

Corporate Thematic Evaluation of UN Women's Contribution to Humanitarian Action *Inception Report*



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v.7

Authors:

Angélica Arbulú (Co-Team Leader) Silvia Hidalgo (Co-Team Leader) Dorian LaGuardia (Senior Evaluator) Alesia O'Connor (Team Member) Ana Rodriguez (Team Member)



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Abbreviations & Acronyms

AWP	Annual Work Plan
CAR	Central African Republic
CEDAW	Convention on the Elimination of All Forms of Discrimination against Women
CERF	Central Emergency Response Fund
COs	Country Offices
DRC	Democratic Republic of Congo
DRR	Disaster Risk Reduction
ECHO	European Civil Protection and Humanitarian Aid Operations
EQ	Evaluation Question
ER	Early Recovery
ERG	Evaluation Reference Group
FAO	Food and Agricultural Organization of the UN
FGDs	Focus Group Discussions
GBV	Gender-based violence
GE	Gender Equality
GEEW	Gender Equality and the Empowerment of Women
GEEWG	Gender Equality and the Empowerment of Women and Girls
GEMs	Gender equality, Environments and Marginalized voices
GEP	Gender Equality Programming
GiHA	Gender in Humanitarian Action
GIR	Gender Inequality of Risk
GRG	Gender Reference Group
НА	Humanitarian Action
HACRO	Humanitarian Action and Crisis Response Office of UN Women
НС	Humanitarian Coordinator
НСТ	Humanitarian Country Team
HFA	Hyogo Framework for Action
HPM	Humanitarian Performance Monitoring
HQ	Headquarters
HPC	Humanitarian Programme Cycle
HRBA	Human Rights-Based Approach
HRP	Humanitarian Response Plan
HRI	Humanitarian Response Index
IASC	Inter-Agency Standing Committee
ICRC	International Committee of the Red Cross
IDPs	Internally Displaced Persons
IES	Independent Evaluation Services
IES	Independent Evaluation Service
IFRC	International Federation of Red Cross and Red Crescent Societies
IMQA	Internal Management & Quality Assurance System
INGO	International Non-Governmental Organization
LEAP	Women's Leadership, Empowerment, Access and Protection
LRRD	Linking Relief, Rehabilitation and Development
NGO	Non-Governmental Organisation
NWOW	New Way of Working
ОСНА	United Nations Office for the Coordination of Humanitarian Affairs





OECD	Organization for Economic Co-operation and Development
SCE	Second Chance Education initiative
SDGs	Sustainable Development Goals
SGBV	Sexual and Gender Based Violence
SIDA	Swedish International Development Cooperation Agency
STOC	Systemic theory of Change
ToC	Theory of Change
ToR	Terms of Reference
UN	United Nations
UN HCTs	United Nations Humanitarian Country Teams
UN WOMEN	United Nations Entity for Gender Equality and the Empowerment of Women
UNDP	United Nations Development Programme
UNEG	United Nations Evaluation Group
UNFPA	United Nations Population Fund
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNISDR	United Nations International Strategy for Disaster Reduction
WEE	Women's Economic Empowerment
WFP	World Food Programme
WHS	World Humanitarian Summit
WPHF	Women's Peace and Humanitarian Fund



1 Introduction

1.1 Purpose of this Report

This document describes DARA's understanding of the context, purpose and scope of the evaluation, as well as the proposed conceptual framework, methods and tools that will be used for the Corporate Evaluation of UN Women's contribution to humanitarian action. The proposed approach to the evaluation has been revised to reflect the observations and findings that emerged during the Inception Phase (September-October 2018), which included a four-day inception mission to New York (9-12 October 2018), a preliminary desk review, and telephone interviews. During the inception phase, 34 UN Women evaluation stakeholders (21 female and 13 male) were consulted and more than 40 documents were reviewed (see Annexes 5.9 and 5.7 for an overview of stakeholders and documents consulted).

This report clarifies the evaluation's expected deliverables and processes for the Independent Evaluation Service (IES) as the evaluation manager, the internal and external Evaluation Reference Groups (ERG) and primary users of the evaluation, including HACRO, UN Women management and staff at headquarters, regional and country levels.

1.2 Context and Background

1.2.1 Global background and context

In 2018, overall, more than 134 million people across the world were in need of humanitarian assistance and protection. A projected \$25 billion in funding is required to respond.¹ An estimated 68.5 million people around the world have been forcibly displaced.² More than 95 million people were affected by natural disasters in 2017.³ Needs are on the rise, and crises are becoming more protracted and increasingly complex. Conflicts are becoming more intractable and increasingly regionalised. The traditional model of a crisis – a sudden acute disaster with a recovery period back to normality – no longer applies to the majority of crises, which are marked by recurrent relapses and difficult, complex paths to recovery. Almost a quarter of the world's population lives in countries and territories affected by protracted crises and conflicts.⁴ Extreme poverty is increasingly concentrated among vulnerable groups,⁵ who are displaced by violent conflict and within countries and regions affected by conflict.⁶

The international community has identified gender equality and the empowerment of women and girls in humanitarian action as an objective in itself. This is critical not only for gender equality and the empowerment of women but also for principled and effective humanitarian response. Placing gender equality at the core of humanitarian response and ensuring women's and girls' meaningful participation in leadership and decision-making, and that women and girls are better served by humanitarian action, are all viewed as essential to effective humanitarian action, for addressing the needs and protecting the rights of all affected people. Integration of gender equality in humanitarian action implies

¹ OCHA Global Humanitarian Overview 2018

² UNHCR Figures at a glance (June 2018) http://www.unhcr.org/figures-at-a-glance.html

³ Centre for Research on the Epidemiology of Disasters, Natural Disasters 2017 https://reliefweb.int/report/world/natural-disasters-2017

⁴ FAO KORE - Knowledge Sharing Platform on Resilience http://www.fao.org/in-action/kore/protracted-crises-and-conflicts/en/

⁵ Vulnerable populations can be understood to include a range of characteristics including but not limited to indigenous populations, refugees, IDPs, LGBTQI, adolescents, minorities, elderly and local communities hosting them.

⁶ UNDP: What does it mean to LEAVE NO ONE BEHIND? A UNDP discussion paper and framework for implementation July 2018

⁷ IASC Policy on Gender Equality and the Empowerment of Women and Girls in Humanitarian Action https://interagencystandingcommittee.org/system/files/iasc-revised_gender_policy_final_endorsed_12.27.2017_3.pdf



understanding the specific needs, capacities and priorities of women, girls, boys and men, and integrating this understanding throughout the humanitarian programme cycle. It also implies promoting transformative change for more inclusive and equitable societies. Improving the status and conditions of women can lead to better outcomes at the individual, family and community levels, and improve prospects for affected communities as a whole, in the short and longer term.

Two decades ago, the IASC Policy statement for the integration of a gender perspective in humanitarian assistance (1999) recognised that gender-sensitive humanitarian assistance can help mitigate the different and negative effects of complex emergencies and natural disasters on men and women and have a greater impact for positive change in gender roles. The IASC is further committed to:

- 1) Formulating specific strategies for ensuring that gender issues are brought into the mainstream of activities within the IASC areas of responsibility;
- 2) Ensuring data is disaggregated by sex and age and that a gender perspective is included in analysis of information;
- 3) Developing capacity for systematic gender mainstreaming in programmes, policies, actions, and training; and
- 4) Ensuring reporting and accountability mechanisms for activities and results in gender mainstreaming within the UN and its partners, such as incentives, performance evaluations, budget allocation analysis and actions for redressing staff imbalance.

In 2008, the IASC Policy Statement on Gender Equality set out actions for IASC coordination bodies to ensure gender equality in all IASC work, towards more effective and coherent humanitarian action. It established Humanitarian Country Team (HCT) responsibilities and defined specific actions each partner of the IASC should take to ensure that gender equality was mainstreamed into humanitarian programming and the goal of gender equality integrated into all aspects of humanitarian response and inter-agency efforts. It also called on individual members to strengthen their own actions to ensure that the human rights of women, girls, boys, and men were promoted and protected equally and that their different needs and responsibilities were addressed. A number of UN agencies, NGOs, and donors developed Gender Equality strategies and action plans. Advancing gender equality more broadly, including the empowerment of women and girls, was considered to be at the heart of the mission and mandate of a number of agencies like UNICEF, UNDP, UNFPA, UNISDR, and international NGOs, e.g. Care, Oxfam, ActionAid, Plan International, and donors such as SIDA, Japan, and Canada.

Policy and programmatic focus on gender equality and the positive role of women in disaster risk reduction (DRR) was also apparent in the Hyogo Framework for Action 2005-2015: Building the Resilience of Nations and Communities to Disasters (HFA). This first global plan for disaster risk reduction 2005-2015 emphasized the importance of gender integration into all disaster risk management policies, plans and decision-making processes, including those related to risk assessment, early warning,

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⁸ IASC Gender Handbook for Humanitarian Action Inter-Agency Standing Committee (IASC) 2017, pg. 19

⁹ Working for an Equal Future UNICEF Policy on Gender Equality and the Empowerment of Girls and Women, UNICEF May 2010

¹⁰ UNDP Gender Equality Strategy 2014-2017: The Future We Want: Rights and Empowerment, available

at http://www.undp.org/content/dam/undp/library/corporate/Executive%20Board/2014/first-regular-session/English/dp2014-4.doc.

¹¹ UNFPA's Strategic Framework for Gender Mainstreaming and Women's Empowerment 2008-2011 (2007)

 $^{^{12}}$ UNISDR policy on gender mainstreaming in disaster risk reduction UNISDR (2011)



information management, and education and training. This resulted in the increased acknowledgement of the positive role of women in DRR and that women and girls – like men and boys – possess skills and capacities to prepare for, respond to, and recover from crisis, whilst managing risk and building resilience.

Since the increased engagement and investment of resources of UN Women in humanitarian action, ¹³ marked by its co-chairing of the IASC GRG and its active participation and advocacy at the World Humanitarian Summit in 2016 and Sustainable Development Goal 5, there is a stronger and more marked inclusion of women's empowerment and focus on women's rights and gender equality within the body. During the WHS, UN Women co-convened the high-level roundtable on "Women and Girls: Catalysing Action to Achieve Gender Equality", which resulted in a total of 446 commitments, including five core commitments: ¹⁴ (i) the empowerment of women and girls as change agents and leaders; (ii) universal access to sexual and reproductive health and reproductive rights; (iii) implementation of a coordinated global approach to prevent and respond to gender-based violence in crisis contexts, including through the Call to Action on Protection from Gender-based Violence in Emergencies; (iv) increased funding for gender-responsive humanitarian programming; and (v) full compliance with humanitarian policies, frameworks and legally binding documents related to gender.

At the IASC policy level, it is only more recently that, with UN Women's efforts, the empowerment of women is adequately reflected in Inter-Agency Standing Committee (IASC) Policy on Gender Equality and the Empowerment of Women and Girls (GEEWG) in Humanitarian Action and the updated gender handbook, which reflects current humanitarian coordination mechanisms and the recent commitment gains towards gender and women's empowerment in humanitarian action developed at the WHS, the Grand Bargain and the Sendai Framework Agreement. The IASC GRG developed a Gender Accountability Framework, based on the revised policy, to capture, monitor and measure the performance of the IASC bodies in undertaking their roles and responsibilities set out in the policy, and monitors progress on implementation of key standards at global and field level. A timeline of events related to GE and Empowerment of Women and Girls in humanitarian action is included in Annex 5.2.

Despite the increased focus on gender in humanitarian action, and particularly on women and girls, and most humanitarian agencies devising policies and guidelines that prescribe gender equality programming, gaps remain in implementation, capacity and accountability. UN Women recognises that normative frameworks are not yet sufficiently translated to actions on the ground. The Studies indicate that there remains considerable scope and need for improvement in the practice of how policies and guidance are applied in ways that lead to meaningful outcomes for affected people and enhanced

 $^{^{13}}$ UN Women expenditure on IASC GRG-related activities in 2017 exceeded US\$600,000, based on UN Women HQ RMS reporting, with significant time and human resources invested in their role as co-chair.

¹⁴ UN Women Global Norms and Standards: Humanitarian Action. http://www.unwomen.org/en/what-we-do/humanitarian-action/global-norms-and-standards

¹⁵ The Inter-Agency Standing Committee (IASC) Gender Handbook for Humanitarian Action (2018)

¹⁶ The Inter-Agency Standing Committee (IASC) Policy on Gender Equality and the Empowerment of Women and Girls (GEEWG) in Humanitarian Action was endorsed on 29 December 2017 by the IASC Working Group. The policy sets out the principles, standards, and actions that humanitarian actors should abide by at global and field level to integrate gender equality and the empowerment of women and girls into all aspects of the IASC's work, including preparedness, response and recovery efforts.

₁₇ Draft Inter-Agency Standing Committee Policy on Gender Equality and Women's and Girls' Empowerment, November 2017, p.3;

¹⁷ IASC, 2015. Review of the IASC 2008 Gender Equality in Humanitarian Action Policy Statement



effective and inclusive humanitarian action.¹⁸ Although gender equality and the empowerment of women and girls emerged as an overarching theme in the World Humanitarian Summit (WHS), women's representation in decision-making and leadership roles in humanitarian contexts remains low; predictable, flexible and accessible funding is limited for programmes that target women and girls or ensure gender mainstreaming are limited in number and scope; and there is still a gap in addressing the needs of women and girls with multiple vulnerabilities.¹⁹

1.2.2 The Concept of Gender Equality and the Empowerment of Women and Girls in Humanitarian Action

The objectives of humanitarian action (HA) are to save lives, alleviate suffering, and maintain human dignity during and in the aftermath of man-made crises and disasters caused by natural hazards, as well as to prevent and strengthen preparedness for the occurrence of such situations.²⁰ Humanitarian action should be guided by the humanitarian principles of:

- Humanity, meaning the centrality of saving human lives and alleviating suffering wherever it is found:
- Impartiality, meaning the implementation of actions solely on the basis of need, without discrimination between or within affected populations;
- Neutrality, meaning that humanitarian action must not favour any side in an armed conflict or other dispute where such action is carried out; and
- Independence, meaning the autonomy of humanitarian objectives from the political, economic, military or other objectives that any actor may hold with regard to areas where humanitarian action is being implemented.²¹

In line with definitions of HA that include DRR and early recovery,²² UN Women recognises in its Humanitarian Strategy (2014-2017) that "the concept of humanitarian action includes response, disaster risk reduction (DRR) and preparedness for risk prevention and mitigation, and early recovery [... and that] in this context, UN Women's humanitarian work will focus on preparedness, response and the transition to early recovery."²³ DRR, however, includes disaster preparedness. It is aimed at preventing new and reducing existing disaster risk and managing residual risk, all of which contribute to strengthening resilience. Similarly, Early Recovery (ER) is an approach (within a response) that addresses recovery needs that arise during the humanitarian phase of an emergency. It enables people to use the benefits of humanitarian action to seize development opportunities, build resilience, and establish a sustainable process of recovery from crisis. ER is not considered a phase but a multidimensional process that occurs during early response. It aims to put in place preparedness measures to mitigate the impact of future

/media/head quarters/attachments/sections/what %20 we %20 do/unwomen-humanitarian strategy-en.pdf? la=en &vs=3341 to the first of the

¹⁸ The effect of gender equality programming on humanitarian outcomes, UN Women 2015 and Empowering women and girls affected by Crisis, Care 2016

¹⁹ UN OCHA (2017) No Time to Retreat – First Annual Synthesis Report on Progress since the World Humanitarian Summit

²⁰ OECD DAC Peer reviews. https://www.oecd.org/dac/peer-reviews/12lessons.pdf

²¹ These are the fundamental principles of ICRC, which are reaffirmed in UN General Assembly resolutions and enshrined in numerous humanitarian standards and guidelines.

