



Food and Agriculture  
Organization of the  
United Nations

# Gender mainstreaming

and a human rights-based approach

GUIDELINES FOR TECHNICAL OFFICERS





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## Introduction

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The objective of *Guidelines on gender mainstreaming and a human rights-based approach (HRBA)* is to provide a concise and compact guide for FAO REU / SEC staff to use at different stages of the project cycle. By bringing together the key elements of gender mainstreaming and HRBA found within the different guidelines, handbooks, toolkits and other documents used by FAO and the UN system as a whole<sup>1</sup>, and by compiling their essential points into a user-friendly format, this publication directly aims to ease the process of observing and successfully incorporating these crosscutting themes into all levels of the project cycle (design, implementation, conclusion, monitoring and evaluation), and into all activities and documents of the respective projects.

The work of FAO has a direct bearing on the lives of women and men, as well as disadvantaged, vulnerable and excluded members of society. It is, therefore, crucial that everyone benefits equally from the development gains provided by FAO programmes and projects. To ensure this aim, gender mainstreaming and the human rights-based approach (HRBA) underpin all of FAO's interventions. These guidelines offer practical ways of incorporating the two crosscutting themes within FAO projects, in a Q & A format for technical officers.

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<sup>1</sup> It includes all FAO principles on gender equality within the *FAO policy on gender equality* (FAO, 2013a); the social standards found within the *FAO Environmental and social management guidelines* (FAO, 2015a); the minimum requirements established in the *TCP manual* (FAO, 2015b); and the *Guide to mainstreaming gender in FAO's project cycle* (FAO, 2016a). It also includes the UN Principles and guidelines for a human rights approach to poverty reduction strategies (OHCHR, no date, a) and the *UN System-wide action plan on gender equality and the empowerment of women* (UN-SWAP, UN Women, 2012).



# 1. Key definitions

## 1.1 What are human rights?

Human rights are rights inherent to all human beings, independent of nationality, place of residence, sex, national or ethnic origin, race, religion, language, or any other status.<sup>2</sup> All human beings are equally entitled to human rights without discrimination. These include the right to life, equality before the law, the right to work, social security, education, and the right to development. These rights are all interrelated, interdependent and indivisible.

Human rights are accepted and declared by the United Nations and signed and agreed by all member countries. As a UN organization, FAO is a party to this principle and has to ensure that this principle is safeguarded within all of its activities. Therefore, it is a universal obligation to consider the values and principles relating to human rights at each stage of the project cycle.

However, this obligation is neither the sole nor the most important reason. Development interventions can only ever be partially successful when the impact on different sections of the population is not assessed. Conversely, development initiatives are only successful when they consider the welfare of all beneficiaries and are inclusive of all stakeholders.

For further information, you can visit the official website of the United Nations Human Rights Office of the High Commissioner at <http://www.ohchr.org/>.

You can also consult the *UNDG guidance note on human rights for resident coordinators and UN country teams*, which is available at [https://undg.org/main/undg\\_document/undg-guidance-note-on-human-rights-for-resident-coordinators-and-un-country-teams/](https://undg.org/main/undg_document/undg-guidance-note-on-human-rights-for-resident-coordinators-and-un-country-teams/).

## 1.2 What is HRBA?

The **human rights-based approach (HRBA)** is a conceptual framework based on international human rights standards and directed towards promoting and protecting human rights. HRBA seeks to analyse the inequalities which lie at the heart of development problems and redress discriminatory practices and unjust distributions of power that impede development progress. HRBA is concerned with empowering people to know and claim their rights and increasing the ability and accountability of individuals and institutions who are responsible for respecting, protecting and fulfilling rights.

The HRBA approach aims to eliminate or at least diminish the impediments of existing exclusion and discrimination within the implementation of any programme or project. HRBA gives equal attention to both achieving development goals and to the processes that are chosen to achieve these goals. So, within HRBA, the processes that enable the participation and inclusion of all stakeholders are important.

There is a common understanding between the UN agencies, funds and programmes of the need to apply HRBA consistently to common programming processes at global and regional levels, and in particular at country level in relation to the Common Country Assessments (CCAs) and United Nations Development Assistance Frameworks (UNDAFs). The UN Statement of Common Understanding on HRBA to Development Cooperation and Programming (the Common Understanding) was adopted by the United Nations Development Group (UNDG) in 2003.

The FAO *Voluntary guidelines on the responsible governance of tenure of land, fisheries and forests in the context of national food security* (VGGT, FAO, 2012b), officially endorsed by the Committee on World Food Security in 2012, are an excellent example of the application of HRBA in relation to the governance of tenure. FAO is promoting and supporting countries to implement the guidelines around the globe, and has developed a number of

<sup>2</sup> Based on the United Nations' *Universal Declaration of Human Rights* (OHCHR, no date, b).

technical guides, courses and tools to assist this process. All FAO actions relating to the management of tenure need to be framed by the VGGT. One of the main challenges in ensuring equal access to tenure rights centres on existing gender discrimination. Consequently, FAO has developed the *Technical guide on governing land for women and men* (FAO, 2013b), which provides an essential tool for ensuring that both women and men have *de facto* equal access to tenure rights at policy, institutional and ground levels. This guide is useful for the tenure of agricultural land, but can also be applied to fisheries, forestry, pastures and other types of tenure.

For more information about HRBA, visit the UN HRBA Portal, available at <http://hrbaportal.org/>. This portal is specifically designed to assist UN practitioners at country office level in integrating a human rights-based approach into their programming work. The portal is supported by the UNDG Human Rights Working Group.

The following guide is recommended: *Principles and guidelines for a human rights approach to poverty reduction strategies* of the Office of the United Nations High Commissioner for Human Rights, available at <http://www.ohchr.org/Documents/Publications/PovertyStrategiesen.pdf>.

A basic handbook on HRBA for UN staff is available at <http://www.ohchr.org/Documents/Publications/HRhandbooken.pdf>

The following publication is also recommended: UNDP, 2009. *A human rights-based approach toolkit*. (available at <http://hrbaportal.org/resources/a-human-rights-based-approach-toolkit>).

The *Voluntary guidelines on the responsible governance of tenure of land, fisheries and forests in the context of national food security* are available at <http://www.fao.org/docrep/016/i2801e/i2801e.pdf>

The FAO Technical guide of the VGGT on Governing land for women and men is available at <http://www.fao.org/docrep/017/i3114e/i3114e.pdf>

In order to know more about the VGGT, its technical guides, courses and newsletter, visit the VGGT portal, available at <http://www.fao.org/nr/tenure/voluntary-guidelines/en/>

### 1.3 What is gender equality?

Gender equality is a human right that is enshrined in a number of declarations and conventions, including the legally-binding Convention on the Elimination of All Forms of Discrimination against Women (CEDAW). CEDAW defines gender equality as:

“... the equal rights, responsibilities and opportunities of women and men and girls and boys. Equality does not mean that women and men will become the same but that women’s and men’s rights, responsibilities and opportunities will not depend on whether they are born male or female. Gender equality implies that the interests, needs and priorities of both women and men are taken into consideration, recognizing the diversity of different groups of women and men.” (UN General Assembly, 1979)

Gender equality is central to development. It is specifically established as goal 5 of the Sustainable Development Goals (SDGs) and included as a target in other SDGs. The key gender equality considerations to be observed by FAO staff when pursuing SDGs 1, 2 and 5 are the following (United Nations, 2015):

#### **Goal 1 of the SDGs: End poverty in all its forms everywhere.**

**Target 1.4** By 2030, ensure that all men and women, in particular the poor and the vulnerable, have equal rights to economic resources, as well as access to basic services, ownership and control over land and other forms of property, inheritance, natural resources, appropriate new technology and financial services, including microfinance.

#### **Goal 2 of the SDGs: End hunger, achieve food security, improve nutrition and promote sustainable agriculture.**

**Target 2.3** By 2030, double the agricultural productivity and incomes of small-scale food producers, in particular women, indigenous peoples, family farmers, pastoralists and fishers, including through secure and equal access to land, other productive resources and inputs, knowledge, financial services, markets and opportunities for value addition and non-farm employment.

#### **Goal 5 of the SDGs: Achieve gender equality and empower women and girls.**

**Target 5.a** Undertake reforms to give women equal rights to economic resources, as well as access to ownership and control over land and other forms of property, financial services, inheritance and natural resources, in accordance with national laws.

Linked to these SDGs and of particular relevance for FAO is article 14 of CEDAW (UN General Assembly, 1979) on the rights of rural women, which establishes that:

1. States Parties shall take into account the particular problems faced by rural women and the significant roles which rural women play in the economic survival of their families, including their work in the non-monetized sectors of the economy, and shall take all appropriate measures to ensure the application of the provisions of the present Convention to women in rural areas.
2. States Parties shall take all appropriate measures to eliminate discrimination against women in rural areas in order to ensure, on a basis of equality of men and women, that they participate in and benefit from rural development and, in particular, shall ensure to such women the right:
  - (a) To participate in the elaboration and implementation of development planning at all levels;
  - (b) To have access to adequate health care facilities, including information, counselling and services in family planning;
  - (c) To benefit directly from social security programmes;
  - (d) To obtain all types of training and education, formal and non-formal, including that relating to functional literacy, as well as, inter alia, the benefit of all community and extension services, in order to increase their technical proficiency;
  - (e) To organize self-help groups and co-operatives in order to obtain equal access to economic opportunities through employment or self employment;
  - (f) To participate in all community activities;
  - (g) To have access to agricultural credit and loans, marketing facilities, appropriate technology and equal treatment in land and agrarian reform as well as in land resettlement schemes;
  - (h) To enjoy adequate living conditions, particularly in relation to housing, sanitation, electricity and water supply, transport and communications.

FAO is part of the *United Nations System-Wide Action Plan on Gender Equality and the Empowerment of Women* (UN-SWAP) which makes UN agencies accountable to the UN's commitments and minimum standards on gender equality.

