



# GENDER CAMPUS

THE GLOBAL DEVELOPMENT AGENDA:  
TOOLS FOR GENDER SENSITIVE  
PLANNING AND IMPLEMENTATION

TRAINING MODULE

CORE CONTENT

## Mainstreaming Gender in Development Planning

The country-led processes



United Nations Development Fund for Women



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Training Module: Mainstreaming Gender in Development Planning

Gender Campus

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## LEARNING CONTENT

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OVERVIEW .....	4
PRE-REQUISITES .....	4
OBJECTIVES .....	4
INTRODUCTION .....	5
Why bother? .....	5
A Shift in Development Practice .....	6
UNIT A. Promoting Gender Equality through Poverty Reduction Strategies (PRSs) .....	8
1. Gender Challenges in PRS Processes .....	9
2. Gender Gaps in PRS Contents .....	9
3. Stakeholders: roles and how they can act to integrate gender equality in PRSs .....	10
4. Gender Entry Points in the PRS Process, and Relevant Tools .....	14
UNIT B: Programme Based Approaches – A Focus on SWAps .....	20
1. What are Sector-Wide Approaches (SWAps)? .....	21
2. Why is it necessary to mainstream gender in SWAps? .....	24
3. Key processes and entry points .....	25
4. Gender and Swaps: Case studies .....	31

## OVERVIEW

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This Module addresses development planning frameworks from the perspective of gender equality and proposes entry points, strategies and tools to ensure that these processes contribute to advancing the gender equality agenda. It also looks at the linkages between country-led national development planning and the management of aid flows.

The first part of the module considers national planning frameworks and in particular Poverty Reduction Strategies (PRSs), which provide a country-owned framework to guide policy dialogue, effective programming and disbursement of cooperation aid.

The second part of the module introduces Programme-Based Approaches which allow donors to engage in development cooperation based on the principle of coordinated support for a locally-owned programme of development. Specific focus will be given to Sector Wide Approaches (SWAs) which are widely gaining momentum within the framework of donor programming in support of priority sectors as designated in the country's PRSP.

## PRE-REQUISITES

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Participants need to be familiar with:

- ✓ the main theories and practices of development cooperation (literacy);
- ✓ basic gender concepts and the main approaches to gender and development (i.e. gender mainstreaming and women's empowerment).

## OBJECTIVES

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In this module participants will:

- ✓ explore the processes, gaps and entry points which the main actors can exploit to ensure that gender equality is adequately reflected in national development plans and particularly in PRSs;
- ✓ appreciate the concept of "Programme Based Approaches" and review strategies and tools for integrating gender equality into Sector-Wide Approaches.

## INTRODUCTION

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### Why bother?

There are three main reasons for considering gender equality and empowerment of women as crucial objectives for development planning and aid programming:

#### 1. "The Human Rights case"

Most countries in the world have subscribed to the notion that gender equality is a fundamental human right and an important objective *per se*. Most countries are signatories to the Convention on the Elimination of Discrimination against Women (CEDAW) and to the Beijing Declaration and the Declaration on the Millennium Development Goals (MDGs), which make an explicit commitment to promoting gender equality and empowerment of women.

#### 2. The "Poverty Reduction case"

The overarching goals of the global development agenda as well as of national programmes aligned on it - particularly PRSs and Sector Programmes - are the fight against poverty and enhancement of different dimensions of human development (literacy, mortality, agency, opportunities for decent work etc.). The recent global economic crisis has brought to light the importance of considering social inclusion, decent work and redressing of inequalities as fundamental elements of sustainable and truly distributive economic models. It has become more and more clear that gender and other inequalities are not simply consequences, but rather **determinants** of poverty, and that as such they need to be addressed systematically and in an integrated manner.

#### 3. The "Business case"

Gender inequality is costly to development, and greater equality between men and women increases the efficiency and effectiveness of development interventions. Research by the World Bank has shown that increasing gender equality leads to economic growth, human development and poverty reduction. The evidence includes the following:<sup>1</sup>

- ✓ A reduction of the female/male gap in literacy rates leads to a decline in the urban adult HIV rate.
- ✓ In some African countries children of mothers who have spent five years in primary education are 40% more likely to live beyond the age of five.
- ✓ In all regions of the world the share of children (aged 12-23 months) who are immunised increases with mothers' educational levels.
- ✓ In households in Cameroon, Burkina Faso and Kenya more equal control of inputs and farm income by women and men could raise farm yields by as much as one-fifth.
- ✓ Women reinvest 90% of their income in their families and communities, compared to men who reinvest only 30% to 40% of their income.

<sup>1</sup>The following data are adapted from World Bank (2001a). *Engendering Development: Through Equality in Rights, Resources and Voice*. Washington D.C.: World Bank and Oxford University Press. *Chapter 2 (pp. 73-100)*. Available at [www.worldbank.org](http://www.worldbank.org).

- ✓ In India, if the ratio of female to male workers were increased by 10%, Gross Domestic Product (GDP) would rise by 8%.
- ✓ In Sub-Saharan Africa, agricultural productivity could increase by up to 20% if women's access to resources such as land, seed and fertiliser were equal to that of men.

Despite gradual and positive trends globally, inequalities in the socio-economic status of women and men still persist and strongly influence the development agenda. Thus:

- ✓ Of the 113 countries that failed to achieve gender parity in both primary and secondary school enrolment by the target date of 2005, only 18 are likely to achieve the goal by 2015.
- ✓ More than 500,000 prospective mothers in developing countries die annually in childbirth or from pregnancy complications.
- ✓ In spite of women's increased access to education and massive entry into the labour markets, in a majority of countries worldwide the level of women's wages is between 70% and 90% of that of men's wages.

## A Shift in Development Practice

Since the year 2000 a number of international conferences (Monterrey, Rome, Marrakech, Paris)<sup>2</sup> have seen higher, middle and lower income countries commit themselves to intensifying efforts to financing development and to better planned and delivered aid. The Paris Declaration on Aid Effectiveness (PD) (2005),<sup>3</sup> sets out five principles for reform of aid, intended to "*increase the impact of aid... in reducing poverty and inequality, increasing growth, building capacity and accelerating the achievement of the MDGs*"<sup>4</sup>.

The key element of the whole reform is the concept of **country ownership**. The intention is that countries will develop **nationally-owned** plans and priorities for poverty reduction and development with clear objectives, which will be supported by donors through funding and capacity development. At the same time donors are to provide increased support, **align** their procedures on those used by national institutions, **harmonise** their aid efforts to achieve greater coordination and less drain on partner country resources, and **untie the link** between provision of support and goods and services from their home country. All this is to be done in a spirit of **managing for results** and **mutual accountability**, where partner and donor countries are accountable to each other and their citizens.<sup>5</sup>

The fact that the Paris Declaration did not explicitly address gender equality bears significant implications for achieving this goal.

<sup>2</sup> For information on the Monterrey Conference on Financing for Development and its follow-up: <http://www.un.org/ffd/>. The Organisation for Cooperation and Economic Development – Development Assistance Committee provides ample information and guidelines on the "aid effectiveness" agenda set out by the Paris Declaration ([www.oecd.org](http://www.oecd.org)).

<sup>3</sup> The Paris Declaration, endorsed on 2 March 2005, is an international agreement to which over one hundred Ministers, Heads of Agencies and other Senior Officials adhered and committed their countries and organisations to improve the quality of aid and accelerate progress towards the Millennium Development Goals. For the full text of the Paris Declaration, go to [http://www.oecd.org/document/18/0,2340,en\\_2649\\_3236398\\_35401554\\_1\\_1\\_1\\_1,00.html](http://www.oecd.org/document/18/0,2340,en_2649_3236398_35401554_1_1_1_1,00.html)

<sup>4</sup> Paris Declaration on Aid Effectiveness, para. 2.

<sup>5</sup> For simple guidelines on gender and the PD: "DAC Guiding Principles for Aid Effectiveness, Gender Equality and Women's Empowerment", OECD/DAC, December 2008 [www.oecd.org/gender](http://www.oecd.org/gender).