²² OECD DAC Peer reviews. Annex: Principles and Good Practice of Humanitarian Donorship, Objectives and Definition of Humanitarian Action https://www.oecd.org/dac/peer-reviews/12lessons.pdf

²³ UN Women Humanitarian Strategy 2014-2017. http://www.unwomen.org/-



crises.²⁴ Proponents of early recovery have long argued the need for its immediate integration in early response.

UN Women is committed to ensuring equality between women and men as partners and beneficiaries of humanitarian action. The incorporation of gender equality considerations across all stages of the humanitarian programme cycle is essential to comply with international legal and normative frameworks that protect the equal rights of women, girls, boys and men, as well as those that define humanitarian rights and responsibilities, based on the principles of humanity, neutrality, impartiality and independence. Effective and principled humanitarian action requires recognition of the distinct and different needs, capacities and vulnerabilities of women, men, girls and boys affected by crises.

Empowerment is the process of increasing the capacity of individuals or groups to make choices and to transform those choices into desired actions and outcomes.²⁵ Definitions of women's and girls' empowerment refer to the expansion of choice and strengthening of "voices" through the transformation of power relations so that women and girls have more control over their lives and futures and can exercise agency and take action through expanded access to and control over resources and changes to the institutional structures that ultimately shape their lives and futures.²⁶ This process requires not only to increase women's individual *agency* but also institutional/systemic transformation that changes structural barriers in order to shift social and cultural norms, policies and key relationships in ways that allow women and men to step into new roles.²⁷

Within UN Women, the empowerment of women and girls is also integral to effective and principled humanitarian action. It is in these crisis settings that UN Women considers that some of the worst gender inequalities and discriminations against women and girls occur. This, coupled with the recognition of the humanitarian community's failures in adequately addressing the needs and challenges of crisis-affected women and girls and seeing women and girls as agents for change and recovery, impact women's and girls' assistance, protection and empowerment outcomes, warrant including women's and girls' empowerment as a priority in humanitarian response. For UN Women, in "the absence of dedicated and systematic institutional coordination and leadership on gender equality and women's empowerment, humanitarian action will continue to fail women and girls."²⁸

In current global discourse, concepts of gender equality programming and women's and girls' empowerment are amalgamated under the same policies and guidance. For some, promoting gender equality is the empowerment of women, where the freeing of women's potential provides benefit to all of society. Within the sector, gender markers such as CARE's enable understanding of how programmes contribute to gender equality and women's empowerment from categories ranging from "harmful practice and gender neutral to gender sensitive, gender responsive and gender transformative." While targeting women and girls can be central to GEP and effective and inclusive humanitarian response, recent studies emphasise the importance of not neglecting men and boys in GEP.

 $http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTPOVERTY/EXTEMPOWERMENT/0,, contentMDK: 20244572^menuPK: 543261^pagePK: 148956^piPK: 216618^theSitePK: 486411,00.html$

 $^{^{24} \ \}text{Humanitarian Response, Global Cluster for Early Recovery (GCER)}. \ \text{https://www.humanitarianresponse.info/en/clusters/early-recovery}$

²⁵ World Bank

²⁶ Bill and Melinda Gates Foundation, 2017. A Conceptual Model of Women and Girls' Empowerment.

²⁷ CARE Women's Empowerment Framework https://www.care.org/our-work/womens-empowerment/gender-integration/womens-empowerment-framework

²⁸ UN Women Humanitarian Action Strategy (2014-2017)

²⁹ CARE Gender Marker. http://gannexender.care2share.wikispaces.net/file/view/CARE_Gender%20Marker_External%20Comms.pdf/



1.2.3 UN Women Approach, Mandate and Strategic Directions on Gender Equality and the Empowerment of Women in Humanitarian Action

UN Women's mission statement, as set out in the Secretary-General's report on A Comprehensive Proposal for the New Entity,30 provides for "the achievement of equality between women and men as partners and beneficiaries of development, human rights, humanitarian action and peace and security." When UN Women began its operations in 2011, it did not include a humanitarian portfolio, however, as an agency established by the General Assembly to drive forward and contribute to gender equality and the empowerment of women, over time, the need to engage in humanitarian action became an imperative given the humanitarian system's shortcomings in ensuring that women and girls are provided with the necessary protection, support, and longer-term opportunities. In 2011, the aim of UN Women's engagement in humanitarian action was to "ensure consistency and sustainability in addressing gender equality concerns across the humanitarian-development continuum as well as to improve awareness and commitment, enhance capacity and strengthen partnerships with national entities, civil society, regional institutions and the international humanitarian system... [UN Women's] role was to support coordination and accountability efforts of humanitarian providers to ensure responses meet women's needs in humanitarian emergencies".31 The 2018-2021 strategic plan further delineates UN Women's role, working towards a greater role of women in the process and towards more gender-responsive risk analyses; the contribution of women and women's organisations to disaster risk management plans; gender-responsive recovery preparedness; and sex-disaggregated disaster-related data.

UN Women's work in humanitarian action increased significantly since 2011. According to UN Women₃₂, the portfolio grew by 700% from USD 3.4 million in 2011 to USD 27.2 million and from four to forty-three countries in 2017. However, this number remains a small amount compared to the investment of other humanitarian agencies such as Oxfam (USD\$315 million), WFP (US\$4.4 billion, 2016), UNHCR (US\$3.9 billion, 2016) or UNICEF (US\$1.6 billion, 2016). The Humanitarian Action and Crisis Response Office (HACRO) was established in 2017 as a separate office under the Policy and Programme Directorate, in recognition of the expanding humanitarian portfolio, replacing the Humanitarian Unit which had been established in 2014.

The 2018-21 Strategic Plan notes the increased demand for UN Women's assistance in developing gender-responsive approaches in humanitarian action. Furthermore, with its work across the women, peace, and security agenda, UN Women intends to overcome the humanitarian-peace-development divide and to advocate for increased cooperation and complementarity, both within the UN and more broadly.

Against the backdrop of organisational change, the progressive establishment of UN Women as a relatively new organisation, UN Women's positioning derived from its mandate, and the different historical groundings of its work in the security, development and human rights pillars of the UN, provide

³⁰ UN Secretary-General's Report A/64/588. https://documents-dds-ny.un.org/doc/UNDOC/GEN/N10/202/88/PDF/N1020288.pdf?OpenElement

³¹ DARA 2011, Humanitarian Response Index 2011: Addressing the Gender Challenge. https://daraint.org/humanitarian-response-index/humanitarian-response-index-2011/

³² These figures are taken from the Terms of Reference for the Corporate Thematic Evaluation of UN Women's Contribution to Humanitarian Action. Preliminary analysis during the inception phase has highlighted the issue of consistency in reporting of financial data in relation to humanitarian action by COs, and a lack of comparable financial data in the period 2011-2014. This is echoed in the UN Women Humanitarian Programmes Review 2014, which identified \$3,127,939 of humanitarian funding reported by three COs, with a further amount of \$3.5 million for Mali that was reported as covering a 4-year window and therefore unable to be attributed to a specific period.



a context for UN Women's work in the area of humanitarian action and the humanitarian, peace and development nexus. There are also important opportunities for UN Women to contribute to the current New Way of Working (NWOW) and Agenda for Humanity efforts, IASC GEEWG policy rollout and accountability efforts, and to establish a system-wide strategy and action plan on GEEWG in humanitarian action.

UN Women's humanitarian action efforts are guided by several normative frameworks, including the Beijing Platform for Action³³ and the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW, 1979);³⁴ the IASC Gender in HA Handbook, policy and Gender Accountability framework;³⁵ the Sendai Framework for Disaster Risk Reduction,³⁶ the 2016 World Humanitarian Summit and its Grand Bargain,³⁷ the SDGs,³⁸ and Women in Peace and Security Resolution 2242.³⁹

Normative, coordination and operational work:

UN Women's work on GEEW in humanitarian action intends to navigate across the three areas mandated by its founding resolution: normative support functions, UN system coordination and operational activities, in an integrated and mutually reinforcing manner in support of transformative results⁴⁰.

UN Women's normative efforts are focused on ensuring gender responsiveness is incorporated into relevant frameworks, policies, and other international instruments. This includes providing recommendations for addressing the gender inequality of disaster risk and promoting gender responsiveness in the Sendai Framework (2015) and highlighting the key issues that need to be reflected in the Global Compact on Refugees (2017) to ensure GEEWG commitments were met.⁴¹

UN Women provides technical support to ensure gender-responsive implementation of the Sendai Framework through a number of global platforms. It participates in the Global Platform for DRR, cohosting a special event on "Women's leadership in disaster risk reduction" at the meeting in May 2017. UN Women is also a member of the DRR Focal Point Group, playing an active role in strengthening the integration of gender in DRR through its contribution to the revision of the UN Plan of Action. UN Women also provides support at the regional and national levels, helping to ensure gender responsive strategies and plans for disaster preparedness and response.

UN Women worked on ensuring GEEWG was an overarching theme of the 2016 World Humanitarian Summit, which resulted in 20 percent of all participants' commitments addressing gender issues, and "catalysing action to achieve gender equality" being adopted as a core commitment of the WHS. 43 Additionally, UN Women coordinates the "Informal Friends of Gender Group for the Grand Bargain," working with all signatories to ensure the implementation of WHS commitments to women and girls. To

https://www.agendaforhumanity.org/sites/default/files/resources/2017/Jul/WHS Commitment to Action 8 September2016.pdf

³³ Beijing Platform for Action (1995). http://www.un.org/womenwatch/daw/beijing/platform/

³⁴ Convention on the Elimination of All Forms of Discrimination against Women (CEDAW). http://www.un.org/womenwatch/daw/cedaw/

³⁵ IASC Reference Group on Gender and Humanitarian Action. https://interagencystandingcommittee.org/gender-and-humanitarian-action

 $^{^{36}\,}Sendai\,Framework\,for\,Disaster\,Risk\,Reduction.\,https://www.unisdr.org/we/coordinate/sendai-framework$

 $^{^{}m 37}$ Agenda for Humanity, Grand Bargain. https://www.agendaforhumanity.org/initiatives/3861

 $^{{\}color{red}^{38}} \ {\color{red}^{Sustainable}} \ {\color{red}^{Development}} \ {\color{red}^{Goals.}} \ {\color{red}^{https://sustainabledevelopment.un.org/sdgs}$

³⁹ UN Security Council Resolution 2242. http://peacewomen.org/SCR-2242

⁴⁰ United Nations Entity for Gender Equality and the Empowerment of Women (UN-Women), Strategic Plan 2018-2021. UNW/2017/6/Rev.1 41 A Position Paper and Aide-Memoire were presented in October 2017, during the consultations for the Global Compact on Refugees.

⁴² UNISDR, 2017. Special Event on Women Leadership in Disaster Risk Reduction for Resilience, https://www.unisdr.org/conferences/2017/globalplatform/en/programme/special-events/view/808

 $^{^{43}}$ WHS Commitments to Action (2016).



ensure accountability, UN Women has partnered with ActionAid and Women's Refugee Commission to analyse the progress made towards achieving the gender-related WHS commitments annually, utilising data from the PACT WHS multi-agency self-reporting mechanism.⁴⁴

UN Women also participates as co-chair and serves as the Secretariat of the Gender Reference Group in Humanitarian Action (GRG) under the IASC since 2013. In this role, UN Women and the GRG undertook a review of IASC's delivery on its 2008 Gender Equality in Humanitarian Action Policy Statement in 2015, which noted inconsistencies in the application and prioritisation of commitments.⁴⁵ UN Women set out to develop a new IASC Gender and the Empowerment of Women and Girls in Humanitarian Action Policy in 2017. The new version of the policy, developed through consultation with IASC member representatives, Global Clusters, IASC subsidiary bodies, and humanitarian coordinators, reflects major developments in humanitarian normative priorities, including those developed at the 2016 World Humanitarian Summit (2016), the New York Declaration on Refugees and Migrants (2016), the Sustainable Development Goals (2015) and the Sendai Framework (2015). The GRG developed a Gender Accountability Framework, 46 based on the revised policy, which captures, monitors and measures the performance of the IASC bodies in undertaking their roles and responsibilities set out in the policy, and monitors progress on implementation of key standards at global and field level. UN Women, with funding from ECHO, launched the revised IASC Gender Handbook for Humanitarian Action in April 2018 to provide guidance to frontline humanitarian workers on integrating GEEWG throughout the humanitarian action cycle. This was accompanied by an e-learning platform that was hosted and developed by UN Women, as well as face to face training and Training of Trainers (ToT) conducted in 4 countries.47

UN Women's operational/programmatic work includes supporting women and women's organisations to play a leadership role in response, preparedness and recovery efforts; women, including young women, having access to information, skills and resources to secure livelihood opportunities in humanitarian contexts; sex-disaggregated humanitarian response and disaster-related data, as well as supporting gender-responsive risk analyses; the contribution of women and women's organisations to disaster risk management plans; and gender-responsive recovery and preparedness.

UN Women's operational work on humanitarian action and crisis response is implemented through three Flagship Initiatives⁴⁸ that are tagged to humanitarian work, i.e. LEAP, GIR, and SCE.⁴⁹ **Under crises prevention, preparedness and disaster risk reduction,** UN Women is partnering with UNISDR and the IFRC towards addressing the disproportional effects of the impact of climate-related natural disasters on women and girls through the joint global programme, **Gender Inequality of Risk and promoting Community Resilience to Natural Hazards in a Changing Climate (GIR).** This programme focuses on addressing the gender inequality of risk and promotes community resilience, identified as key drivers of disaster risk. GIR provides a mechanism to support countries in operationalising and achieving the

⁴⁴ UN Women and Action Aid, 2017. Analytical paper on WHS self-reporting on Agenda for Humanity transformation 3D and Gender as a cross-cutting issue.

⁴⁵ IASC Reference Group for Gender in Humanitarian Action, Review of IASC 2008 Policy Statement on Gender Equality in Humanitarian Action. https://interagencystandingcommittee.org/system/files/2_review_iasc_gender_policy_final_report_narrative_report2_1.pdf

⁴⁶ Accountability Framework for the IASC Policy on Gender Equality and the Empowerment of Women and Girls in Humanitarian Action. https://interagencystandingcommittee.org/system/files/iasc_accountability_framework_with_adjusted_self_assessment_0.pdf

⁴⁷ IASC Reference Group on Gender and Humanitarian Action. https://interagencystandingcommittee.org/gender-and-humanitarian-action ⁴⁸ HACRO, 2018. Humanitarian Framework Draft.

⁴⁹ The Leadership, Empowerment, Access & Protection in Crisis Response Programme (LEAP), the Gender Inequality of Risk Programme (GIR), the Second Chance Education Initiative (SCE), Women Peace and Humanitarian Fund (WPHF) and the joint Programme of Gender Enablers



gender commitments under the Sendai Framework Agreement for DRR, and to deliver on the 2030 Agenda for Sustainable Development.

GIR has four outcome areas identified:⁵⁰

- 1. Strengthen assessments of the gender dimensions of disaster risk, by increasing the engagement of women in disaster risk assessments and developing gender-sensitive data collection instruments and tools;
- 2. **Promote gender-responsive National Disaster Risk Management Policy and Governance** by supporting the integration of specific policy responses into DRM risk management policies, promoting inter-sectoral and multi-level coordination mechanisms and monitoring of the reduction of gender-specific disaster risk;
- 3. Close the financing gap for gender-responsive prevention, preparedness and recovery by promoting national and local budget allocations to address gender-specific prevention, preparedness and recovery; and
- 4. Strengthen the capacity of women to prevent, prepare for, and recover from, disasters in a changing climate, by developing and implementing gender-responsive early-warning systems and by increasing women engagement in disaster preparedness plans.