Further information on CEDAW is available at <http://www.un.org/womenwatch/daw/cedaw/>.

Further information on the SDGs is available at <https://sustainabledevelopment.un.org/?menu=1300>.

Further information on UN-SWAP is available at <http://www2.unwomen.org/~media/headquarters/attachments/sections/how%20we%20work/unsystemcoordination/un-swap-framework-dec-2012.pdf?v=1&d=20141013T121441>.

## 1.4 What is gender mainstreaming?

"Gender equality can be achieved by a strategy of mainstreaming which is defined in the United Nations, as '... the process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in all areas and at all levels. It is a strategy for making women's as well as men's concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres so that women and men benefit equally and inequality is not perpetuated. The ultimate goal is to achieve gender equality'. When necessary, the mainstreaming approach can be complemented by specific women-targeted / gender-equality interventions and action, especially in the areas where significant gender-based discrimination persist." (FAO, 2016b, p. 1)

Gender mainstreaming aims to ensure that women and men, particularly those who are disadvantaged, equally participate in and benefit from the activities of the UN, and also that all implemented projects and programmes consider women's and men's concerns and experiences as an integral dimension of their cycles. This intervention ensures that existing egalitarian relations are protected, at the same time preventing the further perpetuation of inequalities and the creation of new ones.

Gender mainstreaming is a strategy that needs to be incorporated into all projects that fall within the mandate of FAO, not just projects that have a direct gender dimension. It must be implemented not only by gender

experts, but by all staff involved in all of the different stages of projects.

Further information on gender mainstreaming as a strategy can be found in *Gender mainstreaming: an overview* (2002), available at <http://www.un.org/womenwatch/osagi/pdf/e65237.pdf>.

Further information on the FAO *Regional gender equality strategy for Europe and Central Asia and action plan* is available at <http://www.fao.org/3/a-i5501e.pdf>.

## 1.5. FAO policy and standards for gender equality

“Addressing gender equality is a fundamental part of FAO’s mandate. Social and economic inequalities between women and men undermine food security and hold back economic growth and advances in agriculture. The problems of hunger, malnutrition and rural poverty cannot be solved until and unless women and men are treated equally and gender disparities are tackled. To ensure that gender issues are adequately addressed at all levels of the planning and implementation processes and throughout each Strategic Objective, gender has been incorporated into the new FAO Strategic Framework as a Cross-Cutting Theme. This means that FAO recognizes the critical importance of the issue and commits to work towards gender equality in all its areas: food and nutrition security, agriculture and consumer protection, economic and social development, fisheries and aquaculture, forestry, natural resource management and environment, technical cooperation, knowledge exchange, research and extension.” (FAO, 2016b, p. 1)

All FAO technical and programme officers are responsible for considering gender issues in each project step and activity, and seeking gender technical expertise when necessary. This is reflected in the FAO *Environmental and social management guidelines* (FAO, 2015a), the FAO *TCP manual* (FAO, 2015b), the FAO *policy on gender equality* (FAO, 2013a) and the FAO *Project cycle* (FAO, 2012a).

The overarching aim of the FAO *policy on gender equality* is, “to achieve equality between women and men in sustainable agricultural production and rural development for the elimination of hunger and poverty” (FAO, 2013a, p. 6). The policy establishes the following objectives to be achieved by 2025:

1. Women participate equally with men as decision-makers in rural institutions and in shaping laws, policies and programmes.
2. Women and men have equal access to and control over decent employment and income, land and other productive resources.
3. Women and men have equal access to goods and services for agricultural development, and to markets.
4. Women’s work burden is reduced by 20 percent through improved technologies, services and infrastructure.
5. The share of total agricultural aid committed to projects related to women and gender equality is increased to 30 percent.

Furthermore, among the mandatory minimum standards to be implemented from 2015, the FAO *policy on gender equality* (2013a) establishes the following which are relevant for FAO project and programme implementers:

**Minimum Standard 7:** Gender analysis is incorporated in the formulation of all field programmes and projects, and gender-related issues are taken into account in project approval and implementation processes.

**Minimum Standard 8:** All programme reviews and evaluations fully integrate gender analysis, and report on gender-related impacts in the areas they are reviewing.

**Minimum Standard 10:** Minimum competencies in gender analysis are specified, and all managers and professional staff are required to meet them.

Gender mainstreaming is the central organizational strategy for the implementation of FAO gender equality

policy. Based on this, the *FAO Environmental and social management guidelines* (FAO, 2015a) require FAO projects to:

- Provide equal access to and control over productive resources, services and markets.
- Strengthen women and men's participation in decision making in rural institutions and policy processes.
- Ensure that all stakeholders benefit equally from development interventions and that inequality is not reinforced or perpetuated.

Further information on the *FAO policy on gender equality: Attaining food security goals in agriculture and rural development* is available at <http://www.fao.org/docrep/017/i3205e/i3205e.pdf>.

Further information on the *Environmental and social management guidelines* is available at <http://www.fao.org/3/a-i4413e.pdf>.

Further information on the *TCP manual* is available at <http://www.fao.org/3/a-i4070e.pdf>.

Further information on the *FAO SEAGA (socio-economic and gender analysis) project cycle management technical guide* is available at <http://www.fao.org/docrep/012/ak211e/ak211e00.pdf>.

Further information on the *FAO Project cycle* is available at <http://www.fao.org/docrep/016/ap105e/ap105e.pdf>.

### Frequently asked questions (FAQs) about implementing gender mainstreaming and HRBA

Both gender mainstreaming and HRBA are essential strategies for the achievement of equality and the enjoyment of human rights. National governments, as well as FAO SEC, have to work with all of the ratified main instruments, and have to ensure that they comply with the requirements of these instruments.

#### Are there any issues that are 'gender - neutral', i.e. that do not require gender mainstreaming?

All policies, programmes, projects and activities in all fields and at all levels, from health policies to education, and from energy to transportation, have different implications for women and men, because gender is a major factor that influences access to resources and opportunities in most countries. There are very few issues that can be considered gender-neutral, for instance, some studies on types of fish or types of forest, or the change of a machine in a governmental laboratory. Moreover, the number of issues that can be seen as gender-neutral is in fact far fewer than what is usually expected. Gender certainly has an integral role to play in the focal areas of FAO, including food security, agricultural and rural development, natural resources management, agricultural policies, food safety and animal and plant genetic resources. Therefore, it is important to plan, implement and monitor projects in all different fields by taking into account the differential implications of project objectives, activities and outcomes on women and men, and by considering how these will contribute to achieving gender equality in society. Furthermore, it is important to acknowledge that women and men are not homogeneous groups and that there might be significant differences between them in terms of their access to resources or enjoyment of human rights.

#### At what stage of the project do we mainstream gender and apply HRBA?

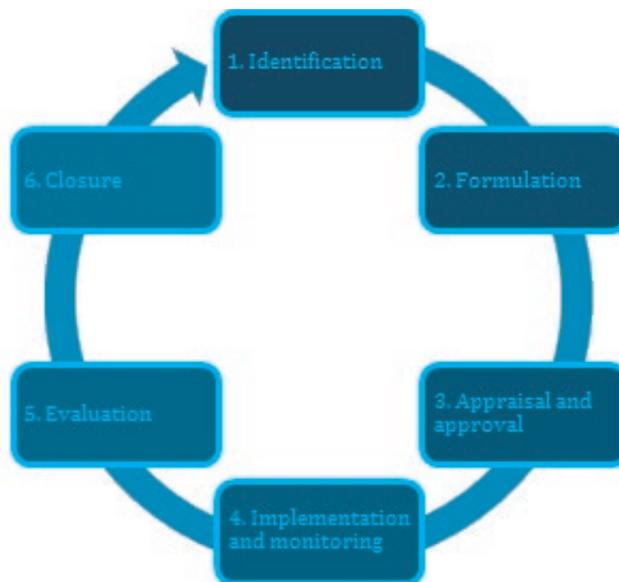
Gender mainstreaming and HRBA are essential in all project levels and stages, including formulation, implementation, monitoring and evaluation. A concern for gender equality and human rights should be an intrinsic element of a project's objectives, activities, deliverables and outcomes, because these two dimensions are crucial for ensuring that everyone benefits equally from the gains of the development process. The omission or postponement of gender mainstreaming and / or HRBA at any one stage of a project can certainly lead to interruptions and malfunctions in the smooth running of the project, as well as in the achievement of the development objectives and outcomes. For each stage of the project cycle, you can consult the checklist in Annex 2 to gain suggestions on ways of incorporating gender mainstreaming and HRBA.



## 2. The project cycle, gender mainstreaming and HRBA

This section contains the essential questions to be asked in order to ensure that a gender mainstreaming and HRBA perspective is incorporated into the project cycle. It is important to emphasize here that gender mainstreaming is not solely about including numbers and quantitative records concerning the women participants in the project's activities, meetings and training for example, but rather, and more importantly, it concerns the identification of constraints that may occur throughout project implementation, and measures to address these.

### FAO project cycle:



### 2.1 Project identification

#### 2.1.1 Are project task force (PTF) members familiar with the FAO gender mainstreaming strategy and HRBA guidelines?

The PTF is an important entry point for gender mainstreaming and HRBA since it is established for each FAO field programme / project on the basis of the skills and expertise of the member staff. The task force plays a major role in the formulation and implementation of projects. It is, therefore, a good starting point to ensure that the PTF is gender-balanced, with particular attention to the gender sensitivity and awareness of its members. The project task force should also involve a gender specialist. Furthermore, the PTF should hold specific responsibility for ensuring gender mainstreaming and HRBA throughout the project cycle and it is essential that the project is designed to include the potential entry points for these two strategies from the outset, rather than trying to incorporate them at later stages.