Given the centrality of gender equality and women's empowerment to development, a 'gender-blind' interpretation and subsequent implementation of the Paris Declaration principles jeopardises achievement of the international development goals including the Millennium Development Goals. It further erodes the whole essence of 'development effectiveness'. For the aid effectiveness agenda to result in overall gains in gender equality and women's empowerment, these goals must be recognised as a key component of national development planning, including poverty reduction strategies.<sup>6</sup>

<sup>6</sup> Chiwara L. and Karadenizli M (2008) Mapping Aid Effectiveness and Gender Equality: Global Findings: 2008 – found at [www.gendermatters.eu](http://www.gendermatters.eu)

## UNIT A. Promoting Gender Equality through Poverty Reduction Strategies (PRSs)

Poverty Reduction Strategy (PRS) is a concept developed by the World Bank and the International Monetary Fund (IMF) in 1999. The idea is that low-income, highly-indebted countries should develop and formulate a national plan on how to reduce poverty in their countries as a means of improving the living conditions of their citizens. Once a country has established a national PRS, it can apply for debt relief from the World Bank, the IMF and donor countries, and may gain access to new credits, loans and grants.

The PRS approach is becoming increasingly important, since it is not an isolated tool used only by the World Bank and the IMF, but is also supported by other international development partners and is linked to international and national strategies and policies. In many low-income countries Poverty Reduction Strategies provide the blueprint for policy dialogue with all donors. PRSs are now on the agenda of some 70 low-income countries and many Governments have begun to use the PRS process as a means of improving aid coordination within the framework of the Paris Declaration Agenda.



### What we know about PRSs

The principles behind PRSs suggest that these strategies should be:

- ✓ country-driven and country-owned, and based on broad-based participatory processes for formulation, implementation, and monitoring;
- ✓ results-oriented, focusing on outcomes that benefit the poor;
- ✓ comprehensive, recognising the multidimensional nature of the causes of poverty and putting in place the measures needed to attack it;
- ✓ partnership-oriented, providing a basis for the active and coordinated participation of development partners (bilateral, multilateral, nongovernmental) in supporting country strategies; *and*
- ✓ based on a medium- and long-term perspective for poverty reduction, recognising that sustained poverty reduction cannot be achieved overnight.

Gender equality is considered a cross-cutting issue that needs to be integrated into all processes and contents of the Poverty Reduction Strategy **Paper** (PRSP). The participation of civil society, including women's groups and other less represented groups, is considered a key precondition for policy success.<sup>7</sup>

Several evaluations of completed PRSPs reveal that there has been remarkable progress in this respect over the last few years. However the way in which gender equality is integrated is still far from satisfactory.<sup>8</sup> Some lessons can be drawn, in relation both to the processes that lead to the elaboration of the policies and to their content.<sup>9</sup>

<sup>7</sup> PRSP Sourcebook, Chapter 10 Gender ([www.worldbank.org/gender](http://www.worldbank.org/gender))

<sup>8</sup> Source: OECD Guide for non Economists to negotiate PRS, 2007, quoting: Bell, E., Gender and PRSPs: with experiences from Tanzania, Bolivia, Viet Nam and Mozambique, 2003; Rodenberg, B., Gender and Poverty Reduction, 2004; Whitehead, A.: Failing Women, Sustaining Poverty. Gender in Poverty Reduction Strategy Papers, Report for the UK Gender and Development Network, no place, 2003; World Bank: Gender in the



## 1. Gender Challenges in PRS Processes

Evidence indicates that:

- ✓ participation is often limited to dissemination of information;
- ✓ the results of women's participation are rarely integrated into the final PRS/policies and certainly not into the selection of priorities and strategies; *and*
- ✓ participation decreases through the different phases of the PRS/policy development, with little opportunities for systematic consultation and participation in formal decision-making during priority setting or during the budgetary, implementation or monitoring processes.

The underlying reasons include the following:

- ✓ a lack of concrete political will to consider gender equality as relevant to development and poverty reduction;
- ✓ organised women's groups may not be invited, or else those participating may represent the interests of limited groups of relatively advantaged women; poor women may not be specifically targeted or else they are unable to participate or be represented;
- ✓ the Ministries of Gender or Women's Affairs and women's advocacy groups may lack the macro-economic/public finance expertise and capacity to have a significant impact on PRS content;
- ✓ gender focal points from sectoral ministries are often not involved in sector policy design;
- ✓ women tend to be under-represented in decision-making positions, particularly in policy areas such as economics and finance;
- ✓ there is little gender expertise among mainstream actors, and particularly among economists in the PRS drafting teams, usually from Ministries of Finance.

## 2. Gender Gaps in PRS Contents

- ✓ National gender equality objectives are rarely integrated into macro-economic, anti-poverty and sector policies, nor are they seen as opportunities for helping the country to meet its obligations in relation to national anti-discrimination law or CEDAW.
- ✓ Gender analysis and collection of gender disaggregated data are often partial and descriptive:
  - they are usually limited to examining a number of sex-disaggregated indicators, with a more pronounced focus on **health and education** indicators, and with

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PRSPs. A Stocktaking, Poverty Reduction and Development Group, Washington, 2001; Zuckerman, E., Do Poverty Reduction Strategy Papers Address Gender Issues? ; Gender Audit of 2002 PRSPs ([www.generation.org/publications.html](http://www.generation.org/publications.html)). "Gender and PRSPs", July 2003 in Tenkodogo, Burkina Faso, financed by the Netherlands Government ([www.minbuza.nl](http://www.minbuza.nl)); "Engendering PRSPs in Africa", December 2003 in Nairobi, financed by the German Ministry for Economic Cooperation and Development ([www.gtz.de/gender-prsp](http://www.gtz.de/gender-prsp)).

<sup>9</sup> Sources: Adapted from Holvoet (2007) quoting Bell (2007), OECD/DAC 2002, Zuckermann and Garrett (2001), World Bank (2001b) on the basis of the author's own findings and EC Gender assessment of Country Strategy Papers (2005).

little attention to disparities in income, the labour market ('opportunities') or participation in decision-making;

- they embody little research into the causes of the established gaps, which tend to focus on specific, micro-level dimensions ("cultural bias", "tradition"), while the implications of macro-economic options, trade policies, existing or new laws and regulatory frameworks are overlooked.
- ✓ Gender-sensitive situation analyses (such as poverty diagnoses) are often not used to inform priority policy measures, corresponding budgets and subsequent monitoring and evaluation systems.
- ✓ Priority measures tend to strengthen women's basic capabilities (education, health, household needs such as sanitation), often fulfilling 'practical gender needs', rather than addressing power imbalances.
- ✓ There tends to be a lack of appropriate gender-sensitive monitoring and evaluation systems.<sup>10</sup>

### 3. Stakeholders: roles and how they can act to integrate gender equality in PRSs

This Section considers the different stakeholders involved in the development of a PRS/National Development Plan (NDP), and suggests who they are and how they can take action for promoting gender equality.

**To find out who is responsible for the PRSP in your country, check the homepage of your government or:**

- ✓ The World Bank website on PRSP: [www.worldbank.org/prsp](http://www.worldbank.org/prsp)
- ✓ PRSP Watch: [www.prsp-watch.de](http://www.prsp-watch.de) (not all country profiles are available in English)

#### **Stakeholder group 1: Government**

- ✓ The government is the leading actor. It develops policy in consultation with representatives of all stakeholders, and is responsible for initiating the participatory process and writing the document, as well as Status and Progress reports.
- ✓ Countries may conduct their PRS processes in different ways, for example by establishing PRS Units in Planning Ministries or in the Vice-President's office.
- ✓ The actors involved normally comprise:
  - The Ministry of Finance or Economic Planning
  - Sectoral Ministries (Health, Education, Trade, Industry, Labour, Social Development, Environment, Natural Resources)
  - Local government planning authorities
  - Monitoring and evaluation units; statistical offices
  - Elected Members of Parliament

#### **Gender issues and measures - key elements for success**

<sup>10</sup> Id.

- ✓ Political commitment to gender equality at all levels, and at all stages
- ✓ Capacity for gender analysis , planning and budgeting in key institutions (finance and gender)
- ✓ Capacity to engage in inclusive and participatory processes
- ✓ Gender-specific institutions which should be involved are:
  - National gender/women Ministry
  - Gender focal points from relevant sectoral ministries (e.g. Finance, Statistics, Labour, Planning)
  - Women's parliamentary committees
- ✓ Relevant measures:
  - Give the gender ministry a clear mandate and resources to mainstream gender in PRS.
  - Ensure clear, transparent and accessible participatory processes (**TOOL T1** )
  - Internal and external lobbying, networking and advocacy to gain commitment from top decision-makers. (**TOOL T2** )
  - Gender audits of PRS processes/PBAs in cooperation with other development partners (CSO / UN / Donor).
  - Develop technical capacity for gender analysis in PRS drafting team.
  - Develop capacity for analysis of macro-economic and sectoral issues for gender ministry and/or acquire inputs through strategic alliances with non-state actors (e.g. universities/research institutes).

