective, some stakeholders expressed concerns regarding the targeted needs and choice of supported organizations. These concerns mainly originate from the lack of a <u>thorough</u> assessment of UN Women SAROs' partners' existing capacity to deliver GE results effectively and efficiently, or of their potential to influence how GE issues are addressed within their country in both the short and longer term, as well as from the absence of mapping of existing partner organizations. A number of human resource-related issues have also negatively affected UN Women SARO's performance in supporting CD processes. Interviews with UN Women SARO staff indicated a considerable amount of discomfort and uncertainty among individuals with regard to supporting CD processes. Some staff members expressed a lack of or limited knowledge of CD in general, and shared that they had only very little experience in supporting CD processes. In some cases, staff members' difficulty in supporting CD processes also appeared to be, at least partly, related to their limited knowledge of and working experience in specific themes such as GBV or GRB.

Recommendations

Recommendations for UN Women SARO's CD work are based on the Evaluation Team's analysis and findings. The recommendations are presented in view of increasing the effectiveness of UN Women's future work on capacity development in the Southern Africa region.

1. UN Women (both at the corporate and sub-regional levels) needs to clarify and explicitly formulate: i) its understanding of 'capacity development'; and ii) related implications for UN Women's role and approach to supporting CD.

It the context of the absence, at the corporate level, of clear concepts to make CD operational in the field, we recommend that UN Women SARO take into account the following reflections on the concepts of 'capacity' and 'capacity development' that are based on the respective definitions put forward by ECDPM.

- **Individual competencies do not equal organizational capacity.** UN Women's ultimate goal is to help strengthen *national* capacity for gender equality, which – pragmatically- implies a focus on supporting the capacity of organizations, institutions, or networks. Changes in the individual competencies of select staff members can thus *contribute* to, but do not necessarily suffice to bring about significant changes in organizational capacity.

- **Capacity development is not linear or fully planable**. Changes in (organizational) capacity can be stimulated by i) planned, deliberate, managed, and comparatively 'linear' interventions that specifically aim to create change in one or more of the different elements feeding into system capacity, and/or through ii) emergent and/or incremental processes, i.e. changes that organically evolve over time and which are largely unpredictable. As such, they may go unnoticed or only be realized in hindsight. This does not mean that attempts to positively influence CD processes are useless, but it does emphasize the need to be both realistic and cautious when defining expected results of CD interventions. It also underlines the relevance of regular process monitoring over extended periods of time.

- **Outsiders cannot develop the capacity of others – they can merely support the CD process.** External support −occurring for example through CD interventions- can influence this ongoing process of capacity development (or 'evolution') and help it develop in a desired direction, but it cannot control it.

This in turn has implications for the actual CD programming that UN Women SARO would support, among which the following:

- **Who owns the CD process?** Given the lengthy and non linear nature of capacity development processes, short-term interventions are likely to support small parts of these processes. Therefore, it is important to ensure that the overall CD process is owned and ideally driven by the respective organization/institution that it relates to.

- **Contributing to CD versus 'building capacity'**: The fact that UN Women SARO's CD interventions may only be able to affect part of one particular dimension of overall organizational capacity (e.g. individual competencies) does not make its contributions less relevant or successful. The most visible and accessible 'entry points' for influencing organizational capacity tend to be, after all, individual competencies and collective capabilities.[3] We by no means advocate against the use of any programming strategies (such as trainings, study tours or South-South exchanges) which focus on individuals. However, we would like to encourage an approach to program planning that acknowledges and makes explicit what (small) part a given CD intervention can realistically play in the broader and ongoing capacity development processes of an organization, and that, secondly, acknowledges which dimensions of organizational capacity it may *not* be able to affect.

2. UN Women SARO should develop a capacity development strategy or a set of guiding tools to assist staff and partners in the coherent planning and management of capacity development interventions.

Consulted UN Women SARO staff clearly articulated the desire to make their approach to CD more systematic. In our view, a first step towards achieving this goal will be to provide UN Women SARO staff (and partners) with explicit guidance and a set of useful tools. Our data indicate at least four activities that would benefit from more explicit guidance and/or tools:

- **Selecting partnerships**: No matter how many resources UN Women SARO has at its disposal, it will need to make programming choices. The evaluation found that, at present, there is no agreed upon explicit set of criteria to assist UN Women SARO staff in such decision-making regarding capacity development. Therefore, one crucial step towards making UN Women SARO's approach to CD more systematic and also more transparent will be to develop a strategy and/or set of guiding tools outlining key **criteria** to be applied in the decision-making process for capacity development interventions. Criteria could include, among others, credibility of the request for CD support, evidence of partner organization's ownership and leadership of the CD process, strategic relevance of the partner organization in the national or sub-regional context, potential synergies among UN Women SARO's partners, and value added of UN Women SARO's support to partner organizations' CD.

- **Assessing existing capacity and CD needs**: CD interventions should be planned and conducted based on a thorough understanding of an organization's existing capacity, as well as on a formulation of its 'desired state' of capacity. At present, the capacity assessment that UN Women SARO conducts of its partners addresses the organization's managerial abilities, in particular its ability to handle funds responsibly. To the extent possible, capacity assessments should take the different dimensions of organizational capacity (i.e. individual competencies, collective

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[3] Simply because they are less 'evasive' than the broader context.

capabilities, and context) into account in order to allow UN Women SARO and its partners to be as specific as possible about existing areas for improvement and possible entry points. Please see Appendix II of this Report for some broad suggestions on the types of issues a basic capacity assessment could address.

- **Selecting suitable CD approaches/strategies**: Our data on UN Women SARO's CD work to date does not indicate that any inappropriate or inexplicable decisions were made with regards to the choice of approach used (training, South-South exchange, or participation in international fora) for each completed CD intervention. At the same time, we did not find any information on the respective reasons that led UN Women to choose one format over another. In view of UN Women SARO's desire to create a more systematic approach to CD, we suggest that future programming decisions include explicit reflections on the reasons for (or against) a specific CD format. Some guiding questions in this regard relate to strategies (approaches and methodologies) that are suitable for helping address the particular competencies and/or capabilities that have been identified as requiring strengthening; limitations/risks of the proposed approach; whether the proposed strategies are realistic and feasible in the particular political, economic, institutional/organizational, and/or socio-cultural contexts; and alternative approaches and their disadvantages. Please refer also to Appendix III of this Report for further suggestions for reflective questions related to specific CD approaches.

- **Monitoring and reporting upon the progress and results of CD interventions**: UN Women SARO needs to determine in general who it considers to be responsible for what type of monitoring. There are, in our understanding, two main options to address this challenge. The options are not mutually exclusive and could be combined if feasible:
    - Option a): UN Women SARO commits to long-term relationships with selected partner organizations and monitors their capacity development over time. This may not be possible for all partner organizations, but could be considered for a few. This would allow UN Women SARO to provide illustrative examples of the types of capacity development processes it has supported.
    - Option b): The partner organization itself takes on responsibility for monitoring its long term development. UN Women SARO can provide guidance in this regard, but limits its own monitoring activities to the output level, i.e. the successful implementation of agreed upon activities/types of support. The partner organization takes responsibility for keeping track of overall changes and progress towards desired capacity, and can give feedback to external partners such as UN Women SARO on whether and how this agency's support has 'fit' into and has contributed to the bigger picture of organizational CD. Please note that this implies an approach that focuses on monitoring as a tool for *learning*, rather than for 'control' or *accountability*.

"*How do we know when capacity has been built*?" The answer to this question may differ considerably depending on the organization whose capacity is at stake and its views on where it would like to go. It is important to ask this question at the *beginning* of a CD intervention, and to discuss it with the partner whose capacity is supposed to be strengthened. This links back to our earlier suggestion of conducting an assessment of an organization's existing capacity in order to determine areas for improvement and suitable interventions. One useful tool in this context can be the use of simple *rubrics*. Rubrics allow for different individual competencies or collective capabilities to be defined, and can thus help describe and observe both the 'status quo', as well as 'progress' or 'positive change' in a particular area.

3. UN Women SARO should clearly integrate considerations on the cost efficiency of different interventions into its work on CD.

As noted in the evaluation report, it is currently not evident whether and how UN Women SARO staff systematically addresses considerations about 'best value for money' into its decisions related to CD

initiatives. Efficiency needs to be taken into account not only in view of each individual CD initiative/activity (e.g. in relation to the respective choice of location or destination, the choice of facilitators and number and types of participants, the approach to CD), but also, and maybe more importantly, in view of UN Women SARO's overall approach to CD (e.g. how efficient are many stand-alone activities with many different partners as compared to interrelated activities with fewer partners over a sustained period of time?).

UN Women SARO may want to consider including efficiency-related guiding questions and/or criteria into the suggested set of explicit guidelines and tools for CD.

4. UN Women SARO needs to ensure that its staff members are equipped with appropriate guidance, tools, and support to carry out their work, and that the ratio of programming scope and number of available staff is reasonable.

One key challenge mentioned repeatedly by consulted UN Women SARO staff was a lack of personnel within their team. As a result, the staff experiences difficulties in managing the existing workload. While we acknowledge the enthusiasm and dedication of current UN Women SARO staff members to manage their considerable workload, it appears imperative for UN Women SARO to critically reflect on whether its programming scope is too ambitious given its available resources. In other words, UN Women SARO either needs to increase the amount of staff working in the sub-region, or it needs to reduce its programming scope to make sure that existing staff can allocate the required amount of time and attention to their partners and stakeholders. Given the ongoing organizational transformation that UN Women is undergoing and the uncertainty regarding the size and foci of its future program in the sub-region, it may not be possible to take related decisions immediately.

In addition, UN Women SARO should increase its efforts in a) assessing and being aware of staff members' existing knowledge and skills and potential areas that require strengthening, and b) supporting its staff members by providing clear guidance on expected approaches to tasks (e.g. by clarifying its understanding of and approach to CD, as noted above), providing useful and agreed upon tools and opportunities for professional development and exchange. While all of this is already happening to some extent, the evaluation has shown a continued need for more and, in some cases slightly different, types of support than what is already available.

Acronyms

AIDS	Acquired Immune Deficiency Syndrome
AU	African Union
CD	Capacity Development
CEDAW	Convention on the Elimination of All Forms of Discrimination against Women
CIDA	Canadian International Development Agency
CSI	Civil Society Index
CSO	Civil Society Organisation
CSW	Commission on the Status of Women
DAW	Division for the Advancement of Women
DFID	UK Department for International Development
DRF	Development Results Framework
EC	European Commission
ECDPM	European Centre for Development Policy Management
ECOSOC	Economic and Social Council
FORCOM	National Forum of Community Radios (Mozambique)
GBV	Gender Based Violence
GE	Gender Equality
GEI	Gender Equality Index
GIDD	Gender in Development Division
GRB	Gender Responsive Budgeting
GSP	Gender Support Programme
HIV	Human Immunodeficiency Virus
HR	Human Resources
HRBA	Human Rights Based Approach
ILO	International Labour Organization
INSTRAW	International Research and Training Institute for the Advancement of Women
IT	Information Technology
MDG	Millennium Development Goal
M&E	Monitoring and Evaluation
MRF	Management Results Framework
MYFF	Multi-Year Funding Framework
NGO	Non-Governmental Organization

Acronyms

OECD-DAC	Development Assistance Committee of the Organization for Economic Cooperation and Development
OSAGI	Office of the Special Adviser on Gender Issues and Advancement of Women
PARPA	Action Plan for Reduction of Absolute Poverty
SADC	Southern African Development Community
SIDA	Swedish International Development Agency
SRS	Sub-Regional Strategy
TOC	Theory of Change
TOR	Terms of Reference
UN	United Nations
UNDAF	United Nations Development Assistance Framework
UNEG	United Nations Evaluation Group
UNIFEM	United Nations Development Fund for Women
UN Women SARO	United Nations Women Southern Africa Regional Office
USAID	United States Agency for International Development
WHR	Women's Human Rights

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Appendices

1. Introduction

Universalia is pleased to submit its report for the *Evaluation of UN Women Capacity Development Activities in Southern Africa* to the UN Women Southern Africa Regional Office (UN Women SARO). This report –volume one of two- synthesises findings uncovered during the evaluation.

Volume II contains the Terms of Reference (TOR) for the evaluation, the list of people interviewed, the list of documents reviewed, additional details on the reviewed CD activities, the data collection tools (interview protocols and the online survey) used, the survey results obtained, the analysis of the relevance of the reviewed thematic CD activities with respect to national priorities, the table showing the alignment of the reviewed thematic CD activities with planned results from the *UNIFEM SARO Sub-Regional Strategy*, and the list of output results achieved as reported by the respondents consulted.

1.1 Evaluation Background

UN Women is the United Nations Entity for Gender Equality and the Empowerment of Women. This entity, borne out of Resolution 64/289 of the United Nations General Assembly on July 10, 2010, is the consolidation of four previously distinct parts of the UN system: the Division for the Advancement of Women (DAW), the International Research and Training Institute for the Advancement of Women (INSTRAW), the Office of the Special Adviser on Gender Issues and Advancement of Women (OSAGI), and the United Nations Development Fund for Women (UNIFEM). UN Women merges and builds on the mandates and functions of DAW, INSTRAW, OSAGI and UNIFEM.

This evaluation was commissioned in November 2010 by UNIFEM (now UN Women) SARO. For the purposes of ensuring homogeneity and minimizing confusion within the text, we will use the term UN Women to designate the organization both prior to and since the corporate overhaul. An exception will be made when referring to the title of documents in which the word UNIFEM appears.

The *UNIFEM Strategic Plan, 2008-2011* (extended to 2013) stresses the importance of implementing commitments to gender equality and women's empowerment at the national level. As mentioned in the Terms of Reference for this evaluation, achieving this goal requires that there exist relevant and sufficient *national capacity*. In accordance with the corporate strategic plan, since 2008 UN Women SARO has sought to support the strengthening of the capacity of gender experts, women's rights activists, partners and stakeholders in the countries that it covers. It has done so using various approaches, three of which are being reviewed in this evaluation: i) South-South exchange visits, ii) trainings, and iii) support to individuals to enable their participation in international fora.[4] The aim of the various capacity development (CD) activities (implemented across four programmatic areas[5]) has been to improve the planning and programming processes of individuals and organizations so that they may better advocate for and respond to gender equality and women's rights.

Given the financial and human resources it has allocated to CD work since 2008, UN Women SARO has chosen to undertake an evaluation of its capacity development activities in order to assess how and to what extent completed interventions are generating impacts at the national and regional scale. To do so, it has contracted the services of the Universalia Management Group, an independent monitoring and consulting firm based in Canada.

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[4] A fourth approach, the convening and mobilization of networks for advocacy and change, will be assessed in a separate evaluation.

[5] These are: i) Governance, Peace and Security, ii) Economic Security and Rights, iii) HIV and Aids, and iv) Violence Against Women.

1.2 Evaluation Objectives and Methodology

1.2.1 Evaluation Objectives

The objectives of the evaluation are:

1) to assess the performance of the CD activities implemented or supported by UN Women SARO on the basis of the following evaluation criteria: relevance, effectiveness and impact, sustainability, and efficiency;

2) to identify the factors affecting the performance of the completed CD activities;

3) to provide forward-looking recommendations on the planning, implementation, monitoring, reporting, and evaluation of future CD interventions; and

4) to generate evidence on how and to what extent capacity development interventions made available by UN Women SARO to support organizations and gender experts are used at national and regional levels.

The focus for the evaluation is on those capacity development activities which were implemented or supported by UN Women SARO over the 2009-2010 period. The evaluation covers three types of CD interventions: i) South-South exchange visits; ii) trainings, and iii) support to individuals to enable their participation in international fora. The list of the CD activities reviewed is presented in Exhibit 1.1 below.

Exhibit 1.1   List of CD Activities Reviewed[6]

Approach	Type of Intervention	Additional Information on the CD Activity
Training	Training on Financial Management	A total of 22 participants from 7 different countries participated in this workshop. The main objective of the workshop was to strengthen the capacities of UN Women SARO's partners in financial management in line with UN Women's rules and procedures.
Training	Training on Gender Responsive Budgets (GRB)	One representative from the Ministry of Women, Children, and Persons with Disabilities attended the training in Italy. The objective of the financial support provided by UN Women SARO was to enhance the representative's knowledge; it was expected that this individual would revert this new knowledge, upon return, within the Ministry with a view of paving the path towards gender equality.
Training	Evaluation Training	Objectives were: i) to develop a user-friendly manual on how to manage evaluations from a gender equality and human rights perspective. To be based on best practices and on UNEG's norms and standards, it sought to address the organisational needs of UNIFEM; ii) to design, deliver and evaluate a training programme in evaluation deploying a results-based management approach with human rights and gender perspectives that is relevant for the four regions - Asia, Africa, Latin America and Caribbean, and CEE/CIS; and iii) to strengthen evaluation capacities and facilitate the knowledge sharing and exchange among academia, evaluation networks and practitioners.
South-to-South exchange visit	GRB study visit to Ecuador	The objective was to enhance the capacity of a delegation comprising of Senior Government Officials from the Ministries of Gender and Finance/Economic Planning and Development and Women's Organizations on Gender Responsive Budgets.