This is referred to in the *TCP manual* ('Establishment of PTF', FAO, 2015b, p. 27) available at <http://www.fao.org/3/a-i4070e.pdf>

#### 2.1.2 Does the issue to be addressed have different implications for women and men?

The first step in any project is to identify the main issue to be addressed. It is important to emphasize that the issue has to be carefully considered and evaluated in terms of its implications for both women and men. The interests and needs of both women and men must be considered when identifying the issues to be addressed. The nature of FAO's work means that, in many cases, the issues to be addressed have been identified through previous work with male farmers, whose particular needs and problems are made more visible and apparent due to earlier project experience. New projects might, therefore, be more prone to identifying and targeting the needs and priorities of male farmers, consciously or unconsciously. It is therefore essential that the project accurately identifies and targets the specific needs and problems of women farmers and incorporates measures to address these.



Gender analysis is a mandatory part of project identification and formulation in the FAO project cycle (FAO, 2012a, p. 11) available at <http://www.fao.org/docrep/016/ap105e/ap105e.pdf>

and in the TCP cycle (FAO, 2015b, p. 30) available at <http://www.fao.org/3/a-i4070e.pdf>.

Once the issue to address has been selected, it needs to be examined from a gender perspective, because all issues have differential implications for women and men. The results of this gender analysis need to be integrated into the main goals and objectives of the project. Even though the project might not have the overall goal of improving gender equality in society, it might still be effective in bringing about a transformation in gender inequalities by reshaping institutional, political and social structures.

For instance, a project that aims to strengthen agricultural innovation systems by capacity building in advisory and extension services might not appear to have direct implications for gender equality at first sight. However, in many developing countries, women represent only a small number of the beneficiaries of extension services (less than 10 percent), even though they constitute more than half of the rural population and they play a major role in agriculture. The objective of improving innovation systems for farmers must, therefore, start from the assumption

that women are in a disadvantaged position. In this respect, a gender-sensitive project based on HRBA would focus on developing a mechanism to address the burdens and difficulties that women and disadvantaged groups experience in accessing extension services. It would ensure that specific services are provided to women and disadvantaged groups in order to reduce the gender gap and discrimination. These services, that are tailor-made to the specific needs of women and disadvantaged groups, could include a gender focal point in local information centres to inform women about their rights and access to services, and specific training programmes for those who are less educated / experienced in relation to issues such as bargaining, dealing with providers and farm management.

It is, therefore, crucial to ensure that gender analysis is incorporated as a standard practice in project identification and formulation, with a view to systematizing it within the project cycle.

In order to ease the process of conducting a gender-sensitive situation analysis, the following questions are useful:

- Who does what?
- Who owns what?
- Who has access to and controls what?
- Who benefits?
- Who should be included in development programmes?

Consideration of these questions – part of the socio-economic and gender analysis (SEAGA) approach<sup>3</sup> – is integral to the gender analysis of any project. They assist in identifying the main actors, stakeholders and beneficiaries.

Working effectively with target groups such as farmers or fishers requires a clear understanding of the gender division of labour, for example, who does what in economic and livelihood activities. This ensures that activities such awareness raising, training and the introduction of new technology, target those who are actually engaged in the work, and build the productive and economic capacities of all beneficiaries. Recognizing the division of labour in domestic work and responsibility facilitates the identification and addressing of linked time and mobility constraints in order to maximize more equal participation in project activities. Moreover, in many cases, a wider focus is needed to make informal work, where women predominate, visible. For example, in fisheries, if one looks beyond the act of fishing which is commonly performed by men, women's engagement can be observed in pre-harvesting and post-harvesting activities, including net preparation and packaging. In forest use, if one looks beyond the forestry industry and the act of cutting trees, one can see that many activities (including food and wood recollection) are performed by women, girls, boys and those who are from more disadvantaged sections of society. Therefore, a wider, gender-sensitive value chain approach is recommended. The use of this type of approach within a situation analysis would provide a clearer understanding of who performs what and who receives the income from the work.

The division of labour does not necessarily reflect the household decision-making process, and women may be more involved in economic decision-making within the household than is apparent from their less visible public engagement. Furthermore, in many cases, access to large markets, dealing with agricultural extension

<sup>3</sup> The SEAGA approach has been developed by FAO in partnership with the International Labour Organization (ILO), the World Bank and the United Nations Development Programme (UNDP) to develop the capacity of development specialists and humanitarian officers to incorporate socio-economic and gender analysis into development initiatives and rehabilitation interventions.

services and public administration, transportation, managing machinery and dealing with providers tend to be male-dominated activities. Men's access to large markets also has a direct impact on who controls the income within the household.

For example, a project that aims to reduce rural poverty and is designed on a regional scale has important implications for the lives of family members in private households, which are sites of complex relationships involving dependency and authority, and which are based on a clear gender division of labour and gender-based stereotypes. Here, it is important to recognize that poverty is a problem that particularly affects women, and that the experience of poverty is not the same for women and men. Within the household, secondary poverty may be hidden but persistent (that is, poverty that affects some members of the household – usually women, the elderly, children and people with disabilities – due to the unequal distribution of resources within the household). Therefore, questions such as who receives and controls the income, and who decides on what, how and where, gain particular significance. It is also important to recognize that the ability to generate income is closely related to the availability of time to engage in productive activity. This constitutes a significant disadvantage for women due to their heavy workload of domestic, caring and reproductive activities, usually identified as “women's responsibility”. This workload is typically heavier in rural areas compared with urban areas, due to less adequate home infrastructure and technology.

Further information on the SEAGA approach is available at

<http://www.fao.org/gender/seaga/seaga-home/en/>.

To learn how to conduct gender analysis, you can consult the FAO e-learning course on *Gender in food and nutrition security*, available at <http://www.fao.org/elearning/#/elc/en/home>.

The FAO *Guide for mainstreaming gender into project cycle management in the fisheries sector* is available at <http://www.fao.org/docrep/014/ba0004e/ba0004e00.pdf>.

The FAO guide *Understanding and integrating gender issues into livestock projects and programmes: A checklist for practitioners* is available at <http://www.fao.org/docrep/018/i3216e/i3216e.pdf>.

### 2.1.3 Have the following questions been considered in terms of their implication for HRBA?

In order to implement HRBA, the following initial steps are required:

1. During the situation analysis, identify the causes of the problem, who is affected by the problem, and who is part of the cause.
2. Identify the human rights conventions and domestic laws that apply to this particular project.
3. Identify the main rights holders and duty bearers, and the role they will play in the project or programme.



Integrating HRBA at project identification and formulation is mandatory in the FAO project cycle (FAO, 2012a, p. 53) available at <http://www.fao.org/docrep/016/ap105e/ap105e.pdf>

**Rights holders** are individuals or social groups that have particular entitlements in relation to specific duty bearers. In general terms, all human beings are rights holders under the Universal Declaration of Human Rights. In particular contexts, there are often specific social groups whose human rights are not fully realized, respected or protected. More often than not, these groups tend to include women / girls, ethnic minorities, indigenous peoples, migrants and youth, for example. A human rights-based approach does not only recognize that the entitlements of rights holders need to be respected, protected and fulfilled, it also considers rights holders as active agents in the realization of human rights and development – both directly and through organizations representing their interests (UNICEF, no date).

**Duty bearers** are those actors who have a particular obligation or responsibility to respect, promote and realize human rights and to abstain from human rights violations. The term is most commonly used to refer to State actors, but non-State actors can also be considered duty bearers. An obvious example is private armed forces or rebel groups, which under international law have a negative obligation to refrain from human rights violations. Depending on the context, individuals (e.g. parents), local organizations, private companies, aid donors and international institutions can also be duty bearers (UNICEF, no date).

Considering the roles of rights holders and duty bearers, the following questions need to be asked:

- Who has been left behind in the project or programme? Why?

- Which rights are at stake?
- Who has to do something about it?
- What action do they need to take?

It should be clear that human rights (HR) apply to everyone. Most disadvantaged groups may not be aware of their rights, so they may not be able to claim them. Within the projects that are implemented, this 'capacity gap' needs to be foreseen and accounted for. Staff need to know their obligations under international norms, and communicate with the stakeholders to overcome the capacity gap.

Government officials and other power holders may practise institutionally or administratively discriminatory attitudes towards disadvantaged groups. However, it is important to be aware of the different reasons for these attitudes, including prejudices and habitual behaviours, gaps in capacity (including resources and knowledge) and inadequate facilities.

In some countries, certain groups may be discriminated against because of their legal status in the country, for example, refugees, legal or illegal migrants, residents in disputed lands and nomadic populations that may lack citizenship rights, such as some Roma groups.

Additionally, although the constitutions of the countries may be not discriminatory, certain laws may include discriminatory clauses on specific issues.

Perhaps the most important issue that excludes some groups from access to resources is discriminatory practices. The most common and well known discriminatory practice relates to inheritance, in which land is usually given to male children only. This practice leads to the perpetuation of gender inequalities in terms of access to resources and excludes women from major income sources and decision-making structures, both private and public.

There may also be communal pressures regarding a preference for particular ethnic / religious / racial communities. For example, a village community might have reservations about opening up the land to people they consider to be 'strangers' or 'others'. Community members might exert pressure on processes such as the sale of land or products, or the allocation of jobs and other opportunities, to prohibit individuals or groups whom they consider to be 'alien', 'other' or 'inappropriate'. Therefore, a seller might be forced to sell within the community, buyer might be expected to pay exuberant prices, or an employer might not recruit from particular groups.

There may also be discrimination in relation to age, social class (for example, caste) or deprivation. The baseline study needs to identify which minorities are located in the geographical area of intervention and ensure that these groups are also on board (see section 2.2).

Consequently, when formulating and implementing projects, project staff should consider whether any group has been left behind. The channels of communication that are used to mobilize farmers and project beneficiaries need to be carefully scrutinized to ensure that women and disadvantaged groups are not left out of the process. When conducting situation analyses, consultations and meetings with farmers and other beneficiaries, special attention needs to be paid to ensure that women and disadvantaged groups are directly involved. Specific measures (including the provision of transportation and kindergarten facilities) may be necessary.