## **Stakeholder group 2: Civil Society**

This comprises all stakeholder groups and individuals besides the government:

- ✓ Non-Governmental Organisations (NGOs), community-based organisations (CBOs), faith-based groups, trade unions, private sector associations, employers' organisations, research and academic institutions, etc.
- ✓ Public participation at all stages is a key requirement for policy success, but there is no basic standard concerning adequate participation by civil society.
- ✓ In many countries, one umbrella organisation is chosen to act as the focal point for civil society participation in PRS, e.g. the NGO Forum in Cambodia.

### **Gender issues and actions**

- ✓ The PRS is intended to address the interests of persons living in poverty and to redress inequalities. The poor must be adequately represented among the stakeholders (e.g. rural workers' associations, disabled people associations, HIV/AIDS organisations, informal sector workers) with specific attention to inclusion of women and gender interests from within those groups, (self-employed women, cooperatives etc.), in addition to women's networks and umbrella organisations.
- ✓ **Measures**
  - Lobby for and/or implement specific dedicated measures to ensure that women are included and that gender equality interests are represented from within all different social groups, all levels of decision-making and at all stages.

- Demand accountable, transparent participatory processes and information sharing at the lowest possible level (e.g. communities), and at all stages.
- Establish broad-based, representative umbrella networks.
- Develop clear strategies to influence PRS processes (TOOLS T1 and T2.) and contents (TOOLS T3 and T4.)
- Develop gender capacity in “mainstream” civil society organisations (NGOs, the private sector, trade unions) and advocacy/budgeting among gender advocates.
- Engage academic/research institutions.
- Prepare clear advocacy tools/briefs such as Fact Sheets on gender and the country economy or sectoral issues.

### **Stakeholder group 3: The World Bank**

Since 1999, the World Bank has been the lead international agency in PRS development.

- ✓ At the request of governments, it prepares economic reports such as country economic memoranda, public expenditure reviews and poverty assessments.
- ✓ It may provide technical advice to the government at each stage of the process.
- ✓ The World Bank Joint Staff Assessments/Joint Staff Advisory Notes assess the quality of the adopted PRSPs and are the basis for WB/IMF decisions on debt relief.
- ✓ There may therefore be tension between national ownership and World Bank and/or donor input.

### **Gender issues and measures**

- ✓ The Bank can greatly contribute at all phases, but particularly at the stages of diagnosis, policy dialogue, monitoring and evaluation.
- ✓ The PRSP Sourcebook, Chapter 10 Gender, provides detailed guidelines on how to mainstream Gender in PRSP preparation, but Joint Staff Assessments (JNA) and joint staff advisory notes (JSANs) do not consider compliance with these guidelines as a necessary condition for IMF/WB approval.
- ✓ **Measures**
  - Include gender equality in the policy dialogue agenda.
  - Promote use of existing gender guidelines and of gender budgeting tools
  - Lobby for inclusion of gender-sensitive indicators in monitoring and evaluation frameworks.
  - Support/undertake Country Gender Assessments.
  - Support capacity-building on gender in macro-economic planning and budgeting processes.

### **Stakeholder group 4: International agencies**

UN agencies - bilateral and multilateral donors (such as DFID, GTZ...) - international NGOs (e.g. Care, Oxfam, Save the Children, ActionAid).

- ✓ International organisations offer technical advice to both government and civil society at all stages of the process. In some cases they may second staff to national PRSP institutions.
- ✓ Donors provide financial or technical support at all stages of the process.

- ✓ All these actors can participate in the policy dialogue leading to the PRS, and use it as the framework for harmonised assistance to the country.
- ✓ These different international actors may form groups that meet regularly (e.g. monthly) to discuss the state of progress of the PRSP (e.g. UN Theme Groups).

### Gender issues and measures

- ✓ These actors are not directly responsible for the process but can greatly contribute to policy diagnosis, policy dialogue, monitoring and evaluation from a gender perspective.
- ✓ All UN agencies have a mandate to promote gender equality in a rights-based perspective, in their respective fields of action.
- ✓ UN Gender Theme Groups may be in charge of coordination of gender equality issues at country level. Lead agencies may be UNIFEM or UNDP. Other agencies particularly active at field level include IFAD, FAO, ILO, UNICEF, UNFPA and UNHCR.
- ✓ OECD/DAC donor member countries are signatories to major international agreements (CEDAW, ILO Convention 111, ILO Convention 100) and have committed themselves to promoting gender equality and the MDGs through *inter alia* the Paris Declaration. Gender focal points may be set up in country-level delegations.

### Measures

- Achieve harmonisation and division of labour on gender equality in the country in support of realisation of the National GE Policy and international, regional and national commitments.
- Give effect to policy commitments by including gender equality in policy dialogue on PRS or on joint assistance strategies, on the basis of international, regional and national commitments to gender equality.
- Create synergies with existing programmes e.g. gender budgeting initiatives.
- Build internal and country capacity for gender analysis and budgeting, and/or provide/support specific gender technical expertise in PRS groups.
- Undertake gender auditing of internal processes and joint programmes/cooperation strategies
- Create linkages with CSOs and build up their capacity for gender advocacy and analysis.
- Support preparation of research, gender assessments and relevant advocacy/information tools

### **Stakeholder group 5: Sectoral groups**

These groups may input sectoral information into the PRS, usually on infrastructure, agriculture, education, health and employment.

### Gender issues and measures

- ✓ Gender theme groups, made up of UN agencies and in some cases government and civil society, also have a mandate to input into the PRS.<sup>11</sup>
- ✓ Gender expertise and commitment within other sectoral groups are critical for successful mainstreaming at sectoral level.

<sup>11</sup> UNIFEM *et al* (2005) *Resource Guide for Gender Theme Groups*.

[www.unssc.org/web1/programmes/rcs/cca\\_undaf\\_training\\_material/teamrcs/file.asp?ID=333](http://www.unssc.org/web1/programmes/rcs/cca_undaf_training_material/teamrcs/file.asp?ID=333)

**Action**

- Dialogue with / support to gender group
- Support for gender expertise in thematic groups
- Networking with gender experts/researchers/CSOs

**4. Gender Entry Points in the PRS Process, and Relevant Tools**

A Poverty Reduction Strategy Paper (**PRSP**) is a document describing the building blocks of a country's poverty reduction strategy including:

- ✓ identification of key constraints to economic growth and poverty reduction;
- ✓ consideration of the public measures needed to relieve those constraints;
- ✓ outcome indicators that are set and monitored *via* a participatory process; *and*
- ✓ a description of the nature of the consultative process by which the strategy was formulated.

A PRSP is not a static document. It is intended to be a record of an ongoing process, which is reviewed, modified and reformulated at regular intervals.<sup>12</sup> The full PRSP is valid for three to five years, and at a certain point the government must present a Progress Report (PR).

All PRSPs and PRSs are assessed in the Joint Staff Advisory Note (JSAN) prepared by World Bank and IMF staff. The purpose is to provide the Executive Boards of the World Bank and the IMF with an assessment of the quality and relevance of the strategy described in the PRSP.

The process is as an example of the “iterative, evidence-based policy-making” approach that characterises programme-based approaches. It normally involves the following stages and steps:

<sup>12</sup> The first version of the PRSP often takes the form of an Interim PRSP (I-PRSP), which takes less time to prepare than the full PRSP and allows countries to access debt relief faster. The full PRSP is expected to follow the I-PRSP theoretically within a year, although in practice this may take between 9 and 24 months.



## The PRS / policy cycle

Stage	Steps
<b>Formulation</b>	<ul style="list-style-type: none"> <li>▪ Poverty (problem/policy) diagnosis</li> <li>▪ Poverty (problem/policy) analysis</li> <li>▪ Definition of priority public measures (Objective analysis/strategy formulation)</li> <li>▪ Budgeting - definition of Medium-term Economic Framework (MTEF)</li> <li>▪ Adoption of the PRSP by the Government through <b>participatory consultative processes and policy dialogue</b> between the main stakeholders</li> <li>▪ (Approval by IMF/WB for debt relief, on the basis of JSANs)</li> </ul>
<b>Implementation</b>	<ul style="list-style-type: none"> <li>▪ Agreement of Donor-Country Strategies with donors/WB to implement policy/SWAPs (through direct budget support)</li> <li>▪ Establishment of operational work plans and management arrangements</li> <li>▪ Capacity development</li> <li>▪ Implementation of policy through public services/public procurement procedures</li> </ul>
<b>Monitoring and Evaluation</b> <i>(on-going through formulation and implementation)</i>	<ul style="list-style-type: none"> <li>▪ Establishment of monitoring and evaluation framework (e.g. Performance Assessment Frameworks – PAFs)</li> <li>▪ Progress reports</li> <li>▪ Participatory monitoring and reviews through clear accountability structures and performance assessment frameworks</li> <li>▪ PRS Reviews to incorporate lessons learned into subsequent programming phases</li> </ul>

At each of these stages there exist possible entry points for gender mainstreaming. Above are listed those which have proved to give more successful results. However, a good knowledge of specific country-based processes is critical in order to be able to assess which entry point is more appropriate in a particular context.


