

GUIDE FOR THE EVALUATION  
OF PROGRAMMES AND PROJECTS  
WITH A GENDER, HUMAN RIGHTS  
AND INTERCULTURAL PERSPECTIVE



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# INTRODUCTION

In recent years, we have advanced progressively in the development of a conceptual and methodological basis for improving the processes of programme and project evaluation. Similarly, there is an important body of resources for the gender equality approach, and the same is true for the field of human rights.<sup>1</sup> With respect to the intercultural approach, progress has been slower and, in many cases, partial. It has been associated with the processes of consultation to Indigenous peoples when preparing or evaluating a project in a region or area where they live. All these approaches share certain characteristics: they emphasize human rights and social justice; analyse asymmetrical social relations; promote competent cultural relations between the evaluating team and the members of the community or social organizations; use mixed and culturally appropriate methods for social action; and apply feminist theory, critical race theory, post-colonialist theories, etc.<sup>2</sup>

This Guide has been elaborated with the intent of integrating these approaches into the UN Women evaluation cycle. It is a practical tool for those who undertake, manage and/or use evaluations. It was prepared by Inclusión y Equidad consultants Alejandra Faúndez and Marisa Weinstein, and it is aimed at professionals who implement or manage programmes and projects, especially those in which human rights, gender equality and interculturality are mainstreamed.

It is advisable for all interventions intended to improve the living conditions of a population to include an integrated approach (human rights/gender equality/interculturality). Generally, the tendency to elude the incorporation of this approach is either related to the idea that it would imply an additional workload for teams, or to not knowing how to apply it and what aspects should be observed when doing so. Otherwise, when an integrated approach is not used, the programmes/

<sup>1</sup> In keeping with the United Nations Charter, the States members committed to promote and protect human rights at a national level and to cooperate for this purpose at an international level. In fact, the Vienna Declaration and Programme of Action reiterate that “their promotion and protection is the primary responsibility of governments”. In the Report of the Second Inter-Agency Workshop on the implementation of a Human Rights Based Approach in the context of the UN reform, 5-7 May 2003, specific criteria and recommendations regarding the integration of this approach in evaluation were outlined. United Nations, *The Second Interagency Workshop on Implementing a Human Rights-based Approach in the Context of UN Reform*. Stamford, United Nations, 2003, [http://www.undg.org/archive\\_docs/4128-Human\\_Rights\\_Workshop\\_Stamford\\_Final\\_Report.doc](http://www.undg.org/archive_docs/4128-Human_Rights_Workshop_Stamford_Final_Report.doc).

<sup>2</sup> Mertens, D., *Transformative Research and Evaluation*, New York, The Guilford Press, 2009.

projects can result, at the very least, in the following situations:

- a) A high degree of subjectivity and error with respect to the meaning attributed to the observable differences among the people affected by the project, whether at the moment of diagnosis, during the project's implementation or in the evaluation process.
- b) Its effects may be attributed to expressions characteristic of the differences between the sexes, or the cultural traits of the populations, instead of to the structural causes that threaten the exercise of human rights in a broader sense.
- c) Situations of social conflictiveness may increase when differentiated actors, their interests and their capacity to participate are not recognized.

The guide draws on three preceding reference materials of great importance. The first is the UN Women Guide for evaluation managers with a gender equality and human rights approach<sup>3</sup> which is available on its website and deals with different instruments that operationally and precisely address the different stages of the evaluation. The Guide also includes 11 Guidance Notes on some specific aspects of an evaluation. Secondly, there is a document entitled "Integrating Human Rights and Gender Equality in Evaluation – Towards UNEG Guidance"<sup>4</sup> written by the United Nations Evaluation Group (UNEG) in 2012, which

presents the main guidelines, criteria and methodological tools for including gender equality and human rights in evaluations. The third document is the Guide entitled "Expanding the View: The Integration of the Gender, Interculturality and Human Rights Approaches in Development Programming", elaborated by the Regional Offices for Latin America and the Caribbean of the UNFPA, UNICEF, UNDP and UN Women, which constitutes the first inter-agency effort to integrate these approaches at development programming level.

With this in mind, this Guide is a continuation of previous efforts, and it attempts to enhance the use of specific tools during the evaluation process, while at the same time contributing to the set of corporate Guidelines that UN Women has been developing in recent years. It particularly aims at helping to integrate gender equality, human rights and interculturality approaches, so that evaluations may increase the visibility of complex problems, especially highlighting the diversity of our societies.

From a methodological point of view, this Guide is not intended to be prescriptive, but rather to emphasize the key elements of considering the three approaches in the evaluation in an integrated manner, by identifying key elements of the three stages of evaluation, as defined by UN Women: preparation, conduct and use of the evaluation.

<sup>3</sup> United Nations Entity for Gender Equality and the Empowerment of Women (UN Women), *A Manager's Guide to Gender Equality & Human Rights Responsive Evaluation*, UN Women, [http://unifem.org/evaluation\\_manual/index.html](http://unifem.org/evaluation_manual/index.html).

<sup>4</sup> United Nations Evaluation Group (UNEG), *Integrating Human Rights and Gender Equality in Evaluation – Towards UNEG Guidance*, New York, UNEG, 2011, [http://www.unevaluation.org/papersandpubs/documentdetail.jsp?doc\\_id=980](http://www.unevaluation.org/papersandpubs/documentdetail.jsp?doc_id=980).



# 1

## STAGE I

# PREPARATION OF THE EVALUATION

# PREPARATION OF THE EVALUATION

## 1.1

### IDENTIFYING OF THE STAKEHOLDERS

The participation of those involved directly in the intervention or programme/project (either as executors, duty-bearers, beneficiaries, or rights-holders) at the beginning of an evaluation process is fundamental. Generally, the participation in the programme/project cycle, as specialized literature has pointed out, is one of the biggest contributing factors to their success, and is a key element of this integrated approach. This explains why, in recent years, there has been so much interest in incorporating specific methodologies to help with their inclusion from the initial stage of project design through to the evaluation.

It is particularly important for the evaluation management team to supervise the appropriate participation of the stakeholders throughout the entire evaluation. This means:

#### **a. Distinguishing among the stakeholders:**

- Duty-bearers who make decisions and develop public policies or programmes. In this case, it is important to include not only technical staff, but especially political decision makers who are involved in the implementation of the country's strategy and the actors related to the issues addressed by the intervention.
- Secondary duty-bearers that may belong to the private sector, Non-Governmental Organizations (NGOs), multilateral organizations or donors, etc. This point is particularly relevant for strategies involving the investment of major resources in protected geographical areas, or in areas inhabited by Indigenous populations and which are to be intervened with some programme –for example, in order to apply all the protective measures of compliance with any pertinent international law, such as the obligations deriving from ILO Convention 169.
- Holders of rights established in the programme/project. These are the people, collectives, organizations or institutions which the project intervention is expected to impact in a programmed way in the project, and are generally referred to as “target population”, “beneficiaries” or “users”.
- Rights-holders who are affected by the programme/project as a result of unexpected side effects of the intervention. In this case, a sensitive consultation and participation mechanism must be sought to ensure that these unexpected impacts are not harmful to this population.

**b. Taking into account rights-holders belonging to the most discriminated social groups**, be they minorities or majorities, as in the case of women, girls or Afro-descendants in some countries of Latin America and the Caribbean who share at least five common problems:

- Lack of visibility.
- Lack of political representation.
- Limited participation in consultative and/or deliberative events.
- Poor access to culturally appropriate and quality goods and services, as well as the lack of opportunities for strengthening their capacities.
- Non-recognition of their rights.

**c. Analysing the stakeholders.** It is important to consider that the analysis of stakeholders is enhanced in evaluations conducted under this integrated perspective. This is due to the fact that the protagonism assumed by those involved is fundamental for the strengthening of their capacities for advocacy and empowerment. It also

creates wonderful possibilities for the establishment of open dialog among rights-holders and duty-bearers.

**d. Watching over the effective gathering of opinions from the stakeholders** regarding the performance of the programme/project through the methods and techniques proposed to guarantee respect for such opinions and their confidentiality.

As already indicated, at this stage an analysis of stakeholders must be conducted, and incentives for their involvement and participation in the evaluation<sup>5</sup> Reference Groups<sup>6</sup> must be generated.

**How do you conduct an analysis of the stakeholders with an integrated approach?** Basically, known instruments should be adapted in order to include considerations of gender, race or ethnicity, age and human rights that may be impacting the way the interests of the stakeholders are expressed. At the same time it is important to make a more detailed analysis of the roles of each actor in terms of resources and benefits. In this case, the stakeholder analysis matrix suggested by the UNEG may be applied (see Table 1).

<sup>5</sup> In a study entrusted to USAID –in the 1970s – to analyse 36 rural development projects in Africa and 35 in Latin America, it was concluded that the fundamental variable determining the success or failure of a project was participation in the design, implementation and evaluation. Cohen, E. and Franco, R., *Evaluación de Proyectos Sociales (Social Projects Evaluation)*, Mexico, Siglo XXI, 1994.