The group(s) that have been left behind should be integrated as soon as possible. If this is recognized at the beginning (inception) of the project, then measures should be adopted to ensure their integration and their specific needs should be considered and targeted.

One example is a land improvement project in which there are landless peasants. Because the peasants do not own land, they might not be direct stakeholders and beneficiaries of the project. However, the project should nonetheless consider what will happen to landless groups: if some sections of the community (landed farmers) experience a direct improvement in their living standards, others may experience deepening inequalities. Consequently, the project needs to consider the ways in which landless residents can also become beneficiaries of the project.

Even if the project does not target disadvantaged groups, perhaps because there are not enough resources for mitigation measures, these groups can still become involved in the project by, for example, participating in

stakeholder meetings and being informed about outcomes. Where possible, staff should discuss the possible outcomes, including potentially adverse impacts, with these groups. Each group has a right to be informed and should be given information on what to expect and the necessary time to adjust.

Human rights need to be protected by all stakeholders, not just by UN officials. This includes government officers and all power holders. The project has to consider the full range of stakeholders and analyse their capacities, duties and rights. This analysis should reflect their relative power and provide information about who is disadvantaged, who has resources and who has the capacity to act.

For further reading on how to target marginalized minorities, you can consult the UNDP resource guide and toolkit, *Marginalized minorities in development planning*, available at [http://w02.unssc.org/free\\_resources/MarginalisedMinorities/](http://w02.unssc.org/free_resources/MarginalisedMinorities/).

## 2.2 Project formulation, appraisal and approval

### 2.2.1 Has a gender-sensitive and HRBA situation analysis been conducted?

All projects undergo technical needs analysis. One component of this technical analysis is situation analysis which provides information on the social and economic context. Building on the results of the studies conducted during the identification phase, the situation analysis is a crucial starting point for assessing the availability of data and information on gender, as well as persistent patterns of discrimination, exclusion, impunity and powerlessness, in order to identify the legal and societal constraints.

The situation analysis would also benefit from a brief review of previous projects from a gender and HRBA perspective, a critical appraisal of gaps and lessons learned, and a snapshot review of any related secondary literature. This involves a mapping exercise bringing together what you know about the issue to be analysed, what interventions / projects have already happened, and what other interventions are planned. In this respect, existing government legislation, policies, documents, projects, research, literature and NGO activities need to be reviewed from a gender perspective.

The baseline study should focus on:

- Collecting and analysing sex-disaggregated data;
- Surveying quantitative and qualitative information and indicators on gender;
- Identifying the root causes of problems at personal, workplace and societal levels;
- Assessing and addressing different needs based on gender;
- Identifying ways to ensure equal gender participation in all project activities.

Data, disaggregated by sex, and where possible, by age and location (urban / rural), would facilitate the assessment by helping to identify the disadvantaged groups and allowing for comparisons. This is important because there might be wide differences between women and men in terms of opportunities, resources and activities, but also within the same sex, which can affect the project's implementation. The collection and analysis of sex-disaggregated data is also necessary for monitoring and evaluation of the project's impacts on the population and gender disparities at large. Sex-disaggregated data should be collected and analysed, as much as possible, in all relevant areas, including, for example, agricultural assets (land, tools, livestock), agricultural activities and incomes.

The baseline study on persistent patterns of discrimination, exclusion, impunity and powerlessness (DEIP) should:

- Include data analysis providing quantitative and qualitative information on population groups that



Gender sensitivity and HRBA are normative criteria that require consideration during project appraisal, following the guidelines in both the FAO project cycle (FAO, 2012a, p. 50) available at <http://www.fao.org/docrep/016/ap105e/ap105e.pdf>

and the TCP cycle (FAO, 2015b, p. 10) available at <http://www.fao.org/3/a-i4070e.pdf>.

- are particularly disadvantaged or marginalized;
- Include statistical data disaggregated and analysed by sex and urban / rural location along (at least some of the) prohibited grounds of discrimination;
- Assess the root causes of these groups' disadvantage or marginalization;
- Consult with relevant expertise and review respective legislative frameworks in the country to identify whether they contain discriminatory provisions;
- In a similar way, identify respective institutional, administrative or regulatory practices that are discriminatory against a particular group of the population;
- Assess, using relevant expertise where necessary, whether and which kind of *de facto* discrimination exists in the society;
- Check whether national quotas and positive discrimination or affirmative action measures exist.

The situation or baseline assessment can be conducted by national or international gender specialist(s) (or their expertise can be consulted, depending on the scope).

### 2.2.2 What role does the legal and political context play in the achievement of the developmental objectives?

A socio-economic situation analysis should include an analysis of the legal situation in the country as well as the rights of all rights holders and responsibilities of duty bearers.

The concept of 'human rights' is part of almost all constitutions and many of the countries in which FAO operates have signed and ratified most of the human rights conventions, including CEDAW. Therefore, each country office has to have ready a basic inventory of the HR conventions that have been ratified by the country.

### 2.2.3 Why are statistical data important?

The primary and most objective source of information with which to identify the types of group(s) that are discriminated against is statistical data. Population statistics may provide information on rural / urban differences, age sets, sex distribution, and migration and fertility rates. Some censuses have data on ethnic and religious groups and minorities. Looking at population data can provide basic information on the possible axes of the problem.

For example, population data may reveal that there are significantly more adult women in the population in comparison with men. This can indicate two problems. The first is that men have migrated to other places, so women may bear the double burden of performing all agricultural activities, plus household and childcare responsibilities. On the other hand, migration can lead to significant remittances, which in turn can reduce the level of interest in agricultural investment. The second is that life expectancy is longer for women, so the female population has to take a larger responsibility in the community and family. Men may experience lower life expectancy due to unhealthy, gender-based practices (including alcohol and tobacco consumption).

Another example is the registered ethnic or religious groups found within population data. Registered legal minorities or socially distinct groups can yield important clues about the prevailing structures of inequality in a given society. In general, many of the social minorities in societies experience discrimination and have less access to resources. However, this may not be always the case. In some societies, minorities can include, for example, the old ruling elite and educated classes, who might have preferential access to resources. Moreover, these groups may enjoy impunity for historical and social reasons. In short, there may be groups that are privileged, marginalized and disadvantaged and these might be reflected in statistical data.

Some sex-disaggregated data might be particularly limited in the SEC region, due to, for example, the nature of the official national statistics, a lack of data recording and a lack of institutional demand. FAO SEC and REU staff need to actively seek and demand gender-related information and sex-disaggregated data as this is an essential element of any project. The ongoing FAO *Country gender assessments* are a very important step in this regard, providing an important tool that compiles the available sex-disaggregated data from within country and international databases.

It is certainly important that individual FAO SEC and REU projects incorporate a dimension of sex-disaggregated data collection and analysis. There are ongoing projects with this objective, but each project's individual contribution to the development of statistics and data is of the utmost importance, since this is the main tool for diagnosing existing problems and designing appropriate interventions that deal with inequalities. It is crucial that both FAO SEC staff and project implementers at all levels pay due attention to the development of statistics

and ensure that each project – even technical ones that do not appear to have a direct gender dimension, such as those on irrigation and forestry – individually contributes to this objective.

#### 2.2.4 What if statistical data are unavailable? Can statistical data provide a sufficient understanding of the problems at stake?

If statistical data are not available, we have to rely on secondary literature and the accounts of stakeholders. In almost all countries, reports on gender equality and human rights-related issues are available. The UNRC office keeps records of all UN-related reports. There are also some international NGOs and think tanks that publish human rights reports, such as Amnesty International and Human Rights Watch. The reports provided by the World Economic Forum, the Beijing Platform for Action and CEDAW also provide significant information on gender equality. Additionally, national reports, strategies, development plans and other policy documents are useful for obtaining governmental views on existing problems.

These reports may provide important clues about what issues the project officers should be aware of. UN reports such as the *Universal periodic review* of the Office of the High Commissioner on Human Rights (OHCHR) and the CEDAW and shadow CEDAW reports are more likely to present comprehensive and relevant data. The OHCHR's website provides the country-relevant 'concluding observations' on all of the UN treaty bodies, which covers a wide range of human rights-related activities. These include information about potential violations and vulnerabilities.

Secondary literature and academic publications may also include significant information on gender inequalities as well as the inequalities experienced by disadvantaged groups.

#### 2.2.5 What is the role of stakeholders when it comes to equal participation?

The most important source of information for any project is the stakeholder meetings (if they are inclusive). Starting from the inception of the project, stakeholder meetings are important not only for learning about the social groups that need to be included in the baseline study, but for the incorporation of a participatory method. A participatory method is crucial not only for HRBA but also for the ownership of the project.

The basic questions relevant to all stakeholder meetings are, once again, the questions of who owns what, who has the power to decide, and who is excluded. A good means by which to begin learning about and understanding the existence of problems is to start by asking the stakeholders to describe the problems and what they see as the 'bottleneck'.

Soft interviews are an appropriate tool, rather than asking direct questions, because many of the social issues / problems are socially and politically loaded. The use of examples from other societies, communities and cultures may work in many cases.

The answers to the questions that are asked during stakeholder meetings may not necessarily generate a full picture, but will certainly enable the project to incorporate the important sensitivities towards social and political problems and foresee mitigation measures. In this context, the aim is 'to learn and understand' rather than 'to advocate or educate', so the UN's 'due diligence' principle should be vigilantly observed.