[6] Additional details on each CD activity can be found in Volume II, Appendix IV.

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Approach	Type of Intervention	Additional Information on the CD Activity
South-to-South exchange visit	Study tour to Italy	The study tour was intended to provide representatives of the Mozambican organizations Nhamai, LeMuSiCa, and MMAS a chance to visit the facilities and observe the activities of the Italian organizations in Rome.
South-to-South exchange visit	Study tour to Brazil	The study tour was intended to provide representatives of the Mozambican organization HOPEM with a chance to visit the facilities and observe the activities of the PROMUNDO organization in Brazil.
Participation in international forum	Programme of Action on Gender and HIV-AIDS (Vienna Conference)	One representative from the Zimbabwe Women Writers Association was supported to participate in this conference.
Participation in international forum	Beijing+15 Conference	The Executive Director of Gender Links and UN Women SARO's Programme Specialist participated in the Beijing + 15 Conference related to the Africa UNiTE Campaign to End Violence Against Women.
Participation in international forum	Commission on the Status of Women March 2010	Participants chosen came from two countries: Zimbabwe: representatives came from the Women's Coalition of Zimbabwe, the Women's Action Group, the Young Women Christian Association. The Permanent Secretary, Director of Gender and Minister from the Ministry of Women Affairs, Gender and Community Development, as well as the Minister from the Ministry of State in the National Organ for Healing and Reconciliation also attended this event. Seychelles: one representative came from the Gender Secretariat of the Ministry of Social Development and Culture.
Participation in international forum	Gender is my Agenda (GMAT)	Participants were representatives from the Women's Coalition of Zimbabwe.

1.2.2 Evaluation Methodology

Evaluation Framework

An evaluation framework outlining the key evaluation questions, indicators, data sources and methods of data collection was developed on the basis of the TOR for the evaluation. The matrix, which is presented in Appendix I of this document, was revised following feedback and suggestions from the evaluation Reference Group[7] during the Inception Phase. The revised matrix informed the choice of methodology.

Evaluation Team

The Evaluation Team consisted of three individuals:

- Dr. Anette Wenderoth (Team Leader)

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[7] The Reference Group for this evaluation consists of: four members from UN Women SARO partner organizations (one from South Africa, one from Mozambique, and two from Zimbabwe); two staff members from UN Women country teams (one from Zimbabwe and one from Mozambique); four members from UN Women SARO; the Regional Evaluation Specialist for Africa; the Focal Point for the UN Women Headquarters-Africa Section; and one representative of the Government of South Africa.

- Ms. Elisabetta Micaro (International Consultant)
- Ms. Sharon Groenmeyer (Regional Consultant)

Data Sources and Methods of Data Collection

There were three main sources of data: people, documents and observations during site visits.

People: A total of 72 people were consulted for this evaluation. Sixty individuals were interviewed in person or by telephone. Respondents include UN Women staff involved in the CD activities, individuals from UN Women SARO's partner organizations who participated in the reviewed CD activities, facilitators of the CD initiatives, as well as staff from other UN agencies. Appendices II and IV in Volume II respectively provide a list of the people who were consulted through face-to-face or telephone interviews and a copy of the interview protocols.

In addition, an email survey was conducted with participants of CD activities living in countries other than those visited during the field missions. In total, we received responses from 14 out of 34 potential respondents. The survey questionnaire is available in Appendix IV of Volume II. Responses from this survey can be consulted in Appendix V of the same volume.

Documents: The Evaluation Team reviewed a number of key documents for the study. The list of these is provided in Appendix II of Volume III.

Site visits: As shown in Exhibit 1.2 below, the Evaluation Team conducted field visits to South Africa, Mozambique and Zimbabwe. Keeping into account budget constraints, the choice of these countries was made based on the location of UN Women offices in the sub-region, and the fact that CD interventions under review included more participants from Mozambique and Zimbabwe than from other countries in the sub-region.

Exhibit 1.2   Site Visits

Destination	Purpose	Conducted by	Dates
South Africa	Evaluation start-up, consultations with UN Women SARO staff and stakeholders.	Elisabetta Micaro Sharon Groenmeyer	January 31-February 4, 2011
Mozambique	Consultations with UN Women SARO staff and stakeholders.	Elisabetta Micaro	February 7-11, 2011
Zimbabwe	Consultations with UN Women SARO staff and stakeholders.	Sharon Groenmeyer	February 7-11, 2011
South Africa	Mission debrief with UN Women staff and working session to discuss forward-looking implications of preliminary findings.	Elisabetta Micaro Sharon Groenmeyer	February 14, 2011

Following completion of the site visits to Mozambique and Zimbabwe, the Evaluation Team members met with UN Women SARO staff in South Africa to provide a short debrief of the observations made up to that point. The aim of the working session was to identify remaining data gaps and to probe staff on their perceptions regarding UN Women's future approach to capacity development in the sub region.

Data Analysis: To analyze the aforementioned data, we used the following approaches:

- **Descriptive analysis** was used to understand the context in which UN Women SARO's work on capacity development has taken and is currently taking place. It allowed us to assess main program strategies, human and financial resource allocation, as well as management structures and processes.

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- **Content analysis** represented the main approach for our qualitative analysis. Documents and interview notes were analyzed to identify common trends, themes, and patterns for each of the key units of analysis. Content analysis was also used to flag diverging views and opposite trends.

- **Comparative analysi**s helped us examine findings across different aspects of the program (e.g. geographic variation and different strategy) as well as the best practices and/or lessons learned in relation to the three types of CD interventions assessed in this evaluation. This type of analysis was used throughout the data analysis process.

- **Quantitative analysis** was used to assess programming efficiency –to the extent possible given the limited availability of data.

Reliability was ensured through data triangulation (using convergence of multiple data sources) and compliance with OECD-DAC and UNEG standards in evaluation.

1.3 Limitations

A number of factors impacted the evaluation's data collection process.

Data availability and implications for triangulation of information. Resources available for the evaluation did not permit that we undertake field missions to more than three countries. For the CD activities in the countries which were not visited, the Evaluation Team relied on telephone interviews with participants and/or on an online survey. In addition, due to the small number of people having participated in the majority of the CD activities, triangulation of some of the findings related to the achievement of results or to the relevance of CD activities was not possible. These significant limitations for data collection and analysis were already flagged in the evaluation Inception report, and we ask readers to keep them in mind when reviewing the evaluation findings.

Limited documented information on the CD activities reviewed. Except for the TOR for a few of the reviewed CD activities and for a couple of reports from participants, no other documentation reporting on the planned results of the CD activities, their actual achievements, selection criteria for organizations and/or individuals, or budgets were available. In the few cases where the TOR or participants' reports existed, the depth of information was limited.

Challenges in obtaining documents, contact details, and feedback on deliverables. The Evaluation Team relied upon UN Women SARO to obtain all documentation pertaining to the reviewed CD activities, the contact details of key stakeholders to interview, and the feedback on key deliverables (e.g. the Inception Report and the working session in Johannesburg). Given their numerous other responsibilities, UN Women staff members' replies to the Evaluation Team's requests for information or feedback were frequently delayed or required several reminders. This in turn delayed the data collection process. Moreover, the debriefing and working session in Johannesburg at the end of the site visits was attended by considerably fewer UN Women staff members than initially envisaged, and lasted for a shorter time than originally planned. Also, the date initially determined for the session had to be postponed to accommodate UN Women staff availability. This meant that Ms. Micaro had already left the region and could only (partly) attend the session via telephone. While the working session had been scheduled upon a request from UN Women SARO, it thus contributed less to the evaluation process than what had been hoped for.

Timing of field missions. The dates for the field missions were determined in consultation with UN Women staff in all three countries visited. Despite this, the Evaluation Team faced considerable challenges in scheduling interviews with some of the UN Women SARO staff. In particular, the staff in Zimbabwe was busy running a workshop with partner organizations during the site visit; the time allocated to meet with the evaluation consultant was very limited.

Limited number of survey respondents. Out of a potential number of 34 respondents, only 14 individuals responded to the survey. This limited the amount and depth of information elicited through the survey tool.

Terminology

The Evaluation Team based its analysis on the understanding of 'capacity' and 'capacity development' as well as on the related definitions put forward by the European Centre for Development Policy Management (ECDPM).[8] These were also adopted as the basis for the *UNIFEM Framework and Guidance Note on Capacity Development* (2010). Key features of ECDPM's understanding are summarized below.

Capacity is understood as the ability of a system (e.g. an organization) to create public value. Capacity is the effect of multiple **interactions** among actors, activities and context. It is helpful to distinguish between the following core dimensions:

- **Individual competencies** refer to the abilities (knowledge, skills) and aptitudes of people that determine what kind of contributions they can make to the functioning of an organization, institution or sector.

- **Collective capabilities** refer to the skills of a group (e.g. an organization, network or institution) to carry out a particular function or process. Collective capabilities are dependent on, but are more than, the mere sum of individual competencies. Besides '*people abilities*', the notion of collective abilities also includes *enabling internal conditions* within an organization or institution (e.g. the existence of sufficient resources, appropriate incentives and reward systems, appropriate infrastructure, supportive leadership, enabling internal policies and regulations).

- The dynamic external **contexts** (e.g. political, social, economic, and cultural contexts) in which an organization or institution is embedded and influence whether and to what extent existing competencies and capabilities can be brought to bear.

Overall system (organizational/institutional) **capacity** is constituted by the **interplay** between individual competencies, collective capabilities, and context(s).

1.4 Organization of the Report

The report is organized in four chapters. Following this introduction:

- Chapter 2 highlights key elements of the external and internal contexts in which the reviewed CD activities took place. These include the regional and sub-regional contexts, the national contexts of the three countries visited, as well as UN Women and UN Women SARO's internal contexts;

- Chapter 3 discusses the key evaluation findings under the evaluation criteria of relevance, effectiveness, sustainability, and efficiency. This section also identifies the key factors affecting UN Women SARO's performance in supporting the reviewed CD activities; and

- Chapter 4 concludes the report with recommendations addressed to UN Women Headquarters and UN Women SARO, based on the evaluation findings.

 Please note that we tried to keep recommendations at relatively high level. To differentiate between high level recommendations and practical implications, the latter are highlighted by this icon throughout the report.

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[8] See: Heather Baser and Peter Morgan: Capacity, Change and Performance. Study Report, European Centre for Development and Policy Management (ECDPM). April 2008. http://www.ecdpm.org. Capacity is defined as *that emergent combination of individual competencies, collective capabilities, assets and relationships that enables a human system to create value*. Capacity development is defined as *the process of enhancing, improving and unleashing capacity; it is a form of change which focuses on improvements*.

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2. Context

2.1 Regional and Sub-Regional Contexts[9]

UN Women SARO has been working in a very heterogeneous region with respect to the socio-economic, political, institutional, linguistic, and cultural environments.

In terms of measuring progress towards gender equality, the key indicators commonly used reveal quite a range in the levels of engagement within the region. For example, it emerges from a comparison of the different Gender Equality Index (GEI) [10] values for the year 2009 that while South Africa's GEI value is relatively high (75%), Zimbabwe's is much lower (58%).[11]

Over the last few years, important progresses have been made at the regional scale in the development of legal frameworks promoting gender equality. Notably, there are:

- The SADC Protocol on Gender and Development (signed in 2008);
- The Protocol to the African Charter on Human and Peoples' Rights on the Rights of Women in Africa (entered into force in 2005);
- The Solemn Declaration on Gender Equality in Africa (adopted in 2004), through which the Heads of State and Government commit themselves to report annually on progress towards gender equality;
- The African Union Gender Policy (adopted in 2009); and
- The launching of the African Women's Decade (2010-2020) by the African Union (AU).

Despite these progresses, the implementation of gender equality commitments still lags behind the goals outlined in the above-mentioned documents. Consequences of this with respect to women's conditions are visible in some of the most recent regional trends:

- The ratio of girls to boys in school has increased for primary education, but not for secondary and tertiary education.
- The recent global economic and financial crises increased the level of unemployment among both men and women. However, it increased the representation of women in unstable and informal employment.
- The adoption of quotas and other affirmative action measures has contributed to an increase in women's political representation in parliament, such as in the case of South Africa. However, where these measures are not in place, such as in the case of Zimbabwe, improvements on this indicator have been extremely slow.
- There has been a feminization of HIV/AIDS and poverty in many countries of the region, including in Mozambique, Swaziland, Zimbabwe and Zambia.

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[9] Data sources consulted for this section are the MDG 2010 report and Social Watch.

[10] The Gender Equality Index is based on three indicators: education, activity rate in the labour market, and political activity.

[11] The GEI values for the other countries in Southern Africa are as follows: Tanzania-72%, Namibia-71%, Botswana - 66%, Mozambique- 64%, Lesotho- 64%, Burundi- 64%, Angola - 60%, Zambia - 56%, and Swaziland - 49%.

2.2 National Contexts

The three countries where field missions took place present a series of opportunities and challenges for UN Women SARO's work in gender equality (GE). The paragraphs below present some highlights.

Opportunities

All three countries have shown, over recent years, an increased commitment towards the achievement of GE results. These have led to the improvement of some social development indicators. More details are provided below.

- **Mozambique**: Over the last few years, the Mozambican government has shown strong commitment towards women's empowerment and gender equality, as reflected in the numerous constitutional changes and policy measures taken to this effect. The country has just recently (in 2009) passed the Law on Domestic Violence against Women, which recognizes domestic violence as a crime, calls for increased penalties for offenders, and places an obligation on the state to assist victims. The government's strategy for poverty reduction, i.e. the Action Plan for Reduction of Absolute Poverty (PARPA II) 2006-2009, has made gender a cross cutting theme. The Council of Ministries passed the Gender Policy and its Implementation Strategy in May 2007. This policy calls for the integration of gender considerations into legislation, policies, programmes, strategies, action plans, and budget. Some ministries, such as the Ministry of Health and the Ministry of Environment, either already have or are in the process of developing strategies for gender mainstreaming in their sectors. In this country, some key gender equality indicators have improved, such as the girls to boys ratio in primary education, which has steadily increased from 0.71 to 0.89 between 1997 and 2008. Though still high, the women illiteracy rate has dropped drastically from 66.2% in 2004 to 56% in 2009. This is due to the increased attendance of women in Adult Literacy Centers. In addition, the percentage of seats held by women in the Mozambican parliament has increased from 28% to 39.2% since 1997. Furthermore, in 2009, President Guebuza of Mozambique received the African Gender Award for his desire to integrate women into national policies. Finally, the participation of UN Women in a number of UN Joint Programmes offers the agency the opportunity of mainstreaming gender into the work of other UN agencies as well.

- **Zimbabwe**: The Government of Zimbabwe has shown increased efforts to work towards gender equality. For instance, in 2004, the National Gender Policy was approved. The policy calls for, among other things, mainstreaming gender in all public and private sector departments, civil society organisations, programmes, projects and activities, engendering budgets at all levels and in all sectors, as well as reforming constitutional and legal provisions in order to enhance gender equality and equity. Women's representation in parliaments has increased slightly between 1990 and 2008 (from 14% to 19%) and there have recently been signs of stronger political will to work towards gender equality with the ratification of the 2008 SADC Gender and Development Protocol.

- **South Africa**: The country is considered as the most advanced in the region in terms of gender equality. Gender equality is a constitutional imperative in the country and it is supported by a framework of policies and mechanisms that include a national gender policy framework and a Ministry for Women, Children and People with Disabilities. Under many social development indicators, the country shows a high degree of achievement of GE. For instance, rates of enrolment and retention in primary education show strong gender equity, and where small differences do exist, they are in the girl child's favour. At the secondary and tertiary education levels, parity has also already been achieved. Achieved also is the parity in the ratio of literate females to males aged between 15 and 24 years old. There has also been an important increase in women's representation in the national parliament, with 44% of parliamentarians in 2009 being women.