<sup>6</sup> Evaluation Reference Groups are defined as participatory spaces created for the systematic inclusion of the main stakeholders in the evaluation process. Reference Groups become consultative bodies with whom decisions to be made during the evaluation are checked. Their creation allows the stakeholders to communicate their information needs, participate in diverse stages of the evaluation process, and improve the learning and appropriation of the conclusions of the evaluation. See UN Women, *Guidance Note on Management Structures and Reference Groups for Evaluations*, UN Women, [http://unifem.org/evaluation\\_manual/wp-content/uploads/2011/05/Guidance-Note-6-Establishing-Eval-Management-Structure-and-Reference-Groups.pdf](http://unifem.org/evaluation_manual/wp-content/uploads/2011/05/Guidance-Note-6-Establishing-Eval-Management-Structure-and-Reference-Groups.pdf).

FIGURE 1

## Possible risks associated with the participation of stakeholders

1. Indigenous and Afro-descendant peoples present a broad spectrum of differentiated organizational styles. Some have maintained traditional legal, administrative and government systems, while others have adopted new organizational forms, such as associations. There are also mechanisms that have been established by governments, in some cases to hinder or compete with organizations created by the peoples themselves. This diversity also reflects the processes of change and the variety of challenges facing the Indigenous and Afro-descendant peoples. In many cases, these different organizations coexist or even compete for representative legitimacy or available resources. In this framework, if we apply the concept found in hegemonic western culture of representativeness or associationism dependent of a particular territorial order or delegated voting, we run the risk of having partial opinions, while generating potential conflicts regarding the legitimacy of the evaluation. This risk can be dealt with by expanding the concept towards social (and not statistical) representativeness, which makes it possible to identify the relevant sorts of leadership, including those of traditional authorities. At the same time, it is important to understand the ancestral organizational structure and the gender roles of each culture. This is why the evaluation team must complement the information of the programme/project regarding relevant actors, with a survey of the organizations linked to a given territory or cause. It is also important to carry out a careful and inclusive identification of the Indigenous or Afro-descendant partner, and of the participation of men, women, boys, girls, adolescents and youths. An evaluation of their capacity, local social inclusion, and accountability within their grassroots is crucial as well.
2. Given the previously mentioned invisibility of the particular situation of Indigenous or Afro-descendant girls, adolescent and women, at times their own organizations are not detected or included as stakeholders. This results not only in the loss of a specific perspective that may enrich the evaluation in course, but also in the (unintentional) perpetuation of the invisibility of these women. Therefore it is fundamental to make specific considerations for the inclusion of marginalized women collectives from the start of the evaluation process, while taking into account their organizations and agendas, as well as their typical meeting places such as all-girl schools, or healthcare centres for Indigenous women.
3. It is common to find historic conflicts and controversies among the governments and Indigenous or Afro-descendant peoples in Latin America and the Caribbean, especially in certain territories. This has sparked some mistrust and fear from the Indigenous and Afro-descendant population towards development agents. In this context, it is essential to look for contacts and networks to work with the evaluation team, so that its conversation with the Indigenous population is frank and leads to open dialog within a framework of trust and respect.

**TABLE 1**  
**Stakeholder analysis matrix**

WHO? (STAKEHOLDERS, DISAGGREGATED AS APPROPRIATE)	WHAT (THEIR ROLE IN THE INTERVENTION)	WHY (GAINS OF INVOLVEMENT IN THE EVALUATION)	PRIORITY (HOW IMPORTANT TO BE PART OF THE EVALUATION PROCESS)	WHEN (STAGE OF THE EVALUATION TO ENGAGE THEM)	HOW (WAYS AND CAPACITIES IN WHICH STAKEHOLDERS WILL PARTICIPATE)
Duty-bearers with the authority to make decisions related to the intervention: <ul style="list-style-type: none"> <li>• government organizations</li> <li>• government officials</li> <li>• government leaders</li> <li>• funding agency</li> </ul>					
Duty-bearers who have direct responsibility for the intervention: <ul style="list-style-type: none"> <li>• funding agency</li> <li>• programme managers</li> <li>• partners (individual and organizations)</li> <li>• staff members</li> </ul>					
Secondary duty-bearers: <ul style="list-style-type: none"> <li>• private sector</li> <li>• employers</li> <li>• other authorities within the context of the intervention</li> </ul>					
Rights-holders who one way or another benefit from the intervention: women, men, girls, boys; other groups disaggregated.					
Rights-holders who are in a position disadvantaged by the intervention: women, men, girls, boys; other groups disaggregated.					
Other interest groups who are not directly participating in the intervention: <ul style="list-style-type: none"> <li>• other development agencies working in the area</li> <li>• civil society organizations</li> <li>• other organizations</li> </ul>					

\*UNEG, *Integrating Human Rights and Gender Equality in Evaluation – Towards UNEG Guidance*, New York, UNEG, 2011, p. 23, [http://www.unevaluation.org/papersandpubs/documentdetail.jsp?doc\\_id=980](http://www.unevaluation.org/papersandpubs/documentdetail.jsp?doc_id=980).

To adequately complete this matrix it will be necessary to answer at least the following questions:

- **Who is it specifically important to involve in the evaluation of the programme/project? Why?** It is important to consider those groups of people who have traditionally been made “invisible”. For example, the women promoters of rural development programmes are often not considered when evaluating a project that they themselves have implemented in their communities. It is important for the evaluation team to conduct a thorough analysis to determine which groups are affected by the project, whether directly or indirectly. Doing so might help them to find mechanisms for including such groups, either through consultations with key informants, participation on the reference committees (especially in the case of organized groups); or through surveys, in-depth interviews, case studies, etc.
- **What role can this actor play or what specific contribution can she/he make to the project? In what stage?** In intercultural contexts it is important to include those groups or actors who have an important role in the community of origin (traditional authorities, leaders, spiritual referents, etc.) that make a non-remunerated contribution to community work, or even manage public programmes. This usually happens, for instance, with Indigenous or Afro-descendant midwives in programmes of maternal mortality prevention, or with traditional doctors in remote areas.
- **What are the characteristics and interests of those whom we are interested in involving?** It is necessary to distinguish between the practical needs and strategic interests of different groups.<sup>7</sup> In some cases the programmes/projects can contribute to reduce the gaps in terms of access to basic goods and services and this will mean dealing with practical needs. Nevertheless, it is also possible to analyse beyond issues of access, and include the dimensions of quality, inclusiveness and strategic interests in the different spheres of life in society.
- **How can each of the actors involved benefit by participating in the programme/project evaluation?** Traditionally, the benefits of a programme/project tend to be associated with the positive results that are achieved and distributed at the end of an intervention. However, with an integrated approach, the very design process of a programme/project in its

<sup>7</sup> This traditional distinction by Caroline Moser for analysing the needs of women and men is also applicable to other collectives and beyond the issue of gender. “Practical needs” are understood as needs deriving from the social functions assigned to women through a sexual division of labour, and which are related to survival and protection (access to land, water, services, technology, labour, etc.). “Strategic needs” are understood to be those deriving from the position at a symbolic level of participation and exercise of power. They must be oriented to eliminate institutionally the different forms of discrimination, the inaccessibility to resources, and the absence of economic and physical autonomy, among others. Moser, C., *Planificación de género y desarrollo. Teoría, práctica y capacitación (Gender and Development Planning. Theory, Practice and Training)*, Lima, Red Entre Mujeres-Flora Tristán Ediciones, 1995.

identification stage, as well as all the other stages (including the evaluation stage), can bring benefits to the visualization, positioning and recognition of

the stakeholders from a symbolic equity perspective. It may also foster the consolidation and the promotion of the exercise of rights in the long term.<sup>8</sup>

## 1.2

### VERIFYING THE EVALUABILITY OF THE PROGRAMME/PROJECT

As part of the evaluation process it is very important to make an evaluability study<sup>9</sup> in order to guarantee both the viability and the utility of the evaluation for improving the intervention. An evaluability study with an integrated approach does not replace a good programme design or the monitoring functions of the programme/project, but it does help to verify whether the conditions for carrying out the evaluation are operational. It is a useful instrument for management teams that must make decisions regarding the course a programme/project is to take before, during and after the evaluation.<sup>10</sup>

In line with the parameters emphasized in UN Women Evaluation Office's Guide

No. 4,<sup>11</sup> in this case it is particularly useful to emphasize some aspects to be taken into account regarding the programme's design, the availability of information and the conduciveness of the context. These aspects are:

#### a. Intervention design:

At the moment of the evaluation, two possible scenarios may be encountered. The first is that the intervention has incorporated gender equality, human rights and intercultural approaches (or at least one or two of them) in earlier stages of the programme's life cycle –that is, in its design, implementation and monitoring. In this case, the available information will

<sup>8</sup> According to Nancy Fraser, gender equality is defined on the basis of justice, with two broad areas of public policy: distributive justice, associated with socio-economic equity and policies for distribution of resources and basic services; and cultural or symbolic justice, associated with policies of recognition and measures against discrimination of segments of society such as women, subordinate ethnicities, sexual minorities and groups suffering social marginalization. Both concepts require specific policies and measures, not always easily compatible. Nevertheless, both must be indispensably integrated "into a single and integrated conceptual framework" for ensuring that the policies contribute effectively to a fairer society. Fraser, N., *Iustitia Interrupta: Reflexiones críticas desde la posición "postsocialista"* (*Justice Interrupted: Critical Reflections from the 'Post-socialist' Position*), Santafé de Bogotá, Siglo de Hombres Editores, 1997.