A participatory approach has to be ensured throughout the project, including an assessment of how participation is affected by gender-related issues and relations between women and men. It is also necessary to ask about the incentives and constraints to participation, as well as the costs. The roles played by women and men in project meetings and activities should be defined as clearly as possible in advance, and the necessary arrangements need to be made during implementation. The analysis of participation should also include who will benefit from the project's activities, and aim to ensure that women and men benefit equally. If the project's activities target and / or benefit mostly men, gender inequalities would be deepened. Therefore, the project needs to identify ways of reflecting the views of women, by for example, involving women's organizations. The project must also ensure the participation of both women and men, as both groups will be affected by project activities, and both have ideas about the development of their communities.

Consultations with target groups need to pay particular attention to gaining the views of both women and men, as there might be important differences between their priorities and problems. It is important to ensure that women are able express themselves during consultations with local communities. This may require separate meetings with women, led by FAO women representatives, rather than mixed group meetings, because this



The FAO *Environmental and social management guidelines* establish that:

"FAO will conduct a gender-sensitive stakeholder analysis to ensure that women's and men's different interests, roles and responsibilities are assessed in project planning and implementation."

(FAO, 2015a, p. 52, available at <http://www.fao.org/3/a-i4413e.pdf>)

may be the only way in which women can talk freely. Both female and male community leaders must always be mobilized.

The appraisal of any project should also consider whether the proposed project takes into account all possible stakeholders and includes the ways in which these different groups can be meaningfully involved in project activities. It is, therefore, important that the project proposals are evaluated in this dimension, so that they clearly demonstrate, for example: the potential project actors; how beneficiaries will take part in project activities; the potential improvements in the conditions of different stakeholders as a result of the project; and the ways in which the benefits of the project can be generalized to different sections of society.

### **2.2.6 Have the FAO Gender Focal Point, the relevant ministry or agency, gender specialists and advocacy groups, among others, been included from the inception meeting onwards? Have stakeholder meetings been gender-balanced?**

It is very important that the Gender Focal Point (GFP) of the relevant FAO office is involved in the formulation of the project and participates in the different levels of the consultation process with stakeholders. It is also crucial to involve the GFPs of the relevant ministries and agencies involved in the project. Consideration should be given to ensuring the availability of gender specialists, advocacy groups and other key stakeholders in all meetings, from the inception meeting onwards. The level of awareness on gender issues by participants in the project meetings is an important milestone in terms of ensuring the incorporation of a gender perspective in the project. In this respect, the capacity gaps and potential resistance of stakeholders, alongside appropriate mitigation strategies, should be given particular consideration from inception onwards.

At the formulation stage of the project, it is important to identify whether or not the stakeholders include individuals / groups with a gender perspective. Potential stakeholders can include representatives of ministries and other public bodies, NGOs, human rights organizations, academics, researchers, policy analysts and experts. It is thus important to identify the gender expertise among group members. Following this, it is essential to assess the gender balance within participating institutions and agencies involved in the project. If a gender balance is not achieved, what are the reasons and how can this be overcome?

It is also important to recognize that resistance to addressing gender inequalities can take various forms (conscious and unconscious) and can occur at different levels (personal or bureaucratic). It can come from men as well as women. Examples of resistance to gender equality include: denial that gender is an 'issue' for the country or region concerned; a statement that the project does not discriminate against women; acceptance of a problem at the rhetorical level but rejection of meaningful action or a real analysis of the situation; a suggestion that the project has nothing to do with gender; and, an assumption that it is not FAO's responsibility to deal with changes in social practices. These types of issues can be mitigated by providing sound evidence and data that document gender disparities and inequalities and the impacts of these on hunger and poverty reduction.

### **2.2.7 Does the project document incorporate the findings from the analysis of the roles and capacities of rights holders and duty bearers, as well as the gender-sensitive and HRBA situation analysis?**

The project document should solidly incorporate the findings from the analysis of the roles and capacities of rights holders and duty bearers outlined in the baseline study. The gender mainstreaming strategy of the project needs to be included in the project document, and needs to be based on the gender baseline study outlined above.

### **2.2.8 Does the log frame matrix contain indicators, outputs and outcomes disaggregated by sex, age, location, ethnicity and other variables?**

At the formulation stage, project staff should take into account the concept that the project can be used for capacity building for gender equality and for the inclusion of disadvantaged groups. The findings of baseline surveys, especially in relation to sex-disaggregated data, should be reflected in the log frame matrix in order to measure the progress. FAO has developed gender markers and indicators that can be incorporated into the log frame matrix to make sure that the project contributes to the improvement of quantitative indicators.

This is one of the most important milestones in both project formulation and the appraisal process. At this stage, the staff responsible for project appraisal or approval should carefully check whether the project concept note successfully builds on, and provides strong potential to contribute to, the production of disaggregated data and indicators. This should also demonstrate whether the proposed project has availed itself of a well-developed and

Carefully constructed baseline study, the details of which are provided above. The provision of a sound base in terms of data and disaggregated indicators, outputs, outcomes and results that are sensitive to gender and other prohibited grounds of discrimination is the first step upon which an accurate diagnosis can be made and appropriate interventions can be developed by the project. A brief guide for appraisers can be found in Annex 3.

As the *Guide to mainstreaming gender in FAO's project cycle* (FAO, 2016a) establishes:

- The impact and outcome statements might not need to mention gender explicitly, but the gender equality dimensions must be reflected in indicators, baselines, targets, means of verifications, assumptions and risks;
- On the other hand, outputs and activities need to be specific and clarify how the project intends to respond to women and men's different needs, priorities and identified constraints.

This guide (FAO, 2016a) also provides the following definitions in relation to impact, outcome, output, activity and indicators, which require consideration within the 'results based framework':

The *FAO Environmental and social management guidelines* establish that:

"FAO projects need to track progress on gender results and measure changes over time. To achieve this, FAO will seek to collect sex-disaggregated data and formulate gender sensitive indicators for project's results framework."

(FAO, 2015a, p. 52, available at <http://www.fao.org/3/a-i4413e.pdf>)

	Definition	Key questions
<b>Impact</b>	The impact is the highest order objective and represents the longer term positive change that the project will contribute to.	<ul style="list-style-type: none"> <li>- Is gender equality one of the overall objectives that the project aims to contribute to?</li> <li>- Are women and men (of different ages and socio-economic groups) going to benefit equally from the longer-term change?</li> </ul>
<b>Outcome</b>	The outcome (together with its associated indicators) describes the short and medium-term positive effects of the project.	<ul style="list-style-type: none"> <li>- Does the outcome include any clear reference to women and men and existing inequalities between them?</li> <li>- Does the intervention have the potential to improve women's access to productive resources, services, technologies, training and employment opportunities?</li> </ul>
<b>Output</b>	The outputs describe what the project will deliver in order to achieve the outcome. These are the results that the project must deliver.	<ul style="list-style-type: none"> <li>- Do the outputs respond to the different needs and priorities of women and men, as identified by the gender analysis?</li> <li>- Do the outputs challenge / redress existing gender inequalities and discriminatory norms and practices?</li> </ul>
<b>Activity</b>	The activities describe what actions will be undertaken to achieve each output.	<ul style="list-style-type: none"> <li>- Are women and men provided with equal opportunities to plan, participate and monitor the project's activities?</li> <li>- Do the planned activities take into account the roles and responsibilities of women and men, in order to ensure equal opportunities for and benefits from participation?</li> </ul>
<b>Indicator</b>	The tool to reflect qualitative or quantitative aspects of change on the livelihoods of women and men. In a project, the indicator measures success.	<p><b>Examples of quantitative indicators:</b></p> <ul style="list-style-type: none"> <li>- Percentage of women and men attending Farmer Field Schools.</li> <li>- Changes in percentage of property owned and controlled by women and men (land, houses, livestock), across socio-economic, age and ethnic groups.</li> <li>- Percentage of available credit, financial and technical support services going to women and men.</li> </ul> <p><b>Examples of qualitative indicators:</b></p> <ul style="list-style-type: none"> <li>- Women's and men's perception of the quality of their participation and the impact of the project activities on their lives.</li> <li>- The degree to which women and men are aware of their legal rights. Differences in awareness between women and men, socio-economic groups, age or ethnicity. Changes over time.</li> <li>- Opinions of women and men about whether women are becoming more empowered, and the reasons why.</li> <li>- Perception of women on an increase in self-respect, and the reasons why. Perception of men on any changes.</li> </ul>

### 2.2.9 How can it be ensured that the project budget is responsive to gender mainstreaming and HRBA?

There are a variety of approaches and studies on gender-sensitive or gender-responsive budgeting aimed at ensuring that the objectives, outcomes and activities of the project contribute to gender equality and the fulfillment of women's rights, and do not lead to new inequalities. Gender-responsive budgeting ensures that fiscal resources are generated and allocated in a way that affects women and men equitably. Although resources alone will not achieve gender equality, ensuring adequate financing is a necessary step. The project budget can certainly involve ways of addressing the different needs of women and men, and it can also include fund allocation for capacity building. Gender-responsive budgeting contributes to women's access to services and increases accountability to gender equality. It can make concrete changes in resource allocations towards women's priorities.

### 2.2.10 Do the TORs of project personnel and consultants include references to gender and HRBA awareness and / or competencies?

It is crucial that the TORs of consultants include references to gender issues and requirements relating to gender sensitivity and experience of a gender perspective. A gender mainstreaming module needs to be provided in electronic format so that the consultants can familiarize themselves in advance with the practices and requirements of the UN system to ensure successful gender mainstreaming.

In all cases, reference should be made to HRBA even if there is no direct clause regarding a rights-based approach. All project staff, including the consultants under the UN contract, have to comply with basic UN principles, including HRBA.

When capacity development of the project team is needed in gender mainstreaming and HRBA, many tools are available within the United Nations that can provide support for this. The FAO e-learning course *Gender in food and nutrition security* is adapted to the needs of gender mainstreaming in FAO projects.

Last but not least, the recruitment process itself needs to be gender-sensitive, and refer to UN and FAO policies of equal opportunities.