Challenges

The three countries visited are characterized by some commonalities in terms of the cultural patriarchal context, of weak capacities in government and civil society organizations (CSOs), and of language barriers that all slow down the pace of achievement of GE and make it more difficult to work in this area.

- **Mozambique:** The country is known for its weak government and civil society sectors. As it is possible to read it in the most recent United Nations Development Assistance Framework (UNDAF), UN agencies widely recognize that "Mozambique suffers from a lack of capacity at all levels of Government and across all sectors. With the exception of a few key ministries, federal planning bodies lack the financial and human resources and overall capacity to effectively manage national development programmes. In addition, capacity building in the public sector and retaining capable and well-trained staff is a pressing challenge, especially at sub-national levels and in the rural areas."[12] As for the civil society sector, the Civil Society Index (CSI) Report[13] concludes that "[...] overall, Mozambican civil society is weak in its main dimensions."[14] The country is also characterized by important heterogeneity in terms of GE achievements: while the girl-boy ratio in secondary education is equal to 1 in urban areas, it is only 0.75 in rural zones. Similar patterns and values exist for the female illiteracy rate. In addition, new phenomena like the feminization of HIV/AIDS and the increase of violence against women linked to informal cross border trade are threatening some of the progresses made in GE.

- **Zimbabwe:** A decade of economic instability has led to a decrease in the completion rate by children for both primary and secondary education, with a higher percentage share of drop-outs among girls. Women representation in parliament is still low by comparison to other countries in the region. Limited also is the presence of women in decision-making positions. In fact, when a part of the government, women tend to be concentrated in 'soft' ministries. The country has also been suffering from a drying up of funding for work in gender equality over the past few years, as well as from a debilitated civil society sector within this area. A gender scoping study conducted in 2006/2007 and commissioned by five donors (EC, DFID, USAID, CIDA and SIDA) reported that there is "no gender sector in Zimbabwe", but there is a 'Women's Movement' borne out of gender inequalities. This has led to limited coordination at all levels: poor funding of the sector and non-existent monitoring and evaluation systems to track progress and make corrective measures. The study reveals that gender is synonymous in the majority of gender programmes to involving women and minimizing men's involvement. Policies to reduce gender inequality have been enacted but commitments are not always implemented because of limited capacity (financial and human) and poor coordination.[15] Despite their weaknesses, CSOs –which are predominantly based in rural areas - are the ones that are increasingly receiving development aid because of their location in the poorest areas, i.e. the rural zones.

  South Africa: South Africa has a long history of violence against women due to the common perception that women are men's subordinates. This gender power discrepancy makes women more vulnerable to HIV/AIDS as a result of them being victims of violent sexual attacks. In the MDG 2010 Report for South Africa, one may read that "Poverty levels remain high, with a disproportionate impact on women (...). [U]nemployment remains stubbornly high (...). This is

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[12] United Nations. December 2007. *Revised United Nations Development Assistance Framework 2007-2009*. Mozambique. Paragraph 2.1.

[13] FDC.2007. *Mozambican Civil Society Within: Evaluation, Challenges, Opportunities and Action*. Page 11. Available online at: http://www.civicus.org/media/CSI_Mozambique_Country_Report.pdf

[14] The dimensions are those of environment, values, impact, and structure.

[15] New Dimensions Consulting (Pty) and George Zimbizi. April 2007; page iii. *Gender Scoping Study Report*. Available online at: http://nedicozimbabwe.com/docs/GenderScopingStudyFinalReport.pdf

higher for women (43%) than it is for men (36%)."[16] To aggravate things, government and UN agencies working in the country have been experiencing gender fatigue and there is limited awareness among government officials of the link between GE and development.

2.3 UN Women Internal Context

UN Women

Capacity development is at the core of what UN Women does worldwide. In the *UNIFEM Strategic Plan, 2008-2013*, capacity development was recognized as a *core competency*. Yet at the same time, various previous corporate evaluations (e.g. *Evaluation of the UNIFEM MYFF, 2004-2007*)[17] have pointed out the need for UN Women to further explore and make explicit its understanding of and approach to capacity development –and this, in a context where all agencies talk about CD, but a broad variety of different definitions and understandings of the concept exist.

In March 2010, the agency published a document on CD (titled *UNIFEM Framework and Guidance Note for Capacity Development*) that outlined a proposed definition of CD as well as suggestions for field offices on how to approach CD in planning, programming, monitoring and reporting. To our knowledge, the document has been shared within the organization, but in the context of major structural changes around the creation of UN Women, there has been no systematic support or follow up regarding its implementation and translation into programming on the ground. Indeed, the creation of UN Women represents a major change within the UN system in terms of the envisaged role the new agency will play among UN agencies as well as in the field. However, the transition is expected to take a while and it is still too early to fully identify what the agency's new mandate, priorities, opportunities and challenges will be. A change in the mandate and priorities may also imply slight or significant changes in the role and approach of the agency towards CD. However, as stated by UN Women's Executive Director during the UN daily press briefing on January 25, 2011, capacity development remains at the core of the agency's work:

> *Our fundamental objective is to <u>enhance national capacity</u> and ownership to enable national partners to formulate gender-responsive laws and policies and to scale up successful strategies to deliver on national commitments to gender equality.*[18]

In any case, UN Women will need to confirm or revise the suggested definition of CD and make clear how its field offices should approach the issue.

UN Women SARO

UN Women SARO is one of the four sub-regional offices in Africa and covers 14 states. The agency has physical presence through country offices in Mozambique and Zimbabwe only. The country office in Mozambique was established in February 2008 and the one in Zimbabwe was formerly the sub-regional office.

The main areas of focus for UN Women SARO are as follows:

- Women poverty and economics;
- Ending violence against women;
- Governance, peace and security;

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[16] UNDP. Millennium Development Goals. Country Report 2010. Page 37. Available online at:
http://www.undp.org.za/remository/func-startdown/277/

[17] Universalia. 2006. *Evaluation of the UNIFEM multi-year funding framework (MYFF) system*.

[18] UN Women. 2011. *UN Women: Vision and 100-Day Action Plan: A Summary Briefing*.

- HIV and AIDS; and

- Human's rights/CEDAW.

In their most recent sub-regional strategy (2008-2009), UN Women SARO focuses on almost all of UN Women's corporate outcomes from the Development Results Framework (DRF). (Exceptions are outcomes 2 and 3).

In line with the agency's working approach, UN Women SARO activities on the ground are largely implemented through its civil society and government partners. The office also counts upon a number of gender experts hired to provide consultancy services on specific themes (e.g. GRB and GBV).

Beyond governments and CSOs, the sub-regional office works in some of the countries that it covers, in close collaboration with other UN agencies as part of UN Joint Programmes. In Mozambique, for instance, UN Women is involved in five UN Joint Programmes: Decentralization and Integrated Local Development; Women's Empowerment and Gender Equality; Capacity Building of Civil Society; and Disaster Preparedness, Mitigation and Response. These joint programmes are meant to enhance the coordination of UN agencies' programmatic work. UN Women's participation in them is intended to complement the work of other UN agencies in supporting development of national partners' capacity to address gender equality and women's empowerment issues, as well as to bring a gender perspective into the work conducted by other UN agencies.

This picture shows an ambitious programme and the spreading of efforts over a huge territory in which the agency has limited presence and, even where there is physical presence, the workload is very high given the small number of staff available.

3. Evaluation Findings

3.1 Theory of Change Underlying UN Women SARO's Approach to CD

Finding 1: **UN Women SARO's reviewed CD activities imply two similar, yet slightly different Theories of Change: one for interventions that focus on general management skills, the other for those addressing specific thematic issues related to gender equality and women's human rights. There are questions as to the validity of some of the assumptions underlying the reconstructed Theories of Change.**

As already noted in the Inception Report, UN Women SARO has not yet developed an overarching *Theory of Change* (TOC) that would make the key assumptions underlying its capacity development work explicit. However, consulted UN Women SARO staff members shared their expectations regarding the envisaged results for the different CD interventions. These expectations reveal a number of underlying assumptions that appear to have (implicitly) guided at least some of UN Women's work in the CD area.

As shown in section 1.2.1 above, the portfolio of CD activities reviewed for this evaluation includes two main categories of interventions:

a) those addressing the basic management skills of UN Women's staff and partner organizations, such as the Financial Management Training and the Evaluation Capacity Building Workshop; and

b) those addressing content-related knowledge and skills on gender-specific issues, such as the study tours on GRB and GBV, the various international fora (e.g., on HIV/AIDS, the status of women, etc.), and the Training on GRB.

While different in content, both types of interventions can be seen to ultimately contribute to the same long-term objective, namely the strengthening of national capacity for gender equality. This in turn would contribute to UN Women's corporate goal of ensuring that "national commitments to advance gender equality and women's empowerment are implemented".[19]

The two Theories of Change presented in Exhibits 3.1 and 3.2 below each imply a certain set of underlying assumptions. Some of these were explicitly expressed by consulted UN Women SARO staff in the visited countries, while others –the implicit assumptions- were deduced by analyzing UN Women SARO's reviewed CD interventions. The two exhibits below illustrate our conceptualization of these two Theories of Change, as well as of some key assumptions which they imply. Please also see sidebar.

> **Note**: The Theories of Change presented in Exhibits 3.1 and 3.2 do not necessarily reflect UN Women SARO's or the Evaluation Team's understanding of how CD 'works' or 'should work'. Instead it reflects the TOCs that are **implied** by UN Women SARO's **reviewed CD work** to date. In other words, UN Women SARO's CD approach 'makes sense' if the assumptions and logical relations outlined in the TOC apply.

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[19] See: http://www.unifem.org/attachments/products/UNIFEM_SP_2008-2011_eng.pdf

**Exhibit 3.1   Theory of Change for CD Interventions Addressing Basic Management Skills of UN Women
SARO's Partner Organizations[20]**

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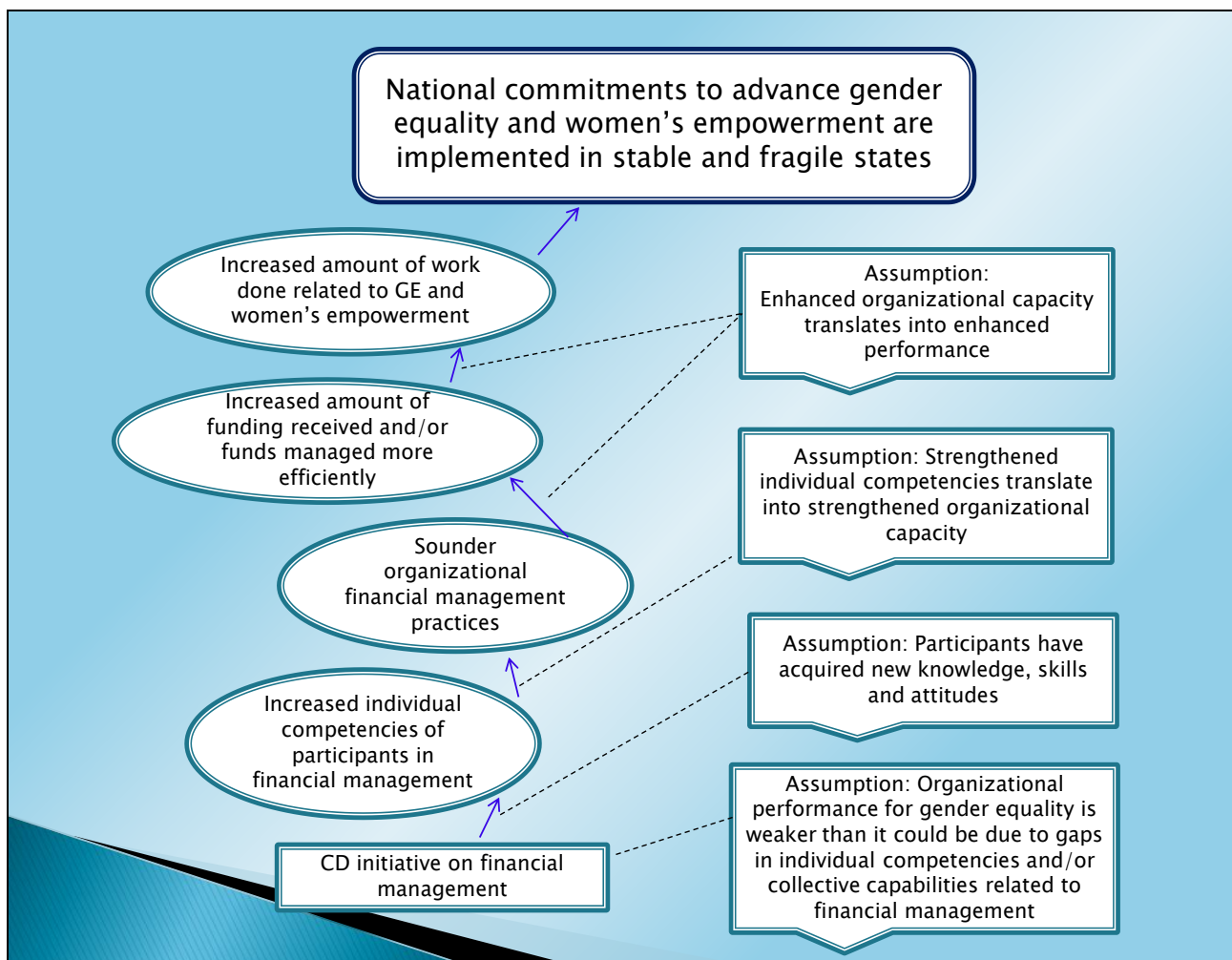
[20] UNIFEM Strategic Plan 2008-2013 includes two results frameworks: the Development Results Framework (DRF) and the Management Results Framework (MRF). The TOC presented in Exhibit 3.1 shows expected results (or changes) for UN Women SARO's partner organizations and pertaining to the DRF. We are aware that, in some cases, UN Women SARO staff attended some of the reviewed CD activities. However, related results would pertain to the MRF and not the DRF. As emerged from the interviews conducted with UN Women SARO's staff, expected results for its staff are in the sense of improved competencies to deliver UN Women SARO's programme and to better support partner organizations, which in turn would lead to contribute more effectively and efficiently to the results of the DRF.

Exhibit 3.2   Theory of Change for CD Interventions Addressing Content-Related Knowledge and Skills on Gender-Specific Issues of UN Women SARO's Partner Organizations[21]
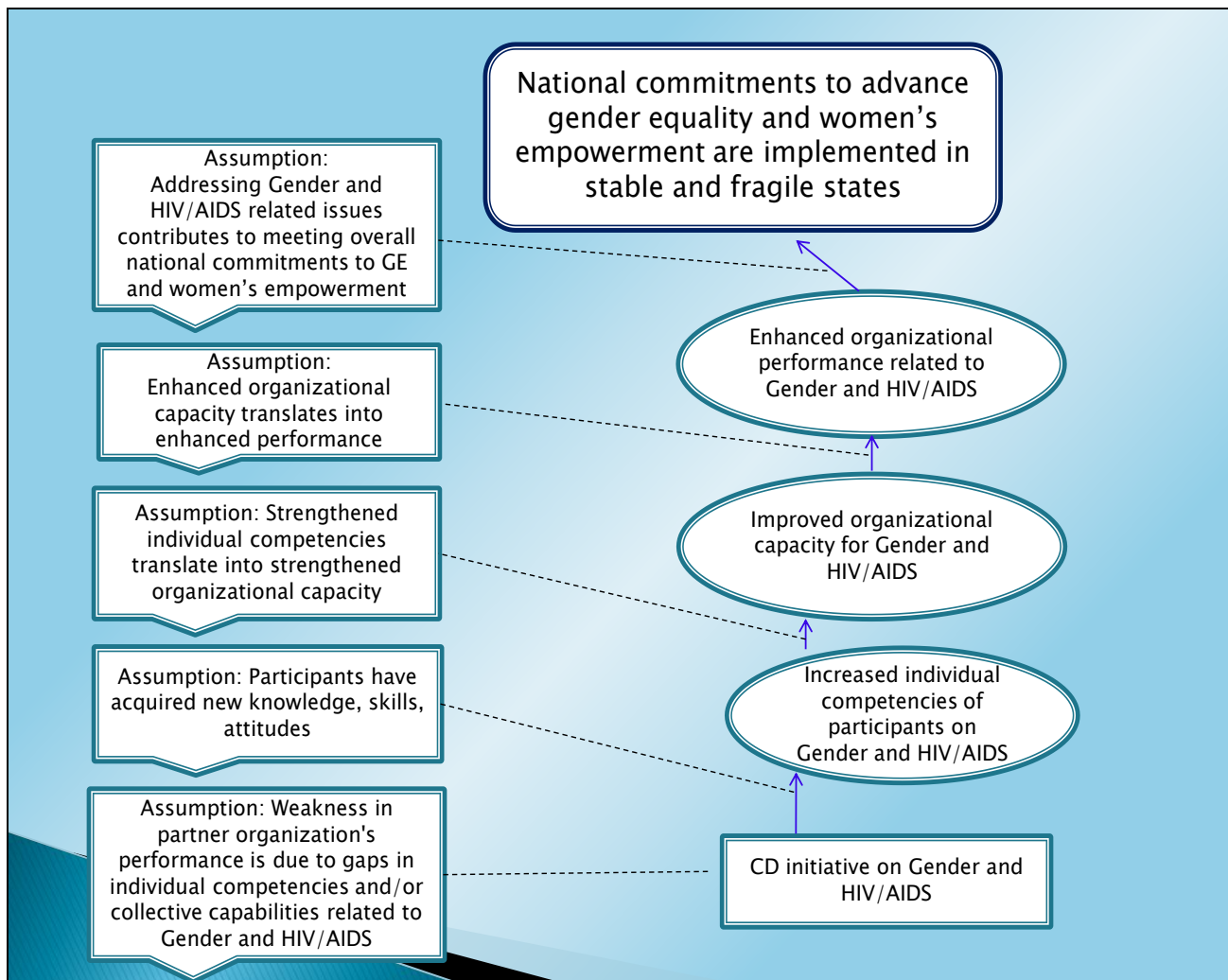
While many of the assumptions underlying the two TOCs are intuitively convincing, we would like to raise a number of concerns:

- One key assumption underlying UN Women SARO's overall approach to CD is that enhancing the competencies of select individuals will more or less automatically 'translate' into, or at least significantly contribute to, enhanced organizational capacity, which in turn will lead to enhanced organizational performance. While this may hold true in some cases, things usually tend to be more complex.[22] In our understanding, strengthening the knowledge, skills or attitudes of individuals within an organization is an *important*, yet not necessarily *sufficient* part of enhancing the organization's overall capacity.