<sup>9</sup> It is a systematic process that helps to identify whether certain necessary conditions are present for the inclusion of the approaches of gender equality, human rights and interculturality in an integrated way within a specific project. Additionally, it helps to decide whether these conditions are fully justified and likely to provide useful information. Their purpose is not only to determine whether the approaches need to be incorporated in an integrated way, but also to anticipate and prepare the evaluation, and generate all the needed conditions for this to occur.

<sup>10</sup> More details on evaluability may be reviewed in UNEG, *op. cit.*

<sup>11</sup> UN Women, *Guidance Note on Carrying Out an Evaluability Assessment*, Un Women, [http://www.unifem.org/evaluation\\_manual/wp-content/uploads/2011/05/Guidance-Note-4-Carrying-out-an-Evaluability-Assessment.pdf](http://www.unifem.org/evaluation_manual/wp-content/uploads/2011/05/Guidance-Note-4-Carrying-out-an-Evaluability-Assessment.pdf).

make it possible to discern the compliance with the theory of change with respect to the full exercise of human rights or to the change in the power relations of the vulnerable population on which the intervention is based. It will also allow observing the effects of its actions on men and women from different ethnic groups.

The second scenario –which is more common given the limited progress in mainstreaming gender equality, human rights and intercultural approaches– indicates that the programme/project has not incorporated this approach in its design. This would translate into greater efforts when gathering information to support the evaluative judgments.

#### **b. Availability of information**

In this sphere, it is useful to ask the following questions:

- Is there previous information with the reference values needed for a disaggregated diagnosis by sex, race, ethnicity and age?
- Does the programme/project have the capacity to provide data disaggregated by sex, race, ethnicity and age as

part of its baseline for formulating an intervention?

- Do the involved parties request and register disaggregated information during the programme/project implementation?
- Can the stakeholders provide disaggregated information for the programme/project?

#### **c. Conducive context**

It is important to consider how well the context facilitates the evaluation. In this framework, we propose reviewing some of the following questions:

- Is the context conducive to incorporating the integrated approach in the programme/project evaluation?
- Does the budget include resources for the incorporation of the integrated approach into the different stages of the programme/project (adequately trained staff, funds, equipment, translators)?
- Does the institution have the capacity and the expertise to incorporate the integrated approach in the evaluation stage of the programme/project?

### **1.3**

## **DEFINING THE EVALUATION DESIGN**

The approach to be adopted in the evaluation will depend, among other things, on its aims and objectives.<sup>12</sup> Whatever evaluation design is selected, it will be important to stipulate that it must be supported by the UNEG's ethical guidelines and with strict respect for the human rights of all the parties involved.

Similarly, it is very important to stipulate evaluation methods that make it possible to promote the participation and the inclusion of the disadvantaged or vulnerable collectives.

In order to produce a detailed and justified definition of the evaluation **methodology**, the participation of the evaluation team

<sup>12</sup> For an in-depth look at this design theme, see UN Women, "Phase I Preparation of Evaluation", in *A Manager's Guide to Gender Equality & Human Rights Responsive Evaluation*, UN Women, [http://www.unifem.org/evaluation\\_manual/evaluation-preparation/index.html](http://www.unifem.org/evaluation_manual/evaluation-preparation/index.html).

will be necessary. However, the Terms of Reference should provide a general orientation in advance. The evaluation proposals prepared by the team or consultant in the postulation process should consider this in depth. The detailed methodologies can be negotiated during the preparation of the initial report or when the work plan is clarified.

The **duration** of the evaluation is important for the integrated approach, as it directs attention to topics and populations that require processes of maturation and time available for dealing with complex issues and establishing relations of dialog based on trust. Translators or staff trained in methods of interviewing in contexts of high vulnerability may also be required.

The approach also depends on the nature and amount of **previously available information** about the programme, such as indicators, references, previous evaluations

or other similar data. This perspective may be affected by the availability of data disaggregated by sex, age, race or ethnicity, although it is not limited to this.

For their part, the **methods used should be culturally appropriate**: mixed methods (qualitative and quantitative) that establish participatory processes and promote the capacity building, reflexivity, the assessment of the experiences of the participants (especially of those women and groups in the most extreme situations of discrimination or disadvantage) and the use of techniques that are inclusive and respectful of the socio-cultural contexts in which the evaluation is carried out. In some cases or situations of high vulnerability (*v.g.* women experiencing domestic violence or groups of displaced Indigenous people) special evaluation protocols should be considered.

**FIGURE 2**  
**How to choose the kind of evaluation?**

- What is the purpose of the evaluation? What decisions will it help to make?
- For whom do you need to gather information through the evaluation?
- What kind of information is needed for the decisions that must be made?
- What are the sources of the information that must be collected?
- Is it necessary to take special protective measures for the high vulnerability situations of the population involved?
- What methods are available for obtaining that information?
- When is the information needed?
- What resources are available for the evaluation?

The design that is chosen must be stated in the evaluation's Terms of Reference,<sup>13</sup> along with the profile of the evaluation team. In this regard, the following attributes and capacities should be considered, insofar as it is possible, to ensure the application of the integrated approach in the evaluation:

- Presence of women and men.
- Local and international evaluators.
- Knowledge and experience in the use of quantitative and qualitative methods.
- Knowledge of the sectors dealt with by the evaluation.
- Knowledge and experience with gender equality, human rights and interculturality.
- Comprehension and application of international human rights mandates, gender equality and Indigenous populations' rights.
- Experience and knowledge of participatory approaches and methods, as well as research and relational capacities, including the ability to empathize with the stakeholders.

#### **Recommendations:**

1. *When using the integrated approach it is recommended to pay attention to the time available for conducting*

*the evaluation, the expertise and time availability of the evaluation team. It is important to clearly define a focus for the evaluation, so as to facilitate the first meetings between the partner and the evaluation team. In practical terms, time is a critical factor in many evaluations because these issues require building relations of trust in order to work with collectives or partners. Similarly, the advocacy and the empowerment require listening times which are not always correctly anticipated in the Terms of Reference and in the implementation of the evaluation processes.*

2. *Among the criteria for hiring the teams, you should keep in mind their knowledge of the characteristics of the population to be interviewed and of the locality or region where the evaluation will be implemented. If necessary, it might be useful to ensure this point by interviewing staff or key local informants to contextualize the evaluation responses, and use translators when the team does not speak the language of the population to be interviewed. It is crucial to ensure that there are no conflicts of interest or political ties with authorities, which could limit or spoil an evaluation if the team does not deal with it adequately.*

<sup>13</sup> For an in-depth look at the process of preparation of the Terms of Reference, UN Women, *Guidance Note on Developing Terms of Reference (ToR) for Evaluations*, UN Women, [http://www.unifem.org/evaluation\\_manual/wp-content/uploads/2011/05/Guidance-Note-7-Developing-the-TOR.pdf](http://www.unifem.org/evaluation_manual/wp-content/uploads/2011/05/Guidance-Note-7-Developing-the-TOR.pdf).



# 2

STAGE II

CONDUCT OF  
THE EVALUATION

# CONDUCT OF THE EVALUATION

Once the evaluation team has been hired, the implementation stage begins. The following are several aspects to be taken into account for the application of the integrated approach. With the use of these, it is expected that the team in charge of the evaluation will be able to coordinate the evaluators through periodic and strategic monitoring. This is to insure two situations: that the evaluation achieves the expected objectives, and that the final report is in fact a quality document providing recommendations for future interventions and well-grounded rigorous judgments on the implementation of the programme/project.

## 2.1

### EVALUATION CRITERIA AND QUESTIONS

Another key aspect of evaluations with an integrated approach is the identification of the evaluation criteria and questions, since they provide the general framework and guide the collection of information and the aspects about which the evaluation team expects to make an evidence-based statement. While the evaluation criteria and questions must be established in the design of an evaluation, an adjustment of the evaluation team's proposal –based on the Terms of Reference and the evaluation

manager– must be made at the start of the evaluation, so that the collected information effectively addresses the factors that need to be analysed to achieve the results of the intervention.

In this context, following the criteria indicated by the UNEG Handbook and based on the standards of the Development Assistance Committee (DAC),<sup>14</sup> a series of evaluation questions is proposed in reference to those criteria that derive from applying the integrated approach:

<sup>14</sup>Development Assistance Committee, *Quality Standards for Development Evaluation*, Paris, OECD, 2010, DAC Guidelines and Reference Series, <http://www.oecd.org/development/evaluation/dcdndep/44798177.pdf>.