### ENTRY POINT 1: POLICY DIAGNOSIS AND DEFINITION OF PRIORITY MEASURES


These processes offer the opportunity to ensure that:

- ✓ poverty diagnoses capture the different experiences of women and men and describe whether gender gaps persist, and at which level;
- ✓ poverty analyses identify the reasons for the existing gaps;
- ✓ the priorities and strategies identified contribute to addressing gender gaps;
- ✓ Medium-term Economic Frameworks (MTEFs) reflect appropriate budgeting for the achievement of gender-sensitive objectives.

**When to make this happen:** at the formulation stage and every time there is a policy review process.

**How to make this happen:** all stakeholders (Government, donors, civil society) can screen the “gender quality” of the policy, as well as of related programmes’ budgeting, planning, implementation, monitoring and evaluation processes using:

 **Tool T3:** gender scan of PRS or Sector Programme

 **Tool T4:** checklist for *ex ante* screening of gender sensitivity of PRS or sector programme

### In-depth tools:

More in-depth tools to be used by those responsible for technical advice/drafting of PRS documents - PRS Sourcebook ([www.worldbank.org/gender](http://www.worldbank.org/gender)), Chapter 10 Gender and Annex I, and more specifically:


- integrating Gender Analysis into Poverty Diagnosis (Ch. 10.3);
- using a Gender-Informed Poverty Analysis in Defining Priority Public Actions in the PRS (Ch. 10.4);
- Annex I: Technical Notes, including among others the ToRs for Country Gender Assessments;
- gender budgeting tools to engender macro-economic analysis, policy appraisal and establishment of MTEFs.

## ENTRY POINT 2: POLICY DIALOGUE

- ✓ Policy dialogue offers the opportunity to include gender equality in the discussions on objectives, content and measures. It opens the possibility of gender experts participating in the processes of policy and programme development, implementation, monitoring and evaluation.
- ✓ The issue can be very sensitive, and needs to be handled with care and advocacy skills (e.g. using informed, accurate, relevant information).
- ✓ The results of policy dialogue, i.e. the established agreements and promises, need to be followed up. If they are not, promises made may not be turned into concrete measures.

**When to make this happen:** formulation stage, particularly when priority measures are defined, monitoring and policy review.

**How to make this happen:** through involvement of all stakeholders (Government, donors, civil society), e.g. using:

 **Tool T1:** promoting gender equality through stakeholders’ participation.

 **Tool T2:** increasing gender influence in policy making.



### In-depth tools:

- PRS sourcebook, Chapter 10 Gender, Annex I, Technical Note I.1 “Engendering Participation”. [www.worldbank.org/gender](http://www.worldbank.org/gender)
- OECD (2007) Guide for Non-Economists to Negotiate Poverty Reduction Strategies. [www.oecd.org/dac/gender](http://www.oecd.org/dac/gender).
- Handicap International has produced an on-line user-friendly handbook on how to make PRSPs inclusive. It contains useful information, tools and references to other tools such as OXFAM work in this area. <http://www.making-prsp-inclusive.org/>.

## ENTRY POINT 3: CAPACITY BUILDING

**Capacity development on gender mainstreaming** should be planned for both “gender advocates” and “mainstream actors”, with discrete approaches. In particular:

- ✓ gender actors within and outside government will normally possess gender expertise but will be less proficient in general macro-economic and policy analysis, planning, budgeting, monitoring and evaluation;
- ✓ mainstream actors will have broader knowledge and experience of macro-economic and policy analysis, planning, budgeting, and M&E, but will need to become aware of why gender equality needs to be integrated into policy processes, and how technically to do it.

**Consultations** to bring together these two different perspectives have also proved a successful strategy, spinning off from the establishment of multi-stakeholders platforms.

### In-depth tools:

Useful to all stakeholders (Government, donors, civil society)


- The *EC/UN Trainers’ Handbook* soon available at [www.gendermatters.eu](http://www.gendermatters.eu)
- Capacity building on gender budgeting: [www.gender-budgets.org](http://www.gender-budgets.org)
- FEMNET Training Modules for Gender Advocates available at [http://www.thefreelibrary.com/Chapter 2: training modules](http://www.thefreelibrary.com/Chapter%202%3A%20training%20modules)

## ENTRY POINT 4: MONITORING AND EVALUATION

Monitoring and evaluation are key instruments for assessing progress in the completion of programmes and the quality of the underlying processes relating to gender equality. This requires integration of the gender dimension into monitoring and evaluation frameworks such as Joint Budget Reviews, Joint Sector Reviews, and Performance Assessment Frameworks (PAFs).

**When to make this happen:** during existing monitoring and evaluation processes, both in formal review processes and in external monitoring processes which may be put in place by civil society.

**How to make this happen:** all stakeholders (Government, donors, civil society) should use gender-sensitive indicators to assess policy inputs, activities, outputs and outcomes (including allocation and use of resources).

 **Tool T5.** Key notions for analysing and monitoring budgets from a gender perspective (Elson's budget cycle framework and Budlender and Sharp's Three Categories of expenditures).

### In-depth tools:

In-depth tools or references that can be used by those responsible for the PRS policy dialogue process, or those wishing to undertake in-depth gender impact assessments of policy resource allocation, include:

- Holvoet, N. (2006), Gender-budgeting and its usefulness in programme-based approaches, a Briefing Note for EC staff presents a wide choice of gender-budgeting tools and examples on how to use them.
- [www.gender-budgets.org](http://www.gender-budgets.org)

### More Information

For detailed guidelines on how to integrate gender into PRSP preparation, refer to:

- ✓ PRSP Sourcebook, Chapter on Gender, available at [www.worldbank.org/gender](http://www.worldbank.org/gender)

On more about influencing PRPS from a gender perspective:

- ✓ "OECD/DAC Guide for non-economists to negotiate poverty reduction strategies", April 2007 [www.oecd.org/gender](http://www.oecd.org/gender)



## Example of engendering the PRSP: why did Rwanda succeed in engendering its PRSP?

Rwanda succeeded in engendering its PRSP because it initiated a series of deliberate steps, backed by strong moral and financial commitment:

1. The Ministry of Gender and the Promotion of Women (MIGEPROFE) hired a gender expert to facilitate the process. The expert analysed the Interim Poverty Reduction Strategy Paper's failure to mainstream gender issues in detail and suggested how this could have been done.
2. The expert held meetings both with women's civil society groups to discuss the role of the PRSP and PRSP engendering entry points and with the PRSP writing group at the Ministry of Economics and Finance (MINECOFIN) to ensure that its members were committed to mainstreaming gender into the PRSP.
3. PRSP stakeholders including MIGEPROFE, community organisations and PRSP writing team members tried to persuade the participatory exercise facilitators of the importance of soliciting women's as well as men's views.
4. MIGEPROFE and MINECOFIN co-sponsored a gender mainstreaming workshop. Fifty representatives from a broad range of sectors participated. Two dynamic civil society activists co-facilitated it. The MIGEPROFE and MINECOFIN ministers opened and closed the workshop, giving it a high profile. The gender expert's presentation focused on the importance of integrating gender into the PRSP in order to achieve poverty reduction, and on the tools available to achieve this. Participants practised using the tools in teams, integrating gender issues into the I-PRSP, sector by sector. Teams formulated recommendations on how best to engender the PRSP using the tools provided.
5. An inter-agency PRSP Engendering Committee was established at the expert's suggestion to promote PRSP gender mainstreaming. Committee members consisted of the Director of the PRSP writing team, the MIGEPROFE Gender and Development Department Director, and a representative of Pro-Femmes – the umbrella organisation of Rwandan women's civil society groups.

In this example it helped that the PRSP writing team director was previously the MIGEPROFE Director of Administration. It was easy to remind him to promote gender equality. It was also critical to convince other PRSP writing team members and stakeholders of the importance of mainstreaming gender to achieve poverty reduction goals, and to provide mainstreaming gender tools through the workshop's training practice sessions.