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[21] See previous footnote.

[22] This is based on consultations with UN Women staff and CD participants, as well as on our knowledge of other agencies' CD work, and on our knowledge of relevant literature.

- UN Women SARO staff noted that, in an ideal case, measures such as Training of Trainers (TOT) should be used to ensure that the knowledge and skills of a few targeted individuals are being shared within the organization and thus 'translate' into strengthening the collective capabilities of the organization. While this may hold true, our review of UN Women SARO's ten CD activities in Southern Africa has not provided any evidence of UN Women SARO having directly supported the development and implementation of such TOT mechanisms.

- A related question is whether and to what extent organizational *capacity* necessarily translates into or even equals organizational *performance*. In other words, if capacity describes the *potential* of an organization (or institution, or network) to perform, strengthening that capacity makes it more likely that the organization will perform better, but does not guarantee that it will actually do so.

- Consultations with UN Women SARO staff and their national partners indicate that most organizations have considerable, larger and more complex capacity 'gaps' than those that have been addressed through individual interventions – i.e. most organizations require strengthening of *both* their managerial *and* their content-specific capacity. While no single intervention can address multiple different needs at the same time, the question arises as to the extent to which specific CD activities are or should be integrated into a broader plan for strengthening the overall organizational capacity over time.[23]

3.2 Relevance

Relevance is defined as the extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies.[24]

We have assessed the relevance of UN Women SARO CD interventions with respect to: i) the needs of the target participant groups, ii) national and/or organizational priorities, iii) UN Women corporate mandate and sub-regional priorities, and iv) other donors' priorities.

Relevance of CD Interventions in View of the Target Groups' Needs

Finding 2: **The reviewed CD initiatives have been relevant in view of the participants' individual needs, and in relation to their respective organizations' mandates and existing capacity.**

All consulted participants from UN Women SARO's CD interventions stated that the activities which they attended were relevant or highly relevant both to their personal work and to their organizations'. They declared that the CD events had addressed existing gaps in their individual professional competencies and/or in their respective organizations' overall capacity.

Consulted stakeholders highlighted the following factors as contributing to their respective individual and/or organizational needs.

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[23] Please note that most of the consulted UN Women SARO staff agreed that stand alone events targeting specific issues are usually not sufficient to systematically strengthen the capacity of partner organizations. This realization, however, has not (yet) translated into a change towards an approach based on a more comprehensive analysis of existing capacity which could lead to a methodically thought out and tailored intervention strategy.

[24] OECD-DAC. 2002. Glossary of Key Terms in Evaluation and Results Based Management. Page 20.

- **Absence of examples or reference models in the participants' home country**: In Mozambique, UN Women has been working with a number of organizations that do innovative work (i.e. that, as in the case of NHAMAI[25] , provide services not dispensed by any other organization in the country, or that, as in the case of HOPEM[26] and Art Social[27], use an innovative and unique approach). Consulted representatives from NHAMAI, HOPEM and Art Social (three organizations supported by UN Women SARO to participate in South-South exchange visits or in trainings held in South Africa) noted that the uniqueness of their work in Mozambique makes it difficult for them to improve their respective approaches, given the absence of comparable models or examples within the country. The opportunity to learn from the experiences of organizations in other countries doing similar work was therefore regarded as highly relevant.

- **First working experience with UN Women SARO**: In the three countries visited, some of the organizations that participated in the Financial Management Training had just recently commenced their partnership with UN Women SARO. It was therefore important for them to learn about UN Women SARO's reporting requirements. In certain cases, such as that of Art Social in Mozambique, the partner organization had no previous experience with other UN agencies or donors as well. It was therefore deemed beneficial that they be familiarized with UN Women SARO's expectations towards financial management.

- **Weakness of CSOs**: Our review of the gender scoping study conducted in 2006/2007 in Zimbabwe,[28] the Civil Society Index (CSI) report in Mozambique,[29] the establishment by the UN Country Team in 2007 of the UN Joint Programme on Capacity Building of Civil Society in Mozambique,[30] and the interviews we conducted with donors, UN Women SARO staff, and government representatives indicate that CSOs in Mozambique and Zimbabwe are generally weak, both in terms of managerial skills and expertise in GE-specific thematic areas.

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[25] NHAMAI, an NGO established in 2004, has been –and still is- the only shelter for women survivors of violence that exists in Mozambique. The organization faces many challenges in terms of its human resources (all the people working for the organization are volunteers), and strategic leadership (the organization does not appear to have a clear mandate and programme). Also, the organization seems to be poorly integrated in the surrounding institutional environment.

[26] HOPEM is a network of national and international organizations working with men on the theme of violence against women. This network was only founded in 2009 and is now struggling with some of the key challenges networks often face, i.e. communications within the network and membership cohesion (the latter refers to the strength of the ties between members and the duration of members' relationships).

Source: http://www.scalingimpact.net/files/IDRC_Network_IPARL_Paper_Final_0.pdf

[27] Art Social, which has been a member of HOPEM since its establishment, is an organization regrouping artists who view art as a powerful vehicle for communication and agent for development. Art Social conducts projects in different thematic areas, such as HIV/AIDS, health, environment, and gender equality. They work with men to promote gender equality and to sensitize them on the issue of violence against women.

[28] New Dimensions Consulting (Pty) and George Zimbizi. April 2007. *Gender Scoping Study Report*. Available online at: http://nedicozimbabwe.com/docs/GenderScopingStudyFinalReport.pdf

[29] FDC.2007. *Mozambican Civil Society Within: Evaluation, Challenges, Opportunities and Action*. Page 11. Available online at: http://www.civicus.org/media/CSI_Mozambique_Country_Report.pdf

[30] The main purpose of this program is to strengthen technical capacity of local NGOs, community groups and traditional leaders and their abilities to take part in policy discussions. Source: Editorial – One UN. JUNTOS. *United Nations Delivering as One in Mozambique*. Issue 26, February 2010.

> **Relevance – Quotes from Participants**
>
> "We recently established this network. We have a lot of good will, but we didn't know how to start. We needed to learn specific methodologies, knowledge, and project approaches on how to work with men and boys." (Study tour participant)
>
> "As a country, we have just started the gender budgeting initiatives. The visit provided a lot of information, for instance, on the need for a close working relationship with the Ministry of Finance and National Planning and for the involvement of civil society." (Study tour participant)
>
> "Although our headquarters office had already worked with UN Women in the past, it was the first time for our country office to work so closely with UN Women. We did not know how to report to them." (Financial Management Training participant)
>
> "As a human rights organisation and because of the diverse nature of the work we do, we are always dealing with multiple donor requirements for financial reporting. It is important to have good standard operating procedures to ensure efficient reporting." (Financial Management Training participant)
>
> "Our country had not been able to participate in international fora for a long time. In 2010, with the support of UN Women SARO, we were able to link up with other countries and organizations present at the CSW, and to gain insight into what is happening on the gender agenda, especially within the context of Africa." (Participant in the Commission on the Status of Women-2010)

- **Multitasks and multi-competencies profile required to support UN Women SARO's partner organizations:** The work UN Women SARO does with partner organizations requires its staff to have knowledge and skills in many areas, such as programme/project monitoring and evaluation, reporting, planning, coordination, financial management, institutional assessment, gender-based violence, gender responsive budgeting, etc. As it emerged from the interviews conducted with some members of the UN Women SARO staff in South Africa, Mozambique, and Zimbabwe, such a broad spectrum of competencies is key to support UN Women SARO's partner organizations effectively. Some of the interviewed staff members recognized their limited knowledge in one or more of the above-mentioned areas and welcomed, therefore, the opportunity that was given to them for participating in some of the reviewed CD activities (e.g. the Study Tour to Brazil, the Evaluation Capacity Building, and the Beijing+15 Conference) as a way to improve their capacity to support these organizations.

While we acknowledge the positive assessment made by the consulted participants from UN Women SARO's CD initiatives, we would like to raise the following observations and questions regarding the relevance of the reviewed activities:

- The majority of reviewed CD activities responded to requests for support that were expressed by the respective UN Women partner organizations and/or specific staff members. Our data do not provide information on whether and to what extent UN Women SARO confirmed or verified the relevance of these requests. [31]

- In some cases the 'need' to which the CD activity responded was intrinsically linked to the existence of UN Women (and other potential donors) itself. In the case of the Financial Management Training and the Evaluation Capacity Building Workshop, for example, one key aim was to strengthen participants' (from UN Women SARO's and UN Women's partner

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[31] We will revisit this issue in the section *Factors Affecting Performance*.

organizations) ability to work in an effective partnership with UN Women SARO/UN Women (and/or other donor organizations). It is currently unclear to us whether and to what extent these activities addressed the respective organizations' existing priorities and needs for CD, and complemented other CD initiatives within the organizations.

Relevance of CD Interventions in View of National Priorities

Finding 3:   The thematic choices for the gender-specific CD activities have been relevant in view of the national priorities for GE.

UN Women SARO's efforts to strengthen the capacities of CSOs' and government agencies with respect to gender equality are aligned with the national priorities in South Africa, Mozambique and Zimbabwe.

All CD interventions focusing on gender-related thematic issues address topics that are explicitly mentioned as being among the GE priorities of the concerned countries. A detailed analysis of how well the reviewed CD activities align with national GE priorities can be found in Appendix VI of Volume II.

Finding 4:   Consulted stakeholders expressed varying opinions on the relevance of UN Women SARO's choices of partners in view of national priorities.

From the interviews conducted in the three countries, a consensus has emerged on the high relevance of UN Women SARO's approach of working with and supporting the capacity development of both CSOs and government partners.

Over the past few years, all three visited countries have undertaken important changes to their legal frameworks for GE. Despite facing certain challenges, CSOs are playing, or are increasingly called upon to play, a key role in implementing gender equality, either by keeping the government accountable, by providing services like shelters to victims of violence, or by sensitizing the public on specific issues. Strengthening their thematic and/or managerial capacities thus contributes –though sometimes indirectly- to the achievement of progress in the country's national priorities for GE.

At the same time, national governments are increasingly under pressure to address gender equality issues. However, many government agencies are limited in their performance by a lack of capacity in areas such as gender budgeting, monitoring and evaluation, or gender mainstreaming. Consulted representatives from other UN agencies in South Africa noted a knowledge gap on the links between gender equality and national socio-economic development among many duty bearers. Meanwhile, in Mozambique, as noted in the most recent UNDAF, UN agencies report that the country "suffers from a lack of capacity at all levels of Government and across all sectors. With the exception of a few key ministries, federal planning bodies lack the financial and human resources and overall capacity to effectively manage national development programmes. In addition, capacity building in the public sector and retaining capable and well-trained staff is a pressing challenge, especially at sub-national levels and in the rural areas." [32]

The reviewed CD activities have mostly targeted CSOs and, to a lesser extent, government representatives. Out of a total of 56 participants in the reviewed CD activities, twenty-eight work in CSOs, and ten in governments.[33] We are aware of the fact that, beyond the ten reviewed activities for this evaluation, UN Women SARO has been working with government officials to strengthen their capacities on a variety of thematic areas (such as GRB and GBV linked to informal cross-borders trade).

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[32] United Nations. December 2007. *Revised United Nations Development Assistance Framework 2007-2009*. Mozambique. Paragraph 2.1.

[33] The remaining 18 individuals were staff from UN Women country offices in Africa who participated in the Evaluation Capacity Building Workshop.

It needs to be noted, however, that some of the key stakeholders consulted expressed the view that UN Women SARO should put more emphasis on working with governmental partners than it has done so in the past, in order to more effectively contribute to the national priorities identified by governments.

Relevance of CD interventions in View of UNIFEM's Corporate Mandate and Sub-Regional Priorities

Finding 5: **UN Women SARO's CD efforts are aligned with the corporate mandate[34], as well as with some key objectives formulated in the agency's Development and Management Results Frameworks. Yet, it is difficult to identify specific links between individual CD activities and the sub-regional Outputs and Outcomes formulated in UN Women SARO's Sub-Regional Strategy.**

Strengthening the national capacity for gender equality and women's human rights is at the heart of the corporate mandate and priorities, as outlined in the *UNIFEM Strategic Plan 2008-2011* (a document which has been extended till 2013). This is also mirrored in UN Women SARO's Sub-Regional Strategy (SRS). Thus, any effort to enhance the capacity of national duty bearers or rights holders in the context of gender equality and women's human rights (WHR) is relevant. Similarly, the *UNIFEM Management Results Framework* (MRF) highlights the need to continuously strengthen the capacity of UN Women staff to effectively manage projects and relate to and support partner organizations. Hence, CD efforts which seek to broaden the knowledge and skills of UN Women staff are relevant in view of the corporate and sub-regional MRFs.

While it is easy to confirm the general relevance of UN Women SARO's CD work, it is more difficult to grasp the relevance of individual CD activities vis-à-vis the specific objectives and anticipated results outlined in UN Women SARO's SRS. Though each CD activity is formally linked to one of the DRF or MRF results outlined in the Sub-Regional Strategy (please see Appendix VII, Volume II, for an overview of this alignment), the assumed relevance of some CD activities with regard to the result they have been coupled with is not always clear.

For instance, it is not evident how participation in the 18th AIDS Conference in Vienna is expected to contribute to SRS output 4.1 – *UNIFEM structure and presence enable it to respond to demands for gender equality support at country, regional and global levels and in the context of UN reform.*

The absence of explicitly formulated envisaged results for individual CD activities, the scarcity of available project/activity documents, and the absence of explicit country program strategies or of a sub-regional CD strategy make it difficult to (re)construct the connections which were envisioned between individual activities, broader programming efforts, and the overarching objectives being pursued by UN Women SARO.

In order to clarify the relevance of specific CD activities vis-à-vis the specific objectives and anticipated results outlined in UN Women SARO's SRS, UN Women SARO should consider making explicit, for its future CD work, what the connections are between individual activities, broader programming efforts, and the overarching objectives being pursued by UN Women SARO.

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[34] Given that the evaluation assesses programming efforts that took place before UN Women was formally established, we only refer to UNIFEM's corporate mandate and priorities.