Under crisis response, UN Women works in complex humanitarian contexts with the overall goal of restoring dignity and promoting resilience of female-headed households and women in vulnerable households, as well as providing durable solutions for refugees under its **Women's Leadership, Empowerment, Access and Protection (LEAP)** global flagship programme initiative. This programme aims to make gender equality and women's empowerment central for coordinated, effective humanitarian action and crisis response.

The LEAP programme focuses on increasing individual and collective resilience through the work undertaken along the humanitarian-peace-development nexus. To bring about the intended impact, the following **outcomes**⁵¹ have been identified:

- Humanitarian action and crisis response planning and programming are gender-responsive and inclusive;
- Economic self-reliance: women benefit from livelihood and economic opportunities, which include skills development and second chance education as a basis;
- Women have access to protection mechanisms, including those that prevent and address Gender-Based Violence (GBV); and
- Leadership and participation of displaced women in community mobilisation, decision-making and social cohesion are increased, including through engagement of men and boys towards gender equality.

Also, under crisis response is the Women's Peace and Humanitarian Fund (WPHF) established by UN Women. This is a flexible and rapid global pooled funding mechanism which aims to significantly increase financing for women's participation, leadership, and empowerment in both humanitarian action and

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⁵⁰ UN Women, 2016. Addressing the gender inequality of risk in a changing climate (brief)

⁵¹ UN Women (2017) Women's Leadership, Empowerment, Access & Protection (LEAP) Program In Humanitarian Action & Crisis Response, 2 pager.



peace and security settings,⁵² providing direct support to the capacity of local women to respond to crises and emergencies.

Other initiatives that fall under UN Women's operational work are the **Second Chance Education (SCE)** and the **Enablers Programme**, which are further explained below.

The **Second Chance Education (SCE)** and Vocational Learning Programme, in partnership with the BHP Billiton Foundation, aims to improve access for girls and young women to educational and learning opportunities, providing a comprehensive solution for marginalised women and girls who have missed out on education and are at risk of being left behind. According to the 2018 UN Women Humanitarian Framework, the SCE programme will contribute to the following outcomes: high-quality educational and skills development content, material and learning pathways are accessible for young women; increased employment, livelihood and entrepreneurial opportunities for young women; harmful and discriminatory social norms that keep young women out of education and skills development are addressed; and multisectoral policy and financing frameworks in place to create an enabling environment to pilot and scale up successful SCE solutions for marginalised women, including young women.⁵³

From the information gathered, we understand that the three-year pilot project began in April 2018 and covers Australia, Cameroon, Chile, India, Jordan, and Mexico. It addresses a diverse range of environments and types of vulnerable populations, including indigenous populations, refugees, IDPs and local communities hosting them. ⁵⁴ Available documentation would indicate the pilot is still at a very preliminary stage, however the data collection phase should allow us to explore this initiative better through the in-country missions.

The Enablers Programme is a 5-year initiative launched in July 2018 in partnership with UNHCR, UNDP, UNFPA and Women Deliver and led by UN Women. The goal of the programme is to ensure implementation of gender norms and standards on GEEW in conflict-related humanitarian settings, increasing transparency and accountability to drive improved results through system-wide action. The programme aims to provide UN system-wide support on women's empowerment and participation across the humanitarian-development-peace nexus to bridge the gap between international commitments and norms and their actual implementation at country level. The programme will be implemented through the Multi-Partner Trust Fund (MPTF) mechanism in 6 countries the first year, with an additional 6 countries of implementation each subsequent year.

The programme seeks to leverage UN Women's triple mandate of normative, coordination and programmatic in an effort to bridge the gap between commitments to gender equality and women's empowerment and their implementation along the humanitarian-development nexus by directly leveraging the capacity of local women's organisations and providing leadership and ensuring adequate

⁵² GAI(2017)Global Acceleration Instrument for Women, Peace and Security and Humanitarian Action, 2 Pager

⁵³ The programme will target adolescent girls, 15 years and above who are not enrolled in formal school. However, recognizing that girls younger than 15 years of age may have been forced out of education due to child marriage, becoming pregnant or not being able to go to or stay in school, the programme will be open to these adolescent girls if formal education is not possible. Each office will undertake a country needs assessment during the inception phase. As a result of this exercise, a country plan will be developed indicating target beneficiaries by age, need, etc.

⁵⁴ https://www.youtube.com/watch?v=3jN_OZHVQzA

⁵⁵ UNHCR will participate at country level but not at the global level

⁵⁶ UN Women, 2018 Humanitarian Framework.



support for their efforts. As per UN Women reporting of March 2018, the programme was not yet operational.57

Preliminary Inception Phase Observations

There seems to be agreement by both internal and external stakeholders interviewed that UN Women is well positioned to work at the global level on its normative and coordination mandate. The work undertaken in the context of the IASC's Gender Reference Group (GRG) is cited as a good example, providing a consistent and coherent narrative on women and gender able to influence normative work at the highest levels, such as the Sendai framework. Progress at this level has been observed through the special event on "Women's leadership in disaster risk reduction" to bring greater attention to the gender inequality of risk and highlight best practices, lessons learned and recommendations for genderresponsive implementation of the Sendai Framework presented at the fifth Global Platform for Disaster Risk Reduction (May 2017),⁵⁸ which UN Women co-hosted. However, inception phase analysis raised questions on the effectiveness of the uptake and roll-out of their work. For example, the IASC gender handbook and accountability framework have not benefitted from wide dissemination efforts, nor did they help to secure a more gender sensitive Strategic Workplan for the IASC.

In terms of UN Women's coordination mandate, it entails both work to hold the UN system accountable for its own commitments on gender equality, including regular monitoring of system-wide progress, as well as the broader role of UN Women in mobilising and convening key stakeholders and partnerships at global, regional and country levels, by playing a leadership role on gender equality in relevant mechanisms (e.g. Cluster coordination, HCTs).

Through its coordination work, UN Women works with UN agencies and other partners at global, regional and field level to build capacity, share best practices, and provide guidance on tools and standards to ensure gender equality and women's empowerment are mainstreamed into humanitarian response and preparedness. UN Women has chaired/co-chaired the Protection cluster and Gender-Based Violence sub-cluster in certain countries. Additionally, UN Women has assumed the leadership and convening role on gender-related issues in various contexts, and at times provides seed funds to mobilise humanitarian country teams. UN Women also provides gender expertise to humanitarian coordination mechanisms and relevant DRR bodies at national and regional level. UN Women works in partnership with OCHA in Palestine, working on a joint action plan for engendering humanitarian action. UN Women also participates in the Inter-Cluster Coordination Group and the Humanitarian Gender Group, and provides regular training and capacity building, support to UN agencies on mainstreaming gender in the humanitarian programme cycle and use of the Gender and Age Marker. In terms of DRR, UN Women has established partnerships with UNISDR and IFRC. However, during the inception phase questions were raised by key stakeholders as to whether these were the most effective partners for UN Women in this area, and also in regards to how much sensitisation and understanding of DRR had actually been promoted within the organisation, which would be a necessary step to ensure quality coordination and operational work.

Inception phase interviews and desk review allow us to ascertain that UN Women's coordination efforts focus on 1) ensuring availability of evidence and data to inform a gender-sensitive humanitarian

 $^{^{57}\} https://www.agenda for humanity.org/sites/default/files/UN\%20Women\%202018\%20-\%20Grand\%20Bargain\%20Report\%20FINAL_0.pdf$

⁵⁸ http://www.unisdr.org/conferences/2017/globalplatform/en



response; and 2) providing technical capacity and, when possible leadership, to the cluster system, gender groups and inter-cluster coordination (ICC). While at the operational level the focus is more on 3) enabling environment building (through capacity building of local actors, civil society and government counterparts); and 4) promoting empowerment and resilience by providing a nexus between the humanitarian, peace and development phase (the nexus). This longer-term approach to humanitarian response is in line with the build back better approach that would allow UN Women to make use of existing institutional partners. UN Women is also, in principle, expected to leverage its grassroots link to ensure participation of women and girls in coordination processes. UN Women reports to have supported 206 local women's organisations in 28 countries to play a role in humanitarian response and recovery in complex humanitarian settings in 2017 alone.⁵⁹ The support included provision of funding, fundraising and advocacy assistance, capacity development and training, and facilitating access to UN-led national coordination mechanisms. However, it was unclear from our preliminary data if the link with grassroots women's organisations was always leveraged.

Agreements have been signed, or are currently being developed, to partner with most of the key players including UNICEF, WFP, UNDP, UNHCR, OCHA, UNISDR, IFRC and UNFPA. Questions were raised in regards to the adequacy of the partners identified for DRR. As such, understanding the added value and effectiveness of partnership will be further explored during the evaluation process. Some internal and external stakeholders raised concerns about UN Women's capacity on the ground as a potential limitation when it comes to effective partnerships. At the same time, UN Women's flexibility as a smaller agency that could focus on specific projects and act as a conduit for earmarked funding was considered an asset.

Membership for the IASC came across as a key point of discussion, with many stakeholders underlining its importance for UN Women to be able to fulfil its coordination mandate and effectively promote rolling out of their normative mandate on the ground, and to influence wider processes. This would seem to be supported by (for example) the lack of a gender lens in the recent IASC strategy and workplan. It is perceived as a needed endorsement that UN Women is part of the humanitarian response system and would help it justify its role. It was reported that most agencies have expressed their support for UN Women's inclusion into the IASC, however their membership continues to be denied. The main argument is linked to UN Women's capacity in humanitarian response, it not being considered an operational humanitarian agency, as well as the group's desire to limit membership for efficiency purposes, an argument that is also at times cited as a reason for exclusion from coordination efforts at the country level (for example in Somalia).

1.2.4 UN Reform Context and Humanitarian Reform

The adoption of the General Assembly resolution 72/279 on 31 May 2018 launched one of the most comprehensive transformations of the UN development system, including seven key areas for transformation:

- 1) Context appropriate, demand-driven, skilled UN Country Teams (UNCTs);
- 2) A reinvigorated Resident Coordinator (RC) system with stronger capacity, leadership, accountability and impartiality;

 $^{59}\ https://www.agenda for humanity.org/sites/default/files/UN\%20Women\%202018\%20-\%20Grand\%20Bargain\%20Report\%20FINAL_0.pdf$

⁶⁰ UN Women strategic partners in DRR at global level include UNICEF, UNDP, UNISDR, IFRC, UNFPA, IOM, UNEP, academic and research institutions, and donors.



- 3) A coordinated, reprofiled and restructured regional approach better supporting work on the ground;
- 4) Renewed spaces for Member States to guide system-wide actions and ensure greater coherence, transparency and accountability for results, supported by independent system-wide evaluations;
- 5) A stronger UN institutional response and system-wide approach to partnerships for the 2030 Agenda;
- 6) A Funding Compact to bring better quality, quantity and predictability of resources; and
- 7) Concrete steps to accelerate the system's alignment to the 2030 Agenda.

The exact implications for UN Women and the humanitarian response system are unknown. The gap between normative commitments and action in GEEWG was recognised by the UN Secretary General in his approach to delivering on the 2030 agenda, in particular through: (i) a strong focus on addressing those left furthest behind; (ii) a call for accountability across the UN system at country, regional and global level for collective outcomes; and (iii) a focus on implementation of norms and standards, data collection and analysis.⁶¹

Discussions during the inception phase have highlighted both the opportunities and threats of UN reform. Key issues cited have to do with UN Women country presence, the system's ability to integrate and prioritise GEEWG and the benefits and challenges of an all-of-UN approach. UN Women has set up an Interdivisional Task Force on Change Management (IDTF) to analyse the implications of the UNDS repositioning for UN Women and develop a plan to respond to the demands of the 2030 Agenda and the SDGs, the UN Reform, and the Strategic Plan (2018-2021). Key objectives of Change Management include enhancing the connection between normative, coordination, and operational work, and to ensure structures better respond to needs on the ground.

In the humanitarian sector, the World Humanitarian Summit set the stage for the Agenda for Humanity establishing the 5 Core Responsibilities, five major areas for action and change, that are needed to address and reduce humanitarian need, risk and vulnerability, and 24 key transformations that will help achieve them. The Summit confirmed that "gender equality, the fulfilment of women and girls' human rights and their empowerment in political, humanitarian, and development spheres is a universal responsibility...they are pivotal to sustaining conflict prevention and resolution, peacebuilding and building resilient communities". The New Way of Working is one of the initiatives that aims to offer a concrete path to progress on collective outcomes. It entails working over multiple years, based on the comparative advantage of a diverse range of actors, including those outside the UN system, towards collective outcomes and, wherever possible, strengthening capacities that exist at national and local levels.

For UN Women's work in the humanitarian-development-peace nexus, the NWOW presents both opportunities (e.g. tracking progress on gender commitments and the agenda for humanity's monitoring and reporting) and validation of their approach.⁶² More significantly, the WHS provided a platform for commitments in support of GEEWG and further opportunity for tracking progress in this area.⁶³ The

⁶¹ UNSG (2017) Repositioning the United Nations development system to deliver on the 2030 Agenda: our promise for dignity, prosperity and peace on a healthy planet.

⁶² Self-Report for 2017 on World Humanitarian Summit Commitments and Initiatives - United Nations Entity for Gender Equality and the Empowerment of Women (UN WOMEN)

⁶³ Empower Women and Girls (Transformation 3D) and Gender as a Cross-Cutting Issue: Analytical Paper on WHS Self-Reporting, ActionAid, Women's Refugee Council and UN Women paper authored by Anne Mitaru, ActionAid; Joan Timoney, Women's Refugee Commission; and



Agenda for Humanity and the 2030 Agenda for Sustainable Development intersect in their pledge to "leave no one behind" and to "endeavour to reach the furthest behind first." Recent studies advocate for a holistic response to the "leave no one behind" pledge that considers the severity and overlaps between different types of deprivation and disadvantages, considering intersectionality of vulnerability to understand who and why people face multiple compounding and/or severe disadvantages, by assessing the disparities and shortfalls in SDG achievements across geographic contexts and between people and groups (female and male; persons with/without disabilities; linguistic minorities and non; etc.). ⁶⁴ In this context, UN Women and other actors will be increasingly considering compounding vulnerability factors as integral to its GEEWG approach in humanitarian action.

Some preliminary observations

In terms of voices from the margins and "leave no one behind", some initiatives from the field were reported. For example, research and discussions undertaken in the Arab States around working with men and boys; background research on LGBTI in the Asia Pacific region; and attempts in Bangkok to incorporate disability though partnerships with the International Disability Alliance. However, there is recognition of the limited expertise within UN Women, and that this area is not yet a priority or strength of their work. The evaluation will seek to understand what is being done in terms of prioritising on the basis of need and explore how it could be looked at going forward.

In terms of the work around **environment and climate change**, preliminary findings from initial exploration showed normative work of UN Women at global level in the context of the United Nations climate change conference COP23.⁶⁵ Through this work, UN Women acknowledges the growing impact of climate change and how those in vulnerable situations, especially women and girls, bear the brunt of environmental, economic and social shocks. Initial interviews and documentary review point towards limited consideration of the environment in UN Women's decision-making process at the operational level. The evaluation will explore if, how and when UN Women's work in humanitarian action integrates environment considerations (beyond climate change to include human-made environmental impact deriving from man-made environments, such as refugee camps) as a cross-cutting issue in its work on resilience, sustainability, underlying power dynamics, livelihood opportunities, training, awareness raising, etc.