Source: Zuckerman, E. (2002) A Primer on Poverty Reduction Strategy Papers and Gender. Gender Action, mimeo.  
<http://www.genderaction.org/images/GA%20PRSP%20and%20Gender%20Primer.pdf>

## UNIT B: Programme Based Approaches – A Focus on SWAp

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### A shift in development practice – from project to programme approach

From its early days in the 1960s development assistance was for the most part provided in the form of individual projects, such as support for infrastructure, micro-credit, or training. Projects were often not part of broader national development plans, were poorly coordinated between donors, and were tied to donor country technical assistance and goods and services. As these projects multiplied, they also often strained partner countries' coordination capacities.<sup>13</sup>

This "project approach" was partly replaced in the 1980s by structural adjustment policies (SAPs), led by the World Bank and IMF, and tied to large-scale loans. These policies were intended to establish a sound basis for economic growth and increased exports. They set conditions (the process known as conditionality), including cuts in public spending and subsidies, and focusing on exports to the detriment of national production, for example of food, an approach which has been heavily criticised for worsening the conditions of the poor, particularly poor women.<sup>14</sup>

Since then, there has been much debate about how and why aid works, and the need to balance economic growth with social equity and promotion of rights. Proponents of "free market economy" would maintain that economic growth would by itself be able to generate development processes.

Other actors in the international community and from civil society have been lobbying strongly for the need to ensure public, equitable access to health services, education, decent working opportunities, and natural resources such as land and water. Effectively managed external assistance can offer low-income countries much-needed resources for promoting sustainable development and poverty reduction.

The idea is that development policy and economic reforms should be guided by a *rights-based perspective*, in which growth must be planned under conditions allowing equitable re-allocation of resources, and redress of existing discrimination and gaps. The Millennium Declaration (2000) sums up these global aspirations in an ambitious agenda for development.

This gradual shift from "individual, donor-driven" projects has meant the introduction or strengthening of country-owned "programme-based approaches" (PBAs), that is National Development Plans, anti-poverty strategies, or programmes to advance policy objectives in sectors such as health, education or transport.

<sup>13</sup> According to [www.aidharmonisation.org](http://www.aidharmonisation.org), today donor support for development translates into more than 60,000 projects around the world. Some countries have as many as 800 donor-funded activities starting each year, host more than 1,000 donor missions, and prepare over 2,400 progress reports. This burdens administrative capacity and diverts attention from strengthening systems that cover all development expenditures, not just those financed by donor agencies.

<sup>14</sup> Mosley, P. *et al* (1995) *Aid and Power: The World Bank and Structural Adjustment Lending*. London: Routledge.



## Programme-Based Approaches are...

"... a way of engaging in development cooperation based on the principles of co-ordinated support for a locally owned programme of development, such as a national poverty reduction strategy, a sector programme, a thematic programme or a programme of a specific organisation.

Programme-based approaches share the following features:

- ✓ leadership by the host country or organisation;
- ✓ a single comprehensive programme and budget framework;
- ✓ a formalised process for donor coordination and harmonisation of donor procedures for reporting, budgeting, financial management and procurement;
- ✓ efforts to increase the use of local systems for programme design and implementation, financial management, monitoring and evaluation."

Source: OECD/DAC 2005 Harmonising Donor Practices for Effective Aid Delivery (vol. 2), p. 37

PBAs provide the framework against which lower-income countries and donors can engage in a **policy dialogue on and formulation of their joint cooperation strategies**, and plan the specific modality of aid disbursement ("**aid delivery method**").

### 1. What are Sector-Wide Approaches (SWAs)?

All PBAs aim to apply basic principles of aid effectiveness to promote national ownership, strengthen results orientation, and coordinate donor inputs with other resources.

A sector approach (or SWAp) is a PBA at a sector level: it is a form of working together between government, development partners and other key sector stakeholders. It is a process aiming at broadening government and national ownership of public sector policy and resource allocation decisions within the sector; increasing coherence between policy, spending and results; and reducing transaction costs.<sup>15</sup>

The sector approach promotes national ownership of sector policies and strategies by supporting a government-owned policy and strategy; by promoting coherence between policy, budgeting and actual results; and by reducing (in the medium to long run) the transaction costs of utilising external finance.

The sector-wide approach differs from a project-based approach in which individual donors each support a particular set of activities within the sector (for example, building schools or roads). As such they contribute to the aid world's move away from projects and towards wider aid instruments led by the government in partnership with donors. Over the long term SWAs should strengthen sector capacity and institutions and improve sector service and delivery.

<sup>15</sup> European Commission (2007), *Guidelines to EC Support to Sector Programmes*, p. 12.

The approach goes well beyond the scope of one specific donor and focuses on the combined interventions and funding by Government, donors and other important private sector and NGO stakeholders within a sector. Donors co-finance a sector strategy with the partner country and other donors. These coordinated efforts are made on the basis of objectives set by the government and in the framework of a coherent public sector expenditure programme. Ideally, SWApS are developed by the government in consultation with all key stakeholders, including donor agencies and civil society, and will be part of the PRS.

### The differences between a SWAp and project approach<sup>16</sup>

Sector-wide approaches	Conventional project approach
Country holistic view on entire sector	Focus on projects in support of narrowly defined objectives
Partnerships with mutual trust and shared accountability	Recipient accountable to donor
External partners' co-ordination and collective dialogue	Bilateral negotiations and agreements
Increased use of local procedures	Parallel implementation arrangements
Long-term capacity/system development in sector	Short-term disbursement and success of projects
Process-oriented approach through learning by doing	Blueprint approach

A sector programme includes five key components

1. A clear nationally-owned **sector policy** and strategy.
2. The sector budget and its **medium-term expenditure framework** that reflects the sector strategy.
3. A **sector coordination framework** under the government's leadership comprising (i) coordination of national stakeholders including governmental (central agencies and other concerned ministries and agencies) and non-governmental actors; (ii) coordination with and between donors.
4. The **institutional setting** and existing capacities linked to a pro-active capacity development strategy led by the government.
5. A **performance monitoring system** with a focus on results. This frequently involves a sectoral performance assessment framework (PAF) consisting of a set of input, output, outcome and possibly impact indicators. The choice of indicators should reflect all the important dimensions of the sector being monitored.

Two additional elements related to the overall context influence performance of a sector programme are:

<sup>16</sup> OECD/DAC (2005) Harmonizing Donor Practices for Effective Aid Delivery Volume 2: Budget Support, Sector Wide Approaches and Capacity Development in Public Financial Management.

6. The **macroeconomic policy** which provides a stable environment for the sector, along with predictable resource levels.
7. The systems of **public finance management** (PFM). A good PFM system ensures that policy priorities have a chance of being reflected in budget allocations.

SWApS were developed as a pragmatic mechanism for more effective development assistance. There is general agreement that the sector approach is a process with the common goal of improving public sector performance in terms of service delivery as well as the efficiency and effectiveness with which internal and external resources are utilised. There can therefore be partial sector-wide approaches (e.g. at sub-sector level such as basic but not higher or specialised education) and SWAp-like programmes that have some of the elements and characteristics of a full sector-wide approach.

Many of the same principles for integrating gender equality measures apply regardless of whether the sector-wide approach meets all or only some of the defining characteristics.<sup>17</sup>

Key stakeholders in SWApS are usually the relevant government ministry, the Ministry of Finance, donors, and UN and other multilateral agencies. Civil society organisations tend to be included more as implementing agencies than as partners in planning and decision-making.



### What does a SWAp look like?

In **Nicaragua**, the use of programme-based approaches, particularly SWApS, dates back to 2002 when a number of sector-wide funds were set up. An example is the Nicaraguan Fund for Health, created in 2005 and jointly funded by Sweden, Finland, Norway, Spain and the Netherlands. Its main purpose is to contribute to poverty reduction through support for the implementation of the Five-Year National Health Plan 2005-2009, to facilitate people's access to health services, to improve the quality and coverage of services and to strengthen the capacities of the Health Ministry.

Harmonisation and alignment were facilitated through adoption of a code of conduct and a Memorandum of Understanding between Government and donors in 2005. The National Health Plan and the sector programme recognise the different realities, interests and health needs of women and men and provide a model for donor-government coordination on improving women's health. But critical gaps include a lack of gender-sensitive indicators in the matrix for monitoring implementation of the Health Plan, and the lack of earmarked funds in support of gender equality concerns and priorities.

\* \* \*

In **Cambodia** an education sector SWAp started in 2000 with a government initiative in collaboration with donors and NGOs. It aimed to reduce transaction costs; to achieve pro-poor and pro-girls outcomes through free education and provision of scholarships; to increase average teacher salaries; to increase decentralisation; and to ensure better monitoring. SWApS in Cambodia have been defined as having three characteristics:

- ✓ a single sector policy and expenditure programme;
- ✓ government leadership; *and*
- ✓ progressive use of government financial procedures.