Relevance of CD interventions in View of Other Donors' Priorities

Finding 6: **In Mozambique and Zimbabwe, some of the reviewed CD activities have been relevant in view of other donors' priorities.**

In Mozambique and Zimbabwe, UN Women SARO has often worked within the framework of programmes developed in collaboration with other development partners and the national government. In Mozambique, for instance, some of the reviewed CD activities are linked to UN Women's participation in the UN Joint Programmes. In the case of the GBV Study Tour to Italy, the two NGOs (NHAMAI and Lemusica) were supported under Output 3 of the UN Joint Programme on Women's Empowerment and Gender Equality - *National capacity of local authorities and the civil society organizations to effectively address the issues of public security, including gender based violence, strengthened*, Activity 3.14 - *Contribute to the strengthening the services capacity of the Shelter Centres/Homes for Women and Children Victim of Violence*. (See sidebar for more details about this joint programme.) In the case of Zimbabwe, CD activities were part of the Gender Support Programme (GSP), a multi-donor initiative launched in 2009 and dedicated to the advancement of gender equality, equity and women's empowerment at the local and national levels. Capacity development activities therefore aimed to strengthen GSP grantees in a number of areas (such as monitoring and evaluation and financial management), so as to make them more effective partners in the implementation of the GSP.

> **Mozambique: UN Joint Programme on Women's Empowerment and Gender Equality**
>
> The Joint Programme on Women's Empowerment and Gender Equality aims to maximize the UN's effectiveness and strengthen its support in the areas of gender sensitive legislation, economic empowerment of women, and elimination of gender-based violence. The Programme contributes to the following objectives:
>
> · Building the capacity of government and partners from civil society (CSOs) to advocate for gender sensitive legislation and disseminate information on women's rights;
>
> · Support national efforts to fulfill commitments made in favor of women on the national agenda;
>
> · Enhance women's economic empowerment through enterprise development and access to credit;
>
> · Increase women and girls' access to basic education; and
>
> · Contribute to the elimination of gender-based violence.

3.3 Effectiveness and Impact

Effectiveness is defined as the extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance.[35] Impact is defined as the positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.[36]

Our assessment on the effectiveness of the reviewed CD activities is based on the extent to which these have achieved the envisaged explicit or (mostly) implicit outputs and outcomes. In addition, we have taken into consideration the perceptions of consulted CD participants and other stakeholders regarding the immediate and (expected) mid-term results of these activities. Where relevant, we use the concepts of 'individual competencies' and 'collective capabilities' (as introduced in the 2010 *UNIFEM Framework and Guidance Note for Capacity Development*) to distinguish between different dimensions of capacity.

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[35] OECD-DAC. 2002. Glossary of Key Terms in Evaluation and Results Based Management. Page 20.

[36] OECD-DAC. 2002. Glossary of Key Terms in Evaluation and Results Based Management. Page 24.

3.3.1 Overall Effectiveness of Individual CD Interventions

Finding 7: **There is evidence that the reviewed CD activities have contributed to strengthening the individual competencies of the participants. However, it is not possible to assess the extent to which these individualized achievements have contributed to UN Women SARO's broader programming objectives at national and sub-regional levels.**

Interviews with CD participants indicate that the reviewed CD interventions have contributed to helping participants acquire new knowledge, acquire new skills, and/or increase their (professional) self-esteem and self-confidence. More specifically, there is evidence of:

- Individuals having enhanced awareness and knowledge of relevant issues (e.g. GRB, financial audit, and the provision of legal services to women survivors of violence);

- Individuals having developed new or improved skills relevant for their work (e.g. management of evaluation processes, engaging men in the fight to end violence against women);

- Individuals having established new and relevant contacts or networks (e.g. networking with gender advocates, with African Union representatives, and grass-roots organizations); and

- Individuals having gained self-confidence in the work they perform (e.g. increased self-confidence on how to deal with women survivors of violence and on what services to provide them).

This is in line with the survey results, which show that all the respondents consider their participation in a CD activity to have had either some or considerable effects on their personal knowledge, skills and/or attitudes.

However, data obtained through document review and consultations with UN Women staff and stakeholders did not provide clarity on the specific ways in which these personalized achievements are envisaged to contribute to UN Women's SARO's broader development goals at the national level, and much less at the regional level.

Consulted UN Women SARO staff members noted that in most cases they conceptualized the anticipated longer-term results (outcomes) of CD activities as positive changes in the performance of partner organizations in working towards gender equality. To our knowledge, no specifications were made as to what aspects of performance would be affected and how. Nor were specifications made as to how UN Women SARO and its partners would measure whether, to what extent and in what way the organization's performance had been improved.

Although individual CD activities can be regarded as being (potentially) *relevant* in view of UN Women's larger objectives (as noted earlier), there are no clearly elaborated theoretical or practical links between specific activities and more complex development objectives. [37]

The types of results achieved through the various CD interventions, and which we identified through interviews, an online survey, and a document review, are shown in Appendix VIII, Volume II.

In order to facilitate the assessment of the effectiveness of individual CD interventions in terms of contributions to UN Women SARO's broader programming objectives at national and sub-regional levels, UN Women SARO should consider making explicit what aspects of performance would be affected, as well as how UN Women SARO and its partners would measure whether, to what extent and in what way the organization's performance will be improved

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[37] A theoretical link would be constituted by a convincing Theory of Change and/or results framework that would outline the envisaged logical progression from activities/initiatives to short, mid-term, and long-term results. A practical link would be constituted by evidence of a programmatic approach taken by UN Women SARO, i.e. an approach consisting of a set of complementary initiatives that jointly contribute to a common objective.

Finding 8: **UN Women SARO's approach to Capacity Development appears to have been effective in influencing the competencies of individuals, but not in influencing the collective capabilities of their organizations.**

Most consulted participants stated that they have applied their newly acquired knowledge, skills and/or attitudes to their work. The table below summarizes the types of knowledge and skills that participants claim to have applied, as well as the types of improvements to their work to which these knowledge and skills have contributed.[38]

Exhibit 3.3   Types of Application of Knowledge and Skills Acquired by Participants in their Work

UN Women SARO's CD Intervention	Types of Application of Knowledge and Skills Acquired by Participants in their Work
Financial Management Training Workshop	Better reporting on financial data. Improved communication with donors throughout the project implementation. Improved personal involvement with the programme team; better able to help them with their financial demands. Use knowledge and skills to tailor reports to specific donor requirements for different projects. Use knowledge and skills to prepare for an audit, to improve financial management, to prepare documentation, to raise vouchers and to execute daily operations. Use knowledge and skills to follow budget guidelines
Evaluation Capacity Building Workshop	Improved quality of the evaluation plan by following the requirements of the UN Women Evaluation Policy. Use knowledge to support programmes. Follow-up on the organization's field based activities and on those implemented by partners. Use of knowledge and skills to take over the role of Monitoring and Evaluation Focal Point within the organization and to become part of the Inter-Agency group on M&E in the country (UN network); support and supervise all external evaluations commissioned by Headquarters or the Sub-regional Office. Use knowledge and skills in the planning stage of proposals with partners. Use of the UN Women guidelines and tools related to evaluation, notably for the planning stage of proposals with partners.
GRB Training	No specific application of knowledge or skills to the work of participants was found.
Study Tour to Brazil	Better targeting of audience: after the Study Tour, the organization changed its approach to the television program they were developing. The original idea was to create a television program for men, but with women as the final beneficiaries. After the Study Tour, the approach was changed and more emphasis was placed on the need to target men as beneficiaries also, The organization having learnt in the exchange that this is part of the solution for abolishing violence against women. The organization identified three generations of men as targets for the program, realizing that both older and younger men can make a difference.
Study Tour to Ecuador	Adoption of a participatory approach in the development of a project proposal: after the Study Tour, a workshop was organized with the participation of representatives of the government and of CSOs to review the national budget call circular.
Study Tour to Italy	No specific application of knowledge or skills to the work of participants was found.
International Forum – 18th AIDS Conference in Vienna	No specific application of knowledge or skills to the work of participants was found.

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[38] Please note that, while the evaluation team tried to triangulate this information e.g. by consulting with colleagues or supervisors of the respective CD participants, this was not always possible. In most cases, the presented information is therefore a mere reflection of participants' statements.

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UN Women SARO's CD Intervention	Types of Application of Knowledge and Skills Acquired by Participants in their Work
International Forum - Gender is my Agenda	Use of the knowledge to influence MPs from the Ministry of the Organ for Healing and the Ministry of Women Affairs.
International Forum - Beijing +15	Use of the knowledge and skills to take over the role of coordinator of the Unite to End Violence against Women Campaign. Better coordination of the Unite to End Violence against Women Campaign.
International Forum- Commission on the Status of Women	Use of the new knowledge to help the Gender Secretariat with the CEDAW Reporting Process. Use of the new knowledge to link the AU Women's Decade with the Africa Unite campaign and with the national priority of ending Gender-Based Violence.

There is only limited evidence of CD participants having shared their knowledge/skills with others within their respective organizations or of having otherwise been able to influence the organization's collective capabilities.[39]

UN Women SARO should consider developing mechanisms and/or tools (e.g. memorandum of understanding) to promote the sharing of the knowledge/skills acquired by the participants within their respective organizations.[40]

The table below presents the examples mentioned by consulted participants of the effects they perceive to have taken place in their organization as a result of their participation in a UN Women SARO CD activity. In some cases, the relationship between the CD event and the broader effects that have been claimed by participants is not immediately clear.

Exhibit 3.4   Effects of CD activities on Participants' Organization/Team

UN Women SARO's CD Intervention	Types of Effects of CD activities on Participants' Organization/Team
Financial Management Training Workshop	Improved communication between the finance and the programme units. Improved balance in terms of gender representation within the organization. Projects more focused on the most vulnerable. Led to the development of an audit planning system in the department, to changes in the budgeting process, and to the design of a new template for monthly monitoring. United vision in the organization on what is expected regarding reporting and finances.
Evaluation Capacity Building Workshop	The tools were put at the disposal of the office and used during the organization of an evaluation. The tools have also been used to advise partners. Evaluation results are used to guide the planning process and decisions made regarding project implementation, which has been useful for informing the organization's strategic direction.
GRB Training	No effect found.

[39] An important point should be noted regarding the survey results. At first glance, these results appear to contradict the findings obtained from the interviews, as 11 of the 14 respondents declared that the CD activity in which they participated had had either some or considerable effects on their organization or team. However, a content analysis of the answers provided to open-ended questions confirms, as observed in the interviews, that effects have mostly been limited to the individuals participating in the CD activities.

[40] According to the feedback received during the revision of the Draft Evaluation Report, it appears that UN Women SARO is already contemplating to prepare 'contracts' with participants to ensure learning is shared and applied.

UN Women SARO's CD Intervention	Types of Effects of CD activities on Participants' Organization/Team
Study Tour to Brazil	No effect found.
Study Tour to Ecuador	No effect found.
Study Tour to Italy	More attention paid to legal services for women survivors of violence: one of the two Mozambican organizations participating in the study tour said that, having understood the importance of offering legal counselling services to women survivors of violence, it is now working closely with two lawyers (who volunteer their time) to provide such services to the women the centre is assisting.
International Forum – 18th AIDS Conference in Vienna	More focus on women's leadership at the community level: since the Vienna experience, Women's Voices has worked with communities in Zimbabwe's rural areas in Mashonaland East, Mashonaland West, Masvingo and Matabeleland Provinces, encouraging them to begin to see their stake in development activities within their communities. Through this exercise, Women's Voices has been able to acknowledge and support existing leadership at the community level and to foster the continued participation of women in mitigating HIV and in caring for those with AIDS within their communities.
International Forum - Gender is my Agenda	No effect found.
International Forum - Beijing +15	No effect found.
International Forum- Commission on the Status of Women	Helped the Gender Secretariat with the CEDAW reporting process. The organization now sensitizes the public on the AU Women's Decade. The national gender management team will promote this decade-long event.

3.3.2 Unexpected Results

Finding 9:   One unexpected positive result of some CD initiatives has been, for certain participants, an increase in the knowledge regarding UN Women's work and a greater familiarity with its regional staff.

While most CD initiatives did not have explicitly formulated results, UN Women SARO staff usually held a number of implicit expectations with regard to their envisaged short and mid-term results. Beyond these expected results, our data indicate that the initiatives led to some unexpected positive effects, in particular participants' increased familiarity with UN Women SARO staff, better knowledge of UN Women's work, and the building of a stronger relationship with UN Women. (Please also see sidebar.) These are relevant for UN Women SARO for the following reasons:

- The collaboration and communication between UN Women SARO and its partner organizations is likely to be closer and smoother;

- There is a potential for increasing synergies between UN Women SARO and its partner organizations in their work in the field of gender equality, as there is a better understanding of UN Women SARO's objectives; and,

> **Unexpected Results - Quotes from participants**
>
> "Participation in the training on financial management has given us the possibility of putting a face on UN Women SARO's staff. We now know who we are dealing with and it is easier to ask them questions, to send them emails." (Participant in the Financial Management Training Workshop)
>
> "Before this study tour, I didn't know what UN Women was doing, what their objectives were, as UN Women was only meeting with the Ministry. However, since the study tour, I now have a better idea of what they do and I shared that with my colleagues too." (Participant in the Cape Town study Tour)

- There is potential for making UN Women's work more visible, especially in a country like Mozambique where the country office is relatively new and knowledge on UN Women is still limited.

> UN Women SARO should consider capitalizing on this unexpected result as constituting an enabling environment to the Agency's work on gender equality.

3.4 Sustainability

Sustainability is defined as the continuation of benefits from a development intervention after major development assistance has been completed, or also as the probability of continued long-term benefits.[41]

We assessed the likelihood that the results from UN Women SARO CD interventions will be sustainable:

- At the individual level, and

- At the organizational level.

Finding 10: Results achieved with respect to the strengthening of the individual competencies of participants in the UN Women SARO CD activities are likely to be sustained. The available data do not allow us to make an informed statement as to whether these results will likely benefit the participants' respective organizations in the longer term.

Most of the participants in CD initiatives consulted indicated that they expect the perceived benefits of their participation to be sustained in their work due to the following factors:

- **Commitment to GE work**: Nearly all of the consulted individuals expressed personal commitment to the cause of furthering gender equality. In all visited countries, the participants were attached to organizations or networks focusing on gender equality, and most individuals had worked in the sector for several years. Even if these individuals were to leave their current organizations, it is likely that they would continue applying their knowledge and skills in relevant ways.

- **Motivation/interest:** In the majority of cases, the participants themselves approached UN Women SARO staff asking for support in a certain thematic area, thereby indicating their interest in the issue and its relevance for their work.

- **Application of the new/increased knowledge and skills**: The majority of the participants interviewed have already applied at least some of the knowledge and skills they acquired during the CD intervention to their work. This makes it likely that they will continue to do so either within the same organization or in a new workplace.

- **Networking**: The CD activities provided participants with opportunities to network with other gender advocates and/or gender experts. Although only a few participants mentioned having had exchanges with other participants in the months following the CD activity, they still have a potential network of gender advocates or gender experts on which to count upon. This can be helpful for being kept 'in the loop' with regards to new ideas, and receive support from like-minded people.

Despite these positive findings, the evaluation raises concerns regarding the overall sustainability of the (actual and potential future) results of the CD initiatives due to the following reasons:

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[41] OECD-DAC. 2002. Glossary of Key Terms in Evaluation and Results Based Management. Page 36.

- **Organizational ownership of results:** In the majority of cases, changes in the knowledge, skills or attitudes of individual participants have not been shared widely within the respective organization, and there is only little evidence of organizations having formally 'embraced' and institutionalized the issues, ideas, or practices introduced through the CD initiative.[42]

- **Proportion of staff reached by CD activities:** Most of the reviewed CD activities have targeted one or two individuals from the same organization. Our data indicate that this has not been sufficient to create a 'critical mass' of agents of change within the respective organization. For instance, in FORCOM, the national forum for community radios from civil society in Mozambique, there is still limited gender equality awareness among the majority of members. While two people from FORCOM had the opportunity to participate in a UN Women SARO-supported CD activity, this has not been sufficient to foster change among a broader number of members of the forum.

- **One-off events:** Nearly all reviewed CD activities have occurred as one-time events. Only in the case of the GRB Study Tour to Ecuador have there been follow-up activities to provide continuity to the CD process. Given the long-term nature of (most) complex capacity development processes, it is highly unlikely that a single intervention would lead to sustainable change within an organization. This view was also expressed almost all of the consulted participants, who also emphasized the need for some kind of follow-up and/or alternative ways to build upon the new learning.[43]

- **Organizational structures hindering the sharing of the new learning**: In the case of HOPEM in Mozambique, the participants in the CD activities identified a challenge for sharing their new knowledge with the rest of their network, which is the limited access of its members to the Internet or to other communication channels. In the case of NHAMAI in Mozambique, leadership is concentrated in only one person; there is limited involvement of staff in key decisions, such as programmatic decisions.