Arpita Varghese and Jakob Lund, UN Women, using stakeholder self-reports on progress towards achieving WHS commitments available on the Platform for Action, Commitments and Transformations (PACT).

⁶⁴ What Does It Mean to Leave No One Behind? A UNDP discussion paper and framework for implementation July 2018

⁶⁵ The annual Conference of the Parties (COP23) to the UN Framework Convention on Climate Change (UNFCCC)



1.3 Evaluation Purpose, Objectives, use and Scope

1.3.1 Purpose

The primary purpose of the corporate thematic evaluation is to assess UN Women's contribution to humanitarian action at global, regional, and country level, as well as the degree of integration of the human rights approach and gender equality principles. The evidence and knowledge generated by this evaluation, and the subsequent findings and recommendations, will inform UN Women's strategic decisions regarding its approach to Humanitarian Action as it expands and solidifies its work in this area. The evaluation is also expected to feed into UN Women's efforts to promote gender equality and the empowerment of women in the context of the NWOW, UN reform, the Agenda for Humanity, UN Common Guidance on Resilience and the commitment to leave no one behind.⁶⁶

1.3.2 Objectives of the Evaluation

The objectives of this evaluation, as outlined in the evaluation TOR, are as follows:

- 1) Assess the relevance/appropriateness of UN Women's humanitarian action across its tripartite mandate (normative, coordination, operational) in addressing local needs and priorities and increasing ownership and accountability on integrating gender into humanitarian action;
- 2) Assess the effectiveness and efficiency of UN Women's contributions in prevention, preparedness, response, recovery and resilience building;
- 3) Assess the extent to which UN Women's interventions are connected to longer-term and development efforts and support sustainable approaches to recovery and disaster risk reduction;
- 4) Analyse how the human rights approach and gender equality principles are integrated in humanitarian action area of work;
- 5) Identify and validate innovations and an optimal set of services, as well as lessons learned and good practice examples, in UN Women's humanitarian work; and
- 6) Provide actionable recommendations to help UN Women to demonstrably improve the situation of women and girls, and society more widely, through its humanitarian action.

As explained in the previous section, recent and ongoing changes have made this corporate evaluation timely. It is therefore hoped that the evaluation will help to inform the current strategic direction and programmatic humanitarian action work of UN Women in the area of GEEWG.

1.3.3 Evaluation Stakeholders

The primary intended users of the evaluation are UN Women's Executive Board, senior management, staff at HQ (mainly HACRO), regional and country levels working on GEEW in humanitarian action and other global stakeholders in the humanitarian sector. The intended use of the evaluation is to inform strategic policy and programmatic decision-making and management, organizational learning and accountability, and contribute to wider knowledge on what works and what doesn't to advance gender equality and women's empowerment in humanitarian action. The evaluation will be completed in sufficient time to be presented to the Annual Session of the Executive Board in 2019.

⁶⁶ Included in both the NWOW and the 2030 Agenda for Sustainable Development 193 UN Member States pledged to ensure "no one will be left behind" and to "endeavor to reach the furthest behind first."



The Inception Phase included a participatory SWOT analysis and stakeholder mapping session with HACRO to identify key stakeholders of UN Women humanitarian work. In addition, relevant stakeholders were identified from all exploratory interviews carried out during the inception phase. Combined with a desk review, and stakeholder identification work that had been undertaken by the IES in commissioning the evaluation, the evaluation team mapped this data. The full results of this analysis are presented in Annex 5.3. The table below shows the primary and secondary intended evaluation users.

Table 1: Primary and secondary intended evaluation users

Who Primary Evaluation Users	Why (their relevance to the evaluation process)	How (informational, reference group, management group, data collection, etc.)	When (in what stage of the evaluation)	Priority (importance of involvement in the evaluation process)
UN Women Senior Management (COs, Policy, Programme, Intergovernmental, Coordination) (duty bearers)	Help clarify and focus UN Women work on GEEWG in HA; to enable UN Women to position itself in a strategic niche that adds real value and position within the organization	Semi-structured interviews	Inception, data collection phase	High
HACRO (duty bearers)	They define and guide UN Women's work in humanitarian action through their triple mandate, provide training and oversight to country level implementation across UN Women's tripartite mandate	Inception workshop, semi-structured interviews, data collection briefing, revision of key deliverables	Throughout the entire process	High
Country Directors, Country Teams (duty bearers)	Directly involved in identifying the nature of the interventions, programmatic implementation, engagement/leadership in country level coordination mechanisms (HCT, GiHA)	Semi-structured interviews, remote interviews, survey	Data collection phase and national debriefing sessions for validation	High
Independent Evaluation Office (duty bearers)	Responsible for the evaluation and for ensuring alignment between the evaluation, UN Women evaluation policies and end users	Regular discussion and feedback	Ongoing, throughout the entire process	Medium
Regional Directors, P&S and HA advisors (duty bearers)	Understand how to move GEEWG forward in a way that integrates country and HQ work, development of regional strategies	interviews, remote	Data collection phase	Medium
Donors (duty bearers)	To have a clearer understanding of UN Women's position and value added on GEEWG in humanitarian action			High



Secondary Evaluation Users							
Women and girls (including marginalized, vulnerable or in crises)- (rights holders)	Key partners and rights holders representing the target beneficiaries and users of UN Women's services in humanitarian action. It will be key to ensure they are included in a respectful and culturally appropriate manner to understand the significance of the interventions in their lives	Semi structured interviews and focus group discussions	Data collection phase and national debriefing sessions for validation	High			
Men and Boys, as well as religious and other community leaders (depending on the context may be duty bearers)	Key gatekeepers of norms and traditions that negatively affect women and girl's lives	Semi structured interviews	Data collection phase	Medium			
UN System Entities (some, by nature of their mandate will be duty bearers, mainly UNHCR and UNICEF)	Key partners at both the operational and policy level are able to inform as to the effectiveness of UN Women's work within a system	Semi-structured interviews, possibly survey participation	Data collection phase and national debriefing sessions for validation	High			
ICRC/ Red Cross and Red Crescent Movements (depending on the context may be duty bearers)	Key partners at both the operational and policy level	Semi-structured interviews, possibly survey participation	Data collection phase and national debriefing sessions for validation	High			
INGOs (depending on the context may be duty bearers)	Key partners at both the operational and policy level	Semi-structured interviews, possibly survey participation	Data collection phase and national debriefing sessions for validation	High			
IASC (depending on the context may be duty bearers)	Key gatekeeper for UN Women's access to policy discussions, and perceived as key to secure credibility for UN Women's work in the sector	Semi-structured interviews, possibly remote	Data collection phase	High			
Security, WPS and Research and Data Section of UN Women, as well as other relevant UN Women sections (duty bearers)	Help in-house linkages around GEEWG, and support field colleagues to translate GEEWG concepts into action	Survey participation	Data collection phase	Low			
Member States (duty bearers)	Engage in the process of clarifying the conceptual understanding of GEEWG in humanitarian action and UN	Semi-structured interviews	Inception and data collection phase	Medium			



	Women's role, and facilitate sharing on emergent practices and issues				
Authorities at the country level (duty bearers)	Key partners and beneficiaries on the ground, are able to provide feedback as to the utility of UN Women's work.		Data phase	collection	Low
Women's groups, Civil Society Partners (depending on the context, can be both rights holders and duty bearers)	To have a clearer understanding of UN Women's role and added value in HA, and where it can fit into their work	Semi-structured interviews and focus groups discussions	Data phase	collection	High

1.3.4 Evaluation Scope

In line with the Terms of Reference (ToRs), the evaluation will focus on UN Women's contribution to humanitarian action and initiatives at global, regional, and country levels. The evaluation will primarily focus on the period since 2014, with the establishment of the Humanitarian Unit and the development of a Humanitarian Strategy. The evaluation will also include a brief review of the work conducted from 2011-2013, recognising that UN Women has been involved in a limited manner in HA prior to this period and that very limited information is available.

The evaluation will include all dimensions of UN Women's humanitarian work, namely its mandates to support GEEWG in humanitarian action through normative, coordination, and operational work. It will apply OECD DAC evaluation criteria and assess the level of integration of a human rights-based approach and of gender equality principles to UN Women's programme planning, implementation, and monitoring as a cross-cutting issue.

More details on each dimension of the evaluation scope are provided below.

Formative approach

In accordance with the ToRs, this evaluation will be predominantly formative and use an utilisation-focused approach⁶⁷. UN Women's work in humanitarian action is relatively recent and the evaluation is intended to generate knowledge that will help UN Women solidify its contribution in this area. UN Women's strategy and approach are still in the process of being further refined, as demonstrated in its draft Humanitarian Framework. Its capacities in humanitarian action are incipient in most countries. The evaluation will be forward-looking and prospective, and it will focus on learning from UN Women experiences to date, designed to better inform UN Women's humanitarian action efforts, as well as the strategic processes that are currently underway within UN Women in relation to GEEWG in HA. The evaluation will include some summative elements reporting on UN Women's progress on GEEWG in HA, including outcomes and early evidence of impact related to more principled and effective humanitarian action, especially focusing on good and innovative practices that can inform the work going forward.

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Deriving from Utilization-Focused Evaluation (UFE), developed by Michael Quinn Patton, an approach based on the principle that an evaluation should be judged on its usefulness to its intended users.



Global, regional and country levels and normative, coordination and operational mandates

The evaluation will cover all levels of UN Women work in humanitarian action, including linkages between the three organisational levels (global, regional, country) and three dimensions of its mandate. The evaluation will review information from the estimated 36 countries where UN Women works on humanitarian action and information on countries with HA where UN Women is not present. Following inception phase consultations, the evaluation will look to understand and explore linkages and feedback loops between global, regional and country levels, as well as decision making and accountability structures, to understand how policy and guidance is translated on the ground and demonstrate the effectiveness of relevant systems, capacities, and processes and learnings from the field.

UN Women contributions to humanitarian action

Following inception phase consultations and initial document review, DARA found that contributions to humanitarian action are not clearly and unequivocally defined within UN Women and that much of what is included as reporting on HA at the country level has to do with how country offices or regional offices define different activities. This is partly due to how UN Women has linked humanitarian action and Peace and Security under one common outcome area in its Strategic Plan, the existence of the P&S and HA advisors at the regional and country levels and the existence of a common fund.⁶⁸ UN Women's work in the humanitarian-peace-development nexus also explains the challenge of clearly drawing boundaries between different types of activities (see Section 1.2 above).

Other areas of possible overlap are GBV, climate change, and work in humanitarian interventions that include livelihood or skills training activities and initiatives such as Second Chance Education that could fall under other UN Women areas of work. The evaluation team does not intend to clearly establish in advance a strict definition of the activities that should be included in the evaluation scope but to be exploratory and understand the narratives around UN Women's contribution to humanitarian action that would better help define its role now and in the future, as well as identify potential entry points to promote linkages and internal coherence.

In terms of assessing results, the evaluation team will use a formal approach, considering UN Women's Strategic Plan thematic priorities 11 and 12 and how UN Women reports on outputs 14 and 15 and on predefined global targets and its formal reporting.

⁶⁸ Women's Peace & Humanitarian Fund. http://wphfund.org/



2 The Evaluation Object

2.1 Evaluability Assessment

As part of the inception phase of this evaluation, the evaluation team conducted a brief evaluability assessment of UN Women work in humanitarian action, focusing on the extent to which: 1) the object of the evaluation is adequately defined and progress towards results measurable; 2) data to inform the evaluation is available and of adequate quality; and 3) the institutional context, considering the practicality and the utility of the evaluation. This assessment builds on the scoping work conducted by the IES for the preparation of this evaluation. It was further informed by consultations with key stakeholders during the inception phase, and by an analysis of available data and documents.

2.1.1 Clarity and Measurability of the Object

To what extent is the object of the evaluation clearly defined?

A number of challenges for defining the object of the evaluation surfaced during the inception phase. These challenges have to do with the positioning of humanitarian action within UN Women, UN Women's broad mandate, the fact that UN Women is a relatively new agency with a limited but increasing humanitarian presence and portfolio, and that Peace and Security and Humanitarian action constitutes one of the priority areas of work for UN Women according to its past and current Strategic Plans, as already explained in section 1.3. UN Women lacks an overarching theory of change for its contribution to principled and effective humanitarian action based on GEEWG. While it has developed theories of change for thematic priorities 11 and 12 of its Strategic Plan, as well as theories for the flagships, these do not fully capture its current vision and/or elements as per its draft humanitarian framework.⁶⁹ Furthermore, GEEWG in humanitarian action encompasses multiple intervention activities at multiple levels. As such, attempts to capture the diverse causal pathways between the array of intervention activities in different contexts and a range of outcomes can prove overwhelming. Conceptual clarity within UN Women about principled and effective humanitarian action is positively affected by the HACRO and Programme's vision and work, but this may not always be fully understood across the organisation.

A review of key documents on UN Women's humanitarian action suggests some evolution of focus since its establishment. In 2011, the aim of UN Women's engagement in humanitarian action was to "ensure consistency and sustainability in addressing gender equality concerns across the humanitarian-development continuum as well as to improve awareness and commitment, enhance capacity and strengthen partnerships with national entities, civil society, regional institutions and the international humanitarian system... [UN Women's] role was to support coordination and accountability efforts of humanitarian providers to ensure responses meet women's needs in humanitarian emergencies (DARA HRI). Its focus and role was on enabling the humanitarian system to better integrate the gender equality agenda. Three years later in 2014, this same goal is reflected in UN Women's humanitarian strategy (2014-2017) where UN Women continues to focus largely on its normative and coordination roles and mentions that "its development-focused operational programming" can help improve the results of humanitarian action. Since the development of flagship programmes in particular, UN Women has had a greater focus on operational activity implementation.

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⁶⁹ As an example, these do not reflect outcomes GEP goals in terms of for men and boys and how when women and girls are better served by humanitarian action this has a positive impact on disaster affected populations as a whole.



To what extent are results measurable?

The evaluability assessment has found that the **Integrated Results and Resources Framework** contained in the Strategic Plan (SP) for the period 2014-2017 is partially a basis for assessing and measuring UN Women's contribution to HA. The SP IRRF (2018-21) identifies the expected outcomes and outputs⁷⁰ for each of UN Women key priorities, and related indicators, proposed targets, and baselines (when available). UN Women's Humanitarian Action priority area is captured under outcome 5 in the current SP, 'More women play a greater role in and are better served by disaster risk reduction and recovery processes, mainstreaming gender perspectives into humanitarian architecture, country programming, risk analyses, risk management plans and production of sex-disaggregated disaster-related data' (strategic plan output 15) and 'More women play a greater role and are better served by humanitarian response and recovery efforts' (strategic plan output 14).

The evaluation will review activities and results against the outcome and the three associated outputs referred to in the Humanitarian Strategy and UN Women's Strategic Plan (2014-17) and review the merits of these in terms of the stated objective of facilitating increased focus, action and accountability in UN Women's humanitarian action work. In particular:

- Outcome 4.3: Gender equality and women's empowerment commitments adopted and implemented throughout humanitarian action including preparedness, disaster risk reduction, response and early recovery;
 - Output 4.3.1: Evidence-based knowledge on gender-responsive humanitarian action including performance measurement and accountability frameworks, is accessible to policy-makers, practitioners and decision-making bodies;
 - Output 4.3.2: Enhanced national and regional capacity of institutions and partners to develop and implement gender-responsive policies and measures for humanitarian action;
 - Output 4.3.3: Existing coordination mechanisms are more gender-responsive and better analyse and address the distinct needs of women, girls, men and boys.