**TABLE 2**  
**Evaluation questions for the integrated approach**

CRITERION	DEFINITION	SUGGESTED QUESTIONS
Relevance	The degree to which the objectives of a development intervention are consistent with the needs of the beneficiary parties or the country, with global priorities and with the policies of partners and donors.	<p>Is the programme/project based and sustained as part of a mandate for a specific population in some binding declaration or treaty?</p> <p>Is the program/project based on the achievement of specific objectives pertaining to gender equality, rights of Indigenous peoples or other human rights, as inalienable and fundamental parts of it?</p> <p>Is the programme/project aligned with UN Women's strategic planning?</p> <p>Is the programme/project aligned with some other broader plan that incorporates the issues of human rights, interculturality and /or gender equality?</p> <p>Does the donor require the consideration of an integrated approach or of some particular perspective, as part of the programme/ project?</p> <p>Do the country's authorities or the programme's/ project's partner institutions have a special interest in including considerations related to these approaches?</p> <p>Does the programme/project clearly define the problem to be solved? Is it related to human rights, gender equality and interculturality?</p> <p>Are the factors or causes of inequalities or inequities that the programme/project aims to solve, reduce, or eradicate clearly and explicitly identified?</p> <p>Has the target population of the programme/project been established, with distinctions according to sex, race, ethnicity, age or another variable?</p>

CRITERION	DEFINITION	SUGGESTED QUESTIONS
Effectiveness	<p>The degree to which the objectives of the development intervention were achieved or are expected to be achieved, considering their relative importance. Effectiveness considers the level of results, which are foreseen as an assimilation or as the result of a product.</p>	<p>Do the results respond to the identified needs of the beneficiary population, making distinctions according to sex, race, ethnicity, age or another variable?</p> <p>To what degree have the strategies and planned activities contributed to advancing towards the achievement of the results?</p> <p>What have been the main results and their quality level with respect to the standards of international mandates?</p> <p>What are the main difficulties, risks, opportunities and challenges related to the implementation of the results for the different components?</p> <p>Have the indicators been identified in the programme/project documents, showing the advances in the exercise of human rights (especially those of women, children and adolescents belonging to ethnic groups)? Have they been met?</p> <p>What mechanisms were implemented to coordinate and articulate the work among the different stakeholders? Did the approach include the different levels of government (regional, national and local) if the intervention required it?</p> <p>What comparative advantages did the intervention partners have, and how were they implemented in practical terms?</p> <p>To what degree did the Change Theory and the intervention's results framework include human rights, gender equality and interculturality?</p> <p>Did the intervention explicitly consider a gender equality, human rights and intercultural approach with regards to the expected results?</p> <p>Has the implementing team made changes and adjustments in the interventions based on an integrated approach?</p>

CRITERION	DEFINITION	SUGGESTED QUESTIONS
Efficiency	<p>The degree to which the economic resources/inputs (funds, suitability, time, etc.) are converted into results.</p> <p>This is commonly applied to the input-product link in the intervention's causal chain.</p>	<p>Has the resource management considered the necessary flexibility for working with populations of diverse cultural origin, socio-economic condition and gender?</p> <p>Has the budgetary management and the resource administration been learning opportunities for the involved organizations and the target beneficiaries?</p> <p>Have the products or services been delivered to the target beneficiaries on time?</p> <p>Has the contribution of the target beneficiaries to the implementation of the initiative (non-remunerated work, reports, etc.) been taken into account or recognized publicly?</p> <p>Are the monitoring and reporting tools used properly to capture progress and results? Are they being used within an RBM/evidence-based framework?</p>
Sustainability	<p>Continuation of the benefits of a development intervention once the cooperation is finalized. The probability of continuing benefits in the long term. Resistance to the risks affecting the flow of net benefits over time.</p>	<p>Can the results be expected to continue once the intervention has finished?</p> <p>To what degree do the installed capacities favour advancing towards full respect for the human rights of the entire population without gender –or ethnicity– related discrimination?</p> <p>What new capacities are required in this area?</p> <p>To what degree has the programme helped to create dialog mechanisms that can be maintained following the intervention among citizens, civil society and the government?</p>

CRITERION	DEFINITION	SUGGESTED QUESTIONS
Impact	Long-term effects –positive and negative, primary and secondary, foreseen or unforeseen– produced directly or indirectly by a development intervention.	<p>Was the programme’s/project’s Theory of Change implemented?</p> <p>What are the installed capacities among the rights-holders and duty-bearers at the end of the intervention?</p> <p>Were the situations of exclusion and/or discrimination of the affected populations or collectives overcome?</p>
Coordinación, alianzas y participación de las partes interesadas	<p>Throughout the implementation, the degree to which the intervention has been able to sustain an adequate level of coordination among the stakeholders.</p> <p>The degree to which the participation of the stakeholders, particularly women and vulnerable groups, has been promoted.</p>	<p>To what degree have women, children and adolescents from different localities and ethnic origins appropriated the programme/project?</p> <p>What modes of participation (leadership) have been promoted?</p> <p>Have the local and national authorities been involved in the processes? Have they played an active and effective role?</p> <p>Has it been possible to build strategic alliances and synergies between the implementing agency and the public organizations to reinforce the programme’s/project’s results?</p> <p>What long-term political and/or cultural factors have favoured or complicated the alliances?</p>

\*Prepared by the authors based on UNEG, *Integrating Human Rights and Gender Equality in Evaluation – Towards UNEG Guidance*, New York, UNEG, 2011, [http://www.unevaluation.org/papersandpubs/documentdetail.jsp?doc\\_id=980](http://www.unevaluation.org/papersandpubs/documentdetail.jsp?doc_id=980).

## 2.2

### DATA COLLECTION TECHNIQUES

One of the first tasks of the evaluation team is to create an evaluation matrix that articulates and synthesizes the evaluation questions for each of the criteria, with the appropriate information collection techniques and forms of analysis. Once this matrix is approved, the next stage is data collection. It is important to bear in mind some elements related to the application of the integrated approach, especially those connected to ethnic perspectives. In fact, the process of recognizing fourth-generation rights related to identity and cultural diversity has led to the need for work (design, implementation, or evaluation of the programmes/projects) with Indigenous or Afro-descendant populations to be performed in accordance with certain guidelines, some of which are described below:<sup>15</sup>

- The evaluating team must adhere to the **respect for the principles** of non-discrimination, self-determination, protection, participation and consultation with people (men, women, children and adolescents) of various ethnic identities. In this way, the team must facilitate the instruments and linkages for having their perspectives and ways of understanding the world and human existence included within the views of the programme/project being evaluated. It is essential to consider the language, rituals, times, sacred places and social participation mechanisms of the communities at each stage of data collection process. The knowledge and world-views of the Indigenous peoples

must be recognized, valued, respected and incorporated in the results of the study as part of the sources of primary information.

- It is particularly important that the evaluation manager is **transparent** in informing involved groups about the purpose of the visits/interviews and the evaluator(s)' role.
- Once in the field, and having contacted the Indigenous or Afro-descendant communities, the team must bear in mind **each culture's specific protocols**, respecting their organizational systems. If something is important for a community, one must first consult and dialog with their traditional authorities, considering their already legitimized decision-making procedures.
- Another important element is to guarantee **respect for the anonymity** of the interviewed parties or whoever provides the information, ensuring that this respect is maintained throughout the evaluation process. This includes taking precautions regarding photographic and audio records and preparing the list of interviewees, mentioning only the institutions or organizations to which they belong.
- In evaluations of initiatives linked to gender violence<sup>16</sup> it is essential to consider additional protective measures. In fact, the security of the interviewees and the evaluation team is essential,

<sup>15</sup> Regarding the ethical code to be observed during the evaluation, see UNEG, *UNEG Code of Conduct for Evaluation in the UN System*, New York, UNEG, 2008, <http://www.unevaluation.org/ethicalguidelines>.

<sup>16</sup> For detailed recommendations on ethical protection measures to be followed in studies on domestic violence, see World Health Organization (WHO), *Putting women first: ethical and safety recommendations for research on domestic violence against women*, Geneva, WHO, 1999, <http://apps.who.int/iris/handle/10665/65893>.

and should govern all the decisions regarding the study. Thus, for example, protecting confidentiality is doubly necessary for guaranteeing the integrity of the interviewees, as well as the specificity of data. Also, the members of the evaluating team doing the field work must have **experience and sensitivity** for dealing with women victims of violence, and they must also have knowledge allowing them to guide women regarding the care services to which they can turn to. Special care must be exercised with Indigenous, Afro-descendant or migrant populations, since eventual situations of intimate partner violence is accompanied by the discrimination they habitually experience due to their ethnic or racial origins – which, in turn, is the source of other kinds of violence.

- Among the situations of **gender violence**, it is also important to consider situations that may be affecting women, girls or adolescent women in territories where there is armed conflict, human trafficking, etc. These conditions might be aggravated by discrimination due to their ethnic identity.
- In particular, when evaluating an intervention for children it is necessary to look for the mechanisms which **defend their rights and protect their integrity and dignity**.

#### **Recommendation:**

*Although the evaluation management team must support the organization of the interviews, field visits and meetings for the data collection, it must not participate in these activities, since its presence may inhibit or bias the responses of the interviewees.*

## **2.3 ANALYSIS OF THE INFORMATION**

The analysis of data corresponds to the synthesis and integration of the findings based on the evaluation questions and criteria. At this point the evaluation team must use their knowledge and analytical capacity to back up their judgments on each of the evaluation questions with evidence. Based on the findings, they must **explain the underlying reasons, causes, opportunities, limitations and strengths to work on, and relate them** to the contributions of the different stakeholders, while clarifying the influence of each stakeholder's relative contributions in the observed results.

It is important for data analysis to help identify both the problem construction and the theory of change behind the design of

the programme/project. In this sense, it is worth asking oneself whether the problem/need that led to the programme/project is well identified, and if it affects men and women differently according to their cultural context. It is also necessary to determine whether the target population has been well identified and characterized according to the problem/need that led to the intervention.