In addition to the aforementioned factors, survey respondents identified the following factors within their organizations as hindering the sustainability of the results achieved:

- **Limited allocation of time and resources for sharing knowledge**: Participants in the Financial Management Training and in the Evaluation Capacity Building Workshop revealed that little time had been granted within their organization to ensure the transfer of the learning. The reason for this in all cases had to do with the participants' organizations having limited resources (both in terms of time and money). One of the participants from a study tour also identified, as a restriction for the sharing of knowledge, the need for others in the organization to have some basic knowledge; this implies that the sharing of the learning would otherwise be too time-consuming and costly.

- **Lack of human resources within the organization**: In line with the previous factor, multiple survey respondents (from government or partner organizations) identified the lack of human resources as representing a difficulty for applying their new knowledge. For example, one of the participants from the Evaluation Capacity Building Workshop stated that it was difficult to follow-

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[42] The extent and type of desirable institutionalization may differ by type of issues addressed in the respective CD activity, e.g. depending on whether the focus is on content specific issues around gender equality or on financial management aspects. However, in our understanding, any type of CD activity needs some extent of organizational 'backing' and support in order for its results to be effective and sustainable.

[43] Be it through, for example, additional training, exchanges to other countries, or mentoring/coaching/distance support for the application of skills in the workplace.

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up on project implementation on the ground because of a lack of capacity from a human resources point of view. In fact, the recruitment of additional and qualified staff is a recurring solution identified by participants to help them address their organization's capacity gaps.

UN Women SARO should consider putting in place mechanisms or tools, or adopting different approaches, to enhance the likelihood of sustainability of results achieved through CD activities within organizations. These may include, among others, reaching a larger number of staff members within partner organizations, planning for follow-up activities, and promoting the sharing of the new skills/knowledge within partner organizations.

3.5 Innovative and Catalytic Nature of Reviewed CD Interventions

Finding 11: There is no evidence indicating that the reviewed CD interventions have been innovative. The Evaluation Team found only one example of an activity having been catalytic.

The Evaluation Team did not find any evidence suggesting that reviewed CD interventions have been innovative. The reviewed CD activities, in fact, made use of rather 'common' or 'standard' approaches, strategies, and partners to capacity development. No consulted partners expressed the view that UN Women SARO-supported CD work has been innovative (or had tried to be innovative). In addition, there is no evidence of systematic attempts to capture information on the 'model' character of specific interventions, or approaches to 'scale up' or replicate experiences.

As for the catalytic aspect of these interventions, we found only one example, i.e. the case of the CD activities implemented under the Gender Support Programme in Zimbabwe. Through these activities, in fact, a partner was able to secure high-level funding.

The absence of other examples of catalytic interventions may be attributed to the one-off character of the reviewed CD activities, which limits the likelihood of synergies being created or used and therefore the possibility of generating catalytic effects.

3.6 Efficiency

Efficiency is defined as a measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.[44] In this section, we assess the efficiency of individual CD interventions and of UN Women SARO's overall approach to CD. Please note that the Evaluation Team's ability to assess this dimension was limited, due to a lack of relevant information received regarding this issue.

Finding 12: There is no evidence to indicate that UN Women SARO staff took efficiency considerations into account when designing and implementing CD interventions.

Consultations with UN Women staff provided no evidence that explicit or implicit considerations on the efficiency of the CD interventions played a role in the activities' design. Several staff members noted that CD activities are "always worthwhile".

This does not necessarily mean that UN Women SARO has made inefficient or lax use of available resources. Given the lack of available data (e.g. financial data on individual CD initiatives) we are not in a position to make an informed assessment of the efficiency of the reviewed CD interventions. We would however like to share a few observations and questions in this regard:

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[44] OECD-DAC. 2002. Glossary of Key Terms in Evaluation and Results Based Management. Page 21.

- The study tour on GBV took place in Italy. The rationale for that, as explained in the TOR of the study tour, was to provide the Mozambican organizations with exposure to the best practices on integrated services to victims of violence and to give them an opportunity to learn strategies to become self-sustained. Despite the rationale provided by the TOR, we have questions as to whether it justifies the expenses, given the many other closer and relevant destinations UN Women SARO could have chosen.

- The GRB study tour to Ecuador was considered by UN Women SARO as the best practice model in terms of collaboration between CSOs and government on the implementation of GRB. However, to our knowledge, there have also been successful African experiences of GRB, such as the case of Tanzania. In view of efficiency considerations, it is unclear what other considerations led the office to choose Ecuador.

- The current selection process for the choice of candidates does not necessarily yield the expected returns. One staff member mentioned the high cost of training a public servant on the International Labour Organization (ILO) approaches to GRB because the candidate did not have the necessary mandate to implement her new training/knowledge/skill in her job or her organization.

- In at least one case, UN Women SARO was able to leverage funds by partnering with other organizations, thus enhancing the efficiency of its own resources. For instance, for the study tour to Italy, the Italian partner organizations assumed the costs for the in-country visit, while UN Women SARO paid only for the travel and accommodation of the participants. However, we do not at present have any information as to the remaining costs (i.e. the expenses for the Italian experts who accompanied the representatives from the two Mozambican organizations).

3.7 Analysis: Factors Affecting Performance

Several factors appear to have affected, either positively or negatively, the performance of CD activities. We have grouped these factors under three different categories: programming choices, programme management, and human resources. Related findings are presented below.

Programming Choices

Finding 13: While most of the consulted UN Women SARO staff and partners described UN Women SARO's CD-related programming choices as appropriate and effective, our data do not provide evidence that programming decisions have been based on explicit selection criteria.

Approaches to CD: According to the information collected through interviews with participants from the reviewed CD activities and UN Women SARO staff, decisions about the approach and specific content to use for the CD activities were taken without, or with only very limited, consultation of the participants. To our knowledge, only in the case of the Financial Management Training did the consultants hired by UN Women SARO carry out a needs assessment prior to the event to invite participants to provide feedback on specific topics to be included in the training curriculum. Despite the very limited use of participatory approaches in the design of reviewed CD activities, interview and survey respondents were generally satisfied with the approach applied and content included in the CD activity which they attended. Participants expressed that the chosen approaches were in fact appropriate for the kind of needs they were meant to address, specifically:

- **Need for learning concepts and skills**: The training workshops appear to have adequately responded to this need as they provided concepts and skills on specific subjects such as monitoring and evaluation and financial management. In addition, as mentioned by several participants, the way in which they were organized (i.e. with the participation of individuals from other organizations and from other countries) allowed for exchanges among participants.[45]

- **Need for learning best practices**: Study tours were widely seen as the best approach for responding to this need as they provided participants with the opportunity to observe how other organizations conduct their day-to-day work and engage with their target groups. One observation that we already raised in relation to the efficiency criterion, but that also touches upon the criteria of relevance and of effectiveness, concerns the rationale for the specific location of the study tours.[46]

- **Need for updating the national GE agenda, networking and for sharing experiences**: International fora seemed appropriate for addressing this kind of need as they provided an opportunity for participants to learn about pressing GE issues at global, regional, and national scales, to stay in touch or meet with the international community of GE advocates, and to share with them their respective experience.

Targeted Needs: Eight out of ten of the reviewed CD activities were demand-driven and responded to requests made by UN Women SARO's partner organizations. Only the Financial Management Training and the Evaluation Capacity Building Workshop were initiated by UN Women SARO and UN Women Headquarters, respectively. Our data do not provide evidence on the extent to which the topics/areas addressed by the various CD activities responded to the most pressing or relevant needs of UN Women SARO's partners. Thus, it remains unclear whether the selected topics were the most strategic choices both for UN Women SARO and its partners.[47] From the interviews conducted with UN Women SARO staff, it appears that there were no mechanisms or tools in place for the sub-regional and national offices to conduct a <u>thorough</u> assessment of its partners' existing capacity (be it managerial, or related to specific issues around gender equality), so as to identify organizational capacity 'gaps' and develop a systematic approach for addressing them. Instead, it appears that UN Women SARO responded to the "shopping-list" of needs that partner organizations expressed, without any further appraisal.

Partner and participant choices: In the majority of cases, UN Women SARO supported the CD processes of organizations with which they were working in the framework of specific projects or programmes such as: the Gender Joint Programme and the Joint Programme on Capacity Building of Civil Society in Mozambique, the Gender Support Programme (GSP) in Zimbabwe, and the Governance, Peace, and Security programme in South Africa. However, to our knowledge, there has been no mapping of existing partner organizations and no assessment of their capacity to deliver GE results effectively and efficiently or of their potential to influence how GE issues are addressed within their country in both the short and longer term. It is therefore unclear why and how the choice of these organizations for the purposes of CD was made.

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[45] This was also noted as a useful element by 8 out of 12 survey respondents who participated in training workshops.

[46] For example, in the case of the Study Tour to Italy, the question arises as to whether Italy was the most appropriate choice, given the different socio-economic, cultural, and institutional contexts in which Mozambican shelters/anti-violence centres operate.

[47] This question is relevant in particular for the organizations supported by UN Women SARO in Mozambique. As noted earlier, these organizations tend to be relatively weak and, in some cases, very young. In this context, some other kinds of support (such as for management of human resources, programming, organizational culture, etc.) might have been more relevant in view of enhancing the organizations' overall capacity.

Choices regarding the specific individuals to include in a CD event were usually made by the partner organizations themselves. Only in a couple of cases, namely the Financial Management Training[48] and the Evaluation Capacity Building Workshop, was UN Women SARO to some extent involved in the selection of participants. The limited involvement of UN Women SARO in the selection of participants seems, in the majority of cases, to have been appropriate or, in any case, to not have negatively affected the results of the interventions. Some concerns were raised however by one consulted individual regarding the appropriateness of some of the participants in the Evaluation Capacity Building Workshop, the role and tasks of these participants not being strictly linked with evaluation and management of evaluation processes. This concern seems to find its fundament also in the responses from the survey. Some respondents criticized in fact the limited time spent on monitoring and the emphasis given to evaluation, affirming that their main task consists in the monitoring of projects and programmes rather than in their evaluation. This raises the question as to whether the profile of these participants was adequate, given the workshop objectives.

Finally, as we raised in the section on *Relevance*, some consulted stakeholders suggested that UN Women SARO should have focused more on supporting the CD of government partners in order to most effectively contribute to the achievement of national priorities.

Programme Management

Finding 14: There is considerable room for strengthening the management practices supporting UN Women SARO's work on capacity development.

Already at the onset of this evaluation, UN Women SARO noted the need to review and improve its management practices for CD, in particular with regard to the following areas:

- *Ad hoc* **nature of CD activities**. UN Women SARO staff members were already aware of the fact that most of the reviewed CD initiatives to date have been conducted on an *ad hoc* basis. The activities responded to the needs expressed by partner organizations, but were not part of an overarching CD plan or strategy that would 'situate' the specific activity either within UN Women SARO's overarching vision for CD, or within a longer term CD plan for the respective partner organization.

- **Provision of follow-up support**. Consulted UN Women SARO staff indicated that the available time and human resources did not allow the agency to provide continued support (e.g. through targeted follow-up activities) to the participants and/or their organizations. To our knowledge, UN Women SARO and its partners did not explore alternative options for ensuring follow-up, e.g. within the respective organization or through peer support.

- **Monitoring of CD activities**. UN Women staff acknowledged the absence of a system, tools, or processes for monitoring the results of their CD activities. According to UN Women SARO staff, the lack of monitoring can largely be attributed to the limited time available, the limited presence of UN Women SARO in countries, as well as to the limited know-how of existing staff members.

- **Reporting on CD activities.** As pointed out in the section on *Limitations*, documentation on reviewed CD activities is scant and, where available, it does not provide comprehensive information. Existing reports provide none or only very limited analysis of the experiences or lessons learned from the CD initiatives. The limited documentation deprives UN Women SARO staff as well as external actors like evaluators of basic information which could be used to assess the effectiveness, relevance, and efficiency of the CD activities. It also limits the identification and

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[48] For this activity, UN Women SARO requested the attendance of the accountant and of one programmatic person from each participating organizations.

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use of lessons learned to inform future activities of a similar nature. While consulted UN Women SARO staff largely attributed the issue to a lack of time and resources, some also noted that detailed reporting simply was not part of UN Women SARO's *modus operandi*.

In addition to the above-mentioned issues which were highlighted by UN Women SARO from the outset, data collected through stakeholder consultations and document review indicated a number of additional management practices that appear to have negatively affected UN Women SARO's performance in the CD field:

- **Assessing the existing capacity or partner organizations.** UN Women SARO does conduct institutional assessments of its partner organizations. However, to our knowledge, the template[49] used for these assessments focuses mostly on relatively general information regarding the organization's ability to responsibly handle funds. It does not appear to be suitable for assessing an organization's capacity in a way that would provide a meaningful basis for developing a CD strategy or plan.

- **Accountability mechanisms/Leadership and ownership of CD**. Reviewed CD activities targeted individuals as entry points for organizational change. Yet, UN Women SARO and its partners did not put mechanisms in place to ensure that, once the activity was over, the individuals would be able to share their knowledge or skills with the rest of their colleagues and would be supported to do so, and that related ideas or suggestions could be embraced by the organization as a whole. Partner organizations were not requested to ensure internal follow-up, or demonstrate other forms of leadership and ownership of their own CD process. Implicitly, this contributes to an approach to CD that regards UN Women SARO's partner organizations as passive recipients of CD, rather than as actors and drivers of their own development.

- **Perception of monitoring as a management tool**. Besides the noted absence of an effective and systematic approach to monitoring the effects of its CD work, consultations with UN Women SARO staff also indicated that monitoring appears to be widely regarded as a standalone process that is separate from 'actual CD programming' and that needs to be carried out by specialized staff members. Thus, monitoring does not seem to be perceived as an integral and helpful part of day-to-day management of CD initiatives.

UN Women SARO's Human Resources

Finding 15: A number of HR-related issues have negatively affected UN Women SARO's performance in supporting CD processes.

Interviews with UN Women SARO staff indicated a considerable amount of discomfort and uncertainty among individuals with regard to supporting CD processes. Some staff members expressed a lack of or limited knowledge of CD in general, and shared that they had only very little experience in supporting CD processes. During our consultations, staff members repeatedly expressed the need for clear guidelines or tools to help them design, implement, monitor and report on CD initiatives. While staff members were to varying degrees familiar with the *UNIFEM Framework and Guidance Note on Capacity Development*, the document did not appear to be viewed as sufficient to assist staff members in their work. In some cases, staff members' difficulty in supporting CD processes also appeared to be, at least partly, related to their limited knowledge of and working experience on specific themes such as GBV or GRB.

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[49] The Evaluation Team was never provided with the filled out institutional assessment forms.

4. Conclusions and Recommendations

4.1 Conclusions

UN Women SARO's work to strengthen its internal capacity and support the capacity development of its partners has been relevant in view of UNIFEM/UN Women's corporate mandate and global and sub-regional priorities. CD efforts have also been relevant in view of the individual and organizational needs of UN Women SARO's partners. In addition, the thematic areas addressed by those CD interventions which focused on gender-specific topics have been relevant, in view of the existing national priorities for gender equality. Consulted stakeholders, however, have expressed mixed views with regard to the relevance of UN Women SARO's selection of participants for the CD initiatives.

There is evidence that numerous achievements have been made through UN Women SARO's various CD activities. Most of these relate to a strengthening of the individual competencies (knowledge, skills, and attitudes) of participants. Assessing the relevance of these achievements in view of UN Women SARO's overall programming objectives at the national and/or sub-regional scales has however proven problematic, given that the envisaged short and longer term results of most of the CD activities have not been made explicit, and that their intended contributions to UN Women SARO's national and sub-regional outputs and outcomes are not always easily deduced. Furthermore, it is too early to assess the longer term effects of the reviewed CD activities within processes of broader organizational change, as most of these were one-time events that only took place fairly recently.

With regard to the sustainability of the results, those pertaining to a strengthening in the competencies of individual participants are likely to be sustained. Meanwhile, owing to the limited evidence of changes in the participants' organizations, it is not possible to assess the likelihood of their sustainability in a meaningful way. The observed lack of institutionalization and organizational leadership within UN Women SARO's partners are however likely to pose significant challenges for the sustainability of any results beyond the gains made in the competencies of individual staff members.