Further information on the FAO *Gender in food and nutrition security* e-learning course is available at <http://www.fao.org/elearning/#/elc/en/course/FG>.



The FAO *Environmental and social management guidelines* establish that:

"FAO will identify measures to avoid, minimize, and / or mitigate adverse gender-related impacts."

(FAO, 2015a, p. 52, available at <http://www.fao.org/3/a-i4413e.pdf>)

### 2.2.11 Does the project consider gender equality in targeting disadvantaged groups?

One of the first questions to be asked when creating or reviewing a project proposal concerns the actors that will be involved, and whether women and men, as well as disadvantaged groups, will have the opportunity to provide inputs into the project. It is important that the project ensures a gender perspective as well as a gender balance in terms of target groups.

Some FAO projects directly target disadvantaged groups. However, most FAO projects target disadvantaged groups indirectly and as a development aim. In the baseline study, the project should consider the different needs of disadvantaged groups, address them where possible and try to allocate resources accordingly.

### 2.2.12 Does the project document account for 'gender gaps' in previous projects and the lessons learned from them?

It is very important that the proposed project builds upon 'missed opportunities', for example, 'gender gaps' and lessons learned from previous projects. The concept note should also demonstrate recognition of the interlinkages between the different projects in the issue area, as well as the sound potential to address any of the remaining missed opportunities from previous projects.

### 2.2.13 Does the project document consider mitigation measures for any unexpected or unwanted problems (for example, gender blindness or the exacerbation of inequalities)?

It is also very important that the proposed project contains, in its risk matrix, mitigation measures for unexpected

and unwanted problems relating to gender equality or human rights that may occur along the way. In this respect, the staff responsible for project appraisal should take into account how the project prepares itself for unexpected changes and strategy shifts, among others, and the necessary potential mitigation measures.

## 2.3 Implementation

### 2.3.1 Do implementers at all levels have basic gender and HR skills beyond numbers and is this integrated into their ToRs?

The project officers (implementers and designers) need to ensure that projects do not increase existing vulnerabilities or inequalities. If this is inevitable, then the project should consider mitigation measures. For example, a project designed to improve productivity through increased mechanization might result in the loss of agricultural jobs. Many agricultural labourers are seasonal and they usually constitute the lowest income group of the labour force. This type of increase in productivity might result in their unemployment and create further poverty and deprivation. Furthermore, in many cases, use of machinery and agricultural equipment is stereotypically linked with men, so the introduction of mechanization in a given area of productivity may discriminate against women, reducing their income generation capacities and livelihood opportunities if no special measures are taken to ensure that women remain involved. At the inception stage of this type of project, mitigation measures should be proposed. These could include, among others, retraining for other occupations, welfare measures to alleviate poverty and new job opportunities.

All projects involve change, and all changes affect women and men, and a range of social groups, differently. These differences need to be reflected.

### 2.3.2 Are constraints, limitations and types of resistance recorded, along with the basic reasons for these?

During project implementation, it is likely that some limitations, constraints and resistance might be encountered, which were not expected at the design stage. These can be the result of knowledge gaps, a lack of disaggregated data and the specific political and social context of the society. For example, a local community leader might deny that women suffer particular disadvantage due to a lack of access to land, believing that women are in fact happy to undertake caring activities. Subsequently, the community leader might refuse to take particular action against this. These kinds of constraints and resistance should be carefully recorded. Possible reasons should be investigated with a view to: (a) seeking solutions in collaboration with relevant actors (for example, NGOs and local administrations); and (b) providing a record for future projects in the field.

The *FAO Environmental and social management guidelines* establish that:

“FAO programmes and projects will be gender-responsive in their design and implementation. FAO will seek to identify and address the different needs, constraints, contributions and priorities of women, men, girls and boys;

FAO will ensure that its programmes and projects do not discriminate against women or girls or reinforce gender-based discrimination or inequalities.”

(FAO, 2015a, p. 52, available at <http://www.fao.org/3/a-i4413e.pdf>)

### 2.3.3 Are women and disadvantaged groups actively involved in project activities?

It is important that staff are aware of any constraints faced by women in relation to their engagement in public meetings, mixed gatherings, training or other events. It is helpful to design the project activities and plan operations in a way that addresses these constraints and maximizes women's participation. This can be done, for example, by organizing training or meetings at times and locations that are accessible for women, or organizing separate training sessions when it is inappropriate to include women and men together. The provision of kindergarten facilities should be also considered.

It is also essential to pay special attention to the existing channels of communication. Women need to be approached as farmers, rather than as 'wives of farmers' (i.e. through their husbands), as has been documented in many cases. Engaging local women leaders during the mobilization process of farmers is a necessity. Furthermore, ensuring that the most disadvantaged are reached through the appropriate channels of communication is also crucial, since the most disadvantaged also tend to be the most excluded, and the most included tend to be more economically advantaged.

The *FAO Environmental and social management guidelines* establish that:

“FAO projects and programmes will be based on the principle of equal opportunity and fair treatment, and will empower and prioritize vulnerable women and men.”

(FAO, 2015a, p. 52, available at <http://www.fao.org/3/a-i4413e.pdf>)

The first and most important step in overcoming this problem is to use a participatory approach. A participatory approach begins by inclusively listening to all stakeholders, encouraging them to share their experiences and

express their views. It is important that all stakeholders – from government officers to community leaders, and from direct beneficiaries to marginalized groups – are aware of the project and have information about what is being carried out. Both duty bearers and rights holders should learn about the outcomes of the project, and be informed about potential benefits and adverse impacts (if there are any).

### 2.3.4 Have project beneficiaries been recorded? Has the sex of beneficiaries been tracked?

It is important for all projects to record the sex of the beneficiaries in quantitative terms. This can be ensured through direct observation as well as regular consultations with stakeholders. The need for tracking the sex of the beneficiaries is valid across all project stages and activities, including, for example, meetings and workshops. This can also be in the form of establishing quotas (minimum numbers) for the participation of women and minority groups. Whatever form applies, all data relating to persons included in activities and outcomes should be sex-disaggregated. The United Nations defines the minimum quota for women's participation as 30 percent (Resolution 1990/15, UN Economic and Social Council, 1991).

## 2.4 Monitoring and evaluation, impact assessment and closure

### 2.4.1 Does regular, periodic monitoring of the project pay special attention to gender and HRBA?

Annual progress reports, mid-term assessments and so on, are very important in terms of ensuring that the project is successfully moving towards its objectives by using the budget effectively and by taking important steps towards the designated outcomes. They also provide an opportunity to consider the implementation of the gender mainstreaming strategy and HRBA. Specific requirements and criteria should be established as standard practice in all periodic progress reports in order to consider the effective implementation of these strategies. This needs to be included in the ToRs of the consultants conducting these assessments. This approach enables staff to take specific action in the event of problems, limitations or resistance in future project phases.

### 2.4.2 If necessary, have changes to the gender mainstreaming and HRBA strategy been considered?

The basic aim is to enhance the rights of beneficiaries and improve their living standards. If, during the project, the implementers think that they cannot achieve this aim through the means provided within the project document, they should seriously consider changing their strategy to adapt to the new situation. In this new strategy, the views of the stakeholders need to be taken into account. The strategy change should not involve the removal of HRBA from the project because of political and / or social constraints. Instead, when constraints are identified, new methods and forms are needed to promote a better understanding between the stakeholders.

### 2.4.3 Gender equality / HRBA checklist

A checklist is provided in the annexes of this document. The checklist is a practical tool which aims to ensure that the gender mainstreaming and HRBA requirements are observed. Nevertheless, although a standard checklist is provided here, it is also important to review this in light of the specific scope and objectives of each project, and to use tailor-made checklists where necessary to encompass different project needs.



The FAO *Environmental and social management guidelines* state that:

“FAO will conduct gender analysis to respond to women and men's specific needs and priorities, to identify potential risks, benefits and impacts, to overcome their constraints to access productive inputs, resources and services, and to participate in decision making.”

(FAO, 2015a, p. 52, available at <http://www.fao.org/3/a-i4413e.pdf>)

### 2.4.4 Does the monitoring and evaluation criteria specify the need to address gender and HRBA?

It is extremely important to ensure that the monitoring and evaluation criteria include gender and HRBA as specific issues to be addressed. This process can be strengthened via the involvement of gender experts in evaluation exercises. Moreover, the adoption of a participatory evaluation method can ensure the balanced contribution of women and men, as well as different groups in society.

### 2.4.5 How many women and men, and individuals from disadvantaged groups, participated in the project's activities? At what levels and in what capacities?

If the project has been planned and implemented using a participatory approach, the stakeholders should have been able to contribute at all stages of the project. The project documents should have recorded both the number

of participants and also their specific contributions to implementation. The records need to supply information about who has participated and their demands, problems and specific perspectives. Moreover, records should include the perspectives of both rights holders and duty bearers.

#### 2.4.6 Who has not participated and why? What have been the obstacles to / incentives for participation?

Despite the concerted efforts of staff, there may still be gaps in participation: this includes all of the groups but in particular disadvantaged groups as they are less visible. If there are identifiable groups that have not participated, in-depth appraisal of these gaps will enable the country office to avoid missing these opportunities in future projects. In the reporting process, all staff, including the consultants, should assess why these groups have been left behind, and identify whether these obstacles are temporary or long-term. Suggestions about ways forward are also useful to avoid repeating the same problem.

#### 2.4.7 What impact has the project had on target groups (both women and men)?

The specific impacts of the project on women and men should be considered at a separate level and should be carefully recorded.

#### 2.4.8 What role have beneficiaries (both women and men) played in the realization of project activities and objectives?

Here, a realistic account should be provided of the concrete roles played by the beneficiaries in the implementation of the project. This will allow the project staff to assess the contribution of the project to the empowerment of communities and to identify ways to improve the participatory approach.