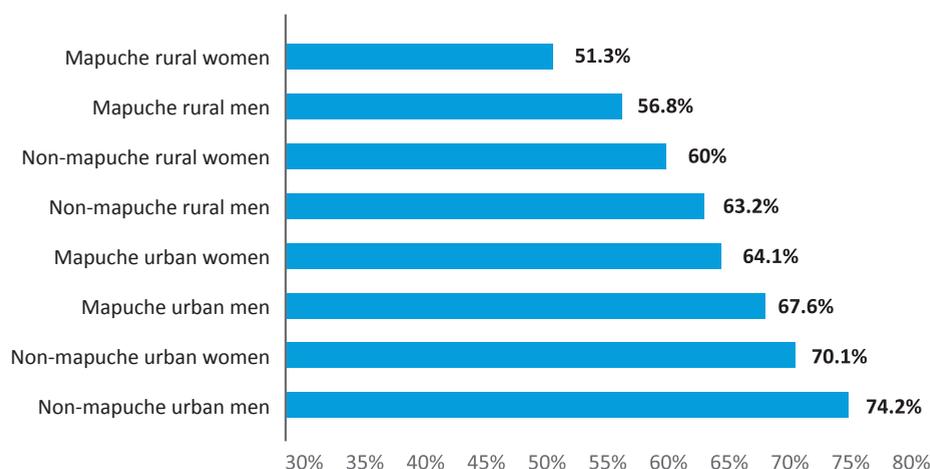
In order to detect the causes of possible inequalities, inequities or discrimination based on characteristics not chosen by the individuals (like their gender, cultural identity or age) it is useful to observe and analyse the gaps, inequities, inequalities, and barriers to identifying which of them are structural, underlying or immediate.

- **Gaps:** These are systematically unequal forms of men's and women's access, participation and control of the resources, services, opportunities and benefits of development. They are either structurally or functionally related to gender. They have the capacity

to reinforce unequal power relations between women and men, or among groups within each sex. The example in the graph below shows inequality gaps in the values of the Human Development Index by sex, ethnic origin and place of residence:

GRAPHIC 1

### Distribution of the HDI in Chile (2002) by ethnicity, rural condition and sex



\* Universidad de la Frontera (UFRO) in Chile and United Nations Development Programme (UNDP).

- **Inequities and inequalities:** In the language of rights, inequities are considered to be systematic or transitory patterns considered not only unnecessary and avoidable, but also unjust, while inequalities refer to discrimination against specific social groups (women, Indigenous peoples, Afro-descendants, children and adolescents) with respect

to the enjoyment and exercise of their human rights.<sup>17</sup> A situation of inequity is illustrated by Mexico's 2000 census, which reports an Indigenous female participation of 25.6% versus 70.8% for Indigenous men. Indigenous women experience situations of inequity and inequality due to their condition as women and Indigenous people, and

<sup>17</sup> See Hunt, P., *El derecho de toda persona al disfrute del más alto nivel posible de salud física y mental (The Right of Everyone to the Enjoyment of the Highest Attainable Standard of Health)*, United Nations, General Assembly, 2004, [http://www.observatorioripoliticassocial.org/images/PDF/Biblioteca/biblioteca\\_2010/ONU\\_docs/Informes\\_relatores/Salud/2004\\_informe\\_del\\_relator\\_especial\\_sobre\\_el\\_derecho\\_a\\_la\\_salud\\_fisica\\_y\\_mental.pdf](http://www.observatorioripoliticassocial.org/images/PDF/Biblioteca/biblioteca_2010/ONU_docs/Informes_relatores/Salud/2004_informe_del_relator_especial_sobre_el_derecho_a_la_salud_fisica_y_mental.pdf).

have restricted access to labour markets, usually in precarious conditions: as housemaids, agricultural workers, and informal or street merchants.<sup>18</sup>

- **Barriers:** They refer to situations related to inequalities, inequities or discrimination related to a set of values, beliefs, expectations, rules, power distribution and prestige in social relations governing a given community. In some way, they discourage or stigmatize behavioural patterns and values that could lead to a positive change in the fields of recognition and capacities. These barriers could be:
  - **Economic:** lack of resources for implementing actions.
  - **Cultural:** deep-rooted beliefs that limit access to goods, services or decision-making spaces.
  - **Organizational:** lack of institutional mechanisms for promoting gender equity.
  - **Legal:** when legal standards restrict the possibilities of making the necessary changes for advancing toward equity between men and women.

Making a solid analysis of the diagnosis requires access to information documenting the situation of the intervention, but also, in general terms, to the context in which it is being implemented. In this regard, the lack of accessible and disaggregated information is a disadvantage. For example, in Latin America, despite intensive efforts with the countries in the region to get the 2010 Round of Population Censuses to incorporate an inclusive approach and the participation of the representatives of Indigenous and Afro-descendant peoples,<sup>19</sup> there are still significant lags. This is shown in the study by Rangel, who made an inventory of statistical information, indicators, and exploitation of sources, thus arriving at the conclusion that nowadays all of them are limited.<sup>20</sup> However, a regional advance is implicit in the mandate derived from the Brasilia Consensus, regarding the monitoring of the construction of indicators for the three articulated dimensions (sex, race and ethnicity).<sup>21</sup>

Under the principle of equality and non-discrimination, regional disparities also constitute a focus of attention in the evaluation. Indicators should serve not only to identify groups discriminated in their access to rights, but also to spot less-developed or

<sup>18</sup> Instituto Nacional de Estadística y Geografía (INEGI), *Perfil socio demográfico de la población que habla lengua indígena (Sociodemographic Profile of the Indigenous-language-speaking Population)*, Mexico, INEGI, 2009.

<sup>19</sup> See Economic Commission for Latin America and the Caribbean (ECLAC), “Declaración de Santiago” (“Santiago Declaration”), in *Censos 2010 y la inclusión del enfoque étnico. Hacia una construcción participativa con pueblos indígenas y afrodescendientes de América Latina (The 2010 Census and the Inclusion of an Ethnic Approach. Toward a Participatory Construction with Indigenous and Afro-descendant Peoples of Latin America)*, Santiago, ECLAC- United Nations International Children’s Emergency Fund (UNICEF)-UNIFEM-PAHO, 2009, Seminars and Conferences Series, <http://www.eclac.org/publicaciones/xml/3/37453/S575yC-L3095e-P.pdf>.

<sup>20</sup> Rangel, M. *Inventario de la información estadística, indicadores y explotación de fuentes sobre etnia, raza y género en los países de América Latina y el Caribe (Inventory of Statistical Information, Indicators and Exploitation of Sources on Ethnicity, Race and Gender in Latin American and the Caribbean countries)*, Santiago, ECLAC-UN, 2012, [http://www.eclac.cl/mujer/publicaciones/xml/5/46355/2012-61-S114MD\\_Inventario\\_de\\_informacion.pdf](http://www.eclac.cl/mujer/publicaciones/xml/5/46355/2012-61-S114MD_Inventario_de_informacion.pdf).

<sup>21</sup> See SEPREM, “Consenso de Brasilia” (“Brasilia Consensus”), in *Consensos de Quito y de Brasilia (Quito and Brasilia Consensus)*, Brasilia, SEPREM, 2010, XI Conferencia Regional sobre la Mujer de América Latina y El Caribe (XI Regional Conference on Women in Latin America and the Caribbean), <http://www.unfpa.org.gt/sites/default/files/Consensos%20Brasilia%20y%20Quito.pdf>.

“forgotten” geographic regions. For each particular case, there will be diverse factors to explain this kind of regional asymmetries; for example: weather conditions, distance from urban centres, different distributions of services and employment, transportation issues, etc. In this context, the analysis of indicators of institutional progress in decentralization processes will be an element that will illustrate the capacities of the guarantors.

There are different types of indicators whose progress needs to be verified throughout the evaluation. Ideally, when designing an intervention these indicators are to be developed along with their respective baselines and goals for the execution. However, if this has not taken place, the evaluation team may suggest indicators and measure their progress based on the evidence available or information collected by the evaluation itself.

It is important to examine the indicators the programme/project itself has selected and analyse them according to the following aspects, so as to verify whether they are sensitive to human rights, gender equality and interculturality:<sup>22</sup>

- Are the indicators adequately related to the development objectives and results, and to the overcoming of injustices and inequalities of the programme/project?

- Are the indicators related to a goal or standard established by an international instrument that makes it possible to analyse the directionality of the changes aimed at achieving the development objectives and results and overcoming injustices and inequalities?
- Have the stakeholders participated in their preparation or analysis and dissemination?
- Have quantitative and qualitative indicators for measuring the programme/project results been used?
- Does the information available make it possible to measure a tendency in the existing gaps, inequalities, inequities or barriers in a specific period of time?
- Is there a baseline for measuring the programme/project results?
- Is it possible to interpret the results from a gender, human rights and intercultural perspective simultaneously, depending on the characteristics of the affected collectives and their intersections?
- Does the programme team have the necessary skills to make intersectional analyses?

In order to illustrate this subject, examples of different kinds of indicators are shown below:

<sup>22</sup>The following list of questions was taken from Faúndez, A. and Weinstein, M., *Ampliando la Mirada: la Integración de los enfoques de género, interculturalidad y derechos humanos en la programación para el desarrollo (Expanding Our View: Integration of the Gender, Human Rights and Intercultural Perspectives into Development Programming)*, Santiago, United Nations Population Fund (UNFPA)-United Nations Development Programme (UNDP)-UNICEF-UN Women, 2012.