The Evaluation Team's ability to provide an assessment on the efficiency of UN Women SARO's CD activities was limited due to a lack of relevant information received regarding this issue. There is however no evidence at present to indicate that UN Women SARO staff systematically took efficiency considerations into account when designing and implementing CD interventions.

The evaluation identified three types of factors that appear to have affected UN Women SARO's performance: programming choice, programme management, and human resources. While most programming choices are perceived by UN Women SARO's consulted staff and partners as having been appropriate and effective, some stakeholders expressed concerns regarding the targeted needs and choice of supported organizations. Our data do not provide evidence that decisions on these matters were based on explicit selection criteria. A number of human resources-related issues have also negatively affected UN Women SARO's performance in supporting CD processes.

4.2 Recommendations

Recommendations for UN Women SARO's CD work are based on the Evaluation Team's analysis and findings. The recommendations are presented in view of increasing the effectiveness of UN Women's future work on capacity development in the Southern Africa region.

Recommendation 1: **UN Women (both at the corporate and sub-regional levels) needs to clarify and explicitly formulate: i) its understanding of 'capacity development'; and ii) related implications for UN Women's role and approach to supporting CD.**

There is a need for UN Women (at the corporate and sub-regional levels) to formulate and make operational its understanding of the concepts of capacity and capacity development. For this purpose, UN Women may either want to confirm the suggestions made in the *UNIFEM Framework and Guidance Note on Capacity Development* (2010) and take appropriate steps for their application throughout the agency, or it may choose to develop a modified concept and/or adjust the terminology proposed in that document.

Should UN Women not be able to achieve this at the corporate level within the foreseeable future, UN Women SARO should try to formulate its own understanding of capacity development as a temporary measure.

It is in this context of absence, at the corporate level, of clear concepts to make CD operational in the field that we recommend that UN Women SARO take into account the following reflections on the concepts of 'capacity' and 'capacity development' that are based on the respective definitions put forward by ECDPM.[50]

> **The question is not whether UN Women is using the 'right' definition or understanding of capacity/CD, but whether its definitions are relevant and useful for UN Women's work.**
>
> There is, to date, no broadly accepted single definition of the concept of capacity or of capacity development. Similarly, there is no single proven Theory of Change that would fully capture or be able to predict the complex processes that constitute capacity development. In light of this, UN Women's primary concern should be to ensure that whatever definition it decides to adopt corporately is relevant and useful for its work. By relevant, we mean that the definition/TOC must accurately capture key aspects of what UN Women understands capacity (development) to be and how it sees its own role in CD processes. Useful means that the respective definition or TOC actually influences and is reflected in how UN Women supports CD.

This understanding of 'capacity (development)' is reflected in the *UNIFEM Framework and Guidance Note on Capacity Development* (2010).

- **Individual competencies do not equal organizational capacity**. UN Women's ultimate goal is to help strengthen *national* capacity for gender equality, which – pragmatically- implies a focus on supporting the capacity of organizations, institutions, or networks. In the ECDPM's definition, organizational (or institutional) capacity emerges over time from the interrelationships and interactions among i) individual competencies (i.e. the knowledge, skills, and mindsets of actors), ii) collective capabilities (i.e. the ability of a group or team to carry out particular functions or processes), and iii) the respective (political, economical, socio-cultural) contexts in which individuals and groups operate. Changes in the individual competencies of select staff members can thus *contribute* to, but do not necessarily suffice to bring about significant changes in organizational capacity.

- **Capacity development is not linear or fully plan-able**. Changes in (organizational) capacity can be stimulated by i) planned, deliberate, managed, and comparatively 'linear' interventions that specifically aim to create change in one or more of the different elements feeding into system capacity, and/or through ii) emergent and/or incremental processes, i.e. changes that organically evolve over time and which are largely unpredictable. As such, they may go unnoticed or only be realized in hindsight. This does not mean that attempts to positively influence CD processes are useless, but it does emphasize the need to be both realistic and cautious when defining expected results of CD interventions. It also underlines the relevance of regular process monitoring over extended periods of time.

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[50] See: Heather Baser and Peter Morgan: Capacity, Change and Performance. Study Report, European Centre for Development and Policy Management (ECDPM). April 2008. http://www.ecdpm.org

- **Outsiders cannot develop the capacity of others – they can merely support the CD process**. It is important to note that CD (be it due to planned or emergent/incremental processes) takes place on an ongoing basis at all times. The interplay between individual competencies, collective capabilities and contextual factors that results in system capacity is dynamic, not stagnant. "Capacity" is thus an intrinsic part of what an organization 'is' at any given time. External support −occurring for example through CD interventions- can influence this ongoing process of capacity development (or 'evolution') and help it develop in a desired direction, but it cannot control it.

These considerations suggest that an understanding should be based on the view that capacity development is a complex and long-term undertaking that is essentially owned by the respective national partners. This in turn has implications for the actual CD programming that UN Women SARO would support, among which the following:

- **Who owns the CD process?** Given the lengthy and non linear nature of capacity development processes, short-term interventions are likely to support small parts of these processes. Therefore, it is important to ensure that the overall CD process is owned and ideally driven by the respective organization/institution that it relates to. This in turn implies that there be interest and willingness, as well as appropriate knowledge and skills within the respective organization to monitor and (to the extent possible) steer longer term changes.

- **Contributing to CD versus 'building capacity'**: The fact that UN Women SARO's CD interventions may only be able to affect part of one particular dimension of overall organizational capacity (e.g. individual competencies) does not make its contributions less relevant or successful. The most visible and accessible 'entry points' for influencing organizational capacity tend to be, after all, individual competencies and collective capabilities.[51] We by no means advocate against the use of any programming strategies (such as trainings, study tours or South-South exchanges) which focus on individuals. However we would like to encourage an approach to program planning that acknowledges and makes explicit what (small) part a given CD intervention can realistically play in the broader and ongoing capacity development processes of an organization, and that secondly acknowledges which dimensions of organizational capacity it may *not* be able to affect.

Recommendation 2:   **UN Women SARO should develop a capacity development strategy or a set of guiding tools to assist staff and partners in the coherent planning and management of capacity development interventions.**

Consulted UN Women SARO staff clearly articulated the desire to make their approach to CD more systematic. In our view, a first step towards achieving this goal will be to provide UN Women SARO staff (and partners) with explicit guidance and a set of useful tools. Our data indicate at least four activities that would benefit from more explicit guidance and/or tools: i) selecting partnerships; ii) assessing existing capacity and CD needs, iii) selecting suitable CD approaches/strategies, and iv) monitoring and reporting upon the progress and results of CD interventions.

i) Selection Criteria for CD Support

No matter how many resources UN Women SARO has at its disposition for investing in the Southern African region, it will need to make programming choices. In other words, there will always be a need to decide *for* and *against* possible interventions or types of support. The evaluation found that at present, there is no agreed upon, explicit set of criteria to assist UN Women SARO staff in such decision-making regarding capacity development. Therefore, one crucial step towards making UN Women SARO's

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[51] Simply because they are less 'evasive' than the broader context.

approach to CD more systematic and also more transparent will be to develop a strategy and/or set of guiding tools outlining key **criteria** to be applied in the decision-making process regarding capacity development interventions.

Criteria to assist with the decision on whether to support a particular partner organization or not could be developed based on some of the following considerations:

> **Demand-driven support**: As noted in UN Women's recent *Vision and 100 Day Action Plan (*2011)*,* the agency is aiming to provide demand-driven support to national partners. This does not necessarily mean, however, that it should respond to any request for support (e.g. for CD) that it receives. On the contrary: the more requests UN Women considers, the more it has to ensure that its criteria for granting or refusing support are clear and transparent in order to make the best use of its resources.

- How credible and thought-through is the request for CD support being expressed by a partner organization? What type of self- assessment is it based on? How does the proposed CD intervention link with other CD processes that are either ongoing or planned in the organization?

- What evidence is there that the partner organization will take on ownership and leadership, as well as commit to strengthening its own capacity? Is there evidence of an organizational culture that will create an enabling environment for positive changes over time?

- What is the strategic relevance of the partner organization in the national or sub-regional context? What contribution can the organization make to further the implementation of national commitments to gender equality in the respective country? (This does not necessarily mean that only large, established or influential organizations should be selected. The purpose of asking this question is merely for UN Women SARO to make explicit why and how an organization and its work are or could be relevant within the national context for GE.)

- How can working with a particular partner link to work that UN Women SARO is doing with other partners? Is there potential for synergies?

- What resources and technical capacity can UN Women SARO offer? Are there other development partners who might be in a better position to respond to a particular request for assistance, or who could complement UN Women SARO's work?

ii) Assessing existing capacity and CD needs

CD interventions should be planned and conducted based on a thorough understanding of an organization's existing capacity, as well as on a formulation of its 'desired state' of capacity. UN Women SARO and the partner organization should share the same understanding of these issues. At present, the only capacity assessment that UN Women SARO conducts of its partners addresses the organization's managerial abilities, in particular the ability of the latter to handle funds responsibly. There exists, to our knowledge, no tool or approach for systematically assessing (or supporting the organization in conducting a self-assessment of its) existing capacity with regard to fulfilling its overall mandate, or in relation to specific thematic areas, such as GRB or GBV.

> Ideally, a UN Women SARO partner organization would own and lead the process of assessing its existing capacity, thus identifying areas for improvement, and would at least sketch out a mid to long-term plan for addressing the key gaps or areas for improvement. This would also allow identification of which particular areas UN Women SARO may be able to assist – and which areas need to be addressed internally or with support from other development partners. Creating such a holistic picture would foster a better understanding of the role and relevance of specific CD interventions within the 'big picture' of the organization's CD process.
>
> In cases where the organization is not (yet) able to conduct such an assessment, UN Women SARO could facilitate the process.

To the extent possible, capacity assessments should take the different dimensions of organizational capacity (i.e. individual competencies, collective capabilities, and context) into account in order to allow UN Women SARO and its partners to be as specific as possible about existing areas for improvement and possible entry points. (Please see sidebar for additional details).

How elaborate and time-consuming a capacity assessment will be depends on the available time and resources. A basic, but still helpful mini assessment could be conducted using a brief set of reflective questions. Please see Appendix II of this Report for some broad suggestions on the types of issues a basic capacity assessment could address.

iii) Selecting programming strategies

Our data on UN Women SARO's CD work to date does not indicate that any inappropriate or inexplicable decisions were made with regards to the choice of approach used (training, South-South exchange, or participation in international fora) for each completed CD intervention. At the same time, we did not find any information on the respective reasons that led UN Women to choose one format over another. In view of UN Women SARO's desire to create a more systematic approach to CD, we suggest that future programming decisions include explicit reflections on the reasons for (or against) a specific CD format.

Some guiding questions in this regard can be[52]:

- What strategies (approaches and methodologies) are suitable for helping address the particular competencies and/or capabilities that have been identified as requiring strengthening?

- Why is this particular strategy or set of strategies likely to work well or best? Do UN Women SARO and/or its partners have previous experiences in the same or a similar context? Are there lessons learned that can be helpful?

- What are limitations/risks of the proposed approach? What, if anything, can be done to mitigate these risks?

- Are the proposed strategies realistic and feasible in the particular political, economic, institutional/organizational, and/or socio-cultural contexts?

- What would be alternative approaches? What are their disadvantages? Why have these not been chosen?

Please refer also to Appendix III of this Report for further suggestions for reflective questions related to specific CD approaches.

iv) Monitoring and reporting upon the results of CD interventions

UN Women SARO needs to determine in general who it considers to be responsible for what type of monitoring. As emphasized earlier, organizational capacity is, in most cases, a complex, emergent and ongoing process. As also illustrated in this evaluation, the 'results' of specific CD interventions that can be captured thus tend to be limited to short-term effects on individuals, while their actual or potential relevance for broader, longer term CD processes remains invisible. There are, in our understanding, two main options to address this challenge. The options are not mutually exclusive and could be combined if feasible:

- Option a): UN Women SARO commits to long-term relationships with selected partner organizations and monitors their capacity development over time. This may not be possible for all organizations that UN Women SARO works with, but could be considered for a few. This would allow UN Women SARO to provide illustrative examples of the types of capacity development processes it has supported.

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[52] Source: UNIFEM Corporate Framework and Guidance Note on Capacity Development' (2010), p.16f.

- Option b): The partner organization itself takes on responsibility for monitoring its long term development. UN Women SARO can provide guidance in this regard, but limits its own monitoring activities to the output level, i.e. the successful implementation of agreed upon activities/types of support. The partner organization takes responsibility for keeping track of overall changes and progress towards desired capacity, and can give feedback to external partners such as UN Women SARO on whether and how this agency's support has 'fit' into and has contributed to the bigger picture of organizational CD. Please note that this implies an approach that focuses on monitoring as a tool for *learning*, rather than for 'control' or *accountability*.

"*How do we know when capacity has been built*?" The answer to this question may differ considerable depending on the organization whose capacity is at stake and its views on where it would like to go. It can further be determined by the respective context(s), as well as by the particular function or purpose for which capacity is required. However, it is important to ask this question at the *beginning* of a CD intervention, and to discuss it with the partner whose capacity is supposed to be strengthened. This links back to our earlier suggestion of conducting an assessment of an organization's existing capacity in order to determine areas for improvement and suitable interventions. One useful tool in this context can be the use of simple *rubrics*. Rubrics allow for different individual competencies or collective capabilities to be defined, and can thus help describe and observe both the 'status quo', as well as 'progress' or 'positive change' in a particular area.[53]

Recommendation 3: UN Women SARO should clearly integrate considerations on the cost efficiency of different interventions into its work on CD.

As noted in the evaluation report, it is currently not evident whether and how UN Women SARO staff systematically addresses considerations about 'best value for money' into its decisions related to CD initiatives. Efficiency needs to be taken into account not only in view of each individual CD initiative/activity (e.g. in relation to the respective choice of location or destination, the choice of facilitators and number and types of participants, the approach to CD), but also, and maybe more importantly, in view of UN Women SARO's overall approach to CD (e.g. how efficient are many stand-alone activities with many different partners as compared to interrelated activities with fewer partners over a sustained period of time?).

UN Women SARO may want to consider including efficiency-related guiding questions and/or criteria into the suggested set of explicit guidelines and tools for CD.

Recommendation 4: UN Women SARO needs to ensure that its staff members are equipped with appropriate guidance, tools, and support to carry out their work, and that the ratio of programming scope and number of available staff is reasonable.

One key challenge consulted UN Women SARO staff mentioned repeatedly was a lack of staff within their team. As a result, the staff experiences difficulties in managing the existing workload. This is a reality which our Evaluation Team experienced, as we found it difficult to 'get hold off' our UN Women SARO counterparts as often and in depth as would have been ideal. While we acknowledge the enthusiasm and dedication of current UN Women SARO staff members to manage their considerable workload, it appears imperative for UN Women SARO to critically reflect on whether its programming scope is too ambitious given its available resources. In other words, UN Women SARO either needs to increase the amount of

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[53] Please see Appendix III of the UNIFEM Framework and Guidance Note on Capacity Development (2010) for some examples of Rubrics. Another more elaborate example for a useful tool would be the GRB Capacity Index that is currently being developed by UN Women in relation to its work on GRB. The tool allows for describing changes in key dimensions deemed relevant for the particular type of organizational capacity (individual competencies and collective capabilities) required – in this case GRB.

staff working in the sub-region, or it needs to reduce its programming scope to make sure that existing staff can allocate the required amount of time and attention to their partners and stakeholders. Given the ongoing organizational transformation that UN Women is going through and the uncertainty regarding the size and foci of its future program in the sub-region, it may not be possible to take related decisions immediately. However, we would like to encourage UN Women to take the experienced challenges of the past programming period into account when deciding upon required staffing levels for the Southern Africa Regional Office.

In addition, UN Women SARO should increase its efforts in a) assessing and being aware of staff members' existing knowledge and skills and potential areas that require strengthening, and b) supporting its staff members by providing clear guidance on expected approaches to tasks (e.g. by clarifying its understanding of and approach to CD, as noted above), providing useful and agreed upon tools and opportunities for professional development and exchange. While all of this is already happening to some extent, the evaluation has shown a continued need for more, and in some cases, slightly different types of support than what is already available.