As stated previously, UN Women's contribution to humanitarian action also includes activities, outputs and outcomes that are included in other areas. One example is work on violence against women in crisis affected countries (e.g. "Women and girls including those in the IDP camps access and use existing multi-sectoral Violence Against Women Services"). This means that that some activities which are directly linked to goals and intentions of humanitarian action will not be reflected in the evaluation. In an attempt to address this, the evaluation team will rely on the expertise of the regional advisors and the evaluation managers to better define countries and activities that should be included in the analysis (the evaluation universe).

2.1.2 Availability, Quality and Consistency of Data and Information

The evaluation team has benefited from the comprehensive and systematic efforts provided by IES on gathering and organising documentation for this evaluation. As part of the inception phase, the availability, quality, completeness and consistency of three main types of data and documents were

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 $^{^{70}}$ In relation to outputs, the 2014-2017 SP is more detailed than the 2011-2013 one.



analysed: strategic and planning documents at HQ and country levels; monitoring data and reports; and financial information. A few limitations have been identified on different types of documents in relation to their reliability, availability, consistency, and quality.

Planning documents

The evaluation team has reviewed key strategic/planning documents at the global, regional and country level. Main limitations/data gaps include:

- Understanding whether planned HA activities have taken place or will take place, given funding constraints or other operational limitations
- How change management and wider UN Reform will affect UN Women
- Lack of clarity as to what is and is not included in the humanitarian portfolio (see contributions to humanitarian action above)

The evaluation intends to be prospective and use the most recent available information in its analyses.

Monitoring data and reports

UN Women produces global annual reports, summarising key achievements at the aggregate level for all mandates of UN Women's work. Country offices, regional offices and HACRO provide annual input information on progress towards outcomes and outputs (as defined in the relevant AWPs), and to provide further information in narrative sections. Understanding of what may constitute progress under a certain output or outcome can vary across countries and regions, thus affecting the consistency of the information reported under HA and related outcomes and outputs across countries. At the global level, UN Women has defined targets on a number of indicators, but some lack baselines and others have yet to be defined on the basis of desk review work to be carried out in 2018.

Humanitarian portfolio

A preliminary overview of UN Women's humanitarian portfolio in 2018 around the world shows an overall humanitarian budget of \$26,791,355⁷¹ covering 37 countries, with delivery of 61% and potential delivery⁷² (including encumbrances and advances) of 92%, illustrating the size of UN Women's operational work in humanitarian action. During the in-depth portfolio review, the evaluation team will look at the different dimensions at the country level.

There is some concern over the accuracy of data, which was one of the challenges identified when retrieving data from the Results-Based Management (RBM) system, specifically the lack of consistency in the way Country Offices record HA activities in the RBM system. For example, humanitarian work falls under Impact Area 4 as does WPS, so unless an office has a larger humanitarian portfolio or does additional work on WPS, CO's usually reflect smaller humanitarian activities under a different Impact Area to keep the number of outcomes/outputs low. Additionally, some DRR activities fall under the thematic area of climate resilience and are often categorised as economic empowerment, rather than humanitarian action. This was taken into account when developing the overall 2018 portfolio figures, attempting to identify humanitarian work by looking at other metrics in the RBM system. However, there

⁷¹ The information presented was sourced from of UN Women's RBM system, specifically the Output Level Report and cross-referenced with the 2017 HACRO report for consistency.

 $^{^{72}}$ Source: UN Women programme division It should be highlighted that the TOC is a working and live document that will be reviewed in line with the findings of the data collection phase



is a certain degree of inaccuracy that the evaluation team will need to consider when undertaking the indepth portfolio analysis.

Human Rights and Gender Equality Data

The evaluation will examine the extent to which human rights-based approaches and gender equality principles have been integrated in planning, implementation, monitoring and reporting of GEEWG interventions. Previous evaluations have cited that from an evaluability perspective, an evaluation challenge could be that such approaches are, to some extent, taken for granted within UN Women organisational culture, and so the need for review might be underestimated. These aspects will be further probed as part of the evaluation. An initial review suggests that there is limited disaggregation on the basis of age or other factors, including potential vulnerability factors. These data gaps can affect the way the evaluation will be capable of answering some of the questions related to GE and HR dimensions and the leave no one behind agenda, disability and LGBTQI.

2.1.3 Relevance and utility of the evaluation

Discussions held during the inception phase reflect a great interest on the part of key stakeholders for the evaluation. This was also ascertained by Independent Evaluation Services (IES) during their scoping study. The evaluation is both important for HACRO and of interest to other UN Women staff who want a better understanding of the work and results UN Women is achieving through their humanitarian action work, particularly given the field's increasing importance within the organisation. Primary evaluation users have been well identified and the evaluation benefits from an internal and external reference group that facilitates a transparent and participatory process involving relevant UN Women stakeholders and partners at the corporate, regional and country levels. The timing of the evaluation is appropriate, despite the uncertainties associated with changes in the context of UN Reform, Change Management and other uncertainties, as there is still ample opportunity for the evaluation to influence UN Women's work and help it solidify its contribution to humanitarian action. Key evaluation users have expressed interest in the range of evaluation questions and the evaluation design.

Evaluation Methods

3.1 **Overall Approach**

DARA will be guided by UN Women's gender and human rights principles and will adhere to OECD-DAC Standards, ALNAP guidance on evaluating humanitarian action⁷³ and UNEG Norms and Standards for Evaluation. The evaluation will adhere to UN Women's Evaluation Policy and UN Women's Evaluation Handbook, including relevant Quality Assurance guidance. The evaluation approach is primarily theorybased and utilisation focused, and systematically incorporates the humanitarian principles. Other approaches, as detailed below, will also be used for specific evaluation questions as outlined in the analytical framework (see Annex 5.4). The use of multiple approaches in an evaluation increases the utility and use, contributes to further learning and results in more comprehensive evaluations with purposeful recommendations.⁷⁴ Dara believes that combining these approaches will ensure a quality evaluation.

⁷³ "Evaluating Humanitarian Action Using the OECD-DAC Criteria: An ALNAP Guide for Humanitarian Agencies." Overseas Development Institute, London 2006.

⁷⁴ "The Use of Multiple Evaluation Approaches in Program Evaluation." Katrina L. Bledsoe and James A. Graham, American Journal of Evaluation, Vol. 26 No. 3, September 2005 302-319.



Theory-based

DARA has developed a ToC for the purposes of the evaluation. The inception phase has dedicated considerable time and effort to reviewing and understanding both implicit and explicit theories of change on UN Women's contribution to HA. The evaluation team has mapped outcomes and reconstructed a broader ToC based on definitions of humanitarian action and the evidence and assumptions of how GEEWG contributes to more effective and principled humanitarian action.

Theory-based evaluations are particularly relevant for policy makers and practitioners as they explain why an intervention works -or doesn't work- in a given context, answering not only the question of what works, but also why and how it worked. This theory-based approach will be used to evaluate UN Women's humanitarian action across the three interconnected of its mandate (normative, operational and coordination work) and across the global, regional and country level to assess the relevant policies, strategies, programmes and interventions and help determine (i) whether these strengthened gender equality and the empowerment of women (GEEWG) and offered gender-sensitive, gender-responsive or gender transformative solutions; and (ii) why these have been successful or why they failed and how contextual factors have positively or negatively influenced results.

Theory-based approaches help address cause-effect issues in evaluations, highlighting the importance of context-specific responses and recognise context as a key feature of an evaluation framework.

Utilisation-focused

Overall, our approach includes a strong utilisation focus, based on Michael Quinn Patton's work on evaluation. This encourages participation and is sensitive to context and innovation, ensuring that all relevant stakeholders are involved in each step of the process in ways that support their learning and facilitate interaction and real-time feedback throughout the process, including facilitation of debriefing presentations at the end of each country field mission. This adheres to the key principles for genderresponsive evaluation at UN Women, particularly Intentionality and use of the evaluation, Innovation and Participating and inclusion, promoting meaningful involvement of stakeholders to optimize results and support accountability. The evaluation will be designed to fulfil the objectives of the primary intended users (UN Women senior management and programme staff at global, regional and country level working on humanitarian action). This involves addressing the instrumental use, through providing evidence-based analysis and actionable recommendations, alongside the potential validating use, determining "whether independent and objective evidence exists to demonstrate UN Women's addedvalue in the humanitarian sector". Finally, the evaluation will maintain a flexible approach to enhance the opportunity for participation by key stakeholders and reference groups throughout, recognising the complex nature of humanitarian action and the evolving institutional structure to support UN Women in this area.

Reflecting humanitarian principles in the evaluation

Humanitarian principles will be imbedded systematically as core elements in the evaluation when covering humanitarian contexts. Humanitarian action should be guided by the principles of humanity, impartiality, neutrality and independence. The UN Secretary-General's report for the World Humanitarian Summit reiterated: "The Humanitarian Principles—Humanity, Impartiality, Neutrality and Independence— are central to obtaining access to populations in need. Ensuring that all humanitarian assistance is Impartial, neutral and Independent from military interventions or political agendas is critical



for humanitarian organizations to earn trust and acceptance among State and non-State armed groups, and to gain and maintain access and operate in safety."

Humanitarian principles are a key reference point in evaluating humanitarian action and should also guide how the evaluation is carried out.

The principles are described as follows:

- Humanity: Human suffering must be addressed wherever it is found. The purpose of humanitarian action is to protect life and health and ensure respect for human beings.
- Neutrality: Humanitarian actors must not take sides in hostilities or engage in controversies of a political, racial, religious or ideological nature.
- Impartiality: Humanitarian action must be carried out on the basis of need alone, giving priority to the most urgent cases of distress and making no distinctions on the basis of nationality, race, gender, religious belief, class or political opinions.
- Independence: Humanitarian action must be autonomous from the political, economic, military or other objectives that any actor may hold with regard to areas where humanitarian action is being implemented.

Humanitarian agencies also follow the principle of Do No Harm. In the Humanitarian Charter, this is captured in Protection Principle 1: 'avoid exposing people to further harm as a result of your actions', which includes not only violence and rights abuses, but also physical hazards.⁷⁵

The Humanitarian Evaluation Interest Group (HEIG)⁷⁶ launched at the UNEG - Annual General meeting in March 2015 recognised the specificities of humanitarian evaluation and the need to reflect the principles in evaluations. Considering the focus of this evaluation on UN Women's contribution to humanitarian action, the evaluation will both include humanitarian principles as a key reference point and also be guided by them in the way the evaluation is carried out.⁷⁷

Gender responsive and human rights-based approach in the evaluation

In line with UN Women's Evaluation Handbook, the evaluation will, first and foremost, take a gender responsive approach, promoting accountability towards commitments of gender equality, women's rights and the empowerment of women into all aspects of the process. This informs both what the evaluation examines and the way in which the evaluation is conducted, with a goal of demonstrating the changes in gender and power relationships resulting from the intervention. This will include looking at UN Women's work in enhancing women's participation and decision-making, self-reliance and protection through key informant interviews and observations during field missions, where appropriate. Effective gender-responsive evaluation assesses the way programming affects women and men differently, recognising the different needs and priorities of crisis-affected populations. Reference will also be made to different Gender Marker categories, from harm and gender blind to gender neutral, gender sensitive, gender responsive and gender transformative⁷⁸.

⁷⁵Humanitarian Charter and Minimum Standards in Humanitarian Response, Sphere, (2011).

⁷⁶ The HEIG is convened by WFP, and includes representatives of the offices of evaluation of the following agencies: FAO, OHCHR, OIOS, UNDP, UNFPA, UN-Habitat, UNHCR, UNICEF, UNFPA.

ALNAP (2016) Evaluation of Humanitarian Action Guide. ALNAP Guide. London: ALNAP/ODI.

⁷⁸ CARE Gender Marker. http://gannexender.care2share.wikispaces.net/file/view/CARE_Gender%20Marker_External%20Comms.pdf/



In line with this, we propose a human rights-based approach (HRBA) that is heavily informed by feminist theory. The HRBA assumes there is an underlying international framework that identifies commonly agreed rights. As such, humanitarian action forms part of a greater effort to secure those rights and is intrinsically linked with UN Women's normative work. It also puts the beneficiaries at the centre of the work as rights holders, highlighting the importance of empowerment and advocacy towards the securing of those rights. It also assumes there is a sufficiently functioning state against which rights can be demanded, which is not always the case in humanitarian contexts. Use of context analysis to understand how it impacts, benefits or hampers UN Women's work will be key, and could help to determine elements required for UN Women's underlying theory of change to stand. While the gender-responsive approach would take into account differences between men and women, feminist theory would seek to go beyond describing these differences towards trying to understand why, acknowledging power structures and access to power (decision making) and how these elements impact women and girl's ability to participate in and inform humanitarian response (environment).

Women's empowerment, defined "as the sum total of changes needed for a woman to realize her full human rights", 79 would consider the interplay of changes in:

- Agency: her own aspirations and capabilities;
- Structure: the environment that surrounds and conditions her choices;
- Relations: the power relations through which she negotiates her path.

This feminist approach will have an important impact on the evaluation process, promoting inclusion of a diverse range of voices that speak not only to gender but include other relevant categories, such as class or race. This more inclusive and strategic analysis of the power structure will impact both the process of the evaluation as well as its conclusions and recommendations.

Systems thinking and the ISE4GEMs

The idea of systems thinking is that linear cause and effect is insufficient to describe complex and changing situations. Systems thinking is characterised by an appreciation of the interrelatedness of parts within a wider system and the emergence of properties that cannot be fully comprehended by analysis of the system's essential parts. For example, women, men, adolescent girls and boys all have important roles and contribute to the fabric of any community's well-being. To strengthen a community, it is important to understand each gender's social and economic contribution and needs, the cultural norms for those roles and contributions, and the hopes and concerns of each gender and age group.

The evaluation has reviewed the ISE4GEMs approach and the use of intersectional analysis, considering the Gender equality, Environments and Marginalized voices (GEMs) framework.

The principles of ISE4GEMs call for researchers to:

- Adopt a gender sensitive approach
- Value voices from the margins
- Incorporate the environment within research

⁷⁹ CARE Women's Empowerment Framework https://www.care.org/our-work/womens-empowerment/gender-integration/womens-empowerment-framework



- Select appropriate methodologies
- Undertake research towards social change

These principles are to a great degree already reflected in our gender responsive and HRBA approach. However, a full-fledged application of the ISE4GEMs would have required a different approach, increased timing and furthermore, it does not fully align with the objectives of the evaluation.

Organisational assessment

A relatively new area of work for UN Women, it is trying to solidify its contribution in humanitarian action starting from a relatively low baseline. A key issue for UN Women's humanitarian work is its insufficient capacity, skills and experience in humanitarian action. Given its limited resources, staffing has been a constant challenge. UN Women has developed a number of strategies to overcome capacity challenges. UN Women's approach to growth has been to favour coherence and standardisation in order to have a brand and a model that everyone could understand and replicate, as opposed to UN Women country offices engaging in different ways. UN Women at the headquarter level needs to both understand whether this approach is followed and working and whether there is coherence and a UN Women brand. In this process, the evaluation will help to better understand the nature of feedback loops within UN Women.

Figure 1 Organisational assessment model



While the evaluation will not undertake a full-fledged organisational assessment, different aspects of this model will be used to inform our analysis.

Gap between mandate, needs and UN Women's size

The extent of needs and the limited UN Women presence is an additional issue that has been raised during the inception phase. Together with the lack of institutional support for GiHA, a number of interviewees have raised the issue that UN Women may be spread too thin. Several actors have emphasised that UN Women should focus on its normative and coordination role and questioned its operational role, and some have emphasised that UN Women should intervene on the basis of strong partnerships. The evaluation will further explore whether UN Women should narrow its focus strategically to improve its effectiveness and performance.