<sup>17</sup> OECD/DAC (2002) *Gender Equality in Sector Wide Approaches: A Reference Guide*. <http://www.oecd.org/dataoecd/24/17/1956174.pdf>

Between 2000 and 2005 enormous impacts were observed in terms of gender equity and social inclusion. In terms of gender disparity there has been a higher rate of increase in the net enrolment rate (NER) among girls, as well as a reduction in the net enrolment rate gender gap, the number of out-of-school girls, and girls' repetition rate in primary education. In terms of social inclusion, scholarships for girls and disadvantaged groups, and abolishment of registration and illegal fees, have been implemented. The fastest rate of NER increase has been among children from the lowest-income families.

Sources: Chiwara, L. and M. Karadenizli (2008) Mapping Aid Effectiveness and Gender Equality. Global Findings and Key Messages. New York: UNIFEM  
[http://www.gendermatters.eu/index.php?option=com\\_content&task=view&id=150&Itemid=87](http://www.gendermatters.eu/index.php?option=com_content&task=view&id=150&Itemid=87)  
 UNICEF(2006) Social and Gender Disparity in Education Sector-Wide and Programme-Based Approaches. Bangkok: UNICEF

## 2. Why is it necessary to mainstream gender in SWApS?

As with other aid effectiveness mechanisms, unless gender concerns are explicitly included in all elements of SWApS, including budgets, then they will be gender-blind. Because sector-wide approaches involve shaping an entire sector with the objective of enhancing long-term development, attention to gender equality is critical if the SWAp is to be successful in meeting the goal of equitable and sustainable development.

Reviews have found that SWApS in the health and education sectors have focused on narrowly defined investments targeted on women and girls, rather than the underlying conditions which lead to gender inequality. SWAp processes have tended to be confined within ministry boundaries, and have rarely attempted to address broader issues such as gender and education properly. A review of education SWApS found a number of issues in relation to gender mainstreaming which demonstrate why gender concerns need to be reflected in SWApS<sup>18</sup>:

- ✓ A focus on sector-wide efficiency and national development objectives over individual rights can lead to a de-prioritising of the 'hard to reach' groups as 'too expensive to reach'.
- ✓ The top-down and centralised approach of many SWApS can lead to weak involvement of civil society, lack of recognition of informal processes, and reinforcement of existing gender and social biases.
- ✓ There is variation in the quality and depth of analysis that takes place, of patterns of educational disparity, of the key causal factors and of how these interact. Analyses often fail to be multidimensional or to relate one factor to another. There is less attention to gender than to poverty or to forms of social exclusion other than gender. As a result, identified strategies can prove inappropriate or inadequate.
- ✓ Some development partners perceive themselves to be losing the diversity and depth of experience, and the field-based understanding and relationships, which project interventions provided, making them less able to provide quality assistance.

<sup>18</sup> Acharya, S. (2007) *Social Inclusion: Gender and Equity in Education SWApS in South Asia. Nepal Case Study.* [http://www.unicef.org/rosa/Rosa\\_social\\_and\\_gender.pdf](http://www.unicef.org/rosa/Rosa_social_and_gender.pdf)



### 3. Key processes and entry points

Each of the main elements of a sector programme has potential **entry points** for gender mainstreaming.

#### ENTRY POINT 1: A country-led sector policy and strategy

A sector policy and strategy should set out basic principles, objectives and strategies for the sector. It should set out what the government aims to achieve, distinguish its normative from its delivery role, specify the roles of non-government agents, and any institutional reforms necessary to enable these roles to be fulfilled.

Providing support to a sector programme will only be effective if the underlying policies it promotes are sound and if there is commitment from all parties to implement the agreed strategies.

**The first entry point** is the process through which the sector framework is developed along with the partnership arrangements covering its implementation. It is important for **key stakeholders** such as civil society to be at the table when these areas are discussed, or it may be difficult to influence the whole process. Development of a sector strategy usually takes place through a range of stakeholder meetings, often over a considerable period of time. Long-term engagement over months or years may be needed; so donors need a firm commitment to the process, and may need to support and build up the capacity of government and civil society so that they can also maintain their involvement and focus. A UNICEF study found that SWAp appear to have a strong potential for addressing social and gender inequality in education if these issues are reflected in policies supported by analysis and prioritisation.<sup>19</sup>

SWAp imply government - not donor - leadership. Under a SWAp a government takes the lead in determining sector priorities, identifying strategies and establishing the processes necessary to implement them. So there is a trade-off between supporting government-led processes and lobbying for cross-cutting issues such as gender equality which may not be immediate government priorities. For donors and civil society this means:

- ✓ Focusing on advocacy and influencing the way in which Government sets its priorities and allocates its resources. In the past, it was possible in the project approach to earmark funding for very specific activities or budget lines. Under a SWAp one cannot guarantee that specific strategies or activities will take place – such decisions are made by Government. It is necessary to try and influence the scope and content of any sector programme being developed through a SWAp through dialogue with Government and other key stakeholders.
- ✓ Working with a wide range of stakeholders. For instance, it might be necessary to work closely with other parts of the Ministry, especially the Planning Departments. The Ministry of Finance may also be a key player with which there needs to be dialogue.



**Key questions to ask about the policy and strategy contents are the following:**

- ✓ Is the policy consistent with government's international gender equality commitments, for example CEDAW and MDG3?

<sup>19</sup> UNICEF (2006) *Social and Gender Disparity in Education Sector-Wide and Programme-Based Approaches*. Bangkok: UNICEF [http://www.unicef.org/rosa/Rosa\\_social\\_and\\_gender.pdf](http://www.unicef.org/rosa/Rosa_social_and_gender.pdf).

- ✓ Do policies on service delivery include specific targets for access (e.g. for women and men), quality norms and a clear statement of the intended level of public subsidy?
- ✓ Has a comprehensive gender analysis been carried out as part of the development of the policy and strategy?
- ✓ Are the policy and strategy clear about how gender equality will be promoted, and what the results will be in relation to gender equality?
- ✓ Has the policy been based on a structured process of consultation and involvement of sector stakeholders, including civil society and women's organisations?
- ✓ Where the role of government is defined primarily in terms of social objectives, such as direct alleviation of poverty or hunger, have the target groups been clearly specified, is data sex-disaggregated, and has a feasible strategy for reaching respectively women, men, boys and girls been defined?

 **Key issues to keep in mind for donors and civil society in relation to policy dialogue processes are:**

- ✓ relating to a number of different partners within the relevant Ministry;
- ✓ being involved in the SWAp discussions from the very beginning in order to promote gender equality issues;
- ✓ being selective and prioritise key policy issues to be pursued, and building coalitions with other partners to take these agendas forward;
- ✓ acquiring a strong understanding of how decisions are made within the sector, and ensuring that this knowledge is used effectively.

The case of Tanzania shows some of the constraints to translating policies into practice:



### **Translating policy into practice: the case of Tanzania**

Development partners have supported Tanzania's health sector for several decades, during the last eight years as sector programme support through a sector-wide approach (SWAp).


A large proportion of funds are channelled *via* sector basket arrangements to enhance comprehensiveness, reduce transaction costs and promote national ownership. However, Tanzania's development partners have not been sufficiently active in promoting gender equality in the health sector although some progress has been made. Development partners have managed to raise the profile of sexual and reproductive health, and to press for specific milestones in this area and for the collection of sex-disaggregated data in the health sector. The existence of a gender equality strategy is a step in the right direction.


However, cross-cutting issues such as gender equality are often restricted to the overall policy level. Gender equality is therefore easily side-tracked in sector-wide approaches as other Government and donor priorities predominate. Targeted measures in support of equal access to health for women and men have to be carefully formulated to make sure that gender-sensitive policies are put into practice on the ground.

Source: *Joint External Evaluation of the Health Sector in Tanzania*. COWI/EPOS/GGI (2007) <http://www.um.dk/en/menu/DevelopmentPolicy/Evaluations/Publications/ReportsByYear/2007/2007-3.htm>

## How to make this happen - tools for those wishing to influence policy setting processes can be as follows:

To screen the “gender quality” of the policy, as well as of related programmes’ budgeting, planning, implementation, monitoring and evaluation processes, use:

 **Tool T3.** Gender Scan of PRS or Sector Programme

 **Tool T4.** Checklist for *ex ante* screening of gender sensitivity of PRS or sector programme

### Gender-aware policy appraisal<sup>20</sup>

Applying a gender-aware policy appraisal means examining policies and programmes funded through the budget from a gender perspective and asking the question ‘In what ways are policies and their associated resource allocations likely to reduce or increase gender inequalities?’ Analysis involves scrutinising the explicit and implicit gender implications of national and sectoral policies, and examining the ways in which priorities and choices are likely to reduce or increase gender inequality.