**TABLE 3**  
**Types of indicators for the integrated approach**

TYPES OF INDICATORS	DEFINITION	EXAMPLES
Processes	They refer to procedures and actions performed to generate products (goods and services).	<ul style="list-style-type: none"> <li>• Number of materials handed out to the community to raise awareness on human rights issues.</li> <li>• Percentage of the budget earmarked for gender activities.</li> <li>• Percentage of financial resources available as credits for women heads of household.</li> <li>• Number of staff members trained in intercultural issues so as to perform HIV prevention actions with the Indigenous population.</li> </ul>
Products	<p>They refer to the goods and services the programme users receive directly, favouring gender equality, the exercise of human rights and interculturality.</p> <p>This is the most immediate effect that gets to the target population of a programme.</p>	<ul style="list-style-type: none"> <li>• Percentage of families in conflict zones that receive training to face emergencies.</li> <li>• Average days for a birth certificate to be processed, by user's sex and ethnicity.</li> <li>• Percentage of police personnel with training and skills for preventing human trafficking, with a gender equality, human rights and intercultural approach.</li> </ul>
Results	They measure the achievement and magnitude of changes in behaviour, status, attitude or competencies of the programme's target population that are attributable to the intervention exclusively.	<ul style="list-style-type: none"> <li>• Migrant population of both sexes with access to information on human rights.</li> <li>• Percentage of Indigenous women leaders participating in the local consultative councils, out of the total number of council members.</li> <li>• Graduate scholarship holders satisfied with their scholarships, by sex, age, ethnicity and field of study.</li> </ul>
Impacts	They evaluate transformations in gender relations in different spheres, and among populations of different ethnic origin. These transformations are the result of multiple factors or processes. They measure the results that imply a significant and sustainable improvement in living conditions.	<ul style="list-style-type: none"> <li>• Literacy rate in men and women, by ethnicity and race.</li> <li>• Average time dedicated to domestic chores, by sex, ethnicity and age.</li> <li>• Income gap between men and women, by ethnicity and race.</li> </ul>

\*Prepared by the authors.

Finally, when a project's theory of change aims to directly contribute to improving the lives of the rights-holders of an inter-

vention, it is very important to distinguish whether these changes affect the condition or the position of these individuals:<sup>23</sup>

**FIGURE 3**

**Related to their condition:**

- Socio-demographic characteristics differentiated by sex, age, race, ethnicity, etc.
- Socio-economic characteristics differentiated by sex, age, race, ethnicity, etc.
- Socio-political situation differentiated by sex, age, race, ethnicity, etc.
- Main problems and demands expressed by their organizations, differentiated by sex, age, race, ethnicity, etc.

**Related to their position:**

- Access to and incidence in power spheres within the community or the project's geographical area.
- Leadership and organizational levels of social groups by sex, age, race, ethnicity, etc.
- Access to and control of productive resources by sex, age, race, ethnicity, etc.
- Access to ownership of the means of production by sex, age, race, ethnicity, etc.
- Conditions for the exercise of human rights and the rights of women and Indigenous peoples.
- Division of labour by sex and social value of the work of women and men.
- Distribution of domestic responsibilities by sex, age, race, ethnicity, etc.
- Personal, family, institutional and community conditions for self-determination and autonomy.
- Regulations of a social, legal or institutional nature that limit or encourage egalitarian participation.

<sup>23</sup> In this Guide we are adopting and expanding on Kate Young's distinction regarding the condition of women, understanding it as women's current material status: poverty, their lack of education and training, their workload, their lack of access to modern technology, etc. By *position* we understand the relative place they occupy in a hierarchical society: the positions they hold, the roles they play, the resources they control, etc. This analytical distinction is useful for the comparison of any situation or condition of disadvantage. Young, Kate, "Reflexiones sobre cómo enfrentar las necesidades de las mujeres" ("Reflections on Meeting Women's Needs"), in Guzmán, Virginia et al. (comp.), *Una nueva lectura: género en el desarrollo (A new perspective: gender within development)*, Lima, Entre Mujeres-Flora Tristán, 1991.

FIGURE 4

### Possible risks related to information availability<sup>24</sup>

1. It is common for interventions not to have baselines for their indicators, either because of insufficient information at the national level or because the project itself was not able to establish the baseline at its inception. This situation is even more common when dealing with qualitative indicators linked to human rights. This makes it more difficult to make comparisons between the initial conditions and the ones existing at the moment of the evaluation through the identification of advances or the difficulties found. In order to address this limitation, it is necessary to seek information that is complementary to that produced by the project/programme itself, in an effort to identify the initial situation with greater precision and compare it to the present moment. Likewise, stakeholders' opinions are very useful in "reconstructing" the starting point.
2. It is common for interventions to have imprecisely formulated objectives and to lack an adequate incorporation of the rights-holders' perspective, which ultimately affects the internal indicator-based measuring system. In order to mitigate this risk, the evaluation team should go over the indicators with the partner and if such difficulties are found, suitable alternatives for measuring the programme's results should be suggested.

#### Recommendation:

*Despite the discrimination to which they may be subjected, rights-holders possess their own wisdom, knowledge and points of view with which they get around and project the future. It is customary for programmes devised for them to focus on their lacks, while considering that building up their capacities basically consists in providing them with information they might not be able to cope with when trying to integrate into society at large. However, an approach based on rights, gender equality and interculturality requires recognizing*

*and valuing their worldviews, practices and knowledge in order to promote dialogs and encounters, and generate exchanges that might lead to new ways of understanding and facing different situations in life. The so-called "intercultural" social programmes (usually related to health or education) have difficulties in giving importance to ancestral knowledge and its bearers. It is crucial for evaluations to identify the resources (differentiated by sex) that the involved populations possess and which contribute to the development of the programme/project.*

<sup>24</sup> See Faúndez, A., *Los indicadores de género. Mitos y leyendas (Gender Indicators: Myths and Legends)*, Santiago, Inclusión y Equidad Consultora Latinoamericana, 2007, Methodologies Series, <http://www.inclusionyequidad.org/content/los-indicadores-deg%C3%A9nero-mitos-y-leyendas>.

## 2.4

### EVALUATION REPORTS

Generally speaking, the products of an evaluation are reports that must rigorously present the findings, conclusions, lessons learned and recommendations that the evaluation team formulates as the result of its work.

For the purposes of this document, we will focus on two types of reports that the evaluation teams must develop (the preliminary inception report and the final report), pointing out the elements that are relevant for the application of an integrated approach. Drawing on the contributions of the Evaluation Guides prepared by UN Women and the UNEG Handbook, some complementary aspects are introduced here.

#### a. Preparation of the Inception Report

The importance of the inception report lies in its being a precise guide to the way the evaluation will be performed while offering an opportunity to clarify the approach, the key aspects of the programme/project under evaluation, the availability of information and documentation, the stakeholders, the contextual variables affecting the development of the evaluation and the relevance of the technical design of the evaluation to make sure the study meets the established objectives.

The following table shows the minimum sections the inception report must include and the relevant questions it must address in order to include the integrated approach:

**TABLE 4**  
**Minimal content for an initial evaluation report with integrated approach**

SECTIONS	CONTENTS	QUESTIONS RELEVANT TO THE INTEGRATED APPROACH
Introduction	Purpose and scope of the evaluation.	Corroborate what the stakeholders consider to be specific contributions of the evaluation.
	General description of the programme/project: problem and justification, objectives, links to institutional policies or strategies, components, expected results, stakeholders, main activities, duration and budget.	Determine whether the programme incorporates the gender, human rights and intercultural approach in the definition of the target population, and specify the way in which it is incorporated.  Gender diagnosis makes it possible to learn the initial situation of women and men in the aspects where the structures and processes –legislation, social and political institutions, socialization practices and public policies– that could have repercussions on the situation of discrimination or subordination affecting them. Along with this, certain gender differences associated with ethnicity should be specified.

SECTIONS	CONTENTS	QUESTIONS RELEVANT TO THE INTEGRATED APPROACH
Introduction	Ethical criteria.	The report should explain the ethical criteria that will orient the evaluation, including those contained in the UNEG guidelines, as well as considerations of respect for cultural differences and recognition of the diversity of wisdom. All these are expressed in international conventions and declarations, and in manuals or guides of the different agencies of the United Nations System.
Evaluation criteria and questions	Criteria established by the UNEG: relevance, efficiency, efficacy, sustainability and impact. Each must have its own questions.	The evaluation criteria and questions should orient the information search towards the empowerment of the population and stakeholders, while identifying eventual situations of discrimination that the programme/project should address.
Methodology	Data collection methods and techniques, and sources of information.	The report should establish the selection of <b>evaluation methods</b> that are sensitive to human rights, gender equality and interculturality: the use of mixed, participatory and inclusive methods that adapt to certain particularities of the population involved, be it women or girls experiencing situations of violence, people displaced by armed conflicts, illiterate or monolingual Indigenous people, etc.
Evaluation matrix	Instrument for a coherent articulation of the evaluation criteria, key questions, indicators, sources of verification, data collection and analysis methods and the selection of actors.	It is useful for the evaluation team to ask themselves about and have instruments for collecting information on the human rights, gender equality and intercultural approach adopted by the different actors involved.
Work timetable	Instrument for the establishment of the stages of evaluation with their respective activities, dates of implementation and product delivery.	It should be considered that, realistically speaking, the times of interviews, meetings and/or workshops with representatives of Indigenous or Afro-descendant peoples – particularly with women and in rural areas – will be longer than usual. It takes time to build trust and adjust to their conversation rhythms.
Necessary resources	Identification of the support requirements that the evaluation team will need from its partner in order to perform their task successfully.	If the evaluation is to be implemented in Indigenous territories, it will possibly require translation services.