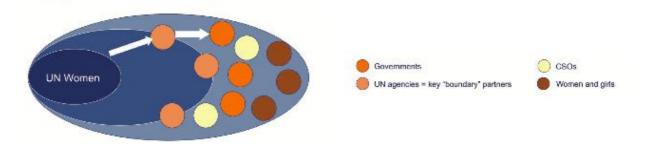


Partnerships

Elements of boundary analysis, grounded in outcome mapping, will be included within our approach in reference to, among others, the UN Women Regional Architecture Evaluation's⁸⁰ suggestion that we consider the GEEWG agenda in humanitarian action as a whole of UN/humanitarian system issue (see figure 3) and think about elements of capacity and action it wishes to see in its UN partners and other actors. UN Women would focus not only on how it can influence other UN agencies to incorporate and promote the GEEWG agenda, but also on sharing the burden and relying on other UN agencies/the HC/HCT system to carry primary responsibility for certain aspects of GEEWG.

Figure 2: UN agencies as "boundary partners". Source: UN Women Regional Architecture Evaluation

UN agencies act as "boundary partners" for UN Women in the GEWE mandate



Intersectionality and leave no one behind

Intersectionality offers a method to understand complexity and the importance of examining the intersection of multiple forms of discrimination. Intersectionality is complex because different categories interact and intersect with others and shape and form each other in non-linear and unpredictable ways.

As part of our approach, we will use intersectionality in relation to the "leave no one behind" agenda and the pledge to "reach the furthest behind first" as a standard against which to assess UN Women's approach to humanitarian action. The leave no one behind agenda is an opportunity to advance a shared understanding on humanitarian priorities and to advance collective efforts with development actors, which is consistent with principles of needs-based responses, humanity and impartiality. Leave no one behind is a core responsibility of Agenda for Humanity. The <u>Agenda for Humanity</u> advocates for seven strategic and normative transformations that are necessary in order to leave no one behind:

<u>Address displacement</u>: A new approach to addressing and reducing displacement is required through meeting immediate humanitarian needs and improving displaced persons' and their host communities' resilience and self-reliance.

Address migration: A collective and comprehensive response to displacement, migration and mobility is required. States should provide more legal pathways for migration and provide humanitarian visas and protection for those who do not fall under the 1951 Convention relating to the Status of Refugees. The specific vulnerabilities of migrants should be integrated into humanitarian and other response plans. Effective cooperation to combat human trafficking and migrant smuggling is critical.

 $^{^{80}}$ Corporate Evaluation of the Regional Architecture of UN Women (2017). http://www.unwomen.org/en/digital-library/publications/2017/1/corporate-evaluation-of-the-regional-architecture-of-un-women



<u>End statelessness:</u> States should commit to ending statelessness by 2024 through supporting the "I Belong" campaign and acceding and implementing the Convention relating to the Status of Stateless Persons and the Convention on the Reduction of Statelessness.

Empower and protect women and girls: Full and equal participation by women and girls in civil, political, economic and social spheres and in decision-making must become the standard to which all actors are held accountable in their development and humanitarian programming and funding. Access to livelihoods opportunities must be scaled up and expanded. Priority must be given to providing women and adolescent girls with comprehensive sexual and reproductive health-care services without discrimination.

<u>Ensure education for all in crisis:</u> Sufficient domestic and international funding must be made available for quality education programmes, during and after crises. Education must be safe, inclusive, free of exploitation and protected from attacks and abuse by military groups. All education programmes should include secondary education and provide vocational opportunities. States should commit to providing education and certification for displaced persons, in line with national qualifications and standards.

<u>Empower young people:</u> Empower and promote the participation and leadership of young people in national, local and international conflict prevention and resolution responses and in the recovery of communities. Programmes that successfully integrate refugee youth into communities, provide education, vocational training and employment opportunities should be increased and supported.

<u>Include the most vulnerable:</u> The needs and risks faced by the most vulnerable and disadvantaged groups, including women and girls, persons with disabilities, older persons, adolescents and ethnic minorities must be identified and prioritized. National and international organizations should put in place strategies and programmes with a specific focus on protecting and respecting the rights of the most vulnerable and disadvantaged, underpinned by comprehensive data analysis.

Current efforts focus on responding to the intersectionality of vulnerability. Along similar lines, UNDP has developed a framework to "leave no one behind" that also considers contextual factors to understand who is being left behind and why, and to shape effective responses. It suggests that five key factors should be assessed:

- **Discrimination**: What biases, exclusion or mistreatment do people face based on one or more aspect of their identity (ascribed or assumed), including prominently gender, as well as ethnicity, age, class, disability, sexual orientation, religion, nationality, indigenous, migratory status, etc.?
- **Geography:** Who endures isolation, vulnerability, missing or inferior public services, transportation, internet or other infrastructure gaps due to their place of residence?
- Governance: Where do people face disadvantage due to ineffective, unjust, unaccountable or unresponsive global, national and/or sub-national institutions? Who is affected by inequitable, inadequate or unjust laws, policies, processes or budgets? Who is less or unable to gain influence or participate meaningfully in the decisions that impact them?



- Socio-economic status: Who faces deprivation or disadvantages in terms of income, life expectancy and educational attainment? Who has less chances to stay healthy, be nourished and educated? Compete in the labour market? Acquire wealth and/or benefit from quality health care, clean water, sanitation, energy, social protection and financial services?
- Shocks and fragility: Who is more exposed and/or vulnerable to setbacks due to the impacts of climate change, natural hazards, violence, conflict, displacement, health emergencies, economic downturns, price or other shocks?

People at the centre of these intersections are likely to be the most disadvantaged and furthest behind.

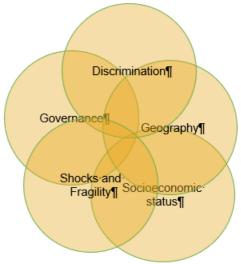


Figure 3 Intersectionality and leave no one behind Source: UNDP, What does it mean to leave no one behind?

3.2 Overview of UN Women's Theory of Change for GEEWG in Humanitarian Action

On the basis of these observations and acknowledged limitations and of the needs of the evaluation, the evaluation team, in line with the evaluation ToR, developed an initial reconstructed Theory of Change/Intervention logic, as a guiding conceptual framework for the evaluation. (See Section 3.3 – Towards a Theory of Change)

The objectives and expected uses of this conceptual framework within the evaluation are the following:

- To provide a basis against which to assess UN Women's approach to humanitarian action in terms of relevance and appropriateness of design;
- To help 'bring-together' and summarise results of UN Women work on GEEWG in humanitarian action; and
- To help understand and test the inherent assumptions made by UN Women in its humanitarian programming.

As part of the Contribution Analysis, the evaluation expects to review and refine the ToC.

The specific Evaluation Questions to be addressed follow in Section 3.3.2, Clarifying the Key Evaluation Questions and sub-Questions. The Data Collection and Analysis Methods are outlined in Annex 5.5, with details of the data sources and cohorts for each evaluation question provided in Annex 5.4 – Analytical Framework. The protocols for surveys and semi-structured interviews are detailed in Annex 5.11.

3.3 Theory of Change and Evaluation Questions

This section provides an overview of the proposed theory of change that will guide how the evaluation will be conducted. This is not meant as a theory of change for UN Women's work in humanitarian action per se, but instead as a way of distinguishing the causal paths between inputs, activities, outputs and expected outcomes. It is assumed that the outcomes then contribute to the stated goal and potential areas of impact. The theory of change then leads to a revision in evaluation questions, and then indicates how this analysis provides the basis for the analytical framework, data collection tools and protocols, and other elements that will guide all aspects of the evaluation.



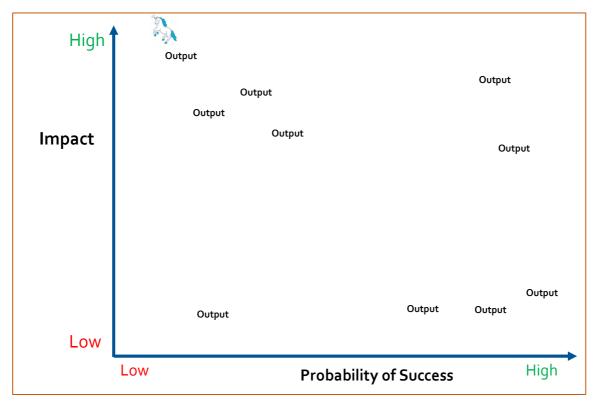


Figure 4 Illustrative grid showing the potential probability of success and potential for impact for different outputs

3.3.1 A Theory of Change to Guide the Evaluation

The Inception Phase focused on identifying the most appropriate conceptual framework to guide the assessment of UN Women's performance in relation to its contribution to humanitarian action and the GEEWG agenda.

As a first step, a theory of change should provide a framework that shows the relationships between inputs, activities, outputs, outcomes, and expected goals/impact. It can also be used to identify gaps, assumptions, risks, opportunities, and other considerations related to how activities deliver results. This analysis should then support decision making and performance management by identifying and prioritising activities based on their probability of success and overall potential for results/impact. As the figure above shows, this results in an assessment of activities and where they lie between a low/high probability of success or impact. This can then lead to strategic decision making about which outputs should receive the most focus and which, perhaps, should be deprioritised. As in Figure 4, one may also consider "unicorns," those untested and innovative activities that may thus have a low probability of success and yet the potential for a high degree of impact.

One of the outputs from this analysis for the evaluation will be to identify activities and where they lie on trajectories associated with probability of success and potential for impact. This will not include all UN Women activities in humanitarian action. Instead, it will focus on examples that are illustrative of different trends and that may lead to programme adaptions and continuous improvement going forward.



Using UN Women Strategic Documents to Construct a Theory of Change

UN Women HACRO has not articulated an overarching theory of change for humanitarian action. If one considers the UN Women Strategic Plan 2018-2021 and the draft Humanitarian Framework, amongst other sources, a theory of change could include the following:

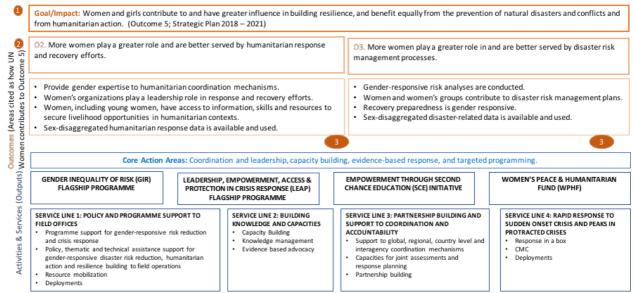


Figure 5 'Theory of change' that reflects existing strategic documents and that aligns with Outcome 5 of the Strategic Plan.

Issues & Observations

This basic theory of change raises a number of issues and observations:

- Outcome 5 from the Strategic Plan is very broad. Best practices dictate that a theory of change make explicit links to broader strategic goals, like outcome 5 from UN Women's Strategic Plan 2018-2021. However, sometimes strategic goals are exceptionally broad, covering diverse and often disparate activities that each raise specific performance issues and may require different approaches and outcomes, different activity combinations, and different inputs, including time and resources.
- Links between all 5 strategic outcome areas is important. The link to outcome 5 does not account for the other four outcomes from UN Women's strategic plan, namely: a comprehensive and dynamic set of global norms, policies and standards on gender equality and the empowerment of all women and girls is strengthened and implemented (outcome 1); women lead, participate in and benefit equally from governance systems (outcome 2); women have income security, decent work, and economic autonomy (outcome 3); and, all women and girls live a life free from all forms of violence (outcome 4). These outcomes are inherently interlinked, and one needs to assess how activities/outputs related to these supports the achievement of outcome 5.
- The focus on women and girls in outcome 5 provides a narrow definition of gender equality. This needs to be assessed, as cited in Section 3.1, in relation to whether this was an overt choice and whether this has implications for how UN Women achieves results in relation to humanitarian action.
 - Lack of focus and adherence to a more common definition of 'outcomes'. These outcome statements also come from UN Women's Strategic Plan 2018-2021. Precision is required for a



theory of change that can be used to manage performance. Along these lines, the repeated use of "more" is generally fine, except that it could be deemed successful by a minuscule increase. This might not be enough to contribute to the stated goal/impact.

- There is a preponderance of outcome level information without clear links to specific activities. The three primary outcome statements are further disaggregated in the Strategic Plan into a series of additional outcome statements, all of which deserve a fully threshed out theory of change. Additional focus here, instead of a significant expansion, may be preferable.
- The Humanitarian Framework sets out four "core action areas". This is helpful, moving toward articulated "activity bundles", as noted above. How each contributes to different outcomes will be critical for a final theory of change.
- Flagship and other major programmes, as included, have their own highly articulated theories of change. These abide by best practices in format and yet it is unclear how, precisely, they relate to managing performance and how they may collectively contribute to outcome 5 or a revised goal/impact statement.
- **Service lines could have greater focus.** The listed service lines included in the Humanitarian Framework would be important for a revised theory of change. At the moment, there seems to be some overlap between these and other noted action areas.

Additional issues and observations

The relationship between normative, coordination, and operations to stated outcomes/results needs to be clarified. The activities and outcomes explicitly mention or hint at these different areas and yet how and when each is important for results is less clear. There is, as established during the inception phase, also a lack of clarity about what may constitute each at the country level. For instance, is the development of a local framework that includes gender equality part of UN Women's normative work or is it operational, or even part of its coordination efforts? It would seem that it is the interplay between normative, coordination and operational work that matters and yet, from an evaluation perspective, we must determine how and when different aspects of these three come together and whether best/emerging practices can be replicated or brought to scale more broadly.

While outcomes reference different humanitarian contexts, from response to recovery, there is less clarity about the specific issues associated with different humanitarian contexts. For instance, does UN Women need different approaches given a sudden onset emergency as compared to a protracted crisis? How do efforts around DRR relate, if at all, to large-scale emergency responses?

The HACRO humanitarian framework and flagship programme theories of change include impact level indicators: This abides by best practice, but these are so 'high level' as to prevent a reasonable level of attribution. For instance, the LEAP programme includes "% of funding allocated to gender-responsive actions" and "% of women benefiting from response" as indicators. With both of these, there are an almost unfathomable number of intervening variables that could contribute to these.

Is there enough focus to ensure results? As is common in many programmes, there is sometimes such a broad sweep of expected outcomes that performance and results can remain elusive. As noted in the preliminary inception phase observations (Section 1.2.3), many respondents cite the possibility that UN Women lacks the requisite funding, number of staff or programme breadth to effect expected change.

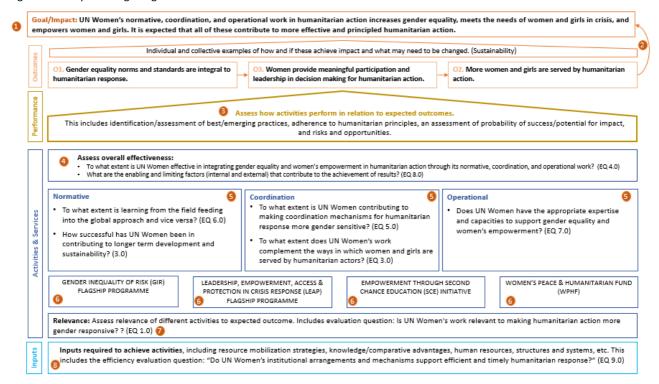


This may be the case. There may also be an opportunity to focus on specific activities and how they relate to expected results, replicating and expanding them as UN Women progresses.

While these issues will be addressed throughout the evaluation, a theory of change is needed to guide how the evaluation will answer key questions. A theory of change for an evaluation focuses on assumptions and 'unknowns' so that these can be tested and analysed. In the most immediate sense, an evaluation's theory of change leads to specific evaluation questions and other issues that need to be addressed to establish how effective UN Women is in relation to its stated goals.