## ENTRY POINT 2: A sectoral medium-term expenditure programme

The sectoral medium-term expenditure plan or framework (MTEF) is a planning tool and process which helps ensure that resources are put to their best use. MTEFs are important because they are used to clarify the expected level of available internal and external resources and how these resources will be utilised. Donors can use the expenditure framework as a basis for deciding whether the Government plans to allocate resources in line with its stated priorities. This can be very important where donors are providing funding direct to Government and not assigning it to particular uses.

 **There are two key questions here for donors:**

- ✓ How much financial support should they provide, when and for what - to ensure sector programmes are affordable and sustainable and that funding flows are predictable?
- ✓ How should it be channelled to increase aid effectiveness by making maximum use of government systems, thereby strengthening these systems and capacity and keeping down transaction costs?


The key question to ask in respect of the MTEF is the extent to which different budget heads will promote gender equality. There may be earmarked funds for promoting gender equality, such as in the Nepal case study presented at the end of this Section, or else funding for gender may be mainstreamed into other budget heads, in which case the rationale for support to promotion of gender equality may have to be clearly spelt out.

One common funding issue is funding of Ministries or Departments of Gender/Women. The multi-sector and cross-cutting remit of these ministries mean that they lie outside the sector-wide framework, which may also mean that their funding is cut back.

<sup>20</sup> For details see Holvoet 2006. Cit.

Therefore gender advocates need to ensure that the women's machinery still receives adequate funding once SWAPs are implemented.<sup>21</sup>

### How to make this happen:

 **Tool T5.** Key notions for analysing and monitoring budgets from a gender perspective (Elson's budget cycle framework and Budlender and Sharp's Three Categories of expenditures).

For those responsible for developing the medium-term expenditure framework

### Gender-aware medium-term economic policy framework

This tool enables governments to incorporate gender variables into models on which medium-term public expenditure planning is based. This can be done by disaggregating by sex all variables employed (e.g. labour supply), or by including new variables to represent the unpaid care economy, based on exercises to quantify time spent by women (and men) in work in the family and community, or in the informal economy, which is normally not reflected in national statistics.

For details and examples see Holvoet, N. (2006), Gender-budgeting and its usefulness in programme-based approaches, a Briefing Note for EC staff, p. 21 or [www.gender-budgets.org](http://www.gender-budgets.org)

### ENTRY POINT 3: A Performance Monitoring System (PMS)

A PMS is a means of measuring the performance of the sector as a whole and is used to measure progress towards achievement of policy objectives.

Monitoring under a SWAp usually takes place through joint reviews. This is conducted according to a timetable which suits Government and usually consists of a joint meeting to review and agree on past performance, plan the way forward, and make appropriate financial commitments. The reviews are led by Government but should involve all key stakeholders. There is usually an annual review process with an assessment conducted by independent consultants. Progress is measured against a series of agreed sector performance indicators which draw on information from a variety of sources, including routine data collection. The review process is an opportunity to raise awareness of the importance of gender equality.

One important aspect is that progress is measured through a series of sector-wide indicators as part of a joint review process. These indicators, when taken together, give a reliable picture of how the sector is performing. They should also identify problem areas which require further action. Overall performance is therefore gauged against a relatively small number of higher-level indicators.

### Key questions in relation to performance indicators<sup>22</sup> are:

- ✓ Is there an adequate number of high-quality gender-sensitive results statements and indicators? (There can either be separate results statements and indicators that focus on gender equality, or they can be integrated into more general results statements. Staff involved in those meetings in which sector indicators are chosen would need to

<sup>21</sup> Theobald, S. *et al* (2005) "Engendering the bureaucracy? Challenges and opportunities for mainstreaming gender in Ministries of Health under sector-wide approaches." *Health Policy and Planning*, 20 (3)

<sup>22</sup> For more on developing gender sensitive indicators in the context of SWAPs see EC (2005) Toolkit on Mainstreaming Gender Equality in EC Development Cooperation, Chapter 6, p. 87.

be well prepared with convincing arguments for inclusion of those indicators considered essential.)

- ✓ Will the monitoring and evaluation processes capture key information related to gender equality?
- ✓ Will questions related to gender equality be included in these processes?
- ✓ Will data and findings on gender equality be used to strengthen programming?



### For example in Uganda...

... where health management data were not routinely disaggregated by sex, gender advocates from donor partners worked with the Ministry of Health to ensure that the mid-term review of the health sector address gender and equity. In Mozambique, sex-disaggregated data for example on TB and HIV/AIDS has been available, but not routinely analysed, so advocates have focused on analysis.

#### How to make this happen:

- ✓ **Tool Engendering budget, PFM and education indicators:** Holvoet, N. (2006), Gender-budgeting and its usefulness in programme-based approaches, pp. 39-40.

#### ENTRY POINT 4: Sector coordination framework and partnerships

A **sector coordination framework** under the government's leadership entails:

- i) coordination of national stakeholders including governmental (central agencies and other concerned ministries and agencies) and non-governmental actors;
- ii) coordination with and between donors.

There is no single approach to developing partnership arrangements. They rarely come about through neat sequential stages. Rather they evolve, starting with 'loose agreements' on policies and programming priorities, then moving over time to more formalised agreements and commitments and more structured ways of working together. Three areas of partnership usually evolve in SWAps, all of which need to be gender mainstreamed:

- ✓ Oversight and coordination, led by Government, including an annual review process. This includes an agreed process for moving towards harmonised systems for reporting, budgeting, financial management and procurement.
- ✓ Technical working groups, which are likely to be **key stakeholders**. One strategy that proved useful in health sector SWAps in Mozambique, Malawi and Ghana was support for an inter-sectoral advisory group to develop ideas and institutional links, and give encouragement to those facing the challenges of gender mainstreaming.<sup>23</sup>
- ✓ Agreed rules, usually set out in the form of a Memorandum of Understanding (MoU) or Code of Conduct.



#### Some of the key questions to ask in respect of partnership are:

<sup>23</sup> Theobald, S. *et al* (2005) "Engendering the bureaucracy? Challenges and opportunities for mainstreaming gender in Ministries of Health under sector-wide approaches." *Health Policy and Planning*, 20 (3)

- ✓ Do reporting and budgeting systems take gender equality into account? Are budgets set up in such a way that expenditure on promoting gender equality, and expenditure directed towards women and girls, can be tracked?
- ✓ Do technical working groups have the expertise to carry out adequate gender analysis and, if not, how can this capacity be developed?
- ✓ Is it appropriate to include references to gender equality in the MoU (some MoUs are bureaucratic documents with no reference to substantive issues or cross-cutting themes)?
- ✓ Some of the challenges of partnership and complexities of SWApS can be seen in the **example** of the Primary Education Development Programme second phase (PEDP II) in Bangladesh, presented in the case studies below.

### **ENTRY POINT 5: Consultation, institutional settings and accountability systems**

Sector wide approaches should be based on systematic consultation with clients and beneficiaries of government services and with non-government providers of those services.

 **The following questions will help determine if adequate consultation is taking place:**

- ✓ Is a mechanism in place for a structured process of consultation with beneficiaries and other stakeholders, including women and girls, and, if not, does there exist a concrete plan to create one?
- ✓ Does the plan differentiate between the different functions which stakeholders may perform and the types of information which may therefore be needed? In particular, is there a clear distinction between mechanisms of consultation, where opinions are sought, from inputs into decision-making where stakeholders are parties to resource allocation or service management decisions?
- ✓ Is the structure of consultation mechanisms properly integrated with the framework for service delivery? Are local beneficiaries consulted and involved as appropriate? Is there an adequate linkage with local government?
- ✓ Are the difficulties of obtaining representative inputs properly addressed - in particular the difficulties normally associated with obtaining an adequate representation of women?
- ✓ Is there an adequate balance between quantitative surveys and more qualitative, participatory processes?

### **ENTRY POINT 6: Capacity building**

There is broad recognition that one of the important elements for success is due attention to reinforcement of national capacity to manage all the processes involved in sector programmes: public expenditure management systems, institutional settings, performance monitoring, consultation and accountability systems.