\*Prepared by the authors.

## b. Preparation of the Final Report

UN Women set forth the fundamental elements that the report must contain in order for it to be constructive, useful and reliable.<sup>25</sup> Although the preparation of the study is the responsibility of the evaluation team, the evaluation manager must take

charge of the coordination of the process to guarantee its quality and the communication. For the purposes of the present Guide, the key aspects of the integrated approach that need to be taken into consideration when preparing the Final Report are included in the following table:

**TABLE 5**  
**Special aspects of the integrated approach to add to the Evaluation Report, by report section**

ASPECT	SPECIFIC ASPECTS FOR INCLUDING THE HUMAN RIGHTS, GENDER EQUALITY AND INTERCULTURAL APPROACH
1. Basic information	
2. Executive summary	<ul style="list-style-type: none"> <li>• It includes a general description of the programme's/project's target population and emphasises the gender inequalities they suffer, the cultural contexts in which they live and factors that could eventually facilitate or obstruct the development of the programme/project.</li> <li>• It lists the stakeholders, indicates the role they play in the programme/project and briefly describes how they participated in the evaluation.</li> </ul>
3. Purpose of the evaluation	<ul style="list-style-type: none"> <li>• It provides a detailed description of the fundamental contents of the human rights, gender equality and intercultural approach that orients the evaluation, and of how these factors are related to the design of the evaluation.</li> </ul>
4. Objectives and scope of the evaluation	<ul style="list-style-type: none"> <li>• They include an indication as to whether or not there is cultural diversity among the stakeholders.</li> <li>• They incorporate the principle of equality and non-discrimination as a guide to the formulation of the evaluation questions.</li> <li>• They consider incorporating into the evaluation questions the concepts of gender equality, human rights, and interculturality as they are understood by the programme managers and the stakeholders.</li> </ul>
5. Evaluation methodology	<ul style="list-style-type: none"> <li>• It includes a reflection as to whether the evaluation approach, data collection and analysis methods are sensitive to human rights, gender equality and interculturality, and whether they are appropriate for the analysis of issues related to gender equality, human rights, and respect for cultural diversity in the evaluation questions.</li> </ul>

<sup>25</sup> See UN Women, *Guidance: Quality Criteria for Evaluation Reports*, UN Women, [http://www.unifem.org/evaluation\\_manual/wp-content/uploads/2011/05/Guidance-Note-8-Quality-Criteria-for-Evaluation-Reports.pdf](http://www.unifem.org/evaluation_manual/wp-content/uploads/2011/05/Guidance-Note-8-Quality-Criteria-for-Evaluation-Reports.pdf).

ASPECT	SPECIFIC ASPECTS FOR INCLUDING THE HUMAN RIGHTS, GENDER EQUALITY AND INTERCULTURAL APPROACH
	<ul style="list-style-type: none"> <li>• It analyses whether the ethnic identity variable should be considered one of the criteria for sample selection, and it explains if such a consideration is not suitable.</li> <li>• It details the ethical protection measures taken into account to respect cultural differences and the ways to facilitate the expression of such differences.</li> <li>• It presents the mechanisms for the participation of the stakeholders throughout the evaluation process.</li> </ul>
6. Context in which the subject of the evaluation is placed	<ul style="list-style-type: none"> <li>• It incorporates into the context analysis the existence of eventual ethnic conflicts and the presence of marked gender, social or ethnic inequality.</li> <li>• It makes reference to the social and political processes that constrain or favour the full exercise of human rights and non-discrimination towards traditionally excluded groups (women, girls, boys and adolescents belonging to Indigenous or Afro-descendant peoples).</li> </ul>
7. Description of the subject	<p>The following questions are answered in this section:</p> <ul style="list-style-type: none"> <li>• Is the problem/need that gave rise to the programme/project well identified?</li> <li>• Does it affect men, women, and people of different ethnic or racial origin differently?</li> <li>• Is there a theory of change with a gender, human rights and intercultural approach that supports the programme's/project's hypothesis of change expressed in its objectives?</li> </ul>
8. Findings	<ul style="list-style-type: none"> <li>• The findings reveal the power relations existing among the stakeholders.</li> <li>• The findings reveal the advances or constraints in the empowerment of women, particularly those of Indigenous or Afro-descendant peoples.</li> </ul>
9. Analysis	<ul style="list-style-type: none"> <li>• The report determines whether the design of the subject of the evaluation was based on a serious analysis of gender equality, human rights and interculturality.</li> <li>• The report reveals whether management was effectively based on results and if it was monitored through a framework that contemplates the gender, human rights and intercultural perspective.</li> <li>• The report analyses the indicators used in the programme/project to track progress and provide an evaluative judgment of its coherence with the objectives sought and with its capacity to show evidence of the improvement of women's condition and position, especially when it comes to women who belong to Indigenous or Afro-descendant peoples.</li> <li>• The report analyses the perceptions of the stakeholders regarding the results of the objective of the evaluation.</li> </ul>

ASPECT	SPECIFIC ASPECTS FOR INCLUDING THE HUMAN RIGHTS, GENDER EQUALITY AND INTERCULTURAL APPROACH
10. Conclusions	<ul style="list-style-type: none"> <li>• Conclusions relate the findings to the context analysis.</li> </ul>
11. Recommendations	<ul style="list-style-type: none"> <li>• Recommendations provide courses of action for recognizing and amending eventual discriminations of gender and ethnic identity.</li> <li>• Recommendations contribute to the process of strengthening the capacities of the stakeholders with regard to the gender equality, human rights and intercultural approach.</li> </ul>
12. Lessons learned	<ul style="list-style-type: none"> <li>• The report highlights lessons learned regarding human rights, gender equality and interculturality, whose relevance transcends the immediate scope of the programme/project (when applicable).</li> </ul>
13. Annexes	<ul style="list-style-type: none"> <li>• Information about stakeholders and the list of interviewees (maintaining confidentiality); data collection instruments used; Terms of Reference</li> </ul>
14. UN Women's key approaches and strategies: innovation and catalytic role, partnerships and capacity building	<ul style="list-style-type: none"> <li>• Recommendations and lessons learned about the development of capacities and empowerment of excluded populations (such as Indigenous and Afro-descendant populations, women, adolescent women and girls belonging to these groups, as well as those who are not part of them) are pinpointed.</li> </ul>
15. Stakeholder participation	<ul style="list-style-type: none"> <li>• The evaluation provides a mapping of stakeholders and records their efforts to make visible the role (leadership and organization) of the women, children and adolescents of Indigenous or Afro-descendant peoples.</li> </ul>
16. Ethical safeguards	<ul style="list-style-type: none"> <li>• The report describes the ethical safeguards taken into account for the respectful inclusion of groups of diverse ethnic identity.</li> </ul>
17. Clear communication	<ul style="list-style-type: none"> <li>• The language used throughout the report facilitates the communication of its results to the broad range of audiences involved in the development of the programme/project and ensures that it is understandable to the communities that speak a different native language.</li> </ul>

\* Prepared by the authors based on the Evaluation Guides, UN Women Evaluation Office, New York, 2011.

### Recommendation:

*Both the unit in charge of the evaluation and the most important stakeholders must check and ensure the quality of the inception report. In this sense, it is important to dedicate enough time to its preparation and approval. The evaluators, the hiring*

*unit and the Reference Group should hold a meeting for the introduction and discussion of this report, so that the way the evaluation will be performed is agreed upon at an early stage of the exercise and its final results are not placed in doubt later on due to disagreements concerning the design.*



# 3

STAGE III

USE OF THE  
EVALUATION

# USE OF THE EVALUATION

This stage, usually not as well-known as the previous ones, is fundamental for fulfilling the purposes of feedback, learning and decision-making that justify a programme/project evaluation. Particularly when incorporating the integrated human rights, gender equality and intercultural approach, this stage takes on special importance:

- It is an opportunity to disclose the situation of groups whose rights are violated or that live through situations of inequality, being usually “invisible”.
- It contributes to the generation of knowledge about good practices and programme intervention challenges that can contribute to the development not only of new institutional programmes, but also of public programmes.
- It helps to empower women and groups discriminated because of their cultural origin as it enriches the reflections about their situation.
- It contributes to accountability, making it possible to detect gaps or limitations regarding task completion, improving information registration systems, showing new problems that were not present at the beginning of the action, such as the existence of gender or age discrimination, or even unexpected effects.
- The evaluation can be used to institutionalize the results and lessons learned from the programmes/projects, so that they do not remain confined to the capacities of those who have implemented them.

## 3.1

### USE OF THE RESULTS

One of the most frequent risks of an evaluation is that the process could end with the delivery of the final report by the evaluation team to the requesting unit. This obviates the chances of it becoming a learning process leading to necessary changes in the organization’s activities to promote best practices conducive to exercising the rights of particularly discriminated populations.