The primary theory is that UN Women's combination of programmes and activities contribute to the expected goal/impact. Therefore, analysis must track issues from inputs to outcome and impact with a particular focus on how activities contribute to stated outcomes. Toward this, we propose the following:

Figure 6 Theory of change to guide the evaluation.

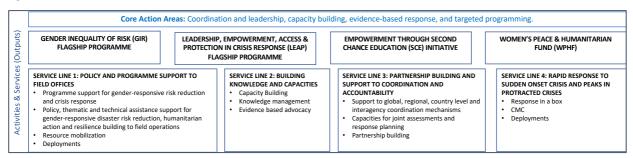


For evaluations, the theory of change shows how different aspects of inputs, activities, outputs, outcomes, and expected impact are related and what needs to be assessed to test the theory, mainly how and if different activities achieve stated outcomes and how these may contribute to the expected goal/impact. In this case, we have included different evaluation questions throughout to show how different areas of inquiry will contribute to this analysis. Of course, some of these questions are broader than may be indicated. They are placed in various quadrants of the theory of change to represent their primary areas of inquiry. This does not imply that they will not contribute to other areas of analysis.

This theory of change intentionally does not reference specific activities as well. The evaluation must assess, as indicated in this report, a range of activities at the global, regional, and country levels to establish how and if they contribute to different areas. At the same time, we have reviewed UN Women flagship programmes and noted HACRO service areas:



Figure 7 Noted action areas and HACRO service lines



The Evaluation will identify the activities associated with these, and possibly other areas, assessing their effectiveness, as noted in the Analytical Framework, while identifying examples of best/emerging practices and, perhaps more importantly, trends associated with how activities contribute to specific outcomes. This will also lead to opportunities to bring different activities to scale and/or to replicate them in different contexts. Additional comments worth noting include:

- Goal/impact statement is focused on humanitarian action and how all three areas of UN Women's mandate contribute to three areas of impact, mainly increased gender equality, ensuring that the needs of women and girls are met, empowerment of women and girls, and how all of these contribute to more effective and principled humanitarian action.
- These three outcomes have links to the stated goal/impact. This assumes that there may be processes by which norms and standards lead to more meaningful participation by women and, thus, more women and girls are served by humanitarian action. It also opens up the opportunity to assess how these contribute to impact, individually or collectively, in different ways.
- Assessing performance is key. Often overlooked in theories of change, it is important to establish key performance issues, especially at activity/outcome levels, that includes where and if UN Women exemplifies best/emerging practices, an initial assessment of probability of success/potential for impact amongst activities, and risks and opportunities associated with different programmes and activities. As noted, the portfolio review and other aspects of the evaluation are designed to establish the performance of relevant activities.
- The data and collection phase of the evaluation will focus on how activities contribute to stated outcomes, amongst other things. It needs to assess the range of programmes and activities in different country contexts, and given different types of humanitarian action, to establish the links to stated outcomes and expected impact.
- The evaluation questions cover different aspects of UN Women's normative, coordination, and operational work. As noted above, these questions are more "cross-cutting" than this may imply. We have included specific mention of 'evidence,' given the need to assess how different actors use UN Women's qualitative and quantitative data. It also includes 'programming' as it relates to best and emerging practices and other targeted programming that may be replicated or scalable.
- **6** Flagship and other major programmes will be assessed according to how they integrate and contribute to the key action areas.
- Assessing relevance provides a foundation for the rest of the analysis, with direct links to activities, outputs and effectiveness. One would be hard pressed to diminish the relevance of any of UN



Women's work in relation to stated outcomes and impact. Yet, the evaluation will assess different aspects of relevance, especially in relation to normative, coordination, and operational work, establishing whether some areas may be more relevant than others.

Inputs required to achieve activities. Finally, the evaluation will assess specific inputs important for activities' success. These will go beyond financial and human resources and include structures and systems, including decision making mechanisms, which may be important for individual or collective activities.

This theory of change, and the associated analysis, leads the evaluation to recommend a fairly significant revision of the evaluation questions.

3.3.2 A Revised Set of Evaluation Questions

Along with these issues and considerations, evaluations use the theory of change to articulate a list of questions that must be answered. These are based on the assumptions inherent in the theory of change, along with other areas that can provide value to UN Women. As based on the original set of questions included in the ToR and the analysis conducted as part of the inception phase, including around the theory of change above, we suggest this revised list of questions:

Relevance

- 1.0 Is UN Women's work relevant to gender responsive humanitarian action including DRR?
 - 1.1. To what extent has UN Women's humanitarian action complemented and added value to ensure that women and girls are better served within the broader response?
 - 1.2. Given expertise and capacities on the ground, is UN Women concentrating its efforts in the right places to ensure a gender responsive humanitarian response?

Appropriateness

- 2.0 To what extent has UN Women's response been appropriate in the context of the needs and priorities of the affected populations, particularly those left furthest behind in humanitarian contexts?
- 3.0 Has UN Women adhered to the principles of humanitarian action?

Connectedness

4.0 How successful has UN Women been in designing and implementing its humanitarian work to contribute to longer term development and sustainability, taking into account the humanitarian – development nexus?

Partnerships

- 5.0 Is UN Women investing in the right partnerships in humanitarian action in the right way?
 - 5.1 What are the key partnerships that can support UN Women to achieve its mandate?
 - 5.2 What are the enabling factors and challenges to effective partnerships?

Effectiveness

6.0 To what extent is UN Women effective in integrating gender equality and women's empowerment in humanitarian action through its normative, coordination, and operational work?



- 6.1 To what extent has UN Women contributed to more women and girls playing a greater role in humanitarian response and recovery efforts, including disaster risk reduction (DRR)?
- 6.2 To what extent has UN Women contributed to more women and girls being better served by humanitarian response and recovery efforts, including disaster risk reduction (DRR)?
- 6.3 To what extent does UN Women work with affected populations and civil society in ways that enable them to influence a humanitarian response?
- 6.4 To what extent is UN Women contributing to making coordination mechanisms for humanitarian response more gender-sensitive and ensuring accountability for integrating gender equality across the response?
- 6.5. To what extent and how are the different areas of the mandate reinforcing each other?

7.0 Is UN Women effectively managing knowledge and learning to strengthen its results and further its mandate?

- 7.1 To what extent is learning from the field feeding into UN Women's global approaches to gender equality and women's empowerment and vice-versa? 81
- 8.0 What are the enabling and limiting factors (internal and external) that contribute to the achievement of results and what actions need to be taken to overcome any barriers that limit progress? Are there any opportunities and entry points for further scaling up?

Efficiency

- 9.0 Do UN Women's institutional arrangements and mechanisms support efficient and timely humanitarian response?
 - 9.1 To what extent do UN Women's institutional arrangements (including lines of communication, decision making and support structures), operational mechanisms, and financial resources support an effective and efficient response?
- 10.0 Does UN Women have the appropriate expertise and capacities to support gender equality and women's empowerment in humanitarian action?
 - 10.1 Does UN Women have adequate surge capacity to be able to respond rapidly to emergencies?
 - 10.2 Does UN women ensure adequate and up-to-date capacity and skills (training, etc) of staff working in humanitarian action?

Gender Equality & Human Rights

Gender Equality & Human Rights

11.0 How has UN Women's humanitarian work addressed the underlying causes of gender inequality and discrimination?

11.1 To what extent does the humanitarian action work undertaken by UN Women address the underlying causes of inequality and discrimination, including those experienced by the LGBTQI community and women with disabilities?

⁸¹ This will include looking at Knowledge Management strategies at different levels (including flows between HQ and the field, within regions, across countries); the generation of tools, analysis and programmatic guidance as a means to help identify gaps and opportunities?



11.2 To what extent were a human rights-based approach and gender equality incorporated in the design and implementation of UN Women's humanitarian action?

Sustainability

12. To what extent is UN Women's work in humanitarian action sustainable, including DRR, recovery, and other aspects along the humanitarian - development nexus?

3.4 Data Collection and Analytical Framework

As based on the analytical framework (Annex 5.4), the following analysis and data collection tools will be used. This does not differ largely from what was presented in the proposal.

3.4.1 Secondary Data Collection

Documentation: The evaluation team has already conducted an in-depth document review of key qualitative and quantitative material and critical information for the evaluation. These and other documents will inform the analysis in almost all questions, as indicated in the analytical framework. Some key documentation/information that will serve distinct questions include:

UN Women Results Based Management system that includes relevant information on UN Women activities, their overall results, and how these relate to broader strategic outcomes;

UN Women Statistics, especially those from flagship products and other sources;

UN Women Evaluations, including the data sets, analysis and findings from these evaluations.

Other quantitative and qualitative data: As noted in the analytical framework, many questions require specific project data, country data and data related to how many people were served in different ways during a humanitarian response. This may include standard global data sets, like the Financial Tracking System, and more localised data sets that relate to targeting and country and regional response plans.

3.4.2 Primary Data Collection

Semi-structured interviews: As a primary means of data collection will depend on interviews amongst distinct cohorts, we will develop standardised interview protocols to ensure that collected qualitative data are consistent and can be easily validated. These protocols will be simple and as brief as possible without disrupting quality. The interview protocols will be based on the analytical framework and contain standardised questions. At the same time, we recognise the need for some exploratory discussion. We view "interviews" as fully participatory, providing ample opportunities for people to raise the issues that they deem most important and that may go beyond our formal questions.

Group Discussions: These will be used primarily for affected populations and civil society, as indicated in the analytical framework. We purposefully do not use the term 'focus group discussions' as this implies distinct methodologies and facilitation approaches that may not be relevant in all contexts. If and when focus group discussions are used, the evaluation will abide by common standards and approaches for these.

Surveys: This will involve web-based surveys with key stakeholders and UN Women staff, as indicated in the analytical framework. These will be designed for different cohorts as indicated in the analytical framework. Most cohorts will either be the entire cohort, like HACRO staff, or rely on non-probability sampling. In any case, we will determine the populations for each survey and then include confidence



intervals/margin of errors for response rate and result analysis. In addition, UN Women regional humanitarian advisors will complete an online self-assessment questionnaire which provides an opportunity for them to contribute to all questions addressed by the evaluation. The results of both the survey and self-assessment questionnaire will be analysed using Nvivo software to identify thematic trends across cohorts and provide a visual representation of the qualitative data.

Given the theory of change and revised evaluation questions above, we have developed an analytical framework that provides indicators/analytical process, cohorts, data sources, analytical tools/approaches, and any constraints or dependencies for each question. This provides the basis for all data collection and analysis and will lead towards the findings, conclusions, and recommendation for the main report. For the detailed analytical tools and approaches please refer to Annex 5.5.

3.5 Sampling: Thematic case study country selection

A key element to inform the evaluation findings will be the thematic case studies. These in turn will be informed by in-country missions and a portfolio review.

3.5.1 Thematic Case Studies

The evaluation envisions the use of thematic case studies to inform the evaluation findings. In line with the ToRs and subsequent discussions held with the evaluation managers, the following case studies have been agreed as deliverables for the evaluation.

- i) One case study will focus on Disaster Risk Reduction and Resilience (DRR).
- ii) A second case study will focus on **humanitarian response and chronic humanitarian situations** resulting from conflict and forced migration.
- iii) A third case study will focus on UN Women's **partnerships with key UN agencies and INGOs**⁸² in humanitarian action.
- iv) A fourth case study to inform UN Women's efforts in promoting gender equality in humanitarian action work through their **normative and coordination work at headquarters level**

The first two case studies are intended to inform different phases of humanitarian action, while the third will inform strategic partnerships in humanitarian action and the fourth will inform the normative and coordination work undertaken at headquarters level.

Phases in humanitarian action are overlapping and blurred. In an effort to clarify thematic case studies and phases as foreseen in the TORs, DARA offers the following classification:

Figure 8: Phases in Humanitarian Action

Emergency preparedness and contingency planning response Chronic humanitarian situations Transition and recovery

i) In line with this classification, case study one will focus on Disaster Risk Reduction (DRR).

DRR aims to reduce the damage caused by natural hazards with an ethic of prevention and

⁸² Key UN agency partnerships as identified in the 2014-2017 Humanitarian Action Plan, i.e. the key UN agencies working on humanitarian action.



mitigation. A **disaster's** severity depends on how much impact a hazard has on society and the environment.

Figure 9: Disaster management Cycle



Countries that will inform this case study are disaster prone countries that would require and have required international and UN agency assistance in disaster management. DRR covers all phases of response and is less typically considered a chronic humanitarian situation. A country however exposed to recurring natural hazards and disasters and small island nations facing the consequences of rising sea levels can experience a chronic humanitarian situation.

Along with UN Women's broader DRR and resilience portfolio, this case study will cover the flagship addressing the gender inequality of risk and promoting community resilience to natural hazards in changing climate (or GIR). Some of the countries expected to inform this case study include: Bangladesh, South Sudan, Cameroon, Fiji, Vietnam, Mexico, Ecuador, Nepal, Tajikistan, Kenya, Niger, Nigeria, Barbados and Vanuatu.

- ii) A second case study will focus on humanitarian response and chronic humanitarian situations resulting from conflict and forced migration. This case study, while focusing on these two "phases", will review related emergency preparedness and contingency planning enabling the response and immediate early recovery considerations. This case study will, among others, cover leadership, empowerment, access and protection (LEAP). Some of the countries expected to inform this case study include: Cameroon, Bangladesh, Colombia, Jordan, Uganda, Lebanon, Iraq, Ecuador, Brazil, Haiti, Kenya, Malawi, South Sudan, CAR, DRC, Niger, Nigeria, Afghanistan, Nepal, Pakistan, Solomon Islands, Vietnam, Macedonia, Tajikistan, Turkey, Ukraine, Lebanon, and Palestine.
- iii) A third case study will focus on UN Women's **partnerships with key UN agencies**⁸³ in humanitarian action. The countries visited during the field missions include different coordination models and types of programmatic interventions that require different

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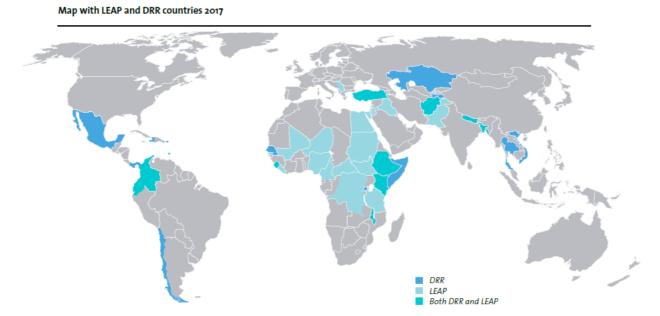
⁸³ Key UN agency partnerships as identified in the 2014-2017 Humanitarian Action Plan, i.e. the key UN agencies working on humanitarian action.



- partnerships, which will provide a good overview. All countries visited during the missions, as well as those included in the portfolio review, are expected to inform this case study.
- iv) A fourth case study to inform UN Women's efforts in promoting gender equality in humanitarian action work through their **normative and coordination work at headquarters level**, including the regional and country levels. It is envisioned that the team will cover both New York and Geneva for this case study, and will receive information from the regional and country levels through country missions, a self-assessment questionnaire sent to regional advisors, interviews and the survey.

The map below shows the countries in which LEAP and DRR were implemented, as of 2017.

Figure 10 LEAP and DRR countries 2017



Further information on the selection of thematic case studies can be found in Annex 5.14.



3.5.2 Selection of countries for in-country missions

The thematic case studies are to be informed by five field visits to countries of operations, with an additional visit to New York and Geneva which will allow the team to retrieve data around the normative and coordination work at the global level, and better understand their support to the field operations.