The priority given to national ownership implies increased focus on the quality of all these processes, in terms both of efficiency and of effectiveness of public service delivery, particularly in relation to their capacity to transform agreed policy objectives into practice. This is particularly important for policy objectives that may tend to be

overlooked at implementation stage such as promotion of gender equality, non-discrimination at work and environmental protection; any lack of organisational resources and capacity to translate gender equality objectives into concrete measures and results, and monitor their achievement with appropriate indicators, needs to be remedied.

Gender analysis of policies and budgets for government staff as well as for civil society actors should feature in all capacity development and technical assistance planned in the context of sector programme, particularly during negotiations on donor support.



### Tools available:

- The EC/UN Trainers' Handbook soon available at [www.gendermatters.eu](http://www.gendermatters.eu)
- Capacity building on gender budgeting: [www.gender-budgets.org](http://www.gender-budgets.org)

## 4. Gender and Swaps: Case studies

### Challenging partnerships in the Bangladesh Primary Education Development Programme II<sup>24</sup>

Some of the challenges of partnership and the complexities of SWAPs can be seen in the example of the Primary Education Development Programme second phase (PEDP II) in Bangladesh.

PEDP II was designed through a complex and participatory joint planning process involving international and national agencies, organisations and individuals during the years 2001–04. Eventually, after a convoluted three-year planning process and a long approval period, PEDP-II was officially launched on 8 September 2004.

With a total budget envelope of US\$815 million its overall goal is to provide quality education for all eligible children in Bangladesh, to be accomplished during the six-year period 2004–09. There are 11 donor partners involved in, led by the Asian Development Bank (ADB), and the World Bank, CIDA, DFID, EC, IDA, Norway, the Netherlands, UNICEF/Australia and JICA. Eight of the partners contribute to a pooled fund managed by the Asian Development Bank. The contributions of AUSAID and the Government of Japan are made through UNICEF which, with JICA, supports PEDP-II through parallel funding.

PEDP-II is implemented through the Directorate of Primary Education (DPE). Within DPE, a small Access and Inclusive Education Cell (AIEC) is responsible for initiating efforts in social inclusion. A UNICEF study found that PEDP-II made important strides forward in terms of social inclusion during its first three years. In particular it:

- ✓ brought to DPE and MoPME the language of social inclusion and a heightened awareness and understanding of its importance;
- ✓ made a significant improvement in the gender ratio of new teachers;
- ✓ prepared an Inclusive Education Framework and a set of Action Plans covering gender, special needs, vulnerable and tribal children;
- ✓ began to incorporate gender sessions in all short courses for head teachers, subject-based teachers' training and SMC training.

However the study notes in respect of PEDP-II that the objectives of the SWAP were overly ambitious. A review of the crucial planning phase of PEDP-II noted unrealistic expectations by donors, and a failure to plan for adequate capacity-building within the

<sup>24</sup> <http://www.oecd.org/dataoecd/47/17/41047158.pdf>

government. Donor coordination, despite a hard-working Education Local Consultative Group, has also been complex, perhaps not unexpectedly with such a diverse group of donor partners of varying interests and sizes. These issues have all hampered work towards inclusion and gender equality.

## **The Government of Nepal's Education for All SWAp**

### **Country context**

The Nepali government has made various commitments to gender equality and empowerment, including ratification of CEDAW and the Convention on the Rights of the Child. Its Ninth Plan (1997-2002) incorporated mainstreaming, elimination of gender inequality in laws, and affirmative action and empowerment of women as strategic goals. The Tenth Plan continued this emphasis and adopted gender equity and inclusion as the most important cross-cutting strategies in the PRSP.

Nevertheless despite achievements in terms of mainstreaming gender in policies, strategies and the PRSP, several challenges remain in implementation of policies and programmes. While the education sector has advanced, the health, labour and industry and commerce sectors remain far behind. Generally progress in ensuring gender equity in access to resources (land, water, forest, etc.); in assessing the impact of pricing and subsidy policies on gender; and in women's meaningful participation in resource conservation, water management, land development and infrastructure projects, has been minimal, and in the case of resource transfers women's share is still very limited.

While Nepal is set to achieve a number of its MDGs, gains in poverty reduction have been distributed unevenly between men and women, between urban and rural populations, and between people of various castes and ethnicities. Overall in the last ten years inequality has increased substantially.

The Government of Nepal receives some US\$250 million in foreign aid. On average foreign aid constitutes about 4% of GDP and 56% of development expenditure,

### **The Education for All (EFA) Programme<sup>25</sup>**

The EFA focuses on primary education, and uses a SWAp modality to fund and manage around 25% of the primary education programme. The SWAp was planned to apply from 2004 until 2009, with funding for 2004-2008 at some US\$335 million, 83% of which provided by donors. Denmark, Finland, Norway, DFID, the World Bank, ADB, and UNICEF support the EFA through a joint funding pool that provides sector budget support earmarked for the overall EFA expenditure programme. The EFA has six main programme components including expanding early childhood development; ensuring access for disadvantaged groups to free and compulsory education; meeting the learning needs of all; reducing adult illiteracy; eliminating gender disparities; and improving all aspects of quality education. Some 5% of the EFA budget is allocated specifically to reducing gender inequalities, but other elements of the programme also have gender equality components.

The EFA SWAp embodies many of the Paris Declaration principles including harmonisation, alignment and managing for results. Development partners are harmonised around a joint financing arrangement, which commits donors to alignment with the budgetary and accountability systems and legislation of Nepal, to a joint core document, and to monitoring frameworks and reviews. The guiding principles of the EFA core document emphasise gender mainstreaming and social inclusion as primary

<sup>25</sup> Acharya, M. (2008) Mapping Foreign Aid in Nepal. UN/EU Partnership on Gender Equality for Development and Peace. Mapping Study.

[http://www.gendermatters.eu/index.php?option=com\\_content&task=view&id=235&Itemid=87](http://www.gendermatters.eu/index.php?option=com_content&task=view&id=235&Itemid=87), Acharya, S. (2007) Social Inclusion: Gender and Equity in Education in South Asia. Nepal Case Study. Kathmandu: UNICEF. [http://www.unicef.org/rosa/rosa-nepal\\_case\\_study.pdf](http://www.unicef.org/rosa/rosa-nepal_case_study.pdf), Oxford Policy Management (2008) Making Aid More Effective through Gender, Rights and Inclusion. Additional Case Studies. <http://www.oecd.org/dataoecd/47/17/41047158.pdf>



approaches. To this end the EFA programme has a scholarship programme covering direct costs of education and targeted on girls, the Dalits group and disabled children. It also aims at increased recruitment of female teachers and those from marginalised groups; development of a more gender-sensitive curriculum; and partnerships for social mobilisation and community awareness-raising.

Significant monitoring, evaluation and research activity has taken place as part of the SWAp. The Department of Education has a system of biannual Flash Reports that provide a cross-section of data to reveal key trends. In addition to this, donors have their own Technical Reviews of School Education that cover access and quality issues in the sector on an annual basis.

However a UNICEF study found that while many efforts and initiatives have addressed the serious levels of educational inequity that exist in Nepal, these have not been as effective as they might have been, even taking into account the very challenging governance context. A key reason for this is that the move to a SWAp modality has been partial. Therefore the potential benefits of such an approach in terms of achieving better equity outcomes through improved policy coherence, clear agreement on priorities, much needed institutional reform and capacity development, cannot currently be realised. Mainstreaming of gender and equity concerns across the programme remains limited and needs to be further promoted. There are also numerous further activities in the sub-sector that fall outside the EFA 2004–09 programme and budget, risking duplication and undermining of capacity.



### Further reading

To learn more about SWAps

- ✓ UNFPA (2005) Sector-wide approaches: A resource document for UNFPA staff. New York, UNFPA, 67 pages;

[http://www.unfpa.org/upload/lib\\_pub\\_file/626\\_filename\\_swap-unfpa-resource-2005%20.pdf](http://www.unfpa.org/upload/lib_pub_file/626_filename_swap-unfpa-resource-2005%20.pdf)

This document it is also relevant to anyone wanting to understand how SWAps work and how to influence their process; it is a very useful document setting out the strategies and processes behind SWAps. The document is structured in six sections:

- **Section 1** provides an overview of SWAps;
- **Section 2** examines in more detail the core components of a sector programme, followed by an overview of alternative ways of channelling aid;
- **Section 3** addresses the specific implications for UNFPA.
- **Section 4** addresses the detail – the “nuts and bolts” – of how to support a sector programme.
- **Section 5** examines the links between a PRSP and a SWAp, addresses the question of whether a SWAp is possible when government is decentralised, and what happens to projects when there is a SWAp.
- **Section 6** contains a list of further reading.