#### 2.4.9 What challenges have been encountered and how were these addressed?

The challenges encountered during the implementation of the project yield important clues about ways of overcoming them in forthcoming projects and activities in the locality / region concerned. The evaluation and assessment of the challenges provide important insights into the political, social and cultural context, as well as an explanation for the limitations, constraints and resistance to the project observed in the area.

#### 2.4.10 Has the project contributed to gender equality? In what ways?

Concrete results, in terms of gender equality or equality in general, cannot usually be achieved within the limited framework of a project, both in terms of scope and duration. This is because transformation in social structures and gender relations is a very long-term objective, requiring changes in mindsets and attitudes in society. However, specific projects can still make a positive contribution to equality, by encouraging the participation of women and men, by providing them with new resources and opportunities, or by raising awareness on gender equality. They might also have positive implications for gender relations by bringing together women and men in new contexts, encouraging professional relationships with each other and establishing new channels of communication between them. It is, therefore, important to consider the long-term contributions of the project to equality and to outline these with a view to providing valuable inputs to future projects that are conducted in the same locality or on the same issue.

#### 2.4.11 Has the project contributed to the further realization of human rights? In what ways?

Major human rights advances cannot be achieved within the limits of a project. However, we can record some of the improvements that are realized during the processes of implementation, as well as in terms of some of the outcomes. Food security, the right to water and the alleviation of poverty are all issues that fall within the FAO mandate and contribute to human rights. Furthermore, participation and community decision-making structures help to further understanding of human rights by recipients. So, the project should record all of these activities and outcomes.



The FAO *Environmental and social management guidelines* state that:

“FAO projects will provide equal opportunities to women and men, and assess the gender sensitivity of planned interventions.”

(FAO, 2015a, p. 52, available at <http://www.fao.org/3/a-i4413e.pdf>)



The FAO *policy on gender equality* establishes that:

“All programme reviews and evaluations fully integrate gender analysis, and report on gender-related impacts in the areas they are reviewing.”

(FAO, 2013a, p. 10, available at <http://www.fao.org/docrep/017/i3205e/i3205e.pdf>)

#### **2.4.12 What are the lessons learned in relation to gender equality and HRBA? Are there any follow-up suggestions?**

The lessons learned in relation to gender equality and HRBA, as well as follow-up suggestions, ensure a sound basis for future projects. They also contribute to the sustainability of the project's gains and provide ideas about ways of increasing ownership by local stakeholders and beneficiaries.

#### **2.4.13 Closure**

Having already conducted a gender-sensitive monitoring and collection of indicators, it will be easy to report on the project's impact in terms of gender equality in the 'terminal report'. The following questions need to be asked:

- 1) Have the project's activities addressed the needs and priorities of women and men stakeholders / beneficiaries as identified at the design stage?
- 2) Have women and men beneficiaries equitably benefited from the results achieved by the intervention?

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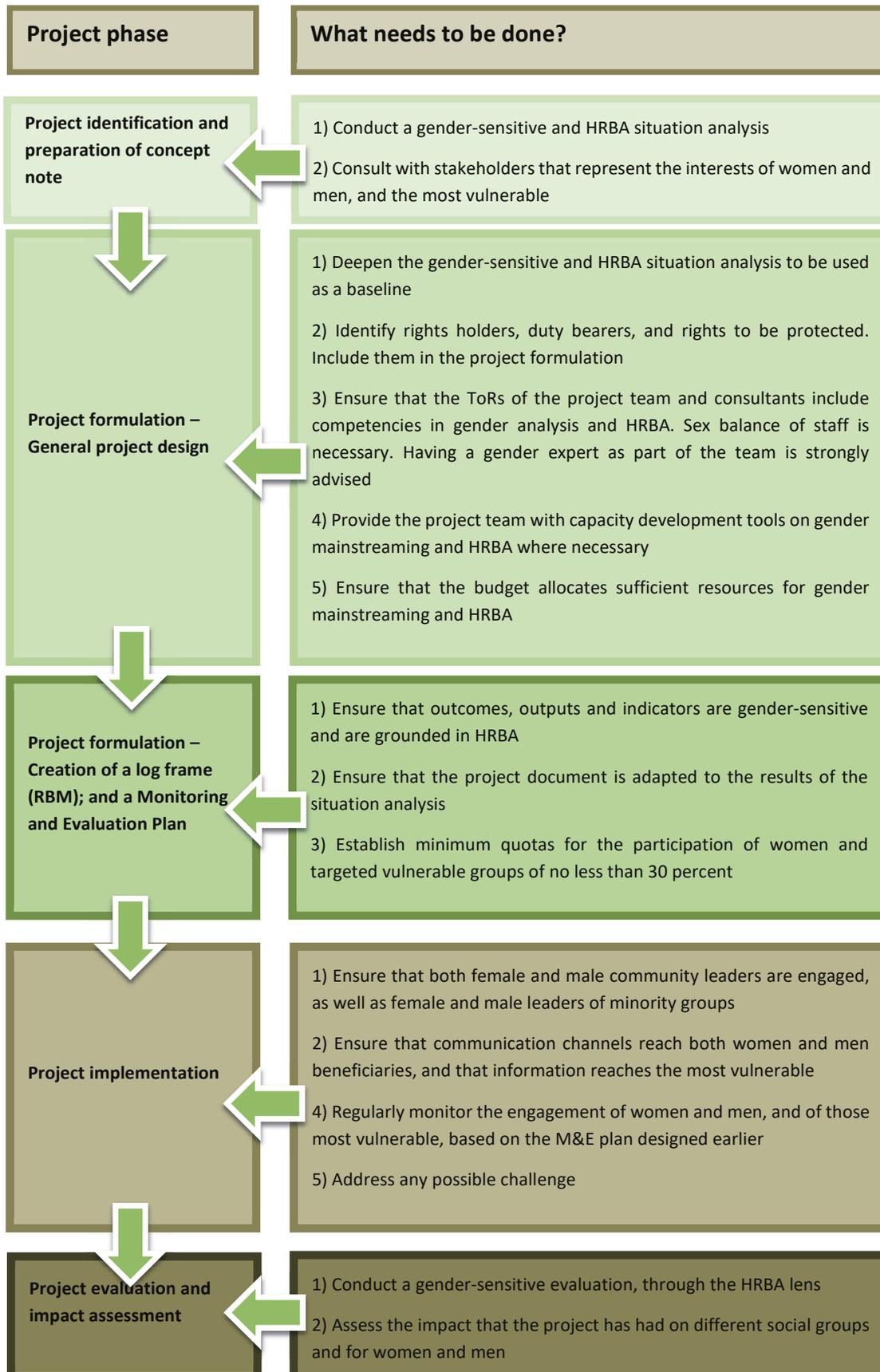
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## Annex 1 Summary of gender mainstreaming and HRBA in the project cycle



## Annex 2 Questions to guide gender mainstreaming and HRBA throughout the project cycle

Guiding questions	
1	<b>Project identification phase</b>
	<b>Questions that lead to a better situation analysis</b>
	<b>Does the situation analysis consider the priorities and needs of both women and men?</b>
	What are the different implications of the project proposal for women and men?
	What different implications does the project have / might it have for different social groups?
	Have stakeholders that represent different social groups, and that represent the interests of women and men, been consulted?
	Have duty bearers and rights holders been identified?
2	<b>Project formulation phase – general project design</b>
	<b>Questions that lead to a more effective project task force</b>
	<b>Is the project task force (PTF) able to implement the FAO gender mainstreaming and HRBA strategy?</b>
	Do project staff have expertise in gender? And in HRBA?
	Does the PTF intend to recruit a gender expert to assist in gender mainstreaming? And to recruit an HRBA expert?
	Do the ToRs for consultants, implementing partners and other implementers include awareness and knowledge (or responsibility to learn) about gender mainstreaming and HRBA?
	Are PTF members, consultants, implementing partners and other implementers provided with learning tools or training on gender mainstreaming and HRBA?
	Is the gender-balanced recruitment of project personnel guaranteed?
	<b>Questions that lead to an enhanced understanding, and more effective use, of situation analysis</b>
	<b>Does the project document reflect the challenges, needs and interests of both women and men, and of vulnerable groups?</b>
	Is the situation analysis within the project document gender-sensitive and does it use HRBA?
	Does the project document explicitly address gender issues? And does it use HRBA? Please provide details.
	Is the project built upon human rights and gender equality instruments? Which ones have been considered?
	Have vulnerable groups been clearly defined in the project document? Does the project document clearly outline the ways in which women and men, especially the more vulnerable, will be effectively mobilized?
	<b>Questions that lead to the better engagement of stakeholders</b>
	<b>Have stakeholders that represent the interests of different social groups, and that represent the interests of women and men, been involved in project formulation?</b>
	Have gender experts (Gender focal points (GFP) and gender specialists) been consulted and involved in the formulation of the project?
	Have human rights specialists and advocacy groups been consulted and involved in the formulation of the project?
	Have stakeholder and other project meetings been balanced in order to fully represent the diverse groups (from gender, age, ethnicity and other relevant perspectives) that will be involved in, and / or affected by, the project?
	Have rights holders and duty bearers been identified? Have the relevant human rights to be protected in the given project been identified? Are rights, rights holders and duty bearers included in the project document?
<b>Questions that lead to more effective budget planning and management</b>	
<b>Is the budget gender-responsive and adapted to HRBA principles?</b>	
Have adequate financial resources been allocated for the activities and objectives addressing gender equality? And human rights?	
<b>Questions that lead to better risk management</b>	
<b>Have the risks linked with existing discrimination in the given society been considered and addressed?</b>	
Have the potential social and material barriers, which may limit or hinder the active engagement of women and of vulnerable groups in the project, been considered?	
Have preventive measures been put in place to address the issues relating to the previous question?	