Criteria for the selection of the five in-country missions were also included in the ToRs. Through a process of portfolio analysis, inception interviews and on-going discussion with the IES evaluation managers, as well as feedback from HACRO, it was agreed that missions to the following countries would inform the thematic case studies:

Bangladesh (Asia & the Pacific). Ongoing humanitarian work since 2014 and DRR work since 2011. The CO addresses humanitarian action in two main areas: protection of Rohingya refugees in support to UNHCR and IOM, and reduction of the vulnerability of women under a wider programme on climate change, empowering women and building their capacity towards resilience and sustainable livelihoods, especially in the areas most prone to disasters. UN Women co-chairs the Gender in Humanitarian Action Working Group with UNHCR. This provides an opportunity to see work on DRR, preparedness and humanitarian response across UN Women's tripartite mandate as well as UN Women's work on partnerships, including UNFPA (GBV and refugees), UNHCR and UNEP. Estimated budget investment is \$912,443.

Colombia (Latin America and the Caribbean). Ongoing presence since 2011. The ongoing protracted conflict, lasting more than 5 decades, has resulted in over 7.7 million IDPs (the highest number in the world). In addition to this, the influx of Venezuelan refugees and migrants, now estimated at 1.5 million, which has escalated over the past year has increased the need for humanitarian assistance in the country. A partnership with UNODC is in place in protection against SGBV and trafficking for vulnerable Venezuelan women, initially funded through CERF in 2018. The extensive humanitarian coordination architecture in Colombia will provide an opportunity to see UN Women's work on mainstreaming gender throughout the response, as well as its role as co-lead of the GBV cluster. Finally, Colombia provides an opportunity to shed light on UN Women's partnerships with SPF, OCHA, CERF, NRC, UNODC, UNFPA and the Colombian Red Cross, among others. Estimated budget investment is \$715,305.

Cameroon (West & Central Africa). Ongoing humanitarian work since 2014. Assistance and support to SGBV survivors in refugee camps, including set up and operation of safe houses and women friendly spaces in refugee camps, and legal, medical and psychosocial assistance to refugees and SGBV survivors; Economic rehabilitation and identification of income generating activities (IGA) to support livelihoods of displaced and refugee women; Promotion of social cohesion among refugee and host communities; Capacity building of humanitarian actors capacities on mainstreaming gender in humanitarian planning and response; and Gender integration assessment in the existing contingency plan. UN Women has also participated in the development of the regional appeal for the CAR refugee crisis, under the lead of UNHCR, in which UN Women has been assigned the GBV area and has

0.7

 $^{^{84}}$ As reflected in the programme budget for 2017 and impact area 4 of 2018 $\,$

⁸⁵ idem



integrated its social cohesion project in the regional appeal. Estimated budget investment is \$1,959,102.86

Jordan (Arab States & North Africa). Ongoing presence since 2012. The CO addresses humanitarian action in three main areas: Resilience (refugee women and Jordanian women in vulnerable communities contribute and have greater influence in building sustainable peace and resilience); Livelihoods (vulnerable Jordanian women have access to income security, decent work and economic autonomy); and Protection-based interventions (Raising awareness of, and preventing, gender based violence against Syrian women and Jordanian women in vulnerable communities, and providing support services). Estimated budget investment is \$7,201,201.⁸⁷ CO has formally developed a HA strategy.

South Sudan (East & Southern Africa). Ongoing presence since 2011 and humanitarian work since 2013. The CO interventions have been aligned to the implementation of the Agreement for the Resolution of Conflict in South Sudan (ARCISS), namely (i) Women's leadership and participation in decision making; (ii) Women's Economic Empowerment; (iii) Prevention of violence against women and girls; and iv) Peace, Security and Humanitarian Action. The Cluster Gender Focal Points Group (CGFPG) is coordinated by UN Women, although they are not a member of the HCT. The CO has formally developed a HA strategy. Estimated budget investment is \$3,106,012.88

New York/ Geneva to inform the normative headquarter case studies, and all countries (visited and surveyed) to review feedback loops and inform HQ and regional support to the field and better understand how countries are providing information to the regional and headquarter levels and sharing lessons and best practice.

These countries provide a broad geographic and response spectrum. A full description of the country selection process can be found in Annex 5.12.

46

 $^{^{86}}$ As reflected in the programme budget for 2017 and impact area 4 of 2018 $\,$

⁸⁷ idem

⁸⁸ idem



3.5.3 Portfolio review

The case studies will also be informed by an in-depth portfolio of the agreed universe of 37 countries (see figure 9 for geographic distribution) where humanitarian work is undertaken.

Arab States, 5

Latin America and the Caribbean, 6

Europe & Central Asia, 4

West and Central Africa, 7

Asia Pacific, 9

Figure 11 Geographic distribution of countries to be covered by the portfolio review

Africa, 6

This analysis will provide a better understanding of the type of response and results stemming from UN Women's humanitarian work. It will allow us to understand factors for success as well as lessons learned. The in-depth review will build on the initial analysis undertaken during the inception phase and, through further desk review (between 3-5 sources per country to include the strategic notes, annual reports and evaluations, if relevant), seek to support the evaluation's understanding of UN Women's type of response, identify good practices and collect lessons learned. Nvivo⁸⁹ software will be used to conduct qualitative data analysis and create crosstabs which will allow the evaluation to analyse themes from different sources and feed directly into the different case studies. A limited number of remote interviews will allow the evaluation to dig deeper into certain areas of interest, some stemming from the inception report learnings, some to be identified later on during the process. Some of the possible areas of focus include: L3/L2 countries and remote management; countries with humanitarian crises and no UN Women presence; MCOs; and the role of regional offices.

3.6 Ethics

This evaluation will be conducted in full coherence with the UNEG norms and standards, 90 namely:

- **Utility,** seeking to generate useful analysis, conclusions and recommendations that can be used for organizational learning, decision making and accountability processes.
- **Credibility,** grounded in independence, impartiality and rigorous methodology with evaluators functioning in a professional and culturally-sensitive manner.

⁸⁹ NVivo is a qualitative data analysis computer software package produced by QSR International. It has been designed for qualitative researchers working with very rich text-based and/or multimedia information, where deep levels of analysis on small or large volumes of data are required.

 $^{^{90}\,}UNEG, June\,2016, https://www.betterevaluation.org/sites/default/files/UNEG\%20Norms\%20\%20Standards\%20for\%20Evaluation_WEB.pdf$



- Independence, which entails free access to information and the ability to evaluate without undue influence by any party. A key for this is for the evaluation team to be able to communicate directly with the different parties.
- Impartiality, which entails objectivity, professionality, integrity and a commitment to avoid bias.
- Ethics, which entails respecting the rights of institutions and individuals to provide information in confidence, and to ensure that sensitive data is protected and cannot be traced back to its source.
- Transparency, as a key characteristic to promote trust and with it greater ownership of both the process and the findings.
- Human rights and gender equality, as universally recognized values and principles that are to be respected, addressed and promoted, underpinning the commitment to the principle of 'no-one left behind'.
- Evaluations should be conducted with **professionalism** and integrity.

The evaluation will also abide by UNEG agreed ethical guidelines⁹¹ which seek to ensure overall credibility and a responsible use of power and resources, obliging evaluators to adhere to the following behaviour:

- Consider the utility and necessity of an evaluation and its parts at all stages of the evaluation (Intentionality);
- Avoid any conflicts of interest by upholding the principles of independence, impartiality, credibility, honesty, integrity and accountability (Conflict of interest);
- Engage participants appropriately and respectfully throughout the evaluation processes, upholding the principles of confidentiality and anonymity and their limitations; dignity and diversity; human rights; gender equality; and the avoidance of harm (Interactions with participants);
- Ensuring accuracy, completeness and reliability, as well as ensuring fair and balanced reporting that acknowledges different perspectives (Evaluation processes and products); and
- While evaluators are required to uphold discretion and guaranteeing anonymity of sources, they also have the duty to report any apparent misconduct uncovered to a competent body (Discovery of wrongdoing).

Lastly, and in line with UN Women's Evaluation Policy's principles for a gender-responsive evaluation, 92 we will strive to identify innovation, promote inclusion and a fair balance of power.

 $^{^{91}}$ UNEG Ethical Guidelines. http://www.unevaluation.org/document/detail/102

⁹² UN Women Independent Evaluation Office, How to Manage Gender-Responsive Evaluations, Evaluation Handbook.



3.7 Evaluation Risks and Limitations

The following table highlights the key limitations. Also detailed are the associated strategies the evaluation team will put in place to address any limitations.

Table 2: Evaluation risks, limitations and mitigation strategies

Evaluation limitation/ risk

There is concern regarding the reliability of some of the data provided and being used as a reference for the evaluation. This is mainly due to the difficulty of identifying clear boundaries with the peace and security section, especially from a financial perspective, and due to the fact that there are programmatic and financial overlaps. Some of the available documentation is out of date or considered "unreliable" by UN Women.

Mitigation strategy

The evaluation will seek to better understand these boundaries and gaps and the challenges around coding and centralisation of data. Triangulation of data whenever possible will also be used, as well as bilateral dialogue with key stakeholders to better understand the challenges and validity around the available data. This is likely to impact the portfolio review most. Ultimately, the quality of the portfolio review will be directly linked to the quality of the secondary data that is made available to the team.

Some key stakeholders' understanding of humanitarian action and underlying humanitarian principles is limited and linked to the fact that it is a fairly new area of action within a relatively new organisation and that resources are on occasion shared with the Peace & Security section. As such, it is possible that not all stakeholders involved in the evaluation are familiar with humanitarian principles and this may affect their ability to provide in-depth insights and understand priorities.

The evaluation team will take this into consideration and attempt to be more specific and instructive about principles and explain the debates that surface around humanitarian imperatives, lifesaving criteria, prioritising on the basis of need, independence and integrated missions, for instance, as appropriate.

Power dynamics in the Interview room linked to the participation of UN Women IES in the interviews may affect interviewees' responses. Even though IES is structurally independent from program areas, it may not be perceived as such by interviewees who may, as a consequence, self-censor information. This is more likely to impact criticisms of UN Women's work to the detriment of the evaluation team's ability to assess limitations, challenges and how perceptions of UN Women may be having an impact in their work dynamics.

The evaluation team recommends that certain more sensitive interviews are undertaken without the participation of IES (and guaranteeing respondents' anonymity). When UN Women staff do participate in an interview, IES staff will introduce themselves as such and clarify their independence from programme, as well as their commitment to the evaluation principles. Alternatives for private bilateral conversations with the evaluation team should be provided.

Contributions to humanitarian action are not clearly and unequivocally defined within UN Women and much of what is included as

The evaluation team does not intend to clearly establish in advance a strict definition of the activities that should be included in the evaluation scope but to be exploratory and



Evaluation limitation/ risk

reporting on HA at the country level has to do with how country offices or regional offices define different activities. Other key areas of overlap are GBV, where UN Women undertakes HA activities, and work in humanitarian interventions that include livelihood activities and initiatives such as Second Chance Education that could fall under other UN Women areas of work.

Mitigation strategy

understand the narratives around UN Women's contribution to humanitarian action that would better help define its role now and in the future. Support from UN Women's regional advisors and country offices will be necessary to fully understand the universe and the scope of the evaluation.

Context – uncertainty on UN Reform and the future shape of UN Women's presence on the ground. This could have significant impact on the team's ability to ensure actionable and realistic recommendations.

As the organisation will continue to change during the process of evaluation, UN Women will continue to update the evaluation team on any developments and these developments will be taken into consideration by the team.

The case studies will be heavily based on information collected during the in-country missions. Due to the nature of the evaluand, these countries have a tendency towards instability and as such, ability to access key stakeholders and relevant sites may be compromised at the last minute

The evaluation team has taken known challenges and limitations into consideration during the selection process, acknowledging that given the nature of the evaluand this is a somewhat unavoidable risk. The team will continue to monitor the situation in the different countries identified, relying on UN Women's support to ensure in-country missions are successful. If there are last minute unexpected changes, some data might need to be collected remotely or - as a last resort should circumstances change significantly - the evaluation may exchange one country for another.

Risk of bias towards the findings from the incountry missions While only 5 countries will benefit from a full mission, these are considered illustrative of different contexts and programme modalities. The team will also undertake an indepth portfolio review that will allow us to triangulate findings and better understand UN Women's work. The reliance on the findings of the 5 in-country missions will inevitably impact the findings of the team. For this reason, great care has been taken to ensure a systematic selection of the in-country mission set.

Given the relatively smaller size of UN Women in many of the countries, vis-a-vis other larger partners, it will be hard for the team to be able to separate UN Women's contribution from the rest of the interventions (contribution analysis)

The team will align and triangulate data sets to better understand UN Women's likely contribution in any given scenario. Inclusion of key partners in the data collection phase will also be important.



4 Evaluation Management

4.1 Evaluation Deliverables

The evaluation deliverables, as per the terms of reference, are as follows:

- 1. **Inception report (including two rounds of revision)** involved an inception mission in New York where a workshop with HACRO and other KII were undertaken, in addition to another week of remote interviews, and an initial desk review.
- 2. **Four case study reports,** each a maximum of 15 pages in length plus annexes. (See agreed structure in annex 5.10)
- 3. **Presentation of preliminary findings** A Slide Doc presentation and cover note detailing the emerging findings of the evaluation will be shared with the Independent Evaluation Service for feedback.
- 4. **Preliminary draft report** incorporating feedback from IES to presentation of preliminary findings.
- 5. **Final draft report** will incorporate executive summary and annexes to be shared with refence group and senior managers.
- 6. **Final report,** maximum of 70 pages plus annexes. The final report will be presented virtually at a stakeholder meeting in NY.

4.2 Evaluation Timeline & Milestones

The evaluation timeline and key milestones are outlined in the table below. Any delays in the process would lead to a revision of this timeline.

Table 3: Evaluation timeline and milestones

	Phases and Activities	Timeline	
Inception Phase			
1	Inception meeting with reference groups (HQ) including a Participatory Stakeholder Workshop	9-12 October 2018	
2	Inception phase remote interviews	15-19 October 2018	
3	Circulation of first draft IR for IES revision	9 November 2018	
4	Revision of first draft IR according to IES quality standards by internal reference group	1-28 November 2018	
5	Revised draft IR	30 November 2018	
6	Circulation of revised draft to reference groups and external advisors	3-10 December 2018	
7	Submission of Final Inception Report	15 February 2019	
Data	Data Collection Phase		
8	In-depth portfolio review of 36 (TBC) countries using Nvivo	Feb. – March 2019	
9	Broad-based online survey distributed	Feb. – March 2019	
10	Self-Assessment Questionnaire for Regional Office HA Advisors distributed	Feb. 2019	
11	Online/ skype interviews with key stakeholders	March	
12	Pilot mission to Cameroon	22-25 January 2019	
13	Field visits & preparation of case studies	February – March 2019	
Analy	Analysis and Reporting Phase		
14	Analysis and synthesis of data	March 2019	



	Phases and Activities	Timeline
15	Case studies	29 March 2019
16	Draft presentation of preliminary findings (PPP) to IES	29 March 2019
17	Incorporation of IES feedback	1-3 April 2019
18	Presentation to reference groups and senior managers for comment and validation (virtual)	9 April 2019
19	Preliminary synthesis report for IES	12 April 2019
20	Review of Preliminary synthesis report by IES	15- 22 April 2019
21	Second draft report for external reference group, senior managers and external advisors	29 April 2019
22	Review by external reference group, senior managers and external advisors	29 April- 10 May 2019
23	Final Draft report	24 May 2019
24	Revision of final draft by all stake holders	25 May- 5 June 2019
25	Final Report	June 14 2019