Appendix I Evaluation Matrix

Criteria		Evaluation Questions (Criteria)	Indicators	Means of Verification
Context	Sub-Regional and Country Environments	1. What have been the key opportunities and challenges for the Southern African Sub Region since 2008? 2. What have been key opportunities and challenges at the national level?	1 A Types of opportunities and challenges in the Southern African Sub Region 2A Types of opportunities and challenges in Zimbabwe, South Africa and Mozambique	Document and literature review. Stakeholder consultations (site visits and phone/Skype consultations).
Context	UNIFEM/UN WOMEN environment	3. What developments within UNIFEM/UN WOMEN at global, (sub)regional or national levels have influenced the relevance and/or effectiveness of its CD work?	3A Types of developments in UNIFEM/UN WOMEN.	Document and literature review. Consultations with UN WOMEN staff at HQ, (S)RO and country/program or project levels.
Performance	Relevance	4. To what extent were the implicit or explicit objectives of different capacity development interventions relevant in view of 4.1. The identified needs of the respective target group(s)? 4.2. National priorities 4.3. UNIFEM's (UN WOMEN's) corporate mandate and sub-regional priorities?	4.1 A Stakeholder perceptions of CD interventions' relevance in view of their needs and priorities. 4.2 A Evidence of initiative alignment with national priorities. 4.3 A Evidence of initiative alignment with UNIFEM SRS (DRF or MRF).	Document and literature review. Consultations with national and (sub) regional stakeholders (government, NGOs, donor/UN agencies), as well as UN WOMEN staff. Project documents.
Performance	Effectiveness	5. To what extent has UNIFEM achieved the intended (implicit or explicit) Outputs of its CD interventions? 6. What progress has been made towards the envisaged Outcomes of CD interventions? 7. To what extent have CD interventions contributed to progress towards UNIFEM's corporate results? 8. To what extent have beneficiaries been satisfied with the results of UNIFEM supported CD interventions? 9. What, if any, unexpected results were achieved?	5A Extent to which CD initiatives have achieved their (explicit or implicit) outputs. 6A Evidence of progress towards CD initiative (explicit or implicit) outcomes. 7A Evidence of progress towards the achievement of Outputs and/or Outcomes as defined in SRS DRF or MRF. 8A Stakeholder perceptions of the effectiveness of CD interventions. 9A Evidence of unexpected results.	Document review (e.g. program/project and activity reports). Distance and face to face consultations with UN WOMEN staff and national/regional stakeholders- including CD intervention participants and others.

Criteria		Evaluation Questions (Criteria)	Indicators	Means of Verification
	Impact	10. What evidence is there of CD interventions having contributed to or being likely to contribute to progress towards these long term effects?	10A Evidence of actual or likely positive changes towards envisaged longer term effects. 10B Stakeholder perceptions of UNIFEM CD interventions' actual or likely contributions to these long term changes.	Distance and face to face consultations with UN WOMEN staff and national/regional stakeholders – including CD intervention participants and others. Observations during site visits.
	Efficiency	11. What formal or informal measures has UNIFEM put into place to ensure the efficiency of individual CD initiatives? 12. To what extent has UNIFEM's overall approach to CD been efficient?	11A Evidence of formal or informal measures taken during the implementation period to ensure UNIFEM and other (national or regional) resources (human, financial and other) are used efficiently. 12A Stakeholder views on the extent to which the current portfolio of CD activities makes the most efficient use of UNIFEM's resources as well as of available national and/or regional resources.	Program/project documents, including information on budgets and expenses. Consultations with UN WOMEN staff responsible for resource allocation and management. Consultations with relevant national/regional stakeholders (involved/not involved in CD interventions).
	Sustainability	13. What is the likelihood that the benefits from the CD activities will be maintained for a reasonably long period of time? 14. What factors influence the likelihood of results being sustainable?	13A Evidence of national/local institutions or organizations demonstrating leadership commitment to continue and support CD processes. 13B Evidence of national/local institutions having the required capabilities (technical, operational, financial, adaptive, networking) to continue or replicate CD interventions and/or their benefits. 13C Evidence of national/local ownership of CD achievements to date. 14A Contextual factors.	Consultations with UN WOMEN staff, as well as with stakeholders from institutions/organizations who are expected/hoped to play a role with regard to the sustainability of results. Document review (for context analysis).

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Criteria	Evaluation Questions (Criteria)	Indicators	Means of Verification
Factors affecting Performance	15. What have been the key factors that have supported or hindered performance? 16. To what extent have UNIFEM organizational structure, managerial support and coordination mechanisms supported or hindered its performance in view of CD? 17. To what extent have programming choices (strategies, partners, participants, facilitators/trainers etc.) been appropriate and effective? 18. What is UNIFEM's comparative advantage in designing and implementing CD interventions?	15A Types of factors that have influenced (positively or negatively) performance. 16A Types of effects that UNIFEM//UNIFEM SARO organizational structure, etc. have had on performance. 16 B Evidence of clearly defined roles and responsibilities, appropriate program planning, management, monitoring, communication and coordination, problem solving and decision-making mechanisms. 16C Staff and partner views on adequacy of UNIFEM staff numbers and capacity in view of the context and demand. 17A Evidence of appropriateness and effectiveness of programming choices. 28 A Stakeholder views on UNIFEM's comparative advantage.	Document review (e.g. program/project and activity reports). Distance and face to face consultations with UN WOMEN staff and national/regional stakeholders - including CD intervention participants and others.
Lessons Learned and Recommendations	19. What are some of the good practices and lessons learned from UNIFEM's CD interventions in the sub-region? 20. What are some of the main challenges and key opportunities in view of UNIFEM's/UN WOMEN's future role with regard to supporting partners' capacity development? 21. What implications do evaluation findings have for UNIFEM's/UN WOMEN's existing (explicit or implicit) Theory/Theories of Change for CD?	19A Analysis of above 20A Analysis of above 21A Analysis of above	All of above

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Appendix II Assessing Existing Organizational Capacity

It goes beyond the scope of this evaluation to develop an actual tool for conducting a meaningful capacity assessment. However, we would like to provide a number of **suggestions** for the **type of information** that UN Women and/or its partner organizations may want to elicit when conducting such an assessment. Please note that the actual scope, level of detail, and thematic orientation of an assessment may vary depending on the available resources (time, money, people), but also depending on whether the assessment is aiming to capture the organization's overall capacity, or its capacity regarding a specific (sub)task that is part of its mandate.

The **core information** any capacity assessment will likely aim to obtain is the following[54]:

- **What competencies and capabilities do we/ does the organization need to do our work and keep functioning? [55]**

- **To what level do we/does the organization need these competencies and capabilities?** (I.e. do we need basic or advanced competencies/capabilities?)

- **What competencies and capabilities do we/ does the organization have now, and to what level?**

- **What competencies and capabilities are needed?** Which are more basic, which are more complex? Do some of them depend on others being in place already?

- **What context(s) do we/does the organization work in, and how do these affect our ability to apply and/or develop our competencies and capabilities?**

For a very basic capacity assessment it may suffice to informally discuss and reflect upon these questions within the respective organization.

One common challenge especially for self assessments is, however, that often 'we don't know what we don't know', i.e. it can be difficult for the organization itself to determine what types of competencies and capabilities are needed to better fulfill its mandate. In this case it can be helpful to provide a set of key dimensions and related competencies/capabilities that are deemed relevant in view of the respective type of mandate or tasks in question.

Some examples of different dimensions and related questions are outlined below. Please note that they do not constitute a 'recipe' or fixed 'checklist', but are mere examples for issues that may be explored when conducting a capacity assessment. Not all of them will be relevant in each case, while other questions, that are not included, may need to be added.

Leadership/Commitment

- Have the organization's mission, mandate and vision (overall, or in relation to a specific issue such as gender mainstreaming) been clearly defined? Are they known and shared within the organization?

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[54] Source: "Capacity, Change and Performance. Study Report. Heather Baser and Peter Morgan. European Centre for Development Policy Management (ECDPM), April 2008, p. 35.

[55] This can relate to the organization's overall mandate, or to a specific part of its mandate, e.g. 'gender mainstreaming'.

- Is there clear and explicit leadership for the organization's mission, mandate, and/or vision (e.g. in relation to gender mainstreaming)?

- Is the organization motivated to act? Is it trapped by conflict or external forces? How and why?

- Does it have explicit and appropriate regulations/policies in place to support its mandate and vision?

Relating to Stakeholders

- Who are the organization's key stakeholders? What is their role and relevance in view of the organization's mission/mandate?

- In what ways does the organization engage with these stakeholders? For what purposes?

- Is the organization seen to be credible and legitimate by key stakeholders? Why? Why not?

Competencies and Capabilities

- Does the organization have the competencies/capabilities to carry out the work in the selected area(s) of work?

- What examples in the organization's past demonstrate 'excellent' performance? What were the factors that made this happen? What are examples of weaker performance? What factors contributed to that?

- Has the organization identified roles and responsibilities in relation to the task(s) at hand? (E.g. gender mainstreaming)? Is there clarity about the roles and responsibilities of staff/teams not primarily involved in a particular task?

- Do staff members have work experience, knowledge and skills relevant for carrying out their work?

- Has the staff adequate knowledge and skills to plan, monitor, and report?

- What attitudes do staff members have vis-a-vis the organization's mandate/mission or vision (e.g. in relation to gender mainstreaming)?

- Does the organization provide opportunities to its staff for professional development (e.g. training, mentoring)? Does it provide access to relevant tools and resources (e.g. books, manuals, Internet sites on gender mainstreaming)?

- What processes/means has the organization established to retain its staff?

- What functional ways of meeting a set of objectives and fulfilling a mandate does the organization have? How does it ensure that individual competencies are utilized in a way to ensure the best possible functioning of the organization?

- Has the organization the appropriate IT and physical infrastructures to carry out its work?

Financial management

- Has the organization sound financial management practices? E.g. regular internal and external audits, regular financial reporting, cash flow statements, etc.

- Are financial data used as a monitoring tool for programme/project implementation?

- Is the organization's funding diversified? E.g. number of funders, amount received by funder, type of funder, trends in funding amounts and funders over the years, etc.

M&E

- Does the organization have monitoring and evaluation systems, processes, and/or tools? E.g. an M&E policy, guidelines, databases tracking progress towards planned results, etc.

- If yes, how does the organization use them? E.g. feedback loop to influence future or current programming choices, reporting to donors, dissemination of results and lessons learned, etc.

Appendix III   Programming Choices

The table below provides a few additional questions that may be helpful when reflecting upon the appropriate choice of a particular CD approach over another.[56]

Approach to Supporting CD	Questions for Reflection
Training	What individual competencies are the training participants hoped to strengthen/achieve? (In UN Women's view, in their own view?)
	Why are these competencies relevant in the context of their work/their organization?
	Where are trainees starting from? (baseline)
	What, if any, collective capabilities (of units/organizations) is the training expected to strengthen?
	What factors may support or hinder the achievement of these results?
	Who will support participants in applying new competencies after the training?
	How will individual participants share/spread their knowledge and skills with others in their organization who do not participate in the training?
	How will UN Women and the participants know if/what competencies they have gained or strengthened in the training?
	What follow up is foreseen by UN Women or others to help participants retain and consolidate their learning, for example, networking, coaching, reinforcement of the need for changed methods or processes by senior managers, etc)
	How will UN Women, the participants and others know what difference the training has made to institutional/organizational capabilities; i.e. have new competencies been applied and do they make a difference in how the institution/organization (system) operates?
	To which of UN Women's corporate or sub-regional outputs (or outcomes) would the envisaged changes contribute?
	What, if any, alternative or complementary approaches could be used to help enhance individual competencies or collective capabilities?
	How does the training complement other CD efforts being carried out or planned by the participants' respective organizations?
South-South Exchanges	What positive effects on the individual competencies or collective capabilities of targeted individuals/groups do you expect?
	What do the participants themselves expect/hope for?
	What factors may support or hinder the achievement of these results?
	How can you (or the participants themselves) track the short and mid term results of the exchange(s)?
	How do the envisaged longer term changes relate to UN Women's corporate or sub-regional outputs or outcomes?
	Who will support participants in applying new competencies in their workplace? How?
	How will individual participants share/spread their knowledge and skills with others in their organization who do not participate in the exchange?
	How will UN Women and the participants know if/what competencies they have gained or strengthened in the exchange?
	What is UN Women's particular role/niche in organizing/facilitating the exchange?
	What, if any, alternative or complementary approaches could be used?
	How does the study tour complement other CD efforts being carried out or planned by the participants' respective organizations?

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[56] Based on Exhibit 4.2 of the UNIFEM Corporate Framework and Guidance Note on Capacity Development (2009), p.17.

Approach to Supporting CD	Questions for Reflection
Participation in International Fora	What positive effects on the individual competencies or collective capabilities of targeted individuals/groups do you expect?
	What do the participants themselves expect/hope for?
	What factors may support or hinder the achievement of these results?
	How can you (or the participants themselves) track the short and mid term results of the exchange(s)?
	How do the envisaged changes relate to UN Women's corporate or sub-regional outputs or outcomes?
	Who will support participants in applying new competencies in their workplace? How?
	How will individual participants share/spread their knowledge and skills with others in their organization who do not participate in the forum?
	How will UN Women and the participants know if/what competencies they have gained or strengthened in the forum?
	What is UN Women's particular role in facilitating the participation in the forum?
	What, if any, alternative or complementary approaches could be used?
	How does the participation in the forum complement other CD efforts being carried out or planned by the participants' respective organizations?

Appendix IV List of Findings

Finding 1:   UN Women SARO's reviewed CD activities imply two similar, yet slightly different Theories of Change: one for interventions that focus on general management skills, the other for those addressing specific thematic issues related to gender equality and women's human rights. There are questions as to the validity of some of the assumptions underlying the reconstructed Theories of Change.

Finding 2:   The reviewed CD initiatives have been relevant in view of the participants' individual needs, and in relation to their respective organizations' mandates and existing capacity.

Finding 3:   The thematic choices for the gender-specific CD activities have been relevant in view of the national priorities for GE.

Finding 4:   Consulted stakeholders expressed varying opinions on the relevance of UN Women SARO's choices of partners in view of national priorities.

Finding 5:   UN Women SARO's CD efforts are aligned with the corporate mandate, as well as with some key objectives formulated in the agency's Development and Management Results Frameworks. Yet, it is difficult to identify specific links between individual CD activities and the sub-regional Outputs and Outcomes formulated in UN Women SARO's Sub-Regional Strategy.

Finding 6:   In Mozambique and Zimbabwe, some of the reviewed CD activities have been relevant in view of other donors' priorities.

Finding 7:   There is evidence that the reviewed CD activities have contributed to strengthening the individual competencies of the participants. However, it is not possible to assess the extent to which these individualized achievements have contributed to UN Women SARO's broader programming objectives at national and sub-regional levels.

Finding 8:   UN Women SARO's approach to Capacity Development appears to have been effective in influencing the competencies of individuals, but not in influencing the collective capabilities of their organizations.

Finding 9:   One unexpected positive result of some CD initiatives has been, for certain participants, an increase in the knowledge regarding UN Women's work and a greater familiarity with its regional staff.

Finding 10:   Results achieved with respect to the strengthening of the individual competencies of participants in the UN Women SARO CD activities are likely to be sustained. The available data do not allow us to make an informed statement as to whether these results will likely benefit the participants' respective organizations in the longer term.

Finding 11:   There is no evidence indicating that the reviewed CD interventions have been innovative. The Evaluation Team found only one example of an activity having been catalytic.

Finding 12:   There is no evidence to indicate that UN Women SARO staff took efficiency considerations into account when designing and implementing CD interventions.

Finding 13: While most of the consulted UN Women SARO staff and partners described UN Women SARO's CD-related programming choices as appropriate and effective, our data do not provide evidence that programming decisions have been based on explicit selection criteria.

Finding 14: There is considerable room for strengthening the management practices supporting UN Women SARO's work on capacity development.

Finding 15: A number of HR-related issues have negatively affected UN Women SARO's performance in supporting CD processes.

Appendix V List of Recommendations

Recommendation 1:UN Women (both at the corporate and sub-regional levels) needs to clarify and explicitly formulate: i) its understanding of 'capacity development'; and ii) related implications for UN Women's role and approach to supporting CD.

Recommendation 2:UN Women SARO should develop a capacity development strategy or a set of guiding tools to assist staff and partners in the coherent planning and management of capacity development interventions.

Recommendation 3:UN Women SARO should clearly integrate considerations on the cost efficiency of different interventions into its work on CD.

Recommendation 4:UN Women SARO needs to ensure that its staff members are equipped with appropriate guidance, tools, and support to carry out their work, and that the ratio of programming scope and number of available staff is reasonable.