<b>Project formulation: creation of a log frame (RBM), and monitoring and evaluation plan</b>	
<b>Questions that lead to a better log frame</b>	
<b>Is the log frame gender-sensitive and adapted to HRBA standards?</b>	
3	Are project outcomes, outputs and activities designed to meet the different needs and priorities of women and men? And of the disadvantaged and excluded?
	Are indicators gender-sensitive, and disaggregated where appropriate by sex, age and social group?
	Are goals to support gender equality and human rights established in the log frame (including a 30 percent minimum quota of participation of women – and of vulnerable groups where necessary)?
	Does the log frame reflect the results of the situation analysis and the risk assessment?
	<b>Questions that lead to a more effective monitoring and evaluation plan</b>
	<b>Is the monitoring and evaluation (M&amp;E) plan gender-sensitive and adapted to HRBA standards?</b>
	Does the M&E plan envisage the tracking of sex, age and other social attributes of the beneficiaries?
	Does the M&E plan include the tracking of those who are not engaged and does it assess the reasons for non-participation?
	Does the M&E plan document and assess the obstacles to and incentives for participation?
	Does the M&E plan include regular monitoring to ensure the timely identification of potential burdens for women or vulnerable groups which might impact on their engagement in the project?
Does the M&E plan cover behavioural changes towards greater gender equality? And towards the further realization of human rights? Please provide details.	
<b>Project implementation</b>	
<b>Questions that lead to more effective project implementation</b>	
<b>Is the project accessible to all?</b>	
4	Will the project task force (PTF) ensure that both women and men, including those from vulnerable groups, provide inputs into project implementation and are actively engaged?
	Are the project delivery channels accessible to both women and men (including those who are most vulnerable), in terms of sex of the personnel, location, communication channels and timing?
	Are female and male leaders of the community and of vulnerable or excluded groups actively engaged in the mobilization process?
	<b>Is the M&amp;E plan being effectively implemented?</b>
	Are the constraints and limitations of women's and men's participation, including those from vulnerable groups, recorded and analysed?
	Does the PTF collect and analyse quantitative and qualitative sex-disaggregated data? Are these data also disaggregated by other social categories (for example, age, ethnicity and region, among others)?
	Are mitigation measures for unwanted challenges in place when needed?
Are changes to the GM and HRBA strategy considered when necessary?	
<b>Project evaluation and impact assessment</b>	
<b>Questions that lead to more effective project evaluation and communication</b>	
<b>Are the evaluation and impact assessment of the project gender-sensitive and adapted to HRBA?</b>	
5	Are the data (collected during the project and disaggregated by sex and other social characteristics) analysed to assess social change as an impact of the project?
	Is analysis of the ways in which gender was mainstreamed and HRBA was implemented part of the evaluation of the project?
	Are good practices and lessons learned on gender mainstreaming and HRBA effectively recorded for use in future projects?
	Is a communication strategy in place for informing a range of audiences about the existence and results of the project from a gender and human rights perspective?

## Annex 3 An appraiser's guide to gender mainstreaming in projects for the Programme and Project Review Committee

From the *FAO Guide to mainstreaming gender in FAO's project cycle* (FAO, 2016a)

### Purpose

These guidelines support Programme and Project Review Committee (PPRC) appraisers at HQ and in regional offices in consistently reviewing the quality of gender mainstreaming in the project document.<sup>4</sup>

### Gender criterion

Specifically, this guide supports the appraiser in reviewing the project document against criterion 2.1 (based on ratings for sub-criteria 2.1.1 and 2.1.2) for gender equality (see Annex 12: Quality Appraisal Form for the PPRC on Relevance and Sustainability).

### Gender appraisal steps

The appraiser should follow the steps below to complete the appraisal of the gender equality criterion in the PPRC.

**Step I: Review the gender mainstreaming content against Table 1 presented below.**

**Step II: Based on the in-depth review, the appraiser will decide on the PPRC rating for criteria 2.1.1 and 2.1.2 and make recommendations for improvement should the rating be other than A or B.**

### Step I:

To guide the appraisal process, a checklist is introduced below, which includes:

- a. Guiding questions on gender-related information considered relevant for the gender and stakeholder analysis (2.1.1), to be included in the project document.
- b. A breakdown of gender-related information relevant for the identification of gender-responsive results and indicators in the project results chain (2.1.2).

The right-hand column in Table 1 indicates where this information can be found within the project document.

### Step II:

The reviewer has to rate the extent to which the project meets the PPRC criteria on a scale of A to D (A: Strong; B: Sufficient; C: Weak; D: No evidence). An additional rating "not applicable" refers to projects with no human or social component (for example, with no potential to promote gender equality).

Should the rating be other than A or B (i.e. it is weak), the reviewer is required to fill out the "comments" section, to guide the formulators on how to improve the project document. Recommendations for improvement should be as specific as possible to guide improvements either in the gender and stakeholder analysis and / or the project results chain description.

**Table 1: Guiding questions to review project document in terms of gender mainstreaming content**

2.1.1 The project takes into consideration the priorities, opportunities, needs, constraints and knowledge of both women and men, as identified by the gender and stakeholder analysis	Where can this information be found in the project document, although not exclusively*
Is there evidence that key counterparts (government and / or other partners) working on gender equality at country level have been consulted in the planning process?	
Does the stakeholder analysis demonstrate that both women and men (of different ages and socio-economic groups) have been engaged with a view to participation in project implementation?	
Is there any evidence that women's groups, farmers' associations and / or other key organizations / service providers have been consulted?	
Have women's and men's specific needs and priorities, their constraints, challenges and discriminations in relation to the project been mapped?	<b>Section 1</b> 1.1.1 Rationale 1.1.4 Stakeholder consultation and engagement
Have women's and men's different roles and responsibilities within the household (for example, childcare and housework), the community, and the sector(s) interested in the project, been analysed?	<b>Section 3</b> 3.2 Gender equality
Does the project provide information on women's and men's access to and control over assets, resources, services, technologies and markets?	
Is women's and men's access to education, training and employment opportunities taken into account?	
Has women's participation in decision-making processes and institutions been analysed?	
Are constraints, challenges and discriminations based on gender issues clearly mapped?	
2.1.2 The project includes activities and outputs that address gender inequalities and aim to ensure that women and men benefit equally from the intervention (focus on equal access to productive resources and services; equal opportunity to influence decision making; equal possibility to access and benefit from economic opportunities; equal distribution of work burden)	
Does the results framework clearly define target groups (disaggregated by sex, age and socio-economic status, when relevant)?	
Does the results framework include gender-responsive outputs and activities aimed at addressing existing gender inequalities?	<b>Section 1</b> 1.2 Expected results
Are activities designed to respond to women's and men's specific needs identified by the analysis?	<b>Section 3</b> 3.2 Gender equality
Do activities / outputs have the potential to provide equal access to and control over assets, resources, services, technologies and markets for women and men?	<b>Appendix 1</b> FAO Logical framework
Do identified activities / outputs foster equal participation and decision making at household and / or community level?	
Does the M&E framework include gender-sensitive indicators to assess how the project is affecting women and men?	
Are sufficient resources (human and financial) allocated to implement gender-related activities?	

\* The sections referred to here correspond to the standard FAO project document format. When using a different format (non-standard / donor), the appraiser is expected to follow the same guiding questions, even though the project document sections may not correspond.

## Annex 4 Gender marker coding system

The following table, extracted from the FAO *Guide to mainstreaming gender in FAO's project cycle* (FAO, 2016a), presents a brief explanation of FAO's gender marker coding system for projects.

Code	Description	Indicative criteria	Examples
<b>G-0</b>	G-0: The project has no potential to promote gender equality or women's empowerment. <b>FPMS equivalent: gender neutral</b>	The project has no human or social component, so it is not able to reduce existing discrimination or inequalities.	<ul style="list-style-type: none"> <li>Establishing a system for global food prices.</li> <li>Periodic update of <i>Desert locust bulletin</i>.</li> </ul>
<b>G-1</b>	G-1: The project addresses gender equality only in some dimensions. <b>FPMS equivalent: gender mainstreamed</b>	Gender is partially relevant to the project's objectives and results and the project addresses gender only in some dimensions and in limited activities.	<ul style="list-style-type: none"> <li>A food loss and waste programme includes a case study analysing the implications of gender inequality.</li> <li>A project to build government capacity to control avian viruses also develops a strategy to reach out to women producers with low literacy levels.</li> </ul>
<b>G-2a</b>	G-2a: The project addresses gender equality in a systematic way, but this is not one of its main objectives. <b>FPMS equivalent: gender affirmative action</b>	Gender is fully relevant, but is not the main objective of the project. Gender is integrated (mainstreamed) in all relevant dimensions of the project (results, activities, monitoring framework).	<ul style="list-style-type: none"> <li>An impact assessment of food price volatility generates and disseminates sex-disaggregated data.</li> <li>A project to enhance smallholder revenues by value-added processes addresses women's and men's specific roles in the production process.</li> </ul>
<b>G-2b</b>	G-2b: Gender equality and / or women's empowerment is one of the main objectives and gender is integrated (mainstreamed) in all relevant dimensions of the project. <b>FPMS equivalent: gender equality focus</b>	<p>The project specifically targets gender equality and / or women's empowerment.</p> <p>Gender mainstreamed in results, activities and monitoring framework.</p>	<ul style="list-style-type: none"> <li>Stocktaking, analysis and dissemination of labour-saving technologies and practices in agriculture to reduce women's work burden.</li> <li>A project aimed at strengthening women's participation and leadership in producers' organizations in the fishery sector.</li> </ul>







The work of FAO has a direct bearing on the lives of women and men, as well as on disadvantaged, vulnerable and excluded members of society. It is, therefore, crucial that everyone benefits equally from the development gains provided by FAO programmes and projects. To ensure this aim, gender mainstreaming and the human rights-based approach (HRBA) underpin all FAO interventions. These guidelines offer practical ways of incorporating the two crosscutting themes within projects, in a Q & A format for technical officers.