It is therefore necessary to explicitly incorporate the intended use of the evaluation from the beginning of the study, and for

it to be known not only by the evaluation team, but also by the stakeholders. Once the evaluation is completed, following up on this approach is crucial, since it means taking a different direction from welfarist or clientelistic programmes (which have been traditionally designed to assist excluded populations and those discriminated against with regard to the benefits of development). This type of evaluation contemplates neither follow-ups on results nor feedback from target populations. In fact, a commitment to use the evaluation results

implies generating opportunities not only for improving institutional management, but also for enhancing both the knowledge and information available on the situation of these populations and contributing to the joint identification of new spheres of collective action (this cooperation may be performed by cooperation agencies, the public sector or civil society).

**Recommendation:**

*The evaluation of a programme/project may be used as a resource for strengthening*

*the capacities of groups that are particularly discriminated against on account of their gender and cultural origin. In fact, the participation of stakeholders in the implementation of a programme/project at different moments of the evaluation contributes to their empowerment: it strengthens their capacities for analysing their situation, formulating their views on the performance of guarantors and donors, and expressing their demands regarding the inequalities that afflict them.*

## 3.2

### MANAGEMENT RESPONSE

Management Responses to the evaluations and their follow-up on recommendations are intended to improve the effective and timely use of the evaluations, making it possible to establish a dialog with all the stakeholders in order to reflect on the conclusions, recommendations and lessons learned from the

evaluations and incorporate them into existing programmes and/or new ones in process of formulation.<sup>26</sup> Therefore, discussing the conclusions and recommendations among the evaluation team, the hiring unit and the stakeholders is very important and must mitigate possible risks (see Figure 5).

## 3.3

### DISSEMINATION

As established in Guide No. 10 prepared by the UN Women Evaluation Office,<sup>27</sup> the evaluation dissemination strategy should be systematic, so as to ensure that the results of the evaluation can be disseminated among the main stakeholders, both internal

and external, by means of diverse, effective, creative and barrier-free methods. The goal of this strategy is to guarantee the communication and dissemination of the evaluation results among internal and external stakeholders, thus maximising its use.

<sup>26</sup> See UN Women, *Guidance Note on Developing Management Responses to Evaluations*, UN Women, [http://www.unifem.org/evaluation\\_manual/wp-content/uploads/2011/05/Guidance-Note-10-Evaluation-Management-Response-011210.pdf](http://www.unifem.org/evaluation_manual/wp-content/uploads/2011/05/Guidance-Note-10-Evaluation-Management-Response-011210.pdf).

<sup>27</sup> See [http://www.unifem.org/evaluation\\_manual/es/evaluation-use-follow-up/dissemination/index.html](http://www.unifem.org/evaluation_manual/es/evaluation-use-follow-up/dissemination/index.html).

FIGURE 5

### Possible risks of under-using the evaluation

1. It is likely that the evaluation of a programme/project (particularly in the case of a final evaluation) will take place in the framework of an institutional decision not to continue with the initiative. The reasons for this are several: end of funding, change of country programme or strategy, restructuring of the work teams, significant changes in the context, etc. That could lead to limiting the reflection on this stage and on the strategic, programmatic, administrative or financial adjustments the institution must eventually make as a result of the recommendations. To mitigate this risk, the unit in charge should inform the evaluation team of its decision, so that the recommendations can be oriented toward new ways of contributing to the full realization of human rights, gender equality and respect for cultural diversity.
2. On some occasions, the preparation of management responses is not tied to a follow-up system on commitments which includes the stakeholders. Along with the difficulties this causes regarding effective compliance with the established responses, there is also the risk that the populations whose rights are violated due to their gender and cultural identity might perceive the agency's action as something only linked to the implementation of specific, funded projects, and not as a part of a long-term strategy for transforming inequalities. Public programmes have traditionally failed to produce policies. In order to address this risk, it is important for the evaluation to become a real possibility of creating new opportunities to face the existing injustices and sets of problems.

The experience promoted by the Regional Platform for Evaluation Capacity Building in Latin America and the Caribbean (PREVAL for its acronym in Spanish) stands out in this context: image-based monitoring and evaluation of local development projects financed by the International Fund for Agricultural Development (IFAD).<sup>28</sup> Monitoring and Evaluation through images is based on audio-visual language to show evidence of the changes produced in

communities, and is done mainly from the perspectives of the project/programme actors, namely rural organizations and families. In the framework of a results-oriented Monitoring and Evaluation system, these changes can be recorded and communicated through different media, such as videos, photographs, geo-referenced information systems, maps and audio-equipped scale models, as well as infographics and slideshows.

<sup>28</sup> Gutiérrez, C. *El seguimiento y la evaluación por imágenes. Herramientas para el aprendizaje en Desarrollo Rural (Image-based Monitoring and Evaluation. Learning Tools for Rural Development)*, Lima, PREVAL, 2007, Working Papers Series, <http://preval.org/files/Doc%20Principal%20SyE%20por%20Imágenes.pdf>.

Dissemination is linked to the principle of transparency and accountability according to which any organisation, after a period of execution, must publicly present the results –both achieved and not achieved– versus the commitments made, the sources and use of the resources, and the lessons learned. In this context, transparency means that the way data are presented is understandable, legible and based on evidence. Accountability and transparency constitute both an ethical imperative of responsibility to the rights-holders to whom the action is addressed, and a key aspect of programme and project administration.

Evaluation is not really an end in itself, but part of accountability and learning processes that will lead to improving programme design and resource allocation. Evaluating a programme/project decidedly contributes to this idea by making it possible to present an analysis of the expected results. The latter should show what did and did not work, and what the main learning processes have been. Therefore, there is a need for explicit and planned dissemination, from the design stage of the evaluation to its completion. Moreover, the traditional view of informing only the donors about the results in order to fulfil the obligations brought about by the donated funds must be overcome.

In this context, it is important to consider the dissemination of the study, at least among the following actors:

- People/organizations affected by the evaluation –reference groups.
- Rights-holders (women, children, adolescents, Indigenous or Afro-descendant peoples, civil society organizations) and duty-bearers (governments, ministries and local administrations).
- Human rights, Indigenous, Afro-descendant and women’s groups and other civil society organizations.
- Professional and knowledge networks.
- Academic institutions.
- Private sector.

Furthermore, the dissemination of the results of an evaluation with an integrated approach can also extend beyond the implementation of the evaluated programme/project, contributing to the generation of knowledge on good practices or new challenges to the advancement of human rights, gender equality, and relations of respect and non-discrimination among different cultures.

In order for the dissemination to be able to reach the intended audiences effectively, the following factors should be addressed:

- a) **Ensure that the language (both in terms of the vocabulary and the clarity of expression of the messages) is adequate for comprehension by the various audiences involved.** It may be necessary to consider translation into local languages or the use of interpreters.
- b) **Use audio-visual media for (totally or functionally) illiterate populations,** so they can learn about the results of the evaluation, despite not being able to read the report.
- c) **Take care that the process of language clarification does not lead to simplification of the evaluation results** to the point of reducing the profundity of the conclusions.
- d) **Design the dissemination process ensuring not only the distribution of the reports or materials produced for this purpose,** but also their discussion, at least with the most relevant actors.

FIGURE 6

### Possible risks of disseminating the evaluation

1. If the programme/project is linked to open conflicts in the country, as might be the case of the relations between governments and their Indigenous peoples, the stakeholders will possibly want to use the evaluation results to support their respective positions. This could lead to decontextualizing the results. In order to mitigate this risk, it is important to ensure that the evaluative judgments are duly based on evidence, so that any extrapolation of the results beyond the evaluation may be clearly explained.
2. Dissemination of the evaluation results applying an integrated approach may fuel the debate on the tension between cultural Uses and Customs and the Rights of Women and Girls. In this case it is necessary to strengthen the message regarding the universal validity of human rights and the need to transform cultural patterns that infringe on them. To do this, you may cite the resolutions of the special rapporteurs, such as the United Nations Special Rapporteur on Violence against Women, who recommends a “cultural negotiation” to “raise awareness of the oppressive nature of certain practices pursued in the name of culture by drawing on positive elements of culture and alternative expressions of masculinity that are respectful of women’s rights”.<sup>29</sup>
3. The dissemination of the results of an evaluation among the stakeholders generates expectations of continuity of the programmes or projects, which may be difficult to satisfy if the institution does not have the resources to do so. To mitigate this risk, it is useful for the implementing unit to be very clear with respect to the management commitments it will assume based on the evaluation.

#### Recommendation:

*Do not forget the accountability before the target population and participants of the initiatives under evaluation. The action performed is ultimately intended to guarantee their rights: the rights-holders are the ones who must recognize the achievements and shortcomings of the actions undertaken in their name. Furthermore, the people who have been informed of the development of the evaluation and may*

*even have been interviewed need to see the report in its entirety and learn how their opinions were analysed, what recommendations arose from the study and which measures the institution will actually take with regard to the conclusions. To this end, workshops should be held where the programme/project beneficiaries may discuss the results or creative actions that will bring closure to the process of reflection initiated by the evaluation.*

<sup>29</sup> See Ertürk, Y., *Integration of the human rights of women and the gender perspective: violence against women*, United Nations-ECOSOC, 2006, <http://www.refworld.org/pdfid/45377afb0.pdf>.

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